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# TRADE INDICATORS HANDBOOK

## Illustrative Performance Indicators Organized by Trade Program and Project Results

**November 2013**

This publication was produced for review by the United States Agency for International Development, Bureau for Economic Growth, Education, and Environment. It was prepared by Stephanie Monschein and Molly Hageboeck of Management Systems International under the Business Environments for Agile Markets (BEAM) Task Order, implemented by CARANA Corporation.

## Preface

Trade has long been a focus of USAID programming centered on economic growth. Since the start of the Doha Development Round of global trade negotiations under the World Trade Organization in 2001, USAID and other developed countries have increased their support for trade capacity building (TCB) in developing countries. The focus of this support has been on helping host countries and their stakeholders participate more effectively in trade negotiations, implement resulting commitments, respond to new trade opportunities, and transition to a more open and competitive trade environment.

The USG has made strides in evaluating the effects of its TCB assistance. In 2005, USAID launched a USG-wide cross-cutting evaluation of TCB assistance, producing a profile of USG TCB investments as well as a subsequent in-depth evaluation of USAID's TCB portfolio, published in 2010 as: *From Aid to Trade: Delivering Results*. USAID also designed and delivered a pilot training program on monitoring and evaluation specifically for trade-related projects. Those efforts have been further refined and updated in the ProjectStarter toolkit to reflect substantial advances in USAID's overall monitoring, evaluation and learning framework as well as in USAID guidance and tools. The ProjectStarter toolkit also compiles and systematically organizes a substantial set of resources specific to trade capacity building.

ProjectStarter, a web-based monitoring, evaluation and learning resource for USAID staff and its implementing partners in developing countries, was developed for USAID at the request of Paul Fekete, Senior International Trade Advisor, in USAID's Bureau for Economic Growth, Education and Environment (E3) and Virginia Brown, the Director of the Office of Trade and Regulatory Reform (TRR) in E3, which funded ProjectStarter's creation. Without their foresight and the ongoing support and guidance of other E3 colleagues, including Lita Echiverri, E3/TRR's Monitoring & Evaluation Advisor, the vast array of resources on this site would never have been made easily accessible to development practitioners worldwide through this website. We deeply appreciate their commitment and support.

Erin Endean, CARANA Corporation directed the development of ProjectStarter under the Business Environments for Agile Markets (BEAM) project, for which she serves as Chief of Party. Molly Hageboeck and Stephanie Monschein, Management Systems International (MSI), conceptualized and developed the technical content for the toolkit and Dawn Sword, Serendipity Creative LLC, designed and developed the ProjectStarter website.

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## Introduction

The purpose of this Trade Facilitation Indicators Handbook is to help USAID/Washington and Mission staff working within the Office of Trade and Regulatory Reform, Bureau of Economic Growth, Education, and Environment (E3), US Agency for International Development (USAID) to organize projects and their activities around clusters of highly-researched development hypotheses, understand the hierarchy and critical assumptions surrounding each framework and to develop indicators that are useful for monitoring trade capacity building components of programs. These are programs that are stand-alone trade-focused endeavors, and programs that contain a small piece related to the TCB purview.

This handbook by no means represents a complete and final, unchanging document, but rather provides a basis upon which to insert new indicators as they become available and are tested. The team has scoured hundreds of real trade projects across the span of the world, utilized academic research, as well as research by top donors in development, but time is not static, and new indicators will be developed, and used, every day. Trade capacity building is a relatively new arena and the performance indicators by which teams will track impact and progress will continue to adapt to evolving environments and new global circumstances. This document should be seen as a starting point for the development of performance indicators on which to measure the successes of your Development Objectives (DOs), projects, and activities. Some, like those taken from national statistics and online trade indicator databases are relatively static, while others are intended to be tweaked, crafted, and molded to fit your project's needs during the Project design phase. Availability of national statistics will vary from country to country and year to year, and the feasibility of small- and large-scale surveys of firms, public sector entities, organizations, and other relevant private sector entities will depend on country context, budget, and timing.

This handbook incorporates Results Frameworks and subsequent narrative developed during the mixed-methods evaluation of Trade Capacity Building (2007-2010), from which came "[From Aid to Trade: Delivering Results.](#)" funded by USAID, in response to the Government Accountability Office's 2007 study, "U.S. Trade Capacity Building Extensive, but Its Effectiveness Has Yet to Be Evaluated." These Results Frameworks have been through multiple iterations, including reviews by key stakeholders – both USAID and USTR as well as by implementing partners – as well as ground-truthing through real trade capacity building projects and literature from multiple donors and academics.

This represents part of a broader effort by USAID E3 to improve its M&E system. At the start of this decade, USAID challenged itself to significantly enhance its capacity to design and deliver development results, thus increasing the likelihood of achieving the goals set forth in USAID's Policy Framework for 2011-2015. Meeting this challenge is leading USAID to adopt a more evidence-based approach to design, paired with active learning strategies that build on the systematic monitoring of program and project performance and more frequent and rigorous evaluations. This volume accompanies a self-guided, web-based Monitoring and Evaluation (M&E) toolkit and a Monitoring, Evaluation, and Learning Guide developed by USAID/E3 to help its staff and partners respond to these challenges.

Key features of the ProjectStarter toolkit for which this volume is a secondary companion include:

- Quick access to up-to-date USAID guidance on M&E in the program cycle;
- Editable templates to support the completion of M&E tasks for USAID programs, projects and supporting activities;
- Internal and external links to additional resources that support website pages;
- An intuitive book like structure that can be used for self-training by those users who are new to USAID; and
- Quick access to any aspect of the toolkit through its detailed sitemap and resource repository.

## PART I: The Trade Capacity Building Results Framework

Trade Capacity Building Projects and Programs can be standalone endeavors working solely to improve the trade capacity of countries or firms, or can be discrete activities buried within interconnected economic growth focused activities. The subsequent frameworks in Part I and Part II of this handbook were developed as part of a larger literature review process during a three-year mixed methods evaluation of TCB programs. These frameworks have been developed using academic literature and then ground-truthed through the study of over 256 TCB projects implemented during the study period. It is envisioned that all TCB activities fit into this overarching TCB Results Framework. However, the definition of TCB programs and activities is rapidly adapting to changing circumstances and certain current activities may not be explicitly stated on the Results Frameworks. Nonetheless, the language is such that the highest level of the Results Framework used to categorize the results of USAID TCB projects focuses on the Agency’s economic growth goal—*rapid, sustained and broad-based economic growth*. USAID views improvements in trade performance and foreign direct investment as contributing to economic growth, as Figure 1 illustrates.

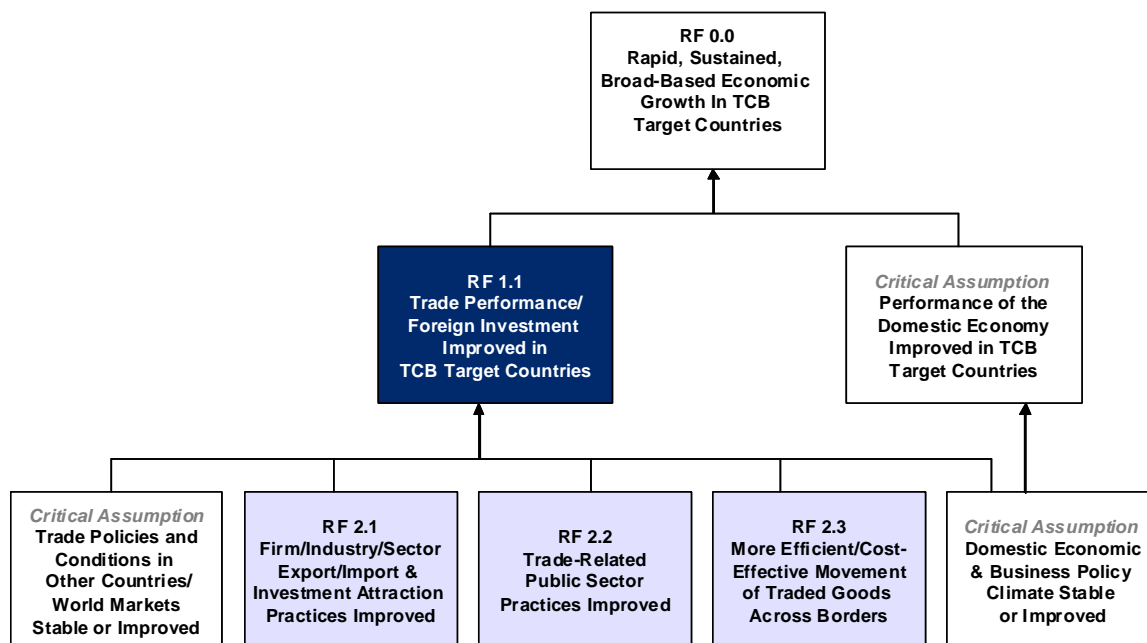


Figure 1. General TCB Results Framework – Outcome Level Results

### GOAL: Rapid, Sustained, Broad-Based Economic Growth

***Rapid, sustained, and broad-based economic growth – the growth needed to improve standard of living over time*** is highlighted in USAID strategy papers and on its website as the central focus of the Agency’s work on economic growth and trade. Economic growth that is broad-based is, in USAID’s view, the *only way for poor countries to reduce and eventually do away with extreme poverty*. In USAID’s current budgeting and reporting structure, to “promote sustainable, broad-based economic growth” by

“enabling the private sector to drive growth” is one of seven USAID core Development Objectives. At the national level, USAID measures of RF 0.0 performance include changes in per capita income and changes in the number of people living in poverty. USAID TCB projects frequently measure the number of jobs a project creates and changes in individual and family incomes at this level

## Level 1.0 First-order Results: Trade Performance/FDI Improved

At this level, the TCB Results Framework includes one result and one critical assumption, both of which are needed in order to produce overall economic growth and poverty reduction (shown at the *goal* level). The key result at this level parallels the program area level in USAID’s current budgeting and reporting structure.

As Figure 1 illustrates, USAID posits that improvements in trade and investment performance depend upon a number of factors. External factors, such as world prices, are shown on the far left in this segment of the TCB Results Framework. USAID TCB projects that focus on improvements in trade performance as one of their intended results often make assumptions about how external factors will behave. The Results Framework below follows that practice by designating them as critical assumptions. To the right of this assumption are three intermediate results or causal pathways to improved trade performance.

As described in Part One of this report, RF 2.1 focuses on changes in private sector practices and related results, measured by numbers of export contracts signed, new products exported, new markets accessed, etc. RF 2.2 focuses on changes in public sectors practices and related results, which are monitored using indicators that capture information on transparency and predictability in licensing, procurement, etc., as well as tariff reductions. RF 2.3 focuses on the more efficient movement of good across borders that result from investments in projects that facilitate trade and are measured using time and cost indicators. On the far right, improvements in domestic economic and business policies are shown as critical assumptions for trade projects, although it is recognized that in some countries USAID may also fund projects that foster improvements in domestic economic and business policies. Each of the three intermediate results identified above represents a cluster of results that support improvements in trade performance.

Trade performance improves when a country’s exports or imports of goods and/or services increase. USAID strategy papers define trade and investment as *the principal mechanisms through which global market forces generate growth in developing countries*. Increased tourism also represents an improvement in trade performance at this level. Most donor projects work toward this result by targeting activities at lower level results and allowing those interventions to precipitate improvements in trade performance. However, some types of project activities, like promotional events in importing counties, may directly target this result by stimulating demand rather than working through the rest of the results hierarchy. Foreign direct investment (FDI) is both a result at this level and the foundation for further generations of improvements in both trade performance and expanded sales in the domestic economy. This result is shown at the RF 1.1 level in the Results Framework segment shown in Figure 1.

USAID standard indicators for tracking improved trade and investment performance include **the total value of exports in targeted sectors; the total value of imports in targeted sectors**, and **foreign direct investment as a percentage of GDP**. In addition, field projects sometimes report on the volume of exports/imports at this level or on tourism revenues or numbers of visitors.

## **Assumption: Performance of the Domestic Economy Improved**

The condition of a country's domestic markets, gauged in terms of domestic sales or investment, directly impacts a country's economic growth, regardless of the role played by international trade. Even in countries where growth is clearly export-led, deteriorating conditions in the domestic economy will likely impede overall economic growth. For this reason, the TCB Results Framework assumes steady or improving domestic market performance when hypothesizing that improved trade performance will result in stronger overall economic growth.

## **Level 2.0: Second-order Results (Contributing to Level 1.0 Results)**

Results and assumptions at this level are meant to identify the necessary and sufficient conditions for achieving improvements in trade and investment performance. Three results are shown at this level in the TCB Results Framework, along with two important assumptions:

- The first result focuses on the practices of businesses that engage in trade.
- Government policy and practices are the focus of the second.
- The focus of the third result is on the movement of goods and services across borders, or trade facilitation: a result to which both private and public sector actors contribute. While technically this result could be subsumed under the other 2.0 level results included in the TCB Results Framework, it has been treated separately based on the distinct contribution that improvements in trade facilitation make towards a country's enhanced trade performance.

Results at this level reflect the intent of *program elements* in USAID's current budgeting and reporting structure, although the way they are stated (as results) differs from the categorical descriptions used for *program elements*.

### **TCB Result 2.1: Firm/Industry/Sector Export/Import & IFDI Attraction Practices Improved**

This result focuses on **improvements in the trade practices of firms, farms, and industry or sector associations**. For exporters, such practices might include modifications in the design, quality control, packaging, and reliability of delivery of products and services for specific foreign markets; changes made to comply with foreign market import requirements and standards; or using the Internet to advertise products, take orders or bill customers, place orders with suppliers, and so on. Results statements in projects that focus on improved competitiveness at the level of firms or industries fit at this TCB results level. Other results at this level may include the adoption of new or modified practices aimed at improving firm or industry chances of attracting foreign direct investment, like improving environmental, accounting, and other practices. Any measurable changes made by firms/farms/industries themselves for the purpose of expanding their exports, imports, or FDI represent performance improvement on this result.

### **TCB Result 2.2: Trade-Related Public Sector Practices Improved**

This result focuses on **new practices and changes in the way national and local governments deliver trade-related services**. Changes of this sort include improved public access to information about trade-related government standards and procedures, along with simplified, more transparent processes for their enforcement. Operationally, such improvements include fewer and less complex forms; electronic processing; streamlined procedures for enforcement and appeal of trade-related legal decisions; new trade promotion-related services, (improved local capacity for product safety testing against foreign market standards); and expanded, visible efforts to enforce intellectual property rights, child labor laws and other commitments linked to international trade agreements.



### **TCB Result 2.3: More Efficient and Cost-Effective Movement of Traded Goods across Borders**

This result focuses on *changes in the time and cost required to move goods from firms and farms on to ships, airplanes, and other vehicles and across international borders*. Reductions in the time and cost required to export or import, while shown on the same level of this Results Framework as Results 2.1 and 2.2 are often influenced by improvements in those areas. Improvements in trade-related infrastructure and in the effectiveness of enterprises that provide support services to exporters/importers, e.g., transportation, insurance, trade finance, etc., also have an impact on this result. It could be argued that this box fits under both 2.1 and 2.2, and doesn't necessarily need its own place on the RF. However, we argue that more efficient and cost-effective movement of traded goods across borders is so important, and such a focus of trade facilitation activities and projects currently, that it does necessitate a break out from the two other boxes at this level, even if just to attach separate indicators to its tracking.

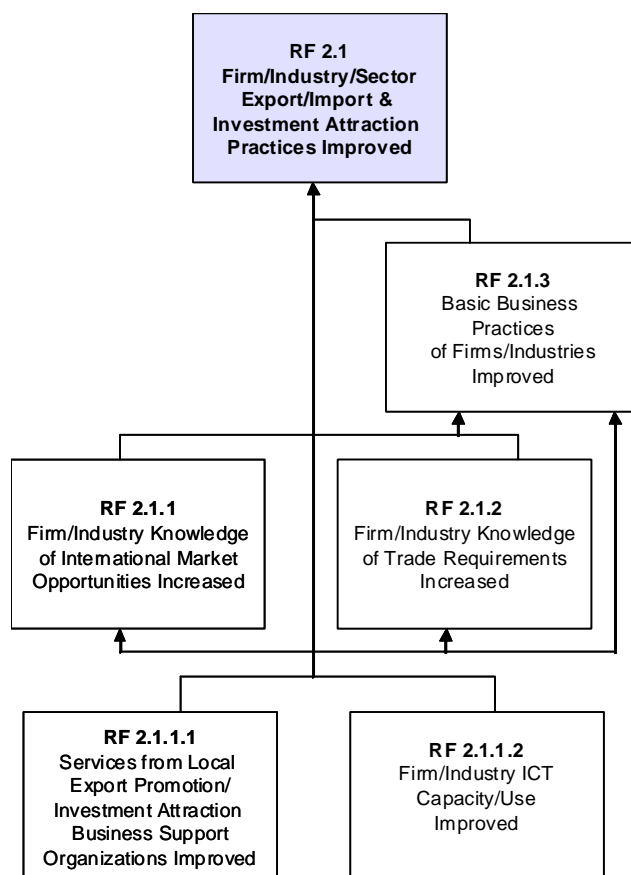
#### **Assumption: Trade Policies and Conditions in Other Countries/World Markets Stable or Improved**

Improvements in Results 2.1, 2.2 and 2.3 all contribute to improvements in trade performance at the level of Result 1.0, but these improvements alone may not be sufficient to ensure that trade performance improves. Conditions in world markets, and in the economies of key trading partners, also play a determining role. Projects and programs undertaken to improve firm/industry or government trade-related practices, or to otherwise improve the speed and cost-effectiveness with which traded goods traverse borders, generally assume that world market and key partner country conditions will remain stable or improve. When external conditions deteriorate, their impact on a country's trade performance can be significant.

#### **Assumption: Domestic Economic & Business Policy Climate Stable or Improved**

Similarly, programs and projects that focus on trade-related improvements in firm/industry or government practices generally assume that the domestic environment in which they operate will facilitate the flow of commerce. In practice, such assumptions are not always valid. A country's "enabling environment" may have the net effect of discouraging entrepreneurship and other business activity rather than allowing it to flourish. External shocks, such as droughts, natural disasters and political shifts -- even elections -- may also adversely affect the business climate.

## Intermediate Results



**Figure 1. Intermediate Results that Support Improvements in Firm/Industry/Sector Export/Import & Investment Attraction Practices**

Each of the Level 2.0 results described above is in itself the product of a chain of causes and effects that includes supporting intermediate results that contribute to Results 2.1, 2.2 and 2.3. These intermediate results are described below in relation to the 2.0 level results they support.

### Intermediate Results that Support Result 2.1

When firms/industries adopt new trade-related practices, or modify their existing practices, there is often an underlying cause. These changes sometimes emerge as a function of intermediate results within the firm, like the acquisition of new knowledge and skills which may in turn be the result of exposure to new sources of information, including new information technologies, as illustrated in Figure 2 below. Firms/industries may also change their practices in response to external stimulants, such as changes in government policies and practices (addressed in Result 2.2); improvements in trade-related services (addressed in 2.3); increased demand in other markets, or improved access to capital. Figure 2 above focuses primarily on intermediate changes within firms/industries that foster improvements in their trade-related practices, and on a critical assumption at this level about access to the capital.

**TCB Intermediate Result 2.1.1: Firm/Industry Knowledge of International Market Opportunities Increased**

This result focuses on the changes in what firms/farms know about international market opportunities, such as the demographics of product demand, purchasing methods, and customer-preferences with respect to product features. Knowledge of market opportunities can be expanded in a number of ways: participation in trade fairs; access to market research through trade associations, self-directed Internet research; consultations/assistance from specialists in government or private sector export promotion organizations like trade associations; or participation in government or other export/import training programs.

### **TCB Intermediate Result 2.1.2: Firm/Industry Knowledge of Trade Requirements Increased**

This result is similar to Result 2.1.1., but differs with respect to the types of information firms/industries receive. Here the focus is on technical requirements such as the import rules of other nations, including product safety standards. This type of knowledge is treated here as a separate intermediate result only to highlight the importance of this type of knowledge and the fact that the sources from which firms/industries acquire this information may differ somewhat. Some of these sources may include trade associations or the Internet and other familiar sources, but they may also have additional opportunities including special training programs offered by technical units within their own government (national product safety testing facilities for agricultural or medical products, for example) or educational programs offered locally by the multilateral organizations or government agencies of importing countries. As a practical matter, USAID missions might wish to combine Results 2.1.1. and 2.2.2.

### **TCB Intermediate Result 2.1.3: Basic Business Practices of Firms/Farms/Industries Improved**

This result focuses on improvements in basic business practices including production, accounting, and other practices that help a firm succeed regardless of whether its focus is on domestic sales, exports, or both. This includes improving financial, property, or human resource management through the increased use of information and communication technology (ICT). Its inclusion here reflects research findings that show that improvements in basic business practices, particularly those that result in more cost-effective production and more competitive pricing of goods and services, are often a requirement for, and function as a precursor to, export success. Improvements in basic business practices then combine with new knowledge about trade opportunities and requirements (Results 2.1.1 and 2.1.2) to foster changes in firm/industry level trade practices (Result 2.1). Economic motives generally drive changes in basic business practices at the Result 2.1.3 level, with firms acquiring the knowledge needed to make such changes from other firms, government and privately operated extension/business support services, the Internet, or other means. USAID missions that invest in this result may not do so specifically for exporting firms, as is the case with programs that serve small and medium size enterprises (SMEs) regardless of their international orientation. The fact that exporting firms benefit from projects of this type is what makes this a TCB result in the TCB Results Framework.

### **Assumption: Access to Commercial Capital Stable or Improved**

With the exception of trade finance focused on shipping, which is covered under Result 2.3.1 below, the access to capital that firms/industries require to improve basic business practices (at the 2.1.3 level) or trade-related practices (at the 2.1 level) is not generally available on a trade-specific basis. The focus of banks, credit unions and other credit markets is on repayment *per se* rather than on product/service destination. Similarly, FDI focuses on returns, which may involve both domestic and/or export production. Thus, this TCB Results Framework treats a firm's access to capital as an external factor rather than as a trade-specific result. Accordingly, the Results Framework assumes that when USAID initiates trade-specific programs, access to capital for all firms/industries in a recipient country will, at minimum, be as good over the life of a trade-specific project as it is when that project is being designed.

Missions that have programs that support changes in the financial sector may include access to capital in a broader economic growth framework.

### **TCB Intermediate Result 2.1.1.1: Services from Local Export Promotion/Investment Attraction/Business Support Organizations Provided/Improved**

This result focuses on the effectiveness of entities that exist, or may have been created by donor programs, for the purpose of providing trade and other related business support services to firms/industries, including (though not always limited to) firms that export or import goods and services. Export promotion services, investment attraction services, or more general business improvement support services may be run by governments or by private entities, like trade associations or specialized trade support organizations, and may operate on a non-profit or for-profit basis. When improving such services is a specific aim of a USAID-funded program, this intermediate result may be a critical element of a mission-level RF, or of a RF for a regional program that supports a regional trade support entity even though in most cases it would be considered an approach to achieving a result at any given level like the formation of business associations.

### **TCB Intermediate Result 2.1.1.2: Firm/Industry ICT Capacity Expanded**

This result focuses on the extent to which firms/industries have access to modern information and communications systems, including computers and the Internet. Capacity in this area contributes to efforts firms/industries may make to improve basic business practices (2.1.3); improve their knowledge of trade opportunities and regulations (2.1.1 and 2.1.2) and subsequently improve their trade-related practices (2.1). Result 2.1.1.2 is the focus of projects that directly invest in improving the extent to which targeted firms and business support entities (those assisted in 2.1.1.1) have the necessary equipment, infrastructure, and basic knowledge to use ICT to increase knowledge or improve practices.. This result is not so broad as to cover national investments in telecommunications. Result 2.1.1.2 in the TCB Result Framework is limited to connecting export/import firms or business support entities to improved national systems.

## **Intermediate Results that Support Result 2.2**

Box 2.2 represents the *de facto* improvement in public sector trade practices. Such practices may include??? Improvements in public sector trade-related practices at the level of Result 2.2 depend upon a range of intermediate results that contribute to these changes. Figure 3 below outlines this supporting hierarchy of intermediate results. The graphic illustrates the fact that changes in public sector practices do not always follow a single route to affect Result 2.2. Furthermore, there are some improvements in intermediate results that support Result 2.2 that may have a direct effect at the Result 1.0 level. For example, firms in other countries, upon learning that a country has changed its tariffs or acceded to a trade agreement, start investing in or purchasing from that country in advance of visible improvements in other public sector trade related practices.

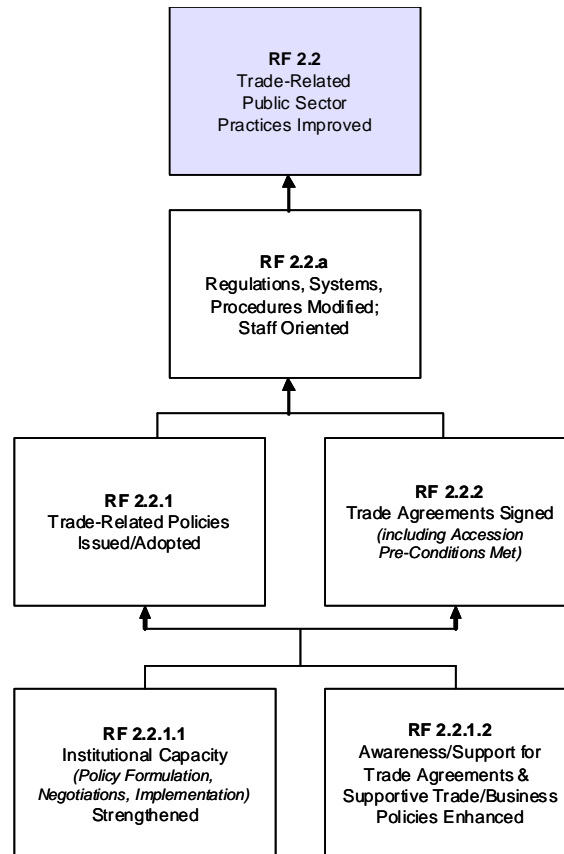


Figure 3. Intermediate Results that Support Improvements in Trade-Related Public Sector Practices

### TCB Intermediate Result 2.2 (a): Regulations, Procedures, Systems Modified, Staff Oriented

Box 2.2 (a) represents the *de jure* improvement in public sector trade practices. This result recognizes that some changes in government trade-related practices do not occur until new forms have been designed and issued; new procedures have been developed, new forms have been published and issued, and government agency staff has been oriented to these changes to maximize their use. Changes at the 2.2 (a) level are normally made by the government entities executing policy in response to changes, which may have been made at higher levels in government or by the country's legislature. They represent an intermediate step towards implementing those policy changes. In situations where changes in forms, internal regulations, and procedures of government entities are not needed to ensure policy implementation, Result 2.2 (a) need not be included in a RF. Where these steps are needed, however, including Result 2.2 (a) and monitoring indicators at this level can serve as a useful checkpoint on the policy implementation phase of a broader trade policy initiative.

#### TCB Intermediate Result 2.2.1: Trade Related Policies/Issued/Adopted

This result focuses on national policies and laws. New or improved trade-related policies and laws may be adopted or issued for domestic reasons, independent of trade agreements. In some cases they flow from or may be required to implement international trade agreements. In other cases international trade agreements only enter into force when local laws are changed to comply with those agreements

(though these local laws differ in nature from the pre-conditions mentioned in the paragraph following). This is the type of change/improvement that Result 2.2.1 is intended to capture.

### **TCB Intermediate Result 2.2.2: Trade Agreements Signed**

This result focuses on international trade agreements, both multilateral and bilateral in nature. It also subsumes compliance with any pre-conditions a country must meet in order to be accepted as a party to a trade agreement. In practice, this can involve changes that countries make that would normally fall at the 2.2 level on the general TCB Result Framework. Missions might find it appropriate to monitor such changes at the 2.2 level, while simultaneously tracking which pre-conditions for membership have been met at the 2.2.2 level.

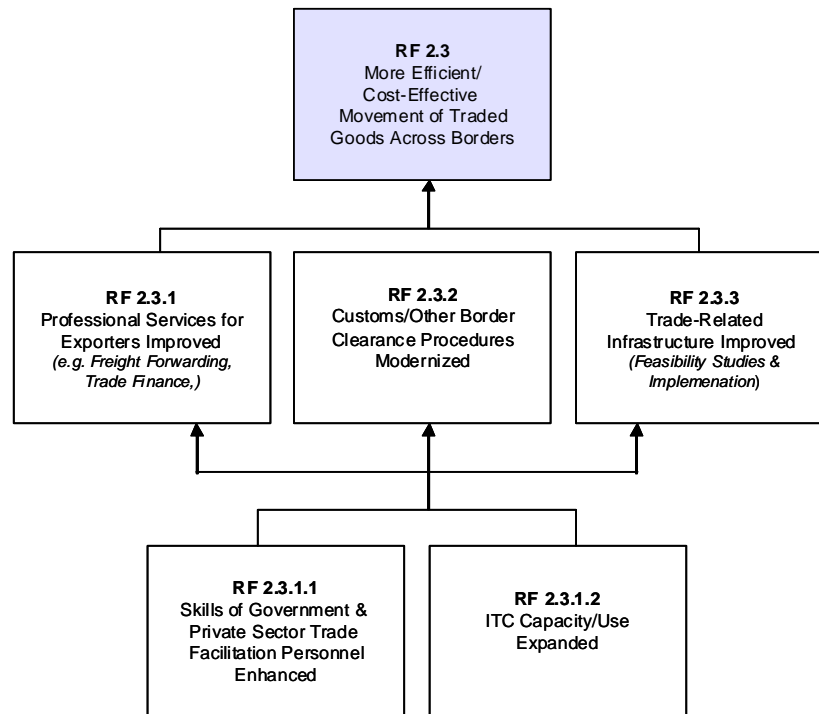
### **TCB Intermediate Result 2.2.1.1: Public Sector, Trade Related Institutional Capacity Strengthened**

This result focuses on those skills acquired or improved within government entities that play a role in developing and adopting new/improved trade policies and in conducting bi-lateral and multilateral negotiations related to trade agreements. Improved analytic skills; along with the ability to use analytic/evidence-based products developed by others; skills necessary to define policy alternatives and the political support needed for their adoption; as well as the expertise needed for effective negotiating are all relevant here. These skills are needed to support the achievement of results 2.2.1 and 2.2.2 and differ from the array of skills needed by line staff in government agencies that are responsible for implementing new policies (which are covered by Result 2.2 (a).

### **TCB Intermediate Result 2.2.1.1: Public Awareness/Support for Trade Agreements and Supportive Trade/Business Policies Enhanced**

Public and industry support for trade policies and membership in trade agreements are often critical for the approval of such measures. For that reason, governments, sometimes with donor support, undertake initiatives that educate these stakeholders, aiming to ensure their support for new/improved policies and international agreements. In situations where public and industry support for policies and agreements are critical, this result may be a critical element of a mission level TCB Results Framework.

## Intermediate Results that Support Result 2.3



**Figure 4. Intermediate Results that Support More Efficient and Cost-Effective Movement of Traded Goods across Borders**

As noted above, Result 2.3 represents the outcome of the combined efforts of government and the private sector trade facilitation efforts. This result and its intermediate results overlap with and are supported by Result 2.2; its intermediate results to some degree, represent one type of 2.2 level improvement in government trade-related practices. For example, improvements in customs administration highlighted under Result 2.3 can be subsumed under Result 2.2 because Customs is by definition a trade-related government entity but has been extracted as its own Result here because of the relatively high importance placed on improvements made in the efficiency and cost-effectiveness of moving traded goods across borders. Accordingly USAID Missions may elect to treat such outcomes as Result 2.2 improvements, rather than as results at the 2.3 level. The TCB Results Framework tolerates such overlap as a mechanism for highlighting the importance of trade facilitation results; this may be considered critical in some Missions due to country-specific needs but is not necessary in all. The following intermediate results are relevant for achieving Result 2.3 as shown in Figure 4.

### **TCB Intermediate Result 2.3.1: Professional Services for Exporters Improved**

This result captures, among others, improvements in the effectiveness and efficiency of freight forwarding firms that result from internal improvements rather than improvements in infrastructure or government procedures. Such improvements may be stimulated by changes in business practices similar to those made by exporting firms, e.g., improved order tracking and accounting systems. Similarly, this result captures improvements in trade finance, including its incorporation into “one-stop” export assistance units and new/improved trade finance windows in local financial institutions that help firms obtain financing for shipments; this includes both shipments financed by importers through local financial institutions and shipments that are self-financed by exporting firms.

### **TCB Intermediate Result 2.3.2: Customs/Other Border Clearance Procedures Modernized**

This result directly parallels Result 2.2 (a) because customs and other border crossing operations are technically a subset of Result 2.2 (a) and its broader focus on the simplification and modernization of regulations and procedures within government trade-related bodies. At the 2.3.2 level, the simplification of procedures is focused intently on those processes and procedures that facilitate modernization of customs systems. This entails making customs forms and processes available by electronic means, and introducing electronic passport readers or other trade specific applications of modern technology. Also at this level are reductions in the number of signatures and documents required for exporting/importing goods.

### **TCB Intermediate Result 2.3.3: Trade Related Infrastructure Improved**

Outcomes at this level are often the result of investments in infrastructure, including but not limited to port facilities, air cargo handling facilities, and other border crossing facilities, including the hiring of additional staff. Generally speaking this result is the outcome of investments in trade-specific infrastructure rather than the more general investments in domestic road systems or telecommunications infrastructure.

### **TCB Intermediate Result 2.3.1.1: Skills of Government and Private Sector Trade Facilitation Personnel Enhanced**

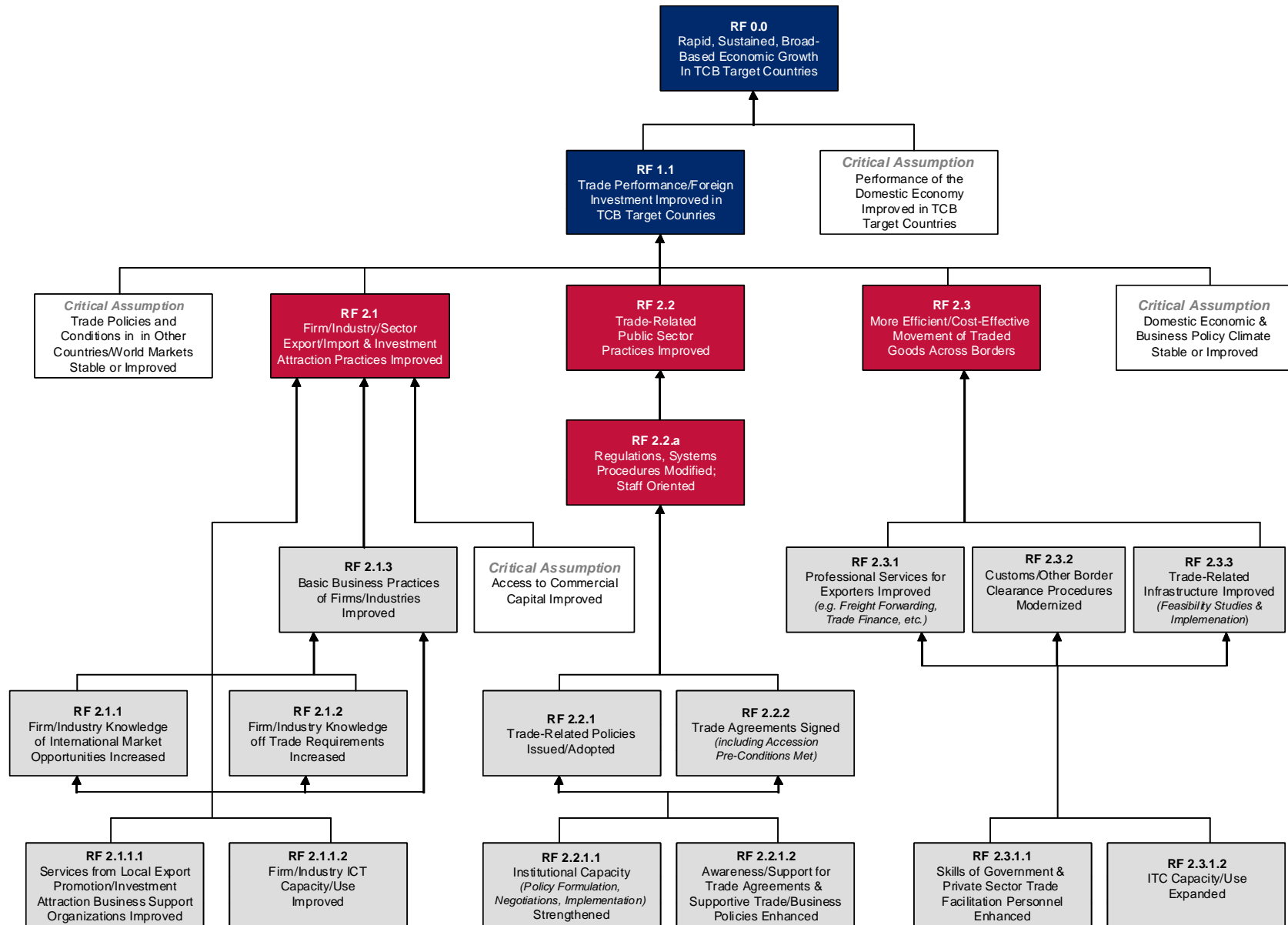
This result focuses more on policy implementation, along the lines of Result 2.2 (a) above than on skills in policy development. Private sector firm knowledge of and skills in expediting shipments as well as the extent to which customs officials know current regulations and, where relevant, how well customs officials, freight forwarders and exporting firms to use electronic customs systems are all relevant at this level. In some countries missions invest in initiatives that focus on results at this level.

### **TCB Intermediate Result 2.3.1.2 ICT Capacity/Use Expanded**

This result parallels Result 2.1.1.2 above. At this level, this result is relevant for both government entities and private sector trade facilitation support firms and related non-profit organizations. Basic automation, e.g., supplying a customs agency with computers and related training, is recorded at this level.



## PART II: Performance Indicators at Each Level of the Results Framework



## Performance Indicator Candidates

### Sustainable, Broad-based, Private Sector-led Economic Growth

#### Illustrative Project Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                                             | Definition and Unit of Measure                                                                                 | Data Sources                                  | Data Collection Method(s)               | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Person Responsible                                                                         |
|-----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|-----------------------------------------------|-----------------------------------------|------------------|----------------------------------------|-------------------------|--------------------------------------------------------------------------------------------|
| <b>Result</b>                                                                     | Sustainable, broad-based, private sector-led economic growth accelerated in Country X                          |                                               |                                         |                  |                                        |                         |                                                                                            |
| Growth in (real) gross domestic product (GDP) per capita [SI 4 – 15] <sup>2</sup> | See standard indicator handbook <sup>3</sup><br>Indicator is tracked by EGAT.                                  | World Bank World Development Indicators (WDI) | Tracked by E3 for Missions <sup>•</sup> | Country          | Annual                                 | N/A                     | Missions are not expected to report on this indicator. The information is tracked by EGAT. |
| Proportion of people living on less than \$1.25 a day [SI 4.5.1 – 3] <sup>4</sup> | See standard indicator handbook <sup>5</sup><br>This indicator measures Millennium Development Goal Target 1a. | UN Millennium Development Goals Report        | Available online <sup>6</sup> •         | Country          | Annual                                 | N/A                     | Missions are not expected to report on this indicator. The information is tracked by EGAT. |

<sup>1</sup> Timing, availability of data, and cost should also be addressed here

<sup>2</sup> USAID standard indicator

<sup>3</sup> <http://www.state.gov/documents/organization/101765.pdf>

<sup>4</sup> USAID standard indicator

<sup>5</sup> <http://www.state.gov/documents/organization/101765.pdf>

<sup>6</sup> <http://www.un.org/millenniumgoals/reports.shtml>

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                          |                                               |                                                                                                                                                                                               |                                                                                              |                                                                                                             |                                                                                                                                                                       |                    |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                           | Data Sources                                  | Data Collection Method(s)                                                                                                                                                                     | Disaggregated by                                                                             | Data Collection Frequency and Schedule                                                                      | Data Analysis Method(s)                                                                                                                                               | Person Responsible |
| Jobs created from exports                             | <p><b>Detailed Definition:</b><br/>New jobs that did not previously exist and are directly linked to export production/shipment</p> <p><b>Unit of Measure:</b><br/>Number of full time jobs (M/F)<br/>Number of part-time jobs (M/F)</p> | Firms that are being assisted by the project. | Firm will be asked to share standardized monthly summaries of the number of part-time and full time staff they pay. Implementing partner staff, or local designees, will collect these forms. | -Type: full-time; part-time<br>-Sex of job holder<br>-Sector<br>Target area (e.g., district) | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>  | <b>Definition and Unit of Measure</b>                                                                                                                                     | <b>Data Sources</b>                           | <b>Data Collection Method(s)</b>                                                                                                                                                                                                     | <b>Disaggregated by</b>                                                    | <b>Data Collection Frequency and Schedule</b>                                                               | <b>Data Analysis Method(s)</b>     | <b>Person Responsible</b> |
|-------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------------|
| Income increased from exports | <p><b>Detailed Definition:</b> Number of individual (worker/owner) incomes directly increased from exports in assisted entities</p> <p><b>Unit of Measure:</b> Number</p> | Firms that are being assisted by the project. | Firms will be asked to share standardized monthly summaries of the income of part-time and full-time. Firms will track changes in income on a monthly basis and report to IPs. IP staff or local designees will collect these forms. | Target sector; target area; Sex of job holder; full-time vs part-time job; | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Aggregate data from assisted firms |                           |

## Performance Indicator Candidates

### Trade Performance and Foreign Direct Investment (FDI)

#### Illustrative Project Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                               | Definition and Unit of Measure                                                                                                                                                                    | Data Sources                                     | Data Collection Method(s)                  | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Person Responsible |
|---------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------------|------------------|----------------------------------------|-------------------------|--------------------|
| <b>Result</b>                                                       | Trade performance (particularly private-sector exports) and foreign direct investment expanded                                                                                                    |                                                  |                                            |                  |                                        |                         |                    |
| Foreign trade (X+M) as a percentage of GDP [SI 4.2-10] <sup>7</sup> | See standard indicator handbook <sup>8</sup><br>Sum of exports as % of GDP and imports as % of GDP.<br>Missions are not expected to report on this indicator. The information is tracked by EGAT. | World Bank<br>World Development Indicators (WDI) | Tracked by E3<br>for Missions <sup>•</sup> | Country          | Annual                                 | N/A                     |                    |

<sup>7</sup> USAID standard indicator

<sup>8</sup> <http://www.state.gov/documents/organization/115255.pdf>

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                 |                     |                                          |                                  |                                                                                                                  |                                                                                                                                                                                                                                                                 |                    |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------|----------------------------------|------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                  | Data Sources        | Data Collection Method(s)                | Disaggregated by                 | Data Collection Frequency and Schedule                                                                           | Data Analysis Method(s)                                                                                                                                                                                                                                         | Person Responsible |
| Value of exports (a)                                  | <b>Detailed Definition:</b> The value of exports is the value of the goods at the moment they cross the border, including freight and insurance costs up to the border. Producer prices are used to correct for price changes.<br><b>Unit of Measure:</b> \$ US | National statistics | Online or by arrangement with government | Product codes, harmonized system | Collected from firms quarterly to avoid problems with recall or less frequently (if they have database to track) | Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. Calculate change in tie from Y2-Y1. Calculate average change across years as data allows. |                    |
| Volume of exports (b)                                 | <b>Detailed Definition:</b> Exports of goods include all goods made in or imported into the country destined for use or consumption outside the project country.                                                                                                | National statistics | Online or by arrangement with government | Product                          | Annual                                                                                                           | N/A                                                                                                                                                                                                                                                             |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                |                     |                                          |                  |                                        |                                                                                                                                                                       |                    |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------|------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                 | Data Sources        | Data Collection Method(s)                | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                               | Person Responsible |
| Value of imports (c)                                  | <b>Detailed Definition:</b> The value of imports is the value of the goods at the moment they cross the border, including freight and insurance costs up to the border. Producer prices are used to correct for price changes.<br><b>Unit of Measure:</b> \$US | National statistics | Online or by arrangement with government | Product          | Annual                                 | N/A                                                                                                                                                                   |                    |
| Volume of imports (d)                                 | <b>Detailed Definition:</b> Imports of goods include all goods made outside or imported into the country destined for use or consumption inside the country                                                                                                    | National statistics | Online or by arrangement with government | Product          | Annual                                 | Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                           |                                              |                                                                                                                                                                                                                                                                        |                                 |                                                                                                             |                                                                                                                                                                                                           |                    |
|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                            | Data Sources                                 | Data Collection Method(s)                                                                                                                                                                                                                                              | Disaggregated by                | Data Collection Frequency and Schedule                                                                      | Data Analysis Method(s)                                                                                                                                                                                   | Person Responsible |
| Value of exports from assisted firms/sectors (a)      | <p><b>Detailed Definition:</b> The value of exports is the value of the goods at the moment they cross the border, including freight and insurance costs up to the border. Producer prices are used to correct for price changes.</p> <p><b>Unit of Measure:</b> \$US</p> | Firms that are being assisted by the Project | Firms will be asked to share standardized monthly summaries of the value of exports received in the current period. Firms will track changes in export values on a monthly or quarterly basis and report to IPs. IP staff or local designees will collect these forms. | Product, using harmonized codes | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Aggregate data from assisted firms. Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |



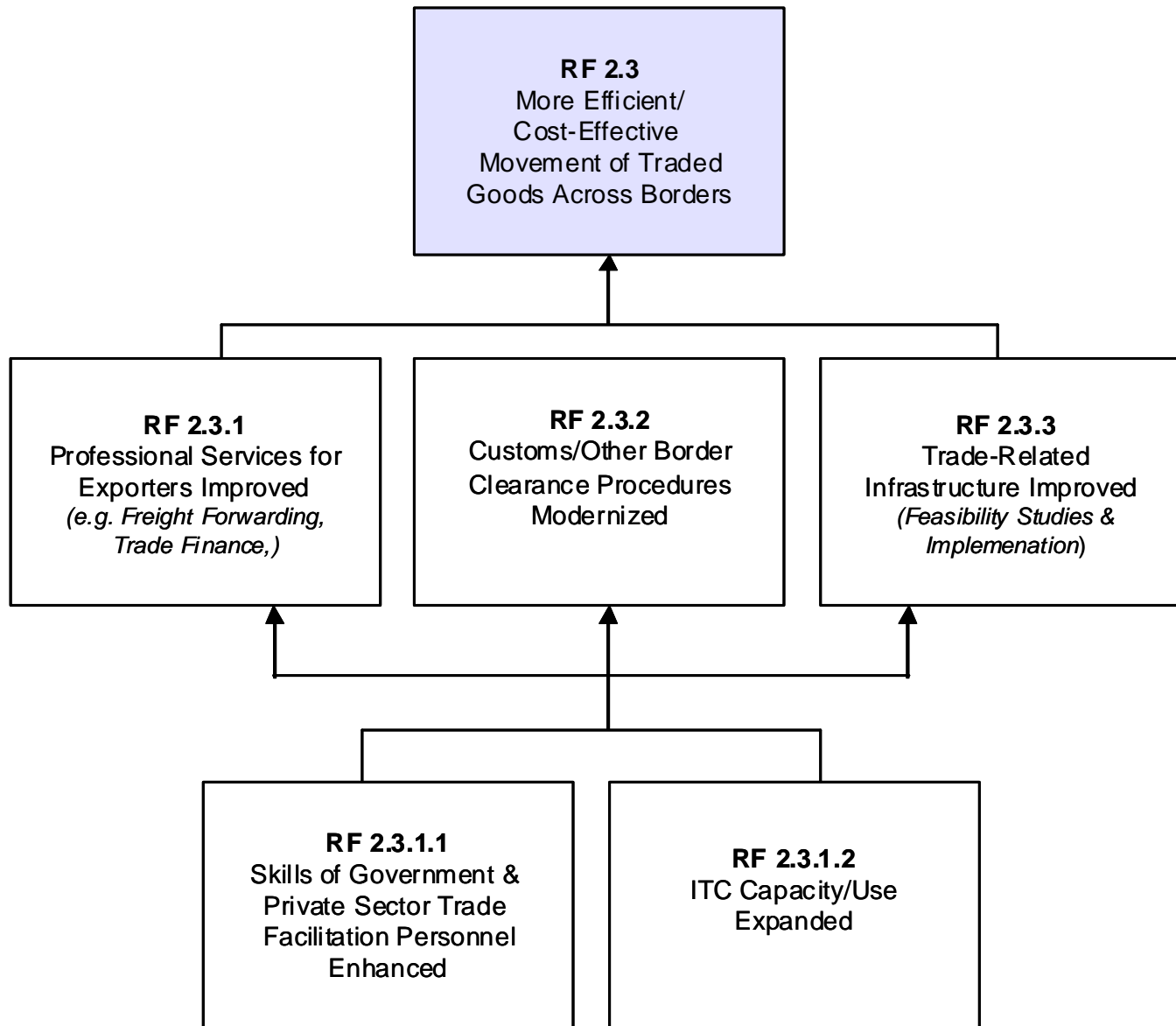
| Intended Results and Candidate Performance Indicators |                                                                                                                                                                 |                                              |                                                                                                                                                                                                                                                                         |                                 |                                                                                                             |                                                                                                                                                                                                           |                    |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                  | Data Sources                                 | Data Collection Method(s)                                                                                                                                                                                                                                               | Disaggregated by                | Data Collection Frequency and Schedule                                                                      | Data Analysis Method(s)                                                                                                                                                                                   | Person Responsible |
| Volume of exports from assisted firms/sectors (b)     | <p><b>Detailed Definition:</b> The volume of goods in X produced, sold, and shipped for consumption outside the country</p> <p><b>Unit of Measure:</b> \$US</p> | Firms that are being assisted by the Project | Firms will be asked to share standardized monthly summaries of the volume of exports received in the current period. Firms will track changes in export volumes on a monthly or quarterly basis and report to IPs. IP staff or local designees will collect these forms | Product, using harmonized codes | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Aggregate data from assisted firms. Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                           |                                              |                                                                                                                                                                                                                                                                       |                                 |                                                                                                             |                                                                                                                                                                                                           |                    |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                                            | Data Sources                                 | Data Collection Method(s)                                                                                                                                                                                                                                             | Disaggregated by                | Data Collection Frequency and Schedule                                                                      | Data Analysis Method(s)                                                                                                                                                                                   | Person Responsible |
| Value of imports from assisted firms/sectors (c)      | <p><b>Detailed Definition:</b> The value of exports is the value of the goods at the moment they cross the border, including freight and insurance costs up to the border. Producer prices are used to correct for price changes.</p> <p><b>Unit of Measure:</b> US\$ value of import</p> | Firms that are being assisted by the Project | Firms will be asked to share standardized monthly summaries of the value of imports received in the current period. Firms will track changes in import values on a monthly or quarterly basis and report to IPs. IP staff or local designees will collect these forms | Product, using harmonized codes | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Aggregate data from assisted firms. Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                                                                                                                       |                                              |                                                                                                                                                                                                                                                                          |                                 |                                                                                                             |                                                                                                                                                                                                           |                    |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                                                                                                                                                        | Data Sources                                 | Data Collection Method(s)                                                                                                                                                                                                                                                | Disaggregated by                | Data Collection Frequency and Schedule                                                                      | Data Analysis Method(s)                                                                                                                                                                                   | Person Responsible |
| Volume of imports from assisted firms/sectors (d)     | <p><b>Detailed Definition:</b><br/>The volume of goods in X bought outside the country for consumption inside the country<br/>Volume of imports<br/><b>Unit of Measure:</b> \$US</p>                                                                                                                                                                                                                  | Firms that are being assisted by the Project | Firms will be asked to share standardized monthly summaries of the volume of imports received in the current period. Firms will track changes in import volumes on a monthly or quarterly basis and report to IPs. IP staff or local designees will collect these forms. | Product, using harmonized codes | Data will be collected monthly from firms (to minimize problems with data recall over long periods of time) | Aggregate data from assisted firms. Data will be analyzed quarterly and annually to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |
| Export volume index                                   | <p><b>Detailed Definition:</b> Export volume indexes are derived from UNCTAD's volume index series and are the ratio of the export value indexes to the corresponding unit value indexes. Unit value indexes are based on data reported by countries that demonstrate consistency under UNCTAD quality controls, supplemented by UNCTAD's estimates using the previous year's trade values at the</p> | UNCTAD                                       | Available online                                                                                                                                                                                                                                                         | N/A                             | Annual                                                                                                      | Compare value across countries or across years. Compare current value to target value to determine achievement of objective                                                                               |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                              |                     |                                          |                             |                                        |                                                                                                                                           |                    |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|------------------------------------------|-----------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                               | Data Sources        | Data Collection Method(s)                | Disaggregated by            | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                   | Person Responsible |
|                                                       | Standard International Trade Classification three-digit level as weights.<br><br><b>Unit of Measure:</b> Ratio                                                                               |                     |                                          |                             |                                        |                                                                                                                                           |                    |
| Value of Foreign Direct Investment (FDI)              | <b>Detailed Definition:</b> FDI net inflows are the value of inward direct investment made by non-resident investors in the reporting economy,<br><b>Unit of Measure:</b> US \$ value of FDI | National statistics | Online or by arrangement with government | Sector; subsector as needed | Annual                                 | Calculate change to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |
| Value of FDI in targeted sectors                      | <b>Detailed Definition:</b> : Net inflows of inward direct investment made by non-resident investors in the reporting economy and targeted sectors per project designation                   | National statistics | Online or by arrangement with government | Sector, possibly subsector  | Quarterly                              | Calculate change to determine whether there have been net gains over prior quarter; over same quarter prior year; and over several years. |                    |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                     |                           |                         |                                        |                                                                                                                                         |                    |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|---------------------------|-------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Data Sources                                        | Data Collection Method(s) | Disaggregated by        | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                 | Person Responsible |
| Investing across Borders ranking                      | <p><b>Detailed Definition:</b> This indicator is an index score of key indicators across four topics</p> <p><b>Unit of Measure:</b> Ranking/scale</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | World Bank – Investing Across Borders yearly report | Available online          | Country                 | Annual                                 | Compare Y1 to Y2; compare country                                                                                                       |                    |
| Improved logistics performance                        | <p><b>Detailed Definition:</b><br/>The World Bank’s Logistics Performance Index (LPI) analyzes countries in six components:</p> <ol style="list-style-type: none"> <li>1. The efficiency of customs and border management clearance.</li> <li>2. The quality of trade and transport infrastructure.</li> <li>3. The ease of arranging competitively priced shipments.</li> <li>4. The competence and quality of logistics services.</li> <li>5. The ability to track and trace consignments.</li> <li>6. The frequency with which shipments reach consignees within scheduled or expected delivery times.</li> </ol> <p><b>Unit of Measure:</b> Rating</p> | Logistics Performance Index                         | Available online          | Country; LPI component; | Annual                                 | Calculate change in country’s ranking from T1-T2 (in overall LPI score and individual components). Compare with average country change. |                    |



## Performance Indicator Candidates

### More Efficient/Cost-effective Movement of Trade Goods across Borders

#### Illustrative Project Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                       | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                         | Data Sources                         | Data Collection Method(s)               | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                       | Person Responsible/<br>Notes |
|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------|------------------|----------------------------------------|-----------------------------------------------|------------------------------|
| <b>Result</b>                               | More efficient/cost-effective movement of trade goods across borders                                                                                                                                                                                                                                   |                                      |                                         |                  |                                        |                                               |                              |
| Time to import [SI 4.2.1 – 16] <sup>9</sup> | <p><b>Detailed Definition:</b> See standard indicator handbook<sup>10</sup></p> <p>The time necessary to comply with all procedures required to import goods. If a procedure can be accelerated for an additional cost, the fastest legal procedure is chosen.</p> <p><b>Unit of Measure:</b> Days</p> | World Bank Doing Business Indicators | Tracked by E3 for Missions <sup>•</sup> | Country          | Annual                                 | T test. T2 – T1 (Change from year 1 – year 2) |                              |

<sup>9</sup> USAID standard indicator

<sup>10</sup> <http://www.state.gov/documents/organization/115255.pdf>

| Intended Results and Candidate Performance Indicators                                               |                                                                                                                                                                                                                                                                                                                                                      |                                      |                                         |                  |                                        |                                                                                   |                              |
|-----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------|------------------|----------------------------------------|-----------------------------------------------------------------------------------|------------------------------|
| Performance Indicator                                                                               | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                       | Data Sources                         | Data Collection Method(s)               | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                           | Person Responsible/<br>Notes |
| Time to export [SI 4.2.1 – 16] <sup>11</sup>                                                        | <p><b>Detailed Definition:</b> See standard indicator handbook<sup>12</sup><br/>The time necessary to comply with all procedures required to import goods. If a procedure can be accelerated for an additional cost, the fastest legal procedure is chosen.</p> <p>See standard indicator handbook<sup>13</sup><br/><b>Unit of Measure: Days</b></p> | World Bank Doing Business Indicators | Tracked by E3 for Missions <sup>•</sup> | Country;         | Annual                                 | T test. T2 – T1 (Change from year 1 – year 2)                                     | As above                     |
| Number of documents required to export goods across borders decreased [SI 4.2.1 – 17] <sup>14</sup> | <p>See standard indicator handbook<sup>15</sup><br/><b>Detailed Definition:</b><br/>Reduction in the number of documents required to trade goods across borders as imports or exports; change in the total number of documents required as per World Bank Doing Business Indicator, confirmed by the Mission.<br/><b>Unit of Measure:</b> Number</p> | World Bank Doing Business Indicators | Available online <sup>•</sup>           | Country          | Annual                                 | Calculate change in number of necessary documents and overall ranking from T1-T2. |                              |

<sup>11</sup> USAID standard indicator

<sup>12</sup> <http://www.state.gov/documents/organization/115255.pdf> .

<sup>13</sup> <http://www.state.gov/documents/organization/115255.pdf>

<sup>14</sup> USAID standard indicator

<sup>15</sup> <http://www.state.gov/documents/organization/115255.pdf>



| Intended Results and Candidate Performance Indicators                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                      |                                |                  |                                        |                                                                         |                              |
|-----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|--------------------------------|------------------|----------------------------------------|-------------------------------------------------------------------------|------------------------------|
| Performance Indicator                                                                               | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Data Sources                         | Data Collection Method(s)      | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                 | Person Responsible/<br>Notes |
| Number of documents required to import goods across borders decreased [SI 4.2.1 – 17] <sup>16</sup> | <p>See standard indicator handbook<sup>17</sup></p> <p><b>Detailed Definition:</b> All documents required per shipment to import goods are recorded. It is assumed that the contract has already been agreed upon and signed by both parties. Documents required for clearance by government ministries, customs authorities, port and container terminal authorities, health and technical control agencies and banks are taken into account. Since payment is by letter of credit, all documents required by banks for the issuance or securing of a letter of credit are also taken into account. Documents that are renewed annually and that do not require renewal per shipment (for example, an annual tax clearance certificate) are not included.</p> <p><b>Unit of Measure:</b> Number</p> | World Bank Doing Business Indicators | Available online <sup>17</sup> | Country          | Annual                                 | Calculate change in number of documents and overall ranking from T1-T2. |                              |

<sup>16</sup> USAID standard indicator

<sup>17</sup> <http://www.state.gov/documents/organization/115255.pdf>

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                      |                                    |                    |                                        |                                                                                                              |                                                                                                                                                                             |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|------------------------------------|--------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                            | Data Sources                         | Data Collection Method(s)          | Disaggregated by   | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                      | Person Responsible/<br>Notes                                                                                                                                                |
| Lead time to export, median case                      | <b>Detailed Definition:</b> Lead time to export is the median time (the value for 50 percent of shipments) from shipment point to port of loading. Data are from the Logistics Performance Index survey.<br><b>Unit of Measure:</b> Days                                                                                                                                                                                                  | Logistics Performance Index          | Executive Survey; Available online | Component; Country | Annual                                 | Calculate change in ranking and score on individual component from T1-T2. Compare to average country rating. |                                                                                                                                                                             |
| Cost to import                                        | <b>Detailed Definition:</b> Cost measures the fees levied on a 20-foot container in U.S. dollars (dry cargo, full container load). All the fees associated with completing the procedures to export or import the goods are included. These include costs for documents, administrative fees for customs clearance and technical control, customs broker fees, terminal handling charges and inland transport.<br><b>Unit of Measure:</b> | World Bank Doing Business Indicators | Available online                   | Country            | Annual                                 | Calculate change in cost and ranking from T1-T2. Compare to average cost for other countries.                | Includes cost of documents, administrative fees for customs clearance, customs broker fees, terminal handling, inland transport, but not tariffs, duties or ocean transport |

| Intended Results and Candidate Performance Indicators       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                      |                           |                  |                                        |                                                                                                  |                              |
|-------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------|------------------|----------------------------------------|--------------------------------------------------------------------------------------------------|------------------------------|
| Performance Indicator                                       | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                    | Data Sources                         | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                          | Person Responsible/<br>Notes |
| Cost to export                                              | <p><b>Detailed Definition:</b> Cost measures the fees levied on a 20-foot container in U.S. dollars (dry cargo, full container load). All the fees associated with completing the procedures to export or import the goods are included. These include costs for documents, administrative fees for customs clearance and technical control, customs broker fees, terminal handling charges and inland transport.</p> <p><b>Unit of Measure:</b> \$US Dollars</p> | World Bank Doing Business Indicators | Available online          | Country          | Annual                                 | Calculate change in cost and ranking from T1-T2. Compare to average cost for other countries.    | As above                     |
| Perceived efficiency of customs and other border procedures | <p><b>Detailed Definition:</b> Efficiency of the clearance process, i.e., speed, simplicity and predictability of formalities by border control agencies</p> <p><b>Unit of Measure:</b> Rating</p>                                                                                                                                                                                                                                                                | Logistics Performance Index          | Available online          | Country          | Periodic; not yet published annually   | Calculate change in efficiency and ranking from T1-T2. Compare to other country average ranking. |                              |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                             |                             |                           |                  |                                        |                                                                                                          |                                          |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------------------------|------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------|------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                              | Data Sources                | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                  | Person Responsible/<br>Notes             |
| Perceived timeliness of shipments                     | <p><b>Detailed Definition:</b><br/>Timeliness of shipments in reaching destination within the scheduled or expected delivery time</p> <p><b>Unit of Measure:</b> Rating</p> | Logistics Performance Index | Available online          | Country          | Periodic                               | Calculate change in timeliness and overall ranking from T1-T2. Compare to other country average ranking. | This index is not yet published annually |

## Performance Indicator Candidates

### Customs Modernization

#### Illustrative Project Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator        | Definition/<br>Unit of Measure                                                                                                                                                       | Data Sources                        | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule      | Data Analysis Method(s)                                                                              | Notes /Person Responsible           |
|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|---------------------------|------------------|---------------------------------------------|------------------------------------------------------------------------------------------------------|-------------------------------------|
| <b>Result</b>                | Customs/Other Border Clearance Procedures Modernized                                                                                                                                 |                                     |                           |                  |                                             |                                                                                                      |                                     |
| Burden of customs procedures | <b>Detailed Definition:</b> Rating from 1-7 measuring business executives' perceptions of country's efficiency of customs procedures <sup>18</sup><br><b>Unit of Measure:</b> Rating | World Competitiveness Report (6.13) | Executive survey          | Country          | Annual; previous years not available online | Calculate change in rating and overall ranking from T1-T2. Compare to other country average ranking. | Not always available electronically |

<sup>18</sup> <http://data.worldbank.org/indicator/IQ.WEF.CUST.XQ>

| Intended Results and Candidate Performance Indicators |                                                                                                                                                              |                        |                                                                                          |                  |                                                                                                                              |                                  |                                                                                                   |
|-------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------|----------------------------------|---------------------------------------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                               | Data Sources           | Data Collection Method(s)                                                                | Disaggregated by | Data Collection Frequency and Schedule                                                                                       | Data Analysis Method(s)          | Notes /Person Responsible                                                                         |
| Time to clear customs                                 | <b>Detailed Definition:</b> The cost required by shippers/exporters to clear customs at ports, airports, borders, etc.<br><b>Unit of Measure:</b> Hours/days | Customs Administration | Obtain directly from Customs Administration, processed or unprocessed on a monthly basis | Imports/exports  | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Construct average                | From the time the shipper submits documents/goods until Customs Administration clears those goods |
| Number of documents required to clear customs         | <b>Detailed Definition:</b> Number of documents required by shippers to pass goods through customs<br><b>Unit of Measure:</b> Number                         | Customs Administration | Obtain directly from Customs Administration, processed or unprocessed on a monthly basis | Imports/exports  | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Average/change from year to year |                                                                                                   |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                  |                        |                                                                                                                   |                  |                                                                                                                              |                                  |                                                                   |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                   | Data Sources           | Data Collection Method(s)                                                                                         | Disaggregated by | Data Collection Frequency and Schedule                                                                                       | Data Analysis Method(s)          | Notes /Person Responsible                                         |
| Cost to clear customs                                 | <b>Detailed Definition:</b> US \$ (fees levied on a 20 foot container) (subset of cost to import)<br><b>Unit of Measure:</b> \$US                                | Customs Administration | Obtain directly from Customs Administration, processed or unprocessed on a monthly basis                          | Imports/ exports | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Average/change from year to year | Costs limited to those directly associated with customs clearance |
| Value of customs revenue                              | <b>Detailed Definition:</b> The value in \$US of net revenue brought in by imported and exported goods through country Customs.<br><b>Unit of Measure:</b> US \$ | Customs Administration | Obtain published data or obtain directly from Customs Administration, processed or unprocessed on a monthly basis | Imports/ exports | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Average/change from year to year |                                                                   |
| <b>Outputs</b>                                        |                                                                                                                                                                  |                        |                                                                                                                   |                  |                                                                                                                              |                                  |                                                                   |

| Intended Results and Candidate Performance Indicators |                                                                                             |                        |                                 |                                     |                                                                                                                         |                         |                           |
|-------------------------------------------------------|---------------------------------------------------------------------------------------------|------------------------|---------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------|-------------------------|---------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                              | Data Sources           | Data Collection Method(s)       | Disaggregated by                    | Data Collection Frequency and Schedule                                                                                  | Data Analysis Method(s) | Notes /Person Responsible |
| Risk management improved/upgraded, e.g., green line   | <b>Detailed Definition:</b> Country specific list of changes<br><b>Unit of Measure:</b> N/A | Customs Administration | Records/interviews/ observation | By location, including land borders | Observations of improvements will be made annually at the Customs Administration offices by IP staff or local designees | N/A                     |                           |
| Physical inspection procedures upgraded/improved      | <b>Detailed Definition:</b> Country specific list of changes<br><b>Unit of Measure:</b> N/A | Customs Administration | Records/interviews/ Observation | By location, including land borders | Observations of improvements will be made annually at the Customs Administration offices by IP staff or local designees | N/A                     |                           |
| Paper procedures shifted to electronic                | <b>Detailed Definition:</b> Country specific list of changes<br><b>Unit of Measure:</b> N/A | Customs Administration | Records/interviews/ observation | By location, including land borders | Observations of improvements will be made annually at the Customs Administration offices by IP staff or local designees | N/A                     |                           |



| Intended Results and Candidate Performance Indicators                         |                                                                                                  |                                            |                                                                                                                                                   |                                                                                     |                                                                                                                                         |                         |                                                                                                                       |
|-------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                         | Definition/<br>Unit of Measure                                                                   | Data Sources                               | Data Collection Method(s)                                                                                                                         | Disaggregated by                                                                    | Data Collection Frequency and Schedule                                                                                                  | Data Analysis Method(s) | Notes /Person Responsible                                                                                             |
| Systems simplified                                                            | <b>Detailed Definition:</b> Country specific list of changes<br><b>Unit of Measure:</b> N/A      | Customs Administration                     | Records/interviews/ observation                                                                                                                   | By location, including land borders                                                 | Observations of improvements will be made annually at the Customs Administration offices by IP staff or local designees                 | N/A                     |                                                                                                                       |
| Supervisor ratings of customs staff skill in applying new/upgraded procedures | <b>Detailed Definition:</b> Comparison of performance to norms<br><b>Unit of Measure:</b> Rating | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on observing performance | By location (if more than one Customs unit is involved) and by sex of staff member. | Rating form for comparing performance by Supervisor staff in Customs Administration will be completed bi-annually for each staff member | Average                 | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                   |                                                                |                  |                                        |                         |                           |
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| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Data Sources                                                                      | Data Collection Method(s)                                      | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes /Person Responsible |
| Establishment of a national Customs website*          | <p><b>Detailed Definition:</b><br/>The existence of a national Customs website that makes available a minimal set of information related to import or export procedures in one of the official WTO languages. An official Customs website should at least cover the description of importation, exportation and transit procedures, electronic links to the forms and documents required, and the relevant legislation.</p> <p>A national Customs website can be part of a wider website like the Ministry of Trade and Finance website.</p> <p><b>Unit of Measure:</b> Existence of website</p> | OECD <i>Trade Facilitation Indicators: the Impact on Trade Costs</i> (Variable 1) | Confirm the existence with the National Customs Administration | N/A              | Once                                   | N/A                     |                           |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                    |                        |                                                                                                                   |                  |                                                                                                                              |                         |                           |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------|-------------------------|---------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                     | Data Sources           | Data Collection Method(s)                                                                                         | Disaggregated by | Data Collection Frequency and Schedule                                                                                       | Data Analysis Method(s) | Notes /Person Responsible |
| Number of users of online customs forms               | <p><b>Detailed Definition:</b><br/>Number of exporters/importers/ relevant actors that use online customs forms</p> <p><b>Unit of Measure:</b> Number of visits to the website by unique users</p> | Customs Administration | Obtain published data or obtain directly from Customs Administration, processed or unprocessed on a monthly basis | Sex of user      | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Aggregate               |                           |
| Number of customs forms processed online              | <p><b>Detailed Definition:</b><br/>Number of customs forms that are processed online by the Customs Administration to import/export</p> <p><b>Unit of Measure:</b> Number of forms</p>             | Customs Administration | Obtain published data or obtain directly from Customs Administration, processed or unprocessed on a monthly basis | Sex of user      | Data will be collected monthly from Customs Administration (to minimize problems with data recall over long periods of time) | Aggregate               |                           |
| Inputs                                                |                                                                                                                                                                                                    |                        |                                                                                                                   |                  |                                                                                                                              |                         |                           |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                                                       |                  |                                        |                                           |                                        |                                             |                           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------|-------------------------------------------|----------------------------------------|---------------------------------------------|---------------------------|
| Performance Indicator                                                                                                                                        | Definition/<br>Unit of Measure                                                                                        | Data Sources     | Data Collection Method(s)              | Disaggregated by                          | Data Collection Frequency and Schedule | Data Analysis Method(s)                     | Notes /Person Responsible |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>19</sup> | <b>Detailed Definition:</b> See standard indicator handbook <sup>20</sup><br><b>Unit of Measure:</b> Days             | Activity records | Log of days                            | Customs unit                              | Annual or more frequently              | Tally                                       |                           |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>21</sup>                       | <b>Detailed Definition:</b> See standard indicator handbook <sup>22</sup><br><b>Unit of Measure:</b> Hours X trainees | Activity records | Log of trainee hours spent in training | Sex of respondent; location of respondent | Annual or more frequently              | Tally of total hours. Compare with targets. |                           |

<sup>19</sup> USAID standard indicator

<sup>20</sup> <http://www.state.gov/documents/organization/101765.pdf>

<sup>21</sup> USAID standard indicator

<sup>22</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| Intended Results and Candidate Performance Indicators                                                                     |                                                                                                                                |                                                                                                      |                                                                                                    |                                                                   |                                        |                                                        |                                     |
|---------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|--------------------------------------------------------|-------------------------------------|
| Performance Indicator                                                                                                     | Definition/<br>Unit of Measure                                                                                                 | Data Sources                                                                                         | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                | Notes /Person Responsible           |
| Number of counterpart/ stakeholder direct recipients of trade and investment capacity building technical assistance.      | <b>Detailed Definition:</b> Number of people receiving technical assistance from the Project<br><b>Unit of Measure:</b> Number | Technical Assistance provider training and technical assistance logs of assistance provided          | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally of total numbers by year. Compare with targets.  | Set up log to avoid double counting |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG | <b>Detailed Definition:</b> Number of trainees<br><b>Unit of Measure:</b> Number                                               | Project training attendance lists                                                                    | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally of total numbers, by year. Compare with targets. | Set up log to avoid double counting |
| Information technology hardware and software and other equipment installed                                                | <b>Detailed Definition:</b> Type and amounts<br><b>Unit of Measure:</b> N/A                                                    | Will be obtained by site visits to Customs Administration office and direct observation of equipment | Direct Observation/ Project Records                                                                | N/A                                                               | Annual or more frequently              | N/A                                                    |                                     |

## Performance Indicator Candidates

### Advance Rulings

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                                                      | Definition/<br>Unit of Measure                                                                                                                                                 | Data Sources           | Data Collection Method(s)                                                                                       | Disaggregated by                                                                                                 | Data Collection Frequency and Schedule | Data Analysis Method(s)                                         | Notes on Indicator/Person Responsible             |
|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------------------------|---------------------------------------------------|
| <b>Result</b>                                                                              | WTO trade facilitation draft compliant procedures on advance rulings implemented.                                                                                              |                        |                                                                                                                 |                                                                                                                  |                                        |                                                                 |                                                   |
| Number of advance rulings requested, disaggregated by electronic and hard copy submission. | <b>Detailed Definition:</b><br>Number of request forms submitted to relevant customs unit in both hard copy and by electronic submissions<br><b>Unit of Measure:</b><br>Number | Customs Administration | Maintain a request log on which both hard and electronic requests are entered, and type of submission is noted. | Type of submission – online or hard copy; possibly also disaggregated by sex of importer/head of importing firm) | Annual or more frequently              | Aggregated if more than one Customs unit maintains request logs | Monthly count during early stages could be useful |

| Intended Results and Candidate Performance Indicators              |                                                                                                                                                                                                                                                                             |                                                     |                                                                                                                                            |                                                                                                                                               |                                                     |                                                                 |                                                             |
|--------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|-----------------------------------------------------------------|-------------------------------------------------------------|
| Performance Indicator                                              | Definition/<br>Unit of Measure                                                                                                                                                                                                                                              | Data Sources                                        | Data Collection Method(s)                                                                                                                  | Disaggregated by                                                                                                                              | Data Collection Frequency and Schedule              | Data Analysis Method(s)                                         | Notes on Indicator/Person Responsible                       |
| Number of advance rulings issued                                   | <b>Detailed Definition:</b><br>Numbers of rulings issued in favor of the exporter by the responsible customs unit<br><b>Unit of Measure:</b><br>Number                                                                                                                      | Customs Administration , advance rulings department | Maintain a request log on which dates requests was received and response date, as well as disposition are recorded.                        | Customs unit, if more than one unit receives/ processes these requests; possibly also disaggregated by sex of importer/head of importing firm | Annual or more frequently                           | Aggregated if more than one Customs unit maintains request logs | Monthly count during early stages could be useful           |
| Average time from request to issuance of advance ruling or denial. | <b>Detailed Definition:</b><br>This indicator looks at the average numbers of days it takes to issue an advance rulings ruling to requestor. The count begins from the time the requestor submits the paperwork online or from the time it is postmarked at the post-office | Customs Administration – advance ruling department  | Obtain directly from Customs Administration, processed or unprocessed on a monthly basis (depending on the frequency of requests received) | Customs unit, if more than one unit receives/ processes these requests.; type of request (online vs hard copy submission)                     | Quarterly to avoid issues with counting and recall. | Calculate average/Average across quarters and years             | Baseline needed/ Monthly average during early stages useful |

| Intended Results and Candidate Performance Indicators                                                      |                                                                                                                                                                 |                        |                                                                                                                     |                                                                                                       |                                        |                                                                                      |                                                   |
|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------|---------------------------------------------------|
| Performance Indicator                                                                                      | Definition/<br>Unit of Measure                                                                                                                                  | Data Sources           | Data Collection Method(s)                                                                                           | Disaggregated by                                                                                      | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                              | Notes on Indicator/Person Responsible             |
|                                                                                                            | <b>Unit of Measure:</b> Days                                                                                                                                    |                        |                                                                                                                     |                                                                                                       |                                        |                                                                                      |                                                   |
| Percentage of advance rulings (a) issued within promised/published time frame; (b) issued late, (c) denied | <b>Detailed Definition:</b> Percentage calculated of advanced rulings issued by issuing office: within timeframe, late, and denied<br><b>Unit of Measure:</b> % | Customs Administration | Maintain a request log on which dates requests was received and response date, as well as disposition are recorded. | Customs unit, if more than one unit receives/ processes these requests; sex of requestor; export type | Annual or more frequently              | Aggregated if more than one Customs unit maintains request logs/Average across years | Monthly count during early stages could be useful |
| Percentage of shipments that actually clear customs based on advance rulings                               | <b>Detailed Definition:</b> Percentage of shipments clearing customs based on advanced rulings<br><b>Unit of Measure:</b> Ratio/percentage                      | Customs Administration | Obtain directly from Customs Administration, processed or unprocessed                                               | Customs unit, if more than one; border/airport/ etc                                                   | Annual or more frequently              | Calculate percentage                                                                 | Baseline needed for comparison                    |
| Average time for goods to clear customs                                                                    | <b>Detailed Definition:</b> This indicator looks at the average numbers of days it takes exported/impor                                                         | Customs authority      | Customs time in/out log, tagged by whether advance ruling is involved                                               | With and without an advance ruling; Customs office type (airport, border, etc)                        | Annual or more frequently              | Calculate average                                                                    | Baseline needed for comparison                    |



| Intended Results and Candidate Performance Indicators                                                         |                                                                                                                                                                                                                                                              |                                        |                                                                                                                |                   |                                        |                          |                                                                |
|---------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------|-------------------|----------------------------------------|--------------------------|----------------------------------------------------------------|
| Performance Indicator                                                                                         | Definition/<br>Unit of Measure                                                                                                                                                                                                                               | Data Sources                           | Data Collection Method(s)                                                                                      | Disaggregated by  | Data Collection Frequency and Schedule | Data Analysis Method(s)  | Notes on Indicator/Person Responsible                          |
|                                                                                                               | ted goods to clear customs. The count begins from the time the goods arrive at the port or border and ends when the goods are released from customs to its next destination (freight forwarder, buyer, etc)<br><b>Unit of Measure:</b><br>Minutes/hours/days |                                        |                                                                                                                |                   |                                        |                          |                                                                |
| Updated advance ruling procedures/forms readily available on line/in hard copy forms at appropriate locations | <b>Detailed Definition:</b><br>Presence of forms where they are reportedly located                                                                                                                                                                           | Customs website and physical locations | Observation/verification by activity or Customs Administration staff – compare actual to reported availability | Online, hard copy | Annual or more frequently              | Routine check of website | Customer involvement in data collection could highlight issues |
| Number of downloads of advance ruling procedures/forms                                                        | <b>Detailed Definition:</b><br>Number of times forms are downloaded from the customs' form                                                                                                                                                                   | Customs Administration IT unit         | Requires activation of a download counter on access pages                                                      | Type of user      | Annual or more frequently              | Tally                    | Monthly count during early stages could be useful              |

| Intended Results and Candidate Performance Indicators                                                          |                                                                                                                                               |                                            |                                                                                                                                                   |                                                                                     |                                                        |                                 |                                                                                                                       |
|----------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------------|---------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                          | Definition/<br>Unit of Measure                                                                                                                | Data Sources                               | Data Collection Method(s)                                                                                                                         | Disaggregated by                                                                    | Data Collection Frequency and Schedule                 | Data Analysis Method(s)         | Notes on Indicator/Person Responsible                                                                                 |
|                                                                                                                | webpage<br><b>Unit of Measure:</b><br>Number                                                                                                  |                                            |                                                                                                                                                   |                                                                                     |                                                        |                                 |                                                                                                                       |
| <b>Output level</b>                                                                                            |                                                                                                                                               |                                            |                                                                                                                                                   |                                                                                     |                                                        |                                 |                                                                                                                       |
| Evidence of completion of implementation package/action plan, e.g., checklist                                  | <b>Detailed Definition:</b><br>Number of steps completed compared to number to be completed                                                   | Customs Administration                     | Construct and complete a checklist noting date each action plan item is completed                                                                 | N/A                                                                                 | Continuously until all action plan items are completed | Simple comparison               | Ensure standardization of term "completion"                                                                           |
| Supervisor ratings of customs staff skill in applying new/upgraded advance ruling procedures                   | <b>Detailed Definition:</b><br>Comparison of performance to norms<br><b>Unit of Measure:</b><br>Rating                                        | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on observing performance | By location (if more than one Customs unit is involved) and by sex of staff member. | Annually or more frequently                            | Calculate average for all staff | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |
| Signed document demonstrating passage/adoption of a WTO trade facilitation compliant advance ruling procedures | <b>Detailed Definition:</b><br>Signed document demonstrating passage/adoption of a WTO trade facilitation compliant advance ruling procedures | Signed law, order or other document.       | Ask Customs Administration                                                                                                                        | N/A                                                                                 | One time                                               | N/A                             |                                                                                                                       |

| Intended Results and Candidate Performance Indicators                                                                                                               |                                                                                                            |                               |                                                                                          |                                                                   |                                        |                                                               |                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------|------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|---------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                               | Definition/<br>Unit of Measure                                                                             | Data Sources                  | Data Collection Method(s)                                                                | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                       | Notes on Indicator/Person Responsible |
| Number of documents required to obtain an advance ruling (or change in number of documents required)                                                                | <b>Detailed Definition:</b> Number of forms requester must complete<br><b>Unit of Measure:</b> Number      | Customs Administration        | Ask Customs Administration                                                               | Requester type – categories will be determined on a project basis | Annual                                 | Calculate average                                             |                                       |
| Evidence of publication of (a) requirements for application of advance ruling; (b) time period for issuing (i.e., not more than 150 days); (c) duration of validity | <b>Detailed Definition:</b> Presence of publication where they are reportedly located                      | Customs Administration        | Comparison of what is published to what draft WTO trade facilitation agreement envisions | N/A                                                               | Initially, annual update               |                                                               |                                       |
| Evidence of importer level of awareness of advance ruling procedures                                                                                                | <b>Detailed Definition:</b> Knowledge of procedures as evidenced by a customer survey focused on knowledge | Importers; freight forwarders | Customer survey focused on respondents knowledge of advance ruling procedure             | Sex of respondent; location of respondent                         | Annual                                 | Frequency distribution by answer; cross-tabs by sex, location |                                       |
| <b>Input level</b>                                                                                                                                                  |                                                                                                            |                               |                                                                                          |                                                                   |                                        |                                                               |                                       |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                                                              |                  |                                                                                                    |                                                                   |                                        |                                                                                   |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/<br>Unit of Measure                                                                                               | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                           | Notes on Indicator/Person Responsible |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>23</sup> | <b>Detailed Definition:</b> See standard indicator handbook <sup>24</sup><br><b>Unit of Measure:</b> Days                    | Activity records | Log of days to avoid double counting                                                               | Customs unit                                                      | days                                   | Aggregate number of hours yearly; compare average number of hours per year        |                                       |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>25</sup>                       | <b>Detailed Definition:</b> Hours x trainees. See standard indicator handbook <sup>26</sup><br><b>Unit of Measure:</b> Hours | Activity records | Log of trainee hours spent in training                                                             | Sex of respondent; location of respondent                         | Annual or more frequently              | Aggregate number of hours yearly; compare average number of hours per year        |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.                                          | <b>Detailed Definition:</b> Number of people<br><b>Unit of Measure:</b> Number                                               | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Aggregate number of stakeholders yearly; compare average number of hours per year |                                       |
| Number of individuals trained during person hours of trade and                                                                                               | <b>Detailed Definition:</b> Number of trainees                                                                               | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals                       | Annual or more frequently              | Aggregate number of people yearly; compare                                        | Set up log to avoid double counting   |

<sup>23</sup> USAID standard indicator

<sup>24</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>25</sup> USAID standard indicator

<sup>26</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| Intended Results and Candidate Performance Indicators                                                                                                                         |                                   |              |                           |                       |                                        |                                  |                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|--------------|---------------------------|-----------------------|----------------------------------------|----------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                                         | Definition/<br>Unit of Measure    | Data Sources | Data Collection Method(s) | Disaggregated by      | Data Collection Frequency and Schedule | Data Analysis Method(s)          | Notes on Indicator/Person Responsible |
| investment capacity building training supported by the USG                                                                                                                    | <b>Unit of Measure:</b><br>Number |              |                           | (which customs units) |                                        | average number of hours per year |                                       |
| Indicators specific to Country X awareness raising campaign for importers, e.g., number of radio spots, mailers sent, etc., including estimated numbers of importers reached. | <b>Detailed Definition:</b> TBD   | TBD          | TBD                       | TBD                   | TBD                                    | TBD                              |                                       |

## Performance Indicator Candidates

### Pre-Arrival Processing/Early Release of Goods

#### Illustrative Component/Activity Performance Indicators Worksheet

| Intended Results and Candidate Performance Indicators       |                                                                                                                                                                  |                   |                                                                       |                              |                                        |                                                                                                 |                                       |
|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------------------------------------------------------|------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                       | Definition/<br>Unit of Measure                                                                                                                                   | Data Sources      | Data Collection Method(s)                                             | Disaggregated by             | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                         | Notes on Indicator/Person Responsible |
| <b>Result</b>                                               |                                                                                                                                                                  |                   |                                                                       |                              |                                        |                                                                                                 |                                       |
| Number of shipments preceded by pre-arrival submissions     | <b>Detailed Definition:</b><br>Total number of shipments that are preceded by submission of necessary pre-arrival documents<br><b>Unit of Measure:</b><br>Number | Customs Authority | Customs forms and back up materials; financial instrument if required |                              | Monthly                                | Aggregate number of shipments monthly, quarterly and yearly. Compare yearly aggregations.       |                                       |
| Percentage of shipments preceded by pre-arrival submissions | <b>Detailed Definition:</b><br>Percentage of shipments preceded by pre-arrival submissions<br><br><b>Unit of Measure:</b> %                                      | Customs Authority | Customs forms and back up materials; financial instrument if required |                              | Monthly                                | Calculate number of shipments with pre-arrival submissions divided by total number of shipments |                                       |
| Average time between shipment arrival and release           | <b>Detailed Definition:</b><br>the average                                                                                                                       | Customs Authority | Customs forms and back up materials; financial instrument if required | With and without pre-arrival | Monthly                                | Calculate average                                                                               |                                       |

| Intended Results and Candidate Performance Indicators                                                |                                                                                                                |                                            |                                                                                                                             |                                                                                     |                                        |                         |                                                                                                                       |
|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|--------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|----------------------------------------|-------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                | Definition/<br>Unit of Measure                                                                                 | Data Sources                               | Data Collection Method(s)                                                                                                   | Disaggregated by                                                                    | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                                                                 |
|                                                                                                      | amount of time it takes between a good's arrival and its release<br><b>Unit of Measure:</b><br>Days (or hours) |                                            |                                                                                                                             | submission                                                                          |                                        |                         |                                                                                                                       |
| Updated pre-arrival customs forms readily available online                                           | <b>Detailed Definition:</b><br>Presence of forms where they are reportedly located                             | Customs website                            | Observation                                                                                                                 | N/A                                                                                 | Day/week/<br>Month/year                |                         |                                                                                                                       |
| Number of downloads                                                                                  | <b>Detailed Definition:</b><br># of times forms are downloaded<br><b>Unit of Measure:</b><br>Number            | Website log                                | Requires activation of a download counter on access pages.                                                                  | Type of user                                                                        | Annual or more frequently              | Tally/Calculate Average | Compare with # of online submissions                                                                                  |
| <b>Output level</b>                                                                                  |                                                                                                                |                                            |                                                                                                                             |                                                                                     |                                        |                         |                                                                                                                       |
| Supervisor ratings of customs staff skill in applying new/upgraded pre-arrival processing procedures | <b>Detailed Definition:</b><br>Comparison of performance to norms<br><b>Unit of Measure:</b>                   | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on | By location (if more than one Customs unit is involved) and by sex of staff member. | Annually or more frequently            |                         | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |

| Intended Results and Candidate Performance Indicators                                                                                         |                                                                                          |                                            |                                                                                                                                                   |                                                                                     |                                                        |                         |                                                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                                                         | Definition/ Unit of Measure                                                              | Data Sources                               | Data Collection Method(s)                                                                                                                         | Disaggregated by                                                                    | Data Collection Frequency and Schedule                 | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                                                                 |
|                                                                                                                                               | Rating                                                                                   |                                            | observing performance                                                                                                                             |                                                                                     |                                                        |                         |                                                                                                                       |
| Signed document demonstrating passage/adoption of a WTO trade facilitation compliant pre-arrival processing/early release of goods procedures | <b>Detailed Definition:</b> Evidence of signed documents                                 | Signed law, order or other document.       | Ask Customs Administration                                                                                                                        | N/A                                                                                 | One time                                               | N/A                     |                                                                                                                       |
| Evidence of completion of implementation package/action plan, e.g., checklist                                                                 | <b>Detailed Definition:</b> Number of steps completed compared to number to be completed | Customs Administration                     | Construct and complete a checklist noting date each action plan item is completed                                                                 | N/A                                                                                 | Continuously until all action plan items are completed | Simple comparison       |                                                                                                                       |
| Supervisor ratings of customs staff skill in applying new/upgraded pre-arrival customs processing procedures                                  | <b>Detailed Definition:</b> Comparison of performance to norms                           | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on observing performance | By location (if more than one Customs unit is involved) and by sex of staff member. | Annually or more frequently                            | Calculate average       | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |
| Number of documents required to for pre-arrival customs processing (or change in number of documents required)                                | <b>Detailed Definition:</b> Number of forms requester must complete                      | Customs Administration                     | Ask Customs Administration                                                                                                                        | Requester type – categories will be determined on a project basis                   | Annual                                                 | Calculate average       |                                                                                                                       |



| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                          |                               |                                                                                          |                                           |                                        |                                                               |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|-------------------------------|------------------------------------------------------------------------------------------|-------------------------------------------|----------------------------------------|---------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/<br>Unit of Measure                                                           | Data Sources                  | Data Collection Method(s)                                                                | Disaggregated by                          | Data Collection Frequency and Schedule | Data Analysis Method(s)                                       | Notes on Indicator/Person Responsible |
|                                                                                                                                                              | <b>Unit of Measure:</b><br>Number                                                        |                               |                                                                                          |                                           |                                        |                                                               |                                       |
| Evidence of publication of (a) requirements for pre-arrival processing                                                                                       | <b>Detailed Definition:</b><br>Presence of publication where they are reportedly located | Customs Administration        | Comparison of what is published to what draft WTO trade facilitation agreement envisions | N/A                                       | Initially, annual update               | N/A                                                           |                                       |
| Evidence of importer level of awareness of pre-arrival processing procedures                                                                                 | <b>Detailed Definition:</b><br>Knowledge of procedures                                   | Importers; freight forwarders | Customer survey focused on respondents knowledge of pre-arrival processing procedure     | Sex of respondent; location of respondent | Annual                                 | Frequency distribution by answer; cross-tabs by sex, location |                                       |
| <b>Input level</b>                                                                                                                                           |                                                                                          |                               |                                                                                          |                                           |                                        |                                                               |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>27</sup> | <b>Detailed Definition:</b><br>Days. See standard indicator handbook <sup>28</sup>       | Activity records              | Log of days                                                                              | Customs unit                              | Annual or more frequently              | Tally                                                         |                                       |
| Person hours of training completed in trade and investment capacity building supported by                                                                    | <b>Detailed Definition:</b><br>Hours x trainees. See                                     | Activity records              | Log of trainee hours spent in training                                                   | Sex of respondent; location of respondent | Annual or more frequently              | Tally                                                         | Set up log to avoid double counting   |

<sup>27</sup> USAID standard indicator

<sup>28</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| Intended Results and Candidate Performance Indicators                                                                                                                         |                                                                                          |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                                         | Definition/<br>Unit of Measure                                                           | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
| USG assistance [SI 4.2.1 – 19] <sup>29</sup>                                                                                                                                  | standard indicator handbook <sup>30</sup><br><b>Unit of Measure:</b><br>Hours            |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.                                                           | <b>Detailed Definition:</b><br>Number of people<br><br><b>Unit of Measure:</b><br>Number | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG                                                     | <b>Detailed Definition:</b><br>Number of trainees<br><b>Unit of Measure:</b><br>Number   | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Indicators specific to Country X awareness raising campaign for importers, e.g., number of radio spots, mailers sent, etc., including estimated numbers of importers reached. | <b>Detailed Definition:</b><br>TBD                                                       | TBD              | TBD                                                                                                | TBD                                                               | TBD                                    | TBD                     |                                       |

<sup>29</sup> USAID standard indicator

<sup>30</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

## Performance Indicator Candidates

### Expedited Shipping

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                              | Definition/<br>Unit of Measure                                                                                               | Data Sources           | Data Collection Method(s) | Disaggregated by                                                                                      | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------------|-------------------------------------------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| <b>Result</b>                                                      |                                                                                                                              |                        |                           |                                                                                                       |                                        |                         |                                       |
| Imports through qualified expedited shippers                       | <b>Detailed Definition:</b><br>Number, of shipments day/month<br><b>Unit of Measure:</b><br>Number                           | Customs Administration | Customs records           | Sex of expedited shipper(s), if individual, or sex of owner of producer/exporter firm; type of export | Month/year                             | Tally                   | Keep log to avoid double counting     |
| Percentage of imports shipped through qualified expedited shippers | <b>Detailed Definition:</b><br>Percentage of shipments; import volume; import value<br><b>Unit of Measure:</b><br>Percentage | Customs Administration | Customs records           | Sex of expedited shipper(s), if individual, or sex of owner of producer/exporter firm, type of export | Month/year                             | Calculate percentage    | Keep log to avoid double counting     |
| Average time to complete import procedures                         | <b>Detailed Definition:</b><br>Average number of days/hours it takes to complete all                                         | Customs Administration | Customs records           | With and without an expedited shipper status                                                          | Annual                                 | Calculate average       | Keep log to avoid double counting     |

| Intended Results and Candidate Performance Indicators |                                                                                                                                        |                        |                           |                                                    |                                        |                         |                                       |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------------|----------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                         | Data Sources           | Data Collection Method(s) | Disaggregated by                                   | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                       | required import procedures<br><b>Unit of Measure:</b><br>Hours/ Days                                                                   |                        |                           |                                                    |                                        |                         |                                       |
| Average cost to complete import procedures            | <b>Detailed Definition:</b><br>The average cost it takes to complete all required import procedures<br><b>Unit of Measure:</b><br>US\$ | Customs Administration | Customs records           | With and without an expedited shipper status       | Annual                                 | Calculate average       |                                       |
| Number of qualified expedited shippers                | <b>Detailed Definition:</b><br>The number of shippers that are approved as expedited shippers<br><b>Unit of Measure:</b><br>Number     | Customs Administration | Customs records           | By type of shipper                                 | Annual                                 | Tally/Change in Y1-Y2   |                                       |
| Number of applicants                                  | <b>Detailed Definition:</b><br>Number of shippers that apply to                                                                        | Customs Administration | Customs records           | By type of applicant.<br>Categories tbd by project | Annual                                 | Tally/Change in Y1-Y2   |                                       |

| Intended Results and Candidate Performance Indicators                                                      |                                                                                                                                                                        |                                            |                                                                                                                                                   |                                                                                     |                                        |                                      |                                                                                                                       |
|------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                      | Definition/<br>Unit of Measure                                                                                                                                         | Data Sources                               | Data Collection Method(s)                                                                                                                         | Disaggregated by                                                                    | Data Collection Frequency and Schedule | Data Analysis Method(s)              | Notes on Indicator/Person Responsible                                                                                 |
|                                                                                                            | become expedited shippers, regardless of application outcome                                                                                                           |                                            |                                                                                                                                                   |                                                                                     |                                        |                                      |                                                                                                                       |
| Number of weeks between application and approval                                                           | <b>Detailed Definition:</b><br>The number of weeks it takes for the average shipper from application submission to application approval. Aggregate of all applications | Customs Administration                     | Customs records                                                                                                                                   | N/A                                                                                 | Annual                                 | Tally/Calculate average across years | Start counting upon application submission date, not receipt date to date applicant is told of decision               |
| <b>Outputs</b>                                                                                             |                                                                                                                                                                        |                                            |                                                                                                                                                   |                                                                                     |                                        |                                      |                                                                                                                       |
| Supervisor ratings of customs staff skill in applying new/upgraded expedited shipper status and procedures | <b>Detailed Definition:</b><br>Comparison of performance to norms<br><b>Unit of Measure:</b><br>Rating                                                                 | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on observing performance | By location (if more than one Customs unit is involved) and by sex of staff member. | Annually or more frequently            | Calculate average rating             | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |
| Signed document adopting expedited shipper procedures                                                      | <b>Detailed Definition:</b><br>Evidence of                                                                                                                             | Customs Administration                     | Customs records                                                                                                                                   | N/A                                                                                 | One time                               | N/A                                  |                                                                                                                       |

| Intended Results and Candidate Performance Indicators                             |                                                                                                        |                        |                                                                                          |                  |                                        |                         |                                       |
|-----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|------------------------|------------------------------------------------------------------------------------------|------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                             | Definition/<br>Unit of Measure                                                                         | Data Sources           | Data Collection Method(s)                                                                | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                                                   | signed document adopting expedited shipper procedures                                                  |                        |                                                                                          |                  |                                        |                         |                                       |
| Evidence of publication of information on expedited shipper status and procedures | <b>Detailed Definition:</b> Presence of information where it is reportedly located on website          | Customs Administration | Comparison of what is published to what draft WTO trade facilitation agreement envisions | N/A              | Initially, annual update               | N/A                     |                                       |
| Number of forms required to qualify                                               | <b>Detailed Definition:</b> Number of forms that are required to qualify for expedited shipping status | Customs Administration | Customs records                                                                          | N/A              | Annual                                 | Tally                   |                                       |
| Number of applications downloaded                                                 | <b>Detailed Definition:</b> Number of applications that are downloaded by shippers from website        | Customs Administration | Customs records                                                                          |                  | Annual                                 | Tally                   |                                       |
| Cost to qualify                                                                   | <b>Detailed Definition:</b> Average cost                                                               | Customs Administration | Customs records                                                                          | N/A              | Annual                                 | Count                   |                                       |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                 |                               |                                                                                  |                                           |                                        |                                                               |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|-------------------------------|----------------------------------------------------------------------------------|-------------------------------------------|----------------------------------------|---------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/ Unit of Measure                                                     | Data Sources                  | Data Collection Method(s)                                                        | Disaggregated by                          | Data Collection Frequency and Schedule | Data Analysis Method(s)                                       | Notes on Indicator/Person Responsible |
|                                                                                                                                                              | it takes to qualify for expedited shipping status (application fee, etc)        |                               |                                                                                  |                                           |                                        |                                                               |                                       |
| Private sector/exporter awareness of expedited shipper procedures                                                                                            | <b>Detailed Definition:</b> Knowledge of procedures                             | Importers; freight forwarders | Customer survey focused on respondents knowledge of expedited shipper procedures | Sex of respondent; location of respondent | Annual                                 | Frequency distribution by answer; cross-tabs by sex, location |                                       |
| Inputs                                                                                                                                                       |                                                                                 |                               |                                                                                  |                                           |                                        |                                                               |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>31</sup> | <b>Detailed Definition:</b> Days. See standard indicator handbook <sup>32</sup> | Activity records              | Log of days                                                                      | Customs unit                              | Annual or more frequently              | Tally                                                         |                                       |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>33</sup>                       | <b>Detailed Definition:</b> Hours x trainees. See standard indicator            | Activity records              | Log of trainee hours spent in training                                           | Sex of respondent; location of respondent | Annual or more frequently              | Tally                                                         |                                       |

<sup>31</sup> USAID standard indicator

<sup>32</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>33</sup> USAID standard indicator

| Intended Results and Candidate Performance Indicators                                                                                                                         |                                                   |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                                         | Definition/<br>Unit of Measure                    | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                                                                                                                                               | handbook <sup>34</sup>                            |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.                                                           | <b>Detailed Definition:</b><br>Number of people   | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG                                                     | <b>Detailed Definition:</b><br>Number of trainees | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Indicators specific to Country X awareness raising campaign for importers, e.g., number of radio spots, mailers sent, etc., including estimated numbers of importers reached. | <b>Detailed Definition:</b><br>TBD                | TBD              | TBD                                                                                                | TBD                                                               | TBD                                    | TBD                     |                                       |

<sup>34</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.



## Performance Indicator Candidates

### Penalty Disciplines

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                        | Definition/<br>Unit of Measure                                                                      | Data Sources           | Data Collection Method(s) | Disaggregated by          | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|----------------------------------------------|-----------------------------------------------------------------------------------------------------|------------------------|---------------------------|---------------------------|----------------------------------------|-------------------------|---------------------------------------|
| <b>Result</b>                                |                                                                                                     |                        |                           |                           |                                        |                         |                                       |
| Average number of customs penalties issued   | <b>Detailed Definition:</b><br>Average number of customs penalties issues per month/year            | Customs Administration | Customs records           | Basis for/type of penalty | Annual                                 | Calculate average       |                                       |
| Average number of customs penalties appealed | <b>Detailed Definition:</b><br>Average number of customs penalties that are appealed per month/year | Customs Administration | Customs records           | Basis for/type of penalty | Annual                                 | Calculate average       |                                       |
| Average cost of appealing a penalty          | <b>Detailed Definition:</b><br>The average amount of money it takes, in US\$ to appeal a penalty    | Customs Administration | Customs records           | Type of penalty           | Annual                                 | Calculate average       |                                       |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                   |                          |                                                                                                                             |                                                                   |                                                  |                                                               |                                       |
|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|--------------------------------------------------|---------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                    | Data Sources             | Data Collection Method(s)                                                                                                   | Disaggregated by                                                  | Data Collection Frequency and Schedule           | Data Analysis Method(s)                                       | Notes on Indicator/Person Responsible |
|                                                       | <b>Unit of Measure:</b><br>US\$                                                                                                                                                                   |                          |                                                                                                                             |                                                                   |                                                  |                                                               |                                       |
| Perceived fairness of penalties                       | <b>Detailed Definition:</b><br>Perceived fairness of penalties as thought by shippers in a survey                                                                                                 | Private sector importers | Survey of private sector importers to assess whether penalties are viewed as being appropriate for the infractions involved | Sex of respondent;<br>location of respondent;<br>type of importer | Possibly once at the start, or in pre-test stage | Frequency distribution by answer; cross-tabs by sex, location |                                       |
| Average time to complete a customs penalty appeal     | <b>Detailed Definition:</b><br>The average time it takes to complete a customs penalty appeal from submission to ruling regardless of outcome<br><b>Unit of Measure:</b><br>Days/Hours/<br>Months | Customs Administration   | Customs records                                                                                                             | Type of penalty                                                   | Annual                                           | Calculate average                                             |                                       |
| Outcome ratio                                         | <b>Detailed Definition:</b><br>The ratio of appeals that prevail compared to those that do                                                                                                        | Customs Administration   | Customs records/                                                                                                            | Basis for/type of penalty                                         | Annual                                           | Calculate ratio                                               |                                       |

| Intended Results and Candidate Performance Indicators                                                               |                                                                                                        |                                            |                                                                                                                                                   |                                                                                     |                                        |                                                               |                                                                                                                       |
|---------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|----------------------------------------|---------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                               | Definition/<br>Unit of Measure                                                                         | Data Sources                               | Data Collection Method(s)                                                                                                                         | Disaggregated by                                                                    | Data Collection Frequency and Schedule | Data Analysis Method(s)                                       | Notes on Indicator/Person Responsible                                                                                 |
|                                                                                                                     | not prevail                                                                                            |                                            |                                                                                                                                                   |                                                                                     |                                        |                                                               |                                                                                                                       |
| Customs revenue from penalties                                                                                      | <b>Detailed Definition:</b><br>The amount of money in US\$ that comes from penalties given             | Customs Administration                     | Customs records                                                                                                                                   | Basis for/type of penalty                                                           | Annual                                 | Tally                                                         |                                                                                                                       |
| Importer/Exporter awareness of availability of information on new/modified penalties/appeal process                 | <b>Detailed Definition:</b><br>Knowledge of procedures                                                 | Importers; freight forwarders              | Customer survey focused on respondents knowledge of customs penalties and appeal procedures procedure                                             | Sex of respondent; location of respondent                                           | Annual                                 | Frequency distribution by answer; cross-tabs by sex, location |                                                                                                                       |
| <b>Output level</b>                                                                                                 |                                                                                                        |                                            |                                                                                                                                                   |                                                                                     |                                        |                                                               |                                                                                                                       |
| Supervisor ratings of customs staff skill in applying modified penalty structure and new/upgraded appeal procedures | <b>Detailed Definition:</b><br>Comparison of performance to norms<br><b>Unit of Measure:</b><br>Rating | Supervisor staff in Customs Administration | Requires the development of a rating form for comparing performance to norms; briefing/orientation for supervisor raters on observing performance | By location (if more than one Customs unit is involved) and by sex of staff member. | Annually or more frequently            | Calculate average rating                                      | Valuable at the start when close supervision can spot and correct errors. Differences between raters can be an issue. |
| Signed document documenting adoption or upgrading of penalties and customs penalty appeal procedures                | <b>Detailed Definition:</b><br>Evidence of documents                                                   | Customs Administration                     | Customs records                                                                                                                                   | N/A                                                                                 | One time                               | N/A                                                           |                                                                                                                       |
| Evidence of publication                                                                                             | <b>Detailed</b>                                                                                        | Customs                                    | Comparison of what                                                                                                                                | N/A                                                                                 | Initially,                             | N/A                                                           |                                                                                                                       |

| Intended Results and Candidate Performance Indicators                                                             |                                                                                                                                                                    |                        |                                                                       |                  |                                        |                                 |                                       |
|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-----------------------------------------------------------------------|------------------|----------------------------------------|---------------------------------|---------------------------------------|
| Performance Indicator                                                                                             | Definition/<br>Unit of Measure                                                                                                                                     | Data Sources           | Data Collection Method(s)                                             | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)         | Notes on Indicator/Person Responsible |
| of information on customs penalties and appeals procedures                                                        | <b>Definition:</b><br>Presence of information where it is reportedly located                                                                                       | Administration         | is published to what draft WTO trade facilitation agreement envisions |                  | annual update                          |                                 |                                       |
| Number of steps (documents) needed to pay a penalty                                                               | <b>Detailed Definition:</b><br>Number of steps                                                                                                                     | Customs Administration | Customs Records                                                       | By penalty type  | Annual                                 | Tally/Calculate change in Y2-Y1 |                                       |
| Number of steps (and documents) needed to appeal a customs penalty                                                | <b>Detailed Definition:</b><br>Number of steps required to appeal a customs penalty as required by the Customs Administration<br><b>Unit of Measure:</b><br>Number | Customs Administration | Customs Records                                                       | By penalty type  | Annual                                 | Tally/Calculate change in Y2-Y1 |                                       |
| <b>Inputs</b>                                                                                                     |                                                                                                                                                                    |                        |                                                                       |                  |                                        |                                 |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or | <b>Detailed Definition:</b><br>Days. See standard indicator handbook <sup>36</sup>                                                                                 | Activity records       | Log of days                                                           | Customs unit     | Annual or more frequently              | Tally                           |                                       |

| Intended Results and Candidate Performance Indicators                                                                                  |                                                                                                |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
|----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                                  | Definition/<br>Unit of Measure                                                                 | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
| stakeholders [SI 4.2.1 – 20] <sup>35</sup>                                                                                             |                                                                                                |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>37</sup> | <b>Detailed Definition:</b><br>Hours x trainees. See standard indicator handbook <sup>38</sup> | Activity records | Log of trainee hours spent in training                                                             | Sex of respondent; location of respondent                         | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.                    | <b>Detailed Definition:</b><br>Number of people                                                | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG              | <b>Detailed Definition:</b><br>Number of trainees                                              | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Information technology hardware and software and other equipment                                                                       | <b>Detailed Definition:</b><br>Type and amounts                                                | Activity records | Direct observation                                                                                 | N/A                                                               | Annual or more frequently              | N/A                     |                                       |
| Indicators specific to Country X awareness raising campaign for                                                                        | <b>Detailed Definition:</b><br>TBD                                                             | TBD              | TBD                                                                                                | TBD                                                               | TBD                                    | TBD                     |                                       |

<sup>36</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>35</sup> USAID standard indicator

<sup>37</sup> USAID standard indicator

<sup>38</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| <b>Intended Results and Candidate Performance Indicators</b>                                                  |                                    |                     |                                  |                         |                                               |                                |                                              |
|---------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------|----------------------------------------------|
| <b>Performance Indicator</b>                                                                                  | <b>Definition/ Unit of Measure</b> | <b>Data Sources</b> | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b> | <b>Notes on Indicator/Person Responsible</b> |
| importers, e.g., number of radio spots, mailers sent, etc., including estimated numbers of importers reached. |                                    |                     |                                  |                         |                                               |                                |                                              |

## Performance Indicator Candidates

### Internet Publication

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                                                                                                                                                                                   | Definition/<br>Unit of<br>Measure                                                                                                                       | Data<br>Sources | Data Collection<br>Method(s)           | Disaggregated<br>by                                                                                                                | Data<br>Collection<br>Frequency<br>and<br>Schedule | Data<br>Analysis<br>Method(s) | Notes on<br>Indicator/Person<br>Responsible                                                                                                                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Result</b>                                                                                                                                                                                                           |                                                                                                                                                         |                 |                                        |                                                                                                                                    |                                                    |                               |                                                                                                                                                            |
| Trade-related information consistent with the intent of Article I of the 10/7/11 consolidated draft of the WTO Trade Facilitation Agreement readily available online and in hard copy form at designated enquiry points | <b>Detailed Definition:</b><br>Individual users can obtain hard copies or download copies of all information subsumed under this Article.               | Government      | Structured or unstructured Observation | Items (a) to (j) of Article I; range of locations/enquiry points deemed to constitute "accessible" (physical and online locations) | Annual                                             | N/A                           | A number of these types of information are also discussed and indicators are included for other/specific WTO trade facilitation agreement draft provisions |
| Publications of trade-related information cross-referenced to alert private sector about all trade facilitation improvements when information on any one is pursued/obtained                                            | <b>Detailed Definition:</b><br>For example, publication on expedited shipper status contains links to information about advance rulings and pre-arrival | Government      | Structured or unstructured Observation | Type of information                                                                                                                | Annual review                                      | N/A                           |                                                                                                                                                            |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                             |                        |                                                                   |                                             |                                        |                         |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------|---------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/ Unit of Measure                                                                 | Data Sources           | Data Collection Method(s)                                         | Disaggregated by                            | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                                                                                                                              | processing procedures                                                                       |                        |                                                                   |                                             |                                        |                         |                                       |
| Number of downloads of trade information placed online pursuant to the draft WTO Trade Facilitation Agreement, Article I                                     | <b>Detailed Definition:</b> Number of downloads                                             | Customs Administration | Requires activation of a download counter on access pages.        | Type of information/user                    | Annual or more frequently              | Tally                   |                                       |
| Inputs                                                                                                                                                       |                                                                                             |                        |                                                                   |                                             |                                        |                         |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>39</sup> | <b>Detailed Definition:</b> Days. See standard indicator handbook <sup>40</sup>             | Activity records       | Log of days                                                       | Customs unit                                | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>41</sup>                       | <b>Detailed Definition:</b> Hours x trainees. See standard indicator handbook <sup>42</sup> | Activity records       | Log of trainee hours spent in training                            | Sex of respondent; location of respondent   | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of counterpart/stakeholder direct recipients of trade and investment                                                                                  | <b>Detailed Definition:</b> Number of people                                                | Activity records       | Log of individuals directly reached/assisted during days on which | Sex of individuals; location of individuals | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |

<sup>39</sup> USAID standard indicator

<sup>40</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>41</sup> USAID standard indicator

<sup>42</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.



| Intended Results and Candidate Performance Indicators                                                                     |                                                   |                  |                                  |                                                                   |                                        |                         |                                       |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------|----------------------------------|-------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                     | Definition/ Unit of Measure                       | Data Sources     | Data Collection Method(s)        | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
| capacity building technical assistance.                                                                                   |                                                   |                  | technical assistance is provided | (which customs units)                                             |                                        |                         |                                       |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG | <b>Detailed Definition:</b><br>Number of trainees | Activity records | Log of trainees                  | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Information technology hardware and software and other equipment                                                          | <b>Detailed Definition:</b><br>Type and amounts   | Activity records | Direct observation               | N/A                                                               | As needed                              | N/A                     |                                       |

## Performance Indicator Candidates

### Transit Guarantee System

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                         | Definition/<br>Unit of Measure                                               | Data Sources           | Data Collection Method(s)                                                                                | Disaggregated by             | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                            | Notes on Indicator/Person Responsible |
|-----------------------------------------------|------------------------------------------------------------------------------|------------------------|----------------------------------------------------------------------------------------------------------|------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------|
| <b>Result</b>                                 |                                                                              |                        |                                                                                                          |                              |                                        |                                                                                                    |                                       |
| Volume of goods transhipped through Country X | <b>Detailed Definition:</b><br>Volume of goods transhipped through Country X | Customs administration | National statistics; Customs export/import data; interviews with Customs officials; transference of data | Product; destination; origin | Annual                                 | Calculate change from Y1-Y2; determine change from baseline to current level and compare to target |                                       |
| Value of goods transhipped through Country X  | <b>Detailed Definition:</b><br>Value of goods transhipped through Country X  | Customs administration | National statistics; Customs export/import data; interviews with Customs officials; transference of data | Product; destination; origin | Annual                                 | Calculate change from Y1-Y2; determine change from baseline to current level and compare to target |                                       |
| Number of transshipments                      | <b>Detailed Definition:</b><br>Number of transshipments                      | Customs administration | Customs records; interviews with customs officials                                                       | Product; destination; origin | Annual; can be collected Quarterly     | Calculate change from Y1-Y2; determine change from baseline to current level                       |                                       |

| Intended Results and Candidate Performance Indicators                                                                                                            |                                                                                                                                                          |                        |                                                            |                  |                                        |                                                                                                                                                      |                                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------------------------------------------|------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                            | Definition/<br>Unit of Measure                                                                                                                           | Data Sources           | Data Collection Method(s)                                  | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                              | Notes on Indicator/Person Responsible |
|                                                                                                                                                                  |                                                                                                                                                          |                        |                                                            |                  |                                        | and compare to target                                                                                                                                |                                       |
| Number of downloads of forms associated with transshipment                                                                                                       | <b>Detailed Definition:</b><br>Number of downloads of forms associated with transshipment                                                                | Customs administration | Requires activation of a download counter on access pages. | Location         | Quarterly                              | Calculate change from Y1-Y2; determine change from baseline to current level and compare to target; Can also do a simple count and compare to target |                                       |
| Country acceded to the TIR (Transport International Routière) Convention                                                                                         | <b>Detailed Definition:</b><br>Status of a country's membership in the TIR                                                                               | Customs Administration | Observation; TIR country data                              | N/A              | Once                                   | N/A                                                                                                                                                  |                                       |
| <b>Outputs</b>                                                                                                                                                   |                                                                                                                                                          |                        |                                                            |                  |                                        |                                                                                                                                                      |                                       |
| Signed document recording adoption of simplified transshipment procedures consistent with the intent of Article II of the WTO draft Trade Facilitation Agreement | <b>Detailed Definition:</b><br>Signed document recording adoption of simplified transshipment procedures consistent with the intent of Article II of the | Customs Administration | Customs administration records                             | N/A              | Once                                   | N/A                                                                                                                                                  |                                       |

| Intended Results and Candidate Performance Indicators                                                                                                                            |                                                                                                                                                                                                                 |                        |                           |                              |                                        |                                                                                                                                            |                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------------|------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                                            | Definition/<br>Unit of Measure                                                                                                                                                                                  | Data Sources           | Data Collection Method(s) | Disaggregated by             | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                    | Notes on Indicator/Person Responsible |
|                                                                                                                                                                                  | WTO draft Trade Facilitation Agreement                                                                                                                                                                          |                        |                           |                              |                                        |                                                                                                                                            |                                       |
| Publication of revised/simplified transshipment procedures online and in hard copy; wide dissemination online, through enquiry points and through neighboring country embassies. | <b>Detailed Definition:</b><br>Publication of revised/simplified transshipment procedures online and in hard copy; wide dissemination online, through enquiry points and through neighboring country embassies. | Customs Administration | Records; observation      | Hard and soft copy; location | Annual review                          |                                                                                                                                            |                                       |
| Number of documents required to transship goods                                                                                                                                  | <b>Detailed Definition:</b><br>Number of documents required to transship goods                                                                                                                                  | Customs Administration | Records; observation      |                              | Annual                                 | Simple count; compare to target. If attempting to affect change, calculate change from baseline to current level against target (Annually) |                                       |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                                         |                        |                                             |                                           |                                        |                                                   |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|------------------------|---------------------------------------------|-------------------------------------------|----------------------------------------|---------------------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/<br>Unit of Measure                                                                          | Data Sources           | Data Collection Method(s)                   | Disaggregated by                          | Data Collection Frequency and Schedule | Data Analysis Method(s)                           | Notes on Indicator/Person Responsible |
| Time required for approval of transshipment, e.g., permit                                                                                                    | <b>Detailed Definition:</b> The time required for the approval of transshipment (ie to obtain approval) | Customs Administration | Customs administration records              | N/A                                       | Annual                                 | Calculate change from Y1 to Y2; compare to target |                                       |
| Cost of obtaining transshipment permission or permit                                                                                                         | <b>Detailed Definition:</b> The cost in US\$ of obtaining a transshipment permit to ship goods          | Customs Administration | Customs administration records; observation | N/A                                       | Annual                                 | Calculate change from Y1 to Y2; compare to target |                                       |
| <b>Inputs</b>                                                                                                                                                |                                                                                                         |                        |                                             |                                           |                                        |                                                   |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>43</sup> | <b>Detailed Definition:</b> Days. See standard indicator handbook <sup>44</sup>                         | Activity records       | Log of days                                 | Customs unit                              | Annual or more frequently              | Tally                                             | Set up log to avoid double counting   |
| Person hours of training completed in trade and investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>45</sup>                       | <b>Detailed Definition:</b> Hours x trainees. See standard indicator                                    | Activity records       | Log of trainee hours spent in training      | Sex of respondent; location of respondent | Annual or more frequently              | Tally                                             | Set up log to avoid double counting   |

<sup>43</sup> USAID standard indicator

<sup>44</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>45</sup> USAID standard indicator

| Intended Results and Candidate Performance Indicators                                                                     |                                                   |                  |                                                                                                    |                                                                   |                                        |                                  |                                       |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|----------------------------------|---------------------------------------|
| Performance Indicator                                                                                                     | Definition/<br>Unit of Measure                    | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s)          | Notes on Indicator/Person Responsible |
|                                                                                                                           | handbook <sup>46</sup>                            |                  |                                                                                                    |                                                                   |                                        |                                  |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.       | <b>Detailed Definition:</b><br>Number of people   | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Quarterly                              | Simple count; compare to targets | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG | <b>Detailed Definition:</b><br>Number of trainees | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Quarterly                              | Simple count; compare to targets | Set up log to avoid double counting   |
| Information technology hardware and software and other equipment                                                          | <b>Detailed Definition:</b><br>Type and amounts   | Activity records | Direct observation                                                                                 | N/A                                                               | As needed                              |                                  |                                       |

<sup>46</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

## Performance Indicator Candidates

### Trade-Related Infrastructure Improved

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                     | Definition/<br>Unit of Measure                                                                                                               | Data Sources                           | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                     |
|-------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------------------|------------------|----------------------------------------|-------------------------|---------------------------------------------------------------------------|
| <b>Result</b>                             |                                                                                                                                              |                                        |                           |                  |                                        |                         |                                                                           |
| Trade-related infrastructure improved     |                                                                                                                                              |                                        |                           |                  |                                        |                         |                                                                           |
| Infrastructure                            | <b>Detailed Definition:</b><br>Quality of trade and transport related infrastructure (e.g., ports, railroads, roads, information technology) | World Bank Logistics Performance Index | Available online          | N/A              | Periodic                               |                         | Available for 2007 and 2011, but not annually                             |
| Overall quality of infrastructure         | <b>Detailed Definition:</b>                                                                                                                  | Global Competitiveness Report          | Available online          | Country          | Annual                                 |                         | Indicator not available all years; supplementary indicators may be needed |
| <b>Result</b>                             |                                                                                                                                              |                                        |                           |                  |                                        |                         |                                                                           |
| Port quality/capacity/efficiency improved |                                                                                                                                              |                                        |                           |                  |                                        |                         |                                                                           |
| Quality of port infrastructure            | <b>Detailed Definition:</b><br>Response to survey question on Global Competitiveness report, given to firms in participating                 | Global Competitiveness Report (3.9)    | Available online          | Country          | Annual                                 |                         | Indicator not available all years; supplementary indicators may be needed |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                           |                |                           |                                               |                                        |                         |                                                           |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|---------------------------|-----------------------------------------------|----------------------------------------|-------------------------|-----------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                            | Data Sources   | Data Collection Method(s) | Disaggregated by                              | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                     |
|                                                       | countries on the quality of port infrastructure in the country                                                                                            |                |                           |                                               |                                        |                         |                                                           |
| Port capacity                                         | <b>Detailed Definition:</b><br>Volume of cargo the port is capable of handling/per year                                                                   | Port authority | Port authority records    | N/A                                           |                                        |                         | Conceptual agreement on definition, but applications vary |
| Shipping Vessel arrivals                              | <b>Detailed Definition:</b><br>Number per year                                                                                                            | Port authority | Port authority records    | N/A                                           | Continuous arrive/depart data          |                         |                                                           |
| Average time in port                                  | <b>Detailed Definition:</b><br>Number of Days container/goods sit in port from time arrival to time of release/ departure<br><b>Unit of Measure:</b> Days | Port authority | Port authority records    | By cargo type; arrival and final destination; | Continuous arrive/depart data          | Calculate average days  |                                                           |
| Port and terminal charges                             | <b>Detailed Definition:</b> The charges in US\$ associated with arriving and departing goods in a given port (ie fees)                                    | Port authority | Port authority records    | By cargo type; arrival and final destination  | Annual or more frequently              | Calculate cost          |                                                           |



| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                           |                                        |                           |                  |                                        |                         |                                                                           |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------------------|------------------|----------------------------------------|-------------------------|---------------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                                            | Data Sources                           | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                     |
|                                                       | <b>Unit of Measure:</b> US\$                                                                                                                                                                                                                              |                                        |                           |                  |                                        |                         |                                                                           |
| Perception of road transport charges                  | <b>Detailed Definition:</b><br>Survey response to question on the perception of respondent on the quality/extent of road transport charges. Further information available via <a href="#">World Bank LPI</a><br><b>Unit of Measure:</b><br>Ranking/Rating | World Bank Logistics Performance Index | Available online          | Country          | Periodic                               |                         | Available for 2007 and 2011                                               |
| <b>Result</b>                                         | Rail transport quality/capacity/efficiency improved                                                                                                                                                                                                       |                                        |                           |                  |                                        |                         |                                                                           |
| Quality of railroad infrastructure                    | <b>Detailed Definition:</b><br>Response to survey question on Global Competitiveness report, given to firms in participating countries on the quality of road and railroad infrastructure in the country<br><b>Unit of</b>                                | Global Competitiveness Report (2.03)   | Executive survey          | Country          | Annual                                 |                         | Indicator not available all years; supplementary indicators may be needed |

| Intended Results and Candidate Performance Indicators |                                                                                                                                        |                                         |                                                                |                               |                                        |                                                |                                       |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------|-------------------------------|----------------------------------------|------------------------------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                         | Data Sources                            | Data Collection Method(s)                                      | Disaggregated by              | Data Collection Frequency and Schedule | Data Analysis Method(s)                        | Notes on Indicator/Person Responsible |
|                                                       | <b>Measure:</b><br>Rating/Ranking                                                                                                      |                                         |                                                                |                               |                                        |                                                |                                       |
| Miles of track                                        | <b>Detailed Definition:</b><br>Suitable for freight                                                                                    | Railway authority                       | Railway authority records                                      |                               | Annual                                 |                                                |                                       |
| Ton-miles of rail freight                             | <b>Detailed Definition:</b> Per year - (one ton of freight moved one mile counts as one ton-mile)<br><b>Unit of Measure:</b> Ton-miles | Railway authority                       | Railway authority records                                      |                               | Annual                                 |                                                |                                       |
| Average trip time                                     | <b>Detailed Definition:</b><br>Between a fixed inland location and port or airport<br><b>Unit of Measure:</b><br>Days/Hours            | Railway authority or independent source | Random sample of trips; samples size adequate to capture range |                               | Annual                                 | Arrival time minus start time for sample trips |                                       |
| Cost of rail shipping (domestic)                      | <b>Detailed Definition:</b><br>Cost per ton/mile                                                                                       | Railway authority                       | Railway authority records                                      | By destination; type of cargo | Annual                                 |                                                |                                       |
| <b>Result</b>                                         | Air transport quality/capacity/efficiency improved                                                                                     |                                         |                                                                |                               |                                        |                                                |                                       |
| Quality of air transport infrastructure               | <b>Detailed Definition:</b><br>Response to survey question                                                                             | Global Competitiveness Report (2.04)    | Executive survey                                               | Country                       | Annual                                 | Calculate change in ranking; compare           | Indicator not available all years     |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                        |                   |                           |                  |                                        |                                                          |                                       |
|-------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|---------------------------|------------------|----------------------------------------|----------------------------------------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                         | Data Sources      | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                  | Notes on Indicator/Person Responsible |
|                                                       | on Global Competitiveness report, given to firms in participating countries on the quality of air transport infrastructure in the country<br><b>Unit of Measure:</b><br>Rating/Ranking |                   |                           |                  |                                        | country ranking to regional average or similar countries |                                       |
| Number of airports handling cargo shipments           | <b>Detailed Definition:</b> The number of airports at which cargo shipments are arriving                                                                                               | Airport authority | Airport authority records | Airport          | Annual                                 |                                                          |                                       |
| Average volume of cargo arriving by air               | <b>Detailed Definition:</b> The average volume of cargo arriving by air to the airport each day/month/year                                                                             | Airport authority | Airport authority records | Airport          | Day/month/year                         |                                                          |                                       |
| Average volume of cargo departing by air              | <b>Detailed Definition:</b> The average volume of cargo departing the airport by air each day/month/year                                                                               | Airport authority | Airport authority records | Airport          | Day/month/year                         |                                                          |                                       |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                   |                                        |                               |                            |                                        |                         |                                                          |
|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-------------------------------|----------------------------|----------------------------------------|-------------------------|----------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                    | Data Sources                           | Data Collection Method(s)     | Disaggregated by           | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                    |
| Number of cargo carriers (airlines) arrive/depart     | <b>Detailed Definition:</b> The number of cargo carriers arriving and departing each day/week/month                                                                                               | Airport authority                      | Airport authority records     | Airport                    | Day/week/month                         |                         |                                                          |
| Cost of air transport                                 | <b>Detailed Definition:</b> The average cost to transport goods by air per ton/mile                                                                                                               | Airlines                               | Survey                        | Type of cargo; destination | Annual or more frequently              |                         |                                                          |
| Perception of air transport charges                   | <b>Detailed Definition:</b> Response to LPI survey given to firms to question on firm perception of air transport charges<br><br>Further information available via <a href="#">World Bank LPI</a> | World Bank Logistics Performance Index | Available online <sup>•</sup> | Country                    | Periodic                               |                         | Available for 2007 and 2011. Not available for all years |
| <b>Result</b>                                         | Road infrastructure transport quality/capacity/efficiency improved                                                                                                                                |                                        |                               |                            |                                        |                         |                                                          |
| Quality of roads                                      | <b>Detailed Definition:</b> Response to survey question on Global Competitiveness report, given to                                                                                                | World Competitiveness Report (2.02)    | Executive survey              | Country                    | Annual                                 |                         |                                                          |

| Intended Results and Candidate Performance Indicators |                                                                                                                              |                                          |                                                 |                                               |                                        |                         |                                                           |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|-------------------------------------------------|-----------------------------------------------|----------------------------------------|-------------------------|-----------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                               | Data Sources                             | Data Collection Method(s)                       | Disaggregated by                              | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                     |
|                                                       | firms in participating countries on the quality of roads in the country<br><b>Unit of Measure:</b><br>Rating/Ranking         |                                          |                                                 |                                               |                                        |                         |                                                           |
| Kilometers of road                                    | <b>Detailed Definition:</b><br>Number of kilometers of road that are passable by vehicle to transport goods                  | National statistics                      | Available online – or via government interviews | Surface or serviceability (e.g., all weather) | Annual                                 |                         | Data frequency may not be adequate to use as an indicator |
| Kilometers of multi-lane divided highway              | <b>Detailed Definition:</b><br>Number of kilometers of multi-lane divided highway that is functional and passable in country | National statistics                      | Available online – or via government interviews | Surface or serviceability (e.g., all weather) | Annual                                 |                         |                                                           |
| Average trip time                                     | <b>Detailed Definition:</b> The average trip time between a fixed inland location and port or airport                        | Project research;<br>National statistics | Surveys; Trade Hub research (Africa)            | Surface or serviceability (e.g., all weather) | Annual                                 |                         | Availability of information depends on region and country |
| Average road user costs/trip                          | <b>Detailed Definition:</b> the average cost for                                                                             | Project-level research;<br>National      | Surveys; trade hub research (Africa)            | By type of surface or serviceability          | Annual                                 |                         |                                                           |

| Intended Results and Candidate Performance Indicators                                       |                                                                                                                                                                                  |                                                         |                                |                                                          |                                        |                         |                                       |
|---------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|--------------------------------|----------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                       | Definition/<br>Unit of Measure                                                                                                                                                   | Data Sources                                            | Data Collection Method(s)      | Disaggregated by                                         | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                                                             | each road user, including fees; gasoline and other associated costs                                                                                                              | statistics                                              |                                | (e.g., all weather)                                      |                                        |                         |                                       |
| Perception of road transport charges                                                        | <b>Detailed Definition:</b> Response by firms to survey question on perception of road transport charges<br><br>Further information available via <a href="#">World Bank LPI</a> | World Bank Logistics Performance Index                  | Available online <sup>•</sup>  | Country                                                  | Periodic                               |                         | Available for 2007 and 2011           |
| Average truck speed                                                                         | <b>Detailed Definition:</b> The average speed a truck drives on X road<br><b>Unit of Measure:</b> Km per hour                                                                    | National statistics or police records; Activity Records | Survey; interviews with police | By type of surface or serviceability (e.g., all weather) | Annual                                 |                         |                                       |
| <b>Input Level</b>                                                                          |                                                                                                                                                                                  |                                                         |                                |                                                          |                                        |                         |                                       |
| Kilometers of roads constructed or repaired with USG assistance (SI 4.4.3-13) <sup>47</sup> | <b>Detailed Definition:</b> See standard indicator handbook <sup>48</sup>                                                                                                        | Activity Records; government                            | Activity records               | By type of surface or serviceability (e.g., all          |                                        |                         |                                       |

<sup>47</sup> USAID standard indicator

<sup>48</sup> <http://www.state.gov/f/indicators/index.htm>

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                    |                                 |                                        |                                              |                                        |                         |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|---------------------------------|----------------------------------------|----------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/<br>Unit of Measure                                                     | Data Sources                    | Data Collection Method(s)              | Disaggregated by                             | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                                                                                                                              |                                                                                    |                                 |                                        | weather)                                     |                                        |                         |                                       |
| Port construction or upgrading                                                                                                                               | <b>Detailed Definition:</b><br>Evidence of upgrades or construction at X port      | Activity Records;<br>government | Activity records;<br>observation       | Location                                     | Annual                                 |                         |                                       |
| Railway expansion or upgrading                                                                                                                               | <b>Detailed Definition:</b><br>Evidence of upgrades of construction at X railway   | Activity Records;<br>government | Activity records;<br>observation       | Location                                     | Annual                                 |                         |                                       |
| Airport construction or upgrading                                                                                                                            | <b>Detailed Definition:</b><br>Evidence of upgrades or construction at airport     | Activity Records;<br>government | Activity records;<br>observation       | Location                                     | Annual                                 |                         |                                       |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>49</sup> | <b>Detailed Definition:</b><br>Days. See standard indicator handbook <sup>50</sup> | Activity records                | Log of days                            | Customs unit                                 | Annual or more frequently              | Tally                   |                                       |
| Person hours of training completed in trade and investment capacity building supported by                                                                    | <b>Detailed Definition:</b><br>Hours x trainees. See                               | Activity records                | Log of trainee hours spent in training | Sex of respondent;<br>location of respondent | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |

<sup>49</sup> USAID standard indicator

<sup>50</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| Intended Results and Candidate Performance Indicators                                                                     |                                                   |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                                                                                     | Definition/ Unit of Measure                       | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
| USG assistance [SI 4.2.1 – 19] <sup>51</sup>                                                                              | standard indicator handbook <sup>52</sup>         |                  |                                                                                                    |                                                                   |                                        |                         |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.       | <b>Detailed Definition:</b><br>Number of people   | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG | <b>Detailed Definition:</b><br>Number of trainees | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally                   | Set up log to avoid double counting   |

<sup>51</sup> USAID standard indicator

<sup>52</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.



## Performance Indicator Candidates

### Professional Services for Exporters Improved (e.g., Freight Forwarding)

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator   | Definition/<br>Unit of Measure                                                                                           | Data Sources                           | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-------------------------------|------------------|----------------------------------------|-------------------------|---------------------------------------|
| <b>Result</b>           | Professional services for exporters improved (e.g., freight forwarding, logistics management, trucking)                  |                                        |                               |                  |                                        |                         |                                       |
| Logistics competence    | <b>Detailed Definition:</b><br>Competence and quality of logistics services (e.g., transport operators, customs brokers) | World Bank Logistics Performance Index | Available online <sup>•</sup> | Country          | Periodic                               |                         | Available for 2007 and 2011           |
| Tracking and tracing    | <b>Detailed Definition:</b><br>Ability to track and trace consignments                                                   | World Bank Logistics Performance Index | Available online <sup>•</sup> | Country          | Periodic                               |                         | Available for 2007 and 2011           |
| International shipments | <b>Detailed Definition:</b><br>Survey response to question on perception of "Ease of arranging competitively             | World Bank Logistics Performance Index | Available online <sup>•</sup> | Country          | Periodic                               |                         | Available for 2007 and 2011           |

| Intended Results and Candidate Performance Indicators |                                                                                                                 |                                        |                           |                  |                                        |                         |                                       |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------------------|------------------|----------------------------------------|-------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                  | Data Sources                           | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                       | priced shipments” in X country                                                                                  |                                        |                           |                  |                                        |                         |                                       |
| Perception of warehousing/transshipment charges       | <b>Detailed Definition:</b> Survey response to question on “warehousing and transshipment charges” in X country | World Bank Logistics Performance Index | Available online •        | Country          | Periodic                               |                         | Available for 2007 and 2011           |
| Private sector trucking capacity                      | <b>Detailed Definition:</b> Volume of cargo the trucking industry is capable of handling at a given time        | Trucking firms                         | Survey                    | Product/sector   | Annual                                 |                         |                                       |
| Average fleet fuel efficiency                         | <b>Detailed Definition:</b> Average km achieved per gallon by trucks                                            | Trucking firms                         | Survey                    |                  | Annual                                 |                         |                                       |
| Private sector warehousing/freight handling capacity  | <b>Detailed Definition:</b> Volume of cargo the private sector firms are capable of storing at a                | Private sector firms                   | Firm Survey               |                  | Annual                                 |                         |                                       |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                               |                                     |                                               |                  |                                        |                         |                                                                                                    |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------------------------------|------------------|----------------------------------------|-------------------------|----------------------------------------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                | Data Sources                        | Data Collection Method(s)                     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                                              |
|                                                       | given time                                                                                                                                                                                    |                                     |                                               |                  |                                        |                         |                                                                                                    |
| Cold storage capacity                                 | <b>Detailed Definition:</b><br>Cubic meters under private sector firms for perishable cargo storage                                                                                           | Private sector firms                | Firm Survey                                   |                  | Annual                                 |                         |                                                                                                    |
| Spoilage/waste                                        | <b>Detailed Definition:</b><br>Percentage of perishable product volume/value lost to spoilage/waste, including loss of moisture and product tossed by logistics provider or rejected by buyer | Logistics intermediary              | Product weight/volume log (in/out or shipped) | Type of product  | Weekly/monthly/annually                | Calculate average       |                                                                                                    |
| Irregular payments or bribes                          | <b>Detailed Definition:</b><br>Average score across the five components of the following Executive                                                                                            | World Competitiveness Report (1.05) | Executive survey                              | Country          | Annual                                 | Calculate change        | Included here as these firms are the ones most likely to be exposed to demands for payments/bribes |

| Intended Results and Candidate Performance Indicators                                                                                                        |                                                                                  |                              |                                                |                                 |                                        |                         |                                                                                                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|------------------------------|------------------------------------------------|---------------------------------|----------------------------------------|-------------------------|----------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                                                                        | Definition/ Unit of Measure                                                      | Data Sources                 | Data Collection Method(s)                      | Disaggregated by                | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible                                                              |
|                                                                                                                                                              | Opinion Survey question <sup>53</sup> .                                          |                              |                                                |                                 |                                        |                         |                                                                                                    |
| Corruption Perception Index Score (SI 2.2.4-8) <sup>54</sup>                                                                                                 | <b>Detailed Definition:</b> See standard indicator handbook <sup>55</sup>        | Annual Survey given to firms | Firm Survey                                    | Type of respondent              | Annual                                 | Calculate change        | Included here as these firms are the ones most likely to be exposed to demands for payments/bribes |
| <b>Output level</b>                                                                                                                                          |                                                                                  |                              |                                                |                                 |                                        |                         |                                                                                                    |
| Number of assisted logistics/freight forwarding/trucking firms that adopt new/improved practices                                                             | <b>Detailed Definition:</b> Number of firms that adopt new or improved practices | Activity records             | Follow up interviews/survey and/or observation | Type of firm; sex of firm owner | Annual                                 | Tally                   | Definition of “new” and “improved” needs to be agreed upon by project                              |
| <b>Input level</b>                                                                                                                                           |                                                                                  |                              |                                                |                                 |                                        |                         |                                                                                                    |
| Number of days of USG supported technical assistance in trade and investment capacity provided to counterparts or stakeholders [SI 4.2.1 – 20] <sup>56</sup> | <b>Detailed Definition:</b> Days. See standard indicator handbook <sup>57</sup>  | Activity records             | Log of days                                    | Customs unit                    | Annual or more frequently              | Tally                   | Set up log to avoid double counting                                                                |
| Person hours of training completed in trade and                                                                                                              | <b>Detailed Definition:</b>                                                      | Activity records             | Log of trainee hours spent in training         | Sex of respondent;              | Annual or more                         | Tally, aggregated       | Set up log to avoid double counting                                                                |

<sup>53</sup> <http://www.datapult.info/en/content/irregular-payments-and-bribes>

<sup>54</sup> USAID standard indicator

<sup>55</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

<sup>56</sup> USAID standard indicator

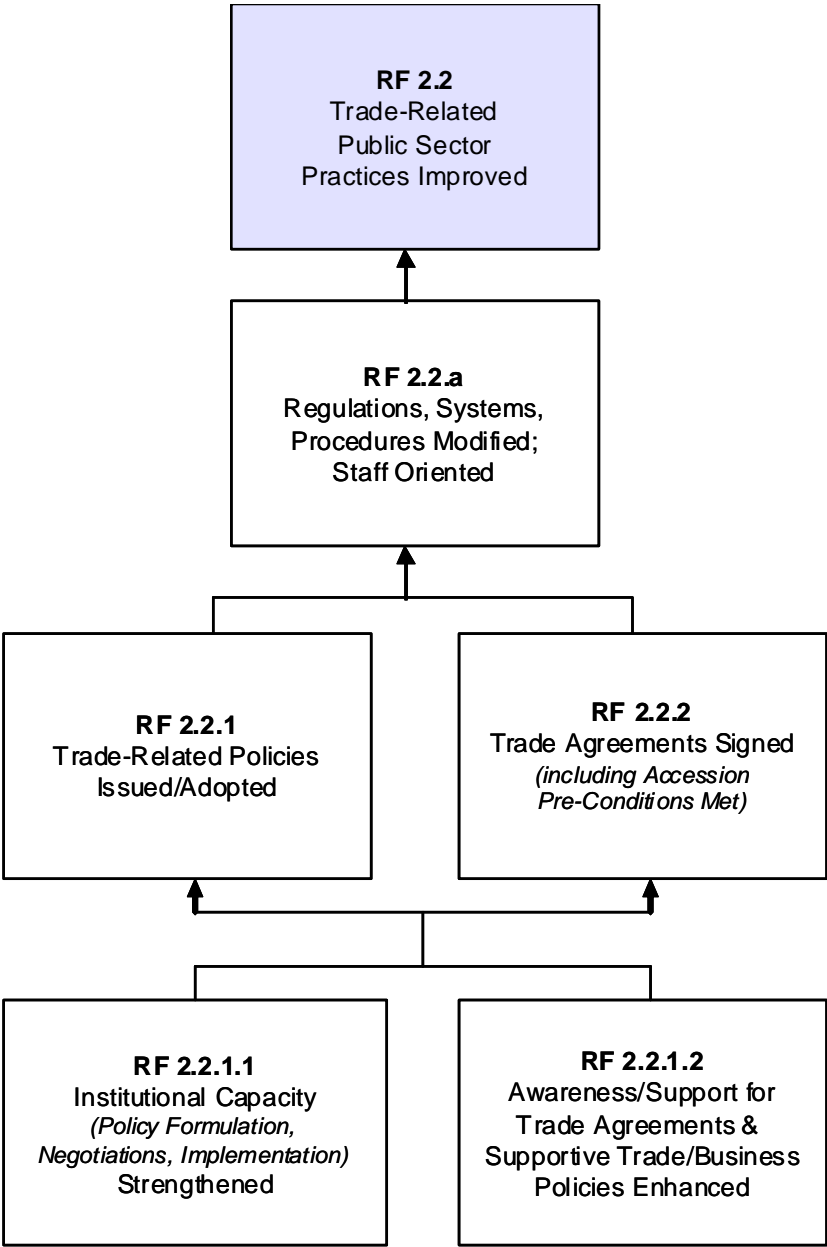
<sup>57</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| Intended Results and Candidate Performance Indicators                                                                     |                                                                                                                                                           |                  |                                                                                                    |                                                                   |                                        |                                         |                                       |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------|-----------------------------------------|---------------------------------------|
| Performance Indicator                                                                                                     | Definition/<br>Unit of Measure                                                                                                                            | Data Sources     | Data Collection Method(s)                                                                          | Disaggregated by                                                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                 | Notes on Indicator/Person Responsible |
| investment capacity building supported by USG assistance [SI 4.2.1 – 19] <sup>58</sup>                                    | Hours x trainees. See standard indicator handbook <sup>59</sup>                                                                                           |                  |                                                                                                    | location of respondent                                            | frequently                             | and compared annually                   |                                       |
| Number of counterpart/stakeholder direct recipients of trade and investment capacity building technical assistance.       | <b>Detailed Definition:</b> Number of people that are receiving /have received trade and investment capacity building technical assistance by the project | Activity records | Log of individuals directly reached/assisted during days on which technical assistance is provided | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally, aggregated and compared annually | Set up log to avoid double counting   |
| Number of individuals trained during person hours of trade and investment capacity building training supported by the USG | <b>Detailed Definition:</b> Number of trainees that participated in trade and investment capacity building training supported by a USG project/program    | Activity records | Log of trainees                                                                                    | Sex of individuals; location of individuals (which customs units) | Annual or more frequently              | Tally, aggregated and compared annually | Set up log to avoid double counting   |
| Loans or other resources provided to                                                                                      | <b>Detailed Definition:</b>                                                                                                                               | Activity records | Spreadsheet of loans                                                                               | Sex of individuals                                                | Annual or more                         | Tally, aggregated                       | Set up spreadsheet to avoid double    |

<sup>58</sup> USAID standard indicator

<sup>59</sup> <http://www.state.gov/documents/organization/101765.pdf> - Need to determine how to shorten indicators to fit into this handbook. Currently too long.

| <b>Intended Results and Candidate Performance Indicators</b> |                                                     |                     |                                  |                         |                                               |                                |                                              |
|--------------------------------------------------------------|-----------------------------------------------------|---------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------|----------------------------------------------|
| <b>Performance Indicator</b>                                 | <b>Definition/ Unit of Measure</b>                  | <b>Data Sources</b> | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b> | <b>Notes on Indicator/Person Responsible</b> |
| logistics/freight forwarding/trucking firms                  | Number and average value of loan or other resources |                     |                                  |                         | frequently                                    | and compared annually          | counting                                     |



## Performance Indicator Candidates

### Trade-Related Public Sector Practices Improved

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                                             | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Data Sources                                                                                                                                                         | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                            | Notes on Indicator/Person Responsible                                                                                                                                                                                                                                                                           |
|-----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|------------------|----------------------------------------|----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Result: Trade-Related Public Sector Practices, Systems [Behavior] Improved</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                      |                           |                  |                                        |                                                    |                                                                                                                                                                                                                                                                                                                 |
| ILAC MRA                                                                          | <p><b>Detailed Definition:</b> , the signatory must:</p> <ul style="list-style-type: none"> <li>- Maintain conformance with ISO/IEC 17011, related ILAC guidance documents, and a few, but important, supplementary requirements, and</li> <li>-Ensure that all its accredited laboratories comply with ISO/IEC 17025 of ISO 15189 (for medical testing laboratories)and related ILAC guidance documents. These signatories have, in turn, been peer-reviewed and shown to meet ILAC's criteria for competence.</li> </ul> <p>Can be a scaled indicator:<br/>1=only testing or calibration<br/>2=both<br/>0=neither</p> | <p>International Laboratory Accreditation Cooperation (ILAC)<br/><a href="http://www.ilac.org/ilacarrangement.html">http://www.ilac.org/ilacarrangement.html</a></p> | Available online          | N/A              | Annual, or as needed                   | Comparison of signatories from Y1 to Y2 to Y3 etc. | Accreditation bodies that meet the requirements for Associates (below) and have also been accepted as signatories to the ILAC Mutual Recognition Arrangement. Each accreditation body that is a signatory to the Arrangement agrees to abide by its terms and conditions and by the ILAC evaluation procedures. |



**Intended Results and Candidate Performance Indicators**

| Performance Indicator                                      | Definition/<br>Unit of Measure                                                                                                                                                                                                                                             | Data Sources                                                                                                          | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                            | Notes on Indicator/Person Responsible                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|-------------------------------|------------------|----------------------------------------|----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| IAF MRA                                                    | <p><b>Detailed Definition:</b><br/>Signatory status to IAF Multilateral Recognition Arrangement.</p> <p>Can be a scaled variable:<br/>0=signatory to none<br/>1=signatory to QMS, EMS, or Product MRA<br/>2=signatory to two of the three<br/>3=signatory to all three</p> | IAF<br><a href="http://www.iaf.nu/">http://www.iaf.nu/</a>                                                            | Available online <sup>•</sup> | N/A              | Annual or as needed                    | Comparison of signatories from Y1 to Y2 to Y3 etc. | The mechanism by which IAF implements its objective is the IAF Multilateral Recognition Arrangement (MLA). Accreditation body members of IAF are admitted to the MLA only after a most stringent evaluation of their operations by a peer evaluation team which is charged to ensure that the applicant member complies fully with both the international standards and IAF requirements. Once an accreditation body is a member of the MLA it is required to recognize the certificates issued by certification/registration bodies accredited by all other members of the MLA. |
| Bureau International des Poids et Mesures (BIPM) Signatory | <p><b>Detailed Definition:</b><br/>Status of membership in BIPM. See data source for more detailed information regarding requirements. Can be a scaled</p>                                                                                                                 | BIPM<br><a href="http://www.bipm.org/utis/en/pdf/signatories.pdf">http://www.bipm.org/utis/en/pdf/signatories.pdf</a> | Available online <sup>•</sup> | N/A              | Annual, or as needed.                  | Comparison of signatories from Y1 to Y2 to Y3      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                                        | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                          | <b>Data Sources</b>                                                                                                   | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b>          | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|-------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                                                     | variable:<br>0=no affiliation<br>1=associate<br>2=member                                                                                                                                                                                                                                                        |                                                                                                                       |                                  |                                  |                                               | etc. Change in status for a single country or lab.                                               |                                              |
| OIML Member                                                                         | <b>Detailed Definition:</b><br>The status of a country's membership in OIML; ie is the country a signatory at a given point in time                                                                                                                                                                             | OIML<br><a href="http://www.oiml.org/dbase_members/dbsearch.html">http://www.oiml.org/dbase_members/dbsearch.html</a> | Available online                 | N/A                              | Annual, or as needed                          | Comparison of signatories from Y1 to Y2 to Y3 etc. Change in status for a single country or lab. |                                              |
| % of Firms that Trade Identifying Customs & Trade Regulations as a Major Constraint | <b>Detailed Definition:</b> The number of firms divided by the total number of firms in sample that identify customs and trade regulations as a major constraint. More information available online                                                                                                             | WB Enterprise Surveys                                                                                                 | Available online                 | By country; type of firm; sector | Published Annually                            | Change in % from Y1 to Y2                                                                        |                                              |
| IPR Protection                                                                      | <b>Detailed Definition:</b> Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early months of each year.<br><br>Survey question: Intellectual property protection and anti-counterfeiting measures in your country are (1 = weak | GCR indicator I.02                                                                                                    | Available online                 | N/A                              | Annual                                        | Comparison of response/ranking from Y1 to Y2; comparison of Country X with Country Y             | Ordinal, 1 (worst) to 7 (best)               |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>    | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                                                                                                     | <b>Data Sources</b> | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                       | <b>Notes on Indicator/Person Responsible</b>                        |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------|---------------------------------------------------------------------|
|                                 | and not enforced, 7 = strong and enforced)                                                                                                                                                                                                                                                                                                                                                                 |                     |                                  |                         |                                               |                                                                                      |                                                                     |
| Prevalence of Trade Barriers    | <p><b>Detailed Definition:</b><br/>Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early months of each year.</p> <p>Survey Question: In your country, tariff and nontariff barriers significantly reduce the ability of imported goods to compete in the domestic market (1 = strongly agree, 7 = strongly disagree)</p> | GCR indicator 6.09  | Available online                 | N/A                     | Annual                                        | Comparison of response/ranking from Y1 to Y2; comparison of Country X with Country Y | Ordinal, 1 (worst) to 7 (best)                                      |
| Business impact of rules on FDI | <p><b>Detailed Definition:</b><br/>Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early months of each year.</p>                                                                                                                                                                                                         | GCR indicator 6.12  | Available online                 | N/A                     | Annual                                        | Comparison of response/ranking from Y1 to Y2; comparison of Country X with Country Y | Not reported/collected yearly<br><br>Ordinal, 1 (worst) to 7 (best) |
| Restrictions on capital flows   | <p><b>Detailed Definition:</b><br/>Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early</p>                                                                                                                                                                                                                              | GCR indicator 8.05  | Available online                 | N/A                     | Annual                                        | Comparison of response/ranking from Y1 to Y2; comparison                             | Not collected/reported annually<br><br>Ordinal, 1 (worst) to 7      |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>    | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>Data Sources</b>       | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                       | <b>Notes on Indicator/Person Responsible</b>                                                                 |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|
|                                 | months of each year.<br><br>Survey question: The inflow and outflow of capital into and from your country is (1 = highly restricted by law, 7 = not restricted by law)                                                                                                                                                                                                                                                                                                                                                                    |                           |                                  |                         |                                               | of Country X with Country Y                                                          | (best)                                                                                                       |
| Strength of investor protection | <b>Detailed Definition:</b><br>Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early months of each year.<br><br>This variable is a combination of the Extent of disclosure index (transparency of transactions), the Extent of director liability index (liability for self-dealing), and the Ease of shareholder suit index (shareholders' ability to sue officers and directors for misconduct), provided to the GCR by the WB Doing Business report. | GCR indicator 8.06        | Available online <sup>•</sup>    | N/A                     | Annual                                        | Comparison of response/ranking from Y1 to Y2; comparison of Country X with Country Y | Not collected/reported annually<br><br>Ordinal, 1 (worst) to 7 (best)                                        |
| Export marketing board          | <b>Detailed Definition:</b><br>Dummy variable (1=country has export marketing board)                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Wacziarg and Welch (2008) |                                  |                         |                                               |                                                                                      | The XMB criterion is no longer confined to African countries (as it was in Sachs-Warner), but applies to all |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                      |                               |                  |                                        |                                                                     |                                                                                                                                                     |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|------------------|----------------------------------------|---------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                            | Data Sources                                                                                                                                                                                                                                                                         | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                             | Notes on Indicator/Person Responsible                                                                                                               |
|                                                       |                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                      |                               |                  |                                        |                                                                     | countries in the updated data. The definition of an export marketing board was expanded to encompass any form of state monopoly over major exports. |
| <b>Result: Trade Policies Issued/Adopted</b>          |                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                      |                               |                  |                                        |                                                                     |                                                                                                                                                     |
| WTO dispute ruling (as a Defendant)                   | <p><b>Detailed Definition:</b><br/>This indicator reflects the number of dispute rulings in which a member economy served as a defendant at the time the data was collected.</p> <p><b>Unit of Measure:</b><br/>Scale/Ratio</p>                                                                           | <p>WB - World Trade Indicators :</p> <p><a href="http://info.worldbank.org/etools/wti/2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40">http://info.worldbank.org/etools/wti/2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40</a></p>      | Available online <sup>•</sup> |                  | Annual                                 |                                                                     |                                                                                                                                                     |
| USITC Banking GATS commitment Index                   | <p><b>Detailed Definition:</b><br/>In this sector specific index developed by the U.S. International Trade Commission, each country is assigned scores based on the extent of liberalization in a country's commitments under the GATS. Relative in market</p> <p><b>Unit of Measure:</b> Scale/Ratio</p> | <p>WB - World Trade Indicators (WTI):</p> <p><a href="http://info.worldbank.org/etools/wti/2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40">http://info.worldbank.org/etools/wti/2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40</a></p> | Available online <sup>•</sup> | Country; sector  | Annual                                 | Comparison of scores from Y1 to Y2 or across countries; time series |                                                                                                                                                     |
| ITU foreign participation/owne                        | <p><b>Detailed Definition:</b><br/>This indicator is based on the</p>                                                                                                                                                                                                                                     | <p>WTI</p> <p><a href="http://info.worldbank.org/etools/wti">http://info.worldbank.org/etools/wti</a></p>                                                                                                                                                                            | Available                     | Country          | Annual; or as needed                   | Calculate change in                                                 |                                                                                                                                                     |

**Intended Results and Candidate Performance Indicators**

| Performance Indicator                   | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Data Sources                                                                                                                                                            | Data Collection Method(s) | Disaggregated by                     | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                                    | Notes on Indicator/Person Responsible |
|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|--------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| rship in telecom sector (%)             | <p>2007 ITU private sector participation survey which measures the maximum foreign participation or ownership allowed in a country's telecom sector. The overall score averages scored in eight subcategories, which range from 0 to 100 with the higher value representing greater foreign competition in the market.</p> <p><b>Unit of Measure:</b><br/>Ordinal, 0 (worst) to 100 (best)</p>                                                                                                                                     | <p><a href="http://2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40">2008/1b.asp?pillarID=1&amp;indList=173&amp;regionID=0&amp;periodID=40</a></p> | online                    |                                      |                                        | <p>overall score from Y1-Y2; compare Country X to Country Y; Rank countries; disaggregate score and use relevant info to tailor project activities</p>                     |                                       |
| ITU competition index in telecom sector | <p><b>Detailed Definition:</b> This index reflects the level of competition in a country's telecommunications sector for international long distance calls, mobile phones, and internet service providers. Based on the most recent industry competition level (monopoly, partial competition, or competition), each subsector is assigned a value of 0 to 2 (with the higher value representing great competition in the market). The index is then calculated as the simple average of the three subsector indicator values.</p> | WTI. ITU World Telecom Regulatory Database                                                                                                                              | Available online          | Country; sector component; industry. | Annual                                 | <p>Calculate change in overall score from Y1-Y2; compare Country X to Country Y; Rank countries; disaggregate score and use relevant info to tailor project activities</p> | May not be collected every year       |

**Intended Results and Candidate Performance Indicators**

| Performance Indicator    | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Data Sources                                                                                                                                                                                                                                        | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                                          | Notes on Indicator/Person Responsible |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| Trade Freedom Index      | <p><b>Detailed Definition:</b> Trade freedom is a composite measure of the absence of tariff and non-tariff barriers that affect imports and exports of goods and services. The trade freedom score is based on two inputs:</p> <ul style="list-style-type: none"> <li>•The trade-weighted average tariff rate and</li> <li>•Non-tariff barriers (NTBs).</li> </ul>                                                                                                                                       | <p>Heritage Foundation<br/> <a href="http://www.heritage.org/index/trade-freedom">http://www.heritage.org/index/trade-freedom</a><br/><br/> <a href="http://www.heritage.org/index/explore">http://www.heritage.org/index/explore</a></p>           | Available online <sup>•</sup> | Country          | Annual                                 | Calculate annual change in ranking for individual countries, or average ranking for clusters of countries; identify data trends and patterns in types of trade restrictions      |                                       |
| Investment Freedom Index | <p><b>Detailed Definition:</b> The Index evaluates a variety of restrictions that are typically imposed on investment. Points, as indicated below, are deducted from the ideal score of 100 for each of the restrictions found in a country's investment regime. It is not necessary for a government to impose all of the listed restrictions at the maximum level to effectively eliminate investment freedom. Those few governments that impose so many restrictions that they total more than 100</p> | <p>Heritage Foundation<br/> <a href="http://www.heritage.org/index/investment-freedom">http://www.heritage.org/index/investment-freedom</a><br/><br/> <a href="http://www.heritage.org/index/ranking">http://www.heritage.org/index/ranking</a></p> | Available online <sup>•</sup> | Country          | Annual                                 | Calculate annual change in ranking for individual countries, or average ranking for clusters of countries; identify data trends and patterns in types of investment restrictions |                                       |

**Intended Results and Candidate Performance Indicators**

| Performance Indicator                    | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                          | Data Sources                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                         | Notes on Indicator/Person Responsible |
|------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|------------------|----------------------------------------|-------------------------------------------------------------------------------------------------|---------------------------------------|
|                                          | points in deductions have had their scores set at zero.                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                           |                  |                                        |                                                                                                 |                                       |
| TTRI (MFN applied tariff-All Goods)      | <p><b>Detailed Definition:</b><br/>Tariff Trade Restrictiveness Index or TTRI (MFN applied tariff) – All Goods calculates the equivalent uniform tariff of a country’s tariff schedule that would keep domestic import levels constant. Product level tariffs are weighted by import shares as well as the responsiveness of imports to price changes (import demand elasticity). It is expressed as a tariff rate.</p> | <p>(WTI)<br/>World Bank Development Research Group – Trade Research Unit DECRG using UNCTAD TRAINS And COMTRADE through WITS. NTMs data are primarily from UNCTAD and not updated. See Kee, Nicita and Olarreaga (KNO) (2008) “Global Monitoring Report 2008 – Overall Trade Restrictiveness Indices” (<a href="http://go.worldbank.org/C5VQJIV3H0">http://go.worldbank.org/C5VQJIV3H0</a> ). The WTI’s TTRI is equivalent to “OTRI –Tariffs only” in KNO terminology.</p> | Available online•         | Country          | Annual                                 | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs Y2. |                                       |
| OTRI (MFN applied tariff+NTMs)-All goods | <p><b>Detailed Definition:</b><br/>Overall Trade Restrictiveness Index or OTRI (MFN applied tariff + Nontariff Measures) All Goods calculates the equivalent uniform tariff of a country’s tariff schedule and non-tariff measures (NTMs) that would maintain domestic import levels. It is expressed as a tariff rate. NTMs considered include price control measures, quantity restrictions,</p>                      | <p>(WTI) World Bank Development Research Group – Trade Research Unit DECRG using UNCTAD TRAINS and COMTRADE through WITS. See Kee, Nicita and Olarreaga (KNO), 2008 “Global Monitoring Report 2008 – Overall Trade Restrictiveness Indices” (<a href="http://go.worldbank.org/C5VQJIV3H0">http://go.worldbank.org/C5VQJIV3H0</a>). The WTI’s OTRI is equivalent to “OTRI –Tariffs and NTBs” in KNO</p>                                                                     | Available online•         | Country          | Annual                                 | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs Y2. |                                       |



**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                     | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Data Sources</b>                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|--------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                  | monopolistic measures, technical regulations, and agriculture support.                                                                                                                                                                                                                                                                                                                                                                                            | terminology.                                                                                                                                                                                                                                                                                                                                                                                                                 |                                  |                         |                                               |                                                                                                  |                                              |
| OTRI (applied tariff incl. prefs+NTMs)-All Goods | <b>Detailed Definition:</b><br>Overall Trade Restrictiveness Index or OTRI (MFN applied tariff + Nontariff Measures) All Goods calculates the equivalent uniform tariff of a country's tariff schedule and non-tariff measures (NTMs) that would maintain domestic import levels. It is expressed as a tariff rate. NTMs considered include price control measures, quantity restrictions, monopolistic measures, technical regulations, and agriculture support. | (WTI)<br><br>World Bank Development Research Group – Trade Research Unit DECRG using UNCTAD TRAINS and COMTRADE through WITS. See Kee, Nicita and Olarreaga (KNO), 2008 “Global Monitoring Report 2008 – Overall Trade Restrictiveness Indices” ( <a href="http://go.worldbank.org/C5VQJIV3H0">http://go.worldbank.org/C5VQJIV3H0</a> ).<br><br>The WTI's OTRI is equivalent to “OTRI –Tariffs and NTBs” in KNO terminology. | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs Y2.  |                                              |
| TTRI (applied tariff incl. prefs)-All Goods      | <b>Detailed Definition:</b><br>Tariff Trade Restrictiveness Index or TTRI (applied tariff including preferences) – All Goods calculates the equivalent uniform tariff of a country's tariff schedule that would keep domestic import levels constant, including preferential tariffs. Product level tariffs are weighted by import shares as well as the responsiveness of imports to price changes (import demand elasticity). It is                             | (WTI)<br><br>World Bank Development Research Group – Trade Research Unit DECRG using UNCTAD TRAINS and COMTRADE through WITS. See Kee, Nicita and Olarreaga (KNO), 2008 “Global Monitoring Report 2008 – Overall Trade Restrictiveness Indices” ( <a href="http://go.worldbank.org/C5VQJIV3H0">http://go.worldbank.org/C5VQJIV3H0</a> ).<br><br>The WTI's TTRI is equivalent to                                              | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                             | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <b>Data Sources</b>                                                                                                            | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|----------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                          | expressed as a tariff rate.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | "OTRI –Tariffs only" in KNO terminology.                                                                                       |                                  |                         |                                               |                                                                                                  |                                              |
| MFN applied tariff-Simple Average-All Goods (%)          | <b>Detailed Definition:</b> Simple mean most favored nation tariff rate is the unweighted average of most favored nation rates for all products subject to tariffs calculated for all traded goods. Data are classified using the Harmonized System of trade at the six- or eight-digit level. Tariff line data were matched to Standard International Trade Classification (SITC) revision 3 codes to define commodity groups. For more info: <a href="http://www.wto.org/english/res_e/statis_e/popup_indicator_help_e.htm">http://www.wto.org/english/res_e/statis_e/popup_indicator_help_e.htm</a> | WTI<br><br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database | Available online•                | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| MFN applied tariff-Dispersion-All Goods (AV or AV + AVE) | <b>Detailed Definition:</b> All Goods is calculated as the average of the MFN applied tariff rates (includes ad valorem only specific tariffs), available at HS 6- digit product level in a country's customs schedule. For more info <a href="http://www.wto.org/english/res_e/statis_e/popup_indicator_help_e.htm">http://www.wto.org/english/res_e/statis_e/popup_indicator_help_e.htm</a>                                                                                                                                                                                                          | WTI<br><br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database | Available online•                | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| MFN applied tariff-                                      | <b>Detailed Definition:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | WTI                                                                                                                            | Available                        | Country                 | Annual                                        | Calculate                                                                                        |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                  | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                                                                                             | <b>Data Sources</b>                                                                                                                       | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|---------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
| Maximum-All Goods (%)                                         | All Goods is calculated as the average of the MFN applied tariff rates (includes ad valorem only specific tariffs), available at HS 6- digit product level in a country's customs schedule. For more info <a href="http://www.wto.org/english/ress_e/statis_e/popup_indicator_help_e.htm">http://www.wto.org/english/ress_e/statis_e/popup_indicator_help_e.htm</a>                                | As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                       | online <sup>•</sup>              |                         |                                               | average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2.           |                                              |
| MFN applied tariff - Weighted Average - All Goods (%)         | <b>Detailed Definition:</b><br>All Goods is calculated as the average of the MFN applied tariff rates (includes ad valorem only specific tariffs), available at HS 6- digit product level in a country's customs schedule. For more info <a href="http://www.wto.org/english/ress_e/statis_e/popup_indicator_help_e.htm">http://www.wto.org/english/ress_e/statis_e/popup_indicator_help_e.htm</a> | WTI<br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| MFN applied (AV-only) tariff - Simple Average - All Goods (%) | <b>Detailed Definition:</b><br>MFN Applied Tariff (AVonly) – All Goods is calculated as the average of the MFN applied tariff rates (includes ad valorem only specific tariffs), available at HS 6- digit product level in a country's customs schedule.                                                                                                                                           | (WTI)<br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database for 2005-13. | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Applied Tariff - Dispersion - All                             | <b>Detailed Definition:</b><br>All Goods is calculated as the                                                                                                                                                                                                                                                                                                                                      | (WTI)<br>As calculated by the World Bank                                                                                                  | Available                        | Country                 | Annual                                        | Calculate average                                                                                |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                       | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                          | <b>Data Sources</b>                                                                                                                                                                                | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
| Goods (%)                                                          | average of the applied tariff rates including preferential rates, available at HS 6-digit product level in a country's customs schedule.                                                                                                                                        | Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                                                                                                                | online <sup>•</sup>              |                         |                                               | change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2.                   |                                              |
| Applied Tariff - Maximum - All Goods (%)                           | <b>Detailed Definition:</b><br>All Goods is calculated as the average of the applied tariff rates including preferential rates, available at HS 6-digit product level in a country's customs schedule.                                                                          | (WTI)<br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                                                                       | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Applied Tariff - Weighted Average - All Goods (%)                  | <b>Detailed Definition:</b><br>All Goods is calculated as the average of the applied tariff rates including preferential rates, available at HS 6-digit product level in a country's customs schedule.                                                                          | (WTI)                                                                                                                                                                                              | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Applied tariff escalation (%diff, raw to finished) - All Goods (%) | <b>Detailed Definition:</b><br>MFN Applied Tariff Escalation (difference – finished raw) – All Goods is calculated as the percentage point difference between the applied tariffs for finished (or fully processed) goods and the applied tariffs for raw materials (or primary | (WTI)<br>World Bank Institute. Until 2004 UNCTAD TRAINS through WITS using WTO classification of tariff lines for primary, intermediate, and finished product categories; ITC database for 2005-13 | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                         | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                           | <b>Data Sources</b>                                                                                                                                                                               | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                                      | products).                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                   |                                  |                         |                                               |                                                                                                  |                                              |
| Applied tariff escalation (%change, raw to finished) - All Goods (%) | <b>Detailed Definition:</b><br>MFN Applied Tariff Escalation (Percentage – finished raw) – All Goods is calculated as the percentage change between the applied tariffs for finished (or fully processed) goods and the applied tariffs for raw materials (or primary products). | (WTI)<br>World Bank Institute until 2004 UNCTAD TRAINS through WITS using WTO classification of tariff lines for primary, intermediate, and finished product categories; ITC database for 2005-13 | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| MFN-0 Import Value (% Total Imports) - All Goods                     | <b>Detailed Definition:</b><br>All Goods calculates the total share of lines in the country's tariff schedule that are duty free. It is expressed as a percentage of total lines.                                                                                                | (WTI)<br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                                                                      | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Share of Tariff Lines with MFN-0 - All Goods (%)                     | <b>Detailed Definition:</b><br>All Goods calculates the total share of lines in the country's tariff schedule that are duty free. It is expressed as a percentage of total lines.                                                                                                | (WTI)<br>As calculated by the World Bank Institute. UNCTAD TRAINS tariff database through WITS until 2004, then ITC database                                                                      | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Customs and Other Import Duties as a % of Imports                    | <b>Detailed Definition:</b><br>Customs and Other Import Duties (as a percent of Goods Imports) is calculated as customs and other import                                                                                                                                         | (WTI)<br>World Bank WDI database and IMF Government Finance Statistics database                                                                                                                   | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X                                                 |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                   | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                                                                                       | <b>Data Sources</b>                                                                               | <b>Data Collection Method(s)</b> | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                                                   | <b>Notes on Indicator/Person Responsible</b> |
|----------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------|-------------------------|-----------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------|
|                                                                | duties divided by goods imports of a country evaluated in US dollars. Since the collected duties or revenues are based import customs, the ratio represents the implicit ad valorem tariff of a country, except excluding certain exemptions in many developing countries. It is expressed as a percentage of goods imports. |                                                                                                   |                                  |                         |                                               | or compare country X to country Y in Y1 vs. Y2.                                                  |                                              |
| Share of Tariff Lines with Domestic Peaks - All Goods (%)      | <b>Detailed Definition:</b> Share of Tariff Lines with Domestic Peaks (%) All Goods calculates the total share of lines in the country's MFN tariff schedule with the value above 3 times the simple average tariff. It is expressed as a percentage of total lines.                                                         | (WTI)<br>World Bank Institute. UNCTAD TRAINS database through WITS until 2004, then ITC database  | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Share of Tariff Lines with International Peaks - All Goods (%) | <b>Detailed Definition:</b> Share of Tariff Lines with International Peaks (%) All Goods calculates the total share of lines in the country tariff schedule with applied tariff rates that exceeds 15 percent. It is expressed as a percentage of total lines.                                                               | (WTI)<br>World Bank Institute. UNCTAD TRAINS database through WITS until 2006, then ITC database. | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                              |
| Share of Tariff Lines Bound - All Goods (%)                    | <b>Detailed Definition:</b> Share of Tariff Lines Bound All Goods calculates the total                                                                                                                                                                                                                                       | (WTI)<br>World Bank Institute. UNCTAD                                                             | Available online <sup>•</sup>    | Country                 | Annual                                        | Calculate average change from                                                                    |                                              |

**Intended Results and Candidate Performance Indicators**

| Performance Indicator          | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Data Sources                                                                                                    | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                          | Notes on Indicator/Person Responsible |
|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|-------------------------------|------------------|----------------------------------------|--------------------------------------------------------------------------------------------------|---------------------------------------|
|                                | share of lines in the country's tariff schedule bound subject to WTO Negotiation Agreements. The bound rate is also called the ceiling rate which is the highest rate of duty levied on a product allowed under the GATT/WTO agreements in market access for the WTO members. It is expressed as a percentage of total lines.                                                                                                                                                                                                                                                                                                                       | TRAINS database through WITS until 2006, then ITC database.                                                     |                               |                  |                                        | Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2.                               |                                       |
| Total Overhang - All Goods (%) | <p><b>Detailed Definition:</b><br/>Total Overhang All Goods calculates the differences (hangover) between the average bound rates and the average MFN applied rates at the HS 6-digit tariff line level in a country's customs schedule. It is equivalent to subtracting the average of all MFN applied rates from the average of all bound rates for each country. Total Overhang can be negative as a result of: 1) It is final bound minus the current tariff (which may or may not be below the bound which has yet to be implemented) or 2) Both are simple averages and, after averaging, the averaged bound could fall below the average</p> | (WTI)<br><br>World Bank Institute. UNCTAD TRAINS database through WITS until 2004, then ITC database (2005-09). | Available online <sup>•</sup> | Country          | Annual                                 | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                       |

**Intended Results and Candidate Performance Indicators**

| Performance Indicator                                       | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                    | Data Sources                                                                                   | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                          | Notes on Indicator/Person Responsible |
|-------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|-------------------------------|------------------|----------------------------------------|--------------------------------------------------------------------------------------------------|---------------------------------------|
|                                                             | tariff as some tariffs may or may not have a bound. For countries with low World Trade Indicators 2009/10 Page 10 coverage of tariff lines binding, their tariff hangover will be larger and the concession commitments will be justified during new negotiations.                                                                                                                |                                                                                                |                               |                  |                                        |                                                                                                  |                                       |
| Specific Tariff Frequency Ratio (% Total Lines) - All Goods | <b>Detailed Definition:</b><br>Frequency Ratio of NonAd Valorem Tariff (% Total Lines)<br>All Goods calculates the number of HS tariff lines with at least one specific tariff, compound tariff or other non-ad valorem tariff, as a percentage share of the total number of HS tariff lines. A specific tariff is a tariff that does not vary with price, but is a tax per unit. | WTI<br>World Bank Institute. WTO IDB database through WITS through 2004. ITC database 2005-09. | Available online <sup>•</sup> | Country          | Annual                                 | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                       |
| <b>Result: Trade Agreements Signed</b>                      |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                |                               |                  |                                        |                                                                                                  |                                       |
| WTO Status                                                  | <b>Detailed Definition:</b> A country's status as a member of the WTO<br><br><b>Unit of Measure:</b> N/A                                                                                                                                                                                                                                                                          | WTO                                                                                            | Available online <sup>•</sup> | Country          | Annual; as needed                      | Calculate average change from Y1-Y2 in Country X or compare country X to country Y in Y1 vs. Y2. |                                       |



**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                                                           | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                      | <b>Data Sources</b>                 | <b>Data Collection Method(s)</b>                                  | <b>Disaggregated by</b>    | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                   | <b>Notes on Indicator/Person Responsible</b> |
|--------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------------------------------------|----------------------------|-----------------------------------------------|--------------------------------------------------|----------------------------------------------|
| RTA Membership                                                                                         | <p><b>Detailed Definition:</b> The status of a country's membership in an RTA(s)</p> <p><b>Unit of Measure:</b> N/A</p>                                                                                                                     | WTO                                 | Available online <sup>•</sup>                                     | Country                    | As needed                                     | Monitor changes in membership status from Y1-Y2. |                                              |
| <b>Result: Institutional Capacity (Policy Formulation, Negotiations, Implementation) Strengthened</b>  |                                                                                                                                                                                                                                             |                                     |                                                                   |                            |                                               |                                                  |                                              |
| Number of trade and investment diagnostics provided in support of policy formulation or implementation | <p><b>Detailed Definition:</b> Number of trade and investment diagnostics completed by project staff or consultants in support of policy formulation or implementation</p> <p><b>Unit of Measure</b></p>                                    | Activity Records                    | Project documents; interviews with project staff; project records |                            |                                               |                                                  |                                              |
| Number of participants in trade and investment environment trainings                                   | <p><b>Detailed Definition:</b> The number of project beneficiaries or key stakeholders attending trainings held by the project</p> <p><b>Unit of Measure:</b> Number of people</p>                                                          | Activity Records; attendance sheets | Project documents; interviews with project staff; project records | Sex; firm; industry/sector | Quarterly                                     | Simple count; average number of participants     |                                              |
| Number of government agencies/departments established or strengthened as a result of the project       | <p><b>Detailed Definition:</b> The number of government agencies and/or departments within the government that were established or strengthened directly because of or by the project</p> <p><b>Unit of Measure:</b> Number of agencies</p> | Activity Records                    | Project documents; interviews with project staff; project records | N/A                        | Bi-annual                                     | Simple count                                     |                                              |

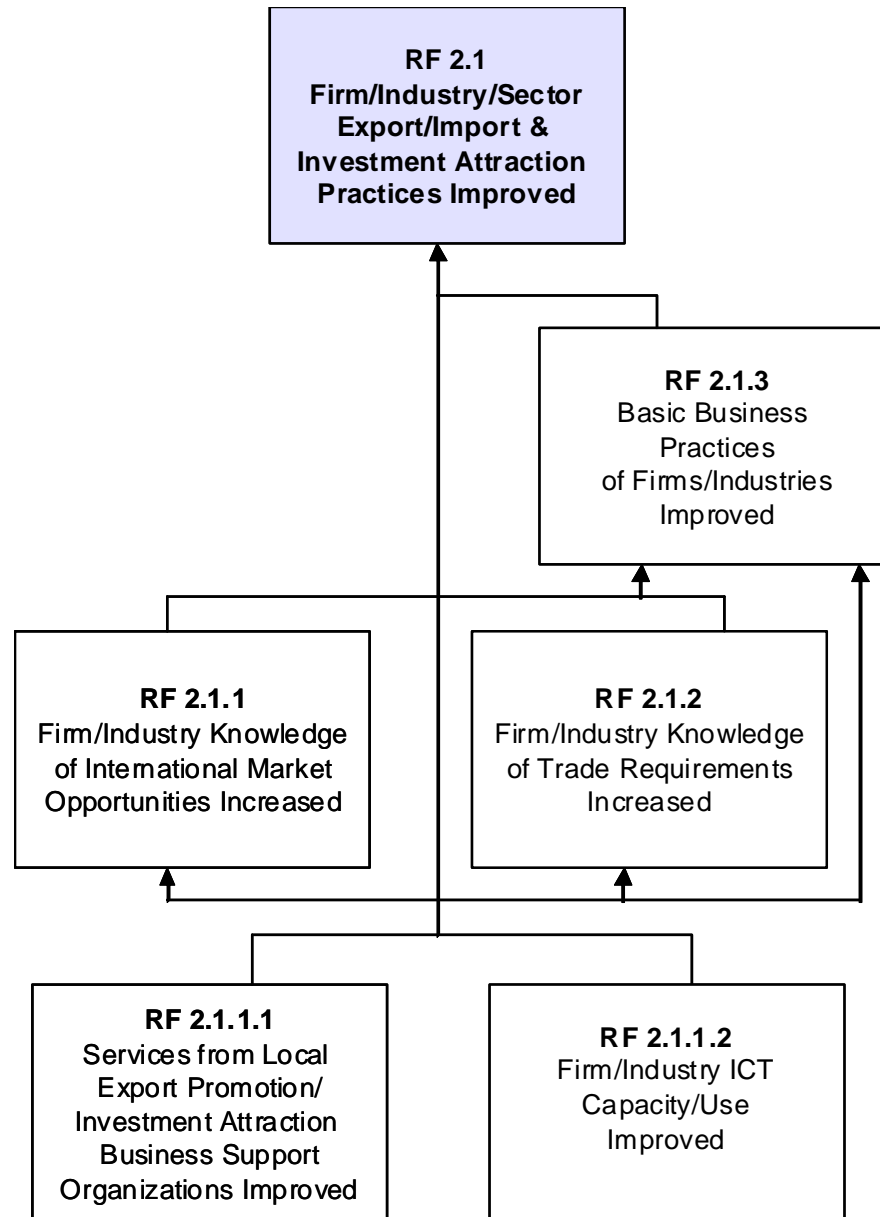
**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                                                                                    | <b>Definition/<br/>Unit of Measure</b>                                                                                                                                                                                                                | <b>Data Sources</b> | <b>Data Collection Method(s)</b>                                  | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                | <b>Notes on Indicator/Person Responsible</b> |
|---------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------------------------------------------------|-------------------------|-----------------------------------------------|-----------------------------------------------|----------------------------------------------|
| <b>Result: Public and Civil Service Awareness/Support for Trade Agreements &amp; Supportive Trade/Business Polices Enhanced</b> |                                                                                                                                                                                                                                                       |                     |                                                                   |                         |                                               |                                               |                                              |
| Number of Consultative Processes or Bodies with Private Sector as a Result of USG Assistance                                    | <p><b>Detailed Definition:</b><br/>Number of consultation processes, including meetings, discussions, workshops, etc that occur with the private sector as a results of the project</p> <p><b>Unit of Measure:</b> Number of processes</p>            | Activity Records    | Project documents; interviews with project staff; project records | N/A                     | Bi-annual                                     | Simple count                                  |                                              |
| Number of Public forums or seminars held about the benefits of trade agreements                                                 | <p><b>Detailed Definition:</b><br/>Number of forums or seminars held that were open to the public or key stakeholders, discussing the benefits of trade agreements to increase awareness</p> <p><b>Unit of Measure:</b> Number of forums/seminars</p> | Activity Records    | Project documents; interviews with project staff; project records | N/A                     | Bi-annual                                     | Simple count                                  |                                              |
| Number of policies or agreements lobbied, negotiated and/or recommended for adoption                                            | <p><b>Detailed Definition:</b> The number of policies or agreements lobbied, negotiated, and/or recommended for adoptions as a result of project activities.</p> <p><b>Unit of Measure:</b> Number of policies</p>                                    | Activity Records    | Project documents; interviews with project staff; project records | N/A                     | Bi-annual                                     | Simple count; Compare number in Y1 vs Y2, etc |                                              |
| Percentage of                                                                                                                   | <b>Detailed Definition:</b> Ratio of                                                                                                                                                                                                                  | Activity Records    | Project                                                           | Sex; firm;              | Quarterly                                     | Calculate                                     |                                              |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b>                                                           | <b>Definition/<br/>Unit of Measure</b>                                                                                                                             | <b>Data Sources</b> | <b>Data Collection Method(s)</b>                                  | <b>Disaggregated by</b>    | <b>Data Collection Frequency and Schedule</b> | <b>Data Analysis Method(s)</b>                                        | <b>Notes on Indicator/Person Responsible</b> |
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| individuals in target group who report increased openness toward trade liberalization. | individuals who report increased openness to total universe<br><br><b>Unit of Measure:</b> Percent                                                                 |                     | documents; interviews with project staff; project records         | industry/sector            |                                               | average change in percentage of individuals from Y1-Y2 or by industry |                                              |
| Number of people receiving information                                                 | <b>Detailed Definition:</b> Number of people receiving information from project sources or as a result of project activities<br><br><b>Unit of Measure:</b> Number | Activity Records    | Project documents; interviews with project staff; project records | Sex; firm; industry/sector | Quarterly                                     | Simple count; average number of participants                          |                                              |

**Results Framework 2.1: Private Sector  
Practices Improved**



## Performance Indicator Candidates

### Firm/Industry/Sector Export/Import Practices Improved

#### Illustrative Component/Activity Performance Indicators Worksheet

##### Intended Results and Candidate Performance Indicators

| Performance Indicator                                          | Definition/<br>Unit of Measure                                                                                                                                                                   | Data Sources | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                  | Notes on Indicator/Person Responsible |
|----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|---------------------------|------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| <b>Result: Private Sector Export/Import Practices Improved</b> |                                                                                                                                                                                                  |              |                           |                  |                                        |                                                                                                                                          |                                       |
| ISO 9000 Certifications per million inhabitants                | <b>Detailed Definition:</b><br>Number of firms with ISO 9000 certifications per million inhabitants. Calculated ratio of certifications to people<br><br><b>Unit of Measure:</b><br>Number/Ratio | ISO          | Available online •        | Country          | Annual                                 | Simple count                                                                                                                             |                                       |
| Number of Products Exported                                    | <b>Detailed Definition:</b> The number of products exported by a country<br><br><b>Unit of Measure:</b><br>Number                                                                                | WTI          | Available online •        | Country          | Annual                                 | Calculate change in number of products; can compare to pre- and post-project assistance depending on project focus (and ability to gauge |                                       |

| Intended Results and Candidate Performance Indicators                                        |                                                                                                                                                                          |                       |                                                                   |                                    |                                        |                                                                                                                                                          |                                                                                            |
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| Performance Indicator                                                                        | Definition/<br>Unit of Measure                                                                                                                                           | Data Sources          | Data Collection Method(s)                                         | Disaggregated by                   | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                  | Notes on Indicator/Person Responsible                                                      |
|                                                                                              |                                                                                                                                                                          |                       |                                                                   |                                    |                                        | attribution)                                                                                                                                             |                                                                                            |
| Number of Products Imported                                                                  | <p><b>Detailed Definition:</b> The number of products imported by a country</p> <p><b>Unit of Measure:</b> Number</p>                                                    | WTI                   | Available online •                                                | Country                            | Annual                                 | Calculate change in number of products; can compare to pre- and post-project assistance depending on project focus (and ability to gauge attribution)    |                                                                                            |
| Average sales of women-owned and men-owned export businesses by sector and size of business. | <p><b>Detailed Definition:</b> The average value in US\$ of sales in exports by businesses engaged in exporting products</p> <p><b>Unit of Measure:</b> \$US</p>         | Activity Records      | Project documents; interviews with project staff; project records | Sex, sector; size                  | Annual                                 | Calculate change in value of export sales; can compare to pre- and post-project assistance depending on project focus (and ability to gauge attribution) |                                                                                            |
| % of Firms Exporting                                                                         | <p><b>Detailed Definition:</b> The ratio of firms, in a country, exporting to the total number of registered firms in country</p> <p><b>Unit of Measure:</b> Percent</p> | WB Enterprise Surveys | Available online •                                                | Sector; country; women-owned firms | Annual                                 | Calculate change in ratio/percentage from Y1 to Y2; can attempt to attribute to project activities if firms                                              | Data on sector may not be available via the WB Enterprise surveys without further research |

| Intended Results and Candidate Performance Indicators                  |                                                                                                                                                                                                                                                                                                                                                                                               |                                                                              |                           |                  |                                        |                                                                                                                                                                |                                                                                            |
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| Performance Indicator                                                  | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                                                                                | Data Sources                                                                 | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                        | Notes on Indicator/Person Responsible                                                      |
|                                                                        |                                                                                                                                                                                                                                                                                                                                                                                               |                                                                              |                           |                  |                                        | now exporting were supported by project activities                                                                                                             |                                                                                            |
| % of Firms that Use Material Inputs and/or Suppliers of Foreign Origin | <p><b>Detailed Definition:</b> The ratio of firms that use material inputs and/or suppliers of foreign origin to the total number of registered firms in country</p> <p><b>Unit of Measure:</b> Percent</p>                                                                                                                                                                                   | WB Enterprise Surveys                                                        | Available online •        | Sector; country  | Annual                                 | Calculate change in ratio/percentage from Y1 to Y2; can attempt to attribute to project activities if firms now exporting were supported by project activities | Data on sector may not be available via the WB Enterprise surveys without further research |
| Extent of staff training                                               | <p><b>Detailed Definition:</b> Average responses in each country to questions included in the World Economic Forum's Executive Opinion Survey, conducted in the early months of each year.</p> <p>The general approach of companies in your country to human resources is (1 = to invest little in training and employee development, 7 = to invest heavily to attract, train, and retain</p> | GCR indicator 5.08<br>Source: World Economic Forum, Executive Opinion Survey | Available online •        | N/A              | Annual                                 |                                                                                                                                                                |                                                                                            |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                              |                               |                  |                                        |                         |                                       |
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| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                  | Data Sources                                                                                                                                                                                                                                                 | Data Collection Method(s)     | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                       | employees)<br><br><b>Unit of Measure:</b> Scale                                                                                                                                                                                 |                                                                                                                                                                                                                                                              |                               |                  |                                        |                         |                                       |
| Customer Orientation                                  | <b>Detailed Definition:</b><br>Imports of goods and services as a percentage of gross domestic product   Total imports is the sum of total imports of merchandise and commercial services.<br><br><b>Unit of Measure:</b> Scale | GCR indicator 6.14, Sources: World Trade Organization, Statistical Database: Time Series on merchandise and commercial services (accessed June 4, 2012); International Monetary Fund, World Economic Outlook Database (April 2012 edition); national sources | Available online <sup>•</sup> |                  | Annual                                 |                         |                                       |
| Nature of competitive advantage                       | <b>Detailed Definition:</b><br>Index component of the Global Competitiveness Report. Survey response to question on nature of competitive advantage in X country, out of a ranking 1-7 in the Executive Opinion Survey          | GCR indicator 11.04                                                                                                                                                                                                                                          | Available online <sup>•</sup> | Country          | Annual                                 |                         |                                       |



| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                   |                     |                           |                  |                                        |                         |                                       |
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| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                                                                    | Data Sources        | Data Collection Method(s) | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s) | Notes on Indicator/Person Responsible |
|                                                       | <b>Unit of Measure:</b> Scale                                                                                                                                                                                                                                     |                     |                           |                  |                                        |                         |                                       |
| Value chain breadth                                   | <b>Detailed Definition:</b><br>Index component of the Global Competitiveness Report. Survey response to question on Value chain breadth in X country, out of a ranking 1-7 in the Executive Opinion Survey<br><br><b>Unit of Measure:</b> Scale                   | GCR indicator 11.05 | Available online •        |                  | Annual                                 |                         |                                       |
| Control of international distribution                 | <b>Detailed Definition:</b><br>Index component of the Global Competitiveness Report. Survey response to question on control of international distribution in X country, out of a ranking 1-7 in the Executive Opinion Survey<br><br><b>Unit of Measure:</b> Scale | GCR indicator 11.06 | Available online •        |                  | Annual                                 |                         |                                       |
| Production process sophistication                     | <b>Detailed Definition:</b><br>Index component of the Global Competitiveness Report. Survey response to question on production process sophistication in X country, out of a ranking 1-7 in the Executive Opinion Survey<br><br><b>Unit of Measure:</b> Scale     | GCR indicator 11.07 | Available online •        | N/A              | Annual                                 |                         |                                       |
| Extent of marketing                                   | <b>Detailed Definition:</b><br>Index component of the                                                                                                                                                                                                             | GCR indicator 11.08 | Available online •        | N/A              | Annual                                 |                         |                                       |

| Intended Results and Candidate Performance Indicators                                   |                                                                                                                                                                                                                                                   |                    |                                                                   |                                        |                                        |                                                                       |                                       |
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| Performance Indicator                                                                   | Definition/<br>Unit of Measure                                                                                                                                                                                                                    | Data Sources       | Data Collection Method(s)                                         | Disaggregated by                       | Data Collection Frequency and Schedule | Data Analysis Method(s)                                               | Notes on Indicator/Person Responsible |
|                                                                                         | Global Competitiveness Report. Survey response to question on extent of marketing in X country, out of a ranking 1-7 in the Executive Opinion Survey<br><b>Unit of Measure:</b> Scale                                                             |                    |                                                                   |                                        |                                        |                                                                       |                                       |
| Ease of access to loans                                                                 | <b>Detailed Definition:</b><br>Index component of the Global Competitiveness Report. Survey response to question on ease of access to loans in X country, out of a ranking 1-7 in the Executive Opinion Survey<br><b>Unit of Measure:</b> Scale N | GCR indicator 8.03 | Available online •                                                | N/A                                    | Annual                                 |                                                                       |                                       |
| <b>Result: Private Sector Knowledge of International Market Opportunities Increased</b> |                                                                                                                                                                                                                                                   |                    |                                                                   |                                        |                                        |                                                                       |                                       |
| Number of firms that participate in international trade fairs                           | <b>Detailed Definition:</b><br>Number of firms directly (or indirectly affected, if decided by project/activity) supported by the project that participate in international trade fairs<br><br><b>Unit of Measure:</b>                            | Activity Records   | Project documents; interviews with project staff; project records | Sector; sex; location; HITC code; Size | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |

| Intended Results and Candidate Performance Indicators                                       |                                                                                                                                                                                      |                  |                                                                                                                        |                                        |                                        |                                                                       |                                       |
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| Performance Indicator                                                                       | Definition/<br>Unit of Measure                                                                                                                                                       | Data Sources     | Data Collection Method(s)                                                                                              | Disaggregated by                       | Data Collection Frequency and Schedule | Data Analysis Method(s)                                               | Notes on Indicator/Person Responsible |
| Number of firms linked through import/export Internet clearinghouses                        | <b>Detailed Definition:</b><br>Number of firms supported by the project/activity that are linked virtually via import/export internet clearinghouses<br><b>Unit of Measure:</b>      | Activity Records | Project documents; interviews with project staff; project records                                                      | Sector; sex; location; HITS code; Size | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of potential buyers identified/surveyed                                              | <b>Detailed Definition:</b> The number of potential buyers for firms supported by the project that are identified and/or surveyed by the firms or project<br><b>Unit of Measure:</b> | Activity Records | Project documents; interviews with project staff; project records                                                      | Sex; location                          | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of meetings between producers and potential buyers                                   | <b>Detailed Definition:</b><br>Number of in-person or virtual meetings between producers and potential buyers to discuss business and trade deals<br><b>Unit of Measure:</b>         | Activity Records | Project documents; interviews with project staff; project records                                                      | N/A                                    | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of individuals reporting increased knowledge of market opportunities                 | <b>Detailed Definition:</b><br>Number of people trained by the activity/project that have increased knowledge of market opportunities<br><b>Unit of Measure:</b><br>Number           | Activity Records | Survey; Pre- or Post-test from activity or training; Project documents; interviews with project staff; project records | Sex; location                          | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| <b>Result: Private Sector Knowledge of Trade Requirements &amp; How to Comply Increased</b> |                                                                                                                                                                                      |                  |                                                                                                                        |                                        |                                        |                                                                       |                                       |

| Intended Results and Candidate Performance Indicators                                                             |                                                                                                                                                                                                                    |                  |                                                                   |                                                       |                                        |                                                                       |                                       |
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| Performance Indicator                                                                                             | Definition/<br>Unit of Measure                                                                                                                                                                                     | Data Sources     | Data Collection Method(s)                                         | Disaggregated by                                      | Data Collection Frequency and Schedule | Data Analysis Method(s)                                               | Notes on Indicator/Person Responsible |
| Number of firms receiving training on trade requirements, including SPS standards                                 | <b>Detailed Definition:</b> Number of firms receiving training from the project on trade requirements, including SPS standards necessary to trade<br><b>Unit of Measure:</b> Number                                | Activity Records | Project documents; interviews with project staff; project records | Sector; location; size; sex (of ownership); HITC code | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of trainees trained about standards & requirements                                                         | <b>Detailed Definition:</b> The number of firm staff trained in standards and requirements for trading by the Project.                                                                                             | Activity Records | Project documents; interviews with project staff; project records | Sex;                                                  | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| <b>Result: Basic Business Practices of Private Sector Firms/Farms Improved</b>                                    |                                                                                                                                                                                                                    |                  |                                                                   |                                                       |                                        |                                                                       |                                       |
| Percent change in product value added                                                                             | <b>Detailed Definition:</b> The percent change in product value added, taken as the difference from the original to the new value divided by the original value (i.e., difference/original value)                  | Activity Records | Project documents; interviews with project staff; project records | Sector; product type                                  | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of targeted firms/farms who have adopted new technologies or practices for management (managing personnel, | <b>Detailed Definition:</b> The number of firms/farms targeted by the project who have adopted new technologies or practices for management (managing personnel, budgets, workflow, communicating with staff, etc) | Activity Records | Project documents; interviews with project staff; project records | Sector; size; location; sex; HITC code                | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |

| Intended Results and Candidate Performance Indicators                             |                                                                                                                                                                                                                                            |                  |                                                                   |                   |                                        |                                                                       |                                       |
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| Performance Indicator                                                             | Definition/<br>Unit of Measure                                                                                                                                                                                                             | Data Sources     | Data Collection Method(s)                                         | Disaggregated by  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                               | Notes on Indicator/Person Responsible |
| budgets, and/or workflow, communicating with staff, etc)                          | <b>Unit of Measure:</b><br>Number                                                                                                                                                                                                          |                  |                                                                   |                   |                                        |                                                                       |                                       |
| Number of additional hectares under improved technologies or management practices | <b>Detailed Definition:</b><br>Number of additional hectares under improved technologies or management practices<br><br><b>Unit of Measure:</b><br>Hectares                                                                                | Activity Records | Project documents; interviews with project staff; project records | Location; product | Annual                                 | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Total factor productivity in firms or industry clusters increased                 | <b>Detailed Definition:</b><br>Total factor productivity in firms or industry clusters increased                                                                                                                                           | Activity Records | Project documents; interviews with project staff; project records |                   | Annual                                 | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Change in size of firm                                                            | <b>Detailed Definition:</b> Size of firm after treatment minus size of firm before treatment divided by the size of firm before treatment to calculate the percentage increase/decrease<br><br><b>Unit of Measure:</b><br>Percent Increase | Activity Records | Project documents; interviews with project staff; project records |                   | Annual                                 | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Marketable value (a product of its productive yield and the value added through   | <b>Detailed Definition:</b><br>Marketable value of product (a product of its productive yield and the value added through                                                                                                                  | Activity Records | Project documents; interviews with project staff; project records | Product/sector    | Annual                                 | Change in number from Y1-Y2; compare achieved from baseline to        |                                       |

| Intended Results and Candidate Performance Indicators                                                                                        |                                                                                                                                                                                                                                      |                  |                                                                   |                          |                                        |                                                                       |                                       |
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| Performance Indicator                                                                                                                        | Definition/<br>Unit of Measure                                                                                                                                                                                                       | Data Sources     | Data Collection Method(s)                                         | Disaggregated by         | Data Collection Frequency and Schedule | Data Analysis Method(s)                                               | Notes on Indicator/Person Responsible |
| processing and marketing)                                                                                                                    | processing and marketing)<br><b>Unit of Measure:</b> US\$                                                                                                                                                                            |                  |                                                                   |                          |                                        | target                                                                |                                       |
| Number of post-harvest and processing technologies introduced and adopted by associations and agro-entrepreneurs                             | <b>Detailed Definition:</b><br>Number of post-harvest and processing technologies introduced and adopted by associations and agro-entrepreneurs<br><b>Unit of Measure:</b><br>Number of technologies                                 | Activity Records | Project documents; interviews with project staff; project records | Product/sector           | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of agro-entrepreneurs/firms trained in the use of good (agricultural) techniques                                                      | <b>Detailed Definition:</b><br>Number of agro-entrepreneurs/firms trained in the use of good (agricultural) techniques<br><b>Unit of Measure:</b><br>Number of people                                                                | Activity Records | Project documents; interviews with project staff; project records | Sector; sex              | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of producers using new techniques or improved inputs for production (not necessarily for the purpose of meeting international demand) | <b>Detailed Definition:</b><br>Number of producers using new techniques or improved inputs for production (not necessarily for the purpose of meeting international demand)<br><b>Unit of Measure:</b><br>Number of people/producers | Activity Records | Project documents; interviews with project staff; project records | Sector; sex; women-owned | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| # of target firms using business plans                                                                                                       | <b>Detailed Definition:</b><br>Number of firms supported by the project using approved business                                                                                                                                      | Activity Records | Project documents; interviews with project staff;                 | Sector; sex; women-owned | Quarterly                              | Change in number from Y1-Y2; compare achieved from                    |                                       |

| Intended Results and Candidate Performance Indicators                                             |                                                                                                                                                                                                                                                                                                                                    |                  |                                                                   |                                        |                                        |                                                                                                                                                             |                                       |
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| Performance Indicator                                                                             | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                                                     | Data Sources     | Data Collection Method(s)                                         | Disaggregated by                       | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                                                                                                     | Notes on Indicator/Person Responsible |
|                                                                                                   | plans to manage their firms and business<br><br><b>Unit of Measure:</b><br>Number of firms                                                                                                                                                                                                                                         |                  | project records                                                   |                                        |                                        | baseline to target                                                                                                                                          |                                       |
| Reduced production costs in target firms/sectors/districts (\$ needed to run the firm)            | <b>Detailed Definition:</b><br>The reduction in production costs, i.e., the money needed to manage and operate the firm in a given year, in the targeted firms/sectors/ districts<br><br><b>Unit of Measure:</b> US\$                                                                                                              | Activity Records | Project documents; interviews with project staff; project records | Sector; women owned                    | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target                                                                                       |                                       |
| # of target firms using improved ICT to manage basic business operations (budget, personnel, etc) | <b>Detailed Definition:</b><br>Number of firms supported by the project/activity using ICT that is better than the baseline to manage their basic business operations in areas of improved budget software/practices, more knowledgeable personnel; better processes and systems<br><br><b>Unit of Measure:</b><br>Number of firms | Activity Records | Project documents; interviews with project staff; project records | Sector; women-owned; country; location | Quarterly                              | Change in number from Y1-Y2; compare achieved from baseline to target. Need to determine best method for determining baseline value of ICT status for firms |                                       |
| Volume of production in targeted firm/sector                                                      | <b>Detailed Definition:</b><br>The amount of goods produced by supported firms or the aggregate amount of goods produced                                                                                                                                                                                                           | Activity Records | Project documents; interviews with project staff; project records | Sector; firm; country; location        | Quarterly                              | Calculate change in number from Y1-Y2; compare achieved from                                                                                                |                                       |

| Intended Results and Candidate Performance Indicators                                          |                                                                                                                                                                                                                                                                                               |                  |                                                                      |                       |                                          |                                                                                 |                                       |
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| Performance Indicator                                                                          | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                                | Data Sources     | Data Collection Method(s)                                            | Disaggregated by      | Data Collection Frequency and Schedule   | Data Analysis Method(s)                                                         | Notes on Indicator/Person Responsible |
|                                                                                                | by all firms in the targeted sector<br><br><b>Unit of Measure:</b><br>Volume                                                                                                                                                                                                                  |                  |                                                                      |                       |                                          | baseline to target                                                              |                                       |
| Number of firms/trainees with increased knowledge of basic business and/export practices       | <b>Detailed Definition:</b><br>Number of firms/trainees with increased knowledge of basic business and/export practices as a result of project-level training, as evidenced by pre- and post-training tests, observation, or surveys<br><br><b>Unit of Measure:</b><br>Number of people/firms | Activity Records | Project documents; Pre- and post-training tests; survey; observation | Sector; sex; location | Quarterly                                | Calculate change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| <b>Result: Services from Export Promotion/Business Support Organizations Provided/Improved</b> |                                                                                                                                                                                                                                                                                               |                  |                                                                      |                       |                                          |                                                                                 |                                       |
| Number of new viable BSOs formed                                                               | <b>Detailed Definition:</b><br>Number of new, viable, BSOs formed. New BSOs monitored quarterly, and checked annually for sustainability and regularity<br><br><b>Unit of Measure:</b><br>Number                                                                                              | Activity Records | Project documents; interviews with project staff; project records    | Sector; sex; location | Quarterly/<br>Annual                     | Calculate change in number from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of exporters entering new clusters                                                      | <b>Detailed Definition:</b><br>Number of new, viable export clusters formed. New Clusters monitored quarterly, and checked annually for sustainability                                                                                                                                        | Activity Records | Project documents; interviews with project staff; project records    | Sector, sex, location | Monitored quarterly; aggregated annually | Calculate change in number from Y1-Y2; compare achieved from baseline to        |                                       |



| Intended Results and Candidate Performance Indicators                                                                                                                                                  |                                                                                                                                                                                                                                                                                |                  |                                                                   |                       |                                        |                                                                                  |                                       |
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| Performance Indicator                                                                                                                                                                                  | Definition/<br>Unit of Measure                                                                                                                                                                                                                                                 | Data Sources     | Data Collection Method(s)                                         | Disaggregated by      | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                          | Notes on Indicator/Person Responsible |
|                                                                                                                                                                                                        | and regularity<br><br><b>Unit of Measure:</b>                                                                                                                                                                                                                                  |                  |                                                                   |                       |                                        | target                                                                           |                                       |
| Number of enterprises receiving business development services from USG-assisted sources                                                                                                                | <b>Detailed Definition:</b><br>Number of enterprises receiving business development services from USG-assisted sources<br><br><b>Unit of Measure:</b><br>Number                                                                                                                | Activity Records | Project documents; interviews with project staff; project records | Sector; sex; location | Annual                                 | Calculate change in number from Y1-Y2; compare achieved from baseline to target  |                                       |
| Number of legal, regulatory, or institutional actions taken to improve implementation or compliance with international trade and investment agreements due to support from USG-supported organizations | <b>Detailed Definition:</b><br>Number of legal, regulatory, or institutional actions taken to improve implementation or compliance with international trade and investment agreements due to support from USG-supported organizations<br><br><b>Unit of Measure:</b><br>Number | Activity Records | Project documents; interviews with project staff; project records | N/A                   | Annual                                 | Calculate change in number from Y1-Y2; compare achieved from baseline to target  |                                       |
| Revenue earned by targeted BSOs                                                                                                                                                                        | <b>Detailed Definition:</b> The amount of money, in USD, earned by BSOs targeted by project activities, as a result of USG assistance<br><br><b>Unit of Measure:</b> US\$                                                                                                      | Activity Records | Project documents; interviews with project staff; project records | Sector; sex; location | Annual                                 | Calculate change in revenue from Y1-Y2; compare achieved from baseline to target |                                       |
| Number of new services offered by BSOs as a                                                                                                                                                            | <b>Detailed Definition:</b><br>New relevant services offered by BSOs as a result                                                                                                                                                                                               | Activity Records | Project documents; interviews with                                | Sector; sex; location | Annual                                 | Calculate change in number from                                                  |                                       |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                              |              |                                   |                  |                                        |                                                                 |                                       |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|-----------------------------------|------------------|----------------------------------------|-----------------------------------------------------------------|---------------------------------------|
| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                               | Data Sources | Data Collection Method(s)         | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                         | Notes on Indicator/Person Responsible |
| result of assistance                                  | of assistance<br><br><b>Unit of Measure:</b><br>Number                                                                                                                                                                       |              | project staff;<br>project records |                  |                                        | Y1-Y2; compare achieved from baseline to target                 |                                       |
| <b>Result: ITC Capacity/Use Expanded</b>              |                                                                                                                                                                                                                              |              |                                   |                  |                                        |                                                                 |                                       |
| Mobile Phone subscribers per 100 inhabitants          | <b>Detailed Definition:</b><br>Number of mobile phone subscribers per 100 inhabitants in supported country, as stated by UNCTAD database<br><br><b>Unit of Measure:</b><br>Number                                            | UNCTAD       | Available online •                | Sex              | Annual                                 | Calculate change from Y1 to Y2; compare country X to country Y; |                                       |
| Broadband subscribers per 100 inhabitants             | <b>Detailed Definition:</b><br>Number of broadband subscribers per 100 inhabitants in supported country, as stated by UNCTAD database<br><br><b>Unit of Measure:</b><br>Number                                               | UNCTAD       | Available online •                | Sex              | Annual                                 | Calculate change from Y1 to Y2; compare country X to country Y; |                                       |
| Internet Users per 100 inhabitants                    | <b>Detailed Definition:</b><br>Number of people, per 100 inhabitants, with access to the worldwide network, as estimated by World Telecommunication Development Report and database<br><br><b>Unit of Measure:</b><br>Number | WDI          | Available online •                | Country          | Annual                                 | Calculate change from Y1 to Y2; compare country X to country Y; |                                       |

| Intended Results and Candidate Performance Indicators                                                              |                                                                                                                                                                                                                                                                      |                       |                                                                   |                              |                                        |                                                                                       |                                                                                                         |
|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------|------------------------------|----------------------------------------|---------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| Performance Indicator                                                                                              | Definition/<br>Unit of Measure                                                                                                                                                                                                                                       | Data Sources          | Data Collection Method(s)                                         | Disaggregated by             | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                               | Notes on Indicator/Person Responsible                                                                   |
| Firm-level technology absorption                                                                                   | <p><b>Detailed Definition:</b><br/>Average response by firms to question “to what extent do businesses in your country absorb new technology on a scale of 1-7 (1 = not at all) on Global Competitiveness Report survey</p> <p><b>Unit of Measure:</b> 1-7 Scale</p> | GCR indicator 9.02    | Available online •                                                | Country                      | Annual                                 | Calculate change from Y1 to Y2; compare country X to country Y;                       | Not necessarily collected on an annual basis; occasionally the GCR indicators change from year to year. |
| Percent of Firms using their own Websites                                                                          | <p><b>Detailed Definition:</b> The percent of firms, as determined by responses from firms in country to the WB Enterprise annual Survey, currently using their own website</p> <p><b>Unit of Measure:</b> Percentage/Ratio</p>                                      | WB Enterprise Surveys | Available online •                                                | Country                      | Annual                                 | Calculate change from Y1 to Y2; compare country X to country Y;                       |                                                                                                         |
| Number of target firms/sectors/districts who receive computer or other ITC equipment as a result of USG assistance | <p><b>Detailed Definition:</b><br/># of target firms/sectors/districts who receive computer or other ITC equipment as a result of USG assistance</p> <p><b>Unit of Measure:</b> Number</p>                                                                           | Activity Records      | Project documents; interviews with project staff; project records | Sector; women-owned; country | Quarterly                              | Compare # of firms by sector/industry; by country; by women-owned; years of operation |                                                                                                         |
| Number of target                                                                                                   | <b>Detailed Definition:</b>                                                                                                                                                                                                                                          | Activity Records      | Project                                                           | Sector;                      | Quarterly                              | Compare # of                                                                          |                                                                                                         |

| Intended Results and Candidate Performance Indicators                                                                                                   |                                                                                                                                                                                                                   |                  |                                                                                                                                    |                                   |                                        |                                                                          |                                       |
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| Performance Indicator                                                                                                                                   | Definition/<br>Unit of Measure                                                                                                                                                                                    | Data Sources     | Data Collection Method(s)                                                                                                          | Disaggregated by                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                                  | Notes on Indicator/Person Responsible |
| firms/sectors/districts who have a website as a result of USG assistance (designed by project staff or other partner, without consultation of the firm) | Number of target firms/sectors/districts who have a website as a result of USG assistance (designed by project staff or other partner, without consultation of the firm)<br><br><b>Unit of Measure:</b><br>Number |                  | documents; interviews with project staff; project records; observation of website – initial question via mini survey               | women-owned; country              |                                        | firms by sector/industry; by country; by women-owned; years of operation |                                       |
| Number of people achieving UNESCO's International Computer Driver's License certification                                                               | <b>Detailed Definition:</b><br>Number of people achieving UNESCO's International Computer Driver's License certification<br><br><b>Unit of Measure:</b><br>Number                                                 | Activity Records | Project documents; interviews with project staff; project records; observation of records, crosschecked with project beneficiaries | Sector; firm type; women-owned    | Quarterly                              | Simple Count; compare average number per years                           |                                       |
| Number of staff benefited through IT training (e.g. based on post-training evaluation where participants rate training)                                 | <b>Detailed Definition:</b><br>Number of staff benefited by IT training as delineated by training post-tests/score sheets.<br><br><b>Unit of Measure:</b><br>Number                                               | Activity Records | Project documents; interviews with project staff; project records; survey; observation of trainees                                 | Sex; industry/sector; women-owned | Quarterly                              | Simple Count; compare average number per years                           |                                       |
| Number of staff trained to use email                                                                                                                    | <b>Detailed Definition:</b><br>Number of staff trained to use email<br><br><b>Unit of Measure:</b><br>Number                                                                                                      | Activity Records | Project documents; interviews with project staff; project records; survey or                                                       | Sex; industry/sector; women-owned | Quarterly                              | Simple Count; compare average number per years                           |                                       |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                   |                  |                                                                                       |                                   |                                        |                                                           |                                       |
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| Performance Indicator                                 | Definition/<br>Unit of Measure                                                                                                                                                                                    | Data Sources     | Data Collection Method(s)                                                             | Disaggregated by                  | Data Collection Frequency and Schedule | Data Analysis Method(s)                                   | Notes on Indicator/Person Responsible |
|                                                       |                                                                                                                                                                                                                   |                  | observation of trainees                                                               |                                   |                                        |                                                           |                                       |
| Number of people that learned to use teleconferencing | <p><b>Detailed Definition:</b><br/>Number of people that learned to use teleconferencing as a result of project activities</p> <p><b>Unit of Measure:</b><br/>Number</p>                                          | Activity Records | Project documents; interviews with project staff; project records; survey of trainees | Sex; industry/sector; women-owned | Quarterly                              | Simple Count; compare average number per years            |                                       |
| Number of hits on new website                         | <p><b>Detailed Definition:</b><br/>Number of new/unique hits on a website, as determined by specific IP addresses and unique visitor records</p> <p><b>Unit of Measure:</b><br/>Number of hits on new website</p> | Activity Records | Project documents; interviews with project staff; project records                     | Sex; location                     | Quarterly                              | Simple Count; compare average number per years; per month |                                       |

## Cross-cutting Trade Hub Indicators

### (Selected) Illustrative Project Performance Indicators Worksheet

#### Intended Results and Candidate Performance Indicators

| Performance Indicator                          | Definition and Unit of Measure                                                                                                      | Data Sources                | Data Collection Method(s)                                                                               | Disaggregated by | Data Collection Frequency and Schedule <sup>60</sup> | Data Analysis Method(s)                          | Person Responsible |
|------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------|--------------------------------------------------|--------------------|
| <b>Result</b>                                  | *Result here will be specific to Trade Hub Objective*                                                                               |                             |                                                                                                         |                  |                                                      |                                                  |                    |
| Conferences/workshops held                     | Number of conferences/workshops held on key topics in order to increase knowledge, awareness, or to advocate for key policy changes | Activity/ Trade Hub Records | Project documents; interviews with project staff; project records; observation of conferences/workshops | Topic            | Quarterly                                            | Simple count compared to target                  |                    |
| Policy papers/Research developed by Trade Hubs | Number of papers/policy developed                                                                                                   | Activity/ Trade Hub Records | Project documents; interviews with project staff; project records; observation of papers finalized      | Sector           | Quarter                                              | Simple count compared to target                  |                    |
| Collaboration increased/strengthened           | Number of partnerships developed with private sector partners and other key actors<br><br>Frequency/regularity of meetings          | Activity/ Trade Hub Records | Project documents; interviews with project staff; project records;                                      | N/A              | Annual                                               | Calculate change in Y1-Y2; compare achieved from |                    |

<sup>60</sup> Timing, availability of data, and cost should also be addressed here

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                       |                             |                                                                                                                                           |                   |                                              |                                                                     |                           |
|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------------------------------------|---------------------------------------------------------------------|---------------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                        | Data Sources                | Data Collection Method(s)                                                                                                                 | Disaggregated by  | Data Collection Frequency and Schedule<br>60 | Data Analysis Method(s)                                             | Person Responsible        |
|                                                       |                                                                                                                                                                                       |                             | observation of partnerships; minutes of meetings                                                                                          |                   |                                              | baseline to target                                                  |                           |
| Policy change affected                                | Number of policies affected by Trade Hubs research, policy papers and advocacy efforts                                                                                                | Activity/ Trade Hub Records | Project documents; interviews with project staff; project records; observation of national-level policy; interviews with government staff | Secor/Policy type | Annual                                       | Calculate change in Y1-Y2; compare achieved from baseline to target |                           |
| Capacity of trade-related institutions                | Level of capacity of Trade-related institutions supported by the project, as determined by a capacity assessment survey (such as the Institutional Development Framework or Cap-Scan) | Activity/ Trade Hub Records | Capacity assessment completed of Trade-related institutions affected by activity                                                          | N/A               | Annual                                       | Calculate change in Y1-Y2; compare achieved from baseline to target |                           |
| Trade Advisors                                        | Number of Trade advisors placed to support Trade hubs and REC                                                                                                                         | Activity/ Trade Hub Records | Project documents; interviews with project staff; project records; observation                                                            | Sex               | Annual                                       | Calculate change in Y1-Y2; compare achieved from baseline to target |                           |
| Degree of Road governance                             | <b>Detailed Definition:</b> Transport governance                                                                                                                                      | Survey; Trade Hub research; | Project documents;                                                                                                                        | N/A               | Annual                                       | Calculate change in                                                 | Not apparent whether data |

| Intended Results and Candidate Performance Indicators |                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                 |                                                                                                                        |                  |                                        |                                                                     |                                                                                                                                                             |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------|---------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Performance Indicator                                 | Definition and Unit of Measure                                                                                                                                                                                                                                                                                                                                                                                          | Data Sources                                    | Data Collection Method(s)                                                                                              | Disaggregated by | Data Collection Frequency and Schedule | Data Analysis Method(s)                                             | Person Responsible                                                                                                                                          |
|                                                       | indicators sub-index – developed by World Bank for sub-Saharan Africa. Can be utilized to develop similar index for other countries/regions. See: <a href="http://www4.worldbank.org/af/r/ssatp/Resources/SSATP-WorkingPapers/SSATPWP95-Governance-Indicators.pdf">http://www4.worldbank.org/af/r/ssatp/Resources/SSATP-WorkingPapers/SSATPWP95-Governance-Indicators.pdf</a> for a compilation of potential indicators | Borderless Alliance Research (for West Africa); | interviews with project staff; project records; observation; Research, including Trade Hub data and research collected |                  |                                        | Y1-Y2; compare achieved from baseline to target                     | will be collected annually or for other regions; new mechanisms for collecting data on road governance may appear, and this list will be updated as needed. |
| Projects impacted as a result of assistance           | <b>Detailed Definition:</b> The number of projects directly affected by the Trade Hub as a result of USG assistance                                                                                                                                                                                                                                                                                                     | Activity/ Trade Hub Records                     | Project documents; interviews with project staff; project records; observation                                         | N/A              | Quarterly                              | Simple count compared to target                                     | This indicator will be amended as needed by Activities and Projects, depending on the Activity objectives                                                   |
| Ease of access to finance                             | <b>Detailed Definition:</b> Survey response to DB report survey question on Ease of access to finance in X country. See section X above for further elucidation                                                                                                                                                                                                                                                         | WB Doing Business indicators                    | Available online                                                                                                       | N/A; country     | Annual                                 | Calculate change in Y1-Y2; compare achieved from baseline to target |                                                                                                                                                             |
| Level/Extent of bribes                                | <b>Detailed Definition:</b> Survey response to DB report survey question on Ease of                                                                                                                                                                                                                                                                                                                                     | WB Doing Business indicators                    | Available online                                                                                                       | Country; N/A     | Annual                                 | Calculate change in Y1-Y2;                                          |                                                                                                                                                             |



| Intended Results and Candidate Performance Indicators    |                                                                                                                                                                             |                                             |                                                                                            |                            |                                        |                                                                     |                    |
|----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------------|----------------------------|----------------------------------------|---------------------------------------------------------------------|--------------------|
| Performance Indicator                                    | Definition and Unit of Measure                                                                                                                                              | Data Sources                                | Data Collection Method(s)                                                                  | Disaggregated by           | Data Collection Frequency and Schedule | Data Analysis Method(s)                                             | Person Responsible |
|                                                          | access to finance in X country. See section: More Efficient/Cost-effective Movement of Trade Goods across Borders above for further elucidation                             |                                             |                                                                                            |                            |                                        | compare achieved from baseline to target                            |                    |
| Number of Checkpoints and controls along trade corridors | <b>Detailed Definition:</b> The number of checkpoints and controls in existence along a particular route or trade corridor                                                  | Survey; Trade Hub research                  | Desk research of Trade Hub research; Interviews with Trade hubs; Trade hub project records | Corridor location; country | Annual                                 | Calculate change in Y1-Y2; compare achieved from baseline to target |                    |
| Transport and logistics efficiency                       | <b>Detailed Definition:</b> See Section on “More Efficient/Cost-effective Movement of Trade Goods across Borders”                                                           | LPI                                         | Available Online                                                                           | Country                    | Annual                                 | Calculate change in Y1-Y2; compare achieved from baseline to target |                    |
| % of bribes collected as a part of total Customs revenue | <b>Detailed Definition:</b> The amount of bribes received divided by total revenue collected                                                                                | Customs Administration                      | Interviews with Customs staff; national level data                                         | N/A                        | Annual                                 |                                                                     |                    |
| Time to Import/Export                                    | <b>Detailed Definition:</b> the number of days or hours required to export/import out of country X. See Section X on “More Efficient/Cost-effective Movement of Trade Goods | National statistics; Customs administration | Interviews with Customs staff; national level data                                         | N/A                        | Annual                                 | Calculate change from Y1-Y2                                         |                    |

**Intended Results and Candidate Performance Indicators**

| <b>Performance Indicator</b> | <b>Definition and Unit of Measure</b>                                                                                                                                                       | <b>Data Sources</b>                            | <b>Data Collection Method(s)</b>                      | <b>Disaggregated by</b> | <b>Data Collection Frequency and Schedule</b><br><small>60</small> | <b>Data Analysis Method(s)</b> | <b>Person Responsible</b> |
|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|-------------------------------------------------------|-------------------------|--------------------------------------------------------------------|--------------------------------|---------------------------|
|                              | across Borders”                                                                                                                                                                             |                                                |                                                       |                         |                                                                    |                                |                           |
| Cost to Import/Export        | <b>Detailed Definition:</b> The amount in US\$ it costs to import/export goods out of country X.<br>See Section X on “More Efficient/Cost-effective Movement of Trade Goods across Borders” | National statistics;<br>Customs administration | Interviews with Customs staff;<br>national level data | N/A                     | Annual                                                             | Calculate change from Y1-Y2    |                           |