



USAID | **AFGHANISTAN**
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**REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR
URBAN POPULATIONS
REGIONAL COMMAND WEST
(RU-W)**

**Option Year #2 Work Plan
November 14 2012 to November 13 2013**

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Submitted By:
Development Alternatives, Inc.



In Association With:

International City/County Management Association (ICMA)

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Abbreviations

ACSS	Afghanistan Civil Service Support Program (USAID)
AMSP	Afghanistan Municipal Strengthening Program (USAID / ICMA)
ANDS	Afghanistan National Development Strategy
ASMED	Afghanistan Small and Medium-Sized Enterprise Development (USAID / DAI)
ASGP	Afghan Sub-national Governance Program (UNDP)
AUWSC	Afghanistan Urban Water and Sanitation Corporation
CLIN	Contract Line Item Number
CO	Contracts Officer
COP	Chief of Party
COTR	Contracting Officer's Representative
DAI	Development Alternatives Incorporated
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
EDC	Education Development Center, Inc. (USAID Implementing Partner)
EMMP	Environmental Mitigation and Monitoring Plan
GDMA	General Department of Municipal Affairs (Office within IDLG)
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 (RU-W Subcontractor)
IDLG	Independent Directorate of Local Governance
IEE	Initial Environmental Examination
IP	Implementing Partner
IR	Intermediate Result
ISAF	International Security Assistance Force
KCI	Kabul City Initiative
LOP	Life of Project
M&E	Monitoring and Evaluation
MCI	Municipal Capacity Index
MIS	Management Information System
MMCBP	Municipal Management & Capacity Building Plan

MOU	Memorandum of Understanding
MRRD	Ministry of Rural Rehabilitation and Development
MIP	Municipal Improvement Plan
MUDA	Ministry of Urban Development Affairs
NGO	Non-Governmental Organization
NINF	Non-Infrastructure (project)
NSP	National Solidarity Program
O&M	Operations and Maintenance
PAR	public administration reform
PDC	Provincial Development Committee
PMP	Performance Management Plan
POP	Period of Performance
PRT	Provincial Reconstruction Team
RAMP UP	Regional Afghan Municipalities Program for Urban Populations (USAID program)
RC (E,W,N,S)	ISAF Regional Command East, West, North, South
SDIP	Service Delivery Improvement Plan
SMAP	Strategic Municipal Action Plan
SME	Small and Medium Enterprise
SMGA	Senior Municipal Governance Advisor (RU-W Key Personnel)
SOP	standard operating procedures
SWM	solid waste management
SO	Strategic Objective
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government

Terms

gozar	Neighborhood
nahia	Municipal District
wakil or kalantar	nahia or gozar representative
Mustoufiat	subnational representative office for Ministry of Finance
Tashkeel	administrative structure of a GIRoA entity
Safayi tax	service charge and property tax
Sharwali	Municipality
Moqarara	Regulation

BACKGROUND

The Regional Afghan Municipalities Program for Urban Populations, Regional Command West (RU-W) was established with the purpose of creating effective, responsive, democratic, transparent, accountable municipal governance in the four provinces that comprise the International Security Assistance Force's (ISAF's) Regional Command West. The RAMP UP West (RU-W) contract was awarded on November 13, 2010. 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 only began on March 17, 2011.

Within months after mobilization USAID provided verbal guidance on the possibility of a substantial budget reduction. As it became clearer that this would occur, RU-W moved to curtail staff hiring and reduced program activities. The original concept called for work in the lead provincial municipality and in various district municipalities chosen based on identified criteria. The budget reduction necessitated limiting project activities to only the four provincial capital municipalities. RU-W opened offices in each municipality with CCN embedded advisors working directly with municipal counterparts. RU-W eliminated Qala-e-Naw and Chaghcharan offices with expatriate staff.

For the remainder of the Base Year RU-W adjusted staffing and approach to match the budget guidance it received from USAID. RU-W chose a greater reliance on Afghan local staff and less expatriate staff. Expatriate technical advisors would concentrate on project design and mentoring the local staff on actual implementation of those designs.

The Base Year saw a series of expeditious projects started in each municipality. Each municipality chose these projects with community input to address some immediate needs. RU-W worked with Chaghcharan, Farah and Qala-e-Naw to communicate these activities to citizens. (Herat refused to provide their billboard space free of charge.)

RU-W also used these projects as mechanisms to teach municipal officials about maintenance and operations, transparent procurement, monitoring for quality, etc.

RU-W and the municipalities conducted a functional audit to identify systemic weaknesses upon which to build future activities. The functional audit led to the development of Municipal Management & Capacity Building Plans (MMCBPs) that took the functional audits and created a plan for how to improve and track those identified systemic weaknesses. In Option Year #2 RU-W will review the progress to date of the municipalities across all systems and most departments. RU-W also introduced the use of an external survey as a model for learning what citizens want and building greater accountability.

As RU-W approached the end of the Base Year, USAID provided additional budget guidance and requested a new workplan based on the new budget. This also allowed the workplan to coincide again with the project year. It took into account a reduced scope of activities and staffing commensurate with anticipated budget. Based on USAID guidance the Option Year #1 workplan estimated a total budget of \$22 million for the Base Year plus Option Year 1.

RAMP UP West Target Municipalities

Herat Province:

Herat City

Badghis Province:

Qala-e-Naw

Farah Province:

Farah City

Ghor Province:

Chaghcharan

Activities in Option Year #1 built upon those started in the Base Year. As a result of the functional audit, RU-W and each partner municipality developed the MMCBPs that highlighted capacity building and technical assistance needs across most municipal departments. RU-W then tailored activities in each municipality based on their MMCBP.

RU-W helped make some major improvements in basic administration. We assisted each municipality to develop safe and secure archives for their official documents. This also included teaching municipal staff how to sort, categorize and store their records. We worked on basic filing improvements to better organize municipal departments. We helped them inventory their basic equipment and furniture, computerize the lists and tag them. These administrative improvements all contribute to better record keeping and more transparent governance.

RU-W stressed greater public involvement in decision making. Each municipality held neighborhood meetings in every sub-district (separate for men and women) to get feedback on individual infrastructure or other improvements they needed and which services the municipality should prioritize. Over 2100 citizens participated to develop these Service Delivery Improvement Plans (SDIPs). RU-W then worked with the municipality to make sure their 1391 budget requests reflected the SDIP results.

On the budget, each municipality held three public hearings on the budget (Farah only held two). The first occurred before the Budget Commission even began its work to allow maximum input. Citizens presented the SDIP results at this meeting. After finalizing the draft budget, each municipality held the second hearing to inform their citizens about what it included. The third hearing came after budget approval by Kabul. (In Farah, ASGP wanted to support this third hearing but it never happened.) This process allowed citizens to participate. It also affords them the opportunity to hold their municipality accountable in future years. They know what the budget included, next year they can ask if they accomplished those things.

In addition to budget improvements, RU-W worked on strengthening other aspects of overall financial management. RU-W assisted municipalities to improve their recording and reporting for greater transparency. This also allowed them to provide more accurate information to Kabul, as well as citizens. RU-W also assisted on better forecasting of revenues and expenditure.

Partner municipalities saw continued growth in their revenues. RU-W continued working with them to analyze different sources and identify bottlenecks for improved collections. In Farah, Qala-e-Naw and Chaghcharan, RU-W assisted with a business and property registration process. We will help complete these in Option Year #2.

On economic development, each municipality formed working groups that developed economic profiles. The profiles provide a snapshot of the community by gathering basic information on demographics, municipal services, the business community, infrastructure, transportation, communications, etc. Then, they each prepared a draft economic development plan with significant community input. The participatory, step-by-step process allows the working group to carefully consider how the municipality to contribute to and support economic development through its action. It attempts to educate them to understand the role government can play in economic development, and what they cannot do. Some of the recommendations include better streets, sidewalks and drainage improvements in the central business district, parking lots in the bazaar areas, business councils to bring the municipality and business community together, etc. Option Year #2 will see RU-W help them finalize their plans and then implement plan elements in each partner municipality.

RU-W also introduced the concept of the anchor service. Each municipality chose a single service for improvement and RU-W integrated other assistance Capacity building will target improvements in the anchor service. In selecting their anchor service, each municipality needed to consider the input of citizens from the external survey, the SDIP process, or both. They chose the following:

- Chaghcharan: Parks & Green Spaces
- Farah: Drainage
- Qala-e-Naw: Streets & Sidewalks
- Herat: Parks & Green Spaces

RU-W started assistance with a comprehensive plan for each service with phases for future development and action. The plan included staffing, maintenance & operations, capacity building and all facets of the service. Activities seek to strengthen, support and build upon other activities in a holistic and integrated approach to municipal development. Each municipality also established a Service Delivery Advisory Group (SDAG) to oversee the service. This group includes municipal staff and key stakeholders (see activity 2.3 for full SDAG membership lists). By the end of Option Year #1, each SDAG will prepare an action plan to include in the 1392 municipal budget for improving the service. Each SDAG will also develop some indicators to monitor service performance. This allows them to move toward performance-based budgeting. In Option Year #2, we will help with a second anchor service and expose other departments to the models established within their own municipality for future replication and sustainability. However, based on USAID instructions, anchor services in Option Year #2 cannot receive financial assistance toward improvements unless they qualify through applications to the MIF that meet the minimum criteria.

As RU-W approaches Option Year #2, the budget continues to overshadow what it can and cannot do. New USAID guidance indicates it will receive \$7.3m for the final year, for a total project budget of \$31.1m. Based on previous guidance, RU-W expected \$32m for the life of the project. RU-W will end programmatic activities on September 13 2013 and move into closedown phase for the last 2 months as per the demobilization plan. RU-W will also finish up any planned activities that need completion during the closedown period but will not start any new project activities during that time.

In Option Year #2, RU-W will continue building on the work of the first two years. RU-W will assist municipalities to update their MMCBPs. This will involve a follow up questionnaire that RU-W embedded advisors and Herat-based staff will administer in each municipality. Over a 1-2 week period the RU-W team will follow up to determine any changes in their systems and capacities from last year's MMCBP. In addition, the Training and M&E teams will conduct a separate follow up assessment of training activities to date. This will look specifically at the application of any training concepts learned during training events. Together, these will dictate an updated plan of capacity building and administrative improvements for the municipality to consider going forward (and determine RU-W assistance).

RU-W will again assist municipalities with budget preparation and approval. Municipalities will not conduct the SDIP process again since they completed this earlier in 2012. Instead, RU-W will help partner municipalities update their SDIPs based on the achievements from the 1391 budget. Public hearings will continue as a component of municipal budget preparation.

Municipalities will select a second anchor service but with some changes in RU-W support. They will prepare an action plan figured into the 1392 municipal budget. Based on guidance from USAID, in Option Year #2 municipalities may apply for CLIN 2 Service Delivery Funds to help implement their anchor service improvements and MSIP. If their applications don't meet the criteria they will receive no financial support for anchor service improvements. Again, as noted above, RU-W will take maximum measures to assist the municipalities to qualify for these funds. They will receive other program support offered to their anchor service as in Option Year #1. This includes training on maintenance, development of maintenance SOPs, full planning for the service, development of performance indicators to better assess service impact, etc.

In order to assist municipalities to both qualify for the MIF/Anchor Service funding and develop their proposal writing skill set, RU-W will establish municipal teams to provide assistance. In each municipality one embedded advisor will serve as the local lead. In addition, RU-W will assign a Herat-based team of a senior sector manager, an expatriate advisor, an M&E specialist and a sectoral specialist to also lend assistance. RU-W will make every effort to coach the municipalities through the application process. RU-W will also provide as many opportunities to the municipalities to refine their applications to qualify within the time constraints of project closedown and the projected implementation timeframe.

For future sustainability, RU-W will move toward creating simple guidebooks for carrying out activities like the SDIP, budget preparation and developing a Local Economic Development Plan. These will provide step-by-step instructions for carrying out such activities after RU-W departs. RU-W will base them on actual experiences of Afghan municipalities. Unlike SOPs, these provide instructional value for anyone wanting to implement such activities. It will provide the basis for future SOPs.

Our critical assumptions for this revised approach for Option Year#2 are as follows. 1) Mayors and municipal officials will accept the change in approach and continue to work with RAMP UP West. 2) IDLG/GDMA will support the change. 3) Air travel will remain possible and not cost prohibitive. Our Herat-based staff in particular frequently use Embassy Air, when available, to get to the other municipalities. Commercial flights are only available to Chaghcharan.

This workplan conforms to the revised project scope of work.

Challenges and Solutions

Municipalities in western Afghanistan continue to face many challenges. While some challenges cut across all municipalities, some challenges impact partner municipalities differently. The following issues pose challenges for all partner municipalities:

- Continued lack of clarity about the implementation of civil service reform. GDMA selected Herat as a pilot for this initiative last year but to date no implementation occurred. This undermines attempts to rationalize municipal organizational structures and recruit for vacant positions. Changes from the reform also have budgetary impacts which municipalities need to consider in their 1392 budget preparation.
- Extremely low municipal staff salaries reduces the ability of municipalities to attract and retain qualified staff. This leads to poor motivation and impacts both municipal performance but diminishes donor impact as well.
- GIRoA's decision to collect border taxes negatively affected revenue collection forecasts in the 1391 budget. The central government now collects these and although talked about re-distributing a portion of the proceeds, they have yet to take that action. This revenue amounts to almost 30% of total revenue in Farah and Qala-e-Naw.
- The new fiscal year, shortening the year to 9 months, adversely impacted the budgets and revenue collections.

RU-W will continue providing training and support to municipal staff. In some cases the attention and capacity building provides some motivation. Implementation of civil service reform will help rationalize municipal tashkeels, pay grades and overall working conditions. This will positively impact staff qualification, pay and motivation. RU-W will provide assistance to each municipality to implement the reform when it comes along (and if RU-W operates at that time). Municipalities simply cannot adapt to mid-year major adjustments like the border tax decision. However, RU-W will continue working on

improving revenue forecasting for overall better budgeting. RU-W also continues to provide assistance on improving their budget preparation and execution.

As for individual municipalities, the following outlines their individual challenges and RU-W solutions.

Chaghcharan

- Reduction in non-fixed revenues collection caused by a delay in disbursement of government loans and sale of municipal land under their municipal master plan. The Governor also halted safayi collection at various times, crippling their revenue outlook.
- Disagreements between the Mayor and Governor delayed approval of several projects.
- They face a lack of qualified staff. For example, the Administration Department only has a Manager. He has responsibility for every administrative function. They simply cannot recruit an engineer and use a draftsman as their Construction manager.

RU-W intervened to get GDMA to pressure the Governor on safayi collections. RU-W will also work with the municipality to improve their budgeting to ensure realistic revenue and expenditure projections. RU-W will also continue the BPR process and then help them use these data to improve safayi collections. RU-W will also work to restrain municipal impulses on selling off all of their municipal property and achieve a proper balance between expenditures and recurring revenue sources. RU-W will work with them to include at least one new Administrative Officer in the FY 1392 budget.

Farah

- GDMA recently transferred the mayor (recently named national Mayor of the Year) at the insistence of the new Governor. This stirred up public opinion and paralyzed the municipality in the short term. Local elders and community leaders continue to seek a reversal of this decision so the controversy could drag out for some time.
- Although they have 150 positions on their Tashkeel, 32 slots remain vacant.

RU-W will provide special assistance in HR and recruitment so they can fully fund and staff their tashkeel.

Herat

- The mayor and Governor clash frequently (virtually continuously)
- Herat carries over a significant balance of unspent funds.
- Low staff salary and poorly qualified staff and a local economy that provides some competition for jobs
- General lack of transparency, especially in implementing construction projects
- Citizens rarely involved in municipal decision making

Successful implementation of civil service reform could help ease the staffing issues. RU-W will soon finalize an operational assessment to identify ways to improve budget execution and ensure that the municipality spends its budget. RU-W will provide assistance to follow up recommendations from the assessment. RU-W will continue to push for and support simple computer databases to increase transparency. RU-W also will continue pressing for more engagement between the municipality and citizens. This would include budget hearings, mid-year financial reviews, working groups, etc.

Qala-e-Naw

- Lack of cooperation between the Mayor and Deputy Mayor resulting in contrary instructions to municipal staff and lack of action
- Some governmental and community leaders refuse to pay the safayi
- Low salaries causes de-motivation and increases corruption
- Extremely poor registration records of properties and businesses

RU-W will continue to support improved revenue collection and specifically push for the BPR. RU-W will support review of the municipal tashkeel and implementation of improved HR and appraisal systems. RU-W will support more municipal outreach to encourage better payment of the safayi. RU-W will also work with the municipality to build better relationships with the PC, NDS and the other key actors.

Provinces and Districts of Western Region



PROJECT OBJECTIVES

RU-W is broken into three distinct components, each 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 understanding of the skills, capabilities, and knowledge of municipal staff and municipal systems, as captured by the functional audit and the MMCBP, RU-W provides a combination of on-the-job mentoring, training, and advising to enable more visible, responsive, and accountable governance at the municipal level.

In order to measure municipal capacity, and highlight areas for needed support, RU-W is using a Municipal Capacity Index (MCI). The MCI is a weighted index that measures performance of partner municipalities in 4 areas of RU-W assistance. The MCI has been developed by DAI/RU-W to provide a realistic, objective evaluation of the improvements of project municipalities. The categories are:

1. Financial Management
2. Internal Municipal Operations
3. Citizen-Municipality Interaction – Transparency and Participation
4. Citizen-Municipality Interaction – Improve quality of services

Within each category, four indicators have been established, each valued at a maximum of 4 points. The failure to adhere to basic legal requirements results in no points, whilst the full 4 points are reserved for achievements that go beyond the immediate RU-W intervention and showing that changes adopted have resulted in significant positive impact and that changes are sustainable.

Scoring for the MCI is based on an annual Functional Audit of municipal capacity, and will link directly to activities developed within the Municipal Management and Capacity Building Plans (MMCBPs).

The specific tasks envisaged by CLIN 1 are as follows:

- Task 1: Establish Baselines*
- Task 2: Develop Municipal Management and Capacity Building Plans*
- Task 3: Build Afghan Training Capacity for Municipalities*
- Task 4: Deliver Core Skills Training*
- Task 5: Deliver Functional Skills Training*
- Task 6: Develop Standard Operating Procedures (SOPs)*
- Task 7: Support Performance-Based Budgeting*
- Task 8: Modernize Accounting and Financial Management Systems*
- Task 9: Increase Participation of Women and Youth*
- Task 10: Improve Strategic Communication for Citizen Awareness*
- Task 11: Support Municipal Conferences*

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) the service delivery provides 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, RU-W builds capacity with a clear learning-by-doing approach, solidifying the GIRoA's capacity to sustainably deliver services to citizens in the long term.

The specific tasks envisaged by CLIN 2 are as follows:

- Task 1: Establish Baselines*
- Task 2: Ensure Immediate Service Delivery Improvements in Base Year*
- Task 3: Service Delivery Improvements through Anchor Services*

- Task 4: Promote Public Engagement and Citizen Participation*
- Task 5: Develop Service Delivery Improvement Plans (SDIPs)*
- Task 6: Implement Service Delivery Improvement Plans*
- Task 7: Improve Municipal Performance Management Systems*
- Task 8: Development of Municipal Master Land Use Plans*
- Task 9: Strengthen Afghan Implementing Partners*

CLIN 3 ~ *Support to the GIRoA to improve economic development and revenue generation at the Municipal level:* Activities implemented under CLIN 3 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 RU-W 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, job creation and increased revenue collection. RU-W will work to identify with each municipality interventions specific to them. For example, on revenue, Chaghcharan continues to lag in safayi collections so interventions will focus on better safayi collection. In Farah, they do well collecting the safayi so assistance would look at a revenue source like the business license.

The specific tasks envisaged by CLIN 3 are as follows:

- Task 1: Establish Baselines*
- Task 2: Increase Revenue Collections*
- Task 3: Increase Household and Business Registration*
- Task 4: Develop Municipal Economic Plans*
- Task 5: Strengthen Municipal Capacity to Support Economic Development*
- Task 6: Improve Municipal Services to Businesses*
- Task 7: Leverage Municipal Assets for Economic Growth*
- Task 8: Create Innovative Public-Private Partnerships*

Technical assistance, training, and on-the-job mentoring are essential elements of RU-W support to municipal administrations; a majority of the hands-on work provided by RU-W is in the form of RU-W contracted embedded technical advisors (EAs) who, in partnership with the technical experts based in Herat (with specializations in areas such as financial management, revenue generation, planning and budgeting, economic development, communications, citizen engagement, project management, performance monitoring and others), will design context-specific capacity development agendas that are tailored to each municipal administration.

LINK TO USAID STRATEGIC OBJECTIVE

This project is linked with the US Government's **Overarching Strategic Objective**, namely: To promote a more capable, accountable and effective government in Afghanistan that serves the Afghan people and can eventually function with limited international support. The project also accords with the additional Strategic Objectives and Intermediate Results, namely: to promote a Democratic Government with Broad Citizen Participation (SO 6), and to Strengthen Institutions for Good Governance (IR 6.3).

RAMP UP WEST COUNTERPARTS

Government of the Islamic Republic of Afghanistan (GIRoA) Partners

PRIMARY PARTNERS:

- Independent Directorate for Local Governance (IDLG)
- Municipalities

COLLABORATING PARTNERS:

- Afghanistan Urban Water and Sanitation Corporation (AUWSC)
- Ministry of Urban Development
- Civil Service Commission
- Relevant Line Ministries (e.g. Department of Women's Affairs)

USAID Program Partners and Other Donor Partners

- Other RAMP UP Implementing Partners for RCs East, North and South
- USAID Afghan Civil Service Support Project (ACSS)
- USAID Provincial Council Support Program (PCSP)
- USAID Performance Based Governors Fund (PBGF)
- USAID Kabul City Initiative (KCI)
- * USAID ACAAF project
- * USAID implementing partner NAI
- UNDP Sub-National Governance Program (ASGP)

Depending on the counterpart, RU-W collaborates in a variety of methods. For USAID and other donors, RU-W meets periodically with them on programming of mutual interest. In Option Year #2, when RU-W plans training for local journalists (see activity 2.9), RU-W will meet with USAID's AMDEP Afghanistan Media Development and Empowerment Project to determine the right journalists and even co-facilitate. Other partners RU-W will consult on program design. RU-W has the greatest overlap with ASGP so embedded advisors in Farah and embedded advisors and senior sector managers in Herat hold periodic meetings and informal discussions with ASGP advisors to ensure collaboration and eliminate duplication.

TECHNICAL APPROACH

As a result of budget reductions, RU-W adjusted its technical approach. RU-W continues to support municipal needs for capacity building and service delivery improvements. In each target municipality we maintain a group of embedded advisors dedicated to working on a daily basis with municipal counterparts. Capacity building should yield improved capacities in support of other project activities. Service delivery improvements focus on a single anchor service and concentrate resources and assistance to develop sustainable, demonstrable improvements in that service. RU-W will further refine its approach to make municipalities compete for financial assistance to make service improvements. The programming will show a continuum of development assistance that started with Expeditious projects in the Base year, moved to the anchor service approach in Option Year #1 and will end in Option Year #2 with applying and competing for assistance based on stringent criteria. RU-W continues treating service delivery opportunities as practical learning opportunities for municipal officials.

Municipal officials simultaneously deliver results to the citizenry while increasing their skills and knowledge in best practices in municipal management. Concentrated work with a single anchor service worked to improve municipal management over the short and medium term. And work in economic development seeks to position the municipalities more favorably for the long term. All activities contribute directly to short term, medium term or long term improvements in municipal management.

PROJECT OUTCOMES AND IMPACT

In Option Year #1, RU-W submitted an updated Performance Management Plan (PMP) that reflected the new budgetary realities. The PMP specifies how RU-W measures the outputs, outcomes and impact of its activities, articulating and tracking its success in facilitating effective, responsive, democratic,

transparent, accountable and gender-sensitive municipal governance. RU-W will update the PMP to reflect the revised scope of work and the Option Year #2 workplan.

A central tenet of our approach measures RU-W project impact, and all activities described below will have accompanying requirements for data collection, measurement and documentation to clearly document, analyze and report on outputs, outcomes and impacts.

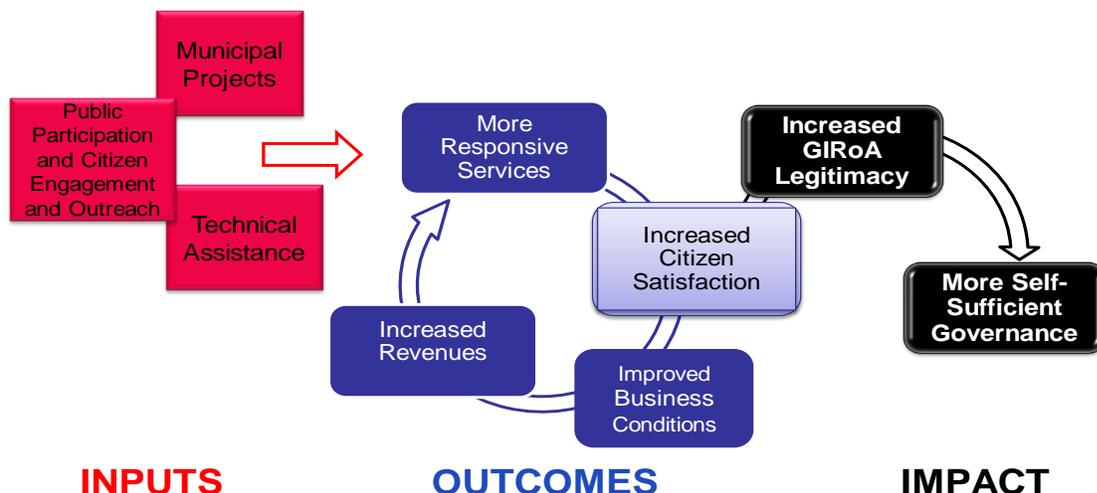
The overall goal of RU-W breaks down into three specific expected objectives: (a) Increasing the capacity of GIRoA municipal officials (CLIN 1); (b) Markedly improving the delivery of municipal services to citizens in target municipalities (CLIN 2); and (c) increasing municipal capacity to enable, support, and sustain economic growth (CLIN 3). The expected outcomes are: 1) more responsive municipal services; 2) increased citizen satisfaction; 3) improved business conditions for greater economic growth; and 4) increased revenues for the municipalities so they can maintain and improve services to citizens.

RU-W’s development proposition shows that these four outcomes will lead to more self-sufficient local governance structures, perceived as credible and legitimate by the citizens they serve. The perception of legitimacy is tied to receiving better services, understanding the responsibilities of municipal leaders, as well as having a voice in municipal decision making and an ability to impact day to day decisions that affect their daily lives. By improving services, engaging citizens and facilitating economic development, the municipality can have a significant role in improving citizens’ quality of life. Demonstrated improvements will place the municipality in a better position to register residents for the purpose of collecting *safayi* taxes and to register businesses for the purpose of levying business taxes and increasing revenues, enabling it to maintain and improve upon the level of service it achieves with the help of RU-W assistance.

Environmental Mitigation and Monitoring

In accordance with USAID’s Initial Environmental Examination (IEE) RU-W developed an Environmental Mitigation and Monitoring Plan (EMMP). The EMMP addresses how service delivery projects and anchor projects will be assessed, designed, implemented and monitored to mitigate environmental risk and ensure compliance with the IEE. An international Environmental Compliance Specialist finalized the EMMP and trained RU-W staff to ensure compliance.

RU-W DEVELOPMENT PROPOSITION



PROGRAM ACTIVITIES

CLIN I: CAPACITY BUILDING OF GIROA OFFICIALS AT THE MUNICIPAL LEVEL

Using information generated during the Base Year, RU-W and partner municipalities generated Municipal Management and Capacity Building Plans early in Option Year #1. This served as the guide for capacity building tailored to each municipality. It addressed all sectors of the municipality so they essentially have a roadmap for improving capacity across the municipality.

During Option Year #1 RU-W provided several areas of assistance to help the basic organization and administration of municipalities. This included assisting with filing of basic documents. We also helped each municipality establish (or re-establish) functional archives for longer term management of critical documents. We provided assistance to develop an inventory of all equipment and furniture and helped them stick inventory tags on each item for better control. We helped municipalities organize their HR files including developing a computerized database. We also provided assistance on performance appraisal and work planning.

RU-W provided significant assistance to all partner municipalities during the preparation of the 1392 budget. Municipalities held public hearings to solicit citizen input at various stages. They provided more analysis and better forecasting to inform the budget. They also provided more funding for maintenance and operations, particularly for recent infrastructure improvements. Each municipality met the IDLG deadline for budget submission. Then, IDLG rejected these budgets and indicated a new fiscal year in the future with the current year as a transition. Each municipality needed to submit a new shortened budget. With RU-W support, each revised their budget and submitted them to IDLG within a new timeframe.

We also continued working with municipalities on their strategic communications with citizens. We assisted each municipality to develop a strategic communications plan. Municipalities also reached out in new and innovative ways. Radio dramas brought citizens information about critical municipal issues and how citizens can help make their community better. Herat hosted a documentary film festival where citizens entered their homemade films that focused on municipal service issues. Chaghcharan, Farah and Qala-e-Naw continued using their billboards to promote information to the community on key issues.

Municipalities and RU-W also conducted sessions that brought together municipal officials and youth from the community to dialog about critical issues.

Activity 1.1 Establish Baselines

During the Base Year RU-W conducted the internal survey, external citizen survey and functional audits in each municipality. This provided the necessary data for determining program activities across all CLINs. In Option Year #1 RU-W conducted the external citizen survey again in each municipality.

In Option Year #2, RU-W will again conduct the external citizen survey (May-July 2013). In addition to providing valuable PMP data for the project itself, the survey provides valuable data for the municipalities. RU-W works to assist municipalities to use survey data in its priority setting, evaluation and decision making. RU-W will also encourage each municipality to share their surveyor results publicly. This promotes greater transparency and accountability.

This activity contributes to PMP indicators PO1, PO2, PO3, PO4, 2.2 and 3.3.

Activity 1.2 Develop Municipal Management and Capacity Building Plans

Following the functional audit/Internal assessment in all four municipalities during the Base Year, RU-W developed Municipal Management and Capacity Building Plans (MMCBPs) for each municipality in Option Year # 1. This determined the types of capacity building assistance the project would provide in each. During Option Year #2 RU-W and partner municipalities will undertake a comprehensive review of the MMCBPs to determine achievements and update to include new activities. This will further allow RU-W to focus on successful activities and eliminate or reform less successful.

The updated plans will form the basis of RU-W capacity building efforts. The MMCBPs in each municipality will continue to specifically address core and functional skills that support other programming elements. For example, training that would make the anchor service better, or capacity building related to better revenue collection, etc.

RU-W will complete the review and update MMCBPs by January 2013.

This activity contributes to PMP indicators 2.1, R1 and R2.

Activity 1.3 Build Afghan Training Capacity for Municipalities

During Option Year #1 RU-W developed permanent training centers in Chaghcharan, Farah and Qala-e-Naw. In each case the municipality provided the space and will maintain the facility and pay for all utilities, etc. RU-W renovated and equipped each facility.

In Option Year #2 RU-W will work with partner municipalities to identify potential trainers, put them through a ToT and then integrate municipal trainers into its training activities. RU-W will also work with partner municipalities to add a training coordinator to their tashkeel. For Chaghcharan and Qala-e-Naw, the training coordinator will likely serve a part-time role and also serve another function. Each municipality expressed a desire to add this position and will fit it into their tashkeel as they determine. This will provide a full-time training presence. They can coordinate with donors and GIRoA training efforts as well as provide internal training. RU-W will assist to develop the job description and the justification needed for the 1392 budget request. Hopefully, each municipality, if approved by Kabul, will appoint one of the trainers already trained by RU-W. Even if not, this still broadens the training resources of the municipalities. This will occur in November and December so municipalities may include this in their proposed tashkeel with their draft budgets.

No matter whom the municipality hires as training coordinator, RU-W will work to prepare them. RU-W will integrate them into its training activities. RU-W will provide them all modules used in the project and provide assistance on locating training materials, developing modules and delivering presentations. Assistance will also focus on the coordination role. This work will occur from February – June.

RU-W and partner municipalities conducted the “roles and responsibilities” for students in high schools, institutes, colleges and universities in each municipality. In the Base year RU-W conducted this training for municipal staff and local NGOs and key stakeholders. It provides an overview of the municipality and what it does and does not do. It helps inform everyone about what to expect. Municipal leaders lamented that too many municipal staff and citizens did not know the functions of the municipality. For citizens, this means understanding what to ask the municipality for and expect from them. Too often, citizens requested services or decisions that did not fall in the purview of the municipality. Municipal officials particularly found educating citizens on this could help match expectations with reality. Moreover, municipal officials realized such a training could also talk to citizens about their role and how they can contribute to a better municipality. The municipalities and RU-W agreed that such a training for youth could help the rising generation of citizens and also impact parents. So, after discussions with the Department of Education in each province, municipalities and RU-W provided this training in the schools. (See 2.4 below.)

In order to ensure sustainability of this popular and effective activity, RU-W will train at least one teacher in each institution who can continue to conduct this annually. RU-W will work with each Education Directorate to include this as a supplement to the current curriculum. RU-W will prepare each designated teacher/professor and include them in co-facilitating sessions and then mentor them during solo efforts. RU-W will provide the module and handouts to each school and trainer. This will occur during January – June.

This will continue developing an indigenous long-term and sustainable training capacity in each municipality.

This activity will contribute to PMP indicators R1, R2 and R3.

Activity 1.4 Deliver Core Skills Training

In Option Year #1, RU-W conducted core skills training aligned to the MMCBP of each municipality. On pure training, this included the following topics:

- Roles & Responsibilities of Municipalities (continued from Base Year)
- Report Writing (continued from the Base Year)
- Basic Project Management I: Project Concepts and Principles
- Basic Project Management II: Project Planning & Needs Assessment
- Basic project Management III: Project Budgeting
- Basic Project Management IV: Reviewing and Reforming Organizational Structure
- Basic Citizen Participation

On-the-job training focused on basic skills like filing, archiving, HR management, inventory control, performance appraisal, work planning and contract management. RU-W in these focused on learning by doing and RU-W embedded advisors assisted municipal staff to implement and ultimately transitioned to municipal staff implementing alone. RU-W can report the following results to date:

- All four municipalities have some sections with modernized filing systems. They no longer spend countless minutes and hours searching for documents as in the past.
- On archiving, Herat has a relatively updated new archiving system. They continue to sort through old documents department by department but are 80% of the way to completion, which is planned for April 2013. Farah has an updated archive and started the sorting process. They have completed 10% of the process and are projected to finish in June 2013. Chaghcharan recently finished renovation and equipping their archives. They recently started the sorting process and are now 60% of the way to completion in March 2013. In Qala-e-Naw, the process is 25% completed, with an estimated completion date of April 2013.
- All 4 municipalities updated their manual human resource sheets. RU-W will assist them to computerize these manual sheets.
- Each municipality updated its asset inventory and tagged all inventory. This reflects furniture and equipment the municipality owns. Farah started computerizing their inventory.
- Each municipality now has standard rental and bi-lateral contracts for renting of municipal property and contracting for services.

In Option Year #2, RU-W will conduct the following formal core skills training:

- **Municipal Advisory Board:** RU-W helped establish Municipal Advisory Boards in Chaghcharan, Farah and Qala-e-Naw (as per GDMA directive and guidelines). These will serve

temporarily in lieu of municipal councils until GIRoA conducts elections. They will have the same basic authorities as future municipal councils. RU-W will provide an orientation for members to help capacitate them for this challenge. RU-W will conduct a monthly session that covers topics such as basic roles and responsibilities, conducting effective meetings, budgeting for results, etc. (November – May)

- **Asset Management:** Municipalities have many assets but they lack both complete documentation on them and knowledge of how to effectively leverage/use them. RU-W provided a basic introduction in Option Year #1 and will conduct an intermediate session on effective utilization in Option Year #2. (May-June)
- **Anti-Corruption:** RU-W will present a basic module to highlight corruption, ethic and transparency and highlight some best practices. (April) RU-W will contact ACAAF for any materials, advice or support in this effort.

Filing assistance will continue and expand in all four municipalities. RU-W will help each municipality to develop file labels and tables of content and mentor additional municipal staff on all filing procedures and expand to additional municipal departments. In Option Year #1 RU-W conducted an internal assessment in each partner municipality and learned which departments needed the most assistance on filing. RU-W then determined departments to assist after consulting with the Administration Director and Mayor in each municipality. In Chaghcharan RU-W helped 8 of 11 sections modernize their filing. In Farah we assisted 9 of 17 so far. In Herat we assisted 6 of 29 sections. And in Qala-e-Naw RU-W assisted 9 of 13 sections. RU-W will continue in Option Year #2 for the remaining sections. RU-W will also provide equipment to support this activity for the future after the project ends. This activity will continue until June 2013.

RU-W began helping each municipality to restructure their archiving of official documents. This will continue in Option Year #2 until complete. This includes equipment and supplies for long-term sustainability.

Municipalities did not have a standard inventory management system. They did not keep any records on their basic inventory. RAMP UP-W worked with them to develop a database (paper and electronic) of their inventory and then tag all items. This activity will continue until complete. This includes equipment and supplies for long-term sustainability.

Municipalities lacked action plans for their daily activities. They did not structure activities well. RU-W began working with municipal managers throughout the organization on formal workplans to better structure and coordinate activities. This includes developing the plans and following through on implementing and updating them. This will continue throughout Option Year #2 with additional municipal managers. This includes equipment and supplies for long-term sustainability.

RU-W worked with each municipality to update and standardize their HR system according to GIRoA guidelines. RU-W helped municipalities gather HR information and develop manual forms. RU-W will assist them to computerize these records so they will have paper and electronic systems. These activities will continue throughout the year. This includes equipment and supplies for long-term sustainability.

RU-W assisted partner municipalities toward developing a standardized Performance Appraisal System (PAS) in accordance with GIRoA guidelines. This works with municipal supervisors to identify strengths and weaknesses in subordinate employee performance and opportunities for improvement and skills development. The process and forms come from GIRoA. Municipalities also use these for pay increases. RU-W assistance included development of job descriptions so employees and supervisors know what to expect on the job. RU-W also assists with work plans so supervisors can better organize their activities and the activities of staff.

In Chaghcharan, RU-W completed job descriptions for 4 managers and the mayor approved. RU-W will work on making sure all municipal staff have accurate job descriptions in Option Year #2. RU-W assisted 9 managers develop work plans. In Option Year #2, RU-W will assist all departments to prepare staff appraisals.

In Farah, RU-W completed job descriptions for 8 managers and the mayor approved these. RU-W will work on making sure all municipal staff have accurate job descriptions in Option year #2. RU-W assisted 23 municipal managers develop work plans. RU-W will assist the remaining 2 departments in Option Year #2. In Option year #2 RU-W will assist all 25 departments to prepare staff appraisals.

In Herat, no work on PAS began in Year #2 as RU-W concentrated on the archives. RU-W plans to train 32 municipal managers on job descriptions, work plans, report writing and staff appraisal.

In Qala-e-Naw, RU-W completed job descriptions for 3 municipal managers and the mayor approved them. RU-W assisted 8 municipal managers to prepare work plans. RU-W will assist all managers to prepare staff appraisals in Option Year #2.

RU-W will continue on-the-job training for municipal managers to fully implement PAS in each municipality. This includes equipment and supplies for long-term sustainability.

RU-W started working with each partner municipality to develop standardized Contract Management Systems. RU-W already developed different types of contracts for the municipalities to utilize and will continue developing these and assisting municipalities to use them. RU-W will also help each municipal section develop a Procurement Plan and provide assistance to implement them.

This activity will contribute to PMP indicators PO1, PO4, R1, R2, and R3.

Activity 1.5 Deliver Functional Skills Training

In Option Year #1 functional skills training directly supported other RU-W programming like budgeting, financial management, revenue generation, service delivery through the anchor service, public outreach, etc. The final MMCBP informed project assistance.

In Option Year #2 RU-W will continue to emphasize skills training that supports other programming. For the anchor service, this will include training tailored to the chosen service in each municipality. For example, in the spring this will include training to maintain green spaces for Chaghcharan and Herat. This would also include training on any new equipment.

For each anchor service, RU-W will help the municipalities develop performance indicators that allow them to measure the quality of services and track improvements and use this information in planning and budgeting (see 2.7 below). RU-W will conduct training to introduce this system and its use to other municipal departments in May. This will allow them to consider expanding use of performance management after the project ends.

RU-W will continue training focused on construction and engineering for any service improvements that involve construction. This focuses mainly on health, environment and safety concerns, quality control and monitoring.

RU-W will provide training on Alternative Service Delivery to begin helping municipalities consider alternative arrangements for providing services. Alternative service delivery will examine different ways a municipality can provide a service. It often involves restructuring the service by sharing governance functions with others (internal and external to the municipality). It might include contracting the service out, organizing the service differently internally, involving different levels of government, using volunteerism, using NGOs, etc. This will focus on anchor services and their SDAGs. This will occur in January-March.

RU-W will develop a simple handbook on “Effective Municipal Budgeting” (see 1.7 below). In June RU-W will conduct training for municipal managers and budget commissions on the improved budgeting techniques contained in the handbook for them to use on the 1393 budget.

RU-W will develop a handbook on the SDIP process (see 2.5 below). In May RU-W will conduct training on how to manage and facilitate the SDIP process for key municipal officials.

RU-W will provide GIS training and support to municipalities to maintain their base land use and municipal maps (all municipalities) and the ongoing property and business registration process (Chaghcharan and Farah only at the moment). This will help them verify land use parcel information and keep accurate municipal boundaries. RU-W will not directly help municipalities determine boundaries. RU-W will make sure they have the right mapping and use the mapping correctly in that process. This will continue throughout Option Year #2. This includes equipment and supplies for long-term sustainability.

RU-W will explore the concept of introducing a citizen service center/one-stop shop in Herat. If the municipality agrees to the concept, any funding for this activity would come from the CLIN 2 Service Delivery Funds allotted to Herat. Unlike the anchor service and economic development activities, Herat would not need to apply for these funds through the MIF. If this activity goes forward, RU-W will also show the operating center to the other partner municipalities.

This activity will contribute to PMP indicators PO1, PO4, 2.1 and R1.

Activity 1.6 Develop Standard Operating Procedures

In Option Year #1 RU-W and municipalities developed an SOP on municipal filing, inventory control and archiving.

In Option Year #2 RU-W will work with partner municipalities on SOPs related to their chosen anchor services. This will mainly involve maintenance. In Chaghcharan, RU-W will develop an SOP for Park and Green Space maintenance in February.

For Farah, RU-W will help develop an SOP for Drainage Maintenance. **(January)**

For Qala-e-Naw, RU-W will help develop an SOP for Streets, Sidewalks and Ditch maintenance. **(February)**

For Herat, RU-W will develop an SOP on Solar Water Pump maintenance. **(March)**

RU-W will develop an SOP on Human Resource and Recruitment Management. This should ensure standard and legal recruitment practices that result in recruiting staff in a merit-based system. This will also standardize the Performance Appraisal System for all municipal staff. **(March)**

This activity will contribute to PMP indicators PO1 and R3.

Activity 1.7 Support Performance-Based Budgeting

In Option Year #1 RU-W worked with partner municipalities on several budget improvements. RU-W provided assistance to Budget Commissions to prepare the 1391 budgets. This included citizen participation in the process for the first time. Municipalities conducted mid-year budget reviews to encourage timely project execution and minimize the amount of unspent funds remaining at the end of the year. Municipalities also utilized the SDIP as a tool to account for citizen preferences and use its data for developing the capital budget.

In Option Year #2, RU-W will continue and expand these activities. RU-W will again work with municipalities to conduct 3 public hearings on the budget. The first will occur at the beginning of the process (November) and provide input before the Budget Commission begins its work. The second will

occur in December and outline the municipal proposal as a final draft. The final will occur after Kabul approval so the municipality can report what's in the final version and summarize the results from the previous fiscal year.

RU-W will work with each municipality to include a narrative budget summary in the budget. This will explain the basic contents of the budget, easier for citizens to review than scanning the budget numbers. This improves transparency and accountability. (December)

RU-W will develop a short handbook on effective budgeting. This will provide a step-by-step guide on all facets of the budget process and incorporate examples from partner municipalities. This will provide an easy-to-use tool for better budgeting in the future after the project ends. (May)

RU-W will continue assistance to track budgeted vs. actual revenue and expenditures to estimate running fund balances. Municipalities need this to safeguard good cash flow.

RU-W partner municipalities need to continue monitoring their budget progress, including comparing budgeted against actual figures and progress reports of different spending initiatives. They need this information for better internal management but should also report this to the public for greater accountability. RU-W will assist the Municipalities to analyze their mid-year budget performance (expenditures & revenues) and to identify the weak points and needed actions. (June-July)

RU-W will continue assistance on readable and usable budget execution reports. In order to maintain sound financial management, budget and finance staff must regularly review and track financial data in order to fully understand their situation. They need to report this to the Mayor and other senior staff and the public for greater accountability.

In Option Year #1 RU-W started a financial operational assessment in each municipality; this will conclude early in Option Year #2. This will highlight some needed actions to correct bottlenecks and weaknesses. As an example, some municipalities have large unspent balances at the end of the fiscal year and this should alleviate that issue. RU-W will concentrate more efforts in Option Year #2 on encouraging better spending by the municipalities of their own budgets. RU-W will focus on this at a mayor's quarterly session early in 1392.

RU-W will also work with each municipality to develop budget execution plans. This will follow up on monthly actual revenue/expenditure and provide actual cash balance report at the end of each month. This will allow budget officials to review monthly all budget lines and inform departments about under/over spending.

RU-W will work on integrating a performance-based budgeting approach in the anchor service. RU-W will assist each SDAG to prepare an action plan to attach with the departmental budget request. It will outline actions to improve the service and indicators to measure real progress, with a budget request to implement them. The SDAG will also include O&M costs for the service in the departmental budget request.

This activity will contribute to PMP indicator PO1, PO4 and I.I.

Activity 1.8 Modernize Accounting and Financial Management Systems

In Option Year #1 RU-W worked on some basic financial management improvements. This included automating their recording of monthly expenditures and revenues. This allowed more reliable and accurate reporting to Kabul of their financial data. RU-W also assisted to automate municipal payroll.

In Option Year #2, RU-W will continue assisting the municipalities to improve the quality of their financial reporting and decreasing human errors. RU-W will maintain an emphasis on automated reporting for greater accuracy and transparency.

RU-W will assist partner municipalities to improve the quality and accuracy of their Payrolls. RU-W will train the municipal Finance staff to use the payroll template for recording and updating their payroll information and generate a more reliable monthly payroll.

Municipalities do not possess an effective method to track their project implementation, including payments. RU-W will assist them to prepare a template and train the municipal finance staff to record their capital payments transactions. This will allow generation of reports on project implementation progress. RU-W will work to make this report readily available for the public as well to see municipal progress on capital projects. This provides an accountability tie-in to the SDIPs.

The financial operational assessment (see 1.7 above) will yield recommendations for improving greater cash control and RU-W will help implement such improvements. Some of the activities will likely include:

- **Increased Cash security :** Regular Cash counts
- **Accounts Reconciliations:** Use bank book to record municipal Bank transactions and reconcile with the monthly bank statement
- **Cash Flow Projections:** Monthly revenue and expenditure projections and cash requests by department

RU-W, in close cooperation with municipal finance staff, will prepare a Financial Operations Manual for use by municipal finance staff. This will provide easy to read policies and procedures based on GIRoA requirements. This will help standardize financial management and allow municipalities to easily integrate new employees in the future. (June)

This activity contributes to PMP indicators PO1, PO4 and 1.2.

Activity 1.9 Increase Participation of Women & Youth

As a cross cutting activity as well, RU-W will make sure of appropriate women's participation in all program activities. As an example, during the Base Year and Option Year #1, SDIP community sessions involved women specifically to ensure the municipality hears their voice when establishing service and funding priorities. Additionally women made up 14% (7 of 50) of SDAG membership, to ensure that women's voices are heard when identifying future municipal service improvements. The economic development plan activity also made sure to include women on the steering committees. In Option Year #1 10% (5 of 51) of steering committee members were women.

In Option Year #1, RU-W planned to develop an inventory of female employees working in each municipality and review all municipal policies for compliance with GIRoA gender requirements. Due to staff turnover RU-W could not complete these activities but will do so early in Option Year #2. RU-W did provide gender mainstreaming training for municipal staff.

In Option Year #2, RU-W will work with each municipality to add a Gender Officer to their municipal tashkeel. RU-W will help develop a job description and then assist each municipality to write a strong justification in their budget submission. For any municipalities not establishing a Gender Officer, RU-W will work with them to appoint a gender point of contact at a minimum. (November-December)

Building on the policy review in Option Year #1, RU-W will assist each municipality to develop a gender strategy consistent with GIRoA's Women and Gender Development Policy and linked to other national policies. This will aid mainstreaming of municipal policies, programs and planning to account for gender needs and requirements. Developing such a strategy would require focus group discussions and consultations with municipal staff and key stakeholders. (April)

Chaghcharan, Farah and Qala-e-Naw have established Municipal Advisory Boards (MABs). In Option Year #1 17.5% (14 of 80) of these MAB's members were women. Herat maintains a seldom used advisory committee that does not comply with GDMA guidelines. The Mayor expressed no desire to

update or change the committee so RU-W dropped any plans for working with this group in Herat. (In a discussion with the Herat Governor he also encouraged RU-W to discontinue any work with that group.) RU-W has no plans for assistance unless the Mayor decides to comply with the GDMA guidelines and re-structure/re-design it as a MAB. In addition to making sure each MAB has 10% female participation, RU-W will work with these boards to create a Women's Sub-Committee to provide input to the entire MAB. This sub-committee can deal specifically with women's issue and increase their influence on decision making. It will ensure greater municipal consideration of women's issues. (February)

RU-W will help municipalities establish youth councils. This will allow greater consideration of youth issues and afford them greater access into municipal decision making. (April)

RU-W will also continue the "youth and municipality" seminars. These seminars bring together municipal officials and city youth to discuss topics of interest. Youth learn more about their municipal government and can dialog and discuss their view of issues and express their sentiment about the key issues impacting them. By the end of the project RU-W will transition planning and facilitation of these sessions to municipal staff.

This activity will contribute to PMP indicators PO3, 1.3 and 2.3.

Activity 1.10 Improve Strategic Communications for Citizen Awareness

In Option Year #1 RU-W helped each municipality finalize a communications strategy. RU-W also provided support in improving their communications with citizens, including continued effective use of billboards, festivals, media, etc.

In Option Year #2 RU-W will continue providing assistance to implement municipal communications strategies. This will include ad-hoc efforts to keep citizens informed. It might include brochures on different municipal activities (like in advance of the registration process), media programs to highlight municipal activities, etc.

RU-W will help each establish a strong Outreach Unit. In the 1392 budget both Chaghcharan and Qala-e-Naw included Outreach Officers in their tashkeels and budgets. Unfortunately, GDMA eliminated these positions. RU-W will work with each to strengthen their justifications for the 1393 budget. Once appointed, RU-W will provide assistance and mentoring to capacitate them.

RU-W will help each municipality produce a budget-in-brief for distribution to the public. This provides an easy to read summary of the budget that regular citizens can understand. This allows them to better understand what the municipality intends to accomplish during the budget year. It provides the municipality a strong tool to inform citizens and strengthens accountability. (December)

RU-W will work on improving relations between the municipalities and local media. Municipalities will initiate Media Roundtables that periodically bring together media and senior municipal officials. The municipality will host the sessions and provide an update about municipal activities. It will allow engagement over key municipal issues. Better information to the media should allow better reporting and more information reaching citizens.

RU-W will facilitate other sessions that bring municipal officials and key stakeholders together periodically for dialog about issues. This might include University students, civil society, the business community, etc.

Following the success of the Herat Documentary Film Festival in Option Year #1, RU-W will help each municipality hold a similar audio-visual event to bring municipalities and citizens closer together. It might involve documentary films, a photography competition, etc. Herat already expressed interest in a second documentary film festival.

RU-W will continue support to the public libraries in Chaghcharan, Farah and Qala-e-Naw by providing training for librarians on how to organize collections, registering users, inventory books, manage book distribution, etc.

This activity will contribute to PMP indicators PO2, 2.3 and R3.

1.11 Support Municipal Conferences

RU-W held a municipal conference in Option Year #1 that allowed them to share experiences but also discuss issues of common concern. RU-W will host another conference in Option Year #2 toward the close of project activities (June).

In addition, Mayors requested quarterly sessions to concentrate on key topics. RU-W will sponsor these as well throughout the year. (February & TBD)

This activity will contribute to PMP indicators PO1, PO2, and PO3.

CLIN 2: SUPPORT THE GIROA TO DELIVER SERVICES TO CITIZENS IN TARGET MUNICIPALITIES AND ENHANCE CITIZEN PERCEPTION OF MUNICIPAL GOVERNANCE

During Option Year #1 RU-W finished the expeditious projects carried forward from the Base Year. RU-W then moved to the anchor service concept. Each municipality selected a single service –with community input- and began efforts to improve all facets of it. As part of the anchor service effort, municipalities began working on introducing performance management principles for that service. This can serve as a model for other municipal services.

RU-W helped municipalities organize the SDIP process and reach out to citizens for their preferences on services and infrastructures improvements for inclusion in the 1392 budget.

RU-W, at the urging of the municipalities and IDLG, also developed base mapping of land uses in each municipality as the first step in developing municipal land use plans.

Activity 2.1 Establish Baselines

During the Base Year RU-W conducted the internal survey, external citizen survey and functional audits in each municipality. This provided the necessary data for determining program activities across all CLINs. In Option Year #1 RU-W conducted the external citizen survey again in each municipality.

In Option Year #2, RU-W will again conduct the external citizen survey (May-July 2013).

This activity contributes to PMP indicators PO1, PO2, PO3, PO4, 2.2 and 3.3.

Activity 2.2 Ensure Immediate Service Delivery Improvements in Base Year

In the Base Year, RU-W worked with the municipalities and their communities to determine some immediate projects to implement. Many of these carried over and RU-W completed them during Option Year #1. Capacity building efforts continued focusing on using the expeditious projects as learning labs.

This activity contributes to PMP indicators PO1, PO2, 2.1, 2.2 and 3.3.

Activity 2.3 Service Delivery Improvements through Anchor Services

In Option Year #1 RU-W launched the anchor service concept. Each municipality selected a single service for intensive assistance. Municipalities had to choose a service citizens prioritized highly either in

the citizen survey or the SDIP process. For each service RU-W provided significant support to develop comprehensive plans, consider staffing, draft O&M plans and start implementing different phases of the plan. Assistance also included development of simple performance indicators and capacity building identified as needed for the service. Municipalities also established Service Delivery Advisory Groups (SDAGs) that brought municipal officials and key stakeholders together to provide input into the anchor service. The SDAGs have operated well to date in preparing an action plan for funding of the initial anchor service through the municipal budget. They also determine the performance indicators (see 2.7 below) for the anchor service. They still require RU-W facilitation but continued assistance hopes to show the methodology of mixed municipal-community decision making as viable and appropriate so they will continue into the future.

In Option Year #2 RU-W will assist the initial anchor service through the SDAG develop a budget proposal based on performance budgeting principles. This will allow better information for the budget commission to review their budget.

The table below details membership of the Service Delivery Advisory Groups established in each partner municipality:

Chaghcharan Municipality

No.	Name	Position	SDAG Role	Gender
1	GulPaida Manish	Head of Women Foundation	SDAG member	Female
2	BiBijanKarimi	Teacher	SDAG member	Female
3	Abdul HaiKhatibi	Provincial Governor representative	SDAG Head	Male
4	Ahmad Nadim	Civil society activist	SDAG member	Male
5	Abdul Rahim Rezazada	Member of Provincial Council	SDAG member	Male
6	Abdul KhaliqHaidari	Member of scholar council	SDAG member	Male
7	Mohamad Nader Azimi	Head of CDC	SDAG member	Male
8	Moahamd Hassan Hakimi	Civil society activist	SDAG member	Male
9	Dr. AqelaSharaf	Human Rights activist	SDAG member	Male
10	NazarMohamad	Head of City Shura	SDAG member	Male
11	Engineer Fatah Fetrat	Municipal Construction manager	SDAG member	Male
12	GhulamHaider	Municipal Admin Manager	SDAG member	Male
13	Ab.Mahroof	Municipal Budget Staff	SDAG member	Male
14	Mohammad Saleh	Municipal Revenue Staff	SDAG member	Male

Farah Municipality

No.	Name	Position	SDAG Role	Gender
1	Abdul Rahim Rahimi	Youth and civil Society	SDAG Member	Male
2	Farid Ahmad	Education department representative	SDAG Member	Male
3	MohamadJomaQayed	Municipal Planning Manager	SDAG Member	Male
4	MohamadNaimAnwary	Municipal Procurement Manager	SDAG Member	Male
5	Said MukhtarRahib	Provincial government Representative	SDAG Head	Male
6	Abdul HadiBawar	Revenue Manager	SDAG Member	Male
7	ShirinFaizi	Member of provincial council	SDAG Member	Female
8	Abdul Salam	Head of youth shura	SDAG Member	Male
9	Joma Khan	Municipal Cleaning Manager	SDAG Member	Male
10	ShakarRazayee	Women Unit Head	SDAG Member	Female
11	Haji Abdul Satar	Municipal Engineering staff	SDAG Member	Male

Herat Municipality

No	Name	Position	Role on SDAG	Gender
1	Abdul Ahmad Faqiryar	Municipal Administration Head	Head of SDAG	Male
3	Mohammad Aziz Ahrari	Municipal Construction Head	SDAG member	Male
1	Said Obiad Sadat	Municipal Planning Manager	SDAG member	Male
2	Haji Abdul Haq	Municipal Greenery Manager	SDAG member	Male
3	Haji Zainuddin	Municipal Greenery Dept Staff	SDAG member	Male
4	Yasir	Civil Society Representative	SDAG member	Male
5	GhulamNabiAlimyar	Businessman	SDAG member	Male
6	Abdul HadiWasiqy	Religious Scholar	SDAG member	Male
7	Mohamad Saber Rahmani	Construction Companies Union	SDAG member	Male
8	AssadullahZafari	Economist	SDAG member	Male
9	Yar Mohammad Barakzai	Injil district development Head	SDAG member	Male

Qala-e-Naw Municipality

No.	Name	Position	SDAG Role	Gender
1	Saifuddin	Municipal Administration Manager	SDAG Member	Male
2	Abdul Sattar	Municipal Budget / Accounting Manager	SDAG Member	Male
3	Mohammad SardarWafa	Municipal Cleaning Manager	SDAG Member	Male
4	Abdul Qadir	Economist	SDAG Member	Male
5	Mrs. Najiba	Department of Public works staff	SDAG Member	Female
6	Ramazan	Businessman	SDAG Member	Male
7	JomaGul	Head of district two	SDAG Member	Male
8	Mohammad Nadir	Head of district three	SDAG Member	Male
9	Mohammad Akbar	Member of Peace council	SDAG Head	Male
10	Halima	Deputy of Baran Organization	SDAG Member	Female
11	Seddiqa	Principle of Kinder garden	SDAG Member	Female
12	Mohammad Zabi	Religious Man	SDAG Member	Male
13	Kamalddin	Businessman	SDAG Member	Male
14	Mohammad Rangin	Member of Peace council	SDAG Member	Male
15	Eng. Osman	Rural Development representative	SDAG Member	Male
16	Abdul Salam	Water Management representative	SDAG Member	Male

Also in Option Year #2, RU-W will work with the municipalities on a second anchor service. Each municipality will again select based on significant citizen input. Municipalities will again establish a Service Delivery Advisory Group composed of municipal employees and citizens to look at the service and develop an action plan for improvement. RU-W will facilitate the process and help them get the municipality to implement parts of the plan during 1392. RU-W will concentrate efforts to get municipal funding of improvements in the anchor service.

Based on USAID guidance, RU-W will make available CLIN 2 service delivery funds to support this second anchor service master plan and municipal service improvement plan. However, they will access these funds only through applying for assistance through the Municipal Incentive Fund (MIF). They must meet the minimum criteria of the MIF to receive any financial assistance toward implementing any improvements contained in their service plans. The municipal service improvement plan will also include

other RU-W programming elements as well as municipal actions and support. The MSIP includes what capacity building the service needs that RU-W would provide through activity 1.4 or 1.5. It might also highlight SOPs the service needs and RU-W can concentrate support on those. It might show a way for the service to raise revenue and increase viability. In short, the MSIP can provide many avenues for RU-W assistance across all 3 CLINs.

Performance management work will also occur in the anchor service as we will assist municipalities to develop easy-to-use indicators to track performance improvements. Information on anchor service delivery indicators collected during the 1391 and 1392 budget years will be used to inform the 1393 budget proposal, thus establishing a critical feed-back loop.

By the end of the project each municipality will have two anchor services that can serve as models for approaching service delivery improvements in other municipal services.

This activity contributes to PMP indicators PO1, PO2, 2.1, 2.2 and 3.3.

Activity 2.4 Promote Public Engagement and Citizen Participation

In Option Year #1 RU-W worked with partner municipalities on a variety of citizen engagement activities. (See 2.5 below for the discussion on the SDIP process.) Chaghcharan, Farah and Qala-e-Naw all established Municipal Advisory Boards (MABs). These will serve until GIRoA holds municipal elections and creates Municipal Councils. RU-W worked with GDMA on a TOR for the MABs.

The table below details membership of the Municipal Advisory Boards established by RU-W in Chaghcharan, Farah and Qala-e-Naw:

Chaghcharan Municipality

No	Name	Position	Gender
1	Fazull Haq Fazl	UNAMA Political Assistant	Male
2	Besmellah	Head of CDC	Male
3	Gul Paيدا Manish	Head of Harkat Khaharan Foundation	Female
4	BiBi jan Karimi	Teacher	Female
5	Farida Naseri	Teacher	Female
6	Abdul Hai Khatibi	Journalist	Male
7	Ahmad Nadim	Civil society activist	Male
8	Besmelah	Teacher	Male
9	Abdul Qadir Arifi	Member of City Shura	Male
10	Haji Sultan Mohamad	Member of City Shura	Male
11	Ghosudin	Head of CDC	Male
12	Abdul Rahim Rezazada	Member of Provincial Council	Male
13	Abdul Khaliq Haidari	Member of Shuray Oloma	Male
14	Mohamad Nader Azimi	Head of CDC	Male
15	Moahamd Hassan Hakimi	Head of	Male
16	Gul firoz Ghafari	Member Provincial Council	Female
17	Mohammad Nader Nalan	Teacher	Male
18	Dr. Aqela Sharaf	Human Rights activist	Female
19	Gulam Nabi Saqee	Teachers Trainer	Male
20	Nazar Mohamad	Head of City Shura	Male
21	Salar Hashimi	Civil society activist	Male
22	Ostad Roshan Karimi	Nurse	Male
23	Sulatan Mohamad	Head of CDC Airport	Male

Farah Municipality

No.	Name	Position	Gender
1	Haji Wakil	Businessman	Male
2	Froozan	Habitat employee	Male
3	Allawadin Tor	District one Manager	Male
4	Abdul Sattar	District two Manager	Male
5	Homayun Zahir	Journalism	Male
6	Mir Ahmad Hamidi	District three Manager	Male
7	Khan Aqa Sokoot	Local people	Male
8	Haji Molhem	District six Manager	Male
9	Haji Noor Ahmad Haqbin	District seven Manager	Male
10	Haji Sattar	Business man	Male
11	Mariya	School Teacher	Female
12	Malek Afghan	CHA employee	Male
13	Haji Mohammad Sarwar	UNICEF employee	Male
14	Abdul Wadood Anwari	Director of addicts quit	Male
15	Haji Ziyawodin	Former Mayor	Male
16	Sharifa Sadat	Provincial council member	Female
17	Abdul Rahman Zhouwanday	Local People	Male
18	Zobaida	Employee	Female
19	Hamidullah	Teacher	Male
20	Haji Abdullah	Money Exchanger	Male
21	Haji Wahed	Shopkeeper	Male
22	Abdul Salam Rahimi	Dean of Youth Institute	Male
23	Farid Haybat	Youth manager in Farah	Male
24	Gol Ahmad Zaherian	Head Of University	Male
25	Nazari	Mullah	Male
26	Dr.Azimi	Head Of Ghorjstan University	Male
27	Zainul Abidin	Mullah Council Deputy	Male
28	Jamila Amini	Teacher	Female
29	Ziya Gol	School Principal	Female
30	Baaran Osmani		Male
31	Ajmal		Male
32	Abdul Hadi Kashaf	Local People	Male
33	Rabea Ayubi	Womans Affairs	Female
34	Gol Makay	Teacher	Female

Qala-e-Naw Municipality

No.	Name	Position	Gender
1	Abdul Majid (Shakib)	Provincial council member	Male
2	Hafizullah	Head of Agriculture Directory	Male
3	Zemary	Head of Traffic section	Male
4	Halima	Deputy of Baran Organization	Female
5	Eng.Salim	Lecture in Agriculture faculty	Male
6	Seddiqa	Principle of Kinder garden	Male
7	Monisa	Acting Directorate of Women Affairs	Female
8	Eng. Osman	Manager in Directorate of Rural Development	Male
9	Eng. MohmmadYaqub	Head of sub district	Male
10	Mohammad Akbar	Member of Peace Shura	Male
11	Mohammad Zabi	Mullah in EmamJaferSaddiq Mosque	Male
12	Mohammad Nadir	District three Manager	Male
13	Kamalddin	Shopkeeper	Male
14	Abdul Satar	District 4 Manager	Male
15	JomaGul	District two Manager	Male
16	Rahamatullah	World vision	Male
17	Ziauddin	Head Education Directorate	Male
18	Esmail	Shopkeeper	Male

19	Behzad	Finance Manager in Agriculture Directorate	Male
20	Abdul Rahim	Employee of Economic Directorate	Male
21	Mohammad Rangin	Member of Peace Shura	Male
22	GhullamNabi	Head of police	Male
23	Gul Mohammad	Head of Red cross in QLN	Male

RU-W also held sessions on the “Roles and Responsibilities of Municipalities and Citizens” with high school and University students and other key community groups in each municipality.

In Option Year #2 RU-W will continue supporting Municipal Advisory Boards. We will have training for them (see 1.4 above) but we will also work with individual members to increase their effectiveness. Mentoring and technical assistance will help the MABs actualize training and other support to make them a viable part of the municipality.

In addition, RU-W and the municipalities will continue the “Roles and Responsibilities” sessions and ultimately transition to teacher facilitators at each school for this (see 1.3). RU-W will also follow up these sessions by offering small awards to students (individual or groups) for innovative projects that promote better citizenship in their community. This will allow them to apply the lessons learned from the “Roles and Responsibilities” sessions.

RU-W will also conduct some follow up to the “Roles and Responsibilities” training and encourage youth to undertake activities that improve their sense of community and their role as good citizens. It might include clean up campaigns, or advocacy sessions on a critical issue, or monitoring on development projects, etc. RU-W will provide small in kind awards on a competitive basis to students and groups of students who received the training and want to utilize the training to actually improve their municipality.

RU-W will also provide competitive in-kind awards to school municipalities to conduct activities that build on the activities with youth. In kind awards will be determined by school proposals and could include provision of banners, billboards and brochures for awareness campaigns. They should develop innovative ideas as a school municipality to engage their actual municipality.

This activity contributes to PMP indicators PO3, I.3, and 2.3.

Activity 2.5 Develop Service Delivery Improvement Plans (SDIPs)

During Option Year #1 each municipality developed a general SDIP with significant community involvement. The SDIP provided each municipality a list of priority projects and services to consider as part of the 1392 budget process.

In Option Year #2, RU-W will assist municipalities to update their SDIPs. Since municipalities finalized the SDIPs in February/March and GIRoA moved up the 1393 fiscal year, RU-W recommends a simple update. The underlying information remains valid for the upcoming budget cycle. Projects included in the 1392 budget will be removed and other projects slide up in priority.

However, to help with the 1393 SDIP RU-W will prepare a simple guidebook for the process (and associated training, see 1.5 above). During the summer RU-W will assist municipalities to start the public meetings process leading up to completion of the SDIP and inclusion in the 1394 budget.

This activity contributes to PMP indicators PO1, PO2, 2.1, and R3.

Activity 2.6 Implement Service Delivery Improvement Plans

In Option Year #1, community representatives presented the results of the SDIP to the budget commission. This provided legitimate community input into the budget process. In each partner

municipality, the budget commissions included projects from the SDIP and used the data to make budgetary decisions.

In Option Year #2, RU-W will help each municipality update their SDIP and present the updated priorities to each budget commission through their public hearings (see 1.7 above).

This activity contributes to PMP indicators PO1, PO2, 2.1, and R3.

Activity 2.7 Improve Municipal Performance Management Systems

RU-W in Option Year #1 worked on implementing a performance management system for the anchor service. Each SDAG developed some key indicators to measure service performance.

In Option Year #2, we will expand this concept to a second anchor service. RU-W will again help an SDAG develop indicators for this service. On the first anchor service RU-W will assist them to monitor results for integration into municipal reports and the 1392 budget request.

Both of these services will provide living models for performance management and its utility in municipal governance. In May 2013 RU-W will introduce the concept and system through these models to other municipal officials in a formal training (see 1.5 above).

This activity contributes to PMP indicators PO1, PO2, and R3.

Activity 2.8 Development of Municipal Master Land Use Plans

In Option Year #1, RU-W finished digitizing maps and assigning land use classifications to all municipal parcels. This provides the basic mapping infrastructure for all future work in land use planning. All four partner municipalities wanted RU-W assistance in preparing new land use master plans. RU-W lacked the funds to provide this. (Traditionally, MUDA provided this but when RU-W discussed developing plans for the municipalities they requested RU-W pay them a minimum of \$700,000 per plan.) So, RU-W agreed to provide new maps with updated land uses included since each municipality needed this as a first step in developing a new overall plan. Moreover, even with outdated plans, these maps could assist in their planning and growth management.

In Option Year #2, RU-W prepare block maps for each municipality. These will help to identify businesses and properties as part of the registration activity. These will assist in the complete verification of all parcels and the land use data on the maps. This also allows each municipality to have valuable information for any efforts by other donors entities that provide support on land issues. For example, in Option Year #1 USAID's LARA project came to Herat and wanted to provide updated land use mapping since they could not include Herat as a pilot city. RU-W could provide LARA with the updated maps already.

RU-W will finalize the land use maps once RU-W and the municipalities complete the registration process (see 3.3 below). This will help verify the land uses of the municipality. Each municipality will also appoint a GIS contact and RU-W will train them (see 1.5 above). RU-W can turn over final maps to a trained municipal official for long term sustainability of the maps. (June)

RU-W will work with municipal counterparts on periodic updating of the land use data. Municipalities continue to expand and add new settlements. Each municipality needs to update their imagery and RU-W will provide technical support during the year to ensure this continuity over the longer term.

Also in Option Year #2 we will develop a model process to take this base mapping data and provide the necessary steps for creating a new land use plan. As mentioned, MUDA used to provide these but has backed away or sought donor funding to them for these. In the summer of 2012 GDMA sent out guidance to all municipalities encouraging them to consider updating their land use plans with their own

budgets. They indicated MUDA would likely not provide these plans in the future. In order to assist municipalities in this process and to inject participatory elements, RU-W will develop this model process. It will detail all the steps in the process, including how to involve citizen input. RU-W could provide some limited assistance in implementing these steps but will not have sufficient funds to fully implement it. RU-W included this activity in Option Year #1 but could not complete this task due to the prolonged negotiations on business and property registration. This process would also serve as a model for MUDA as well should they decide to prepare the plans.

This activity contributes to PMP indicators PO1, 3.2, R3 and R4.

Activity 2.9 Strengthen Afghan Implementing Partners

In Option Year #1 RU-W continued using the expeditious projects as laboratories to emphasize learning principles to the construction sub-contractors. In implementing the expeditious projects and Anchor Service Improvements, RU-W used a total of 19 different construction companies. 84% (16 out of 19) of these companies were rated positively¹ for the quality of their construction work with 63% (12 out of 19) being rated positively for their timeliness in completing projects. Also in Option Year #1 RU-W conducted an assessment of NGOs who interact most with our partner municipalities.

In Option Year #2, RU-W will continue to build the capacity of construction companies as part of service improvements in the anchor service. As implementing partners for the municipalities, improving their performance should help municipalities in better service delivery and infrastructure development in the future. RU-W will work with contractors on quality assurance, quality control and health, safety and environmental control on construction projects.

RU-W will seek to maximize constructive engagement between NGOs and the municipalities. This will utilize the assessment from Option Year #1. RU-W will facilitate coordination meetings between NGOs and municipal officials on key municipal issues. Environmental NGOs might want to discuss ways to adjust municipal activities to protect the environment, like newer technology on public toilets or better grading practices for construction projects. A Women's NGO might want to discuss better access to market stalls in public markets. This will provide a platform for municipal staff and NGOs to talk about key issues, expectations and promote collaboration for a better community. These meetings will occur quarterly to begin with and then based on mutual agreement. (Nov – Aug)

RU-W will conduct “Roles and Responsibilities of Municipalities” sessions for local media. Local media sometimes lacks a basic grasp of how municipalities function and these sessions should bridge that gap. It will provide media members a better foundation to understand municipalities and what they can and cannot do. This will contribute to better media roundtable discussions (see I.10 above).

This activity will contribute to PMP indicators 2.1 and R1.

CLIN 3: SUPPORT THE GIROA TO INCREASE REVENUE AT THE MUNICIPAL LEVEL

During Option Year #1 RU-W built upon the work of the Base Year and continued assistance to analyze the revenue picture in each municipality for the previous 3 years. We also worked with them on analyzing current collections against the budgeted amounts and helping them conform their reporting to meet the new Chart of Account (COA) requirements established by the MoF. We also started mapping the collection process for the safayi and Business Registration fees to better identify bottleneck and issues inhibiting revenue growth.

In Chaghcharan and Farah RU-W helped begin property and business registration.

¹ Ratings scale include: Excellent, Very Good, Good, Fair and Poor. Ratings of Good and above were counted as a positive rating.

In all four target municipalities RU-W helped them develop an economic development plan with considerable community input. This will determine the efforts the community will take to support economic development and municipal services to support businesses. The plan limits themselves to action of the municipality. For example, the plan might highlight a need for a new or expanded market. It might recognize a need for faster/better permitting for new businesses. It could encourage development of an industrial park. The plans try and capture what the community thinks it needs to do to encourage economic growth, limited to municipal actions. Part of the exercise also teaches municipalities (and their citizens) about their proper role in supporting economic development. Too often, governments and citizens in transitional countries think government can simply build a factory. The process seeks to clarify what a municipality can and cannot do in this sphere. The plans therefore concentrate on government actions (sometimes in concert with others). At this point RU-W will determine the assistance it can provide to support specific recommendations emanating from the plan. However, RU-W lacks significant resources for much broad support in this area and will more likely attempt to facilitate direct municipal efforts at implementing portions of the plans.

Activity 3.1 Establish Baselines

In Option Year #1 RU-W developed true time trend data on revenue collections and worked with municipal partners to refine their skills at forecasting and analyzing actual vs. budgeted figures. With baselines firmly established, RU-W can continue assistance on time trend data.

This activity will contribute to PMP indicators PO1, PO2, PO3, PO4, 2.2 and 3.3.

Activity 3.2 Increases Revenue Collection

In Option Year #1, RU-W conducted process mapping of the safayi and the business registration fees, the two main municipal revenue sources. This allowed municipalities to identify and resolve bottlenecks and re-engineer the processes for increased revenue generation. RU-W also provided assistance on better forecasting in the budget process and better monthly reporting of collections and comparative analysis between budgeted and actual collections. All partner municipalities saw robust revenue growth in 1391. RU-W also stressed the need for better reporting, particularly automated reports. This provides better accounting of revenues but also greater transparency as improved recording means municipal officials and citizens know how much the municipality collected, making it harder to disappear.

In Option Year #2, RU-W will continue process mapping with two other revenue sources: city and customs service charges (in the USA we would call this a vehicle registration fee) and the billboard tax (called a tax but more aptly described as a fee). Mapping of key revenue sources helps the municipality identify problems and bottlenecks and RU-W can then design assistance to solve these and increase collections.

Municipalities continue to under-collect their revenue. In part, bad forecasting contributes to this. RU-W will continue assistance to help officials develop more accurate projections of future revenues. This will include better analysis of their collected information. RU-W will help them estimate revenues for the 1392 budget and then help them better monitor revenue collection and analyze trends. RU-W hopes to assist municipalities to collect at least 85% of their projection.

Each municipality should have a standardized manual for collecting revenue. The basic elements of the manual would be similar in each municipality but different based on their revenue sources and perhaps collection methodologies based on geographic factors. This outlines the process and requirements of the collection process. Unfortunately, some of our partner municipalities lack such a manual. This results in haphazard collections and different rules that frustrate the collection process and confound taxpayers. RU-W will work with each partner municipality to develop a standardized revenue manual to

systematize the collections process. This will also provide clear and transparent rules for citizens when paying municipal taxes and fees.

RU-W will also continue assistance to approve recording and reporting of municipal revenues.

RU-W will also work with municipalities to get approval for their safayi and Business License Tax. Each municipality needs a regulation approved by the Governor and GDMA. This allows them to collect these revenues but also develop differentiated rates based on the economic situation prevailing in their municipality.

This activity will contribute to PMP indicators 3.2, R3 and R4 and R5.

Activity 3.3 Increase Household and Business Registration

In Option Year #1 RU-W began work with Chaghcharan and Farah on a comprehensive registration of all properties and businesses in the municipality. Qala-e-Naw could not provide the necessary municipal staff to conduct the activity. (If they can find the staff RU-W will assist them.) In Herat, UN Habitat and ASGP (UNDP) each started with a single district. Each decided to use a different questionnaire and database system. RU-W would have used a third questionnaire and database (the one actually mandated by GDMA) and created a mess. RU-W decided not to offer this assistance until everyone used the same inputs. Herat also wavered on providing the necessary staff and asked for special remuneration of municipal staff inconsistent with USAID policies. (UN Habitat and ASGP pay the municipal officials – in excess of regular wages- to participate.)

In Option Year #2, RU-W will continue the business and property registration process in Chaghcharan and Farah. A survey team (municipal staff and RU-W consultants) visit every property and measure then and collect basic data. GDMA provided the form for data collection. They also verify the information on the existing land use maps (see 2.8). Municipal staff will then enter this data into a computerized database developed by RAMP UP South (Property) and RAMP UP East (Business). Municipalities will also keep the manual forms. The database allows fast searches for property and business records. RU-W will provide training and the hardware for the database system.

To date Farah registered 2104 out of 8795 (24%) properties. Chaghcharan has registered 1514 out of 2392 (63%) properties.

Once complete, these municipalities can more accurately and fully apply safayi, business license and other fees, taxes and charges. This should lead to revenue increases for the short and long terms. Chaghcharan should finish in April and Farah in June.

RU-W also worked with each municipality to fully inform citizens about the process, why they should cooperate and how. Municipalities utilized their billboards for messages about this process. RU-W and the municipalities also provided explanatory brochures, conduct meetings with citizens, enlisted support of Mullahs, etc. RU-W and municipalities will continue outreach efforts on the process in Option Year #2.

This activity will contribute to PMP indicators 3.2, R3 and R4.

Activity 3.4 Develop Municipal Economic Development Plans

In Option Year #1 each municipality, through a working group of municipal staff and key stakeholders (see table), developed a draft economic development plan with significant community involvement. This also included a community profile that provided basic information about the community. RU-W will help municipalities complete these plans early in Option year #2.

The table below details membership of the Economic Development Committee established in each partner municipality:

Chaghcharan Municipality

No	Name	Position	EDC Role	Gender
1	Anjela Sharifi	Provincial Council	Head of Committee	Female
2	Nazer Mohmmhd	Head of Crafts Union	Member	Male
3	Nadem	Head of Jam Cultural Foundation	Member	Male
4	Abdulhai Khatebi	Staff of Governor house	Member	Male
5	Fazlulhaq Fazl	UNOPS employee	Secretary	Male
6	Afizullah Hakimi	Municipal Staff	Member	Male
7	Roullah Azizi	Social Affairs department employee	Member	Male
8	Rahmatullah	Instructor	Member	Male
9	Khodayar Waqif	Head of Civil Society foundation	Member	Male
10	Mohammad Khan Reza Poor	Agriculture advisor	Member	Male
11	Bismillah	Head NSP	Member	Male

Farah Municipality

No.	Name	Position	EDC Role	Gender
1	Ghulam Ahmad Hamidi	Head of Municipal Administrative Department	Member	Male
2	Mohammad Naeem	Municipal Staff	Member	Male
3	Sayed Mukhtar Rahib	Officer Manager, Governor office	Member	Male
4	Zahir Shah Khadem	Head of Economy Department	Member	Male
5	Abdul Hadi Bawar	Head of Revenue In Finance Department	Member	Male
6	Shirin Faizi	Member of Provincial council	Member	Male
7	Dr. Abdul Ghafoor	Administrative Head of Ghurjistan University	Member	Male
8	Farid Ahmad Haibat	Teacher	Head of EDC	Male
9	Abdul Salam	Head of Youth Shura	Member	Male
10	Haji Ab. Satar	Member of City Council	Member	Male
11	Shakar Razayee	Head of Women Unity Cartel	Member	Female

Herat Municipality

No	Name	Position	Role on EDC	Gender
1	Ghulam Nabi Alimyar	Business Man	Head of EDC	Male
2	Abdul Sami	Municipal Contracts Manager	Member	Male
3	Parviz Ahmad	Instructor at Economics Faculty	Member	Male
4	Paimana Hamid	UNDP	Member	Female
5	Asadullah Zafari	West Banks Office	Member	Male
6	Hj. Yar Mohammad Barekzay	Member of Municipal advisory board	Member	Male
7	Sayed Abdul Bari Fazli	Water supply employee	Member	Male
8	Sayed Obaid Sadaat	Head of Municipal Planning department	Assistant	Male

9	Abdul Hadi Wasiqi	Representative of an Islamic Charity Organization	Member	Male
10	Yaghub Mashouf	Secretary of Heart industrial Union	Member	Male
11	Ahmad Ghani Hafizi	Craftsmen Union member	Member	Male
12	Mohammad Saber Rahmani	Construction Union member	Member	Male
13	Yassir Sarim	CRS	Member	Male
14	Abdul Basir Samimi	Instructor of Engineering Faculty	Secretary	Male
15	Sayed Assadullah Hussaini	Economic Department member	Member	Male

Qala-e-Naw Municipality

No.	Name	Position	EDC Role	Gender
1	Abdul Khaliq	Mayor	Member	Male
2	Abdul Rahim Hazim	Economic Department Advisor	Member	Male
3	Abdul Khaliq	Municipal Staff	Member	Male
4	Hj.Ghullam Mohmad	Municipal staff	Member	Male
5	Shafiq Ahmad Mashal	Instructor in accounting	Member	Male
6	Abdul Rahman	Instructor in high school	Member	Male
7	Hamidullah Paikan	Specialist on Rehabilitation	Member	Male
8	Shamsulhaq	Instructor in Agriculture faculty	Member	Male
9	Noor Ahmad	Teacher	Member	Male
10	Abdul Ghafar	Administrative Manager	Member	Male
11	Siddiqi Rafhat	Head of kindergarten	Member	Female
12	Mohibullah fahim	Student in Agriculture faculty	Member	Male
13	Hj. Aman Bik	Businessman	Member	Male
14	Halima Rapaima	Head of Women Shura	Head of EDC	Female

The process allowed each working group to carefully consider the best information available (from the profile) and then process it through their own experiences and community expertise. After establishing a vision (of what they want their community to become) they developed strategic objectives to achieve that vision. They then developed a set of action to meet their objectives and ultimately to achieve the vision. Each plan reflects the thinking and ideas of their community. They vetted different steps and concepts with the community throughout the process as a reality check. While each plan is different, they have some similar themes. Each recognizes the need for better service delivery. This provides confidence to people to start or grow businesses in their community. It also seeks to improve conditions for workers and business customers in some instances.

Service delivery improvements might include paved streets, sidewalk and drainage improvements (especially in bazaars and central business districts), better solid waste collection in both the city and in market areas, parking lots adjacent to market areas, improved public transport to allow citizens and workers to better access the business community, etc. One plan even talks about privatizing solid waste collection in market areas, perhaps through the business owners themselves. Some plans look to the municipality to improve market areas or build new markets for certain sectors (women, vegetables only, etc.). One plan suggests a mobile market concept on Fridays that could rotate around the city. Another looks at the municipality providing cold storage facilities. Some encourage the need for more information about the municipality and how to conduct business. And some look at ways to build better relationships between the municipality and its business community.

Some recommendations fall outside the purview of the municipality but they consider such critical issues they want the municipality to advocate for them. This would include basic infrastructure like electricity, water, domestic air flights and highways and bridges.

This activity will contribute to PMP indicators PO1, PO2, PO3, and R3.

Activity 3.5 Strengthen Municipal Capacity to Support Economic Development

In Option Year #1, RU-W based activities on the completion of the Economic Development Plans (see above, 3.4). Municipalities did not complete these during the year so no activities occurred.

In Option Year #2, after municipalities finalize their plans, RU-W can provide assistance to the municipality to support actions requested of it in the Economic Development Plan. RU-W lacks significant resources to assist municipalities but will try to develop municipal capacities. RU-W could assist municipalities to provide better information to entrepreneurs so they can start or expand businesses. RU-W could support to build better relationships with the business community. For service delivery improvements, RU-W could work on design of new parking areas and markets. (RU-W could likely not support actually building these but assist them to plan and design them for municipal investment.) For the municipal anchor service (see 2.3 above), RU-W will make sure service planning takes into account supporting the recommendations of the economic development plan. For example, if a municipality selects solid waste as their anchor service, RU-W and the municipality will consult the economic development plan to factor in recommendations from that group on solid waste improvements (e.g. better service in market areas).

RU-W will also work with each municipality to communicate with the public about the economic development plans. This could include brochures, use of municipal billboards, awareness meetings, inclusion in city publications, media events, etc.

Each municipality established a working group to develop their economic development plans. Chaghcharan, Farah and Qala-e-Naw made theirs permanent municipal commissions. RU-W will provide assistance to these commissions to improve their capacity. It will work with them to strengthen their meetings, help them reach out to key stakeholders (e.g. the business community) and facilitate their participation in other RU-W training and activities.

This activity will contribute to PMP indicators PO1, PO2, PO3, 2.1, 2.2, 3.3 and R3.

Activity 3.6 Improve Municipal Services to Businesses

RU-W based these activities on the completion of the Economic Development Plans (see above, 3.4). Municipalities did not complete these so no activities occurred. Municipalities will complete these early in Option Year #2 and RU-W will look for areas to provide assistance. Again, due to budget constraints, RU-W cannot focus much attention or resources on this area. So, RU-W will seek to provide assistance to the municipality to support actions requested of it in the Economic Development Plan. It seems likely this would include municipal services to businesses but we will allow each plan to dictate our assistance. It might include efforts to improve business permitting or the business enabling environment. The establishment of a citizen service center could promote this in Herat (or another municipality). It could involve better information to the business community or improved access to municipal decision making so they can make their voice heard.

This activity will contribute to PMP indicators PO1, PO2, PO3, 2.1, 2.2, 3.3 and R3.

Activity 3.7 Leverage Municipal Assets for Economic Growth

In Option Year #1 RU-W conducted a basic training on asset management.

In Option Year #2, RU-W will also help municipalities audit their assets and specify the location, size and gather documentation about all assets. It will also identify the use of all property and by whom. If rented, it will determine the revenue stream. This provides them a detailed account of all their assets for better management. This will occur from January to March 2013.

Following the audit, RU-W will help municipalities organize this information into a database for easy management and reporting. This will occur from February to May 2013.

Once municipalities develop their databases, RU-W will follow up with an intermediate course on asset management to explore how they can more effectively utilize municipal assets. It would address renting and selling of assets as well as operations and maintenance of assets.

This activity will contribute to PMP indicators PO1, PO2 and R3.

Activity 3.8 Generate Greater Awareness about Innovative Public-Private Partnerships

RU-W took no actions under this activity in the Base Year and Option Year #1. Budget cuts forced RU-W to de-emphasize this activity. Moreover, municipalities face a steep learning curve on PPPs, especially considering they barely provide many of the basic public services themselves. The nascent private sector (especially in Chaghcharan and Qala-e-Naw) mitigate against PPPs in the short term. Neither the private sector nor the municipalities stand ready to undertake PPPs on any scale in the short term. With the dispersed nature of populations, even in municipalities, financial viability for PPPs remains suspect as well.

In Option Year #2 we will introduce the concept of PPPs in a training on alternative service delivery (see 1.5 above). We will offer PPPs as one possible mechanism for delivering municipal services. Moreover, we will explore in greater detail the use of PPPs for the anchor service. We will work with the municipality on its anchor service to investigate more effective service delivery mechanisms in improving and broadening municipal service delivery. This might include expanded use of private sector participation in solid waste collection, the provision of water, etc.

RU-W will also work with partner municipalities through their economic development commissions to assess and identify opportunities for public-private partnerships contained in their individual economic development plans. RU-W will support municipalities to create a strategy for engaging the business community and developing public-private partnerships that support the municipality's Economic Development Plan and efforts for ensuring sustainable municipal service delivery.

This activity will contribute to PMP indicators PO1, 3.1 and R3.

MUNICIPAL INTERNSHIP PROGRAM

In Option Year #1 RU-W implemented an internship program. Municipal departments applied for positions they wanted interns for and interns applied to fill them. This approach provides needed support for the municipality and helps identify and train potential future municipal employees. It also gets more youth involved in municipal governance. RU-W developed a basic training curriculum to help their education and growth as potential employees. This also allowed us to test out a possible orientation or municipal governance diploma curriculum. This could be a useful tool for preparing future municipal employees, particularly in rural areas. Municipalities already hired 3 interns before they finished.

In Option Year #2, RU-W will conduct an assessment of the program in December. This will include follow up focus group discussions with interns and municipal staff. We will also see how many interns get full-time employment with the municipality when they finish. If these indicate success, then RU-W will engage another round of interns for January-July. We will also use data from the first round to

determine whether to revise the training curriculum. We will also specifically target interns to support direct RU-W assistance programming more than the first round.

In order to encourage female applicants, RU-W will continue advertising aggressively in high schools and universities and specifically targeting female students. RU-W also maintains a "yellow pages" of all participants in municipal activities and will follow up with female participants and make sure they know about the program.

This activity will contribute to PMP indicators PO1, PO2, 2.2, 3.1 and R3.

MUNICIPAL INCENTIVE FUND

RU-W allocated a portion of its CLIN 2 Service Delivery Funds in Option Year #1 for a competitive program to allow partner municipalities to compete among themselves for awards based on emphasizing their utilization of concepts and strategies learned under the project. RU-W hoped to use the element of competition to encourage greater municipal commitment to good governance concepts.

Unfortunately, none of the proposals received qualified for funding. So, RU-W followed up with general feedback on their proposals and specific feedback on their individual submissions.

In Option Year #2 RU-W will re-open the application process following training on proposal writing to build their capacity to compete for these funds. RU-W will offer a single MIF round. However, RU-W will award all CLIN 2 Service Delivery Funds through the MIF. However, they only receive funding for improvements in the anchor service if they submit a proposal under the MIF that meets the minimum criteria. RU-W will only fund improvements found in the anchor service improvement plan. If municipalities fail to submit MIF proposals meeting the minimum criteria they will receive no CLIN 2 Service Delivery Funds.

This activity will contribute to PMP indicators PO1, PO2, 2.2, 3.3 and R3.

DEVELOPMENT OF MUNICIPAL IMPROVEMENT PLANS

RU-W will take all assistance to be provided to a municipality and compile it as a Municipal Improvement Plan (MIP) for that municipality in the format proscribed by IDLG. It will highlight all activities and products that RU-W will assist them with. We will finalize this in December once USAID approves the final Option Year #2 workplan.

AFGHAN FIRST (STRENGTHENING IMPLEMENTING PARTNERS)

RU-W subcontracts, purchase orders and grants will go in preference to Afghan firms and organizations. RU-W will source all resources and construction materials locally from Afghan suppliers, unless the materials are unavailable on the local market. To improve the quality of services RU-W will receive, DAI will provide a variety of on-demand support opportunities to non-governmental organizations. We will concentrate on firms and organizations that can provide services needed by municipalities, such as construction and engineering, strategic communications and public relations, accounting/auditing, logistics, training and facilitation.

CHALLENGES, RISKS AND ASSUMPTIONS

RU-W faces a number of risks and challenges during the life of the program, and must also include an array of assumptions related to its counterparts to ensure the project continues smoothly and without delay. In several instances, RU-W will rely on USAID as the lead donor in liaising with IDLG, RU-W's

primary counterpart, to help mitigate several challenges that we will face during implementation. They are listed in detail below:

Addressing the ambiguous policy/legal environment for municipalities. GIROA has still not moved forward on a new Law on Municipalities. Meanwhile the lack of a coherent legal framework that governs (a) the work of municipalities, and (b) defines the relations between municipalities and other GIROA national and sub-national institutions (e.g. MUDA, IARCSC and MoF in budgetary matters) presents a clear challenge to RU-W implementation. This ambiguity also extends to municipal relations with other local government actors (such as the relationship between Provincial Governors and Mayors and Mayors of provincial capitals in relation to mayors of district towns), as well as specific municipal services, such as water and power, that currently fall outside the mandate of municipalities. Several reform measures that RU-W expected to promote are not yet enshrined in law, such as increasing citizen participation in municipal decision making and governance. RU-W will continue working within the confines of the existing Law on Municipalities (2000) and GIROA systems and regulations (such as those governing public finance and procurement), but will design and implement program interventions that anticipate and reinforce the anticipated updated legal framework.

The Future of Public Administration and Civil Service Reform: RU-W will begin training municipal officials, none of whom have undergone the IARCSC public administration reform program. The Tashkeel will change following the PAR process; thus, RU-W will rely on IDLG and USAID to help guide training so that resources are not spent on civil servants who may not exist following the PAR process. PAR could be considered a prerequisite for effective, sustainable capacity development if sufficient numbers of public officials will change.

Ability and Will of IDLG to Enforce Commitments: IDLG must be willing to monitor compliance to ensure non-compliant municipalities are not rewarded for poor performance and bad behavior. Moreover, we also need IDLG to intervene in situations that disrupt the abilities of municipalities to perform their work. For example, when the Ghor Governor removed the municipality from the municipal offices and renovated it into a provincial guest house, IDLG needed to step in. The same is in the case of a Governor suspending municipal collection of the safayi.

IDLG Will Lead Donor Coordination: with other implementing partners (ASGP, RU-W S/N/E) to avoid duplication of efforts. IDLG convenes and chairs monthly Technical Working Group (TWG) meetings by CLIN in which issues pertaining to RAMP UP (N,E,W,S) as well as ASGP will be discussed. Regular co-ordination meetings will be held between RU-W and ASGD to ensure co-ordination in Western regions.

LEGISLATIVE FRAMEWORK

The law currently governing municipalities is the 2000 Municipal law that was promulgated under the Taliban. In 2009 attempts were made to address the lack of legislation pertaining to municipalities and GIROA finally vetted new draft legislation with RU-W assistance in our partner municipalities. However, since April 2012, RU-W has neither heard of nor seen progress on this new legislation.