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# REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – REGIONAL COMMAND NORTH

**ANNUAL REPORT: FEBRUARY 2011 - SEPTEMBER 2011**



**OCTOBER 30, 2011**

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# REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – RC NORTH

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## ABBREVIATIONS & TERMS

AO	Assistance Objective
AFN	Afghani (monetary unit of Afghanistan)
ASGP	Afghan Sub-national Governance Program (UNDP)
CLIN	Contract Line Item Number
CO	Contracts Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
DAI	Development Alternatives Incorporated
DCOP	Deputy Chief of Party
DoS	Department of State (United States)
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
EM	Environmental Manual
EMMP	Environmental Monitoring and Management Plan
EMP	Environment Management Plan
ESC	Environmental Screening Checklist
FAF	Foreign Assistance Framework
FEMMP	Framework Environmental Mitigation and Monitoring Plan
GIRoA	Government of the Islamic Republic of Afghanistan
IEE	Initial Environmental Examination
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MMCBP	Municipal Management and Capacity Building Plan
MTL	Municipal Team Leader
NGO	Non-Governmental Organization
PAAG	Public Administration Advisory Group
PMP	Performance Management Plan
PPP	Public-Private Partnership
RAMP UP program)	Regional Afghan Municipalities Program for Urban Populations (USAID
RC (E,W,N,S)	ISAF Regional Command East, West, North, South
RFP	Request for Proposals
RU-N	RAMP UP North
SDAG	Service Delivery Advisory Group
SDIP	Service Delivery Improvement Plan
SMAP	Strategic Municipal Action Plan
SOP	Standard Operating Procedures
SWM	Solid Waste Management
SO	Strategic Objective
TAMIS	Technical Assistance Management Information System
TBD	To be determined
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government

## Terms

<i>gozar</i>	Neighborhood
<i>nahya</i>	Municipal District
<i>wakil or kalanter</i>	<i>nahya</i> or <i>gozar</i> representative
<i>mustoufiat</i>	Sub national representative office for Ministry of Finance
<i>Tashkeel</i>	administrative structure of a GIRoA entity
<i>Safayi tax</i>	service charge and property tax
<i>Sharwali</i>	Municipality
<i>moqarara</i>	Regulation
<i>zarang</i>	rickshaw

## ABOUT RAMP UP NORTH

The purpose of the Regional Afghan Municipalities Program for Urban Populations - North (RAMP UP North) is to create effective, responsive, democratic, transparent, and accountable municipal governance in the nine provinces that comprise the International Security Assistance Force's (ISAF's) Regional Command North.

RAMP UP North will: (1) increase the capacity of the Government of the Islamic Republic of Afghanistan (GIROA) municipal officials, (2) markedly improve the delivery of municipal services to citizens in target municipalities, and (3) increase municipal capacity to enable, support, and sustain economic growth. As a result of the RAMP UP North, Afghan citizens will receive better services, understand the responsibilities of municipal leaders, play an active role in the municipal decision-making process, and see local governance structures as legitimate.

## RAMP UP NORTH PROGRAMMING BY CLIN OBJECTIVE

RAMP UP North provides assistance to the Government of the Islamic Republic of Afghanistan under three primary objectives, or components, each of which have labeled as a distinct Contract Line Item Number (CLIN) and tied to a specific goal. More precisely:

**CLIN 1 ~ Capacity Building of the GIROA officials at the municipal level:** All activities under CLIN 1 will directly contribute to enhancing the capacity of municipal officials, managers and technicians to perform their core municipal management responsibilities. Based on an empirical understanding of the skills, capabilities, and knowledge of municipal staff, RAMP UP North provides a combination of on-the-job mentorship, training, and advising to enable more visible, responsive, and accountable governance at the municipal level.

**CLIN 2 ~ Support to the GIROA to provide responsive, effective, and visible municipal service delivery programs:** Activities carried out under CLIN 2 support municipalities in delivering visible, tangible, and desirable services to citizens in the form of municipal service delivery projects (Municipal Projects). These projects simultaneously fill two purposes: (1) municipal projects provide citizens with marked improvements in daily life, helping them gain satisfaction with and confidence in their municipal government; and (2) in executing projects hand-in-hand with municipal officials, RAMP UP North builds capacity with a clear learning-by-doing approach, solidifying the GIROA's capacity to sustainably deliver services to citizens in the long term.

**CLIN 3 ~ Support to the GIROA to improve economic development and revenue generation at the Municipal level:** Activities implemented under this CLIN directly support the growth of local economic development and strengthening of revenue generation, and thereby the municipality's ability to finance its service offerings and operating costs. As RAMP UP North activities under CLINs 1 and 2 strengthen municipal capacity and service delivery, activities under CLIN 3 use the capacity, service improvements, and infrastructure to facilitate business growth and job creation.

RAMP UP North's approach to programming is to provide comprehensive programming that addresses each of the three aforementioned CLIN objectives through a combination of technical assistance, training, provision of material support, and direct service delivery projects delivered to municipal communities and governments in-kind (provided through the RAMP UP North Implementation Fund).

Technical assistance, training, and on-the-job mentoring are also an essential element of RAMP UP North support to municipal administrations; a majority of the hands-on work provided by RAMP UP North is in the form of embedded technical advisors (called Embedded Advisors, or EAs), who, in partnership with the technical experts based in Mazar-e-Sharif (with specializations in areas such as financial management, budgeting, economic development, urban planning, communications, citizen engagement, performance monitoring, and others), will design context-specific capacity development agendas that are tailored to each municipal administration.

## **EXECUTIVE SUMMARY**

### **INTRODUCTION**

The RAMP UP North (RU-N) contract was awarded on February 8th, 2011. However, due to the issuance of Presidential Decree 62 (Dissolution of Private Security Companies), and the resulting uncertainty of the operating environment for international development organizations, in-country mobilization was initially put on hold.

On February 22, 2011, at the request of USAID/ Afghanistan, DAI submitted an Interim Mobilization Plan (IMP) for RAMP UP North with the objective to identify those tasks which can begin immediately and that were: 1) feasible within the operating environment for USAID implementing partners at the time; 2) in accordance with the terms and conditions of the contract; 3) in compliance with USAID rules and regulations; and 4) in compliance with DAI corporate policies and procedures.

In response to USAID's feedback on the plan, DAI submitted a revised IMP on March 11, 2011. This was accepted by USAID and mobilization for RAMP UP North began on March 18, 2011.

- Initial site visits to the region began in April.
- Key program staff were mobilized in May.
- Program office and residential compounds were identified and leases were secured.
- Key contractual deliverables were prepared for submittal on June 1.

### **START UP**

During the June, 2011 reporting period, start-up activities continued, while a transition to program activities began. Recruitment and hiring for expat and Afghan staff continued in earnest. Facilities renovations were started and fully underway by month's end. Introductory meetings with Mayors and key regional leaders were initiated and initial expeditious projects were being identified. Internal reporting systems were established.

By the beginning of July 2011, start up was well underway with the office and residence guesthouses fully operational and all staff moved in. RAMP UP North began to transition out of startup mode and to move forward with program activities.

### **ANNOUNCED BUDGET REDUCTIONS/PROJECT RE-SCOPING**

In mid-July, RAMP UP North received notice of likely funding reductions. By the end of July, USAID provided unofficial notice of an anticipated reduction from the original \$50 million budget allocation to around \$12.8 million, with a highly uncertain option year. Additionally, \$4 million was de-obligated and transferred to RAMP UP East with the understanding that these funds would be replenished in short order.

RAMP UP North worked closely with the USAID Contracting Officer Technical Representative (COTR) to examine alternative program design scenarios to meet the new funding limitations. A re-defined scope of work for the program was drafted and submitted for USAID consideration at the end of July 2011.

Across the board, RAMP UP North focused on conducting a seamless transition into implementing the programming activities of a \$13 million program in the midst of rapid start-up activities intended for a \$50 million program.

In August 2011, RU-N received official notice from USAID that the project would continue with a budget of \$12.8 million until February 2012, with a likely option year at a similar funding level. Further, the \$4 million that was de-obligated from the RU-N budget and transferred to RAMP UP East is still due to be replenished for the current funding year.

Throughout August, programming activities moved forward according to the proposed, revised Scope of Work, and in close coordination with the USAID's COTR. RU-N finalized the "internal" survey of municipal office staff capacity and "external" survey of key civil society and business community stakeholders, focused on citizen satisfaction and community priorities. The program worked with mayors in all communities to identify and convene citizen engagement groups who will advise on sustainable service delivery improvement. Additionally, seven municipalities identified initial Sustainable Service Improvement Projects (previously termed Expeditious Projects); scope and design was well underway by the end of the reporting period. Finally, one Sustainable Service Improvement Project moved to the contracting stage. Under the newly proposed work plan, these Sustainable Service Improvement projects served as the venue for key citizen/ municipal engagement and formed the centerpiece of future sustainability, enhanced revenue collection, and capacity building activities.

#### **MOVING TO DEVELOP AND IMPLEMENT NEW WORK PLAN**

In September 2011, RAMP UP North (RU-N) continued to work with USAID for final, written clarification on the new funding arrangements. By the end of the month, USAID unofficially notified RU-N that it could expect \$18 million 30 September 2012, representing a 75% reduction. This change affirmed the need to revamp the project approach and implementation. Additionally, \$2.4 million of the total \$4 million that was de-obligated from RU-N and transferred to RU-E in July was returned to the RU-N account; the remaining \$1.6 million was expected to be refunded by the end of 2011. Instead of a contract modification, RU-N moved to revise the Work Plan for Years 1 & 2 and Performance Management Plan (PMP) in close coordination with USAID. USAID CO instructed that these revised Work Plan / PMP documents were considered to supersede the contract Scope of Work.

#### **SUSTAINABLE SERVICE DELIVERY CHALLENGES**

A general strategy shift, or rather re-focus, occurred in September as initial bids were reviewed for several of the Sustainable Service Improvement Projects. All bids were significantly above the project budget targets. Upon review, Senior Management determined that the project Scopes of Work had not been developed with sufficient consideration for sustainability; in short, the projects were designed to be more expensive than the municipalities and/or citizen beneficiaries would be capable of sustaining after RU-N's support expired. As a result, all project proposals were sent back to the development process and the RU-N/Mazar Office initiated a series of workshops on sustainable project development to develop a Sustainability Model for project development. The entire Technical Program Team worked on the Mazar-e-Sharif Sustainable Service Improvement Project proposal, developing a prototype process used by all other municipalities on how to revise the project scopes of work to be sustainable.

#### **SERVICE DELIVERY IMPROVEMENT PLANS DE-SCOPED**

Originally Service Delivery Improvement Planning was meant to be a municipality-wide exercise. As a result of funding/staffing cuts, the approach to developing Service Delivery Improvement Plans was revised, with its scope reduced to project related Service Improvement Plans. Improvement planning for Sustainable Service Improvement Projects served as the venue for key citizen/ municipal engagement and formed the foundation of future sustainability, enhanced revenue collection, and capacity building

activities, while providing a learning laboratory for an initial introduction to key technical and functional skills.

## **CONCLUSION**

Throughout September, Senior Management held a series of meetings with the Technical Programs Team to reinforce the revised core guiding principles of the proposed Work Plan. These principles included sustainability, citizen-municipal collaboration, transparency, accountability, and change management. Several strategy sessions were held to examine current programming activities and ensure that these guiding principles were applied across all of RU-N's programming activities and planning documents.

At Fiscal Year year's end, RU-N was still facing budget and program design uncertainty, but continued to adjust to challenges with an eye to provide more modestly scaled, but valuable, service to communities.

## **PROGRAM HIGHLIGHTS**

### **START-UP**

#### Staffing and Recruiting

During mid-May key staff arrived in country. During June, organizational charts and position control documents were refined. DAI and subcontractor partner, ICMA, initiated intensive recruitment, interview, and hiring campaigns for the local staff. Three ICMA home office staff provided additional support in ramping up the start up efforts. Roughly 80% of all key senior afghan technical and operations staff were identified and hired, including key finance, procurement, operations and program positions.

#### Facilities

During the reporting period, leased residential and office properties developed plans for significant refurbishment. Electrical systems were upgraded to accommodate air conditioning and computer systems. Generator load capacity needs were assessed. The project NXP plan was submitted. Surplus properties from other closing USAID projects were identified and acquired. Office property renovations were completed during June. A delay in NXP approvals delayed the office from becoming fully operational until early July.

## **PROGRAMMATIC HIGHLIGHTS**

### **BASELINE SURVEYS**

#### Internal of Municipal Staff Capacity

The Internal Survey was designed and conducted to develop an in-depth analysis of capacity and status of all nine municipalities, and help with developing Municipal Management and Capacity Building Plans.

Issues covered in the survey were included but not limited to: capacity of particular functions, staffing status, in-use policy and procedures, and planning capabilities within each municipality. The survey also focused on the relationship between municipalities and other sub-national entities. Within the July-September timeframe, the Internal Survey was designed, Municipal Team Leaders trained on the survey tool, the survey was conducted, and the results were analyzed and utilized.

Toward the end of September, the data from the Internal Survey was used in the initial work on the development of Municipal Management and Capacity Building Plans (MMCBPs) and Service Delivery Improvement Plans (SDIPs). The Internal Survey information was also used as a source for collecting information required for the developed Sustainability Model for Sustainable Service Delivery Improvement Projects.

#### Civil Society/Business Community Surveys

In the original Work Plan, RU-N proposed annual, in-depth citizen surveys. DAI retained a well respected subcontractor to assist with implementation. With the project cutbacks in July-August, the project cancelled the costly surveys and shifted to small scale focused group surveys. These rapid assessment surveys were designed and fielded as one of several proxy tools to gather citizen feedback on program activities. RU-N staff used these surveys to identify community needs. The data was used to set benchmarks for citizen satisfaction and to guide municipal outreach and communications efforts. Since participants in the Civil Society Surveys were key stakeholders, they were asked to join newly formed Service Delivery Advisory Groups (SDAGs) to assist the Mayor in selecting, planning, monitoring, and implementing Sustainable Service Delivery Improvement Projects.

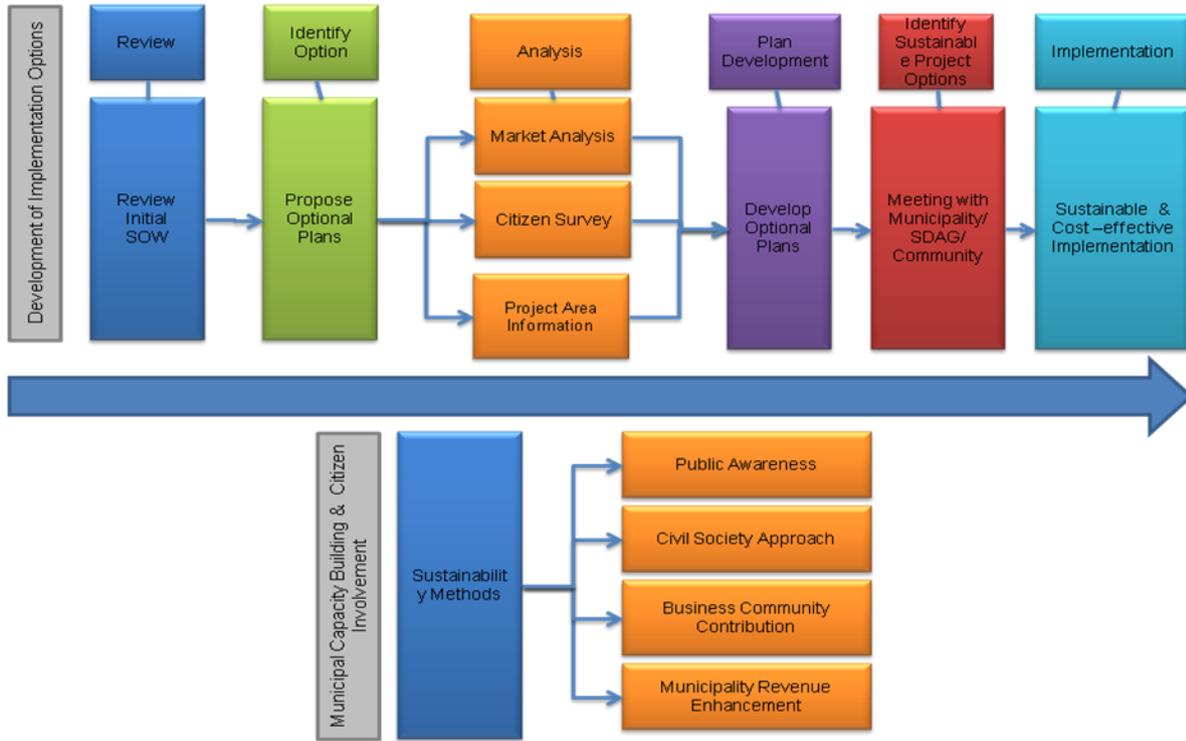
Results of the Civil Society and Business Community Surveys were compiled and analyzed by the RU-N M&E staff. The findings were then used by the Technical Programs Team to assist them in the selection and proposal development process for the Sustainable Service Delivery Improvement Projects.

#### **SUSTAINABLE SERVICE DELIVERY IMPROVEMENT PROJECTS**

Originally, RU-N planned to quickly initiate a set of “expeditious projects” and move later, to larger scale infrastructure projects, budgeted at \$1 million per municipality. Due to drastically reduced funding, and with the approval of the COTR, RU-N redesigned project development so that each municipality would initiate four rounds of small-scale (with budget guidelines of \$50,000) Sustainable Service Delivery Improvement Projects. Under this model Mayor and the Service Delivery Advisory Group (SDAG) in each municipality would collaborate to identify a priority project for each round.

The revised Sustainable Service Delivery Improvement Projects were meant to 1) promote improved community service delivery models that could be sustained and replicated; 2) create a learning laboratory where citizens play a role in determining community needs, monitor results, and provide the revenues needed to sustain municipal services; and 3) serve as a vehicle to build the capacities of municipal staff in terms of planning, procurement, construction management, budgeting, and other key skills.

## RAMP-UP North Sustainability Model for Project Development



In August, after initial bids received for the Sustainable Service Delivery Improvement Projects were found to be well above budget, a computer-based, Financial Sustainability Model was developed in the RU-N/Mazar Office. In addition to financial modeling, Mazar-e-Sharif Sustainable Service Improvement Project, District 5 Trash Collection was used as the laboratory to develop a set of documents and operating procedures to implement this new approach. All Municipal Team Leaders (MTLs) received training on how to apply the Mazar model when working with the Mayor and Service Delivery Advisory Groups (SDAGs) to develop proposals. Subsequently, Service Delivery Improvement Plans were revised and limited initially to project by project designs.

With a new focus on sustainability, projects bids were resubmitted and work began in earnest from July - September. Some examples are listed below:

- The first of the Sustainable Service Delivery Improvement Projects began in July in Aybak, Samangan. The project, the Aybak Central Park Improvement Project, was originally selected as an “expeditious project” at the request of Governor, Mayor and key women leaders. While the nature of the project changed, replacing “expeditious projects” with “sustainable service delivery improvements,” park renovation was nonetheless a top issue in both the civil society and business community stakeholder surveys. In August, RU-N assisted municipal officials and the Service Delivery Advisory Group (SDAG) members in evaluating the bids received after the release of the Request for Proposals (RFP). The contract was signed by the selected contractor in late September. The RU-N Municipal Team Leader and technical experts worked with the Aybak Municipality Head of Construction to finalize the Bill of Quantity. They also assisted the Mayor and his staff to develop an implementation plan, project monitoring plan, communications strategy plan, and project flow chart. This close coordination with the municipality is part of the

learning-by-doing capacity building process focusing on project management, procurement and contract execution, engineering, construction, and monitoring and controlling. On 27 September 2011, the project site in the park was surveyed and 20 un-licensed stalls were peacefully removed from the park to clear the area for construction.

- In Mazar-e-Sharif, Balkh, the Sustainable Service Delivery Improvement Project focused on trash pickup. The door-to-door trash collection in Mazar-e-Sharif's District 5 project was developed with the help of 16 *kalanTERS*, the Mazar Service Delivery Advisory Group (SDAG) and Chairman of District 5. This project proposal was the one used as the prototype for developing the Sustainability Model for project development. In late-September, RU-N presented four implementation options to the municipality including purchasing trucks, or renting trucks and/or purchasing small motorcycle trucks (*Zarangs*). The municipality accepted the sustainability framework, but requested the development of an option to include the purchase of tractors. After conducting new market assessments for tractors, two new options were developed for purchase and rental of tractors.
- In Jawzjan, the Sherberghan Sustainable Service Improvement Project was designed to provide steel trash bins and safety equipment for trash collectors across four districts of the municipality. In September, the Municipal Team Leader completed the research phase of the Sustainability Model, which included obtaining demographic and revenue information on Districts 1, 2, 3, and 4 and conducting a local business market assessment for the safety tools that are to be procured for the project. A citizen survey was deemed unnecessary due to the scope of the project.
- In Maymana municipality, the Sustainable Service Improvement Project proposed to both procure trash bins for Districts 1, 2, 3, 4 and parts of Districts 5 and 9 and to provide rental trucks, labor, and safety equipment for a waste collection program. By the end of the Fiscal Year, the Municipal Team Leader had conducted a citizen survey, market assessment for the required equipment, and collected demographic and revenue information.
- Each day in Pul-e-Khumri municipality an estimated 210 metric tons of waste accumulates, and because the municipality is ill-equipped to manage pickup of this trash, it has piled up in many communities. The Mayor and Service Delivery Advisory Group (SDAG), proposed plans for a Sustainable Service Delivery Improvement Project for trash collection in District 2.

In summary, by the end of September, projects in six municipalities were in the proposal stage, the project in Aybak was in the implementation stage, and the project in Kunduz, which was previously on hold, was in the concept development stage. Maymana delays continue due to the Governor's demands for equipment that is outside the scope of the reduced – budget program.

## **SERVICE DELIVERY IMPROVEMENT PLANS**

Concurrent with the implementation of the Sustainable Service Delivery Improvement Projects, RU-N technical experts introduced the concept of longer-term service delivery improvement planning. The purpose of the Service Delivery Improvement Plan is to lay a foundation for benchmarking service improvement goals, citizen monitoring, and sustainability.

In September, the first Service Delivery Advisory Group (SDAG) meetings were held to discuss project priorities for the plans. To better align the plans with the Sustainable Service Delivery Improvement Projects, it was decided that the plans would be developed for one specific project, one specific sector (i.e. Waste Management), rather than for the entire municipality. The Service Delivery Improvement Plans were drafted collaboratively with the Mayor, the Service Delivery Advisory Group (SDAG), and RU-N technical experts.

## **MUNICIPAL MANAGEMENT AND CAPACITY BUILDING PLANS**

The Municipal Management and Capacity Building Plans were developed based on the RU-N Internal Surveys. These surveys served to identify needs within the Mayor's office in terms of capacity building and municipal management. A Public Administration Advisory Group (PAAG), made up of key municipal officials, will develop the plans, taking into consideration citizen feedback.

Through the end of the Fiscal Year, Municipal Team Leaders (MTLs) assisted in forming the PAAGs in each municipality and initial meetings took place. PAAGs of five to fifteen members, worked collaboratively with RU-N staff to coordinate capacity building programming in the municipality. Specifically, the PAAGs worked with RU-N staff to: 1) develop and draft the Municipal Management and Capacity Building Plans; 2) design and deliver practical capacity building programs and activities within the municipality; 3) assess the municipality's operating systems for future improvement and/or development of standard operating procedures, performance-based budgeting systems and practices, and modernized accounting systems; and 4) analyze and make recommendations regarding optimal organizational structures, functions, and staffing levels for the municipality.

## PROGRAM CHALLENGES

For the most part, the challenges faced by RAMP UP North during May and June were those that would typically be expected in conjunction with any start-up program. These “typical” challenges, however, were compounded by a subsequent and unanticipated delay in the obligation of project funding; which, in turn, delayed the recruitment and deployment of key international staff, as well as the employment of key CCN staff. This “snowball” effect ultimately prevented RAMP UP North from initiating the collection of baseline data and beginning program implementation activities during Q3.

From July through September, overhaul of the entire Scope of Work for the project came a major challenge. Work plan activities, as well as staff positions, were dramatically downscaled to match budget limitations. Revising the Service Delivery Improvement Plans to cover a project and ultimately a municipal service is one example of a challenge presented to the RU-N staff and experts this quarter. Future challenges may stem from the reduction in RU-N staff in each municipality—the original plan called for eight RU-N staff per municipality and that number was reduced to just three.

Other program challenges relate to the general environment where RU-N operates. Field staff experienced problems transmitting activity reports (especially daily reports) due to intermittent internet connections. RU-N Senior Management have eliminated most of the obstacles to communication by providing mobile phones doubling as modems for more reliable internet connections. This was also one of many budget-wise decisions made this quarter. Though some of these challenges were unexpected, RU-N staff and management have been able to adjust to and overcome them in a short period of time. Regular systems are in place for the most part, and the program has begun to run more smoothly and more efficiently this quarter than in the previous one.

## LESSONS LEARNED

In the face of program uncertainty and deep budget cuts, RU-N worked to do more with less.

RU-N budget cuts resulted in re-scoping subprojects in the Municipalities. RU-N Senior Management had noted that, when the subprojects entered the contracting phase, the bids from local contractors were grossly inflated and well above the budget guidelines (\$50,000 per subproject). Resetting program expectations needed to happen rapidly, so that municipal officials understood that RU-N was offering seed money to improve services and was not prepared to fund complete infrastructure development projects.

The RU-N team began to focus not only on cutting costs, but on sustainability of subprojects. To do this, local Municipal officials were called upon to get involved in the cost estimation process. Local officials were challenged by RU-N to 1) get as much out of the \$50,000 as they could (i.e. equipment, materials, and a contracted workforce), thereby keeping costs down, and 2) to ensure that they (the Municipal officials) were capable and prepared to sustain that level of service, after the RU-N project is completed. In other words, it was in the best interest of the Municipal officials and of the citizenry to keep costs at a minimum—in the interest of sustainability of service delivery.

In the case of the Aybak Central Park Project, for example, the initial estimated cost well-exceeded the budget of \$50,000. Municipal officials were asked to get involved, to observe the procurement process, and to be involved in negotiating bids. In addition, a Best and Final Offer phase was introduced to officials after initial bids, to assist in further reducing costs of each subproject. Once Municipal official

had become involved, costs were cut significantly, and a more realistic bid was presented to RU-N Senior Management.

In addition to cutting the cost of the subprojects so that they could more easily be sustained, RU-N offered another incentive to the Municipal officials. Success on the first project (success = keeping initial costs under \$50,000 and proving the sustainability of the subproject) would be rewarded with a second, third, and fourth round of subprojects. Furthermore, as yet another incentive, Municipal officials would also be able to carry over unused funds, if their subproject's cost was under \$50,000, to the next round of subprojects.

At the end of the Fiscal Year, RU-N was still developing most first round of projects. The new sustainability approach was unproven. Expat and local staff reductions would undoubtedly affect future capacity building. However, the project was on a path to a smaller, more interconnected project focused on practical results with far fewer available funds.

## PROGRESS BY INDICATOR ON THE RU-N PERFORMANCE MANAGEMENT PLAN

### Assistance Objective Indicators

RU-N Impact Indicators Summary Table						
Indicator	Baseline	Target	Base Year	Option Year 1	Option Year 2	Notes
A.O. 1.1: % increase in citizen satisfaction with municipal government	46%	20% increase				Percent who responded excellent, good or acceptable to the question “How would you rate the overall quality of public services provided by the municipality?”
A.O. 2.1: % increase in citizen perception that local government officials are working to serve their needs	42.8%	20% increase				Percent who responded excellent, good, or acceptable to the question, “How would you rate the performance of the Mayor in providing services to people like you?”
A.O. 2.2: % increase of citizens indicating they trust GIRoA officials in municipalities to conduct its activities to benefit the people of the city	n/a	20% increase				See revised PMP; no baseline information was collected for this indicator.

The three AO indicators – AO1.1, AO2.1 and AO2.2 – measure citizen satisfaction, perceptions about local governance and citizen trust respectively. RU-N collected baseline data for these indicators through targeted key stakeholder surveys including civil society and business community members.

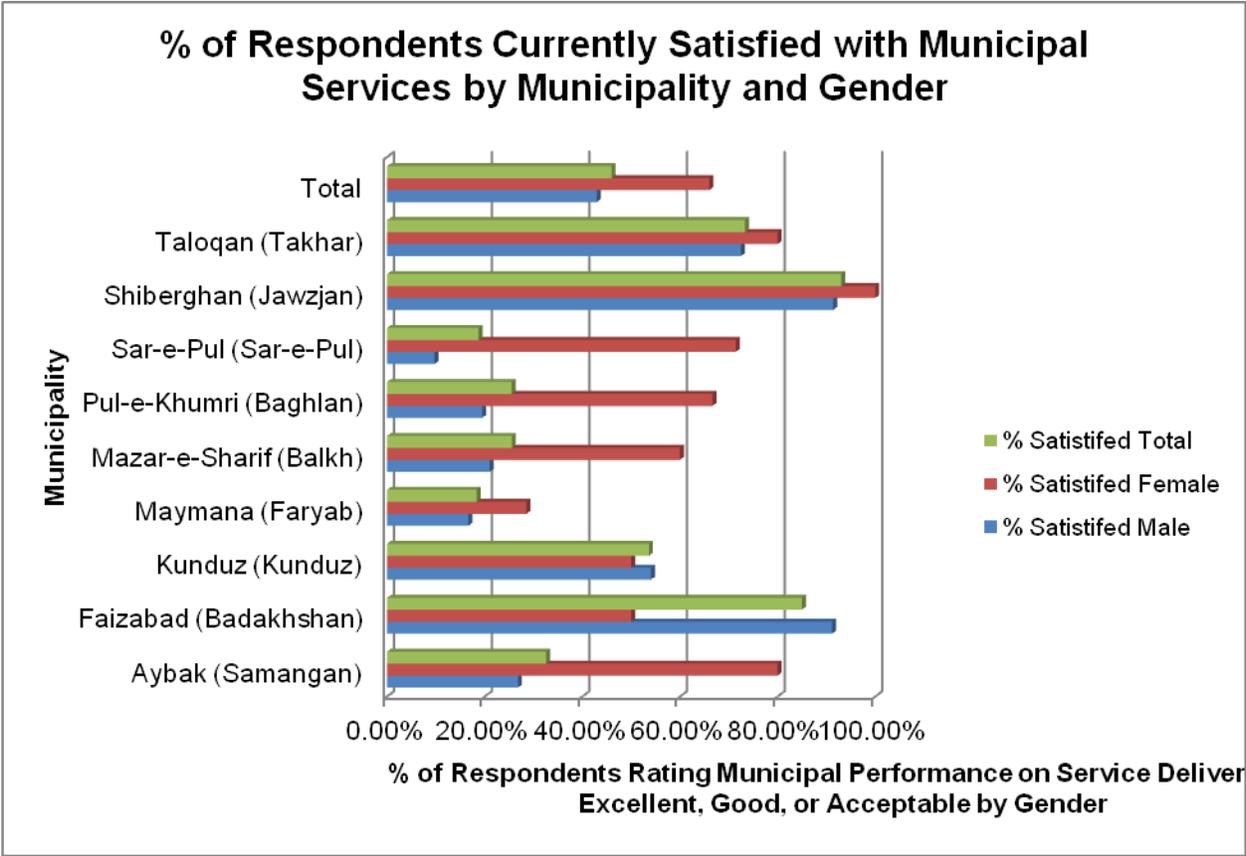
In lieu of the External Survey, two Key Stakeholder survey questionnaires were developed, consisting of six questions each, targeted at Civil Society Leaders and Business Community Leaders (see ANNEX A). Using the Internal Survey results, municipal contacts, and other means of community outreach, approximately 40 individuals were identified as civil society or community leaders and as business community leaders (approximately 20 of each), and surveyed in each municipality.

Civil Society Survey – Respondents by Gender and Municipality			
Municipality	Total # of Men Surveyed	Total # of Women Surveyed	% of Women surveyed per municipality
Aybak	19	5	20.8%
Faizabad	16	8	33%
Kunduz	17	4	19%

Maymana	21	7	25%
Mazar-e-Sharif	18	5	21.7%
Pul-e-Khumri	23	7	23%
Sar-e-Pul	20	7	25%
Sheberghan	16	8	33.33%
Taloqan	20	5	20%
<b>Total</b>	<b>170</b>	<b>56</b>	<b>25%</b>

<b>Business Community Survey – Respondents by Gender and Municipality</b>			
Municipality	Total # of Men Surveyed	Total # of Women Surveyed	% of Women surveyed per municipality
Aybak	22	0	0%
Faizabad	18	2 (1 duplicate)	10%
Kunduz	20	0	0%
Maymana	21	0	0%
Mazar-e-Sharif	20	0	0%
Pul-e-Khumri	21	0	0%
Sar-e-Pul	21	0	0%
Sheberghan	19	0	0%
Taloqan	20	0	0%
<b>Total</b>	<b>182</b>	<b>2</b>	<b>.01%</b>

Indicator A.O. 1.1: % increase in citizen satisfaction with municipal government						
Year	Baseline	Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	46%	20% Increase				<i>Percent who responded excellent, good or acceptable to the question “How would you rate the overall quality of public services provided by the municipality?”</i>

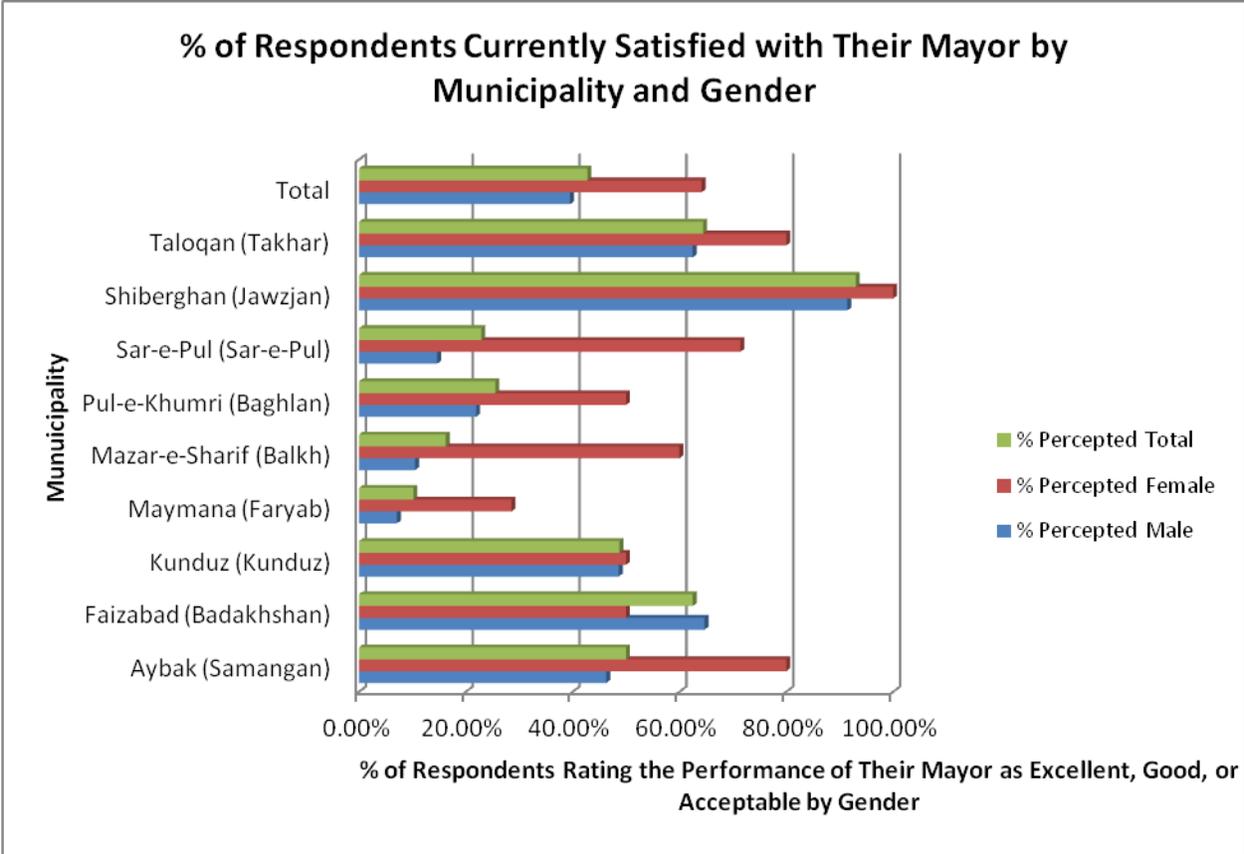


Indicator A.O. 2.1: % increase in citizen perception that local government officials are working to serve their needs

Indicator A.O. 2.1: % increase in citizen perception that local government officials are working to serve their needs

Year	Baseline	Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	42.8%	20% Increase				<i>Percent who responded excellent, good, or acceptable to the question, "How would you rate the performance of the Mayor in providing services to people like you?"</i>

The disaggregated survey results are outlined in the below chart:



Indicator A.O. 2.2: % increase of citizens indicating they trust GIRoA officials in municipalities to conduct its activities to benefit the people of the city

Indicator A.O. 2.2: % increase of citizens indicating they trust GIRoA officials in municipalities to conduct its activities to benefit the people of the city

Year	Baseline	Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	TBD	20% Increase				See revised PMP; no baseline information was collected for this indicator.

## Measuring RU-N Outcome and Output Indicators

Indicator	Baseline	Target	April-June 2011	July-September 2011	Notes
<b>CLIN 1 Indicators</b>					
1.1: # of municipalities with functioning performance budgeting systems	0	3	0	0	See revised PMP
1.2: # of municipalities with functioning accounting systems	0	3	0	0	See revised PMP
1.3: # of local mechanisms supported with USG assistance for citizens to engage their sub-national government	0	7	0	3	Local mechanisms defined with disaggregated data table
<b>CLIN 2 Indicators</b>					
2.1: # of sub-national government entities receiving USG assistance to improve their performance (FAF Indicator 2.3)	0	9	9	9	
2.2: # of municipal service delivery projects implemented	0	9	0	0	Service delivery project implementation will begin next quarter
2.3: % of RAMP UP North activities involving government officials in project planning, implementation, and/or evaluation	0	75%	0	100%	Only relevant to completed projects; completion of first subproject activity anticipated during next quarter
2.4: Number of projects completed with community and GIRoA involvement	0	9	0	0	Only relevant to completed projects; completion of first subproject activity anticipated next

					quarter.
2.5: % of citizens who believe that their access to municipally-provided services has increased	TBD	20% increase			See revised PMP
2.6: % of targeted communities reporting increased availability of GIROA delivered basic services	TBD	TBD			See revised PMP
<b>CLIN 3 Indicators</b>					
3.1: # of public private partnerships established	0	3 in different municipalities	0	0	Programming on PPPs planned for January-March 2012
3.2: # of person-days of labor	0	120,000	0	0	To be removed; see revised PMP
3.3: # of sub-national institutions receiving USG assistance to increase their annual own-source revenue	0	9	9	9	
3.4: % increase in revenue generated		20% in 3 municipalities			Baseline information in disaggregated table
Aybak (Samangan)	7,473,500 AFN				
Faizabad (Badakshan)	550,000 AFN				
Kunduz (Kunduz)	10,410,000 AFN				
Maymana (Faryab)	3,7000,000 AFN				
Mazar-e-Sharif (Balkh)	23,124,011 AFN				
Pul-e-Khumri (Baghlan)	Unknown				
Sar-e-Pul (Sar-e-Pul)	40,001,891 AFN				
Sheberghan (Jawzjan)	2,079,567 AFN				
Taloqan (Takhar)	28,647,365 AFN				
<b>Common Indicators</b>					
C1: The number of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or	0	40	0	0	Formal training workshops to begin during January-March 2012

decentralization					
C2: The number of government officials receiving USG-supported anti corruption training	0	45	0	0	Formal training workshops to begin during January-March 2012
C3: The number of mechanisms for external oversight of public resource use supported	0	4	0	2	Local mechanisms defined with disaggregated data table
C4: The number of USG-supported anti-corruption measures implemented	0	18	0	10	Measures defined with disaggregated data table
C5: The number of key-infrastructure rehabilitated or improved.	0	TBD	0	0	To be removed; see revised PMP

## PROGRESS TOWARDS CLIN 1: CAPACITY BUILDING OF GIROA OFFICIALS AT MUNICIPAL LEVEL

### Indicator 1.1: # of municipalities with functioning performance budgeting systems

A functioning performance budgeting system, as measured by Indicator 1.1, is defined as capacity in managing budgets to achieve particular results or objectives.

Indicator 1.1: # of municipalities with functioning performance budgeting systems							
Year	Baseline	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	0	3	N/A	0			See revised PMP.

### Indicator 1.2: # of municipalities with functioning accounting systems

An inherently linked companion to functioning performance budgeting systems (Indicator 1.1) is Indicator 1.2, which reports the number of municipalities with an ability to transparently, consistently, and verifiably account for their resources, both in terms of financial resources and physical assets.

Indicator 1.2: # of municipalities with functioning accounting systems							
Year	Baseline	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	0	3	N/A	0			See revised PMP.

### Indicator 1.3: # of local mechanisms supported with USG assistance for citizens to engage their sub-national government

Indicator 1.3 measures the number of local mechanisms supported with USG assistance for citizens to engage their sub-national government and will demonstrate whether the number of participatory citizen engagement mechanisms increases as a result of RU-N's capacity building activities

Indicator 1.3: # of local mechanisms supported with USG assistance for citizens to engage their sub-national government							
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	April-June 2012	Notes:
2011	7	N/A	3				Local mechanisms are defined as below with the disaggregated data.

RU-N has currently identified the following seven mechanisms, to be supported through its programming: Citizen Forms (via the Service Delivery Advisory Group and the Economic Development Advisory Group), municipal officials' interviews with media (press conferences), public meetings, public hearings, newsletters, and opening/closing ceremonies for activities. During FY2011, three mechanisms were

supported through the establishment of nine Service Delivery Advisory Groups, holding of nine Press Conferences, and holding of one public meeting across the nine municipalities. Each Service Delivery Advisory Group is only counted once for this indicator, as this is a longer term mechanism. The number of meetings held for each mechanism used is reflected in the table below.

<b>Local Government Engagement Mechanisms on RU-N</b>							
Municipality (Province)	Number of Instances of Each Type of Mechanism (number of meetings/interviews)						
	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Municipal Officials interview with media (press conferences)	Public Meeting	Public Hearings	Newsletters	Opening/Closing Ceremony
Aybak (Samangan)	2		2				
Faizabad (Badakshan)	3		1				
Kunduz (Kunduz)	1		0				
Maymana (Faryab)	1		1				
Mazar-e-Sharif (Balkh)	2		2	1			
Pul-e-Khumri (Baghlan)	1		1				
Sar-e-Pul (Sar-e-Pul)	1		1				
Sheberghan (Jawzjan)	2		1				
Taloqan (Takhar)	2		1				
<b>Total</b>	<b>15</b>		<b>9</b>	<b>1</b>			

The below table presents a breakdown of the participants in each mechanism by gender and municipality. In this instance, though some Service Delivery Advisory Groups members attended multiple meetings and/or participated in multiple mechanisms, they did so as Service Delivery Advisory Groups members and thus are only counted once, under the Service Delivery Advisory Groups mechanism. It is likely that Indicator 1.3 will be revised to remove gender disaggregation.

<b>Participants by gender by province in local government engagement mechanisms</b>			
Municipality (Province)	Total Participants	Male	Female
Aybak (Samangan)	23	17	6
Faizabad (Badakshan)	20	16	4
Kunduz (Kunduz)	16	15	1
Maymana (Faryab)	30	24	4
Mazar-e-Sharif (Balkh)	48	41	7
Pul-e-Khumri (Baghlan)	24	22	2
Sar-e-Pul (Sar-e-Pul)	18	14	4
Sheberghan (Jawzjan)	26	18	8
Taloqan (Takhar)	26	11	5
<b>Total</b>	<b>231</b>	<b>178</b>	<b>41</b>

## PROGRESS MADE TOWARDS CLIN 2: SUPPORT TO GIROA TO PROVIDE RESPONSIVE, EFFECTIVE, AND VISIBLE MUNICIPAL SERVICE DELIVERY

The performance measures under CLIN 2 help RU-N track the magnitude and quantity of its inputs in helping municipalities deliver visible services to their citizens and communities.

### Indicator 2.1: # of sub-national government entities receiving USG assistance to improve their performance

Reported on a quarterly basis, Indicator 2.1 measures the number of sub-national government entities receiving USG assistance to improve performance, which helps track how many municipalities are being assisted against the overall target. According to RU-N's programming objectives, "sub-national government entity" is defined as a municipal government.

Indicator 2.1: # of sub-national government entities receiving USG assistance to improve their performance (FAF Indicator 2.3)						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	9	N/A	9			

### Indicator 2.2: # of municipal service delivery projects implemented

This Indicator is reported quarterly and measures the quantity of service delivery projects being implemented, providing a rough measure of the scope and scale of RU-N's activities to improve services in target municipalities. As this indicator is to be disaggregated by municipality and province, a detailed table of progress on service delivery project development in each municipality is provided below.

Indicator 2.2: # of municipal service delivery projects implemented						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	9	N/A	0			Service delivery project implementation will begin during October-December 2011

Developed Activities and Status by the End of September 2011					
Number	Region	Municipality	Province	Title	Status
1	North	Aybak	Samangan	Central Park Project	Proposal Approved
2	North	Faizabad	Badakhshan	Trash Collection Project	Proposal in Development
3	North	Maymana	Faryab	Trash Collection Program	Proposal in Development
4	North	Mazar-e-	Balkh	Trash Collection Project	Proposal in

		Sharif			Development
5	North	Pul-e-Khumri	Baghlan	Trash Collection Project	Proposal in Development
6	North	Sheberghan	Jawzjan	Trash Collection Project	Proposal in Development
7	North	Taloqan	Takhar	Trash Collection Project	Proposal in Development

**Indicator 2.3: % of RAMP UP North activities involving government officials in project planning, implementation, and/or evaluation**

As measured quarterly by Indicator 2.3, integrating GIRoA officials in RU-N's project planning, implementation and/or evaluation is an essential component of ensuring that RU-N not only provides services but also ensures that resources are continuously dedicated to building GIRoA planning, implementation, and monitoring and evaluation capacity in the long term.

<i>Indicator 2.3: % of RAMP UP North activities involving government officials in project planning, implementation, and/or evaluation</i>						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	75%	N/A	100%			

**Indicator 2.4: Number of projects completed with community and GIRoA involvement**

Active cooperation between GIRoA and the communities they serve will help to better meet the needs of constituents through fostering constructive dialogue and engaging in joint implementation and project evaluation.

<i>Indicator 2.4: Number of projects completed with community and GIRoA involvement</i>						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	9	N/A	0			Completion of scheduled subproject activities is anticipated for the end of the current contract year (Feb 2012).

**Indicator 2.5: % of citizens who believe that their access to municipally-provided services has increased**

RU-N Service Delivery projects must result in demonstrable increases in services that are provided to municipal citizens. Indicator 2.5 measures RU-N's progress against the assumption that citizen access to services should increase as a result of RU-N activities.

<i>Indicator 2.5: % of citizens who believe that their access to municipally-provided services has increased</i>						
Year	Baseline (July-Sept 2011)	Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	TBD next quarter	20% Increase				See revised PMP

Due to the cancellation of the third-party, independent External Survey, no baseline information was collected for Indicator 2.5 during the base year. The definition and data collection approach to this indicator will be updated to reflect this reality in the revised PMP. Most likely, data for this indicator will be collected through citizen perception assessments of each prospective subproject area conducted before each subproject is implemented and after it is completed.

**Indicator 2.6: % of targeted communities reporting increased availability of GIROA delivered basic services**

Indicator 2.6 measures the increase of access to services within targeted communities. Reported on annually, this outcome indicator will track RU-N’s ability to improve municipal service delivery over the long term.

Indicator 2.6: % of targeted communities reporting increased availability of GIROA delivered basic services						
Year	Baseline (July-Sept 2011)	Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	TBD next quarter	TBD				See revised PMP.

**PROGRESS TOWARDS CLIN3: SUPPORT TO GIROA TO IMPROVE ECONOMIC DEVELOPMENT AND REVENUE GENERATION AT MUNICIPAL LEVEL**

**Indicator 3.1: # of public private partnerships established**

Public-Private Partnerships (PPPs) in target municipalities offer numerous potential benefits to municipalities and residents alike and are a required revenue enhancement activity for RU-N. Indicator 3.1 measures the number of PPPs established in each municipality each quarter.

Indicator 3.1: # of public private partnerships established						
Year	Target	April- June 2011	July-Sept 2011	Oct-Dec 2011	Jan- March 2012	Notes:
2011	3 in different municipalities	N/A	0			Programming on PPPs planned for Jan-March 2012

**Indicator 3.2: # of person-days of labor**

Indicator 3.2 measures the person-days of labor generated through RU-N’s service delivery and small-scale infrastructure municipal projects and other activities. Not limited to cash-for-work, this indicator also measures the private labor generated by RU-N subproject contracts – such as a purchase order which would require a vendor to use labor for fabrication work.

Indicator 3.2: # of person-days of labor						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	120,000	N/A	0			To be removed in revised PMP

Indicator 3.3: # of sub-national institutions receiving USG assistance to increase their annual own-source revenue and Indicator 3.4: % increase in revenue generated

Indicator 3.3 is a standardized, global USAID/Foreign Assistance Framework (FAF) indicator. Reported on quarterly, it measures RU-N's input across its area of operations, in terms of revenue enhancement activities.

Indicator 3.3: # of sub-national institutions receiving USG assistance to increase their annual own-source revenue						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	9	N/A	9			

Number of Meetings with Municipal Revenue Directors over the Quarter (July-September)			
Province	Municipality	Status	Number of Meetings
Aybak	Samangan	Completed	4
Faizabad	Badakhshan	Completed	5
Kunduz	Kunduz	Completed	4
Maymana	Faryab	Completed	2
Mazar-e-Sharif	Balkh	Completed	2
Sheberghan	Jawzjan	Completed	8
Taloqan	Takhar	Completed	5

Indicator 3.4: % increase in revenue generated								
Year	Municipality (Province)	Baseline (July-Sept 2011)		Target	Base Year	Option Year 1	Option Year 2	Notes:
2011	Aybak (Samangan)	Safayi Tax	2,133,200 AFN	20% in 3 municipalities				Baseline information; progress will be reported in annual report.
		Business License Fee	325,615 AFN					
		Property Registration Fee	5,014,685 AFN					
		<b>Total</b>	<b>7,473,500 AFN</b>					
2011	Faizabad (Badakshan)	Safayi Tax	300,000 AFN					
		Business License Fee	250,000 AFN					
		Property Registration Fee	N/A					
		<b>Total</b>	<b>550,000 AFN</b>					
2011	Kunduz (Kunduz)	Safayi Tax	9,500,000 AFN					
		Business License Fee	910,000 AFN					
		Property Registration Fee	N/A					
		<b>Total</b>	<b>10,410,000 AFN</b>					
2011	Maymana (Faryab)	Safayi Tax	3,000,000 AFN					
		Business License Fee	200,000 AFN					
		Property Registration Fee	500,000 AFN					
		<b>Total</b>	<b>3,700,000 AFN</b>					
2011	Mazar-e-Sharif (Balkh)	Safayi Tax	20,000,000 AFN					
		Business License Fee	1,124,011 AFN					
		Property Registration Fee	2,000,000 AFN					
		<b>Total</b>	<b>23,124,011 AFN</b>					
2011	Pul-e-Khumri (Baghlan)	Safayi Tax	Unknown					
		Business License Fee	Unknown					
		Property Registration Fee	Unknown					
		<b>Total</b>	<b>Unknown</b>					

2011	Sheberghan (Jawzjan)	<i>Safayi Tax</i>	1,090,000 AFN				
		Business License Fee	19,567 AFN				
		Property Registration Fee	970,000 AFN				
		<b>Total</b>	<b>2,079,567 AFN</b>				
2011	Sar-e-Pul (Sar-e-Pul)	<i>Safayi Tax</i>	239,830 AFN				
		Business License Fee	233,960 AFN				
		Property Registration Fee	39,528,101 AFN				
		<b>Total</b>	<b>40,001,891 AFN</b>				
2011	Taloqan (Takhar)	<i>Safayi Tax</i>	183,485 AFN				
		Business License Fee	463,880 AFN				
		Property Registration Fee	28,000,000 AFN				
		<b>Total</b>	<b>28,647,365 AFN</b>				

## PROGRESS TOWARDS CROSS-CUTTING (COMMON) ACTIVITIES

RU-N places a strong emphasis on the probity and integrity of government functions. Progress on improving municipal accountability and transparency is tracked through five common indicators from the USAID Foreign Assistance Framework (with the exception of Indicator C5).

**Common Indicator 1: The number of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization**  
Common Indicator 1 tracks overall program inputs into improving sub-national governance through training activities on a quarterly basis.

Indicator C1: # of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	40	N/A	0			Formal training workshops to begin in January-March 2012

RU-N has not conducted any formal training activities yet and cannot report on Indicator C1 at this time. The focus during FY2011 was, instead, on planning and development of possible training activities. This is seen in the drafted Municipal Management and Capacity Building Plans for each municipality.

Further, much of RU-N's planned training will be through learning-by-doing or on-the-job training activities, based around planning and implementation of the Sustainable Service Delivery Improvement Projects. In accordance with planned programming, RU-N has set the target for Indicator C1 at five individuals per municipality, or 40.

**Common Indicator 2: Number of government officials receiving USG-supported anti-corruption training**  
Common Indicator 2 tracks RU-N's level of input on formal anti-corruption training at the municipal level on a quarterly basis.

Indicator C2: # of government officials receiving USG-supported anti-corruption training						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	45	N/A	0			Formal training workshops to begin in January-March 2012

RU-N has not conducted any formal training activities yet and cannot report on Indicator C2 at this time. The focus during FY2011 was, instead, on planning and development of possible training activities. This is seen in the drafted Municipal Management and Capacity Building Plans for each municipality. Formal training workshops are planned for early 2012 and, as per the current draft of the revised work plan, and depending on the subject, anti-corruption modules will be introduced

**C3: The number of mechanisms for external oversight of public resource use supported**  
Indicator C3 measures the number of local mechanisms supported which provide external oversight of public resource use that RU-N supports through its programming activities. Indicator C3 is reported quarterly and disaggregated by municipality and province. Each separate type is counted once, and the number of occurrences in each municipality indicated in a separate table below. In accordance with the

four types of mechanisms identified by RU-N for use in its programming activities, the base year target for Indicator 1.3 has been set at four.

Indicator C3: # of mechanisms for external oversight of public resource use supported						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	4	N/A	2			Local mechanisms are defined as below with the disaggregated data.

RU-N has currently identified the following four mechanisms to be supported through its programming: Citizen Forums (via the Service Delivery Advisory Group, Economic Development Advisory Group, and project-based beneficiary groups), and budget hearings. During FY2011, two mechanisms were supported through the establishment of nine Service Delivery Advisory Groups and one project-based beneficiary group at a *kalanter* meeting in Mazar-e-Sharif. Both groups consist of citizen representatives who work closely with the municipality and with RU-N to ensure that the subproject activities are implemented in a transparent and sustainable manner. The number of meetings held for each mechanism used is reflected below.

Mechanisms for external oversight of public resource-use on RU-N				
Municipality (Province)	Number of Instances of Each Type of Mechanism (number of meetings/interviews)			
	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Project-based beneficiary groups	Budget Hearings
Aybak (Samangan)	2			
Faizabad (Badakshan)	3			
Kunduz (Kunduz)	1			
Maymana (Faryab)	1			
Mazar-e-Sharif (Balkh)	2		1	
Pul-e-Khumri (Baghlan)	1			
Sar-e-Pul (Sar-e-Pul)	1			
Sheberghan (Jawzjan)	2			
Taloqan (Takhar)	1			
TOTAL	16			

#### C4: The number of USG-supported anti-corruption measures implemented

Common Indicator 4 tracks the number of anti-corruption measures implemented. An input indicator, it provides a measure of citizen involvement and/or external input toward reducing corrupt practices at the

municipal level. Indicator C4 is reported quarterly and disaggregated by municipality and province. Each separate measure is counted (as opposed to the mechanism of C3), and the number of occurrences in each municipality indicated in a separate table below. In accordance with the five types of mechanisms identified by RU-N for use in its programming activities, the Base Year target for Indicator 1.3 has been set at three per municipality or 18.

Indicator C4: # of USG-supported anti-corruption measures implemented						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	18	N/A	10			Anti-corruption mechanisms are defined as below with the disaggregated data.

RU-N has currently identified the following five anti-corruption measures, to be implemented: Citizen Forums (via the Service Delivery Advisory Group, Economic Development Advisory Group, and project-based beneficiary groups), budget hearings, and citizen monitoring plans for subprojects. During FY2011, 10 measures were supported through the establishment of nine Service Delivery Advisory Groups and one project-based beneficiary group at a *kalanter* meeting in Mazar-e-Sharif.

RU-N Supported Anti-Corruption Measures					
Municipality (Province)	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Project-based beneficiary groups	Budget Hearings	Citizen Monitoring Plans for subprojects
Faizabad (Badakshan)	1				
Taloqan (Takhar)	1				
Kunduz (Kunduz)	1				
Pul-e-Khumri (Baghlan)	1				
Aybak (Samangan)	1				
Mazar-e-Sharif (Balkh)	1		1		
Sar-e-Pul (Sar-e-Pul)	1				
Sheberghan (Jawzjan)	1				
Maymana	1				

(Faryab)					
TOTAL	10		1		

The Service Delivery Advisory Groups helped to design project Scopes of Work for the developed Sustainable Service Delivery Improvement Projects. Each Service Delivery Advisory Groups also signed a Transparency and Sustainability Pledge with their respective Mayor. The continued involvement of the Service Delivery Advisory Groups will provide a “check” upon municipal use and implementation of RU-N funds. The project-based beneficiary group for each project will provide beneficiary feedback on implementation progress and keep RU-N, the Service Delivery Advisory Group and the municipality informed of the beneficiary satisfaction during and after project implementation. Though the Sustainable Service Delivery Improvement Project has not yet been implemented in Mazar-e-Sharif, the project-based beneficiary group was formed on 10 September 2011, as part of the trial process for the Sustainability Model; similar groups will be formed for each project.

In this way, both citizen groups are providing an additional measure of accountability on municipality service delivery improvement. Going forward, each Sustainable Service Improvement Project will also have an approved a citizen monitoring plan to be carried out by the Service Delivery Advisory Group members and/or project-based beneficiary group members.

#### Common Indicator 5: Number of key-infrastructure rehabilitated or improved

Under the original contract, RU-N was to dedicate considerable effort to restoring community and public infrastructure. This effort would be measured by Common Indicator 5.

Indicator C5: # of key-infrastructure rehabilitated or improved						
Year	Target	April-June 2011	July-Sept 2011	Oct-Dec 2011	Jan-March 2012	Notes:
2011	TBD	N/A	0			To be removed; see revised PMP.

By the end of FY2011, RU-N had not planned on any key-infrastructure projects. Further, under the revised work plan and overall approach, the project will no longer focus on large key infrastructure projects, but rather on small sustainable service delivery improvements. As such, we will propose to remove Indicator C5 from the PMP.

## ENVIRONMENTAL COMPLIANCE

All USAID activities are required to adhere to USAID Environmental Procedures 22 CFR §216. These regulations require each USAID project to undergo an Initial Environmental Examination (IEE) meant to identify the potential environmental impacts expected as a result of a project activity. Based on the IEE, a systematic approach for environmental control including procedures, instructions and templates must be generated in a project-specific Environmental Manual (EM). In addition, the preparation of a Framework Environmental Mitigation and Monitoring Plan (FEMMP) has been completed for the major activity types outlined in the IEE, represented by Municipal Solid Waste Management, Sanitation and Latrines, Small-Scale Infrastructure, and Small-Scale Road Activities. These project level documents were submitted to and approved by the USAID Mission Environmental Officer on 28 February 2011.

The Environmental Manual outlines the RAMP UP subproject-level environmental requirements, including a review and screening process that is documented on the Environmental Screening Checklist (ESC) form that is submitted to USAID for approval prior to subproject implementation. For projects that require implementation of environmental mitigation measures and monitoring requirements, such activities are documented on the Environmental Monitoring and Management Plan (EMMP) that is included in the subproject file upon completion.

The seven (7) subprojects underway include two activity types, namely small-scale infrastructure (municipal park renovations) and municipal solid waste management (trash collection activities). Due to the relatively small-scale scope of these subprojects, as well as, the low-input construction methods and emphasis on utilizing manual labor, relatively minor potential for significant adverse environmental impacts is incurred. The subproject costs and sustainability are being considered in Quarter 1 of 2012; therefore, the scope of the projects will change. However, the re-scoping of the subprojects will not affect the current status in terms of environmental impacts.

For subprojects that address municipal park upgrades, environmental mitigation has focused on personal protective measures for laborers, pedestrian and vehicular traffic safety considerations, timely disposition of spoils and wastes, and work site dust controls. Mitigation for subprojects that address municipal solid waste collection has also included emphasis on environmentally sound waste transportation measures.

In municipalities where trash collection subprojects are being implemented, a solid waste disposition survey and analysis is concurrently underway, so that siting, design and management improvements can be implemented through future activities. The implementation of community trash cleanup and collection programs have a three-fold positive effect of improving municipal service delivery programs, mobilizing the community to interact and cooperate with their municipalities, and improving the urban environment by removing trash and waste from public areas.

Subproject Number	Subproject Name	Environmental Screening Checklist Recommended Determination	USAID Approval Date	EMMP Requirement	
AYB-0002	Central Park Upgrades	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed
MZR-0001	Trash Collection Project	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed
TQN-0001	Trash Collection Project	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed
SHR-0001	Trash Collection Project	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed
FZB-0001	Trash Collection Project	Negative Determination with Conditions	Pending	X	Not Required
					Prepared
					In Progress
					Completed
PEK-0001	Trash Collection Project	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed
MAY-0001	Trash Collection Project	Negative Determination with Conditions	Pending		Not Required
				X	Prepared
					In Progress
					Completed

## **ANNEX A—SURVEYS**

### **BUSINESS COMMUNITY STAKEHOLDER QUESTIONNAIRE**

To improve municipal governance in the nine (9) northern provinces, the Afghan Independent Directorate of Local Governance (IDLG) has partnered with the United States Agency for International Development (USAID) to implement the Regional Afghan Municipalities Program for Urban Populations – North Region (RAMP UP – North). The Program will accomplish this objective by concentrating its activities in four (4) primary areas:

1. Service delivery projects that will improve the quality-of-life of Afghan citizens.
2. Capacity-building activities emphasizing a practical “learning-by-doing” approach.
3. Local economic development and the enhancement of municipal revenues.
4. Community involvement and citizen participation, including representatives of civil society and the business community.

Citizen participation and the involvement of the business community are absolutely critical to the success and sustainability of the Program’s efforts to improve municipal governance, public service delivery, economic development, and the quality-of-life of Afghan citizens.

RAMP UP – North staff are currently surveying community and business leaders to determine community opinions and perceptions regarding existing and needed public services and to ensure the Program’s activities respond to those community-based needs and concerns.

In conducting the survey, the Program is also identifying a group of 20 – 30 business leaders willing to participate in monthly meetings with the Mayor and the municipality’s department heads. The purpose of these monthly meetings will be to identify, prioritize, and implement needed service delivery projects to promote economic development and job growth in your community. These monthly meetings will be coordinated and facilitated by Program staff.

Thank you for participating in this survey and for accepting the Program’s invitation to become involved in improving municipal governance and economic development in your community.

# I. Business Community Questionnaire

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Name of Interviewer: \_\_\_\_\_ Date: \_\_\_\_\_

Name of Respondent: \_\_\_\_\_

Title of Respondent: \_\_\_\_\_ Gender: \_\_\_\_\_

Contact information for Respondent:

\_\_\_\_\_ *In*

***structions: the following questions should be asked of business leaders who are involved in or interested in the municipality***

1. How would you rate the overall quality of public services provided by the municipality?

Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_

2. What are the five (5) most important service delivery needs in your municipality? Please be specific:

a. \_\_\_\_\_

\_\_\_\_\_

b. \_\_\_\_\_

\_\_\_\_\_

b. \_\_\_\_\_

\_\_\_\_\_

c. \_\_\_\_\_

\_\_\_\_\_

e. \_\_\_\_\_

\_\_\_\_\_

3. How do you obtain information about what the Mayor and municipality are doing?

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4. How would you rate the performance of the Mayor in the following areas:

- a. Providing services to businesses like yours: Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_
- b. Communicating with businesses like yours: Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_
- c. Including business representatives like you in the municipality's decision-making processes: Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_

5. Are you willing to participate in monthly meetings with the Mayor, the municipality's department heads, and other business leaders to identify and prioritize needed service delivery improvements? Yes \_\_\_\_ No \_\_\_\_

6. Please provide me with the names of other business leaders who may be interested in participating in monthly meetings with the Mayor and municipality to discuss needed service delivery improvements, the business they represent, their contact information, and their gender.

NAME	BUSINESS	CONTACT INFO	GENDER

**THANK YOU FOR YOUR TIME AND COOPERATION.**

## **CIVIL SOCIETY STAKEHOLDER QUESTIONNAIRE**

To improve municipal governance in the nine (9) northern provinces, the Afghan Independent Directorate of Local Governance (IDLG) has partnered with the United States Agency for International Development (USAID) to implement the Regional Afghan Municipalities Program for Urban Populations – North Region (RAMP UP – North). The Program will accomplish this objective by concentrating its activities in four (4) primary areas:

1. Service delivery projects that will improve the quality-of-life of Afghan citizens.
2. Capacity-building activities emphasizing a practical “learning-by-doing” approach.
3. Local economic development and the enhancement of municipal revenues.
4. Community involvement and citizen participation, including representatives of civil society and the business community.

Community involvement and citizen participation are absolutely critical to the success and sustainability of the Program’s efforts to improve municipal governance, public service delivery, and the quality-of-life of Afghan citizens.

RAMP UP – North staff are currently surveying community and civil society leaders to determine community opinions and perceptions regarding existing and needed public services and to ensure the Program’s activities respond to those community-based needs and concerns.

In conducting the survey, the Program is also attempting to identify a group of 20 – 30 community and civil society leaders willing to participate in monthly meetings with the Mayor and the municipality’s department heads. The purpose of these monthly meetings will be to identify, prioritize, and implement needed service delivery projects to improve the quality-of-life in your community. These monthly meetings will be coordinated and facilitated by Program staff.

Thank you for participating in this survey and for accepting the Program’s invitation to become involved in improving municipal governance and your community’s quality-of-life.

# I. Civil Society Questionnaire

Name of Interviewer: \_\_\_\_\_ Date: \_\_\_\_\_

Name of Respondent: \_\_\_\_\_

Title of Respondent: \_\_\_\_\_ Gender: \_\_\_\_\_

Contact information for Respondent: \_\_\_\_\_

***Instructions: the following questions should be asked of community leaders who are involved in or interested in civil society in the municipality***

7. How would you rate the overall quality of public services provided by the municipality?  
Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_

8. What are the five (5) most important service delivery needs in your municipality? Please be specific:

a. \_\_\_\_\_

\_\_\_\_\_

b. \_\_\_\_\_

\_\_\_\_\_

b. \_\_\_\_\_

\_\_\_\_\_

c. \_\_\_\_\_

\_\_\_\_\_

e. \_\_\_\_\_

\_\_\_\_\_

9. How do you obtain information about what the Mayor and municipality are doing?

\_\_\_\_\_

\_\_\_\_\_

10. How would you rate the performance of the Mayor in the following areas:

- a. Providing services to people like you: Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_  
Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_
- b. Communicating with people like you: Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_  
Poor \_\_\_\_ Bad \_\_\_\_ Don't Know \_\_\_\_
- c. Including people like you in the municipality's decision-making processes:  
Excellent \_\_\_\_ Good \_\_\_\_ Acceptable \_\_\_\_ Poor \_\_\_\_ Bad \_\_\_\_  
Don't Know \_\_\_\_

11. Are you willing to participate in monthly meetings with the Mayor, the municipality's department heads, and other community representatives to identify and prioritize needed service delivery improvements? Yes \_\_\_\_ No \_\_\_\_

12. Please provide me with the names of other community leaders who may be interested in participating in monthly meetings with the Mayor and municipality to discuss needed service delivery improvements, the names of the organizations they represent, their contact information, and gender.

NAME	ORGANIZATION	CONTACT INFO	GENDER

**THANK YOU FOR YOUR TIME AND COOPERATION.**