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

**MONTHLY REPORT: SEPTEMBER 2011**

**OCTOBER 15, 2011**

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# REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – RC NORTH

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## ABBREVIATIONS & TERMS

AO	Assistance Objective
AOR	Area of Responsibility
ACSS	Afghanistan Civil Service Support Program (USAID)
AMSP	Afghanistan Municipal Strengthening Program (USAID / ICMA)
ANDS	Afghanistan National Development Strategy
APPF	Afghan Public Protection Force
ASI	Afghanistan Stability Initiative (USAID / DAI)
ASMED	Afghanistan Small and Medium-Sized Enterprise Development (USAID / DAI)
AVIPA	Afghanistan Vouchers for Increased Production in Agriculture (USAID)
ASGP	Afghan Sub-national Governance Program (UNDP)
CAWSA	Commercialization of Afghanistan Water & Sanitation Activity (USAID/ICMA)
CDC	Community Development Council (established under NSP)
CDP	Community Development Plan
CERP	Commander's Emergency Response Program
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
DMA	Department of Municipal Affairs (Office within IDLG)
DDA	District Development Assembly
DoS	Department of State (United States)
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
EDC	Education Development Center, Inc. (USAID Implementing Partner)
EI	Edinburgh International
EMP	Environment Management Plan
FAF	Foreign Assistance Framework
FOB	Forward Operating Base
FPO	Field Program Officer (USAID officer within the PRT)
GIRoA	Government of the Islamic Republic of Afghanistan
GIS	Geographic Information System
HO	Home Office
IARCSC	Independent Administrative Reform and Civil Service Commission
ICMA	International City/County Management Association
IDLG	Independent Directorate of Local Governance
IED	Improvised Explosive Device (also known as BB, VB)
INF	Infrastructure (project)
IP	Implementing Partner
IR	Intermediate Result
ISAF	International Security Assistance Force
LOP	Life of Project
MAS	Modernized Accounting Systems
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MRRD	Ministry of Rural Rehabilitation and Development

MMCBP	Municipal Management and Capacity Building Plan
MUDA	Ministry of Urban Development Affairs
NGO	Non-Governmental Organization
NINF	Non-Infrastructure (project)
NSP	National Solidarity Program
PAR	Public Administration Reform
PDC	Provincial Development Committee
PMP	Performance Management Plan
PBB	Performance Based Budgeting
POP	Period of Performance
PRT	Provincial Reconstruction Team
PTL	Project Team Lead (DAI Home Office position)
PPCEP	Public Participation and Citizen Engagement Program
RAMP UP program)	Regional Afghan Municipalities Program for Urban Populations (USAID program)
RC (E,W,N,S)	ISAF Regional Command East, West, North, South
RU-N	RAMP UP North
SDAG	Service Delivery Advisory Group
SDIP	Service Delivery Improvement Plan
SMAP	Strategic Municipal Action Plan
SME	Small and Medium Enterprise
SMGA	Senior Municipal Governance Advisor (RAMP UP East Key Personnel)
SOP	Standard Operating Procedures
SWM	Solid Waste Management
SO	Strategic Objective
STTA	Short term Technical Assistance
TAMIS	Technical Assistance Management Information System
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government
VET/CBSD	Vocational Education and Training and Community Based Skill Development program (USAID program)

### **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



## ABOUT RAMP UP NORTH

The purpose of the Regional Afghan Municipalities Program for Urban Populations for Regional Command 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.

## **RAMP UP NORTH IMPLEMENTING PRINCIPLES**

The RAMP UP North team is guided by six primary principles that we apply throughout our programming:

- *Afghan Ownership*: RAMP UP North will be seen as an extension of the GIRoA, not as increased foreign presence and must work within Afghan structures.
- *Afghan First*: RAMP UP North will work using Afghan regulations and systems and ensure the project is using existing Afghan resources and assets to perform the stated objectives.
- *Demand Driven*: RAMP UP North assistance will be deployed at the Kabul and sub-national levels in accordance with the needs of the IDLG and the municipalities in which we work.
- *Long-term Capacity of GIRoA*: RAMP UP North will focus on institutional development of municipalities in the long term while helping the municipalities deliver specific outcomes in the short term.
- *GIRoA Empowerment*: RAMP UP North will report to both the GIRoA and USAID on the impact of its work. All reports submitted to USAID will be shared with the IDLG, and GIRoA institutions will be the lead voice to guide programmatic activities.
- *Learning by Doing*: The best approach to capacity-building of municipal officials, managers, and technicians is integrated training and on-the-job mentoring that provides the required follow-up support needed to avoid training disconnects. RAMP UP North will leverage classroom training with day-to-day, on-the-ground assistance to municipal staff, to help solve real problems in the communities.

## **RAMP UP NORTH COUNTERPARTS**

### **Government of the Islamic Republic of Afghanistan (GIRoA) Partners**

#### *PRIMARY PARTNERS:*

- Independent Directorate for Local Governance (IDLG)
- Municipalities

#### *COLLABORATING PARTNERS:*

- Ministry of Urban Development
- Civil Service Commission
- Relevant Line Ministries (e.g. DoWA)

### **USAID Program Partners and Other Donor Partners**

- Other RAMP UP Implementing Partners for RCs East, West, and South
- USAID Afghan Civil Service Support Project (ACSS)
- USAID Afghan Social Outreach Program (ASOP)
- USAID Performance Based Governors Fund (PBGF)
- USAID Kabul City Initiative
- Afghan Sub-National Governance Program (ASGP/UNDP)

## **LINK TO USAID STRATEGIC OBJECTIVE**

**USG Overarching Strategic Objective:** To promote a more capable, accountable, and effective government in Afghanistan that serves the Afghan people and can eventually function with limited international support.

*Additional Strategic Objectives and Intermediate Results:*

- SO 6: A Democratic Government with Broad Citizen Participation; and
- IR 6.3 Strengthened Institutions for Good Governance

**RAMP UP NORTH TARGET MUNICIPALITIES**

The following provincial capitals are the primary Year 1 targeted municipalities **RAMP UP North Target Municipalities**

• Province	Municipality
• Badakshan	Faizabad
• Baghlan	Pul-e-Khumri
• Balkh	Mazar-e-Sharif
• Faryab	Maymana
• Jawzjan	Sheberghan
• Kunduz	Kunduz
• Samangan	Aybak
• Sar-e-Pul	Sar-e-Pul
• Takhar	Taloqan

## EXECUTIVE SUMMARY

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

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 had released a prospective budget for RU-N, of \$18 million, to last until 30 September 2012. \$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 is expected to be refunded by the end of 2011. Instead of a contract modification, RU-N is in the process of revising the Work Plan for Years 1 & 2 and Performance Management Plan (PMP) in close coordination with USAID. These revised documents will supersede the contract Scope of Work.

A general strategy shift, or rather re-focus, occurred in September as initial bids came in for several of the Sustainable Service Improvement Projects. All of the bids were significantly above the project budgets. 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 able to afford 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 Programs Team worked on the Mazar-e-Sharif Sustainable Service Improvement Project proposal as a prototype to all other municipalities on how to revise the project scopes of work to be sustainable.

In conjunction with the above changes, the approach to developing Service Delivery Improvement Plans was also revised. Five municipalities held meetings with the Service Delivery Advisory Groups to begin to identify priorities for the municipal-wide Service Delivery Improvement Plans in early September. However, following the changes to the Sustainable Service Improvement Project development process and in light of upcoming Work Plan revisions, Senior Management asked for the Service Delivery Improvement Plans to be project-based at this stage of RU-N. This is part of the revised Work Plan, which will present the Sustainable Service Improvement Projects as the venue for key citizen/ municipal engagement and will form the centerpiece 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.

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

In terms of tangible progress against the Work Plan tasks, the work plan called for progress on several key tasks to be completed by the end of September, which is also the end of the fourth quarter of USAID's fiscal year. Tasks for programming activities were: 1) development of Service Delivery Improvement Plans; 2) development of Municipal Management and Capacity Building Plans; 3) moving nine Sustainable Service Improvement Projects forward towards implementation; and 4) ongoing capacity building of municipal officials. Tasks for Operations were: 1) fully functional office and residence with all key International and Afghan staff hired; 2) a completed staffing plan for the municipality, based on the Internal Survey results for each municipality; 3) project development policies and procedures are fully

operational, with subcontracts and procurement capabilities sufficient to meet municipal projects' demand; 4) development of a strategy for opening a regional office in Kunduz. Detailed progress updates for each task are outlined in this report under sections on Administration and Programming Activities. This report concludes with an overview of activities anticipated for the next reporting period.

## **PROGRAMMATIC HIGHLIGHTS**

While moving forward based on a revised scope of work, RU-N activities sought to fulfill current contract and Work Plan requirements. The following program activities were completed during the reporting period:

- **Five Service Delivery Advisory Group meetings** were held to discuss current conditions of municipal service delivery and develop draft Action Plans for the Service Delivery Improvement Plans.
- A clear, **Sustainability Model**, was developed and sent out to all municipalities to be used both in revising all current project proposals and in developing new projects. The sustainability model had been applied and revisions drafted for the Mazar-e-Sharif Sustainable Service Improvement Project. Application of the Sustainability Model had also begun on projects in Maymana and Sheberghan.
- The Sustainable Service Improvement Project for **Aybak Central Park Improvement** was approved by the COTR and the contract signed by the selected contractor, with implementation scheduled for the first week of October.
- **Fourteen Public Administration Advisory Group meetings** were held in nine municipalities to discuss municipal capacity building needs and develop draft **Action Plans for the Municipal Management and Capacity Building Plans**. The Action Plans for the Municipal Management and Capacity Building Plan were drafted for eight municipalities.
- On 8 September 2011, the **Chief of Party went to Kunduz** and met with Chief of Party, the Kunduz Mayor, USAID Field Program Officer (FPO) for Kunduz, and the RU-N Municipal Team Leader to discuss RU-N Programming objectives and re-introduce the project. Programming in Kunduz restarted and made significant progress throughout the month.
- The Monitoring and Evaluation (M&E) Team conducted **site visits in all nine municipalities** and provide information to Senior Management on progress and conditions of RU-N staff.

## ADMINISTRATION

In accordance with the original Work Plan objectives for the end of September, RU-N's office and residence were fully functional and all key International and Afghan Staff had been hired by the end of September. Further, the staff plan for the embedded municipal team was developed in August and full staffing of the embedded teams is well underway, with significant progress achieved in September. Project development policies and procedures, with sub-contracts and procurement capabilities sufficient to meet project demands, were in action and undergoing final clarification as of the end of September. The Work Plan also called for the development of a strategy for developing an RU-N Kunduz Office; while the original regional hub office has been cancelled due to the budget cuts, RU-N began developing a strategy for a possible cooperating country nationals (CCNs) office and training facility in Kunduz.

During September, Human Resources focused on recruiting and hiring remaining critical program and operations staff. DAI's Country Recruitment Manager visited the RU-N/Mazar Office twice during the month to lead interviews for new staff and to assist with finalizing project documentation of recruitment efforts thus far. In total, eight cooperating country nationals joined the project in September, resulting in a total number of 62 Afghans and nine Internationals working on RU-N as of 30 September 2011.

On 25 September 2011, DAI's Home Office Project Team Lead (PTL) for RU-N arrived for a short term technical assistance (STTA) in the RU-N/Mazar Office. The Project Team Lead is contributing to the development of the revised Work Plan and Performance Management Plan and assisting with any issues related to RU-N operations and programming during her stay.

RU-N began to explore opening an office in Kunduz, to be used as a regional hub for local national staff members. This office would be an alternative to the previously cancelled Northeast Regional Office in Kunduz, envisioned in the original RU-N contract. This office would likely include space for Kunduz Municipal Staff and, possibly, a training center using computer equipment inherited from the disposition of the closing Kunduz Office for USAID's Afghanistan Small and Medium Enterprise Development (ASMED) Project. The Kunduz Municipal Team Leader conducted a search of eligible property locations in Kunduz and submitted three possible locations to Senior Management by the end of September. During October, Senior Management will continue to consider this option.

RU-N also continued to work with the USAID Contract Officer's Technical Representative (COTR) to obtain the necessary credentials for key staff to be able to utilize ISAF travel and life support services across Regional Command North. Though challenges remain, progress was made on obtaining Letters of Authorization (LoAs) for international staff. This is the first step towards applying for ISAF badges for international staff members. Further progress is anticipated in October.

## PROGRAMMING ACTIVITIES

### CITIZEN ENGAGEMENT

#### Service Delivery Advisory Groups

As an initial citizen engagement mechanism, RU-N worked collaboratively with the mayors to form Service Delivery Advisory Groups (SDAGs) in each municipality. The Service Delivery Advisory Groups were envisioned as informal bodies of approximately 20 concerned, committed, civil society leaders, including at least 25 percent women representation, as well as youth and/or minority group members. The Service Delivery Advisory Groups will work to advise each Mayor on improved service delivery opportunities and needs, and serve as a bridge to the broader community. Cooperating closely with municipal officials, the private sector, and other local development stakeholders, and receiving technical assistance from the RU-N embedded advisors, the Service Delivery Advisory Group will take a representative and participatory leadership role within each municipality. Specifically, the Service Delivery Advisory Groups are responsible for: 1) interacting with and advising the mayor and other municipal officials on selection and development of sustainable project/service delivery activities; 2) mobilizing community support for expanded revenues to sustain projects/enhanced services; and 3) working with the mayor to promote transparency and community communication on all RU-N-supported activities.



**7 Sept 2011 – A community elder speaks during Sheberghan SDAG meeting**



**8 Sept 2011: Maymana SDAG members discuss waste collection service delivery**

In September, five municipalities held a monthly Service Delivery Advisory Groups meeting to introduce the Service Delivery Improvement Plan (SDIP) concept. The Service Delivery Advisory Groups discussed the current municipal service delivery capacity and performance. The members then identified various areas of improvement and suggested specific projects to be included in the Service Delivery Improvement Plan Action Plans. Most of the Service Delivery Advisory Groups focused on the sector of waste collection and developed a longer term plan to build on the already developed Sustainable Service Improvement Projects for their respective municipality. This was beneficial as RU-N Senior Management determined, shortly thereafter, that the

Plans should be built around each Sustainable Service Improvement Project and not written for the entire municipality or an entire sector at this time.

Due to varying levels of progress and RU-N staffing levels, Aybak, Pul-e-Khumri, and Sar-e-Pul did not hold Service Delivery Advisory Group meetings in September. In Mazar-e-Sharif, the initial Sustainable Service Improvement Project concept focused on the center of Mazar-e-Sharif, near the Blue Mosque until it was discovered that funding was be provided to the Municipality by the Independent Directorate on Local Governance (IDLG) for a Waste Collection Program in this area. The Mazar Service Delivery Advisory Group met in late August and decided to move the Project to District 5, where waste collection was not being provided regularly by the municipality. On 10 September 2011, RU-N held a meeting with 16 *kalanter*s from District 5 to discuss existing waste collection service delivery and obtain beneficiary support for the project.



**10 Sept 2011: In Mazar-e-Sharif, the District 5 kalanders discussed municipal waste collection**

The below table provides a summary of the meetings which were held in five municipalities:

<b>Municipality</b>	<b>Second SDAG Meeting Date</b>	<b>Number Male Members Present</b>	<b>Number of Female members present</b>	<b>Meeting purpose</b>
Faizabad	7 September 2011	4	4	Selected waste collection as focus area for Service Delivery Improvement Plan. Discussed current conditions of municipal waste collection and developed draft action plan for improving municipal waste collection service delivery.
Kunduz	14 September 2011 (formation)	14	0	Presented SDAG terms of reference to the new group. The members elected officers and then discussed project priorities for Kunduz. The SDAG selected a project for Waste Collection in Kunduz City as the Sustainable Service Improvement Project. The SDAG also identified canal cleaning, park improvement, and procurement of heavy machinery as future project priorities.
Maymana	8 September 2011	15	3	Selected waste collection as focus area for Service Delivery Improvement Plan. Discussed current conditions of municipal waste collection and developed draft Action Plan for SDIP on improving municipal waste collection service delivery. SDAG agreed to support the plan through community engagement with elders, religious leaders, and other citizen beneficiaries.
Sheberghan	7 September 2011	18	3	Presented update on Sustainable Service Improvement Project. Presented SDIP concept and initial draft Action Plan. SDAG members provided feedback and identified three project priorities including a new park, public toilets, and repairing the public markets (owned by the municipality).
Taloqan	8 September 2011	10	0	The SDIP concept was introduced and SDAG members discussed current and future service delivery needs of Taloqan Municipality. The members developed a draft Action Plan for improving municipal waste collection service delivery.

## INTERNAL SURVEY

The Internal Survey was designed to assess municipal capacity and needs, and provide the foundation for developing Municipal Management and Capacity Building Plans, in partnership with the mayors and their key staff.

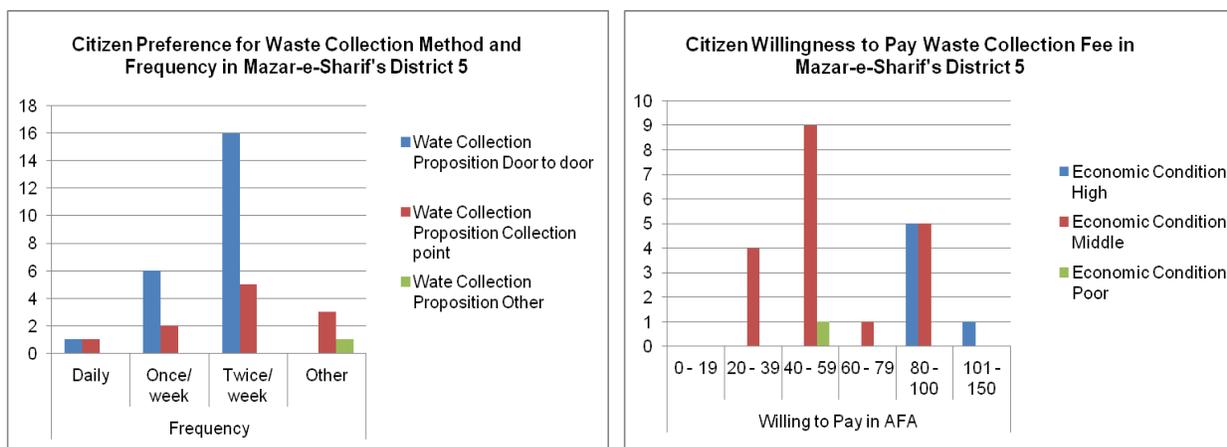
In September 2011, the Technical Programs Team worked with the internal survey data during preparation of the draft Action Plans for the Municipal Management and Capacity Building Plans and Service Delivery Improvement Plans. The internal survey information was also used as a source for collecting information required for the developed Sustainability Model for Sustainable Service Improvement Projects.

## EXTERNAL SURVEY

Due to the above-mentioned funding reductions, RU-N suspended the External Survey in July, with COTR approval. In lieu of the external survey, the Technical Team developed and fielded two rapid assessment survey tools: a Civil Society Survey and a Business Community Survey. The results were compiled and analyzed in August.

In the coming months, RU-N will continue to develop and administer additional proxy tools to gather baseline information and assess changes in levels of citizen satisfaction in each municipality. In combination with regular community meetings, service delivery assessments, and focus groups, the proxy survey tools will allow RU-N to develop a rich understanding of citizen satisfaction in each municipality before, during, and after RU-N's interventions.

In September, the RU-N/Mazar Office Technical Programs Team developed a short citizen survey to obtain information about citizen perceptions on waste collection methods, current cost of private waste collection and citizen willingness to pay a fee for municipal waste collection. The survey is part of the Sustainability Model for developing project proposals, developed throughout September to be used to develop a sustainable implementation approach for RU-N activities. In Mazar-e-Sharif, the survey was conducted with 35 citizens in District 5, including 5 women. As municipal waste collection is highly irregular in District 5 most citizens rely on a private service for waste collection. The Technical Programs Team used the survey results to design an implementation approach for the Sustainable Service Improvement Project that would provide municipal waste collection services comparable to private services. The intention is to potentially divert private fees into a funding source so that the municipality can sustain the project by charging a citizen fee after the conclusion of RU-N's funding for the program. Initial survey results are below:



The same survey was also conducted in Maymana Municipality at the end of September with 30 residents of Districts 1, 2, 3, and 4, including 3 women. The survey will be conducted in other municipalities in October, as required by the existing Sustainable Service Improvement Project Scope of Work. As needed, other survey tools will be designed under the Sustainability Model.

### **Civil Society Survey**

In late August, the M&E Team reviewed the survey methodology and determined that many Service Delivery Advisory Group members had not received the Civil Society Survey. All remaining women Service Delivery Advisory Group members were surveyed by a female RU-N Technical Programs Expert; 20-25% of the survey results for each municipality were female by the end of the month. The list of male members who needed to be surveyed was sent to all Municipal Team Leaders. The additional surveys are expected in mid-October and will be added to the baseline survey data. This will also include re-conducting the survey in Kunduz Municipality; which was underway at the end of September.

Key stakeholder surveys are only one initial measure of citizen opinion. In addition, RU-N will explore the use of focus groups, citizen report cards and household service satisfaction surveys, in addition to community wide meetings, to facilitate a regular and representative dialogue between the government and the governed.

### **Business Community Survey**

The Business Community Survey was administered to 20 business community representatives from each municipality in July. The analyzed findings will be added to the Civil Society Survey findings to be used in reporting baseline information for several Performance Management Plan indicators, to be included in the RU-N Quarterly Report for Q4 2011 (July-September). Survey respondents were recorded in RU-N's participant database, and will be contacted to participate in RU-N's planned formation of Economic Development Advisory Groups for each municipality.

## **SUSTAINABLE SERVICE IMPROVEMENT PROJECTS**

Under the new funding restrictions, RU-N, in conversation with the COTR, determined that each municipality would start with one small-scale, high impact Sustainable Service Improvement Project (previously termed Expeditious Projects). The initial projects were targeted with a budget of approximately \$50,000. The projects were to be identified jointly by the SDAG committee and the Mayor of each municipality. The Sustainable Service Improvement Projects are intended to provide the following:

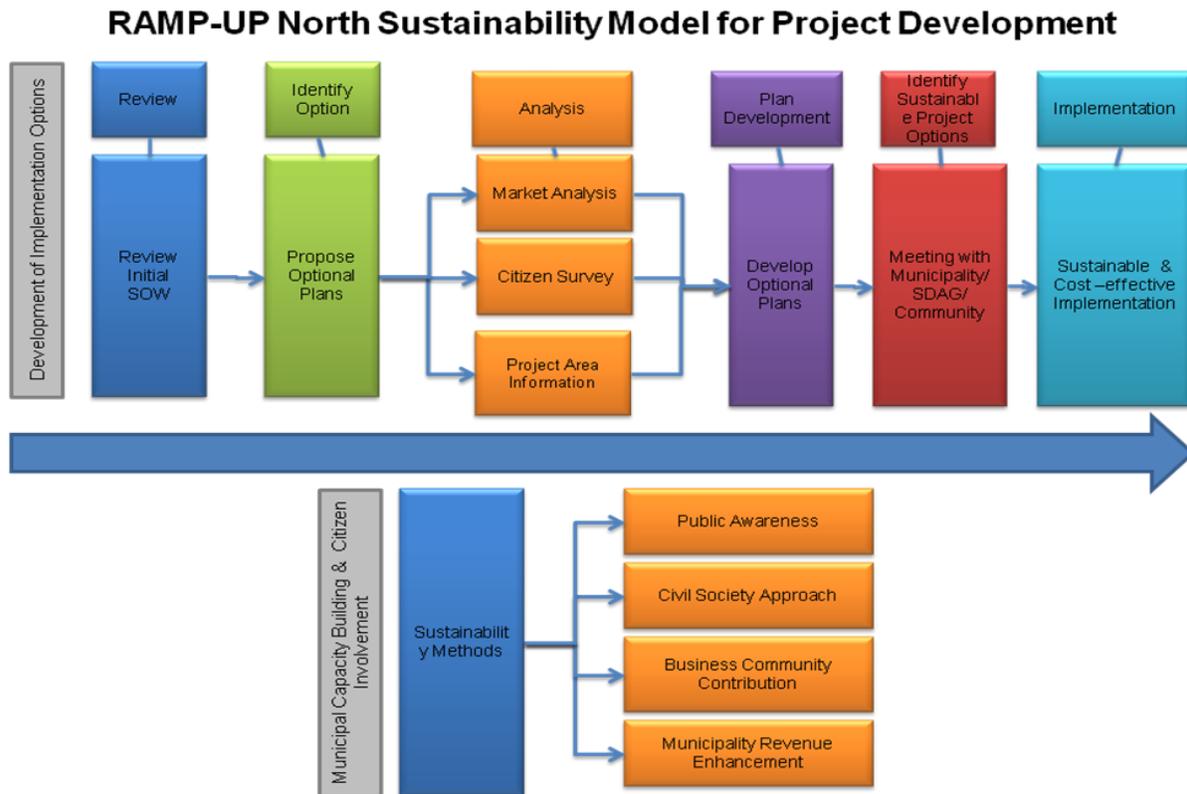
- 1) For the community -- promote improved community service delivery models that can be sustained and replicated
- 2) For citizens – create a learning laboratory where citizens play a role in determining community needs, monitor results, and provide the revenues for sustained municipal services.
- 3) For the mayors and their staff -- serve as the vehicle to develop and heighten skills on service delivery improvement planning, along with planning, procurement, construction management, budgeting, and other key capacity improvement needs.

Project proposals for seven Sustainable Service Improvement Projects were completed in late August and finalized at the beginning of September. However, as the RU-N/Mazar Office Grants, Subcontracts, and Compliance Team began to receive bid responses, it was discovered that the bids were far too high to be sustained through municipal funding and/or citizen contribution after the conclusion of RU-N funding. It was determined that the projects' Scopes of Work did not present a sustainable implementation approach. In response Senior Management stopped the procurement process and sent six project proposals back to the Technical Programs Team for revisions. RU-N/Mazar Office Technical Experts worked throughout

September to develop a Sustainability Model for project development, to be immediately applied in the revision of the six proposals. The entire Technical Programs Team worked on revising the Mazar-e-Sharif Sustainable Service Improvement Project for Waste Collection in District 5 as a prototype.

### The Sustainability Model

The Sustainability Model, depicted in the figure below, consists of two parallel initiatives: development of implementation options and municipal capacity building and citizen involvement.



#### *Development of Implementation Options*

Following identification of a project concept, the project development team should complete a solid research effort. A three-fold approach as depicted in the above figure, this includes: 1) market analysis on the price of renting and/or purchasing necessary equipment; 2) a citizen survey to determine the current conditions of service delivery, citizen preference for service delivery, and citizen willingness to pay for the service (in addition to the Safayi tax); and 3) detailed demographic and tax revenue information on the project area. Next, a series of implementation options should be developed using the research information to ensure the options are in accordance with available materials, norms, and citizen preferences. Municipal officials and/or citizens are encouraged to accept or reject various items from the proposed options and then work with RU-N Staff to develop a final scope of work that meets the needs of the municipality, citizen beneficiaries, and RU-N requirements. All developed options are to be presented to the municipality, the Service Delivery Advisory Group and identified beneficiary representatives, such as *kalanter*s. Collectively, a final option should be identified and finalized.

#### *Municipal Capacity Building and Community Involvement*

As demonstrated in the figure, the above steps are accompanied by a municipal capacity building initiative to include development of a public awareness campaign, development meetings with Civil Society groups (often *kalanter*s), engagement with business community to elicit contributions (such as,

and in addition to, payment of *safayi* tax), and developing revenue enhancement opportunities to ensure that the project and/or service can be supported in the future. These activities provide learning-by-doing experience for municipal officials and community representatives in key areas such as strategic communications, citizen engagement, economic development, and revenue enhancement.

#### *During Implementation*

Moving into the implementation phase, the projects will also serve as the critical learning laboratory to build core public administration skills in accounting, budgeting, planning and project/construction management. As envisioned in the revised Work Plan draft, the building blocks of core competencies will be integrated into project development and implementation, with increasing levels of sophistication. From this experience-based capacity development process, it is envisioned that skills will be formalized and consolidated through a series of technical workshops beginning in early 2012. Finally, RU-N will encourage mayors to integrate these improved skills/practices into a variety of municipal activities.

During September, the Municipal Team Leaders took the lead introducing the Sustainability Model and working with the municipality and citizens to develop the implementation options cooperatively. Even in the revision stage, RU-N is working to emphasize the municipal and/or citizen role in the process.

#### **Status of Existing Sustainable Service Improvement Projects**

In addition to the ongoing revision process for the six developed project proposals, the Aybak Project was approved and had reached the final stages of contracting, and the Kunduz project concept was identified. Examples of progress follow:

- The **Aybak Park Improvement Project** progressed throughout September. While this project is not exempt from the sustainability model, it had already reached the contracting stage before the Sustainability Model was developed. The proposal was approved and the contract signed by the selected contractor in late September. The Aybak Municipality Head of Construction worked closely with the RU-N Municipal Team Leader and RU-N Technical Experts to conduct negotiations with the contractor and finalize the Bill of Quantity. An implementation plan, project monitoring plan, communications strategy plan, and project flow chart were completed and reviewed with Municipal staff and the Mayor. 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. A pre-construction meeting is scheduled for early October at the Aybak Municipality. Implementation is expected to begin directly after the meeting.
- The project concept for **door-to-door trash collection in Mazar-e-Sharif's District 5** was developed with the help of 16 *kalanTERS*, the Mazar Service Delivery Advisory Group and Chairman of District 5. In the following week, the project proposal was used as the prototype for developing the Sustainability Model for project development. A market assessment was conducted in local businesses to obtain market prices and specifications for prospective equipment. A Citizen Waste Collection survey was conducted in District 5, as mentioned above. In addition, the Municipal Team Leader worked with the municipality to compile demographic and tax revenue information on District 5. Using the collected information, RU-N set a



**27 Sept 2011: Aybak Central Park sidewalk is cleared of non-licensed stalls**

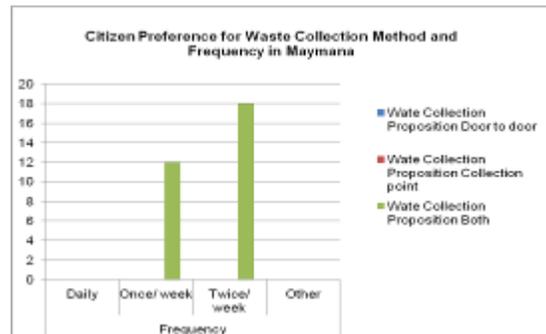
sustainable budget and laid out necessary revenue enhancement steps that would enable the municipality to support the project after RU-N's funding expires. In late-September, RU-N presented four implementation options to the municipality including purchasing trucks, renting trucks, purchasing small motorcycle trucks (*Zarangs*), and renting *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, respectively. The final implementation method will be selected by the municipality and Service Delivery Advisory Group in early October following another *kalanter* meeting to include beneficiary input. The project proposal will include an agreement for the municipality to provide for operations and maintenance costs of the procured equipment. A Service Delivery Improvement Plan has also been drafted around this Sustainable Service Improvement Project.

- The **Sherberghan Sustainable Service Improvement Project** was designed to provide steel trash bins and safety equipment for waste collection personnel across four districts of the municipality. As part of the Sustainability Model development process this proposal was sent back for revision to ensure that adequate consideration had been given to the sustainability of the proposed project. In September, the Municipal Team Leader completed the research phase of the Sustainability Model. This included obtaining demographic and revenue information on Districts 1, 2, 3, and 4 and conducting a local business market assessment for safety tools that are to be procured for the project. A citizen survey was deemed unnecessary due to the scope of the project. In October, the project proposal will be revised to reflect the new information and re-submitted for contracting.



**27 Sept 2011: Sheberghan MTL interviews shopkeeper for market assessment**

- 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. During the month, the Municipal Team Leader conducted a citizen survey, market assessment for the required equipment, and collected demographic and revenue information. Though the project currently provides for door-to-door pick up, the citizen survey clearly outlines a desired for pick-up from collection points as well. In October, the project proposal will be revised with consideration for the new information.



## SERVICE DELIVERY IMPROVEMENT PLANS

Concurrent with the implementation of the Service Delivery Improvement Projects, RU-N will introduce the concept of service delivery improvement planning. These modestly scaled Service Delivery Improvement Plans will serve as a foundation for benchmarking service improvement goals, citizen monitoring efforts, and sustainability efforts.

Throughout the reporting period, RU-N laid the groundwork for developing the Service Delivery Improvement Plans in September. In the first week, the monthly Service Delivery Advisory Group

Meeting was held to discuss project priorities for the plans. However, in alignment with developments on the Sustainable Service Improvement Projects and development of the revised Work Plan, the process for these plans was reinterpreted. As opposed to developing a full Service Delivery Improvement Plan for the entire municipality, a Service Delivery Improvement Plan will be developed for each specific project, intended to address service delivery concerns for one aspect of certain sector (mostly Waste Collection), such as a single district or equipment need (trash bins, etc). These project-based Plans will be drafted collaboratively with the Mayor and municipal staff and the Service Delivery Advisory Groups, with as needed technical assistance from RU-N experts. The draft plans will be made available to citizens, for feedback and approval, through public meetings with community beneficiaries. In turn, beneficiary approval of the Service Delivery Improvement Plans seeks to increase sustainability through citizen collaboration and buy-in.

In Sheberghan Municipality, an Action Plan for a municipal-wide Service Delivery Improvement Plan was drafted in early September. With the shift in scope of these plans, a new project-focused Service Delivery Improvement plan is in process, with research and information collection well underway. Action Plans for Service Delivery Improvement Plans focusing on waste collection have been drafted in Faizabad and Taloqan municipalities. The Mazar-e-Sharif project-specific Service Delivery Improvement Plan was also drafted by the end of the month; it reflects both the application of the Sustainability Model and citizen engagement mechanisms.

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

The RU-N Internal Survey serves as the starting point for a collaborative process to identify capacity building needs within the Mayor's Office, and to develop Municipal Management and Capacity Building Plans to address these concerns. Using the Internal Survey results and direct engagement with the Public Administration Advisory Groups, the Plans will be tailored to suit the specific needs of each municipality.

The Public Administration Advisory Groups (PAAGs) are comprised of the Mayor's key departments heads and advisors. Each Public Administration Advisory Group has five to fifteen members who work collaboratively with RU-N Staff to coordinate capacity building programming in the municipality. Specifically, the Public Administration Advisory Groups are responsible for working 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.



**5 Sept 2011: Sheberghan PAAG members discuss municipal capacity building needs**

During the month of September, Municipal Team Leaders convened the Public Administration Advisory Groups in all municipalities and introduced the terms of reference. The Municipal Team Leader presented the Municipal Management and Capacity Building Plan concept and objectives. To develop the plan, the Public Administration Advisory Groups discussed the various capacity building needs of the municipalities, generally by department. In the case of follow-on meetings, the draft Action Plan was presented to the Public Administration Advisory Group for review before submission to RU-N/Mazar Office. The final Municipal Management and Capacity Building Plans are scheduled for completion by early November.

The below table outlines the instances of Public Administration Advisory Group Meetings in all municipalities throughout the month, as well as the current status and key points for the draft action plans of the Municipal Management and Capacity Building Plans:

Municipality	Meeting Date(s)	Number of Members Present	Status of MMCBP Action Plan	Key findings/Training needs identified
Aybak	7 September 2011	11	Undergoing third series of revisions	<p>The Aybak PAAG requested the following training modules, to be conducted as workshops, with follow-on daily on-the-job training and coaching:</p> <ul style="list-style-type: none"> <li>• Budgeting</li> <li>• Accounting</li> <li>• Revenue Enhancement</li> <li>• Planning</li> <li>• Project Management</li> <li>• Procurement</li> <li>• HR management</li> <li>• Basic Computer and English</li> <li>• Governance</li> <li>• Database</li> <li>• Environment protection</li> <li>• Public Private Partnerships</li> <li>• Women and Youth participation</li> <li>• Quality assurance</li> </ul>
Faizabad	8 September 2011	5	Draft and two rounds of revision	<p>The Faizabad PAAG requested the following training:</p> <ul style="list-style-type: none"> <li>• Financial Management (Budgeting, and Accounting).</li> <li>• Planning</li> <li>• Revenue Enhancement/Economic Development</li> <li>• Project Management</li> <li>• Computer Skills (Microsoft Office)</li> <li>• Quality Assurance</li> <li>• Monitoring and Evaluation</li> </ul>
	14 September 2011	1		
Kunduz	20 September 2011	12	First draft	<p>The Kunduz PAAG requested the following training:</p> <ul style="list-style-type: none"> <li>• Project Management</li> <li>• Planning</li> </ul>

	25 September 2011	12		<ul style="list-style-type: none"> <li>• Revenue Enhancement</li> <li>• Basic English and Computer Skills</li> <li>• Budgeting</li> </ul>
Maymana	8 September 2011	10 (3 women)	First draft	<p>The Maymana PAAG requested the following training:</p> <ul style="list-style-type: none"> <li>• English and Computer Training (Microsoft Office)</li> <li>• Concrete Test and Field Density Test</li> <li>• Total Station and Level Practical and Technical Training</li> <li>• Budgeting</li> <li>• Procurement</li> <li>• Accounting</li> </ul>
Mazar-e-Sharif	7 September 2011	7	Finalized and translated into English	<p>The MMCBP provides an outline of key daily tasks for each municipal department and detailed information about the budgeting and accounting cycle, to be used to schedule targeted training that will improve the municipality's process.</p>
	8 September 2011	6		
Pul-e-Khumri	8 September 2011	20	Not started	<p>The Pul-e-Khumri MMCBP will be developed in October, due to staffing shortages in the municipality during September.</p>
Sar-e-Pul	14 September 2011	6	First draft	<p>The Sar-e-Pul PAAG requested the following trainings:</p> <ul style="list-style-type: none"> <li>• Accounting</li> <li>• Budgeting</li> <li>• Proposal Writing</li> <li>• Procurement</li> <li>• Basic Administration</li> <li>• Public Awareness/Strategic Communications</li> </ul>
	20 September 2011	6		
Sheberghan	5 September 2011	10	Completed and submitted for approval	<p>Worked with UNDP/ASGP program to coordinate MMCBP with the ASGP capacity building plan for the municipality. To avoid duplication of effort, the RU-N plan will focus on in-depth functional training as follow-on to more general UNDP/ASGP introduction to key principles.</p>
	12 September 2011	10		
Taloqan	7 September 2011	13	First draft	<p>The Taloqan PAAG requested the following training:</p> <ul style="list-style-type: none"> <li>• Revenue Enhancement</li> <li>• Basic English and Computer Skills</li> <li>• Planning and Development</li> <li>• Leadership and Management</li> <li>• Financial Management</li> <li>• Corruption, women and youth participation, public participation</li> </ul>

## PLANNED OCTOBER ACTIVITIES

During October, RU-N will build on the programming development progress of September and achieve solid progress against the new Work Plan for Years 1 & 2 in all municipalities. Planned activities include:

- The Sustainable Service Improvement Project proposals will be finalized and approved. Procurement will move forward rapidly, meeting all USG standards, but also with strong mayoral leadership and citizen involvement. Identified projects in Sar-e-Pul and Kunduz will be rapidly developed and moved into the approval stage. All nine projects should be in the implementation phase by early November.
- Learning-by-doing capacity building training on project management, procurement and contract execution, engineering, construction, and monitoring and controlling will be provided to municipal officials as the Sustainable Service Improvement Projects move forward.
- Service Delivery Improvement Plans will be drafted for each Sustainable Service Improvement Project through a participatory process involving the Mayor, key staff, and Service Delivery Advisory Group. Further, community engagements with neighborhood groups and public review meetings will be used to ensure citizen input.
- The Municipal Management and Capacity Building Plan Action Plan will be translated and reviewed by the RU-N/Mazar Office. The completed plans will enter a participatory finalization process involving the Mayor and Public Administration Advisory Group. The Action Plans will then be presented in public review meetings to ensure citizen input and awareness.
- Monthly Service Delivery Advisory Group meetings will be held in each municipality. The revised Sustainable Service Improvement Project proposals and Service Delivery Improvement Plans will be presented. Conversations will begin to identify concepts for the next round of project development.
- Additional citizen feedback tools will be developed including Household Assessments in the beneficiary communities for each identified Sustainable Service Improvement Project. The assessments will be conducted to pre-test conditions in all project locations.
- The revised RU-N Work Plan for Years 1 & 2 will be completed and submitted to USAID for final review. The Performance Management Plan will also be revised to reflect the revised programming objectives and submitted to USAID. A two-day retreat will be held at the RU-N/Mazar Office for all Technical Implementation, Engineering, and M&E/Communications staff to review the revised Work Plan and Performance Management Plan and ensure staff buy-in.
- Remaining Embedded Team members will be hired for all municipalities, as well as other key staff in the RU-N/Mazar Office.