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KOSOVO NEW OPPORTUNITIES FOR AGRICULTURE (NOA) PROGRAM PERFORMANCE MONITORING PLAN (PMP)

October 2011

This publication was produced for review by the United States Agency for International Development.
It was prepared by Tetra Tech ARD

Prepared for the United States Agency for International Development, USAID Contract Number AID-EDH-I-00-05-00006, Task Order AID-167-TO-11-00001, under Rural and Agricultural Incomes with a Sustainable Environment Plus (RAISE PLUS) Indefinite Quantity contract (IQC).

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KOSOVO NEW OPPORTUNITIES FOR AGRICULTURE (NOA) PROGRAM

PERFORMANCE MONITORING PLAN

OCTOBER 2011

DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS AND ABBREVIATIONS

| | |
|---------|---|
| AgStrat | Agricultural Opportunities Strategies |
| AO | Assistance Objective |
| AWP | Annual Work Plan |
| BAFO | Best and Final Offer |
| COP | Chief of Party |
| COTR | Contracting Officer's Technical Representative |
| DCOP | Deputy Chief of Party |
| DQA | Data Quality Analysis |
| FFP | Firm Fixed Price (contract) |
| FY | Fiscal Year |
| IC-K | Intercooperation Kosovo |
| IIF | Innovation and Incentive Fund |
| IR | Intermediate Result |
| LOP | Life of the Project |
| M&E | Monitoring and Evaluation |
| MAFRD | Ministry of Agriculture, Forestry and Rural Development |
| PAC | Program Advisory Committee |
| PERSUAP | Pesticide Evaluation Report and Safer Use Action Plan |
| PMP | Performance Monitoring Plan |
| SME | Small and Medium Enterprise |
| USAID | United States Agency for International Development |
| VC | Value Chain |

1.0 INTRODUCTION

The “Kosovo New Opportunities for Agriculture” Program is a four-year activity funded by the U.S. Agency for International Development (USAID). The activity falls under USAID/Kosovo’s Assistance Objective (AO) 2 that aims to Increase Private Led Economic Growth. The overarching goal of this \$15.9 million dollar project is to increase Kosovo's agricultural output, exports, and rural incomes by promoting economic growth, creating jobs and generating exports. This will be achieved through the expanded, competitive, and sustainable production and export and domestic sales of agriculture-based products, initially selected from the Kosovo Agricultural Opportunities Strategy (AgStrat) identified Top Ten value chains.¹ The Program will: 1) Better enable agribusinesses to identify, understand, and sustainably enter export and domestic markets for value added food products; 2) Enhance market linkages between producers, processors, and traders; 3) Improve business management and operations throughout agribusiness value chains; and 4) Produce greater incomes for agricultural producers and processors, and create new employment opportunities.

Tetra Tech ARD is the prime contractor for this activity, technically supported by Intercooperation Kosovo and CNFA, both major subcontractors. Intercooperation Kosovo (IC-K) will support fruit and vegetable production and value chain management while CNFA will provide broad based technical assistance thru the Chief Technical Officer as well as access to its Farmer-to-Farmer Program. Together, Tetra Tech ARD, IC-K and CNFA constitute the technical assistance Team.

In addition to providing direct technical assistance, the “New Opportunities for Agriculture” program will utilize an Innovation and Incentive Fund (IIF) to provide grants to a variety of value chain actors and to issue subcontracts to entities that can support various aspects of value chain development. An IIF Manual has been developed to explain how this Fund will be accessed and managed.

¹ The “AgStrat” document is the result of a baseline analysis, conducted by Booz, Allen and Hamilton, of the agriculture sector in Kosovo. The final report recommends diversification of agricultural products grown for in Kosovo to respond to export markets and suggests the Top Ten Value Chains having export potential.

2.0 THE PERFORMANCE MONITORING PLAN

The Performance Monitoring Plan (PMP) is a document that explains in detail the monitoring and evaluation system to be used in determining the success of the program. In setting forth the desired program results and establishing indicators and targets, it defines the terms for the contractor's success. Not only should the PMP clearly present the desired program results, indicators and targets, but it should also clarify other information relative to the proposed monitoring and evaluation system. Specifically, the PMP should describe the intent of the Program indicators, define Program-specific terminology, determine target populations, set periodic targets to gauge progress with respect to indicators, present baseline data, present a plan for data collection and analysis, explain the system for reporting results, and illustrate the roles and responsibilities of all those implicated in program's monitoring and evaluation system.

2.1 STAGES OF PMP DEVELOPMENT AND IMPLEMENTATION

Until it is discussed with USAID/Kosovo and approved, the NOA PMP should be considered a living document that will be revised as necessary as information becomes available and circumstances dictate. Tetra Tech ARD expects that PMP development will evolve through a number of stages:

- **Stage 1: Drafting a preliminary Performance Monitoring Plan (PMP)**

The first full PMP submitted in March of 2011 was considered a *preliminary* PMP for the following reasons. First, baseline data projected during the proposal and BAFO stages of contracting had not yet been confirmed or rejected based on a realistic analysis of the situation on the ground. Second, value chain and comparative competitive analyses, market studies and other investigative studies that were needed to contribute to informed target-setting for selected results indicators, had yet to be completed. By the end of September, 2011, these studies and assessments were completed, putting Tetra Tech ARD in a much better position to propose firm, graduated targets for all selected indicators, for each year of the Program.

- **Stage 2: Review of the preliminary PMP, Expected Program Results, Indicators and Targets**

In September 2011, in light of the results of the internal (to Kosovo) value chain assessments, the regional market assessment carried out in July–August, and our experience and general knowledge acquired during the first 7 months of program implementation, Program staff met to review the indicators and yearly targets set forth in the March 2011 version of the PMP. In collaboration with USAID, revisions to several indicators were made, some were dropped and others were added, and targets were adjusted to better reflect more realistic expectations. In addition, over the course of the first 7 months of the project it became clear to Tetra Tech ARD, USAID and to the MAFRD that a heavy focus on export sales was out of sync with the most salient opportunities identified (through the various assessments carried out). Concretely, we now collectively feel that a combined focus on import substitution as well as modest but progressive focus on export development will be a more effective approach, at least in the first 2 years of Program implementation. In addition to making several indicator and target changes, the team also decided to adjust the PMP and Work Planning documents so that they correspond to Fiscal Years rather than Program Years. This will make reporting easier and put it on schedule with USAID's upward reporting schedule. Consequently, the present PMP cites targets per Fiscal Year (FY) rather than per Program Year and the first FY consists of only 8 Program months while the last FY will consist of only 5 fiscal months. This is an important change that must be noted as it implies and explains some critical changes to the targets cited in the original BAFO PMP tables (see Annex V) as compared to those cited in the Program Performance Indicators and Targets Table included in Annex I of the present PMP.

- **Stage 3: Review of the present PMP, Expected Program Results, Indicators and Targets**

Tetra Tech ARD expects that USAID will review the present PMP, share it with the MAFRD and possibly other stakeholders, and provide feedback and recommendations in line with their general expectations of the Program. Once Tetra Tech ARD receives these inputs we will make appropriate changes to the PMP and finalize it in collaboration with USAID.

- **Stage 4: Presenting the PMP to the Project Advisory Committee**

Once the PMP is finalized and firm targets have been agreed upon, Tetra Tech ARD will propose meeting with the Project Advisory Committee (PAC) to present the PMP, indicators and targets and receive their feedback on these elements. Recommendations emanating from the PAC will be discussed with USAID prior to making any final revisions to the PMP.

- **Stage 5: Drafting Data Collection and Monitoring and Evaluation Tools**

While in the process of preparing this revised (October 2011) PMP, Program Staff developed a bank of tools that will be used to collect data and information that will enable us to accurately report on progress towards meeting set targets and objectives. These tools will be finalized soon after the revised PMP is submitted to USAID and the FY 2012 Annual Work Plan is approved.

- **Stage 6: Training of all project staff and supervising grantees on the PMP and its implementation**

All project staff, supervising grantees and possibly other partners that will be involved in data collection and monitoring activities will be trained on the basics of the PMP, its implementation and how to administer data collection and monitoring tools correctly. We plan to conduct this training in early December 2011, once all supervising grantees are on board, prior to the beginning of the 2012 planting season.

- **Stage 7: Ongoing Implementation of the PMP**

Implementing the PMP implies many activities taking place continuously throughout the duration of the program. Although the PMP is a “living document” which is destined to change during the course of the Program, its basic structure, and most to all of the indicators used, should remain the same to ensure that the change in results can be reliably tracked over the long-term. The system must also, however, be flexible enough to adjust to unexpected data collection or systemic glitches without disrupting its ability to measure overall progress and program impact.

3.0 KEY TERMINOLOGY AND INDICATOR DESCRIPTIONS

To ensure that all those working on the Program have the same understanding of the general terminology used and concepts advanced, it is necessary to define several key terms used throughout the PMP. These are described in section 3.1 below. Key terms used within the indicators themselves are described in section 3.2 below.

3.1 KEY TERMINOLOGY

The following, general terms should be understood as defined below:

Customer: An entity (individual, association, agribusiness, etc.) to which/whom NOA is providing technical and/or financial support (the later under some type of formal agreement, e.g., a grant or sub-contract).

Delivery Contracts are contracts committed to in advance of production which state that a specific buyer will purchase a stated quantity of product (often at a stated quality standard).

The Value Chain refers to the full range of activities that are required to bring a product (or a service) from conception through production and ultimately, to final consumers. For agricultural value chains this often entails pre-production activities related to access to agricultural inputs, production activities, quality improvement and certification activities, post harvest, processing and packaging activities, transportation, marketing activities and others. Additional activities traverse (are cross-cutting) and reinforce the entire value chain such as those related to business development services and access to finance. A highly functional value chain exists when all of the actors in the chain effectively fulfil their role. In general, this maximizes the value chain's efficiency and profitability.

New Markets. For the purposes of the NOA program, "new markets" are any domestic, regional or international markets or buyers to which/whom NOA "customers" have never (prior to NOA assistance) sold any of the targeted agricultural produce or products.

New (or improved) technologies. For the purposes of the NOA program, "new technologies" are those that are little or unknown by NOA "customers". These technologies may in fact *not* be new to other countries but must be relatively unknown to NOA customers at the time of introduction or widespread extension under the NOA program.

An **Agribusiness** is any commercial pre-production, production or post production income generation activity that supports the agricultural sector. This can include, among other types of businesses, agricultural input shops, commercial farmers, processors or agricultural products, storage facilities, agricultural product transportation businesses, wholesalers, retailer and others.

3.2 INDICATOR DESCRIPTIONS

In the following pages we provide a detailed description of each indicator and define terminology used within in it so that USAID and all those involved in Program implementation and monitoring have a common understanding of what is being measured. A Program Indicator Matrix identifying the level of the results (impact, outcome or output), how results will be disaggregated, the source of the data/information and the methodology and tools that will be employed to collect it, and the frequency with which results will be reported to USAID is included in Annex II. The actual tools that will be used for data/information collection are attached in Annex III.

Indicator AO2.1: Total Value of sales as a result of USG assistance

The Program will collect data from all customers on the value of sales of agricultural product that they make as a direct or indirect result of support they have received from the Program. The results for this indicator will effectively be the sum of the results under indicators AO 2.2 (export sales) and AO 2.3 (domestic sales) below. As such, this is a “roll-up” indicator that totals the domestic and export sales indicators. Sales of a product can and will be counted each time the product is sold along the value chain as long as it is sold by an individual or entity with whom/which the program is directly or indirectly working. Concretely, this means that if a producer working with the Program sells \$1000 worth of gherkins to a collection center and the collection center sells those same (sorted) gherkins to a processor for \$2000 and the processor sells the processed gherkins to a supermarket for \$5000, then the Program would record a total of \$8000 in sales regardless of the fact that it was the same gherkins that were sold multiple times at different levels in the value chain. The Program team has come up with an M&E system that will enable us to collect and report out actual sales data for all its customers. Once these figures are gathered and summed, we will apply the USAID-approved multiplier (also used by the KPEP project) of 1.84 to account for indirect effects of the increase in product sales on other members of the targeted value chain. Data collected directly from customers to report on this indicator will be disaggregated according to type of market (domestic, regional and international) and product. Disaggregation of indirect results (calculated through application of the multiplier) will be calculated based on the percentage splits in the direct results between the type of markets and the product. The Program will clearly specify direct results, indirect results (based on the multiplier) and total results in annual and quarterly reports.

Indicator AO2.2: Total value of exports as result of USG assistance

This indicator tracks the value of sales of program-targeted crops sold to foreign markets. This shall include regional and international markets. As described under AO 2.1 above, the Program will collect and report out actual export sales data for all its customers and then apply the 1.84 multiplier to come up with total export sales. Results will be disaggregated by product and country of destination, and disaggregation of indirect results will be calculated based on the percentage splits in the direct results between the product and the country of origin.

Indicator AO.2.3: Total value of domestic sales as result of USG assistance

This indicator tracks the value of all domestic sales of program-targeted products recorded by Program customers. Once this figure is calculated, as with indicator AO 2.2, we will apply the 1.84 multiplier to come up with the figure for total domestic sales as a result of USG assistance. Domestic sales will be disaggregated by product only.

Indicator AO2.4: Number of person-days/FTE generated within target value chains as result of USG assistance

The number of person days of full-time employment generated across different levels of the Program-targeted value chains requires that we collect different types of employment data. The Program has devised a system whereby we will require that direct Program customers keep and provide to us accurate full and part time employment records. Part time employment will be translated into full time equivalents and added to the full-time employment data collected to come up with the total number of FTE generated. Data will be disaggregated by value chain only. For the purpose of this indicator, we will count

the employment of full and part time farmers that had already been growing other crops but that have switched to growing Program-targeted crops.

A. IR 1: Products and Farmers Linked to Markets

Indicator IR.1.1: Number of delivery contracts issued for targeted crops

In view of tracking progress related to sales agreements made over the life of the project, the Program will keep records of both verbal and written delivery contracts entered into between buyers and sellers trading any of the Program-targeted products. Because of the informal nature of verbal agreements and the inability to prove that they are in fact entered into, we will only report the number of verbal agreements as additional anecdotal information included in the qualitative, narrative portions of our technical progress reports. This information will be based self-declared information collected directly from Program customers. Only the number of *formal* written contracts will be reported in the PMP indicator tables showing targets and results per fiscal year. The Program will retain copies of these formal written agreements (contracts) as proof of their having been entered into. This indicator will be disaggregated by the type of market (domestic, regional or international) and the product sold.

Indicator IR.1.2: Value of sales resulting from linkages created between farmers, processors and traders as result of USG assistance

Results responding to this indicator will include sales of Program-targeted agricultural products, inputs and equipment made between input dealers, farmers, collection centers, processors, traders, wholesalers and traders. In order to be counted towards this indicator, sales must be a *direct* result of a specific Program-supported activity. For example, if the Program sends a seller to Anuga Trade Fair in Germany and the seller makes contact with a buyer who places an order for \$50,000 worth of apples *and* the deal is concluded, that sum would be included under this indicator. Note, that sum would also be included in the export sales indicator as well as in the roll-up “total value of sales” indicator (AO 2.1). Likewise, sales made as a result of B2B meetings sponsored by the Program, exchange visits and even trainings or workshops at which sellers made initial contact with buyers (which led to eventual sales conducted) would be included under this indicator. In addition, the value of sales of agricultural inputs and equipment to Program customers (for example producers, collection centers or processors) will be included under this indicator as long as the Program played a role in linking the buyer to the seller. As such, this indicator goes beyond the sale of agricultural product to include the sale of inputs and equipment that support overall value chain development. Data reported under this indicator will be disaggregated by the type of market (domestic, regional or international), the type of item (agricultural product, input, equipment) and by the actual targeted product (apples, table grapes, gherkins, lettuce, etc.).

Indicator IR.1.3: Number of farmers engaged in target value chains as a result of USG assistance

This indicator will track the number of farmers that are producing Program-targeted crops and farmers that show interest (during Program sponsored events such as farmer field days) in producing those crops in the following year. As such, all “growing grantees” directly involved in Program implementation will be counted under this indicator as well as all producers participating in farmer field days, all farmers attending various technical training sessions provided by the Program and all employees (part and full time) working at the farm production level that are hired by the Program’s directly- supported growers. Data for this indicator will be disaggregated by gender, ethnicity, and the primary value chain on which they are working. Note that some farmers will work on more than one value chain (grow more than one product). However, a determination as to which value chain to count them under will be made based on the value chain that they themselves identify as their “primary” focus value chain.

Indicator IR.1.4: Number of participants in study tours, B2B, market investigation and trade shows

This indicator is self explanatory and simple to measure. It is simply the number of people who receive Program support (be it financial, technical or material) to participate in events including study tours, business to business and trade shows. Data for this indicator will be drawn from study tour, B2B and trade show participation lists and internal program records, and will be disaggregated by gender, ethnicity and the type of event attended (study tour, B2B meeting, trade show). Data pertaining to key B2B meetings arranged between individual buyers and sellers (for example a large producer and a supermarket

chain) as well as larger regional or international B2B events will both contribute to results achieved under this indicator.

B. IR 2: Agriculture Products Diversified and Increased

Indicator IR.2.1: Number of new markets entered for target value chain products

For the purposes of the Program, “new markets” are any domestic, regional or international markets or buyers to which/whom Program “customers” have never (prior to Program assistance) sold any of the targeted agricultural products *and* to which/whom Program customers have, as a result of Program assistance, now made at least one successful sale. This would include a buyer to whom a Program customer has already sold agricultural products that are *not* targeted by the Program and to whom the customer begins to sell a new, Program-targeted product. It also includes buyers/markets with whom the Program customer has never previously dealt but to whom/which at least one successful sale has been made. “Targeted value chain products” will include edible product (apple, table grape, asparagus, etc.) as well as nursery (plant products such as seedlings, grafted rootstock and the like). In the event that the Program eventually supports domestic manufacture or fabrication of agricultural equipment such as lettuce coolers or shredders, refrigerated containers, gherkins sorters, etc.) and domestic, regional or international markets for those items are entered, those markets will also be included in data pertaining to this indicator. Data for this indicator will be disaggregated by type of market: local, regional or international; the type of edible product: apple, table grape, asparagus, saffron, etc.; and other types of value chain products: plant material, equipment, etc. New support services markets entered will *not* be included in this indicator.

Indicator IR.2.2: Value of sales/purchases from small holders for products as a result of USG assistance (FACTS)

This indicator speaks only to sales/purchases of edible agricultural products produced by smallholders. “Smallholder” farmers are those that own or otherwise cultivate <5 Ha of any combination of agricultural crops, regardless of whether or not the crop he/she is cultivating is a Program-targeted crop. In other words, any farmer owning, leasing or otherwise authorized to cultivate <5 hectares of agricultural crop qualifies as a “smallholder”. Only the value of Program-targeted products or crops may contribute to results tallied under this indicator. Program-targeted products and crops include edible crops as well as plant products from nurseries (seedlings, cuttings, saplings, etc.). Data pertaining to this indicator will be disaggregated by type of crop (edible vs. nursery) and edible crops will be further disaggregated into type of edible crop (apple, table grape, strawberry, blueberry, saffron, etc.).

Indicator IR.2.3: Number of new technologies and/or management practices introduced as result of USG assistance

For the purposes of the Program, “new technologies” and “new management practices” are those that are little or unknown by Program “customers” at the outset of Program activities. These technologies and management practices may in fact *not* be new to other countries but must be relatively unknown to program customers at the time of introduction or widespread extension under the Program. For the most part, new technologies and management practices will be related to production (fertilization and irrigation, IPM, open field production, micro spraying, trellising, plastic mulch, pruning, etc.), various warehousing and storage technologies and practices (warehouse management, cold storage upgrades, etc.), and value adding technologies and practices (grading and sorting, drying, canning, packaging, and the like). Data reported under this indicator will be disaggregated into two categories only: technologies and management practices.

Indicator IR.2.4: Number of people trained in agriculture productivity as a result of USG assistance (FACTS)

This indicator will present the total number of people that participated in any type of Program-sponsored training focusing on any aspect of *farm-based* agricultural productivity. This will *not* include people trained on aspects related to agricultural *processing* productivity. Training activities contributing to this indicator include field and classroom-based crop productivity trainings focusing on topics such as fertilization and irrigation, IPM, open field production, greenhouse production, micro spraying, trellising, plastic mulch, pruning and harvesting. Trainings include those designed and carried out by IIF-funded supervising

grantees or subcontractors, Program staff, short term technical consultants and Farmer to Farmer volunteers. Data reported under this indicator will be disaggregated by gender, ethnicity, location and, where applicable, targeted value chain (some trainings may address more than one value chain).

Indicator IR.2.5: Number of farmers, processors and others who have adopted new technologies or management practices as a result of USG assistance.

This indicator is directly related to indicators IR2.3 and IR2.4 above in that it measures among persons trained on new technologies and management practices, how many of them actually *adopt* those techniques and practices. Whether a value chain actor has “adopted” a new technology and/or management practice is a difficult thing to measure and judge. For the purposes of Program reporting, we will consider that “adoption” has occurred once a value chain actor has consistently applied the new technology and/or the management practice for one entire planting season (for farmers) or for at least 20 production cycles for collectors and processors. A production cycle consists of a completed start-to-finish process. For collection centers, product reception through product liquidation or sale, including the sorting, grading and perhaps packaging involved in that process, would constitute one cycle. For processors, a cycle would begin with the arrival of a product batch at the processing site and end with the product’s completed transformation into the end product intended for sale. “Adoption” must also be confirmed by the customer’s (farmer’s, collection center’s or processors) own self declaration that he/she has in fact “adopted” the new technology or management process. Only once the above criteria are met and the customer self-declares as having “adopted” the technology or practice, will he/she be counted towards results pertaining to this indicator. Results will be disaggregated by gender, ethnicity and location.

Indicator IR.2.6: Number of firms receiving USG assistance to invest in improved technologies (FACTS)

This indicator refers to production firms, collection centers and processing firms to whom the Program has provided trainings, technical support, and/or IIF funding to improve or upgrade their operations and invest in improved technologies. For example, assistance may consist of financial support through the IIF to upgrade processing line systems and purchase equipment or it could be technical in nature (such as training on pest management using improved spraying technology. In any case the support provided must have led to the customer having invested in improved technologies. Data under this indicator will not be disaggregated.

Indicator IR.2.7: Number of hectares under improved technologies and/or management practices as a result of USG assistance (FACTS)

This indicator is quite straightforward. It includes lands which are being cultivated using new/improved technology and/or management practices as defined in the indicator IR2.3. This will apply to both crop and nursery production sites cultivated using at least one improved technology or management practice. More often farmers and nursery owners supported by the Program will actually be applying more than one improved technology or management practice. For monitoring purposes, new plant varieties will be considered a new technology. Thus, all hectareage planted with new variety plants will automatically qualify to be counted under this indicator. Where applicable, some of the data under this indicator (for instance on hectares planted using new varieties) will be disaggregated by product or according to other natural lines of disaggregation that become evident during data analysis.

Indicator IR.2.8: Number of new varieties (including new crops) introduced as result of USG assistance

This indicator simply counts the number of new varieties of each Program-targeted crop that is introduced by the Program, to Kosovo. To qualify as a “new” crop, it must be practically unknown by Kosovo growers when the Program introduces it. “Practically unknown” infers that the vast majority of Kosovo growers (all but perhaps a few) have never planted the variety in Kosovo, though they may have may have planted it elsewhere and/or they may have some theoretical knowledge of it. New varieties introduced will include all varieties planted under the Program even if, after the first season of experimentation, the Program and its customers decide for one reason or another, not to pursue production of it in following seasons. In fact, we expect that not all varieties introduced will ultimately be adopted or expanded. Data under this indicator will be disaggregated by product.

Indicator IR.2.9: Number of farmers receiving new varieties (including new crops) as result of USG assistance

This indicator is self explanatory. New varieties can be in the form of seeds, seedlings, bulbs, spore, corms, cuttings, vines, saplings and all other plant materials that qualify as “new” to Kosovo given the definition of “new” provided in the above paragraph. Data will be disaggregated by gender, ethnicity and location.

C. IR 3: Food Quality and Safety Improved

Indicator IR.3.1: Number of farmers/firms receiving USG assistance that obtain certification pertaining to international quality control, environmental and other processes, voluntary standards or regulations

Farmers and firms counted towards this indicator must receive certification from licensed bodies, for at least one of the existing and generally recognized food and safety standards. Data for this indicator will be disaggregated by farmer gender, ethnicity, location, type of firm (collection center, processor, etc.), the actual product and the type of certification obtained.

Indicator IR.3.2: Number of farmers and processors trained in food quality, safety and certification

For the purposes of this indicator, training includes classroom trainings, field based trainings, Farmer-to-Farmer visits and study tours focusing on food quality, safety and certification for farmers, processors and collection centers. Although one could make the argument to include it under this indicator, training on pest and soil management will *not* be included under this indicator; rather, that will be included under indicator IR.2.4 above. Data for this indicator will be disaggregated by farmer gender, ethnicity, and location.

Indicator IR.3.3: Value of sales of Program-supported certified products

This indicator will track the value of sales of all certified, Program-targeted products sold by Program customers. This does not include certified products that are not program-targeted crops, even if they are sold by Program customers. Certified products can be plant materials as well as fresh or processed food products. Data under this indicator will be disaggregated by the type of certification and the destination market (domestic, regional or international).

Indicator IR.3.4: Number of local food inspectors trained

This indicator is a companion to indicator IR 3.2 above in that it is related to training on food safety but it measures only the number of local food inspectors as opposed to farmers and processors trained. Local food inspectors include all Kosovo-based inspectors that receive training under the Program. Training includes classroom based learning, field based trainings, study tours and other intensive learning methodologies (mentoring, etc.). Data under this indicator will be disaggregated by inspector gender, ethnicity and location.

D. Indicator IR.4: Increased Access to Agricultural Finance

Indicator IR 4.1: Value of investment by Program customers in Program-targeted value chains

This indicator includes the total value of investments made by Program customers since they began working with the Program. It includes any grants and loans they have received including IIF funds mobilized (see indicators 4.2 and 4.6 below) as well as customers’ own investments into the development of their nurseries, farms, agribusinesses, collection centers, processing plants, etc., including grant cost share contributions made to both IIF grants and to grants funded by other donors. All customer investments in inputs, equipment, infrastructure, labor, materials and supplies made since the customer started working with the Program will also be reported as part of this indicator. As it is difficult to determine exactly how much of this total investment would be “as a result of USG assistance” we have opted not to include that language in this particular indicator. Data under this indicator will be disaggregated by the source of invested funds (grants, loans, IIF, customer investment).

Indicator IR.4.2: Value of lending to Program customers to support investment in Program-targeted crops and products as result of USG assistance

This is one of the indicators that contribute to the overall value of investment in Program-targeted value chains (indicator IR 4.1 above). It measures the value of loans received by Program customers from financial institutions (including banks and MFIs) to invest in Program-targeted crops and value chains. Loan values are not counted towards results under this indicator until the loan amount has actually been approved. Should the DCA loan guarantee fund be established as a result of program assistance, all loans disbursed through the fund will be attributable to this indicator. Data reported under this indicator will be disaggregated by value chain as well as by point in the value chain (production, processing, marketing, etc.) across the various value chains. For example, we will be able to report the value of all loans provided in support of the berry subsector as well as the value of all loans provided, across all sub-sectors, in support of production activities, processing activities, marketing activities and the like. Loan values aimed at supporting multiple sub-sectors (i.e., berries, apples and table grapes) or multiple levels within a value chain, will be recorded as “multiple subsector” and “holistic value chain development” loan values.

Indicator IR.4.3: Number of finance institutions offering new products targeted at the agriculture sector and agri-business as a result of USG assistance

This indicator counts all finance institutions that have developed new agricultural financing products since the beginning of the Program, regardless of whether or not the Program has worked directly with them. This is because we assume that anything the Program does in support of the agriculture sector has the potential to spur financial institutions into offering new ag-lending products. Should establishment of a DCA loan guarantee fund be achieved, all participating banks and MFIs will be counted towards results reported under this indicator. In addition, if the Program works with other finance institutions (not participating in the eventual DCA) that begin to offer new ag-lending products, these too will be included in results reported under this indicator. Data will be disaggregated by type of financial institution and type of product offered.

Indicator IR.4.4: Number of SME's receiving USG assistance to access bank loans or private equity (FACTS)

This indicator includes SMEs working along all levels of the targeted value chains including production SMEs, processors, traders, business development support service providers and the like. All SMEs that receive any type of Program-supported technical assistance aimed at improving their ability to qualify and apply for bank loans or to obtain private equity, will be counted under this indicator regardless of whether or not they actually apply for and/or receive a bank loan. Program-supported technical assistance may be provided in the form of classroom training or one on one consulting and advisory services provided by local BSPs contracted by the Program, Program staff and/or interns, Farmer to Farmer volunteers and other short term technical consultants hired by the Program. Data under this indicator will be disaggregated by the level of the value chain at which the SME operates and the value chain itself.

Indicator IR.4.5: Number of producers in target value chains receiving assistance to access credit

This indicator is similar to indicator IR 4.4 above, but it focuses specifically on producers rather than on SMEs. Individual producers that receive any type of Program-supported technical assistance aimed at improving their ability to qualify and apply for credit will be counted under this indicator regardless of whether or not they actually apply for and/or receive credit for any entity (bank, MFI, investors, etc.). As with the above indicator, Program-supported technical assistance may be provided in the form of classroom training or one on one consulting and advisory services provided by local BSPs contracted by the Program, Program staff and/or interns, Farmer to Farmer volunteers and other short term technical consultants hired by the Program. Data under this indicator will be disaggregated by the producer's gender, ethnicity and location, and by the value chain(s) in which he/she is involved.

Indicator IR.4.6: Value of grants issued for value chain operators of targeted crops and products as result of USG assistance.

This indicator tracks the total value of grants issued to Program customers by other donor organizations, NGOs, Government or other entities to support investment in Program-focused value chain development. Grants and subcontracts issued by the Program itself, under the IIF, will also be reported under this indicator, though they will be discussed in narrative reports separately and are shown separately within the indicators and results table in Annex I. Data reported under this indicator will be disaggregated

by targeted crop/product as well as by the point(s) in the value chain (production, processing, marketing, etc.) at which the grantee is working.

Indicator IR.4.7: Number of program customers receiving grants as result of USG assistance (including IIF)

This indicator tracks the total number of customers that receive grant funds from other donor organizations, NGOs, government or other entities to support Program-targeted value chain development. The number of recipients of IIF Grants and subcontracts is also reported under this indicator though it will be discussed in progress reports and shown in indicator and results tables separately. Data reported under this indicator will be disaggregated by grantee gender, ethnicity and the value chain(s) in which he/she is working.

Indicator IR.5: Improved Coordination within the Agricultural Sector

Indicator IR.5.1: Number of policy reforms/regulations/administrative procedures drafted and presented for public/stakeholder consultation as result of USG assistance (FACTS)

This indicator refers to policy reforms/regulations/administrative procedures drafted and presented to stakeholders for consultation but not yet submitted formally to government or other bodies that would approve it. Results reported under this indicator will not be disaggregated.

Indicator IR.5.2: Number of policy reforms/regulations/administrative procedures presented for public/stakeholder consultation *and submitted for approval* as result of USG assistance (FACTS)

This indicator refers to policy reforms/regulations/administrative procedures that have been presented to stakeholders, perhaps revised, *and have been formally submitted* to the government or other entities that would approve them. Results reported under this indicator will not be disaggregated.

Indicator IR.5.3: Number of donor, GOK and agriculture sector roundtables or other events facilitated by NOA

Formal agricultural sector coordination events organized, sponsored or otherwise supported by the Program and reported under this indicator may include a wide array of meetings, workshops, seminars, and other events that will be described in detail in Quarterly and Annual Program progress reports. Such events might include donor roundtables or coordination meetings, stakeholder meetings organized to design, discuss or review proposed policy reforms, MAFRD strategic planning sessions, and the like. Due to the variant and qualitative nature of these events no data disaggregation is anticipated.

4.0 TARGET POPULATION ("CUSTOMERS")

NOA will work with a broad group of "customers" working throughout Kosovo along targeted value chains. These will include input dealers, farmers, processors, agribusinesses, traders, wholesalers, retailers, business service providers, agricultural lenders and others. Strong emphasis will be placed on social inclusion, making sure that women, youth and minority groups are among the beneficiaries of the Program. Specific targets for number of persons, businesses and entities worked with are provided in the "Program Performance Indicators and Targets Table" presented in Annex I. Our revised targets pertaining to overall number of "customers" reached during the Life of the Project (LOP) include the following:

- 7000 individuals trained in agricultural productivity
- 1500 farmers *engaged* in targeted value chains
- 1750 farmers, processors and others that have adopted new technologies or management practices
- 600 producers receiving assistance to access agricultural financing
- 75 firms/SMEs receiving assistance to access agricultural financing
- 35 firms investing in improved technologies
- 130 local food inspectors trained

4.1 IDENTIFICATION AND SELECTION OF CUSTOMERS

In the early months of Program implementation, Program staff held multiple stakeholder meetings in several regions throughout the country to explain the goals and objectives of the New Opportunities for Agriculture Program. In addition, once the IIF Manual was approved Program staff again presented an overview of the IIF, opportunities and procedures to potential stakeholders in several cities throughout the country. We also issued an APS stating the goals of the project and soliciting concept papers. These actions went a long way in the initial identification of possible customers. From there, IIF procedures were implemented to select the most viable concepts and proceed towards grant and subcontract preparation and implementation. Meanwhile, potential customers began and continued coming to our offices in Pristina to enquire about the Program and many initial contacts led to eventual selection of customers with whom we now work. Customers are effectively screened as they proceed through the IIF process and appropriate customers are identified. In addition, Program staff respond regularly to visits to our offices in Pristina and follow up with potential customers at their production or processing sites to determine whether or not the Program can assist the person or group in question.

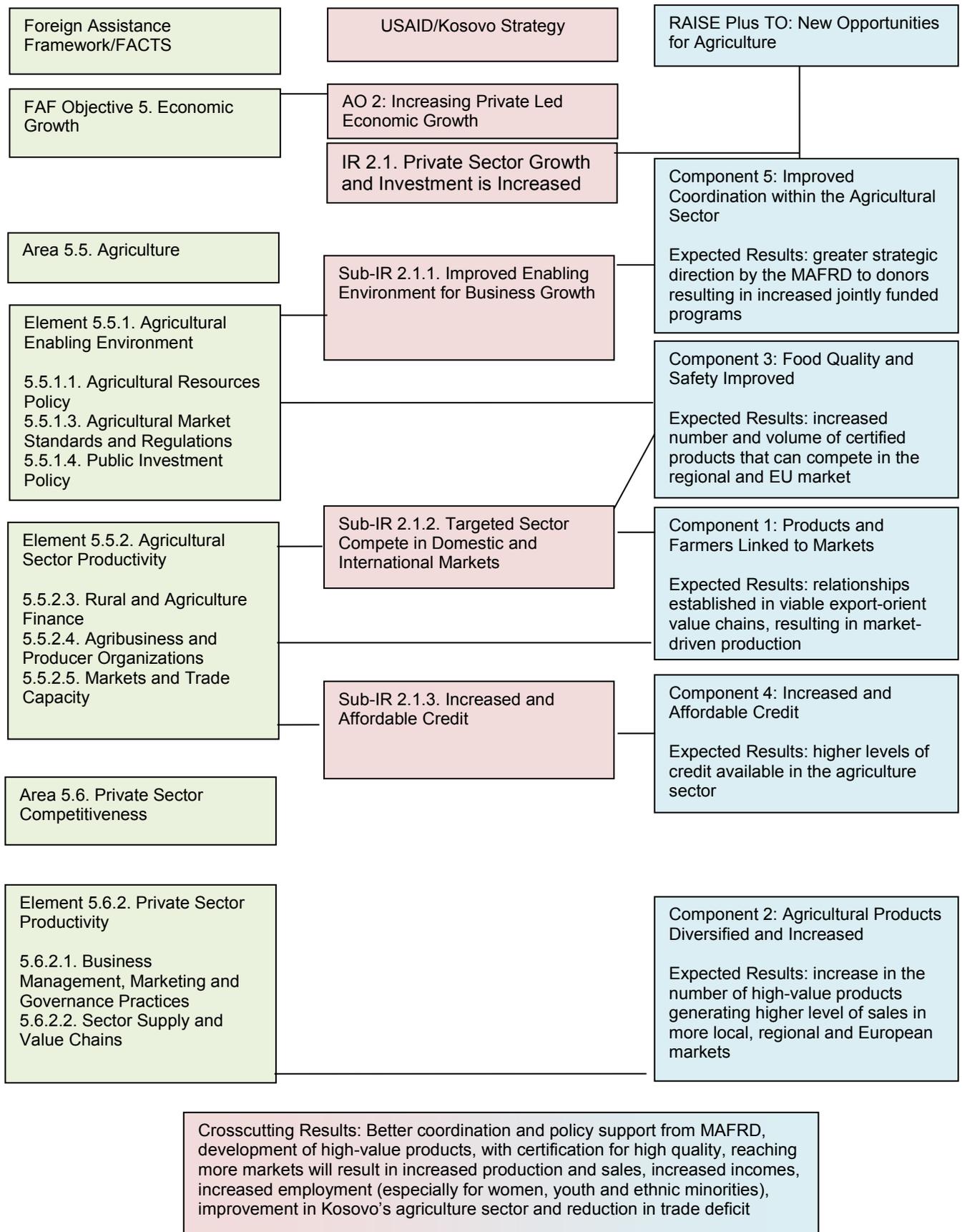
4.2 IDENTIFICATION AND SELECTION OF IIF RECIPIENTS

The identification (solicitation) and selection of IIF fund recipients (grantees or subcontractors) will follow procedures detailed on the IIF Manual submitted to USAID.

5.0 PROGRAM IN RELATION TO THE FOREIGN ASSISTANCE FRAMEWORK AND USAID/KOSOVO STRATEGY

Figure 1 below shows how NOA Program components and expected results under each relate to USAID/Kosovo's Strategic Results framework, and ultimately to the foreign Assistance Framework.

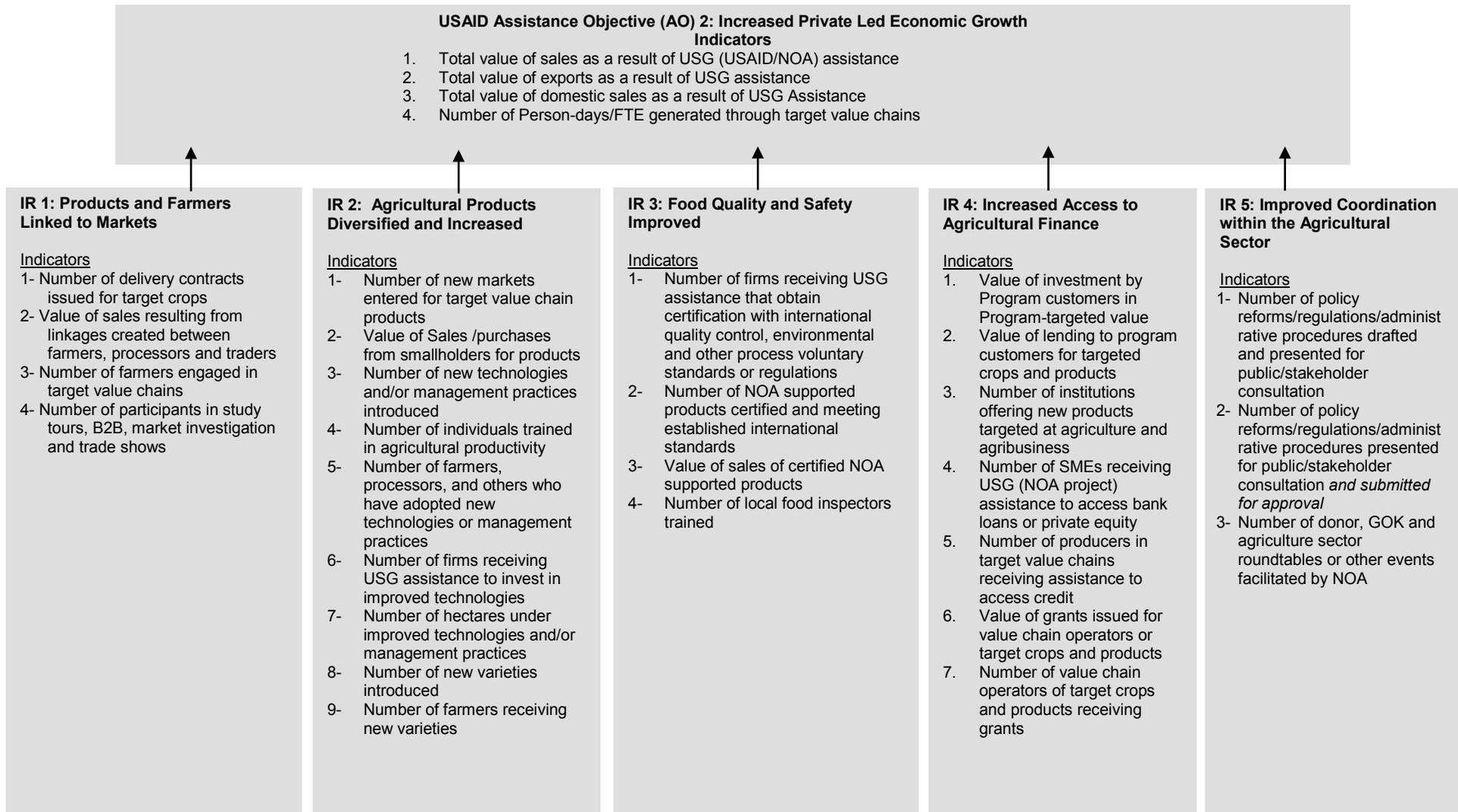
Figure I: COMPARATIVE RESULTS FRAMEWORK (FAF, USAID/KOSOVO, NOA)



6.0 PROGRAM RESULTS AND INDICATOR FRAMEWORK

Figure 2 below shows the Results and Indicator Framework for the Program itself. This illustrates NOA indicators that will respond directly to USAID/Kosovo's Assistance Objective 2 (Increased Private Led Economic Growth) along with the indicators that will be used to report on progress on each of the five components of the NOA program, translated here into "Intermediate Results."

Figure 2: NOA Results Framework



6.1 CRITICAL ASSUMPTIONS RELATED TO THE NOA PROGRAM RESULTS AND INDICATOR FRAMEWORK

It is important to mention any critical assumptions, and cite factors that might affect the achievement of intended program results at all levels. These assumptions are as follow:

- Based on the results of value chain analyses and the identification of new markets for the targeted value chains, a critical mass of Kosovo farmers and farmer associations can be convinced to invest resources in high risk, new product development.
- Demand for supported products in foreign markets and the level of profitability for supplying them will not be adversely affected by the global economic crisis (i.e., the price of oil, transportation costs, etc.).
- The development of domestic markets for new products is possible given cultural preferences and tastes. This will be necessary to ensure that surpluses not meeting export standards are not wasted, thereby greatly affecting overall value chain profitability and return on investment.
- The GOK will make progress toward the development and implementation of policies that facilitate the production and sale of new products for export markets.
- Improvements in production techniques and productivity enhancements will result in additional, rather than fewer, employment opportunities.

7.0 ASSISTANCE OBJECTIVE, INTERMEDIATE RESULTS AND TARGETS

Tetra Tech ARD will track two types of indicators to ensure that the Program continues on a productive course to meet targets and fulfill its overall objectives. Assistance Objective (AO) and Intermediate Results (IR) Indicators evaluate progress at descending levels of overall program impact. Some of the AO indicators are actually “roll-up” indicators that compile the data from lower level IR indicators that break the data out into more detail. AO and IR indicators to be used, baseline values and yearly and Life of Project (LOP) targets are presented in the “Program Performance Indicator Targeting Table” attached in Annex I.

7.1 ASSISTANCE OBJECTIVE INDICATORS

The four proposed AO indicators are designed to report on the overall impact of the project. They focus foremost on the total value of sales as a result of USG assistance, then break out the value of export and domestic sales of targeted products, and record the number of full time equivalent (FTE) jobs generated through our work on targeted value chains. These end goals are complex, multi-dimensional and require collective and concurrent progress in a number of technical areas aptly identified in the NOA request for Task Order Proposals as the five technical components of the Program.

7.2 INTERMEDIATE RESULTS INDICATORS

For the purpose of the program results framework conceptualization and the performance monitoring system, Tetra Tech ARD has translated the five technical components of the project into Intermediate Results (IRs). Success at each IR level is measured by the extent to which the program meets the targets set for the IR-specific indicators. Steady progress on each of the IRs contributes in a cumulative manner to the fulfillment of targets linked to the five Assistance Objective indicators. IR 1 indicators focus on linking farmers and products to markets. IR 2 indicators measure progress with respect to the production and diversification of new products in Kosovo for export markets. IR 3 indicators measure progress towards improved food quality and safety. IR 4 indicators measure increased access to agricultural finance. And finally, IR 5 indicators serve as proxies that indirectly indicate improvement in coordination within the agriculture sector.

7.3 PROGRAM START-UP ACTIVITY AND PROCESS INDICATORS AND TARGETS

During the early months of the Program Tetra Tech ARD identified some process indicators and related targets to be attained in the first 8 months of Program development to ensure that the Program got off to a solid start and that we could report on progress prior to being able to attain higher level indicators. A table presenting those process indicators and targets is provided for reference in Annex IV.

8.0 SETTING TARGETS FOR PROGRESS ON AO AND IR INDICATORS

Setting targets for existing products (apples and grapes) was done by utilizing existing data (such as the 2007 Agricultural Household Survey and Kosovo External Trade Report) and determining the potential number of farmers and hectares involved with these crops. For new crops we consulted the AgStrat and other European sources on these crops to estimate number of hectares required to generate sufficient production to gear up the value chain (making it profitable for each step). For prices we consulted European sources such as Green Produce Poland, web-based Albania market information, as well as published reports from Russia, Moldova, Germany and France. We used a median price as our gauge for estimating final sales (for example, grape prices fluctuate from €1.59 to €3.40 per kilo in the Moscow market (June through August) depending on type and quality).

From our original estimates (before and after BAFO round) we also made other adjustments in our assumptions: (1) we projected for 8 crops rather than the original start-up three and calculated out for the LOP (realizing that several of the target crops require years before they bear fruit); (2) we changed our “resistance to change” assumptions concerning farmers working and entrepreneurs marketing new untested products; (3) we revised employment figures to include additional farm family employment and employment (both full-time and seasonal) in higher rungs of the Value Chain. Finally, 4) after consultation with USAID we decided to apply the multipliers to results obtained regarding sales and full time employment indicators in order to capture the indirect effect of increased sales and employment created by the Program (as discussed in section 3.2 above).

Figures on farmers, hectares, production and yield, and median market prices were analyzed and adjusted in consideration of assumptions, to arrive at gross targets. Employment figures were based on liberal projections of what farms and the private sector can absorb and information gathered on average employment rates per crop in Kosovo. In addition, the domestic value chain analyses conducted and the regional market assessment carried out for several of the initial crops also informed the setting of targets, particularly to export and regional sales. Finally, information from interviews with producers, processors and collection points were taken into consideration in every effort to establish feasible targets for the Program indicator.

9.0 DATA COLLECTION, ANALYSES AND DISAGGRAGATION

The Program Indicator Matrix in Annex II briefly defines each indicator, the level of result it speaks to (impact, output or outcome), the type of disaggregation that will be practiced, the source of the data needed to report on the indicator, data collection frequency and details pertaining to indicator analysis.

The two best sources in Kosovo for agricultural data outside of individual projects are (1) the Statistical Bureau Kosovo, and (2) the annual Agricultural Household Survey. These will be tapped in order to conduct comparative analyses of evolving Program data and results versus relevant national statistics. However, from a program performance and monitoring viewpoint, these reports are issued too late to be of much management utility, though they can provide indications of macro-level changes, some of which can be attributable to the Program.

To meet the test of directness and attribution, adequacy and timeliness, the Program has designed an independent, robust data collection system which will enable the Program to collect actual sales and employment data from customers and record other indicator-specific data directly (such as indicators that speak to training and access to finance). We have avoided wherever possible, having to rely on samples factored out or apply multipliers which veer towards the abstract. The primary data system will be based on a core set of quantitative and qualitative data collection tools that have already been developed and will be tested in November 2011. These are presented in Annex III. Some of these tools are records that the Program customers will be required to keep. Others will be applied by Program staff and supervising grantees that oversee work implemented in the field. In exchange for access to training, study tours, market tours, technical assistance, grants through the IIF, and the linkages forged by Program, customers will be required to keep these records and to be responsive to demands of Program staff and M&E personnel that will inspect these records regularly as well as ask for additional information through the application of other M&E tools applied periodically. Data from these records will be compiled against the appropriate indicator and stored in a central database of program indicators, targets and results that will be shared with USAID periodically (according to USAID's preferred frequency). This database will also constitute a universal registration and tracking database of participants in NOA.

A Guide to Data Collection is presently (October 2011) being developed which will identify, for each indicator the following: the specific bits of data to be collected; the core source of the information/data to be collected; the tools that will be used to collect the data; the methods that will be employed to collect the data; the data collection period and frequency of collection; the collection agent responsible for collecting the data; and the person who is responsible for ensuring that the data is collected and reported correctly by the data collection agent.

Once the Guide is complete and data collection tools are tested and finalized, the Program M&E Specialist train the entire team of Program staff and supervising grantees on PMP implementation and the proper application of the tools. This robust system of data collection will go into full effect in early 2012, in time to be able to collect data and information necessary for the 2012 planting season.

The M&E system described in this PMP and in the Guide to Data Collection will be applied constantly over the course of the life of project. Data collection agents (Program staff, interns and supervising grantees) will

collect and feed information back to the M&E Specialist who will be responsible to assimilating the data, entering it into a central data base and analyzing it in collaboration with senior Program managers such as the Chief of Party the Chief Technical Officer, the DCOP and technical staff that will use the analyses to identify shortcomings of the Program and conceptualize solutions to them.

The M&E Specialist will disaggregate information on each indicator as specified in section 3.2 above. A central database, used to store all information, will be updated weekly, monthly, quarterly, or annually depending on the periodicity of the reporting on each indicator. These periodicities are specified in the Guide to Data Collection and the frequency of reporting out to USAID on each indicator is specified in the final column of the Program Indicator Matrix in Annex II.

This system will allow us to compare and contrast progress and profitability and assess the overall success with respect to each value chain relative to the others, indicating where future public and private sector investments will elicit maximum results to support Kosovo's economic growth.

While we have designed a comprehensive M&E system, we also realize that some customers may be unable to provide accurate data. Further, certain types of data must be cross-checked by other sources to ensure its accuracy. For example, by matching the reported sales of producers to the records of the buyers, a fairly reliable set of numbers can be triangulated. This method of data triangulation will be applied on a "spot-check" basis to ensure that data collected is accurate and viable. Tetra Tech ARD terms this "data accuracy sensitivity" whereby all indicator data are identified as "precise" (accurate based on actual numbers collected), "extrapolated" (from a sample) or "estimation" (the "best guess" available based on the data at hand).

Since the Program is organized around value chains of specific products, the individual value chain will be the primary basis of organization of the program monitoring system. This will be a far more robust system than mere disaggregation by product. By tracking each value chain's contribution to and progress on each of the core AO and IR indicators, Tetra Tech ARD will be able to closely follow the evolution of each value chain and better assess the relative degree to which, in the long term, each can contribute to Kosovo's economic growth. For program-wide reporting purposes, the value-chain-specific data bases will be compiled so that overall impact of the program and progress on AO and IR indicators can be assessed and presented in a single performance report (quarterly or annual). Both the value chain specific results and the overall Program results will be made available to USAID.

The value-chain specific databases will concentrate on the transactions between levels of that value chain, and the support provided: training, technical assistance, study tours, etc., as well as the level of finance supplied by financial institutions or through the IIF, so that the final sales of product of that particular value chain can be analyzed against the support given to it. This will enable us to attribute overall success per value chain (or product) to a specific level and variety of inputs/types of support provided for that particular value chain.

For Components (or IRs) 3 (Quality and Safety) and 4 (Access to Finance), some indicators transcend individual value chains, in terms of engagement with financial institutions and setting up testing facilities. Otherwise stated, indicators that measure progress on components (IRs) 3 and 4 may span several value chains. To account for this properly, IR 3 and IR 4 indicators will also be disaggregated by value chain.

Disaggregation by gender and ethnicity is an important feature of the PMP and any person-specific indicators it includes. Using the data collection system described above, we will be able to disaggregate and analyze by product, level of the value chain, gender (as appropriate), and location. For data from direct interventions, we will be able to disaggregate specifically by value chain, gender, and ethnicity.

10.0 EVALUATION AND DATA QUALITY

While anticipating USAID's coordination of an independent mid-term and final evaluation to assess program performance, the impact on value chain and institutional partners, and sustainability, Tetra Tech ARD will conduct annual internal Data Quality Analyses (DQAs) on PMP data to ensure that data is accurate and has been accurately transcribed (an external DQA is expected at least once during LOP). There will be an annual review of the PMP with the COTR to determine if changes in indicators, targets, or data collection methods are required. To assist in all of the above, all PMP data will have a hard copy backup in files that are coded and can be crosschecked against indicators.

11.0 REPORTING RESULTS

Contractually, updates and performance reports must be submitted to USAID weekly, quarterly and annually. We anticipate that a number of other *internal* reports will be directly related to program monitoring and evaluation and so, will also be of interest to USAID. A list of the contractual and anticipated internal reports is presented below:

| Report | Information pertaining to | Submitted to | Submitted by (prepared by) | Periodicity |
|------------------------------------|---|----------------------------|-----------------------------|--------------------------|
| Weekly Performance Report (update) | Activities accomplished in the week and plan for the following week | USAID COTR | Tetra Tech ARD (COP) | Weekly |
| Quarterly Program Report | Progress on all indicators relative to program | USAID COTR | Tetra Tech ARD (DCOP) | Quarterly |
| Annual Report | Progress on all indicators relative to program | USAID COTR & CO | Tetra Tech ARD (DCOP) | Annually |
| Mid-term evaluation Report | General evaluation of program impact and progress on all indicators | Tetra Tech ARD USAID | Consulting Contractor | End of program year 2 |

12.0 ROLES AND RESPONSIBILITIES

Although the entire technical Team is involved in the development of the Monitoring and Evaluation plan, Tetra Tech ARD, represented by the Chief of Party, is ultimately responsible for ensuring that all indicators are measured, analyzed and discussed in terms of their capacity to measure the program's desired impact.

The Program M&E Specialist will be responsible for collecting reports, analyzing and disaggregating all data and information from the field, and summarizing quarterly and annual Program results that will be highlighted in Quarterly and Annual Performance reports submitted to USAID.

Tetra Tech ARD Home Office Project Manager will formally send electronic copies of the reports to USAID. The CoP will provide USAID and the MAFRD with hard copies of the reports and regularly communicate program results to them and more broadly to development partners working in the sector to encourage the development of synergy among various donors and funded initiatives.

The entire team of Technical staff will be directly involved in the collection of different types of data at different levels among the customers with whom they work.

The IIF Manager will ensure that necessary data is collected from grantees and subcontractors benefitting from the IIF. Special data collection materials and forms will be developed and be made conditional to receiving ongoing assistance to ensure that IIF recipients provide necessary data and information throughout the duration of their IIF activity.

Subcontractors hired (outside the IIF) may be expected to provide specific data and information in response to indicators. If so, specifics on what is required of them will be integrated into their official Scope of Work.

A detailed, internal "Guide to Data Collection" is currently being developed. This includes further details on the roles and responsibilities, related to performance monitoring and data collection, of each member of the Program team. More on this Guide is explained in the following section.

13.0 NEXT STEPS

With respect to preparing for monitoring and evaluation activities there are several things that are yet to be accomplished before the system can be fully implemented:

- A detailed, internal “Guide to Data Collection” is currently being developed. This includes detailed information pertaining to each Program indicator pertaining to the following: the specific data to be collected; the core source of the information/data to be collected; the tools that will be used to collect the data; the methods that will be employed to collect the data; the data collection period and frequency of collection; the collection agent; and the person who is responsible for ensuring that data pertaining to a certain indicator is collected in a reliable and timely manner.
- While routine data collection and reporting forms have already been created, we have yet to test them in the field to ensure that they are easily understood and effectively measure the information sought out. Testing will be carried out in November 2011, modifications to the tools will be made and they will be finalized prior to conducting the M&E systems training explained in the next bullet.
- Once the Guide is complete and data collection tools are tested and finalized, the Program M&E Specialist assisted by Tetra Tech ARD Home Office-based technical personnel will design and carry out training for all Program staff and supervising grantees (who will also play a key role in Program monitoring and data collection). The training will be conducted in early December 2011 after the FY 2012 supervising grantees are identified and prior to the beginning of the 2012 planting season. This will ensure that all those involved in Program monitoring and data collection are fully aware of their responsibilities and how they are expected to carry them out.
- An initial PERSUAP was completed last summer, but it must be updated in November 2011 to ensure that all recommendations made therein are still accurate, to include additional new pesticides and chemicals that have arrived on the market in Kosovo since the initial PERSUAP was developed and to add addendums on stone fruits and blueberries (not included in the initial PERSUAP since at that time it was unclear whether the Program would support these crops). Ongoing Environmental Assessments and other actions necessary in order to ensure compliance with USAID Regulation 22 CFR 216 must be completed regularly prior to launching support to specific activities. These environmental assessments and subsequent recommended actions may have an impact on the targets set forth in this PMP and may necessitate further revisions of them.

ANNEX I: PROGRAM PERFORMANCE INDICATORS AND TARGETS TABLE

| Indicator | | Baseline Values and Notes | FY1 (8 months) | FY2 | FY3 | FY4 | FY5 (5 months) | Total |
|--|--|---|-------------------|--------|--------|-------|-------------------|---------|
| AO2: Increasing Private Sector-Led Growth | | | | | | | | |
| AO2.1 | Total value of sales as a result of USG assistance | Baseline = 0 (since the project is just beginning) | \$1m | \$4m | \$8m | \$12m | \$7.5m | \$32.5m |
| AO2.2 | Total value of exports as a result of USG assistance | Baseline = 0 | \$200k | \$500k | \$2m | \$4m | \$3m | \$9.7m |
| AO2.3 | Total value of domestic sales as a result of USG assistance | Baseline = 0 | \$800k | \$3.5m | \$6m | \$8m | \$4.5m | \$22.8m |
| AO2.4 | Number of Person-days/FTE generated through target value chains as result of USG assistance | Baseline = 0 | 500 | 1000 | 1500 | 2000 | 1500 | 6500 |
| IR 1: Products and Farmers Linked to Markets | | | | | | | | |
| IR1.1 | Number of delivery contracts issued for targeted crops | Baseline = 0 | - | 100 | 250 | 475 | 325 | 1150 |
| IR1.2 | Value sales resulting from linkages created between farmer, processors and traders as result of USG assistance | Baseline = 0 | 500k | \$1.6m | \$2.4m | \$3m | \$1.5m | \$9m |
| IR1.3 | Number of farmers engaged in target value chains as a result of USG assistance | Baseline = 0 While initial year shows "engagement", these farmers will not yet be producing | 300 | 600 | 900 | 1500 | 1500 | 1500 |
| IR1.4 | Number of participants in study tours, B2B, market investigation and trade shows | Baseline= 0 | 20 | 60 | 60 | 60 | 30 | 230 |
| IR 2: Agricultural Products Diversified and Increased | | | | | | | | |
| IR2.1 | Number of new markets entered for target value chain products | Baseline= 0 | 0 | 3 | 5 | 10 | 12 | 12 |
| IR2.2 | Value of Sales /purchases from smallholders for products as a result of USG assistance (FACTS) | Baseline= 0 Smallholders are considered producers with < 5ha of land under production with targeted crops. | \$500k | \$2.5m | \$3.5m | \$5m | \$3m | \$14.5m |
| IR2.3 | Number of new technologies and/or management practices introduced as result of USG assistance | Baseline = 0 | 3 | 6 | 5 | 5 | 4 | 23 |

| Indicator | | Baseline Values and Notes | FY1 (8 months) | FY2 | FY3 | FY4 | FY5 (5 months) | Total |
|--|---|---|-------------------|------|------|------|-------------------|-------|
| IR2.4 | Number of individuals trained in agriculture productivity through USG assistance (FACTS) | Baseline = 0 | 500 | 1500 | 2000 | 2500 | 500 | 7000 |
| IR2.5 | Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance | Baseline = 0 Includes producers, buyers, processors, suppliers and support services (based on 80% adoption rate) 5 of the 8 target crops are new to Kosovo. Includes introduction of new crops. Does not include current growers already using improved technologies | 350 | 800 | 1200 | 1500 | 1750 | 1750 |
| IR2.6 | Number of firms receiving USG assistance to invest in improved technologies (FACTS) | Baseline = 0 | 0 | 5 | 15 | 30 | 35 | 35 |
| IR2.7 | Number of hectares under improved technologies and/ or management practices as a result of USG assistance (FACTS) | Baseline=0 | 5 | 30 | 50 | 60 | 60 | 205 |
| IR2.8 | Number of new varieties (including new crops) introduced as result of USG assistance | Baseline=0 Assuming that these varieties and crops are planted for the first time by NOA customers | 15 | 15 | 10 | 0 | 0 | 40 |
| IR2.9 | Number of farmers receiving new varieties (including new crops) as result of USG assistance | Baseline=0 | 20 | 40 | 50 | 60 | 0 | 170 |
| IR 3:Food Quality and Safety Improved | | | | | | | | |
| IR3.1 | Number of firms receiving USG assistance that obtain certification with international quality control, environmental and other process voluntary standards or regulations | Baseline = 0 | - | 1 | 4 | 8 | 10 | 10 |
| IR3.2 | Number of NOA-supported products certified and meeting established international standards | Baseline = 0 | - | - | 2 | 6 | 4 | 12 |

| Indicator | | Baseline Values and Notes | FY1 (8 months) | FY2 | FY3 | FY4 | FY5 (5 months) | Total |
|--|---|--|-------------------|--------------------|--------------------|----------------------|----------------------|---------------------------|
| IR3.3 | Value of sales of NOA-supported certified products (a sub-set of total value of products sold) | Baseline= 0 | - | - | \$500K | 1.5m | \$2m | \$4m |
| IR3.4 | Number of local food inspectors trained | Baseline = Currently there are 28 inspectors, not using testing technologies | - | 20 | 40 | 40 | 30 | 130 |
| IR 4: Increased Access to Agricultural Finance | | | | | | | | |
| IR4.1 | Value of investment by Program customers in Program-targeted value chains | Baseline = TBD | Baseline +\$500k | Baseline +\$1.5m | Baseline +\$3.5m | Baseline +\$6m | Baseline +\$8m | Baseline +\$8m |
| IR4.2 | Value of lending of program customers for targeted crops and products as result of USG assistance | Baseline = 0 | - | \$500 K | \$ 2.5 m | \$5 m | \$1m | \$ 9m |
| IR4.3 | Number of institutions offering new products targeted at agriculture and agri-business as a result of USG (NOA Project) assistance | Baseline = 0 | - | 2 | 4 | 5 | 0 | 5 |
| IR4.4 | Number of SMEs receiving USG (NOA project) assistance to access bank loans or private equity (FACTS) | Baseline = 0 | 0 | 15 | 40 | 55 | 75 | 75 |
| IR4.5 | Number of producers in target value chains receiving assistance to access credit | Baseline = 0 | 0 | 100 | 200 | 400 | 600 | 600 |
| IR4.6 | Value of grants issued for value chain operators of target crops and products, as result of USG assistance <i>From IIF – grants and subcontracts</i> | Baseline =0 These grants include the grants issued by IIF Program | 0 \$200k | \$100k \$1m | \$200k \$1m | \$400k \$500k | \$400k \$200k | \$1.1m +\$2.9m IIF |
| IR4.7 | Number of program customers receiving grants as result of USG assistance (including IIF) <i>From IIF – grants and subcontracts</i> | Baseline =0 | - 10 | 5 100 | 10 100 | 20 50 | 20 20 | 55 280 |
| IR 5: Improved Coordination within the Agricultural Sector. | | | | | | | | |

| Indicator | | Baseline Values and Notes | FY1 (8 months) | FY2 | FY3 | FY4 | FY5 (5 months) | Total |
|-----------|--|---------------------------|-------------------|-----|-----|-----|-------------------|-------|
| IR5.1 | Number of policy reforms/regulations/administrative procedures drafted and presented for public/stakeholder consultation as a result of USG assistance (FACTS) | Baseline = 0 | 0 | 2 | 3 | 0 | 0 | 5 |
| IR5.2 | Number of policy reforms/regulations/administrative procedures presented for public/stakeholder consultation as a result of USG assistance (FACTS) | Baseline = 0 | 0 | 0 | 2 | 3 | 0 | 5 |
| IR5.3 | Number of donor, GOK and agriculture sector roundtables or other events facilitated by NOA | Baseline = 0 | 8 | 12 | 12 | 12 | 5 | 11 |

ANNEX II: PROGRAM INDICATOR MATRIX

| Indicator | | Level of Result | Disaggregation | Source and Method | Frequency Reporting to USAID | Analysis and Management Utility |
|---|---|-----------------|--|---|------------------------------|---|
| AO2: Increasing Private Sector-Led Growth | | | | | | |
| AO2.1 | Total value of sales as a result of USG (USAID/NOA) assistance | Impact | By value chain , domestic vs. regional and international | Customer Records of sales | Annual | This indicator provides information about the total value of sales generated through NOA's intervention |
| AO2.2 | Total value of exports as a result of USG assistance | Impact | By value chain, country of destination | Customer Records of sales | Annual | This indicator tracks the value of sales of program-targeted crops sold to foreign markets. |
| AO2.3 | Total value of domestic sales as a result of USG assistance | Impact | By value chain | Customer Records of sales | Annual | Information of NOA target products contribution to domestic sales |
| AO2.4 | Number of Person-days/FTE generated through target value chains | Impact | Gender, ethnicity, level in the value chain | Employment and PF Tool | Annual | Based on Agstract |
| IR 1: Products and Farmers Linked to Markets | | | | | | |
| IR1.1 | Number of delivery contracts issued for target crops | Outcome | Value chain, export vs. domestic | Delivery Contract log supported by copy of contract | Quarterly | This indicator demonstrate the reliability of the VC to meet projected needs |
| IR1.2 | Value of sales resulting from linkages created between farmer, processors and traders as result of USG assistance | Output | Value Chain, domestic vs. international | Program Reports cross supported with suppliers receipts | Quarterly | Demonstrates the total value of sales in \$ as result of linkages created between players in the VC |
| IR1.3 | Number of farmers engaged in target value chains as a result of USG assistance | Output | Value chain, gender, ethnicity, | Customers' employment records, training participation lists | Quarterly | Level of effort in reaching as many farmers as needed to meet market needs |

| | Indicator | Level of Result | Disaggregation | Source and Method | Frequency Reporting to USAID | Analysis and Management Utility |
|--|---|-----------------|---|--|------------------------------|--|
| IR1.4 | Number of participants in study tours, B2B, market investigation and trade shows | Output | Type of event, Value chain, gender, ethnicity, location | Data are received from event participant lists and reports from Program specialists. | Quarterly | Analysis of attendees against number who gain market access or orders |
| IR 2: Agricultural Products Diversified and Increased | | | | | | |
| IR2.1 | Number of new markets entered for target value chain products | Outcome | Value Chain, country | Customer Records of sales | Annual | Program goal-entry into new markets for high-end products |
| IR2.2 | Value of Sales /purchases from smallholders for products as a result of USG assistance (FACTS) | Outcome (FACTS) | Value chain, gender, ethnicity, | Customer Records of sales | Quarterly | This indicator speaks only to sales/purchases of edible agricultural products produced by smallholders with <5Ha |
| IR2.3 | Number of new technologies and/or management practices developed as a result of USG assistance | Outcome | By value chain, by gender and ethnicity as appropriate | IIF reports and advisory forms | Quarterly | Demonstrates transfer of technologies |
| IR2.4 | Number of farmers trained in agricultural productivity (FACTS) Note: includes training on quality | Output (FACTS) | Value chain, gender, ethnicity, location | Training participant lists | Quarterly | Level of effort in improving productivity |
| IR2.5 | Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance | Output (FACTS) | Value chain, gender, ethnicity, location | Training participation list, IIF reports, inspection of processors | Annual | Demonstrates transfer of technologies (analysed as percentage of those trained) |
| IR2.6 | Number of firms receiving USG assistance to invest in improved technologies (FACTS) | Output (FACTS) | Value chain, gender of owner? | Program Records, IIF reports, Advisory Form | Quarterly | Level of effort in facilitating expansion |
| IR2.7 | Number of new varieties on targeted crops introduced as result of USG assistance | Output | Value Chain | Program Records, IIF reports | Annual | Provides information of varieties which are new for producers |

| | Indicator | Level of Result | Disaggregation | Source and Method | Frequency Reporting to USAID | Analysis and Management Utility |
|---|---|-----------------|---|--|------------------------------|---|
| IR2.8 | Number of farmers receiving new varieties of targeted crops as result of USG assistance | Output | Gender, ethnicity. Value Chain | Program Records, IIF reports | Annual | Level of effort to reach as many farmers which produce new crop varieties |
| IR 3: Food Quality and Safety Improved | | | | | | |
| IR3.1 | Number of firms receiving USG assistance that obtain certification with international quality control, environmental and other process voluntary standards or regulations | Outcome (FACTS) | Value chain | HACCP or other certification provided to program customers. | Annual | Certification will be necessary to enter several EU markets |
| IR3.2 | Number of NOA-supported products certified and meeting established international standards | Outcome | Value chain | Certifications, reports from program specialists | Annual | Expansion of quality Kosovo products |
| IR3.3 | Value of sales of NOA-supported certified products (a sub-set of total value of products sold) | Outcome | Value Chain, Market: domestic or export | Records of participating processors or suppliers, sales records tool | Annual | Can be analysed against new markets and margins versus uncertified products |
| IR3.4 | Number of local food inspectors trained | Output | location, gender and ethnicity | Training Records of Training Provider, participant lists | Quarterly | Effects of providing assistance to local food inspection |
| IR 4: Increased Affordable and Accessible Credit | | | | | | |
| IR4.1 | Value of lending by program customers for targeted crops and product development, as result of USG assistance | Outcome | Value chain. Level of the value chain, gender and ethnicity of lender | Reports garnered from financial institutions, checked with value chain operators records | Quarterly | Increase in credit necessary to drive and expand value chains. |
| IR4.2 | Number of institutions offering new products targeted at agriculture and agri-business as a result of USG assistance | Outcome | Institution and Type of product | Program Reports | Annual | Indicates which institutions are more likely |
| IR4.3 | Number of SMEs receiving USG (NOA project) assistance to access bank loans or private equity (FACTS) | Output (FACTS) | Value Chain, Level of value chain, gender and ethnicity of owner | Participating FI records, cross-checked against VC operators books | Quarterly | Level of effort to provide assistance above the producer level |

| | Indicator | Level of Result | Disaggregation | Source and Method | Frequency Reporting to USAID | Analysis and Management Utility |
|--|---|-----------------|--|---|------------------------------|---|
| IR4.4 | Number of producers in target value chains receiving assistance to access credit | Output | Value chain, gender, ethnicity, location | Participating FI | Quarterly | Level of effort to provide assistance to producers |
| IR4.5 | Value of grants issued for value chain operators of targeted crops and products as result of USG assistance. | Outcome | Value Chain | IIF Reports, customer survey | Quarterly | Indicates value of finance support received by VC actor |
| IR4.6 | Number of value chain operators of target crops and products receiving grants as result of USG assistance | Output | Value Chain, gender, ethnicity | Program Records, value chain operator's records cross check with donor organization Records | Quarterly | Indicates the number of VC actors receiving financial support |
| IR 5: Improved Coordination within the Agricultural Sector. | | | | | | |
| IR5.1 | Number of policy reforms/regulations/administrative procedures drafted as a result of USG assistance (FACTS) | Outcome (FACTS) | N/A | Reports of Senior Advisor | Annual | Objective of Senior Advisor to improve transparency, and NOA activities to bring MAFRD closer to private sector |
| IR5.2 | Number of policy reforms/regulations/administrative procedures presented for public/stakeholder consultation and submitted for approval as result of USG assistance (FACTS) | Outcome (FACTS) | N/A | Reports of Senior Advisor | Annual | |
| IR5.3 | Number of donor, GOK and agriculture sector roundtables or other events facilitated by NOA | Output | Types of events | Program Records, event participant lists | Quarterly | Level of effort fostering coordination |

ANNEX III: DATA COLLECTION TOOLS

RECORD OF SALES

RECORD OF SALES 2011

NOA Entity ID#:

Seller Category:

| Date | Buyer Name | Buyer Category | Item/Crop | Quantity (kg) | Price/Unit | Total Value (in Euros) | Country Destination | New Market? Y/N | Certified product? Y/N | Document of Proof |
|--------------|------------|----------------|-----------|---------------|------------|------------------------|---------------------|-----------------|------------------------|-------------------|
| 1/1/2001 | Elkos | supermarket | Gherkins | 2500 | 0.3 | 750 | Kosovo | Y | N | receipt |
| Total | | | | ### | ### | ### | | ### | ### | |

Notes:

- 1 - NOA entity ID # will be an anonymous number by which firms and individuals can be identified, database that assigns the number will include Firm/Individual Name; Role in VC (small scale producer, producer, collection center, processor, trader, greenmarket wholesaler, retailer); Address; Telephone
- 2- At least one acceptable document of proof should be attached/filed for each entry. This includes copy of contract, signed receipt, delivery slip,.....
- 3- Buyer categories: small scale producer (cultivates total of less than .5 hectares/year), producer, collection center, processor, trader, green market wholesaler, retailer
- 4- This form is used to record results pertaining to indicators # AO2-2, AO2-3, IR2-1, IR2-2, IR3-3

| Delivery Contract Log | | | | | | | | |
|--|------------------------|------------|----------------|----------------|--------------------------|--|---|-----------------|
| NOA Entity ID#: _____ | | | | | | | | |
| Date | Delivery Contract #### | Buyer Name | Buyer Category | Items/Crops | Contracted Quantity (kg) | Total Quantity Actually Delivered (kg) | % Anticipated Quantity actually delivered | New Market? Y/N |
| 3/23/2012 | 2012-01 | Elkos | supermarket | fresh gherkins | 30000 | 28000 | 93% | |
| | | | | | | | | |
| | | | | | | | | |
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| | | | | | | | | |
| | | | | | | | | |
| Notes: | | | | | | | | |
| This form is used to record results pertaining to indicator #IR1-2 and IR1-3 | | | | | | | | |

ADVISORY FORM



New Opportunities For Agriculture

| Advisory Form | | | | | | | |
|---|---|--------------------|----------------------|---|-------------------|----------------------|---------------------------|
| 1. Name of the staff: | | 2. Date: | | 3. Location: | | 4. Region: | |
| 5. Customer Name: | | | 6. Gender: | | 7. Age: | | 8. Nationality: |
| 9. Occupation | | | | 10. Value Chain/ Activity: | | | |
| 11. Subject Discussed: | | | | | | | |
| 12. Future Engagement: | | | | | | | |
| 13. New technologies adopted | 1. Yes (if yes, please give short description) 2. No | | | | | | |

Signature of the staff:

Signature of the customer:

Form Filling Guideline

In order to make this form useful and simple to input and analyse data, the following coding has to be applied:

1. **Name of the staff:** Please provide the initials of the staff in the following format:

| | | |
|------|---------------|-----------|
| 1.1 | Fatmir Selimi | FS |
| 1.2 | Mike Kimes | MK |
| 1.3 | Ismet Babaj | IB |
| 1.4 | Faton Nagavci | FN |
| 1.5 | Reshat Ajvazi | RA |
| 1.6 | Maxhun Shehaj | MS |
| 1.7 | Agron Selmani | AS |
| 1.8 | Liza Marku | LM |
| 1.9 | Laura Krypa | LK |
| 1.10 | Artan Zhushi | AZ |

2. **Date:** Provide numerical data using format dd/mm/yy

3. **Location:** Input the location where the customer's business operates;

4. **Regions;** Format to be used:

- 4.1 Prishtina – **PR**
- 4.2 Mitrovica – **MT**
- 4.3 Prizren-----**PZ**
- 4.4 Peja-----**PE**
- 4.5 Gjilan-----**GJ**

5. **Customer Name:** Name of the customer or name of the business;

6. **Gender:**

- 6.1 Male: **M**
- 6.2 Female: **F**

7. **Age:** Numerical data;

8. **Nationality:**

- 8.1 Albanian **A**
- 8.2 Serbian **S**
- 8.3 Turkish **T**
- 8.4 Roman **R**

9. **Occupation:** Farmer, or other professional occupation

10. **Value Chain:** Add value chain based on the activities proposed (apple, table grape, gherkins, or producer, processor wholesaler etc.)

11. **Subject Discussed:** Bullet points of discussed subject

12. **Future Engagement:** Bullet points of future cooperation (e.g. Demonstration plots, grants, subcontract, or additional points related to the program)

EVENT PARTICIPATION LIST



USAID

NGA POPULLI AMERIKAN
OD AMERICKOG NARODA

New Opportunities for Agriculture Program
Programi Mundësitë e Reja për Bujqësi
Program Nove Mogucnosti za Poljoprivredu

PARTICIPATION LIST/LISTA E PJESËMARRËSVE/LISTA UCESNIKA

Vendi/Place/Mesto: _____

Data/Date/Datum: _____

Tema/Subject/ Tema: _____

| | Emri/Name/Ime | Organizata/Organization/Organizacija | Profesioni/Occupation/ (farmer, collection center, Processor, Trader, Supermarket) | Email/Phone |
|----|---------------|--------------------------------------|--|-------------|
| 1 | | | | |
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STUDY TOUR FORM



USAID
FROM THE AMERICAN PEOPLE

NEW OPPORTUNITIES FOR AGRICULTURE

Study Tour Name: _____

Place (Country/City): _____

NOA Staff Responsible: _____

Date: _____

1. List companies/ Individuals and types of companies that participated in the Study Tour:

| Name: | Type*: |
|------------|--------|
| 1.1 _____ | _____ |
| 1.2 _____ | _____ |
| 1.3 _____ | _____ |
| 1.4 _____ | _____ |
| 1.5 _____ | _____ |
| 1.6 _____ | _____ |
| 1.7 _____ | _____ |
| 1.8 _____ | _____ |
| 1.9 _____ | _____ |
| 1.10 _____ | _____ |

2. Number of participants by gender:

2.1 Male: _____

2.2 Female: _____

3. Number of new contracts as a result of study tour: _____

4. Value of orders as a result of study tour: _____ €

Signature of the study tour coordinator:

Date:

*Types of companies: Producer, Processor, Collection Center, Trader, Wholesaler, Marketing Company, Distributer.

ANNEX IV: PROGRAM START- UP ACTIVITY PROCESS INDICATORS AND TARGETS TABLE

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|---|---|--|---|
| General Activities | | | |
| Develop Program Website | Website developed | Website live | June 1, 2011 |
| Develop NOA Social Inclusion Strategy | Strategy document exists | Strategy document agreed | June 1, 2011 |
| Develop an Youth Intern and Entrepreneurs Program | Program Designed | Program begins | June 1, 2011 |
| Establish Program Advisory Committee (PAC) | PAC established and functional | All PAC members identified 1 st PAC meeting held 2 nd PAC meeting held | April 15, 2011 May 1, 2011 July 1, 2011 |
| Establish MAFRD Donor Coordination Board/Working Group | Donor Working Group established and functional | 1 st DWG meeting held 2 nd DWG meeting held 3 rd DWG meeting held | May 1, 2011 July 1, 2011 Sept 1, 2011 |
| Develop external program communication and outreach strategy | NOA Communication and Outreach Strategy available | NOA Communication and Outreach Strategy agreed by USAID | May 1, 2011 |
| Burlington Orientation for CoP and DCoP | Successful Orientation | Successfully Completed Orientation | May 22 |
| Conduct 2-day workshop at AgBiz (Macedonia) on Lessons Learned and Best Practices | Workshop successfully completed | 15 staff attend successful workshop | June 30, 2011 |
| Finalize Program Staffing Chart | Final Staffing Chart available | Staffing Chart agreed by USAID | April 1, 2011 |
| Hire and train all NOA staff | NOA staff hired | All NOA staff hired and working | May 15, 2011 |
| FY 2011 Work Plan Development and NOA staff orientation | | | |
| Develop Revised Work Plan March – Sept 2011 | Revised Work Plan Available | Revised March-Sept 2011 Work Plan approved | April 30, 2011 |
| Conduct NOA Staff Work Plan Workshop | Number of NOA staff trained | All NOA staff trained | May 2, 2011 |
| FY 2012 Annual Work Plan Development | | | |
| Conduct NOA staff 2012 Work Plan development Workshop | Number of NOA staff participating | All staff participating; draft AWP '12 plan developed | August 1, 2011 |
| Present 2012 Work Plan to PAC | PAC meeting held to present AWP '12 | PAC feedback on AWP '12 received | August 10, 2011 |
| Submit 2012 Work Plan to USAID | AWP '12 completed | AWP submitted to USAID | August 31, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|--|---|---|-----------------------------|
| Revise/Finalize 2012 Work Plan | Revised AWP '12 completed | Final AWP '12 approved | Sept. 5, 2011 |
| Performance Monitoring System and PMP Development | | | |
| Confirm/modify baseline data | Number of OA and IR indicators for which baseline data is <i>incomplete</i> | 0 | April 30, 2011 |
| Develop data collection tools | Availability of data collection tools | All anticipated data collection tools available | April 30, 2011 |
| Test data collection tools | Number of data collection tools tested | All data collection tools tested | May 15, 2011 |
| Revision and finalization of data collection tools | Number of data collection tools revised and finalized | All data collection tools final | June 1, 2011 |
| Identify and compile data base of value chain actors (working at all levels) | Data base built and beginning to be populated | Data base built Data base populated | May 1, 2011 May 31, 2011 |
| Develop Program Monitoring database | % database developed | Database complete (100%) | April 15, 2011 |
| Populate Program Monitoring database | Database populated and functional | Database population up to date and functional | April 30, 2011 |
| Revise PMP according to USAID comments | Revised PMP available | Revised PMP submitted to USAID | TBD (5 days after comment) |
| Train NOA staff on PMP and its implementation | Number of NOA staff trained | All NOA staff trained | May 31, 2011 |
| IIF Manual and Management | | | |
| Develop IIF Manual | Manual developed and approved by USAID | IIF Manual Approved | April 1, 2011 |
| Adapt TTARD grants application and templates to IIF | Grants management templates adapted | Grants management templates approved by USAID | April 15, 2011 |
| Adapt TTARD subcontract templates to IIF | Subcontract templates adapted | Subcontract templates approved by USAID | April 15, 2011 |
| TTARD Home Office staff train IIF and admin/finance staff on IIF and subcontracts management | Number of NOA staff trained | All NOA IIF, admin and finance staff trained | April 30, 2011 |
| Issue solicitation (RFA/APS) for first round of IIF proposals | Number of RFAs issued | First RFA for IIF grants issued | April 30, 2011 |
| Approve first round of IIF proposals | Number of proposals prioritized | 20 proposals prioritized | June 15, 2011 |
| IIF support provided | Number of IIF proposals approved | First IIF support provided | June 25, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|---|---|--|-----------------------------|
| Issue solicitation (RFA/APS) for second rounds of IIF proposals | Number of RFAs issued | Second RFA for IIF proposals issued | Sept. 30, 2011 |
| Identify activities to be implemented under FFP subcontracts | Number of FFP subcontracts issued | First RFA for IIF subcontracts issued | May 15, 2011 |
| Sign and oversee implementation of subcontracts | Number of subcontracts completed | All subcontracts due to be completed are completed | As due |
| Bumpers Assessments and Clearance | | | |
| Confirm which products require Bumpers Clearance | Bumpers requirements known | Plan for Bumpers assessments in place | April 1, 2011 |
| For Bumpers crops, conduct analysis of potential competition with/impact on US export commodities | Level of competition with US export commodities assessed for four Bumpers crops | Assessments completed for the four crops | April 30, 2011 |
| Receive Kosovo Mission approval of Bumpers analyses | USAID agreement of Bumpers assessment | USAID agreement with Bumpers assessment obtained | May 3, 2011 |
| Environmental Compliance | | | |
| Update the IEE | Updated IEE available | IEE updated | ????? |
| Develop T10 PERSUAP | PERSUAP conducted | 10 VC PERSUAP completed | May 15, 2011 |
| Finalize Environment requirements | All environmental requirements known | Environmental requirements finalized | April 15, 2011 |
| Complete EMMP | Required EMMP conducted | Required EMMP(s) completed | 1 May, 2011 |
| Conduct EDDs/PPAs/CPAs | Number of EDDs/PPAs/CPAs conducted | TBD# of EDDs/PPAs/CPAs | As required |
| Build the Knowledge Base for the Program and for the Top Ten VCs | | | |
| Conduct Assessment of GoK Food Quality and Safety Capacity Enhancement Needs | Assessment completed, number of recommendations for NOA support | Assessment report completed | June 15, 2011 |
| Hold Multi-Donor Agribusiness Export Development Coordination Workshop | Workshop conducted; Number of participants attending | Workshop completed | April 30, 2011 |
| Conduct Program SWOT analysis of Kosovo as a comparative competitive source of exportable products | SWOT analyses completed | SWOT analyses report completed | May 1, 2011 |
| Centralize information on GoK and Other Donor plans and objectives related to export development and VC development | Inventory of GOK and Donor plans/objectives for export and VC development drafted | Inventory is completed | May 15, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|---|--|---|----------------------|
| Develop Bibliography of and collect documentation on recent reports on each VC and on export and agribusiness development | Bibliography developed; All cited documents collected | Bibliography and docs are available | May 15, 2011 |
| Develop Regional and EU Import/Export Database | Database developed | Database populated | May 30, 2011 |
| Develop database on domestic production of T10 products | Database developed | Database populated | May 15, 2011 |
| Develop database of imports of T10 products, where they going, etc. | Database developed | Database populated | May 15, 2011 |
| Develop detailed who’s who for each T10, noting their plans & expectations | Who’s who per VC drafted | Who’s who per VC finalized | May 1, 2011 |
| Conduct SWOT analysis for each of the T10 value chains | SWOT analyses completed | SWOT analyses report completed | May 15, 2011 |
| Develop VC prioritization and phasing methodology | VC prioritization and phasing methodology established | Guidelines/instructions for VC prioritization and phasing methodology developed | June 15, 2011 |
| Conduct T10 prioritization workshop | Workshop conducted | T10 VCs prioritized | June, 20, 2011 |
| Conduct comparative competitive advantage market studies on each of the initially selected VCs | Number of comparative competitive advantage market studies conducted | Ten comparative competitive advantage market studies conducted | July 15, 2011 |
| Identify and select optimal customers (NOA beneficiaries) per VC | | | |
| Apple VC Activities | | | |
| Conduct Apple VC Profile | Apple profile conducted | Apples profile report completed | April 30, 2011 |
| Conduct Apple Export Markets Study | Apple markets study conducted | Apples markets study report completed | May 20, 2011 |
| Conduct Apple Stakeholder Workshop | Workshop conducted; Number of Participants attending | 30 participants attending workshop | May 30, 2011 |
| Study Tour to Italian Apple Companies | Study tour conducted; Number of participants attending | 10 VC participants attending study tour | July 1, 2011 |
| Provide technical Support (TBD) to Apple VC Participants | Number of participants | TBD VC participants supported | Ongoing |
| Table Grape VC Activities | | | |
| Conduct Table Grape VC Profile | Table grape profile conducted | Table grape profile report completed | April 30, 2011 |
| Conduct Table Grape Export Markets Study | Table grape markets study conducted | Table grape markets study report completed | May 20, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|--|---|---|-----------------------------|
| Conduct Table Grape Stakeholder Workshop | Workshop conducted; Number of Participants attending | 30 participants attending workshop | May 30, 1011 |
| Study Tour to Macedonia Table Grape Firms | Study tour conducted; Number of participants attending | 10 VC participants attending study tour | July 1, 2011 |
| Provide technical Support (TBD) to Table Grape VC Participants | Number of participants | TBD VC participants supported | Ongoing |
| Gherkin VC Activities | | | |
| Conduct Gherkin VC Profile | Gherkin profile conducted | Gherkin profile report completed | April 30, 2011 |
| Conduct Gherkin Export Markets Study | Gherkin markets study conducted | Gherkin markets study report completed | May 20, 2011 |
| Conduct Gherkin Stakeholder Workshop | Workshop conducted; Number of Participants attending | 30 participants attending workshop | May 30, 1011 |
| Study Tour to Austria and Germany | Study tour conducted; Number of participants attending | 10 VC participants attending study tour | July 1, 2011 |
| Provide technical Support (TBD) to Gherkin VC Participants | Number of participants supported | TBD VC participants supported | Ongoing |
| Flower Bulb VC Activities | | | |
| Conduct Flower Bulb VC Profile | Flower bulb profile conducted | Flower bulb profile report completed | July 15, 2011 |
| Provide technical Support (TBD) to Flower Bulb VC Participants | Number of participants supported | TBD VC participants supported | Ongoing |
| Berry VC Activities | | | |
| Conduct Berry VC Profile | Flower bulb profile conducted | Flower bulb profile report completed | July 15, 2011 |
| Provide technical support (TBD) to Berry VC Participants | Number of participants supported | TBD VC participants supported | Ongoing |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|--|--|--|----------------------|
| Fast Track Activities Related to Initial Four Selected VCs | | | |
| Develop export focused competitive VC development plan/business model/investment plan for each of the top 4 VCs | Number of VC development/business model/investment plans developed | Initial 4 VC development/business model/investment plans completed | June 15, 2011 |
| Present business models/investment plans for each of the initial 4 VCs to potential customers | Number of VC “customers” presented with plan (in workshop, seminar, event or otherwise TBD) | 500 VC “customers” presented with the plan (across all 4 initial VCs) | July 30, 2011 |
| Assess the level of interest and customer buy in at each level of each of the initial 4 VCs | Customer Interest and buy in assessed per VC | Customer interest and buy in report completed per VC | August 30, 2011 |
| Make Go/No-go decision whether or not to support each of the top 4 VCs | Initial 4 VCs confirmed (or rejected) | 4 VCs confirmed for support | Sept 15, 2011 |
| NOA staff Identify Fast Track Activities supporting the initial 4 value chains | Number of NOA fast track activities directly identified by NOA staff | 4 viable fast track activities identified | May 30, 2011 |
| Estimate the cost of identified fast track interventions to inform “Go “ or “No go” decision | Number of fast track activities identified by NOA staff for which costs have been identified | 8 fast track activities identified by NOA staff for which costs are identified | June 15, 2011 |
| Identify sources of financing to support fast track activities | Number of sources of fast track activity financing identified | 3 potential sources identified per activity | June 30, 2011 |
| Make go/no-go decision on each of the potential fast track activities, based on benefits vs. cost analyses | Number of fast track activities approved (NOA staff identified and RFA solicited) | 12 fast track activities approved | July 1, 2011 |
| Develop(a series of) activity summaries for each of the selected fast track activities | Number of activity summaries developed | Exhaustive set of summaries developed per fast track activity | July 15, 2011 |
| Implement activity summaries (providing technical assistance via various means as needed – through direct technical assistance or consultants. | Number of activity summaries implemented | 80% of activity summaries effectively implemented | As due |
| Food Quality and Safety | | | |
| Conduct assessment of physical infrastructure and human resource capacity to establish and support food quality and safety in Kosovo | Capacity and needs assessed related to food quality and safety | Capacity and needs assessments report completed | June 30, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|---|---|--|-----------------------------|
| Identify food quality and safety professionals in Kosovo | Number of food quality and safety professionals identified | 100% of food quality and safety professionals identified | April 30, 2011 |
| Develop training curriculum for local food quality and safety professionals | Training curriculum developed ; Number of training modules developed | Training curriculum complete; At least 10 training modules on different subjects complete | June 30, 2011 |
| Develop informational materials on food quality and safety and distribute to producers, processors and traders | Number of information materials developed; Number of informational materials printed; Number of informational materials distributed | 5 informational materials developed; 5 printed 2500 distributed | Aug 31, 2011 |
| Develop food quality and safety campaign to explain and promote various types of certification | Number of persons reached through the food quality and safety campaign | 5000 persons reached | Sept 1, 2011 |
| Inventory agribusinesses that are certified (and to what extent) | Number of agribusinesses identified | TBD agribusinesses identified | April 30, 2011 |
| Access to Finance | | | |
| Inventory/survey banks, MFI's credit unions and others providing finance for agricultural production and/or agribusinesses, document their terms, experiences, challenges, etc. | Number of banks and other finance institutions offering support to ag production and agbiz development | 100% identification of banks and finance institutions offering credit for ag production and agribusiness | April 30, 2011 |
| Develop Alternative Sources of Agribusiness Finance Manual | Manual Developed | Manual completed | June 30, 2011 |
| Assist customers in applying for agricultural credit | Number of customers assisted to apply for credit for ag activities. | 200 customers assisted | On going |
| Conduct Ag Financing Workshop for ag lenders and agribusinesses owners | Number of participants attending the workshop | 30 participants attending workshop | July 15, 2011 |
| Technical Reports, Newsletters and Success Stories | | | |
| Develop Weekly Progress Reports | Number of weekly reports developed | 25 weekly reports submitted | Sept 30, 2011 |

| Technical Activities (according to Work Plan “Building Blocks”) | Process Indicator | Target | Completion Date (by) |
|---|-------------------------------------|-----------------------|---|
| Develop Quarterly Performance Reports | | 2 Q reports submitted | April 15 for April – June report ; July 15 for July- Sept report |
| Develop and distribute Quarterly NOA Newsletters | Number of newsletters developed | 2 | Sept 30, 2011 |
| Develop Monthly Success Stories | Number of Success Stories developed | 6 | Sept 30, 2011 |

ANNEX V: BAFO PERFORMANCE MONITORING INDICATORS AND TARGETS

| Indicator | Baseline Values and Issues | Yr 1 | Yr 2 | Yr 3 | Yr 4 | Total |
|---|--|---------------------|--------------------|--------------------|--------------------|---------------------|
| AQ2: Increasing Private Sector-Led Growth | | | | | | |
| Total value of exports as a result of USG (USAID/NOA) assistance | Assume current products not exported (to be verified) and no sales of new crops | \$1.27 m | \$2.54 | \$5.08 m | \$7.62 m | \$16.5 m |
| <i>Revised: total value of sales as a result of USG assistance</i> | <i>Increase from 4 crop to 8 crop scenario, in USD (exchange rate 1.27)</i> | <i>\$3.3 m</i> | <i>\$7.2m</i> | <i>\$9.9m</i> | <i>\$11.8</i> | <i>\$32.2m</i> |
| <i>Revised: Exports (70% of marketed production)</i> | <i>Calculations already account for unmarketable quantities</i> | <i>\$ 2.3m</i> | <i>\$5.0 m</i> | <i>\$7m</i> | <i>8.2m</i> | <i>\$22.5m</i> |
| <i>Revised: Local Sales or Undocumented Export (30%)</i> | <i>Local means marketed on the local Kosovo market. Undocumented means purchased by local agents who then, outside of NOA, may market to nearby country.</i> | <i>\$1m</i> | <i>\$2.2m</i> | <i>\$3m</i> | <i>\$3.5m</i> | <i>\$9.7m</i> |
| Percent change (increase) in the value of target commodity export (from baseline) | Assume baseline is zero (under verified) | -- | 100% | 100% | 50% | 1200% over year 1 |
| <i>Revised: GOK Trade figures do not disaggregate by individual product</i> | <i>Annual increases based on Year 1 target export levels</i> | | <i>118%</i> | <i>200%</i> | <i>258%</i> | <i>312%</i> |
| Number of Person-days/FTE generated through target value chains | Household Survey (for 2007) reported 1004 FTEs of hired agricultural labor | 70 FTE 18,200 PD | 100FTE 26,000PD | 125FTE 32,500PD | 150FTE 39,000PD | 445FTE 115,700PD |
| <i>Revised: Number of Person-days/FTE generated through target value chains</i> | <i>Increased by adding farm families moving into agricultural employed status, increasing number of value chains, and adding allied services (such as transport). Note that SBK estimates only 3600 unemployed farm workers.</i> | <i>1858 FTE</i> | <i>3716 FTE</i> | <i>4998 FTE</i> | <i>6510 FTE</i> | <i>6510 FTE</i> |
| 1: Products and Farmers Linked to Markets | | | | | | |
| Number of post-production Buyers and/or Producer Organizations formed or strengthened | CNFA has developed apple clubs, grape farmers are loosely organized, size of PO estimated at 25-40 producers | 10 | 20 | 40 | 50 | 50 |
| <i>Revised: Number of post-production Buyers and/or Producer Organizations formed or strengthened</i> | <i>Increased for 8 crop scenario</i> | <i>10</i> | <i>25</i> | <i>50</i> | <i>75</i> | <i>75</i> |
| Number of delivery contracts issued for target crops | For NOA current baseline is 0 | -- | 200 | 500 | 1000 | 1700 |
| <i>Revised: Number of delivery contracts issued for target crops</i> | <i>Increased for 8 crop scenario</i> | | <i>250</i> | <i>750</i> | <i>1200</i> | <i>2200</i> |
| Percent of delivery contracts fulfilled | For NOA current baseline is 0 | -- | 75% | 85% | 95% | 95% |
| Number of farmers engaged in target value chains | Based on 1 accumulator per 25 farmers, 2 processor/exporters | 400 | 800 | 1000 | 1200 | 1200 |
| <i>Revised: Number of farmers engaged in target value chains</i> | <i>Increased to 8-crop scenario. While initial year increase in "engagement", the increase will not yet be producing</i> | <i>800</i> | <i>1600</i> | <i>2000</i> | <i>2500</i> | <i>2500</i> |
| Number of rural households benefiting directly from USG interventions | Based on number of producers (1 household) plus persons (1 household) receiving seasonal or permanent employment (rural) as a result of NOA | 450 | 1100 | 1800 | 2580 | 2580 |
| <i>Revised: Number of rural households benefiting directly from USG interventions</i> | <i>Includes farm households, one household per FTE in upper levels of value chain. Note that part-time employment increases this number, but is dependent on value chain and employment needs</i> | <i>1758</i> | <i>3516</i> | <i>4598</i> | <i>6260</i> | <i>6260</i> |
| Number of participants in study tours, B2B, market investigation and trade shows | For NOA current baseline is 0 | 40 | 40 | 20 | 20 | 120 |

| Indicator | Baseline Values and Issues | Yr 1 | Yr 2 | Yr 3 | Yr 4 | Total |
|---|--|---------------|---------------|-------------|---------------|--------------------------------|
| <i>Revised</i> | <i>Increased for 8 crop scenario</i> | 40 | 60 | 60 | 20 | 180 |
| 2: Agricultural Products Diversified and Increased | | | | | | |
| Number of new markets entered for target value chain products | Assumes there are additional markets in Albania and Macedonia | 3 | 5 | 8 | 9 | 9 |
| <i>Revised</i> | <i>Increased for 8 crop scenario</i> | 3 | 5 | 10 | 12 | 12 |
| Value of Sales /purchases from smallholders for products as a result of USG assistance (FACTS) | Based on 40% of market price (depends on crop where returns to farmers can be 25- 60%). Will be also calculate as % increase over previous year | \$500K | 1.02M | \$2.03M | \$3.05M | \$6.6M |
| <i>Revised: Value of Sales /purchases from smallholders for products as a result of USG assistance (FACTS)</i> | <i>See above</i> | <i>\$1.3m</i> | <i>\$2.9m</i> | <i>\$4m</i> | <i>\$4.7m</i> | <i>\$12.9m</i> |
| Number of new processes developed increasing value of raw materials as a result of USG assistance | Baseline is 0 | 1 | 3 | 6 | 8 | 18 |
| <i>Revised: Number of new processes developed increasing value of raw materials as a result of USG assistance</i> | <i>In the 8 crop scenario, new crops lend themselves to additional value-added processing or new processing that must be introduced (such as bulb handling)</i> | 1 | 4 | 8 | 10 | 23 |
| Number of farmers trained in agricultural productivity (FACTS) Note: includes training on quality | Baseline is 0 for NOA (though some have received trained from other projects) | 400 | 800 | 1000 | 1200 | 1200 |
| <i>Revised: Number of farmers trained in agricultural productivity (FACTS) Note: includes training on quality</i> | <i>Increased for 8-crop scenario plus some additional training especially for previously unknown crops that require special attention at different times of the year. Includes demonstration of new crops and F2F multiplier</i> | 1000 | 1500 | 2000 | 2500 | 2500 cum Total T's: 7000 |
| Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance | Includes producers, buyers, processors, suppliers and support services (based on 80% adoption rate) (rounded) | 350 | 650 | 850 | 1350 | 1350 |
| <i>Revised: Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance</i> | <i>5 of the 8 target crops are new to Kosovo. Includes introduction of new crops. Does not include current growers already using improved technologies</i> | 350 | 800 | 1200 | 1750 | 1750 |
| Number of firms receiving USG assistance to invest in improved technologies (FACTS) | For NOA baseline is 0 | 5 | 10 | 25 | 30 | 30 |
| <i>Revised: Number of firms receiving USG assistance to invest in improved technologies (FACTS)</i> | <i>Increased for 8 crop scenario</i> | 5 | 15 | 30 | 35 | 35 |
| 3: Food Quality and Safety Improved | | | | | | |
| Number of firms receiving USG assistance that obtain certification with international quality control, environmental and other process voluntary standards or regulations | Operating baseline is 0 until verified | - | 2 | 6 | 10 | 10 |
| Number of products certified and meeting established international standards | Includes improvements in handling of fresh products, and other processing | - | 2 | 6 | 2 | 10 |
| <i>Revised: Number of products certified and meeting established international standards</i> | <i>Increased for 8-crop scenario. Includes certification of "raw" product and any processed products (e.g., pickles or specialty packaging of fruit)</i> | | 2 | 6 | 4 | 12 |
| Value of sales of certified products (a sub-set of total value of products sold) | Assume 20% of total sales (life of project) to be from certified products | - | \$500K | \$1m | \$1.5m | \$3m |

| Indicator | Baseline Values and Issues | Yr 1 | Yr 2 | Yr 3 | Yr 4 | Total |
|---|--|------|---------|----------|-------|--------|
| <i>Revised: Value of sales of certified products (a sub-set of total value of products sold)</i> | <i>Increased for 8 crop scenario, realizing that regimen for new crop certification will be difficult in the LOP</i> | | \$500 K | 1.5m | \$2m | \$4m |
| Number of local food inspectors trained | Currently there are 28 inspectors, not using testing technologies | - | 30 | 40 | 60 | 60 |
| 4: Increased Affordable and Accessible Credit | | | | | | |
| Volume of lending to agriculture sector for value chain operators of target crops and products | Using AGCLIR, AMIK and AGSTRAT calculation based on a % of farmers to access €2000-10,000, accumulators €25,000 and processors/suppliers €100,000 for cash flow and/or some infrastructure improvements | - | \$500k | \$2m | \$5m | \$7.5m |
| <i>Revised: Volume of lending to agriculture sector for value chain operators of target crops and products facilitated through NOA (based on assistance to access credit projections)</i> | <i>Based on AgStrat, need for capital for up-front investment costs, and up-front labor will require substantially more capital. Capital lending is small in Kosovo, so target has been increased only modestly. The availability of capital as suggested in AgStrat is a critical assumption.</i> | -- | \$500 K | \$ 2.5 m | \$6 m | \$ 9m |
| Number of institutions offering new products targeted at agriculture and agri-business | For NOA baseline is 0 | - | 2 | 4 | 5 | 5 |
| Number of SMEs receiving USG assistance to access bank loans or private equity (FACTS) | For NOA, baseline is 0 | - | 10 | 25 | 50 | 50 |
| <i>Revised: Number of SMEs receiving USG assistance to access bank loans or private equity (FACTS)</i> | <i>Modestly increased, limited by availability of capital</i> | | 15 | 40 | 75 | 75 |
| Number of producers in target value chains receiving assistance to access credit | AMIK reports that they have issued €95m to 58,000 borrowers (percentage for agriculture not available) but AGCLIR reports that only 4% of total financial assets are used in agriculture sector. This does not include credit or advances on delivery contracts, only direct lending to producers | - | 100 | 200 | 500 | 500 |
| <i>Revised: Number of producers in target value chains receiving assistance to access credit</i> | <i>Modestly increased for 8 crop scenario, but limited availability of capital</i> | | 100 | 300 | 600 | 600 |
| 5: Improved Coordination within the Agricultural Sector. | | | | | | |
| Number of policy reforms/regulations/administrative procedures drafted and presented for public/stakeholder consultation as a result of USG assistance (FACTS) | For NOA baseline is 0 | 2 | 3 | | | 5 |
| Number of donor, GOK and agriculture sector roundtables or other events facilitated by NOA | For NOA baseline is 0 (though there seem to have been some other attempts in the past) | 1 | 2 | 4 | 4 | 11 |

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