



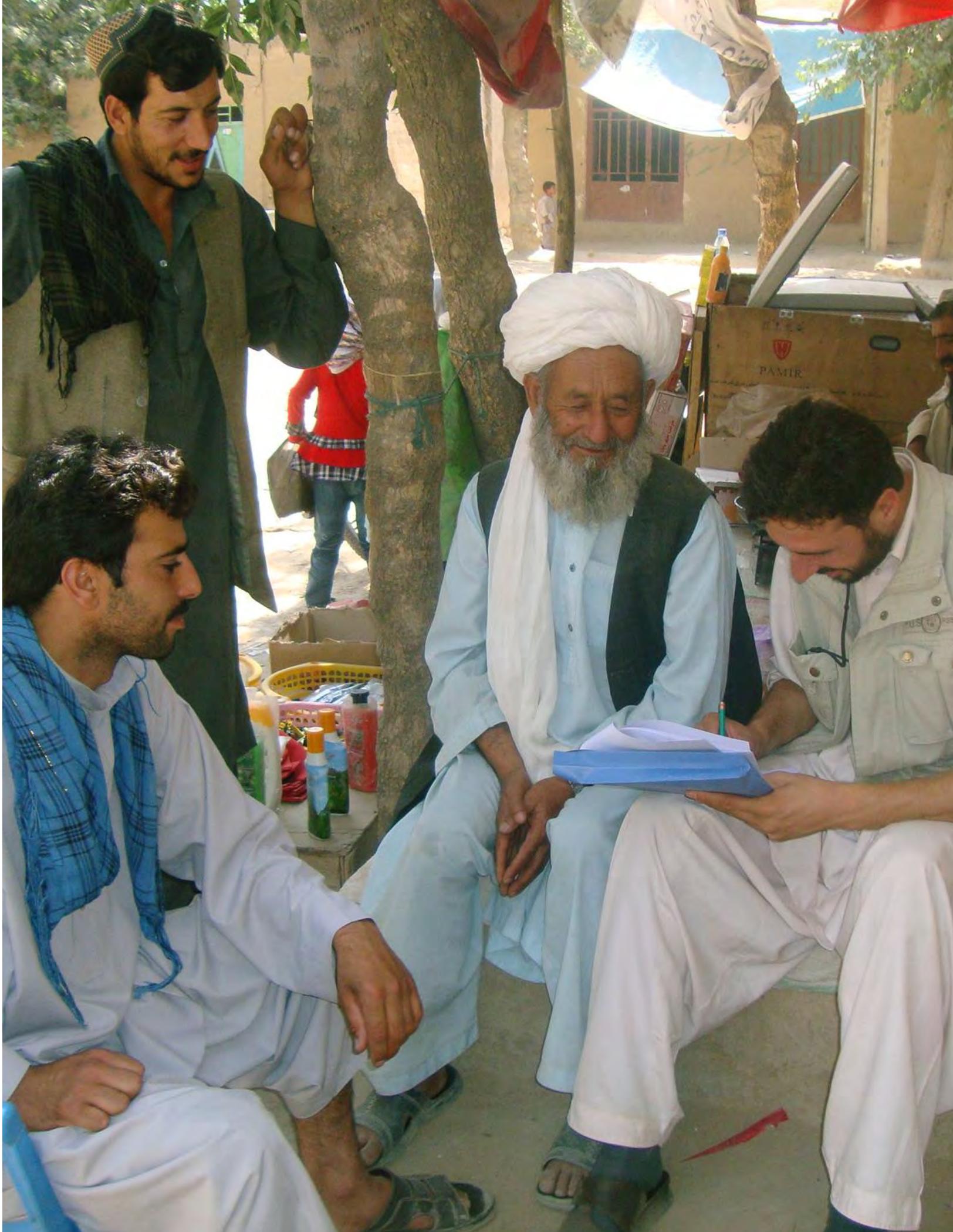
# REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – REGIONAL COMMAND WEST

**FINAL REPORT: MARCH 2011- MARCH 2014**



**MARCH 16, 2014**

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



**Program Title:** Regional Afghan Municipalities Program for Urban Populations-  
West

**Sponsoring USAID Office:** USAID/Afghanistan

**Contract Number:** 306-C-00-11-00501-00

**Contractor:** DAI

**Date of Publication:** March 16, 2014

**Author:** USAID RAMP UP West staff

## RAMP UP West Mission Statement

**RAMP UP West aims to create and improve effective, responsive, democratic, transparent, accountable municipal governance**





# TABLE OF CONTENTS

<b>TABLE OF CONTENTS</b> .....	<b>1</b>
<b>ABBREVIATIONS&amp; TERMS</b> .....	<b>1</b>
<b>CHAPTER 1: EXECUTIVE SUMMARY</b> .....	<b>3</b>
Introduction.....	3
Summary of accomplishments .....	3
Problems encountered and where objectives not achieved.....	5
Lesson Learned .....	7
<b>CHAPTER 2: OVERVIEW OF RAMP-UP WEST</b> .....	<b>9</b>
Context.....	9
Evolution of the Program.....	10
Project Management and Staffing .....	11
Technical and Administrative Management Information System (TAMIS).....	12
Transport .....	13
Security .....	13
Counterparts .....	14
Coordination with Donors, Projects and GIRoA.....	15
<b>CHAPTER 3: MONITORING AND EVALUATION</b> .....	<b>19</b>
RAMP UP West’s Objective and Development Proposition .....	19
Foreign Assistance Framework.....	20
Development of the Performance Management Plan (PMP) .....	20
USAID-RAMP UP West Performance Management Plan: Indicators at a Glance .....	22
Targets and Results at Project Objective Level .....	25
Project Objective Indicators .....	25
Targets and Results at IR level.....	30
Intermediate Result Indicators .....	30
Targets and Results for Reporting Indicators .....	43
<b>CHAPTER 4: PROGRAM ACCOMPLISHMENTS</b> .....	<b>47</b>
1.1 Establish Baselines .....	47
1.2 Develop Municipal Management and Capacity Building Plans .....	47
1.3 Build Afghan Training Capacity for Municipalities .....	50
1.4 Deliver Core Skills .....	51
1.5 Deliver Functional Skills Training.....	56
1.6 Develop Standard Operating Procedures.....	59
1.7 Support Performance-Based Budgeting .....	60
1.8 Modernize Accounting Systems.....	67
1.9 Increase Participation of Women .....	69
1.10 Improve Strategic Communications for Citizen Awareness .....	73
1.11 Support Municipal Conferences.....	75
2.1 Baselines.....	76

2.2	Expeditious Projects .....	76
2.3	Improved Service Delivery (Anchor Service) .....	78
2.4	Promote Public Engagement & Citizen Participation .....	81
2.5	Develop Service Delivery Improvement Plans.....	84
2.6	Implement SDIPs .....	84
2.7	Improve Municipal Performance Management Systems .....	85
2.8	Development of Municipal Master Land Use Plans.....	86
2.9	Strengthen Afghan Implementing Partners .....	86
2.10	Citizen Service Centers.....	87
3.1	Baseline .....	89
3.2	Increased Revenue Collection.....	89
3.3	Increased Household & Business Registration.....	93
3.4	Develop Municipal Economic Development Plans .....	95
3.5	Strengthen Municipal Capacity to Support Economic Development .....	96
3.6	Improve Municipal Services to Business .....	96
3.7	Leverage Municipal Assets for Economic Growth .....	96
3.8	Generate Greater Awareness about Innovative Public-Private Partnerships .....	97
	Municipal Internship Program.....	97
	Municipal Incentive Fund.....	99
<b>CHAPTER 5: DISCUSSION OF PROBLEMS ENCOUNTERED AND WHERE OBJECTIVES WERE NOT ACHIEVED .....</b>		<b>100</b>
	Program Budget Constraints and Uncertainty .....	100
	USAID staff turnover .....	100
	Failure to pass the new Municipal Law .....	100
	Public Administration Reform and Municipal Capacity.....	100
	Changes in the annual Budgeting process .....	101
	GDMA and Municipality focus on Infrastructure and not Capacity Building .....	102
	GDMA communication with municipalities .....	102
	Turnover of Mayors.....	102
	Inconsistent support to Gender focused activities .....	102
	Coordination with other Sub-National Governance Programs.....	103
	Public-Private Partnerships (PPPs).....	103
	Transport .....	104
<b>CHAPTER 6: LESSONS LEARNED .....</b>		<b>105</b>
<b>CHAPTER 7: SUGGESTIONS CONCERNING DESIRABLE FUTURE AND FOLLOW ON PROJECTS.....</b>		<b>108</b>
<b>CHAPTER 8: ENVIRONMENTAL COMPLIANCE .....</b>		<b>112</b>
<b>CHAPTER 9: FINANCIAL REPORT SHOWING EXPENDITURE BYLINE ITEM ...</b>		<b>ERROR!</b>
BOOKMARK NOT DEFINED.		
<b>CHAPTER 10: DESCRIPTION OF ALL INDIGENOUS NGOS WITH WHOM THE CONTRACTOR WORKED, AND AN EVALUATION OF THEIR STRENGTHS AND WEAKNESSES</b>		<b>ERROR!</b>
BOOKMARK NOT DEFINED.		

ANNEX A: LIST OF COMPLETED EXPEDITIOUS AND ANCHOR SERVICE PROJECTS.... 116  
ANNEX B: Environmental Management Program Tracking Table..... 118  
ANNEX C: Index of all Reports and Information products produced under this contract..... 122  
ANNEX D: Summary of equipment transferred to GIRoA and other stakeholders ..... **Error!**  
**Bookmark not defined.**

## ABBREVIATIONS& TERMS

AO	Assistance Objective
ACSO	Afghan Central Statistics Office
ACSL	Afghanistan Civil Service Law
AIDAR	USAID Acquisition Regulations
ALC	Afghan Labor Code
ANDS	Afghanistan National Development Strategy
APPF	Afghan Public Protection Force
ASGP	Afghan Sub-national Governance Program (UNDP)
AWP	Annual Work Plan
BPR	Business and Property Registration
CDC	Community Development Council (established under NSP)
CDP	Community Development Plan
CERP	Commander's Emergency Response Program
CSC	Citizen Service Center
CLIN	Contract Line Item Number
CO	Contracts Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
DoS	Department of State
DAI	Development Alternatives Incorporated
DCOP	Deputy Chief of Party
DMA	Department of Municipal Affairs (Office within IDLG)
DDA	District Development Assembly
DGMA	German Geological Mission Afghanistan
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
EDC	Economic Development Committee
FAF	Foreign Assistance Framework
FOB	Forward Operating Base
FPO	Field Program Officer (USAID officer within the PRT)
GDA	Global Development Alliance
GIRoA	Government of the Islamic Republic of Afghanistan
GIS	Geographic Information System
HO	Home Office
IARCSC	Independent Administrative Reform and Civil Service Commission
IDLG	Independent Directorate of Local Governance
INF	Infrastructure (project)
IP	Implementing Partner
IR	Intermediate Result
ISAF	International Security Assistance Force
LGCD	Local Governance and Community Development Project
LOP	Life of Project
MAB	Municipal Advisory Board

M&E	Monitoring and Evaluation
MIS	Management Information System
MIF	Municipal Incentive Fund
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
RC-W (E, N, S)	ISAF Regional Command West (East, North, South)
SDAG	Service Delivery Advisory Group
SMAP	Strategic Municipal Action Plan
SME	Small and Medium Enterprise
SMGA	Senior Municipal Governance Advisor
SOP	standard operating procedures
SWM	solid waste management
SO	Strategic Objective
TAMIS	Technical Assistance Management Information System
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government

## Terms

<i>gozar</i>	neighborhood
<i>nahia</i>	Municipal District
<i>wakilorkalantar</i>	nahia or gozar representative
<i>mustoufiat</i>	sub national representative office for Ministry of Finance
<i>tashkeel</i>	administrative structure of a GIROA entity
<i>Safayi tax</i>	service charge and property tax
<i>sharwali</i>	Municipality
<i>moqarara</i>	Regulation

# CHAPTER I: EXECUTIVE SUMMARY

## INTRODUCTION

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.

This Final report provides a summary of the RAMP UP West program, and its achievement of the program objective of creating effective, responsive, democratic, transparent, accountable, and gender sensitive municipal governance. The report starts with an overview of the program, its evolution and work with partners. It then provides a review of the Performance Management Plan (PMP) indicators and results against the targets set throughout the project. It provides a detailed analysis of each of the indicators grouped by type: *Project Objective Indicators* (Impact Indicators); *Intermediate Result Indicators*; and *Reporting Indicators*. This followed by a narrative of RU-W's achievements and finally the report concludes with a discussion of major Challenges, Lessons Learned and Recommendations for any follow-on project.

## SUMMARY OF ACCOMPLISHMENTS

RU-W was a collaboration between USAID and GIRoA, specifically municipal government in the Western Region and the General Directorate of Municipal Affairs (GDMA). RU-W proved to be highly successful over the course of the 3 year program, building the capacity of municipal government, improving services to citizens and supporting economic development.

### Capacity of GIRoA Municipal Institutions

RU-W developed Municipal Management Capacity Building Plans (MMCBPs) for each municipality based on the findings of a functional audit and annual reviews of progress. The MMCBPs guided capacity building initiatives in each municipality, providing a basis for measuring progress as well as providing a basis for guiding donor support to municipalities in the future. Implementation of the MMCBPs led to 1,106 people receiving functional and core skills training over the course of the project and resulted in improvements in municipal capacity across a range of RU-W intervention areas.

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. RU-W worked on basic filing improvements to better organize municipal departments and 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 also helped each municipality develop their own training capability, by establishing and equipping municipal training centers and providing training materials and conducting training of trainers (ToT) for municipal training coordinators.

RU-W also improved municipal Citizen Outreach by helping municipalities design and implement outreach strategies, supporting municipal Radio Programming, Film and Photography Festivals and helping municipalities use billboards, posters and public awareness campaigns to inform citizens about municipal activities.

### **Support to the GIRoA to provide responsive, effective, and visible municipal service delivery program**

RU-W completed 38 Service Improvement projects and handed them over to partner municipalities. These included 17 expeditious projects, and 21 anchor service improvements.

RU-W helped municipalities develop a comprehensive plan for each anchor service with phases for future development and action. The plan included staffing, maintenance & operations, capacity building and all facets of the service.

RU-W helped each municipality establish a Service Delivery Advisory Group (SDAG) to oversee the anchor services and developed Municipal Service Improvement Plans to outline specific indicators to measure progress of the service and an action plan for the municipality to follow to improve the service.

RU-W also introduced Citizen Service Center (CSC) in all for municipalities. These facilities provide citizens with information on how to access municipal services (Safayi registration and payment of taxes and fines). Information provision will later expand to encompass a wider range of services. RU-W renovated venues provided by each municipality, provided computers and trained staff. By the close of the project over four thousand citizens had accessed municipal services by visiting CSCs.

### **Increased Municipal Capacity to Enable, Support, and Sustain Economic Growth**

RU-W stressed greater public involvement in decision making. Each municipality held neighborhood meetings in every sub-district to get feedback on individual infrastructure or other improvements they needed and which services the municipality should prioritize. 2100 citizens participated to develop these Service Delivery Improvement Plans (SDIPs), with a further 827 citizens involved in updating these in 2013. RU-W worked with municipalities to make sure that budget requests reflected the SDIP results.

On the budget, RU-W helped each municipality hold three public hearings on their budgets, and strengthened citizen participation and the involvement of Municipal Advisory Boards to ensure that budgets reflected citizen priorities. RU-W also introduced Mid-Year Budget reviews to all four municipalities. These improved processes afforded citizens to hold their municipality accountable.

In addition to budget improvements, RU-W worked on strengthening other aspects of overall financial management and helped all four municipalities implement the Integrated Financial Management System (IFMS). 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.

RU-W supported all four municipalities to improve Revenue Generation. Over the three year period partner municipalities saw significant growth in their revenues. Overall revenues increased from the baseline of 303 million AFA to over 600 million AFA, representing at 103% increase from the baseline.

RU-W assisted with business and property registration in all four municipalities, helping survey more than twelve thousand businesses and over thirty thousand properties. RU-W helped municipalities introduce revised Safayi and Business License rates, inform citizens about the increases, and provided some support on collections. Over the life of the program, Safayi tax collections increased by over 50m AFA, with income from Business Licenses increasing by nearly 15m AFA across the western region.

RU-W helped establish citizen Economic Development Committees (EDCs) and helped them develop economic profiles and Economic Development Plans (EDPs). The profiles provide a snapshot of the community by gathering basic information on demographics, municipal services, the business community, infrastructure, transportation, communications, etc. EDPs were developed with significant community input and included recommendations for better streets, sidewalks and drainage improvements in the central business district, parking lots in the bazaar areas, and business councils to bring the municipality and business together. RU-W published these EDPs and summary brochures and shared them with citizens. In their 1393 budget requests, all four municipalities allocated funding for actions identified in their EDPs.

RU-W also helped all four municipalities improve their Gender inclusiveness, by helping municipalities develop an Action Plan and secure municipal funding to implement the GDMA Gender Mainstreaming Guideline.

On Youth, RU-W helped establish Youth Councils in Farah and Chaghcharan. Youth Council members were chosen through local campaigns and elections, and the Youth Council in Farah subsequently held a *hashars* to clean the City's Main Park. RU-W also helped municipalities engage with local youth through holding Youth and the Municipality and Roles and Responsibilities workshops at schools and universities throughout the region. These sessions helped local youths engage with municipal affairs, made municipal officials aware of youth priorities and improved understanding of municipal and citizen responsibilities for maintaining the urban environment.

RU-W also conducted three rounds of the Municipal Internship Program (MIP) and a total of 85 interns completed work placement in the municipal offices of Chaghcharan, Farah, Herat, and Qala-e-Naw. RU-W provided a comprehensive training program and interns gained experience of working in local government.

## **PROBLEMS ENCOUNTERED AND WHERE OBJECTIVES NOT ACHIEVED**

**Program Budget Constraints and Uncertainty:** Budget and Program guidance changed regularly and dramatically over the course of the Program and this adversely impacted RU-W's ability to plan and budget for the long term and to systematically plan activities. Municipalities suffered from not knowing what to expect.

**USAID staff turnover:** RU-W had 7 different official CORs/ACORs during the life of the project and each change brought needs for education, programming changes, and the need to absorb new ideas. The lack of continuity made it difficult for the project and for municipalities.

**Failure to pass the new Municipal Law and haphazard implementation of the Public Administration Reform:** Afghanistan continues to operate under the old Taliban Local Government

Law. GDMA started an effort to draft a new law. At the close of the project, the new law still has not appeared for public inspection or approval by the government. Municipalities therefore continue to operate by the old law although GDMA sometimes continues to issue instructions based on the new, unapproved law. This ambiguous legal framework for local governance was confusing for municipalities and citizen bodies, and continues to prevent true municipal accountability to citizens.

Initially, a lack of civil service reform seriously impeded the municipal ability to recruit, hire, and retain qualified staff, particularly in engineering and more technical positions. The Public Administration Reform (PAR) should have addressed this and, in 1391, Herat was a pilot municipality for the PAR. Then during preparations for the 1392 budget, all partner municipalities were asked to design their budgets in compliance with the PAR. This was then expanded in 1393, with municipalities unable to add additional staff to their tashkeels. Municipalities and RU-W received confusing and frequently contradictory guidance on the implementation of the PAR, either from GDMA or the IARCSC, and this hindered RU-W assistance to municipal budget development, capacity building and organizational reform.

**Changes in the annual Budgeting process:** GDMA each year sent out a Budget Circular to municipalities with specific instructions for preparing and submitting their draft budgets. Each year GDMA sent this circular too late. In the TWGs, RAMP UPs requested earlier issuance of the circular but GDMA continued to send it near the end of the fiscal year (or even in the new fiscal year). This delayed the entire process and shortened the time municipalities could spend their budgets.

**GDMA Expectations:** GDMA viewed RU-W (and the other RAMP UPs) mainly as an infrastructure program. As the budget reduced GDMA continually pressed for less spending on capacity building and more focus on infrastructure. All reporting they asked for concentrated on what “things” RU-W constructed for the partner municipalities. They expressed little or no interest in sustainability of the infrastructure improvements and in capacity building in other areas. At the same time USAID continued referring to the project as a capacity building program. This created a disconnect for RAMP UP West in trying to meet the expectations of USAID and GDMA.

**Turnover of Mayors:** Over the course of the project, GDMA replaced the Chaghcharan mayor once, Qala-e-Naw’s mayor once and Farah’s twice. Finally, the Mayor of Herat was dismissed by President Karzai in February 2014. In addition to disrupting local communities, these changes caused delays in implementation of RU-W activities as RU-W needed to brief new Mayors on activities, revisit previous decisions and develop a new relationship.

**Coordination with other Sub-National Governance Programs:** RU-W attempted to collaborate with other sub-national governance programs, especially in Herat and Farah where multi program assistance was necessary to maximize impact in these larger cities. UN-Habitat and UNDP’s ASGP program were the largest of these but, in practice, coordination on activities did not prove easy, and delayed RU-W activities on a number of occasions.

ASGP and UN Habitat also paid municipal officials in excess of regular wages to participate in their activities and this negatively affected municipal involvement in some activities, especially on Business and Property Registration.

**Public-Private Partnerships (PPPs):** Budget cuts forced RU-W to de-emphasize this activity and GDMA guidance on PPPs remained in draft throughout the life of the project, so municipalities had no clear legal basis on which to enter into PPP arrangements.

## **LESSON LEARNED**

**The Municipal Law and holding Mayoral Elections are pre-requisites for establishing true citizen accountability in local governance:** The Municipal Law, when passed, should establish Municipal Council's to replace the current Municipal Advisory Boards, and provide them with a legal role in local governance and municipal decision making. The Law should also allow for the election of Mayors, and this would be an improvement over the existing system whereby mayors are centrally appointed. The existence of a Municipal Council and holding of Local Elections are pre-requisites for establishing true accountability of local government to citizens and, in its absence, this will not be put on a sustainable footing.

**The absence of strong leadership and clear, transparent guidelines from GDMA hinders improvements in municipal performance:** Budget cuts led to the withdrawal of RAMP UP Advisers based permanently at GDMA and this contributed to a lack of progress in areas that held back RAMP UP activities. This delayed finalization of PPP Guidance, the Municipal Gender Guideline, and guidance on Municipal Advisory Boards. In the example of PPPs this was a factor in RU-W not pursuing PPPs for municipalities, while the Municipal Gender Guideline and for MABs came in the final year of the program. This limited RU-W's ability to embed these functions in partner municipalities.

**Significant Municipal Revenues are owed by other local and central government entities:** In total, other government entities owed RU-W partner municipalities debts amounting to 227 million AFA as of October 2013. A significant cause of this was the unclear legal framework and budgetary arrangements delineating whether and how local government entities should pay for municipal services.

**Municipal staff should be at the forefront of monitoring and quality control:** In the Option Year #1 and Option Year #2 Anchor Services RU-W placed the municipality at the forefront of monitoring and quality control of municipal projects, providing formal and on the job training and specialized equipment that enabled municipal engineers conduct robust quality assessments. This improved municipal oversight and quality control compared to RU-W providing oversight from local offices and Herat.

**Citizen Perception Surveys require continued donor support:** The Surveys are useful tools for municipalities to track citizen priorities and satisfaction with services. The relatively high cost of such surveys deterred municipalities from considering funding surveys themselves, but this could be overcome by municipalities grouping together in order to share the costs.

**Allocating additional Municipal staff time to revenue collection can lead to large and rapid increases in municipal revenues:** For example, in April and May 2013, RU-W provided Chaghcharan with support to improve Safayi Collections and revenues increased by Safayi revenues increased by 1,150% in comparison to the prior year.

**Youth Outreach is a cost effective, sustainable way to improve citizen participation in municipal activities:** This was evidenced by Roles and Responsibilities seminars being successfully

transferred to schools, and the enthusiasm of students to interface with the municipality through youth councils and volunteer events like *hashars*.

**Local Media is a cost effective way to strengthen Citizen Outreach:** RU-W found that involving local media organization in citizen awareness campaigns was effective and reached large numbers of citizens for a relatively low cost. Local Radio Stations in all four municipalities re-broadcast municipal radio programs free of charge following the end of RU-W funded programming. Local television stations in Herat also offered to broadcast films entered in the Municipal Film Festival free of charge. These films addressed municipal issues and encouraged citizens to support municipal events and maintain the urban environment.

**Programming efforts in smaller municipalities must be scheduled to avoid overwhelming municipal capacity:** During the Base Year, poor coordination among RU-W technical teams in Herat, would sometimes lead to large numbers of technical activities happening at the same time. This overwhelmed the municipality and caused delays in implementing RU-W activities.

**Internships were a popular and effective way of introducing new skills and young workers into municipal government:** The Municipal Internship Program proved very popular with municipalities as they helped supplement municipal staffing, and introduced important ICT skills and new ways of working. The internship program also introduced women into municipal departments, in some cases for the first time. This began the process of making municipalities more welcoming places for female citizens to access services, and also highlighted to predominantly male municipal staff, the value of a mixed workforce.

**Citizen groups will volunteer their time without stipends or other monetary incentives:** RU-W helped municipalities establish citizen's groups including: Economic Development Committees, Municipal Advisory Boards, Service Delivery Advisory Groups and Youth Councils. None of these groups was paid a stipend and this encouraged RU-W that these will continue to operate after the end of the project and will be sustainable entities for involving citizens in municipal affairs.

## CHAPTER 2: OVERVIEW OF RAMP-UP WEST

### CONTEXT

Since the fall of the Taliban, Afghanistan has worked with the international community to rebuild governance structures and improve infrastructure throughout the country. Buoyed by their commitments under the Afghanistan Compact (AC) and encouraged by the prospect of a comprehensive, citizen-centered and forward-looking development agenda under the Afghanistan National Development Strategy (ANDS), the Government of the Islamic Republic of Afghanistan (GIROA) continues to seek out ways to improve the quality of life for Afghan citizens. While there have been many successes, much more needs to be done. Progress remains fragile and security in many parts of the country continues to be volatile. The overall governance structure remains highly centralized and sub-national governance institutions, particularly at the municipal level, lack clarity on their roles and functions and therefore often non-responsive to community needs.

At present, Afghanistan has about 153 municipalities (estimated) with an urban population that continues to grow. The World Bank and other organizations estimate that the urban population will double by 2015, with total population increasing by less than 25 percent.

While estimates may vary, it is clear that the trend towards rapid urban population growth will exacerbate the current lack of basic municipal services. Afghanistan's ability to provide comprehensive housing, effective and transparent governance, responsive service delivery, increased citizen participation and targeted local economic development has the potential to improve security, as well as the overall quality of life for citizens. However, if left unattended, further destabilization may ensue. Urban areas and municipalities have a great potential to serve as economic engines for the country and, therefore, warrant considerable attention.

#### *Regional Command West*

The area covered by Regional Command West contains varied groupings of ethnic Pashtun tribes, with a larger Tajik and Uzbek presence moving north through Herat and Badghis. Herat City is the economic, cultural and security hub for the region.

#### *USG Governance Strategy for Afghanistan*

In order to address the impediments to democratic consolidation and good governance in Afghanistan, the USG's overarching strategic objective is to **Promote a more capable, accountable, and effective government in Afghanistan that serves the Afghan people and can eventually function with limited international support.** Despite some progress in education, health and other areas, the Afghan Government has had difficulty connecting with the Afghan people to win their loyalty. In fact, an absence of governance and rampant corruption have served to alienate many and created openings for insurgents to exploit. Afghans' primary concerns remain inadequate security, the scarcity of employment opportunities and the lack of access to justice. While some progress has been made in improving governance and economic growth in Kabul and some provincial capitals, the rural-based insurgency continues to gain strength in part because hope and stability remain elusive in most provinces, districts, and villages.

The U.S. supports Afghan efforts to develop more capable, accountable and responsive national and sub-national governance. USG's goal is for the Government of the Islamic Republic of Afghanistan (GIROA)

to have a more visible, positive presence throughout the nation through improved service delivery and reduced corruption. The emphasis is on immediately actionable reforms that will deliver noticeable change in the short-term, while also conducting capacity building and training that create a basis for sustained progress in the longer-term. This goal is supported by diplomatic and assistance efforts across eight inter-related action areas.

RU-W was designed to support three of these areas:

- 1) Support visible, responsive and accountable sub-national governance
- 2) Build GIRoA's ability to generate and collect revenue.
- 3) Build up institutions of representative governance at the national, provincial, district and municipal levels.

## **EVOLUTION OF THE PROGRAM**

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 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 was initially put on hold.

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

In response to USAID's feedback on the plan, DAI submitted a revised IMP on March 11, 2011. USAID accepted the revised IMP and RU-W began in late March setting up operations, hiring staff and planning activities. By the beginning of June USAID had approved the initial project workplan (through March 16 2012 to coincide with actual operations beginning and not the project year), Performance Management Plan (PMP) and Public Relations and Outreach Strategy.

In June 2011 USAID started providing verbal guidance on the possibility of a substantial budget reduction. As it became clearer that a budget reduction would occur, RU-W moved to curtail staff hiring and reduce program activities.

The original concept called for work in the lead provincial municipality and in various district municipalities chosen based on identified criteria. The anticipated budget reduction necessitated limiting project activities to only the four provincial capital municipalities: Chaghcharan, Farah, Herat and Qala-e-Naw. RU-W opened offices in each municipality with embedded advisors working directly with municipal counterparts. Original plans called for basing expatriate staff in the Qala-e-Naw and Chaghcharan offices but these were eliminated due to budget concerns.

Throughout the summer as RU-W received more verbal guidance on the budget it adjusted its staffing and approach to match. RU-W chose a greater reliance on Afghan local staff and less expatriate staff. Expatriate technical advisors were to concentrate on project design and mentoring the local staff on

actual implementation of those designs. RU-W had already started expeditious projects so decided to use those as laboratories for learning and construct other program activities around them.

As the months progressed USAID provided more guidance to each of the RAMP Ups on how to move forward and budget guidance necessitated further changes to the project workplan. Therefore, RU-W updated its workplan to take into account a reduced scope of activities and staffing commensurate with the anticipated budget. RU-W assumed an estimated total budget of \$22 million for the Base Year plus Option Year 1. USAID allocated additional funding to RU-W during the Option Year #1, although this did not lead to changes in the workplan.

In Option Year #2, USAID issued guidance indicating RU-W would receive \$7.3m for the final year, for a total project budget of \$31.1m. On May 7, 2013 USAID extended RU-W's contract, with a new completion date of March 31, 2014. Additional funding was allocated, bringing the total project budget to \$35m. RU-W updated its workplan in accordance with the revised budget, extending some activities and adding Citizen Service Centers in line with USAID guidance.

RU-W ended programmatic activities on January 15, 2014 and moved into a closedown phase for the period to March 31, 2014.

## **PROJECT MANAGEMENT AND STAFFING**

As detailed in the previous section, RU-W project management and staffing was adjusted in 2011 in response to budgetary changes.

RU-W decided to ensure that CCN technical advisors would take the lead in all activities. RU-W therefore decided not to place expatriate advisors permanently outside Herat and to reduce the number of expat advisors. This approach led to significant changes in expatriate positions:

RU-W originally planned to have expatriates in the following positions:

- Chief of Party (CoP)
- Deputy Chief of Party (DCoP)
- Capacity Building Advisor
- Compliance Auditor
- Construction Management Specialist/Engineer
- Economic Development Advisor
- Gender Advisor
- GSC Manager
- M&E Specialist
- Municipal Finance Advisor
- Operations Manager
- Senior Finance Manager
- Senior Municipal Governance Advisor
- Strategic Communications & Reporting Advisor
- Tax/Fee Collection and Revenue Generation Team Leader
- Project Development Advisor (2)

Following the budgetary changes, RU-W expatriate positions were:

- Chief of Party
- CLIN 1 Advisor (combined with GSC)
- CLIN 2 Advisor (Construction Management Specialist/Engineer)
- CLIN 3 Advisor (combining Tax/Fee Collection, Revenue Generation, Municipal Finance, and Economic Development positions)
- Finance & Administration Director (combined Senior Finance Manager and Operations Manager)
- M&E and Documentation Adviser (combined M&E and Strategic Communications)

Further changes to propose expatriate positions were:

- Capacity Building Advisor: The expatriate team provided overall capacity building support in their areas of responsibility. Specialized capacity assessment and training support was led by a CCN Team supported by the CoP
- Compliance Auditor: This role was filled through DAI and ICMA home office backstopping
- Deputy Chief of Party: This position was filled by a CCN
- Gender Advisor: This position was replaced by a CCN reporting to the DCOP
- Project Development Advisors (2): These positions were to be based in the field and were removed. These functions were covered by CCN Team Leaders based in RU-W provincial offices
- Senior Municipal Governance Advisor. This position was to be based in Kabul with IDLG and was removed

Under the new approach, the Herat office housed a core technical team of technical expats and some CCNs to design activities and interventions and then prepare CCNs to conduct them in the field. The core technical team was responsible for monitoring and evaluating activities and providing guidance on activity implementation.

In Herat RU-W opted to have a full team of 6 embedded advisors and a Team Leader working across a broad range of RU-W activities. This decision was based on the rationale that concentrating on Herat provided RU-W with a larger city to show best practices with a view to replicating them in other places.

Chaghcharan, Farah and Qala-e-Naw had smaller teams of 3 embedded advisors and a Team Leader, focused on engineering, municipal finance and outreach. These 3 municipalities were smaller than Herat and had lower capacity so this more limited number of advisors made sense from an absorption standpoint. Throughout the project, advisers from Herat travelled to other municipalities to provide additional assistance related to specific activities or events.

Following the budget reduction, RU-W staffing included around 100 Herat based staff members and nearly 40 provincial staff members co-located in municipal buildings (in the case of Herat) or at separately located provincial offices (in the case of Chaghcharan, Farah and Qala-e-Naw),

Staff turnover was relatively low throughout the life of RU-W. This proved to be a great benefit, ensuring continuity and enabling RU-W staff to build strong relationships with municipal counterparts.

## **TECHNICAL AND ADMINISTRATIVE MANAGEMENT INFORMATION SYSTEM (TAMIS)**

DAI's proprietary TAMIS system played a central role in project monitoring, evaluation, streamlining project review, and approval processes. TAMIS is a workflow management and reporting tool that

integrates activity management, project administration, impact and performance monitoring, subcontract and grant management, and other management tasks. Through TAMIS, tracking and reporting data was shared and data was entered once and then viewed, accessed, and used however and wherever needed. This feature proved advantageous when staff face-to-face interactions were limited by transport problems or security concerns.

TAMIS also facilitated data gathering and analysis by serving as a data collection and sharing platform. TAMIS allowed field staff to report activity results electronically and enabled the project to add these results to its database without having to re-key data. Additionally, the system was used to capture documentation to support the results, such as before, during, and after pictures of activities; and field monitoring reports. Incorporating project results data into a centralized database enabled RAMP UP management to use DAI's geographic data analysis approach to analyze data and present program activities. For example, collecting data disaggregated by gender allowed for clarity on the differential impacts of activities on women, providing key information to design programs to increase women's participation.

TAMIS also allowed for quick and simple electronic approvals and ensured greater accountability by providing the USAID COTR with electronic access to information on project implementation. Extending TAMIS access to USAID COTRs shortened processing times for narrative and financial reporting review and approval, and minimized unnecessary email traffic between USAID and RU-W staff.

## **TRANSPORT**

RU-W initially relied upon Embassy Air flights for travel to and from partner municipalities. In January 2013, Embassy Air stopped scheduled flights to Farah and Qala-e-Naw and required that RU-W request special flights with a minimum of four passengers.

In October 2013, Embassy Air started a cost-recovery model for flights, making RU-W staff reliant on commercial services. At the end of RU-W technical activities, commercial services continue not to fly to Qala-e-Naw and only serve other partner municipalities with weekly flights.

Due to security restrictions, RU-W staff were often unable to travel by road.

See Chapter 5 for additional discussion of how transportation issues affected RU-W programming.

## **SECURITY**

On March 22, 2011, GIRoA formally initiated its "Bridging Strategy for Implementation of Presidential Decree 62 (Dissolution of Private Security Companies)" which called for a one year period to transition security of development entities to be provided by the Afghan Public Protection Force (APPF). RU-W security provider, Edinburgh International (EI), complied with the bridging strategy requirements and received its renewed AISA license in April, 2011. Transition of local EI security contractors to the APPF structure followed March 2012 but did not lead to a change in security personnel as EI staff employed under LGCD (USAID's predecessor to RAMP UP) simply transferred to the APPF. As a result this transition had no impact on RU-W programming.

From 2011 to 2013, insurgent activities throughout RC-W continued to follow expected seasonal patterns with the winter months of October to March typically seeing minimal security incidents, with an increase from the start of the Spring Offensive in April/May through until September. RU-W

programming in partner municipalities was not normally affected. The following is a summary of security incidents that affected RU-W programming:

- In April 2013, a high profile attack took place in Farah when insurgents attacked the courthouse, resulting in a large number of people killed and many more injured. This incident caused damage to municipal facilities supported by RU-W and meant a slowdown in RU-W and municipal activities.
- In April 2013 USG personnel withdrew from Farah following an insurgent attack on the courthouse.
- In September 2013, a high profile attack took place in Herat when insurgents attacked the US Consulate resulting in multiple injuries and significant damage to the building. As a result of the attack, USG personnel relocated to Kabul. A limited number of USG staff subsequently relocated to Camp Arena in Herat.
- In December 2013 the NDS reported a threat targeting the Farah Municipality Building and Municipality staff. This resulted in Farah canceling their first public budget hearing.

In addition to the withdrawal of USG personnel in Farah, PRTs also closed in Chaghcharan (July/August 2013) and Qala-e-Naw (October 2013), resulting in the withdrawal of USG personnel. This lack of USG escorts for municipal staff made joint programming efforts among partner municipalities more difficult. This also precluded expatriate staff from travelling to partner municipalities for programming and quality control purposes.

## **COUNTERPARTS**

- **GDMA**

General Directorate for Municipal Affairs (GDMA) is the directorate of the GIRoA's Independent Directorate for Local Governance (IDLG), mandated with overseeing municipal governance.

These oversight functions involve establishing and enforcing standard policies and procedures, auditing and evaluating municipal performance, hiring mayors, coordinating donor activity, and serving as a conduit between municipalities and the Ministry of Finance (MoF).

GDMA is the national government partner for RAMP UP responsible for coordinating activities with other donor programs, sharing knowledge and Best Practices between donor programs and municipalities, and for interfacing between USAID and GIRoA.

Technical Working Group (TWG) meetings were initiated in August 2011. Initially these were created to coordinate the RAMP UPS but were quickly expanded to include other donor programs, and they continued to serve as the primary coordination mechanism between GDMA, RAMP UP and other sub national governance programs, including ASGP and UN Habitat. Throughout the life of the program TWG meetings took place on a monthly, and later quarterly, basis. The meetings were organized by CLINs; CLIN 1 covered capacity building, budget and financial management and public administration; CLIN 2 covered municipal service delivery; CLIN 3 covered revenue and economic development and CLIN 4 was cross cutting and included public outreach, gender and youth and conflict resolution.

TWGs were initially held in English, but in May 2012 Dari became the working language. Expatriate Advisers subsequently attended the meetings less frequently.

- **Municipalities**

RAMP UP West worked with the western municipalities of Chaghcharan, Farah, Herat and Qala-e-Naw. RU-W placed embedded advisors in each municipality to work directly with municipal staff on a day-to-day basis. Herat-based staff would then travel to each municipality to support or enhance embedded advisor efforts or lead additional activities. Generally, municipalities appreciated RAMP UP West programming and responded to support and assistance.

Chaghcharan showed a history of full participation. During the change of mayors it took some time to explain program activities. It occurred toward the beginning of budget preparation and the new mayor needed some mentoring on the process. But he quickly understood the benefits of the program. RAMP UP West failed to curtail his efforts to sell off all municipal property. However, by the end of the project Chaghcharan looked completely different than in the beginning. USAID and Japanese assistance completely transformed the appearance of the municipality.

Farah also showed excellent cooperation. Security concerns limited some opportunities but generally they also performed well. Again, a change in Mayor brought some turmoil as the new mayor worked in another region and RAMP UP West worked differently. But GDMA replaced this mayor after only a couple of months and brought in a former deputy mayor who knew the project well.

Herat presented some challenges. The Mayor from the beginning misunderstood the budget (he continually touted a USG promise of \$50m per year just for Herat) and expressed his displeasure at the funding assistance throughout the project. In 2012 he became so frustrated with the funding level he threw out all embedded advisors and refused to allow any assistance. USAID stepped in and defused the situation. A change in team leader in December 2012 helped improve the relationship. But the Mayor continued to occasionally stir up trouble by raising the budget or long past issues. Herat municipal officials exhibited poor attendance in capacity building and most activities.

Qala-e-Naw also proved a challenge. Their municipal staff showed little enthusiasm for several activities. They openly defied the first mayor. In the middle of the project GDMA changed mayors. But the second mayor spent significant amounts of time out of the city. The municipal staff often refused to do anything unless the mayor (absent) authorized them. The mayor's continued absence also reflected in municipal performance as they under spent their budget, didn't collect their revenues, didn't use their new property registration to improve Safayi collections and went as much as 3 months without paying staff salaries and other bills since the mayor could not sign checks from out of the city. Still, they made some progress but fell far behind Chaghcharan and Farah.

## **COORDINATION WITH DONORS, PROJECTS AND GIROA**

- **Afghanistan Sub-National Governance Program (ASGP)**

ASGP is funded by the United Nations Development Program (UNDP) and works with provincial, district and municipal bodies, as well as providing advisory and technical assistance to the IDLG to formulate sub-national governance policies. The program provides support to:

- Develop a comprehensive policy and legal framework for municipalities
- Facilitate a transition after municipal elections to appropriately empower newly elected municipal officials and entities to carry out their duties, responsibilities, revenue rights and mandates under the sub-national governance policy and Law on Municipalities
- Develop modern municipal organizational models, based on clear delineation of functions among different government levels
- Establish sustainable and affordable revenue administration practices in line with the centrally determined municipal fiscal framework
- Formulate minimum standards and procedures for the delivery of infrastructure and administrative services

Of the donor programs working in RC-W RU-W has the greatest overlap with ASGP so embedded advisors in Farah and embedded advisors and senior sector managers in Herat held periodic meetings and informal discussions with ASGP advisors to ensure collaboration and eliminate duplication. During RU-W's implementation period, of RU-W's partner municipalities, ASGP was active in Chaghcharan, Farah and Herat. Coordination between RU-W and ASGP was also achieved through GDMA's regular TWG meetings in Kabul.

- **UN Commission for Human Settlement (UN Habitat)**

UN-Habitat's sub national programming includes city profiling and municipal strategic action planning in Mazar-i-Sharif, Kandahar, Jalalabad, Herat and Faryab. In Herat, UN-Habitat provided support in the following areas:

- Establishment of District Community Councils (DCCs) in low income areas of the city, and providing funding to enable them to identify and implement projects
- Property Registration in sub-districts, #7, #9 and #11
- Street signage in sub-district #9
- Renovation of streets in sub-district #9

RU-W coordinated its activities with UN Habitat through GDMA's regular TWG meetings in Kabul. RU-W also met occasionally with UN Habitat's local representative in Herat to minimize duplication of activities.

- **Embassy of Japan**

The Embassy of Japan, in collaboration with the Lithuanian PRT and USAID, delivered a major grant program in Chaghcharan which overlapped with the RU-W implementation period. Support included:

- Construction of city roads
- Rehabilitation of the Provincial Hospital
- Construction of schools
- Construction of clinics
- Construction of women's market at the municipality

Coordination at the local level was achieved through regular meetings between the municipality, RU-W's provincial team, USAID representatives and the Embassy of Japan staff based at the PRT. This cooperation ensured harmonization of assistance between RU-W and the Embassy of Japan.

- **GIZ**

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH has supported Afghanistan's reconstruction since 2002. During RU-W's implementation period, GIZ activities in RC-W included improvements to waste water disposal infrastructure in Herat, specifically sewage canals and a settlement tank.

RU-W supported municipal engineering staff to monitor construction of these improvements and to incorporate GIZ funded improvements into the Municipal Service Improvement Plan for sewage and drainage as part of the Option Year #2 Anchor service.

- **Other RAMP- Ups**

GDMA used the TWGs as the main vehicle for coordination among the RAMP UPs. Both RU-E and RU-S developed databases for the BPR activity. GDMA used the forum of the TWGs to test both systems and choose one for national rollout. In addition, GDMA and USAID held periodic (initially intended for quarterly but closer to every 6 months) meetings with the RAMP UPs to review progress and share experiences. With the budget cuts and different start dates each RAMP UP undertook different activities based on their allotments that minimized possible synergies. Moreover, capacity levels varied significantly between and even among regions, and this also limited coordination.

- **Directorate of Women's Affairs (DoWA)**

The Ministry of Women's Affairs (MoWA) is GIRoA's lead agency for promoting women's rights and advancement in Afghanistan and is represented in RC-W by provincial level Directorates of Women's Affairs located in Chaghcharan, Farah, Herat and Qala-e-Naw.

RU-W provincial offices and the Herat-based gender and youth team coordinated a number of gender and youth and community outreach activities with local DoWA representatives. Specifically, municipal celebrations for International Women's Day (8 March) in Chaghcharan, Farah and Qala-e-Naw were coordinated and led by DoWA in 2013. In Chaghcharan, RU-W solicited DoWA's input on design of the Main Municipal Park as part of the Option Year #1 Anchor Service. This ensured that gender and youth considerations were taken into account and ensured that the park would be an inclusive space for families to enjoy. RU-W also worked with them on developing municipal gender strategies, and they participated in the MAB Women's sub committee's in Chaghcharan, Herat and Qala-e-Naw, municipalities.

- **Ministry of Urban Development Affairs (MUDA)**

MUDA is responsible for urban planning and regulating infrastructure. MUDA sets forth the parameters for urban legal and regulatory frameworks nationwide, while GDMA is responsible for urban

governance, implementing urban planning and projects, and administration through local municipalities in all provinces.

MUDA and IDLG/GDMA signed a Memorandum of Understanding (MoU) in July 2011 and Technical MoU in December 2012. MUDA and GDMA have outlined the deliverables and outputs of this technical cooperation.

RU-W planned to work with MUDA on Urban Planning issues, and specifically on provision of new Urban Plans for municipalities. Chaghcharan, Farah and Qala-e-Naw each asked RU-W for new Urban Plans and during the Base Year, RU-W held preliminary meetings with MUDA where they asked for \$700,000 per plan. Subsequent budget cuts meant RU-W was only able to work on urban planning issues on a limited basis.

In 2012 GDMA gave municipalities the ability to prepare their own plans and not wait on MUDA. Workplan item 2.8 details RU-W's work on urban planning issues. As part of developing a guidebook to developing a comprehensive plan in a participatory manner, RU-W met with MUDA to get their input and advice as well as background on their current plan development process. In early 2014 USAID requested RU-W provide some training to MUDA staff in Herat on GIS and GPS.

## CHAPTER 3: MONITORING AND EVALUATION

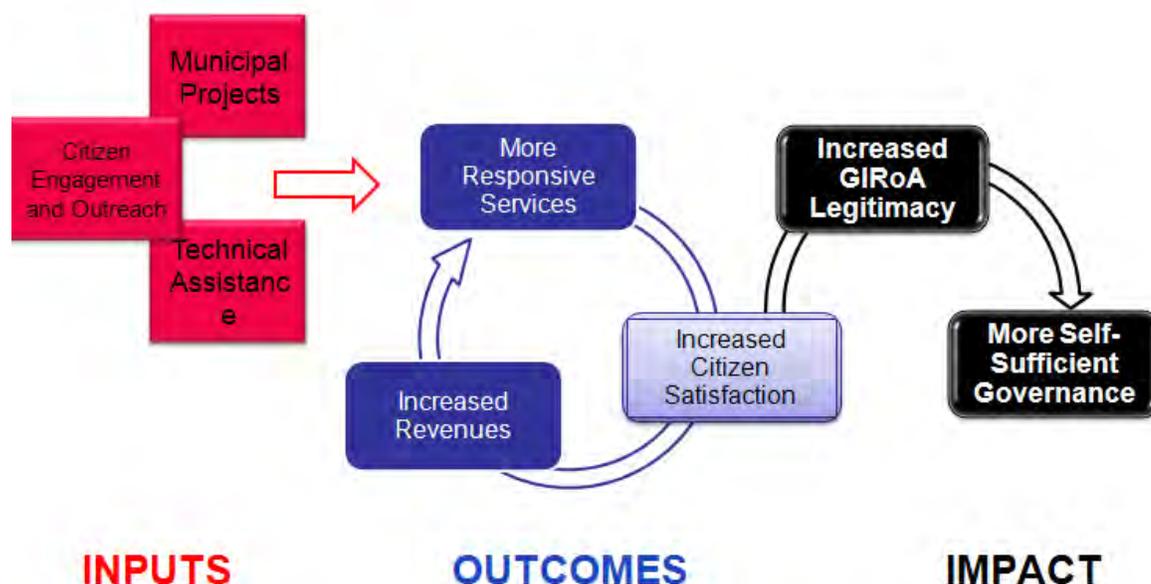
This chapter details RAMP UP West’s objective and development proposition, summarizes the development and operationalization of the RAMP UP West Performance Management Plan (PMP) and then details and analyzes performance against the performance indicators set out in the PMP. Performance results are summarized and analyzed firstly at Impact or Project Objective level, and subsequently at the Intermediate Result level for each Contract Line Item Number (CLIN). Finally performance against the RAMP UP West Reporting Indicators is detailed. Details of activities and accomplishments relating to these indicators are included in Chapter 4.

### RAMP UP WEST’S OBJECTIVE AND DEVELOPMENT PROPOSITION

The objective of RAMP UP West is to create effective, responsive, democratic, transparent, accountable, municipal governance in the four provinces that comprise the international Security Assistance Force’s (ISAF’s) Regional Command West. It does so through its three intermediate results of: (a) Increased Capacity of GIRoA Municipal Institutions; (b) Delivery of Municipal Services to Citizens in Targeted Municipalities Improved; and (c) Increased Municipal Capacity to Enable, Support, and Sustain Economic Growth.

The RAMP UP West’s development proposition is that, as a result of achieving these three objectives, Afghan citizens will see local governance structures as legitimate. The perception of legitimacy is tied to receiving better services, understanding the responsibilities of municipal leaders, and playing an active role in municipal decision making. Delivery of essential services to citizens and businesses will foster a stronger revenue base more likely to comply with taxation requirements, generating greater revenues that enable a government to progressively expand and improve services. This Performance Management Plan (PMP) specifies how RAMP UP West measures the outputs and outcomes of its activities.

### RAMP UP West’s DEVELOPMENT PROPOSITION



## FOREIGN ASSISTANCE FRAMEWORK

The achievement of the RAMP UP West's Project Objective and Intermediate Results supports US Foreign Assistance Framework (FAF) program elements under Strategic Goal Number 2, **Governing Justly and Democratically** (GJD). Five FAF indicators under GJD were selected as appropriate and relevant to RAMP UP West activities, and were used to report progress to USAID. Below is a conversion table that explains how RAMP UP West indicators align with FAF indicators.

FAF Indicator	Indicator	Corresponding RAMP UP West Indicator
FAF GJD 2.2.3-5	# of sub national government entities receiving USG assistance to improve their performance	R3
FAF GJD 2.3	# of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization	R1
FAF GJD 2.3	# of sub national institutions receiving USG assistance to increase their annual own-source revenues	R4
FAF GJD 2.2.4-2	# of government officials receiving USG-supported anti corruption training.	R2
FAF GJD 2.2.4-4	# of mechanisms for external oversight of public resource use supported by RU-W assistance	R5

## DEVELOPMENT OF THE PERFORMANCE MANAGEMENT PLAN (PMP)

The initial Performance Management Plan (PMP), submitted June 12, 2011, presented a conceptual and operational framework to measure progress toward, and success in, achieving the project objective. The Results Framework was based on the U.S. Foreign Assistance for Afghanistan Performance Management Plan 2011 – 2015. It consisted of one Intermediate Result and three Sub-Intermediate Results. A total of 21 indicators were presented of which 16 were output indicators and 5 were outcome indicators. Three of the five outcome indicators were high level impact indicators while 5 indicators were Common Indicators corresponding to the F Standard Indicators.

In response to USAID's budget cuts in 2011 project work plans were revised and the PMP was updated February 12, 2012 to reflect the new work planning and reduced scope of the project. The significantly new results framework of the updated PMP was built around three Intermediate Results and total of 18 indicators, of which 6 are outcome indicators and 12 are output indicators. The number of impact indicators was increased to 4, and the Common Indicators were renamed as Reporting Indicators.

Between August 8, 2012 and September 12, 2012, RU-W was subject to a Data Quality Assessment (DQA). DQA's are used to review and validate the usefulness, accuracy, completeness and consistency of data being collected for selected indicators that are used to measure the performance of USG foreign assistance funded programs in Afghanistan.

The DQA found no serious issues regarding data quality during the assessment and data quality was judged to be generally high. Overall, the assessment concluded that data met USAID standards: data was accurate and meaningful: appropriate data entry controls were in place, useful and accessible databases were employed, and good supervision, monitoring and evaluation was evident.

The DQA also recommended that definitions for several indicators should be sharpened, specifically in relation to Performance Budgeting, Functioning Accounting Systems, and those indicators relating to increasing municipal capacity.

In response to the DQA, on December 14, 2012, RU-W further revised the PMP. RU-W introduced indices to measure progress towards implementation of Performance Budgeting and Functioning Accounting Systems. RU-W also developed a Municipal Capacity Assessment to strengthen assessment of changes in municipal capacity.

### **Operationalizing the PMP**

During start-up, RAMP UP West undertook an External Survey to measure and establish baselines for: (a) citizen perceptions of and experiences with municipal government; and (b) an expert evaluation of municipal processes, procedures, skills, practices, and assets. With implementation underway, these assessments produced the data needed to measure progress related to all outcome and impact indicators. The citizen perception survey was administered by a third party enumeration and data collection firm in Afghanistan in order to bolster impartiality and mitigate the potential for raising false expectations should RAMP UP West collect this information directly. The baseline data collection took place in 2 phases – the first phase consisted of translation and back translation of the survey instrument, field testing and instrument refinement, and training of enumerators occurred in May 2011, with the second phase of data collection, entry and analysis taking place in June and July. RAMP UP West subcontractor, National Research Council (NRC) performed the data analysis. RAMP UP West repeated the survey in summer 2012 to measure changes in public opinion which in turn has helped RAMP UP West to improve its municipal support activities. In summer 2013, RU-W replicated the survey to evaluate changes in public opinion over the life of the project.

The remaining indicator data was collected by RAMP UP West staff directly.

## USAID-RAMP UP WEST PERFORMANCE MANAGEMENT PLAN: INDICATORS AT A GLANCE

PROJECT OBJECTIVE:  
CREATE EFFECTIVE, RESPONSIVE, DEMOCRATIC, TRANSPARENT, ACCOUNTABLE,  
AND GENDER-SENSITIVE MUNICIPAL GOVERNANCE

### IMPACT INDICATORS

- PO 1: % of citizens who state that their municipal government is doing a very good or somewhat good job in providing services  
PO 2: % of citizens who state that their municipal government officials are working to serve them sometimes or almost always  
PO 3: % of citizens who state that they think that they have some influence over municipal government decision making  
PO 4: % of citizens who state they have confidence or high confidence that the municipality manages funds well

IR 1: INCREASED CAPACITY OF GIROA MUNICIPAL INSTITUTIONS

1.1: # OF MUNICIPALITIES USING PRINCIPLES OF PERFORMANCE BUDGETING SYSTEMS

1.2: # OF MUNICIPALITIES WITH FUNCTIONING ACCOUNTING SYSTEMS

1.3: # OF LOCAL MECHANISMS SUPPORTED WITH RU ASSISTANCE FOR CITIZENS TO ENGAGE THEIR SUB-NATIONAL GOVERNMENT

IR 2: DELIVERY OF MUNICIPAL SERVICES TO CITIZENS IN TARGETED MUNICIPALITIES IMPROVED

2.1: % OF PROJECTS COMPLETED WITH COMMUNITY AND GIROA INVOLVEMENT

2.2: % OF CITIZENS WITH ACCESS TO MUNICIPALLY-PROVIDED SERVICES

2.3: # OF CITIZENS PARTICIPATING IN LOCAL MECHANISMS TO ENGAGE THEIR SUB-NATIONAL GOVERNMENT

IR 3: INCREASED MUNICIPAL CAPACITY TO ENABLE, SUPPORT, AND SUSTAIN ECONOMIC GROWTH

3.1: % INCREASE IN MUNICIPAL REVENUE GENERATED

3.2: % OF CITIZENS WHO STATE THAT THEY WOULD BE WILLING TO PAY MORE TAXES ("SAFAYI") FOR SERVICES PROVIDED BY THE MUNICIPALITY IF THE MUNICIPALITY PROVIDED BETTER SERVICES

### REPORTING INDICATORS

- R1: # of individuals who received RU-W training, including management skills and fiscal management, to strengthen local government and/or decentralization  
R2: # of government officials receiving RU-W-supported anti-corruption training  
R3: # of sub-national government entities receiving RU-W assistance to improve their performance  
R4: # of sub national governments receiving RU-W assistance to increase their annual own-source revenues  
R5: # of mechanisms for external oversight of public resource use supported by RU-W assistance

PMP Indicator	Definition of Indicator	Base Year		Option Year #1		Option Year #2	
		Target	Result	Target	Result	Target	Result
PO1	% of citizens who state that their municipal government is doing a very good or somewhat good job in providing services	N/A	55.15%	59.56% (+8%)	51.37%	55.48% (+8%)	40.7%
PO2	% of citizens who state that their municipal government officials are working to serve them sometimes or almost always	N/A	24.62%	26.59% (+8%)	37.84%	40.87% (+8%)	34%
PO3	% of citizens who state that they think that they have some influence over municipal government decision making	N/A	17.46%	18.86% (+8%)	28.05%	30.29% (+8%)	15.31%
PO4	% of citizens who state they have confidence or high confidence that the municipality manages funds well	N/A	25.32%	27.35 (+8%)	64.60%	69.76% (+8%)	28.74%
Project Indicators		Base Year		Option Year #1		Option Year #2	
		Target	Result	Target	Result	Target	Result
1.1	# of municipalities using principles of performance budgeting systems	0	0	4	4	4	4
1.2	# of municipalities with functioning accounting system	0	0	0	0	2	3
2.2	% of citizens with access to municipally-provided services	N/A	0	+10%	57.15%	62.87 (+10%)	64.71%
3.1	% increase in municipal revenue generated	N/A	976,838,959 AFA	+15%	-64% (349,634,185 AFA)	20%	76.64% (617,581,625 AFA)
3.2	% of citizens who state that they would be willing to pay more taxes ("safayi") for services provided by the municipality if the municipality provided better services	N/A	89.82%	97.01% (+8%)	83.01%	89.65% (+8%)	84.83%

PMP Indicator	Definition of Indicator	Base Year		Option Year #1		Option Year #2	
		Target	Result	Target	Result	Target	Result
I.3	# of local mechanisms supported with RU assistance for citizens to engage their sub-national government	2	0	5	7	7	8
2.1	%of projects completed with community and GIRoA involvement	100%	0%	100%	100%	100%	100%
2.3	# of citizens participating in local mechanisms to engage their sub-national government	500	0	4000	7980	6000	7134
R1	# of individuals who received RU-WW training, including management skills and fiscal management, to strengthen local government and/or decentralization	40	38	60	486	80	582
R2	# of government officials receiving RU-WW-supported anti corruption training	N/A	0	15	6	25	86
R3	# of sub-national government entities receiving RU-WW assistance to improve their performance	4	4	4	4	4	4
R4	# of sub national governments receiving RU-WW assistance to increase their annual own-source revenues	4	4	4	4	4	4
R5	# of mechanisms for external oversight of public resource use supported by RU-WW assistance	N/A	0	2	2	2	2

## TARGETS AND RESULTS AT PROJECT OBJECTIVE LEVEL

### PROJECT OBJECTIVE INDICATORS

RAMP-UP West measures change at the impact level in terms of three distinct and interrelated *Project Objective Indicators*. These indicators measure citizen satisfaction, citizen's perceived ability to influence municipal government decision making, confidence in local government's ability to manage fund effectively, and to provide services to citizens.

Data for these indicators was collected on an annual basis through a public perception household survey. The following section details performance against these indicators over the life of the project.

#### POI Citizen Perception of how well their municipal government is doing at providing services

RAMP UP WEST Indicator POI: % of citizens who state that their municipal government is doing a very good or somewhat good job in providing services						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipalities	N/A	55.15%	59.56% (+8%)	51.37%	55.48 (+8%)	40.7%

In Option Year #1 and #2 respectively 51.37% and 40.7% of respondents, across four municipalities, stated that their municipal government did a very good or somewhat good job at providing services in comparison to 55% in the Base Year. This represents a year on year fall in contrast to the 8% annual increase target set in the PMP.

While these results fell below the target, this picture was not evenly distributed across the municipalities or from year to year. The table below illustrates this.

Disaggregated Indicator POI: % of citizens who state that their municipal government is doing a very good or somewhat good job in providing services			
Municipality	Baseline	Option Year #1	Option Year #2
Chaghcharan	10.20%	11.49%	37.39%
Farah	66.15%	51.70%	38.52%
Herat	67.25%	58.08%	53.68%
Qala-e-Naw	54.15%	73.66%	27.09%

As show in the table, ratings in Chaghcharan continued to rise every year from a low base in 2011. Farah and Herat both show downward trends over the same period, while Qala-e-Naw showed a marked improvement from 2011 to 2012 and then a sharp drop in 2013.

One explanation for this is that RU-W support to larger cities such as Herat and Farah was not sufficient to impact on citizens perceptions of their municipality. The visibility of service improvements in larger cities tends to be lower, and this dilutes the impact on citizen satisfaction. The reverse is true of smaller cities, for example, Chaghcharan received significant additional support from the Embassy of Japan in this period. This may have improved citizen perceptions of the municipality in isolation of the support provided by RU-W.

This will have been exaggerated by poor expenditure of the development budget in 1391 in all four municipalities (Chaghcharan 39%, Farah 44%, Herat 25%, Qala-e-Naw 62%), leading to a lack of visible service improvements in Option Year 1.

Moreover, the Citizen Perception Survey conducted in August & September 2013. Due to delays in getting approval of the Municipal Incentive Fund proposals, RU-W Anchor Service improvements mostly started site work in mid-August. This will have further reduced the number of visible municipal improvements.

Additionally, the RU-W citizen perception survey did not capture other externalities that might negatively impact citizen satisfaction. Security in Farah tended to be worse than in other RU-W partner municipalities throughout the life of the project, and this may have impacted citizen satisfaction with the municipality.

## PO2 Citizen Perception that local government officials are working for their needs

RAMP UP WEST Indicator PO2: % of citizens who state that their municipal government officials are working to serve them at least sometimes or almost always						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipalities	N/A	24.62%	26.59% (+8%)	37.84%	40.87% (+8%)	34%

In Option Year #1 and #2 respectively 37.84% and 34% of respondents across four municipalities, perceived that they their municipal government officials worked to serve them sometimes or almost always in comparison to 24.62% in the Base Year. This shows an overall increase of 38% from the Base Year to Option Year #2. However, from Option Year #1 to Option Year #2 there was a decrease of 10% set against the 8% year on year increase set as a target in the PMP.

As with indicator PO1, disaggregation shows very different performance in each municipality. Chaghcharan performed very well from a low base, and also shows an overall positive trend over the three year period. Herat also showed a slight improvement and improved steadily over the three year

period. Farah performed relatively poorly and, as in PO1, shows a continuing decline in this rating over the three years. Qala-e-Naw, saw a large fall in this rating in Option Year #2 when compared Option Year #1 but it showed an overall improvement when compared the Base Year. See below table for disaggregated data:

Disaggregated Indicator PO 2: % of citizens who state that their municipal government officials are working to serve them sometimes or almost always			
Municipality	Baseline	Option Year #1	Option Year #2
Chaghcharan	6.53%	5.42%	35.38%
Farah	28.28%	27.66%	17.66%
Herat	37.74%	43.65%	45.48%
Qala-e-Naw	14.78%	69.00%	38.39%

Factors affecting these results are similar to those stated for PO1.

Qala-e-Naw's performance in Option Year #2, compared to the prior year, may be explained by the continued absence of the Mayor throughout the year. This negatively impacted on municipal service delivery and performance, and moreover the Mayor's lack of visibility may have undermined citizen perceptions that officials are serving them.

### PO3 Citizen Influence over municipal decision-making

RAMP UP WEST Indicator PO3: % of citizens who state they have a little to a lot of influence over municipal government decision making						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipalities	N/A	17.46%	18.86% (+8% (	28.05%	30.29% (+8%)	15.31%

In Option Year #1 and #2 respectively 28.05% and 15.31% of respondents, across four municipalities, perceived that they had some influence over municipal government decision making, in comparison to 17.46% in the Base Year. This represents a 12% decrease from the Base Year compared to the 8% year on year increase set as a target in the PMP. Notably a large increase was seen from the Base Year to Option Year #1 but this improvement was not sustained.

This fall is consistent with RU-W's performance against indicator PO2, since citizen belief that municipal officials works for their needs tends to be correlated with citizen belief that they have influence over decision making. Disaggregation of the data also supports this view.

Disaggregated Indicator PO 3: % of citizens who state that they think that they have some influence over municipal government decision making			
Municipality	Baseline	Option Year #1	Option Year #2
Chaghcharan	10.28%	4.11%	17.11%
Farah	7.89%	30.76%	7.81%
Herat	35.26%	20.62%	15.33%
Qala-e-Naw	10.68%	54.48%	24.29%

Analysis of the disaggregated data demonstrates that Chaghcharan and Qala-e-Naw made the most improvement over the three year period while Farah saw no overall performance change and Herat saw a decrease in performance. These trends are similar to those seen in PO2, supporting the view that there is a correlation between these two indicators.

It is also notable that over the three year period, performance in the two smaller municipalities surpassed the ratings seen in Herat. This suggests that municipal improvements in outreach, accountability and transparency have been more effective in smaller municipalities.

Performance against this impact indicator is also likely to be significantly affected by other factors not assessed in the Citizen Perception Survey. As noted before, this is likely to include perceptions of the security environment. Additionally, Farah's rating from Option Year #1 to Option Year #2 fell significantly and this may have been partially caused by the removal of a previously popular Mayor, and replacement by someone from outside the West Region.

The continued failure to pass the Municipal Law and make Mayor's elected, and therefore truly accountable to citizens, is also likely to hold back significant progress against this indicator. Chapter 5 provides further discussion on this topic.

#### PO4 Citizen Confidence in management of municipal funds

RAMP UP WEST Indicator PO4: % of citizens who state they have confidence or high confidence that the municipality manages funds well.						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipalities	N/A	25.32%	27.35 (+8%)	64.60%	69.76% (+8%)	28.74%

In Option Years #1 and #2 respectively 64.6% and 28.74% of respondents, across four municipalities, stated that they had confidence or high confidence that their municipality managed funds well, in

comparison 25.32% in the Base Year. This shows a slight overall increase from the Base Year, but a large fall compared to Option Year #1, to the 8% year on year increase set as a target in the PMP.

The table below shows a disaggregation of municipal performance against this indicator over the three year period.

Disaggregated Indicator PO 4: % of citizens who state they have confidence or high confidence that the municipality manages funds well			
Municipality	Baseline	Option Year #1	Option Year #2
Chaghcharan	7.27%	15.93%	17.67%
Farah	35.57%	70.26%	33.15%
Herat	28.97%	66.11%	18.56%
Qala-e-Naw	20.93%	90.14%	44.82%

Disaggregation shows that performance in Chaghcharan improved every year, whereas in the other municipalities performance saw a big improvement from the Base Year to Option Year #1 and then a fall in Option Year #2. Of these three municipalities, on Qala-e-Naw saw an overall increase in ratings.

Possible explanations are that citizen expectations for financial management increased in response to municipal Business and Property registration activities and awareness campaigns and the introduction of increased Safayi and business rates (as in Chaghcharan and Farah).

Moreover, over the three year period, perceptions of municipal corruption either rose or remained stable across the four municipalities.

## TARGETS AND RESULTS AT IR LEVEL

### INTERMEDIATE RESULT INDICATORS

RAMP UP West's Intermediate Result (IR) and Contract Line Item Number (CLIN) structure offers three overlapping means of measuring how effective RAMP UP West partners with municipal governments and community stakeholders to contribute to increased legitimacy of GIRoA partners.

The RAMP UP West PMP includes 3 Intermediate Result indicators, used to regularly measure the ongoing progress of RAMP UP West's activities, and support the impact measurements noted in the previous section.

#### **Accomplishment towards IRI: Increased Capacity of GIRoA Municipal Institutions (resulting from CLIN 1 activities)**

RU-W IRI indicators indicate accomplishment regarding building capacity of GIRoA officials at the municipal level.

The following section provides further detail on results against indicators for performance-based budgeting, functional accounting systems and support of citizen engagement mechanisms. This section summarizes progress against these indicators over the life of the project.

#### **IRI.1 Number of municipalities using principles of performance budgeting**

RAMP UP WEST Indicator 1.1: # of municipalities using principles of performance budgeting systems						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipalities	0	0	4	4	4	4

Performance-based budgeting enables municipal officials to develop budgets which take into account citizen preferences, measure financial progress towards achievement of service improvements and enables the municipality to take action where needed. Performance budgeting therefore strengthens accountability and transparency between the municipality and its citizenry as well as providing a framework for improving financial performance and improving services.

In Option Year #1 all four municipalities were judged to have met the target of implementing elements of performance-based budgeting. Elements of performance-based budgeting included:

- Budget Committees formed prior to developing the budget
- A Calendar for budget preparation, including tasks and dates, developed
- Quarterly reports and budgets used Ministry of Finance standard forms
- Budget reviewed by the Municipal Advisory Board prior to submission

- Budget proposal presented to citizens either in print or via a presentation
- Budget Approval achieved on time
- Mid-Year budget review and reporting took place

In Option Year #2, to improve reporting against this indicator, RU-W introduced two custom indices to track performance against this indicator. The first tracked implementation of best practices relating to the budget process. The second tracked implementation of best practices in revenue management. In order to achieve the indicator, a municipality must implement as least 70% of best practices across both indexes.

The table below shows the results of the Budget Process assessment conducted at the end of Option Year #2. Results relate to the 1392 Afghan fiscal year:

Performance Budgeting(1.1 Indicator) Budget Process Best Practices Year 1392		Chaghcharan	Farah	Herat	Qala-e-Naw
1	Establishment of Municipal Budget Committee	✓	✓	✓	✓
2	Creation of Internal Budget Calendar (with tasks)	✓	✓	✓	✓
3	Budget reviewed by Municipal Advisory Board	✓	✓	✓	✓
4	Present Budget to Citizens: Present budget proposal in print/presentation	✓	✓	✓	✓
5	Budget includes estimates of O&M costs	✓	✓	✓	✓
6	Budget includes and reflects Municipal Tashkeel	✓	✓	✓	✓
7	Budget plan includes items identified by Municipal Service Improvement Plan Performance Indicators	✓	✓	✓	✓
8	Budget submitted to Governor and/or Provincial Council for review and approval on time (according to Calendar)	✓	✓	✓	✓
9	Budget submission complies with required forms	✓	✓	✓	✓
10	Quarterly Expenditure tracking and reporting	✓	✓	✓	✓
11	Quarterly reports comply with IDLG requirements	✓	✓	✓	✓
12	Periodic (at least annual) review of actual against approved plan	✓	✓	✓	✓
<b>Overall Score</b>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

The table below shows the results of the Revenue Management assessment conducted for fiscal year 1392.

Performance Budgeting(I.I Indicator) Revenue Management Best Practices Fiscal Year 1392		Chaghcharan	Farah	Herat	Qala-e-Naw
1	Major revenue sources identified	✓	✓	✓	✓
2	Collection processes documented for Major revenue source	✓	✓	✓	✓
3	Revenue Process Improvement Plan developed	✓	✓	✓	✓
4	Safayi and Business License rates and/or charges established and approved by IDLG and Governor	✓	✓	✓	✓
5	Revenue Estimates developed in compliance with IDLG budget requirements	✓	✓	✓	✓
6	Revenue Estimates reviewed and approved by Municipal Budget Committee and Mayor	✓	✓	✓	✓
7	Quarterly tracking and reporting of Revenues against the approved budget	✓	✓	✓	✓
<b>Overall Score</b>		<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

RU-W therefore considers municipalities meet the criteria for performance-based budgeting when they implement at least 70% of the budgeting and revenue management best practices. The score for each municipality reflects the average percentage calculated from the results for both surveys.

In Option Year #2, all four partner municipalities implemented 100% of Budget Process and Revenue Management Best Practices. Therefore, RU-W judged that all four municipalities had adopted principles of Performance Budgeting in their everyday operations.

The table below shows the overall results from calculating the average of both surveys.

Performance Budgeting Overall Results Fiscal Year 1392	Chaghcharan	Farah	Herat	Qala-e-Naw
Budget Process Best Practices	100%	100%	100%	100%
Revenue Management Best Practices	100%	100%	100%	100%
<b>Total Score</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

## IRI.2 Number of municipalities with functioning accounting systems

RAMP UP WEST Indicator 1.2: # of municipalities with functioning accounting systems						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All municipalities	0	0	0	0	2	3

In Option Year #1 RU-W worked on some basic financial management improvements. This included automating the recording and tracking monthly revenue and expenditures to allow more reliable and accurate reporting of financial data to Kabul. RU-W also assisted to automate municipal payroll. Whilst these were significant improvements for the municipalities, these did not, on their own, constitute a functioning accounting system.

In December 2012, RU-W clarified the steps required to count a municipality as having a functioning accounting system, and defined these in the PMP. As with indicator IR 1.1, RU-W adopted a custom index including the best practices required for establishing a functioning accounting system. Best Practices were identified as key steps implemented by municipalities to produce more accurate, efficient and transparent financial records.

From December 2012 onwards RU-W conducted a quarterly assessment to assess municipal progress implementing the best practices listed in the index. Municipalities implementing 70% of the best practices were judged to meet the criteria for achievement of this indicator.

As with Indicator IR 1.1, the results for this indicator show best practices achieved during the 1392 fiscal year.

Functional Accounting System (1.2 Indicators ) General Accounting Best Practices		Chaghcharan	Farah	Herat	Qala-e-naw
1	Compliance with policies and procedures based on GIRoA requirements	✓	✓	✓	✓
2	Accounting codes aligned with IDLG budget codes	✓	✓	✓	✓
3	Use bank book to record daily Bank transactions and reconciled with bank statement	✓	✓	✓	✓
4	Computerization of Payroll	✓			✓
5	Municipality maintains list of Assets and Inventory	✓	✓		✓
<b>Overall Score</b>		<b>100%</b>	<b>80%</b>	<b>60%</b>	<b>100%</b>

The index illustrates that Chaghcharan and Qala-e-Naw implemented 100% of General Accounting Best Practices. Only Herat failed to achieve 70% of Best Practices in fiscal year 1392.

Inventory work in Herat stopped at the request of the Mayor. RU-W began helping Herat validate its inventory records against physical objects. As a result of the frequent discrepancies between the two, the Mayor intervened and asked RU-W to stop this activity.

Payroll computerization in both Farah and Herat relies upon implementation of the Integrated Financial Management System (IFMS). This was planned to take place Option Year #2 but as a result of ongoing software problems, this proved not to be possible.

### IRI.3 Number of mechanisms for citizens to engage their municipal government

RAMP UP WEST Indicator 1.3: # of local mechanisms supported with RU-W assistance for citizens to engage their sub-national government.							
Municipality	Baseline		Option Year #1		Option Year #2		Note
	Target	Result	Target	Result	Target	Result	
All Municipalities	2	0	5	7	7	9	

In the Base Year, the delayed start-up, followed immediately by Eid, caused RU-W not to assist municipalities to implement any mechanisms for citizens to engage with sub-national government. In Option Years #1 and #2 respectively, RU-W supported 7 and 9 mechanisms, exceeding the target set in the PMP.

The table below details the frequency with which mechanisms took place in each municipality over the life of the project.

Frequency of mechanisms per municipality in each option year													
Mechanism	Baseline				Option Year #1				Option Year #2				Total
	CHG	FRH	HRT	QLN	CHG	FRH	HRT	QLN	CHG	FRH	HRT	QLN	
Economic Development Committee	0	0	0	0	7	6	13	11	8	5	9	5	64
Media Round Table	0	0	0	0	0	0	0	0	3	3	1	4	11
Mock Municipality Competition	0	0	0	0	0	0	1	0	0	0	0	0	1

Municipal Advisory Board	0	0	0	0	9	3	0	4	7	6	0	10	39
Open Meeting	0	0	0	0	10	15	21	11	3	9	0	3	72
Public Hearing	0	0	0	0	3	2	3	3	6	5	6	6	34
Radio/TV talk shows and phone-ins	0	0	0	0	1	1	1	1	10	12	10	10	46
Women Sub Committee	0	0	0	0	0	0	0	0	1	0	1	1	3
Youth and the Municipality	0	0	0	0	6	4	8	6	10	4	7	11	56
Youth Council	0	0	0	0	0	0	0	0	1	1	0	1	3
<b>Total</b>	0	0	0	0	36	31	47	36	49	45	34	51	329
	<b>0</b>				<b>150</b>				<b>179</b>				<b>329</b>

All four target municipalities implemented Economic Development Committees, Public Hearings, Youth and the Municipality sessions, Radio talk shows and phone-ins, and Media and Civil Society Round Tables. All four municipalities also implemented Municipal Advisory Boards, although Herat's is not counted towards this indicator as it was supported by ASGP.

Further details on these mechanisms are provided throughout Chapter 4.

**Accomplishment towards IR2: Support to the GIRoA to provide responsive, effective, and visible municipal service delivery program (resulting from CLIN 2 activities)**

The performance measures under this IR measure RAMP UP West performance in helping municipalities deliver visible services to their citizens and communities. This indicator tracks the percentage of those projects implemented with USG assistance that incorporate both community and sub-national GIRoA participation.

The following section provides further detail on results against indicators for community and GIRoA involvement in projects, citizen access to services and mechanism for citizen engagement with municipal government. This section summarizes progress against these indicators over the life of the project.

**IR2.1 Percentage of projects completed with community and GIRoA involvement**

RAMP UP WEST Indicator 2.1: % of projects completed with community and GIRoA involvement						
Municipality	Base Year		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipality	100%	N/A	100%	100%	100%	100%

In the Base Year, RU-W did not complete any projects, and therefore did not report against this indicator. All RU-W projects undertaken in the life of the project were completed with community and GIRoA involvement.

For the RU-W Expeditious projects citizen engagement was solicited as the project identification stage, and municipalities were involved throughout the planning, design and implementation stages.

In Option Year #1, citizen involvement was expanded with project selection based on citizen priorities as expressed in the Service Delivery Improvement Plan (SDIP), Citizen Perception Survey and also Municipal Advisory Boards. GIRoA involvement was at the municipal level, with municipalities involved in the design and implementation of the projects as well as quality control before completion and handover of the projects.

In Option Year #2, all RU-W funded projects were funded through the Municipal Incentive Fund. As a requirement of receiving funding, citizen priorities were emphasized with projects identified based on the SDIP and Citizen Perception Survey, and project identification validated by MABs. Municipalities formed proposal writing committees to identify and justify the proposals, and municipal staff were again at the forefront of project design, implementation and monitoring.

Details of RU-W projects are provided in Annex A.

**IR2.2 Percentage of citizens with access to municipally provided services**

RAMP UP WEST Indicator 2.2: % of citizens with regular access to municipally-provided essential services							
Municipality	Base Year		Option Year #1		Option Year #2		Note
	Target	Result	Target	Result	Target	Result	
All Municipality	N/A	0	+10%	57.15%	62.87 (+10%)	64.71%	Baseline assessment completed Q4 of 2012 as this question was not included in 2011 survey

Reporting data for this indicator comes from the citizen perception survey. The survey asked respondents how regularly they could use or benefit from municipal-provided services including Parks and Green Spaces, Rubbish Collection, Construction and Maintenance of Roads and Street Cleaning. The indicator counts those who responded 'Almost always' or 'Sometimes' as having access.

This question was not asked in the Baseline survey, and was subsequently added to the 2012 survey. As a result it was not possible to track RU-W progress against this indicator and the target in the PMP until Option Year #2.

Disaggregated Indicator 2.2: % of citizens with access to municipally-provided services			
Municipality	Base Year	Option Year #1	Option Year #2
Chaghcharan	N/A	17.05%	90.17%
Farah	N/A	66.83%	66.84%
Herat	N/A	76.54%	82.25%
Qala-e-Naw	N/A	46.77%	16.01%

From Option Year #1 to Option Year #2 Chaghcharan saw the most marked improvement. This largely resulted from a large increase in the benefits from roads and street cleaning funded by JICA, but in fact access to services increased across the board. Access to Parks and Green Spaces increased from 1% in 2012, to 18% in 2013 as a direct result of the renovation of the Main Park as part of the Option Year #1 Anchor Service. Large increases in the number of residents accessing a Park bear this out, despite the fact the Park remained closed for much of year to allow grass to establish.

Citizen access to municipally provided services in Farah remained static overall. Within this overall figure, benefit from trash collection fell, as did street and drainage cleaning. Farah saw slight increases in access to Parks and green spaces, and road construction and maintenance.

Herat can account for its slight increase in citizen access to municipal services by increased access to trash collection (from 19% to 41%) and Parks and green spaces (from 56% to 63%). The proportion of Herat respondents who paid a private company for trash collections rose from 57% to 70%. The proportion that benefited from daily trash collected also rose from 8% to 11%, while the proportion who said that trash was never collected was lower than in the two previous years.

In Qala-e-Naw, access to services fell across all five categories, with the largest reductions seen in construction and maintenance of drainage (falling from 27% to 4%) and street cleaning (34% to 8%). However, the condition of main city roads rated as excellent and ratings for the condition of highways and neighborhood streets improved from 2012 to 2013. The condition of residential and large city drainage ditches remained static or improved respectively from 2012 to 2013. This suggests that although the visibility of maintenance and construction activities fell; the actual level of services used by citizens improved during the last 12 months.

### IR2.3 Number of citizens participating in mechanisms to engage municipal government

RAMP UP WEST Indicator 2.3: # of citizens participating in local mechanisms to engage their sub-national government							
Municipality	Base Year		Option Year #1		Option Year #2		Oct 2013 to close
	Target	Result	Target	Result	Target	Result	Result
All Municipality	500	0	4000	7980	6000	4984	2150

In the Base Year, as a result of the delayed start-up followed by Eid, RU-W did not conduct any mechanisms for citizens to engage municipal government, and therefore the Base Year target was not achieved. In Option Year #1, RU-W exceeded its target by a large margin and Option Year #2, a total of 4,984 citizens participated in local mechanisms, falling short of RU-W's target of 6,000 citizens.

This was largely caused by Herat's non-participation in the SDIP update community engagement sessions (listed under Open Meetings) as well as the delay in implementing Youth Council establishment in Chaghcharan and Qala-e-Naw (and Herat decided not to establish one).

From October 2013 to project close in March 2014, a further 2,150 citizens participated in mechanisms to engage their sub-national government. These included participation in further Public Budget Hearings, MAB, EDC and Women's sub-committee meetings as part of the 1393 municipal budget development process as well as Youth Council Meetings and the Media Round Table,

Indicator 1.3 provides further details on the number and type of local mechanisms citizens participated in across the life of the project. The table below provides a breakdown of the number of citizens participating in local mechanisms in each year of the project.

# of Citizens participated in local mechanisms per municipality in each year

Municipality	Base Year				Option Year #1				Option Year #2				Total
	CH G	FRH	HRT	QLN	CH G	FRH	HRT	QLN	CH G	FRH	HRT	QLN	
Economic Development Committee	0	0	0	0	7	6	13	11	14	12	14	19	<b>96</b>
Media Round Table	0	0	0	0	0	0	0	0	36	19	0	30	<b>85</b>
Mock Municipality Competition	0	0	0	0	0	0	67	0	0	0	0	0	<b>67</b>
Municipal Advisory Board	0	0	0	0	15	30	0	35	23	34	0	22	<b>159</b>
Open Meeting	0	0	0	0	534	1135	2877	950	140	525	0	162	<b>6,323</b>
Public Hearing	0	0	0	0	137	86	167	110	413	353	570	344	<b>2,180</b>
Radio/TV talk shows and phone-ins	0	0	0	0	0	0	0	0	21	57	53	40	<b>171</b>
Women Sub Committee	0	0	0	0	0	0	0	0	5	0	8	6	<b>19</b>
Youth and the Municipality	0	0	0	0	448	210	717	425	579	385	521	636	<b>3,921</b>
Youth Council	0	0	0	0	0	0	0	0	876	957	0	260	<b>2,093</b>
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1141</b>	<b>1467</b>	<b>3841</b>	<b>1531</b>	<b>2107</b>	<b>2342</b>	<b>1166</b>	<b>1519</b>	<b>15,114</b>
	<b>0</b>				<b>7980</b>				<b>7134</b>				<b>15,114</b>

### Accomplishment towards IR3: Increased Municipal Capacity to Enable, Support, and Sustain Economic Growth (resulting from CLIN 3 activities)

Activities implemented under this CLIN directly supported the growth of local economic development and strengthening of revenue generation, and thereby municipality’s ability to finance 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 increased municipal revenues, business growth and job creation for long-term financial sustainability.

This section summarizes progress against these indicators over the life of the project.

#### IR3.1 Percentage increase in municipal revenue collected

RAMP UP WEST Indicator 3.1: % increase in municipal revenue generated							
Municipality	Baseline (1389)	Base Year (1390)		Option Year #1 (1391)		Option Year #2	
		Target	Result	Target	Result	Target	Result
All Municipality	303,479,812 AFA	N/A	(+228%) 976,581,306 AFA	+15%	-64% 349,634,185 AFA	+20%	+76.64% 617,604,807 AFA

Indicator 3.1 tracks municipal performance in generating own-source revenues over time. Municipalities do not receive central government financial transfers so improved capacity to continuously generate revenues over time is an important indicator of sustainability of a municipality’s ability to serve its citizens in the long term.

From 1389 to 1392 municipal revenue increased by 103%. However, over there were large variations in performance throughout that period, including a significant increase in municipal revenues in 1390, which were then not sustained in 1391. The key reason for this is that 1391 was a 9 month year as Afghanistan transitioned to a new fiscal calendar.

Another reason that Municipal revenue collection continued to be volatile throughout this period was that, despite RU-W advice, municipalities continued to rely on unsustainable revenue sources such as property sales.

The table below provides a breakdown of municipal revenue collection performance from 1389 to 1392.

3.1 Disaggregated Data				
Municipality	Baseline (1389) 2010	Base Year (1390) 2011	Option Year #1 (1391) 2012	Option Year #2 (1392) 2013
Chaghcharan	8,503,524	10,331,239	6,878,870	41,726,580
Farah	45,637,932	95,235,705	52,531,128	146,327,848
Herat	241,376,222	859,740,180	276,860,063	416,651,105
Qala-e-Naw	7,962,134	11,274,182	13,364,124	12,899,274
<b>Total</b>	<b>303,479,812 AFA</b>	<b>976,581,306 AFA</b>	<b>349,634,185 AF</b>	<b>617,604,807 AFA</b>

From 1389 to 1392 the largest increases in municipal revenue collection were seen in Farah and Chaghcharan, but both Herat and Qala-e-Naw also saw increases.

Chapter 4 provides details of RU-W support to improve municipal revenue generation and further analysis of municipal performance.

### IR3.2 Percentage of citizens who would be willing to pay more taxes if municipal services improved

RAMP UP WEST Indicator 3.2: % of citizens who state that they would pay more taxes (“Safayi”) if the municipality provides better services						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipality	N/A	89.82%	97.01% (+8%)	83.01%	89.65% (+8%)	84.83%

In Option Year #1 and #2 respectively, 83% and 84.83% of citizens stated that they would be willing to pay more taxes if municipal services improved. This represented a fall of 7.58%, and then a slight increase of 2.19% compared to the 8% year on year increase target in the PMP. Ratings for this indicator remained below the baseline.

Disaggregation of this data illustrates that performance varied across partner municipalities. The table below shows that willingness to pay more taxes in Qala-e-Naw rose to almost 100. Ratings in Chaghcharan were very high in the Baseline survey, saw a large drop in Option Year #1 and then recovered somewhat in Option Year #2, while ratings in Farah and Herat fell every year and remained below the baseline figure at the close of the project.

Disaggregated Indicator 3.2: % of citizens who state that they would be willing to pay more taxes ("safayi") for services provided by the municipality if the municipality provided better services			
Municipality	Baseline	Option Year #1	Option Year 2
Chaghcharan	97 %	61.43%	87.76%
Farah	91%	83.47%	83.22%
Herat	89%	85%	78.77%
Qala-e-Naw	86%	95.60%	99.42%

Analysis of the citizen perception survey suggests that these figures broadly correlate with the affordability of the Safayi, value for services, and trust in the municipality to use the money for the correct purpose.

These elements decreased in Farah and Herat and mirror the fall in citizen willingness to pay more taxes. In Farah, the average amount paid monthly increased markedly compared to prior years while in Herat this amount remained similar. Most Residents in Farah and Herat residents thought the Safayi cost more than they could afford. They also did not think the Safayi offered good value for money or trust the municipality to use the money for the correct purpose.

In Qala-e-Naw, however, they saw a slight increase in citizen willingness to pay more taxes for improved services. Unsurprisingly, most respondents agreed the city provided good value for their money on services and said they trusted the municipality to use the money for the intended purposes. Residents were split about evenly on whether the Safayi cost too much for their household.

Results in Chaghcharan are less clear cut. The average Safayi paid monthly increased greatly from prior years and more residents than in prior years felt that Safayi cost too much for their family to pay. However, more citizens than previously felt that the services provided by the City offered good value for money and more citizens than in 2012 trusted the municipal government to use the money for its intended purpose. These mixed results alone do not explain the large improvement from 2012 to 2013.

Due to their size, smaller municipalities like Qala-e-Naw and Chaghcharan tend to show large variances in survey results from one year to the next.

Overall, citizen willingness to pay higher taxes if the municipality provided better services remained high throughout the life of the project. This suggests that if municipalities invest more resources in tax collection, they would be likely to continue increasing their own-source revenues. However, the overall fall in this rating, and its correlation with trust, serves to remind municipalities that they must continue to engage in their Public Outreach and improve transparency through citizen involvement in municipal budget setting and oversight.

## TARGETS AND RESULTS FOR REPORTING INDICATORS

RAMP UP West tracks five reporting indicators through which it reports against the Foreign Assistance Framework's Good Governance Indicators:

R1: # of individuals who received RU-W training, including management skills and fiscal management, to strengthen local government and/or decentralization

R2: # of government officials receiving RU-W-supported anti corruption training

R3: # of sub-national government entities receiving RU-W assistance to improve their performance

R4: # of sub national governments receiving RU-W assistance to increase their annual own-source revenues

R5: # of mechanisms for external oversight of public resource use supported by RU-W assistance

This section summarizes progress against these indicators in the life of the project.

### R1 Number of individuals receiving training from RU-W

RAMP UP WEST Indicator R1: # of individuals who received RU-W-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipality	40	38	60	486	80	582

During the three year period RU-W trained provided regular formal training for municipal officials as part of implementation of the MMCBP and delivery of associated core skills training. RU-W fell slightly short of its target in the Base Year, but exceeded it by a large margin in both subsequent years.

RAMP UP WEST Indicator R1 Disaggregated Data							
Disaggregated by:	Baseline		Option Year #1		Option Year #2		Total
	Male	Female	Male	Female	Male	Female	
Chaghcharan	0	0	86	13	85	19	203
Farah	0	0	94	18	122	19	253
Herat	35	3	149	26	172	48	433
Qala-e-Naw	0	0	71	29	95	22	217
<b>Total</b>	<b>35</b>	<b>3</b>	<b>400</b>	<b>86</b>	<b>474</b>	<b>108</b>	<b>1106</b>

### R2 Number of government officials receiving anti-corruption training

RAMP UP WEST Indicator R2: # of government officials receiving RU-W-supported anti-corruption training						
Municipality	Baseline		Option Year #1		Option Year #2	
	Target	Result	Target	Result	Target	Result
All Municipality	N/A	0	15	6	25	86

In Option Years #1 and #2 RU-W provided anti-corruption training as an element of the training to support the Business and Property registration activity. This qualified as an anti-corruption effort because it brings previously unregistered properties onto the municipal register and prevents municipal officials from taxing properties without recording them in formal municipal revenue systems.

In Option Year #1, RU-W did not achieve its target of 15. This target assumed that all partner municipalities would take part in the Business and Property Registration activity, however Qala-e-Naw has not provided the necessary municipal staff to conduct the activity and in Herat, negotiations to agree a common questionnaire and database system had delayed implementation of this activity. When the training was delivered it was unclear that Qala-e-Naw would be unable to go ahead with the survey activity, and their staff therefore attended the training. Herat did not provide municipal staff for the training, although these staff did receive training when RU-W supported Herat's BPR activity in Option Year #2.

In Option Year #2 RU-W also provided anti-corruption awareness training in all four municipalities (See Core Skills training section).

### R3 Number of sub-national government entities receiving RU-W assistance to improve their performance

RAMP UP WEST Indicator R3: # sub-national government entities receiving RU-W assistance to improve their performance							
Municipality	Baseline		Option Year #1		Option Year #2		Note
	Target	Result	Target	Result	Target	Result	
All Municipalities	4	4	4	4	4	4	This indicator is cumulative

All RU-W activities and embedded advisers directly support the improved performance of partner municipalities. Activities include On the Job Training, Formal Training, Workshops, Seminars, provision of IT and other office Equipment, Courses, Open meetings, and Conferences.

#### R4 Number of sub-national governments receiving RU-W assistance to increase their annual own-source revenues

RAMP UP WEST Indicator R4: # of sub-national governments receiving RU-W assistance to increase their annual own-source revenues							
Municipality	Baseline		Option Year #1		Option Year #2		Note
	Target	Result	Target	Result	Target	Result	
All municipalities	4	4	4	4	4	4	This indicator is cumulative

In all three years of the project, RU-W supported all partner municipalities to increase their own-source revenues. RU-W support is discussed in detail in the sections of this report relating to:

- Revenue Generation
- Business and Property Registration
- Leveraging Municipal Assets for Economic Growth

#### R5 Number of mechanisms for external oversight of public resource use supported by RU-W assistance

RAMP UP WEST Indicator R5: # of mechanisms for external oversight of public resource use supported							
Municipality	Baseline		Option Year #1		Option Year #2		Note
	Target	Result	Target	Result	Target	Result	
All municipalities	N/A	0	2	2	2	2	This indicator is cumulative

As a cross-cutting metric, this indicator seeks to reduce opportunities for corruption by instituting external oversight of the use of public resources. Public resources include the tax revenue that the municipality collects from its citizens, donor funds used for municipal infrastructure and service delivery projects, and fees or leases generated by municipal assets. Municipalities should accurately and transparently account for these resources to the citizens. External oversight may come from broader governmental institutions, policies, and also from the citizens themselves.

During Option Years #1 and #2, RU-W helped form and provided training to Municipal Advisory Boards to enable them to provide oversight of public resources and serve temporarily in lieu of municipal councils until GIRoA conducts elections. Herat also established a Municipal Advisory Board with support from ASGP.

In both years, RU-W supported Mid-Year Financial Review in all four municipalities. These provided an opportunity for citizens to hold municipal officials accountable for their performance and also serve as a mechanism for improving transparency.

The table below shows a breakdown of the number of oversight mechanisms supported by RU-W over the life of the project. Information is disaggregated by municipality and year:

Number of mechanisms for external oversight of public resource use supported implemented													
Mechanism	Frequency of Mechanisms												Total
	Chaghcharan			Farah			Herat			Qala-e-Naw			
	Baseline	Option Year #1	Option Year #2	Baseline	Option Year #1	Option Year #2	Baseline	Option Year #1	Option Year #2	Baseline	Option Year #1	Option Year #2	
Municipal Advisory Board	0	9	7	0	3	6	0	0	0	0	4	10	39
Mid Year Financial Review	0	1	0	0	1	0	0	1	0	0	1	0	4
<b>Total</b>	<b>0</b>	<b>10</b>	<b>7</b>	<b>0</b>	<b>4</b>	<b>6</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>5</b>	<b>10</b>	<b>43</b>

## **CHAPTER 4: PROGRAM ACCOMPLISHMENTS**

RAMP UP West provides assistance under three primary objectives, or components, each of which has a distinct Contract Line Item Number (CLIN) and is tied to a specific goal. The following section details accomplishments for the workplan items listed under each CLIN.

### **CLIN I: Capacity Building of the GIRoA Officials at the Municipal Level**

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

#### **1.1 ESTABLISH BASELINES**

RU-W baseline assessment consists of a Public Perception Survey and a functional audit of municipalities. The Public Perception Survey gauged citizen opinions in each municipality on an annual basis. The base year survey determined baseline data on citizen access to municipal services and satisfaction with services and overall municipal performance.

RU-W conducted a baseline survey in 2011, collecting the opinions of 1,890 adults in the four municipalities. In Option Year #1 and Option Year #2, the second and third public perception surveys were administered to 2,632 households and 2,633 households respectively across all four municipalities.

In addition to measuring the impact of RU-W's activities and progress against performance indicators, for the first time partner municipalities shared the findings with the citizens in public hearings for the 1391 and 1392 budgets. RU-W municipalities used survey findings to prioritize service improvements, including both those funded by RU-W and from the municipal development budget.

In the Base Year, RU-W conducted a functional audit of municipalities to determine baseline information on the status and capacity of particular functions, staffing, policies and procedures, and planning within municipalities. RU-W used this data as the starting point for development of Municipal Management & Capacity Building Plans (MMCBPs - see 1.2) In Option Year #1 this internal survey was further developed into a Municipal Capacity Index and administered to track the impact of RU-W capacity development activities, and in Option Year #2 this survey was conducted for the final time. This is further detailed in section 1.2.

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

RU-W conducted a functional audit of municipalities in 2011. The audit assessed municipal capacity in the areas of financial management, strategic planning and economic development, public works and service delivery, revenue generation, project management, asset management, procurement, human resource management, information, communication and technology (ICT), policy/decision making and administrative systems and public outreach.

Based on the findings of the assessment, RU-W developed Municipal Management Capacity Building Plans (MMCBPs) for each municipality. The MMCBPs guided capacity building initiatives in each municipality and providing a basis for measuring progress. As a result of RU-W's reduced budget, the team decided to link capacity building directly with other RU-W activities (e.g. anchor service, revenue generation, budgeting and financial management, etc.).

Implementation of the MMCBPs led to 486 people receiving functional and core skills training in Option Year #1 and again in Option Year #2. Details of this training are provided in sections 1.4 and 1.5.

At the start of Option Year #2 RU-W and partner municipalities undertook a comprehensive review of municipal capacity to evaluate the impact of MMCBP implementation and measure municipal performance in relation to the baseline. The result of this assessment led to revising MMCBPs for Option Year #2 and RU-W repeated this assessment in December 2013. Following completion of the final assessment, RU-W updated the MMCBPs and provided them for partner municipalities to implement in the coming year. These also serve as valuable documents for guiding future donor or GIRoA support.

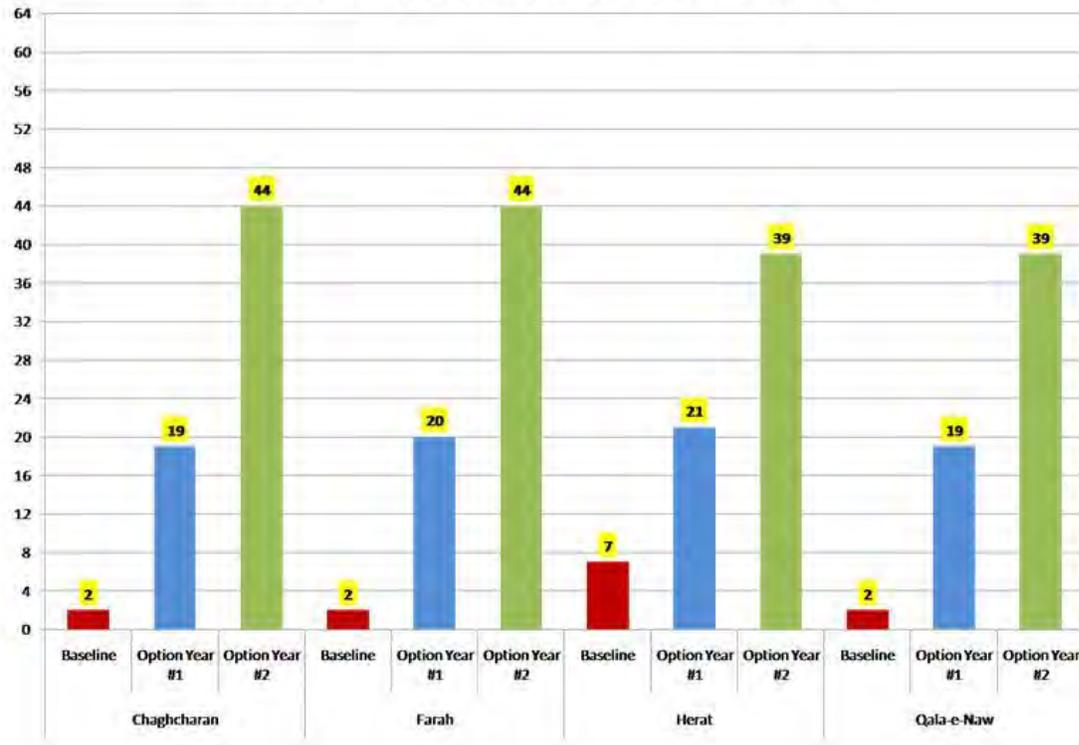
RU-W used a capacity index called the Municipal Capacity Index (MCI), to conduct the assessment. The Municipal Capacity Index provides a realistic and objective evaluation of municipal improvements in areas where RU-W provides capacity building assistance. The MCI measures the performance of partner municipalities in four functional areas: Financial Management, Internal Municipal Operations, Citizen-Municipality Interaction (related to Transparency and Participation), and Quality of Services. Each functional area further divides into four sub areas, each valued at a maximum of four points.

The failure to adhere to basic legal requirements results in no points. Adherence to basic legal requirement results in one point. The MCI then awards additional points based on the achievement of milestones beyond basic legal minimums. It reserves a full four points for achievements showing that the changes adopted resulted in significant positive impact, and that they can sustain those changes.

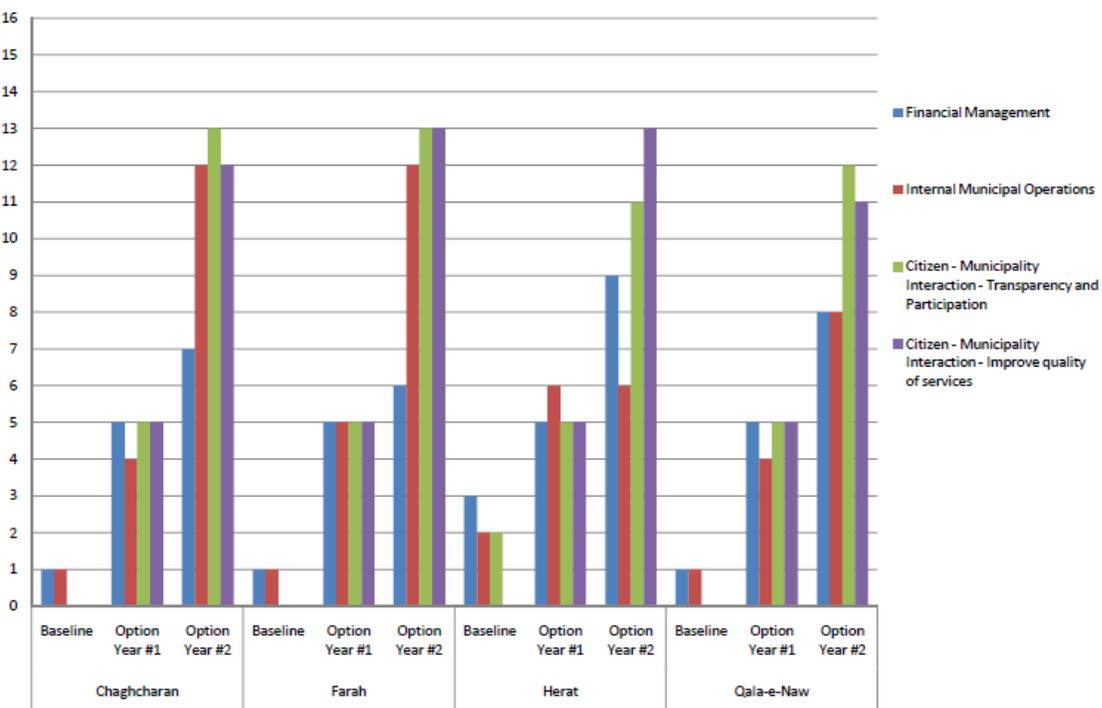
Each functional area can score a maximum of 16 points, with the ideal municipality scoring a total of 64 points. The Methodology is included in the Appendices to this report.

A comparison of the Baseline, Option Year #1, and Option Year #2 assessment results are illustrated below. The first chart shows changes in total MCI scores over the life of the project, while the second chart shows a breakdown of the scores into the functional areas supported by RU-W.

### Municipal Capacity Assessment - Overall Progress



### Overall MCI Comparison based on MCI Components



The above comparison charts illustrate that all four municipalities made significant improvements in their capacity over the life of the program.

The scores show a general improvement in key municipal systems and processes. Overall these increased from a level where they broadly failed to meet the legal standards, to a level where they exceeded legal standards and provide support to longer term municipal planning and operations. Therefore, these improvements should provide a basis for future improvements, both by formally engaging citizen feedback into municipal processes, and institutionalizing these changes.

While all four improved, Chaghcharan, Qala-e-Naw and Farah saw the most notable improvements. Farah and Chaghcharan showed the greatest improvements, attaining a score of 44 (equivalent to 68.75% of the maximum score) in comparison to a baseline score of 2. Herat also saw improvement, with an overall score of 39 compared to 7 in the base year.

Analysis of the MCI component areas shows that the greatest improvements were seen in the areas of Citizen-Municipality Interaction for both Transparency and Participation, and Quality of Services. In large part this reflects great improvements in formal citizen participation and performance management mechanisms, with all four municipalities moving from a position where these were non-existent, to one where they are institutionalized. Many of these mechanisms rely on the involvement of volunteer citizen groups (MABs, SDAGs and EDCs). The fact that these groups have worked without pay or other inducements from RU-W or the municipality is very encouraging for the sustainability of these mechanisms.

### **1.3 BUILD AFGHAN TRAINING CAPACITY FOR MUNICIPALITIES**

RU-W helped establish Training Centers in all four municipalities, either through new construction (done by the municipality) or refurbishment of existing municipal space, and provision of furniture and equipment. Municipalities utilized these spaces for delivery of municipal training courses as part of RU-W's provision of core and functional skills training. The Centers also continue to serve as ad hoc meeting spaces and regularly host MAB and EDC meetings.

These Centers should constitute a resource for ongoing capacity development of staff, although towards the end of RU-W programming, Qala-e-Naw rented out its building, and began planning to build a market on the site of the Training Center. The mayor made a commitment to provide a new training center, but this is planned for after the close of RU-W. Farah Training Center also proved to be problematic, with chairs and desks relocated to other municipal departments. RU-W raised this issue with the acting mayor and he promised to return the equipment to the Training Center.

In addition to establishment of these Centers, municipalities tried to add permanent training staff to their Tashkeel. They included these positions in their 1391 and 1392 budget submissions, but the positions were rejected by GDMA in Kabul. In the absence of permanent training staff, each municipality selected a Training Coordinator and Trainers from their existing staff.

In Option Year #2, RU-W then conducted a five-day Training of Trainer (ToT) course for the Training Coordinators and Trainers (one coordinator and two trainers from each municipality) from Farah, Herat and Qala-e-Naw. Chaghcharan municipal officials did not participate due to a lack of flights to Herat. Participants learned the 5 steps of designing and delivering a training course: Analyze, Design, Develop, Implement and Evaluate, practiced their skills and shared their knowledge.

Following this training RU-W involved municipal trainers in designing and delivering training courses on 'Report Writing', 'Meeting Management', 'M&E', 'Gender Mainstreaming' and 'Public Participation'. This provided municipal training staff with practical experience and familiarized them with the training materials developed by RU-W and handed over to municipalities.

### ***Herat Training Center:***

In 2011, Herat did not have a place to host training courses for municipal staff. The Municipality or donors had to pay to rent outside venues to conduct training. Municipal officials found it time consuming to go outside of the municipality to take short courses and this took them away from their regular work and responding to enquiries from citizens, many of whom had travelled across the city to visit the municipality.

In 2011, RU-W helped Herat municipality create a dedicated Training Center. The municipality provided the space and allocated funds for operations and maintenance. RU-W renovated the space and equipped the center with the necessary furniture and equipment

The municipality used the space for hosting municipal training courses provided as part of RU-W's core and functional skills training program. The Center also now acts as a meeting room for the Economic Development Committee, Budget Committee, and the Municipal Advisory Board.



Ribbon cutting ceremony for Herat Training Center



RU-W furnished and equipped the center

## **1.4 DELIVER CORE SKILLS**

RU-W conducted core skills training aligned to the MMCBP of each municipality. Over the three year period 846 municipal staff members received training. On pure training, this included the following topics:

- Anti-Corruption Awareness
- Asset Management
- 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
- Computer skills
- English
- Municipal Advisory Board: Roles and Responsibilities
- Municipal Advisory Board: Budgeting and Public Hearings
- Municipal Advisory Board: Working with the Mayor
- Proposal Writing Training
- Report Writing (continued from the Base Year)
- Reviewing Organizational Structure
- Roles & Responsibilities of Municipalities (continued from Base Year)

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

Through this support RU-W helped make some major improvements in basic administration. RU-W 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.

**Afghan Labor Code and Afghan Civil Service Law:** RU-W trained municipal staff on the Afghan Labor Code (ALC) and Afghan Civil Service Law (ACSL). This enables municipal staff to understand their employment rights.

**Anti-Corruption Awareness:** RU-W developed and conducted training on 'Anti-Corruption Awareness' for key municipal officials, sub-district managers, advisory board members, and government staff in all RU-W partner municipalities. In Herat, RU-W also conducted this training for members of civil society.

Participants developed a three-year anti-corruption action plan for their municipality. Participants in Chaghcharan, Farah, and Qala-e-Naw presented these action plans to Mayors and gained their support for implementing the plan. Herat didn't agree to receive the plan developed by members of civil society.

**Archiving:** In 2011, none of the municipalities had organized archives and municipal officials could not locate important documents from prior years. RU-W helped Chaghcharan, Farah, Herat and Qala-e-Naw establish archives by the end of the project. This included formulation of guidelines and SOPs,

### ***Herat Archive***

In 2011, Herat did not have a standardized archive, and municipal officials found it difficult to find important documents necessary for their everyday work. The municipality also had no process for judging which documents should be kept, and which could be disposed of. RU-W worked with the municipality to sort through old documents, identify those that needed to be kept and made accessible to municipal staff, and filed them. RU-W also trained a Municipal Archive Officer to oversee and manage the archive, and helped develop an archive database.

RU-W helped Herat renovate a space for the archive, provided box folders, filing cabinets, labels an archive plan and a computer and, in 2013, handed over the new Municipal Archive to the municipality. The Archive Officer keeps the archive and the database maintained and the municipality allocates Operations and Maintenance funding to ensure that the archive will continued to be a resource for the municipality into the future.



Herat Archive: 2011



Herat Archive 2014

provision of files, refurbishment of archive space, developing tables of content, labeling files and training staff. Municipalities sorted and categorized their old documents, and updated the archiving systems for long term storage, protection and retrieval of documents.

**Asset Management:** RU-W conducted ‘Asset Management’ training for municipal Administrative, Property, Public Services, and Marketing staff and Interns in all partner municipalities. RU-W helped all four municipalities establish a committee to survey municipal assets and develop manual asset registers. RU-W provided each municipality with IT equipment and they computerized their asset registers. These registers provide a basis for municipalities to better manage their assets to improve sustainable revenue generation and support economic development.

**Communication:** To facilitate improved internal communication in partner municipalities; RU-W helped municipalities develop standard templates and processes for common events. These included development of meeting standard agendas, attendance sheet, standard contracts for projects and renting municipal properties and provision of log books for vehicles.

**English and Computer Course:** RU-W provided English language and basic computer skills courses for municipal staff in all four municipalities. These courses mainly focused on municipal finance staff but also targeted interns and other municipal staff whose positions required basic skills in these areas.

**Filing:** In 2011, municipal departments and sub-district offices did not have standardized filing systems, and this made it difficult for them to access work documents in a timely fashion. RU-W helped each municipality standardize files in municipal departments and sub-district offices, develop file labels and create tables of content. In the first phase of this (Base Year and Option Year #1) RU-W provided practical assistance on this, but in Option Year #2 RU-W shifted emphasis onto municipal staff by

### ***Filing System in Farah Finance Department***

In 2011, Farah's Finance Department had no labeled files, no proper box folders, and no appropriate record keeping system for saving official documents. They simply kept files in stack in the office corner and spent hours finding documents. New staff struggled to find documents in this process and this slowed departmental work.

RU-W conducted on-the-job filing training and provided cabinets, box files, and labels. RU-W developed a standard operating procedure (SOP) to standardize municipal filing across all departments, and trained staff in the SOP. Finance staff assumed responsibility for keeping their filing system updated in November 2013 and 3 months later, they continue to maintain the system themselves and can easily access important documents. Filing in Farah, as in other municipalities, has been put on a sustainable footing



Farah Finance Department in 2011



Farah Finance Department in 2014

providing mainly on the job training. RU-W also provided box files, file labels and filing cabinets. By the end of the project, all four municipalities had established and were maintaining departmental and sub-district filing systems

**Human Resources:** RU-W trained municipal staff on reviewing and reforming organizational structures. This helped municipalities identify their organizational needs and reflect them in their budget submissions.

RU-W established a standard computer based HR system within partner municipality Administration Departments. RU-W provided database training and helped administration staff to collect and update staff information, develop personnel records for staff, and enter them into a manual HR database. RU-W provided each municipality with IT equipment necessary for the HR database and trained municipal staff on the database. RU-W also provided recruitment management training for HR staff in each partner municipality.

**Inventory:** In 2011 the initial functional assessment found that none of the municipalities had a standardized inventory system in place. RU-W worked with Chaghcharan, Farah and Qala-e-Naw on establishing an inventory system.

RU-W began helping Herat validate its inventory records against physical objects. As a result of the frequent discrepancies between the two, the Mayor intervened and asked RU-W to stop this activity and opted not to participate further.

RU-W provided training and helped municipal staff develop manual inventory records for municipal equipment, attach inventory tags and enter these into a manual register. RU-W then provided IT equipment and helped computerize this information in the inventory database. Finally RU-W developed an Inventory SOP and trained municipal staff on it.

**Municipal Advisory Board:** RU-W conducted a series of training courses for Municipal Advisory Board members in all municipalities, apart from in Herat, where UNDP's ASGP program supported the MAB. Training helped MAB members understand their roles and responsibilities according to GDMA's term of reference, improved their understanding of their relationship with the Mayor and also introduced them to the municipal budgeting process. This program helped MAB members work effectively with the municipality, act effectively as a voice for citizens, and engage productively in the municipal budgeting process and public hearings to support accountability and transparency. These trainings included: Introduction to MAB, Municipal Budgeting and Public Hearing, Interaction with Citizens, and Interaction with the Mayor.

**Procurement and Contract Management:** RU-W trained Chaghcharan, Farah, and Qala-e-Naw procurement staff and interns on the Afghan Procurement Law (APL). RU-W developed a general (master) contract template and shared it with all four municipalities. RU-W helped municipalities develop new contracts and revise existing contracts in compliance with the APL.

RU-W also worked with municipalities to develop contract tendering documents in accordance with Afghan Procurement Law and the draft Municipal Law.

**Project Management:** During a functional audit of all municipal operations and systems, RU-W identified that municipal staff lacked understanding of project management principles. RU-W developed a four-phase module on Basic Project Management: Concepts and Principles, Need Assessment, Planning, and Budgeting. RU-W conducted the training in all partner municipalities.

**Performance Appraisal System:** In Option Year #1, RU-W provided formal 'Performance Appraisal' training conducted. In Option Year #2 RU-W conducted on-the-job training for municipal managers in Chaghcharan, Farah, and Qala-e-Naw. This training helped municipal staff understand their job descriptions and the appraisal process being introduced in the Public Administration and Civil Service Reform.

**Proposal Writing:** To help municipal staff develop a standard proposal for the RU-W Municipal Incentive Fund and meet its criteria, RU-W conducted Proposal writing training for each municipality's Municipal Incentive Fund Proposal Writing Committee. The proposal writing training course and on-the-job assistance also enhanced technical capacity of the municipal staff to develop detailed and comprehensive proposals to other donors. Chaghcharan submitted two latrine construction proposals to the Embassy of Japan and one market and one women's public bath project to IDLG. Herat submitted two drainage construction proposals to UN HABITAT.

**Supervision and Management:** RU-W trained municipal line managers and junior staff, except Herat's, on the basic elements of supervision, general management skills, and teambuilding.

**Work Planning:** RU-W helped Chaghcharan, Farah, and Qala-e-Naw senior managers develop short and long term work plans using the Afghanistan Independent Reform Civil Service Commission (AIRCSC) formats.

## **I.5 DELIVER FUNCTIONAL SKILLS TRAINING**

RU-W Functional skills training directly supported other RU-W programming like budgeting, financial management, revenue generation, service delivery through the expeditious and anchor service selection and maintenance and associated public outreach.

RU-W provided assistance to Construction Departments in three main areas: monitoring in progress infrastructure services, planning and preparing technical packages for new services and technical training and tools to improve the performance of construction staff.

RU-W also provided training focused on construction and engineering for any service improvements involving infrastructure work. This focused mainly on health, environment and safety concerns, survey equipment, technical design, quality control and monitoring.

In Option Year #2 RU-W also facilitated a two day educational tour for Farah construction staff to visit Herat Construction Department and improvement projects in Herat city. They learned about the structure of Herat's Construction Department and the Herat Sub-districts Tashkeel.

RU-W also developed Alternative Service Delivery training. The training introduced municipal staff to different mechanisms for funding and delivering municipal services, enabling them to identify where changes to existing service delivery models can lead to improved quality at a reduced cost.

The table below shows the functional training delivered in each municipality.

Municipality	Training	
	Engineering	Financial Management and Revenue Generation
Chaghcharan	Technical surveying and survey report preparation Maintenance Plan Preparation Monitoring and Inspection Health, Safety and Environment (HSE) Quality Control and Quality Assurance Quality of Construction Material Waste Management Service - Maintenance Training Digital Concrete Hammer Cost Estimation Park & Greenery Maintenance and SOP Gardening GPS Performance Management and Data Collection Total Station Geographic Information System (GIS)	Excel software IFMS Accounting module IFMS BPR module IFMS Budget module PowerPoint software Presentation skills Template design
Farah	Monitoring and Inspection Quality Control and Quality Assurance Testing Procedures Level and Theodolite Maintenance Plan preparation Compaction Testing And Material Quality AutoCAD software and Mapping Concrete Compression Strength Testing Digital Concrete Hammer	Excel software Automation and tracking of revenue collection IFMS Accounting module IFMS BPR module IFMS Budget module PowerPoint software Presentation skills Template design

	<p>Drainage Maintenance and SOP</p> <p>Health, Safety and Environment (HSE)</p> <p>GPS</p> <p>Cost Estimation</p> <p>Street Maintenance and SOP</p> <p>Geographic Information System (GIS)</p> <p>Performance Management &amp; Data Collection</p>	
Herat	<p>SDR Map and Design</p> <p>Quality Control and Quality Assurance</p> <p>Monitoring and Inspection</p> <p>Technical Survey and Survey Report Preparation</p> <p>Maintenance Plan Preparation</p> <p>Health, Safety and Environment (HSE)</p> <p>Concrete Compression Strength Testing</p> <p>Digital Concrete Hammer</p> <p>Geographic Information System (GIS )</p> <p>Google Earth Software</p> <p>Median maintenance and SOP</p> <p>Solar Pump maintenance and SOP</p> <p>Cost Estimation</p> <p>Drainage Maintenance and SOP</p> <p>Total Station two phases (Basic and Advanced)</p>	<p>IFMS Accounting module</p> <p>IFMS BPR module</p> <p>IFMS Budget module</p> <p>Excel software</p> <p>PowerPoint software</p> <p>Presentation skills</p> <p>Template design</p>
Qala-e-Naw	<p>Quality Control</p> <p>Concrete Compression Strength Testing</p> <p>Health, Safety and Environment (HSE)</p> <p>GPS</p> <p>Theodolite</p> <p>Street and Sidewalk maintenance and SOP</p> <p>Monitoring and Inspection</p>	<p>Excel software</p> <p>IFMS Accounting module</p> <p>IFMS BPR module</p> <p>IFMS Budget module</p> <p>PowerPoint software</p> <p>Presentation skills</p> <p>Template design</p>

### ***Herat - Quality Control of Municipal Construction Projects***

Since 2011, RU-W has helped the Herat Construction Department modernize their approach to controlling the quality of municipal building projects. RU-W engineering staff accompanied their municipal counterparts to provide support monitoring construction projects. RU-W helped staff develop monitoring and quality control plans and provided the right tools for the job, including a digital concrete hammer and GPS equipment. RU-W also provided training to ensure that future construction contracts include the necessary specifications.

Municipal engineers now use the Digital Concrete Hammer to check the strength of concrete. In 2014, construction staff found that a section of concrete work of a drainage canal on Jada-e-Shomali Street did not comply with the specifications in the contract. The municipal engineers stopped the work and the contractor demolished the section and reconstructed it in compliance with the drawings. Municipal Engineers now have the knowledge, equipment and confidence to quality assure municipal construction projects.



On-the-job Digital Concrete Hammer Training



Construction staff testing the strength of concrete plates using the digital concrete hammer

## **I.6 DEVELOP STANDARD OPERATING PROCEDURES**

Standard Operating Procedures (SOPs) are guidelines for how municipal functions should be carried out. SOPs were developed in collaboration with partner municipalities, either being developed from first principles where no SOP existed, or based on existing SOPs where these needed updating.

In Option Year #1 RU-W and municipalities developed SOPs on:

- Inventory control
- Filing
- Human Resource and Recruitment Management

- Archiving
- Record keeping

In Option Year #2 RU-W helped each partner municipality develop SOPs related to maintenance of their Anchor Services for Option Year #1 and Option Year #2 and provided training on them (see below table):

Municipality	Anchor Service	
	Option Year #1	Option Year #2
<b>Chaghcharan</b>	Park and Green Spaces	Solid Waste Management
<b>Farah</b>	Drainage	Street
<b>Herat</b>	Solar Water Pump Maintenance	Drainage
<b>Qala-e-Naw</b>	Streets, Sidewalks and Ditches	Solid Waste Management

## 1.7 SUPPORT PERFORMANCE-BASED BUDGETING

RU-W support on Performance-based Budgeting focused on enabling municipal officials to develop budgets which take into account citizen preferences, measure financial progress towards achievement of service improvements and enables municipalities to take action where needed. Performance Budgeting improves accountability and transparency between the municipality and its citizenry as well as providing a framework for improved financial and service improvement performance.

### Budget Development

In Option Year #1 RU-W worked with partner municipalities on several budget improvements focusing on improving transparency and accountability of the process, and introducing citizen participation for the first time. RU-W provided assistance to Budget Commissions to prepare the 1391 budgets and helped municipalities utilize their SDIP as a tool to account for citizen preferences and use its data for developing the capital budget.

In Option Year #2, RU-W again supported partner municipalities to develop and finalize their draft 1392 budgets in compliance with the IDLG budget circular and budget calendar. RU-W worked with Budget Committees to reconcile year-end bank accounts and collect expenditure data for inclusion in the 1392 budget. Again in preparation for the 1393 Budget process, RU-W helped each municipality form budget committees, develop their budget calendar and set dates for holding Public Budget Hearings. RU-W also helped municipalities identify positions they would like to add to their Tashkeels, and to identify what budgetary impact will result from implementation of the Public Administration and Civil Service Reform.

RU-W supported partner municipalities to organize two Public Budget Hearings prior to submitting the budget for approval by Kabul. At the first hearing a municipal officials presented the Service Delivery Improvement Plan (SDIP) and Mayors provided an update on implementation of the prior year's budget and finally, citizens discussed municipal priorities, and suggested projects for inclusion in the budget.

After each hearing, RU-W helped each partner municipality incorporate public comments. Following revision of the draft budget after the second public hearing, RU-W helped municipalities submit the budget for approval.

## Budget Approval

### ***Chaghcharan – Budget Hearings enable citizens to influence the 1392 Budget***

Before 2011, Chaghcharan citizens knew very little about the municipal budget: how it was developed and what it included. The Municipality drafted its budget behind closed doors and with no citizen involvement.

In 2011, and for the first time, RU-W helped the municipality hold a series of public hearings to engage citizens in developing the 1391 budget. Again, in 2012, RU-W helped the municipality hold public budget hearings to review performance implementing the 1391 budget, and get citizen input on priorities for 1392.

When municipal officials presented a draft of the budget, citizens lobbied the municipality to re-allocate funds away from re-flooring the local Market & re-lining culverts, and instead to build public toilets and baths. Citizens argued that these were a higher priority for them and the municipality listened, changing its budget to more closely reflect the needs of citizens.

Now, Chaghcharan citizens participate fully in public hearings, and ensure that the budget serves their needs.



Participants in the second Public Hearing in Chaghcharan discuss the municipal budget



Municipals present the draft budget of 1392 to citizens

The 1392 budget development and approval process did not go smoothly and in all four municipalities budget approval took longer than in 1391. In general, approval time has improved since 1389, especially in Qala-e-Naw where the approval time fell from over 180 days to 48 days in 1392.

When developing the 1392 budget, the late release of the budget circular letter and accompanying GDMA guidelines on developing budgets compliant with the Public Administration Reform Tashkeel and new salary scale slowed development of the 1392 budget.

GDMA replaced the Mayors of Farah and Qala-e-Naw in the middle of the budget preparation process and the new Mayors changed some of the normal and development expenditure codes, delaying submission of the budget to Kabul for approval.

Additionally, Public Administration Reform implementation slowed down approvals from different central government bodies. These include IDLG, the Directorate of Administration, the Independent Administrative Reform and Civil Service Commission (IARCSC), and the Ministry of Finance.

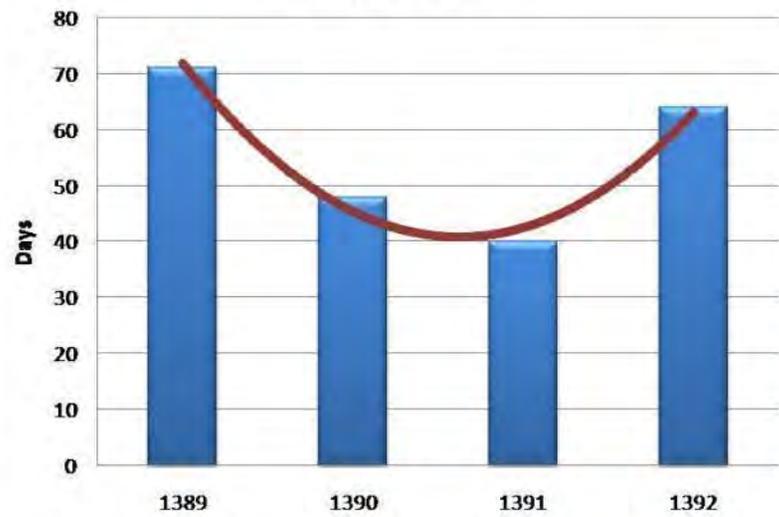
Finally, IARCSC initially rejected budgets submitted by Chaghcharan, Farah and Qala-e-Naw arguing they did not reflect Tashkeel changes required by the Public Administration Reform. IDLG eventually intervened to resolve this issue, informing IARCSC that these municipalities would not implement Public Administration Reform until 1393.

When developing the 1393 budget, the budget circular was again released late and GDMA issued guidance asking municipalities not to add any additional positions to their tashkeels. The late issuing of the budget letter meant that all four municipalities submitted their budgets late, and in fact due to the ongoing absence of the Qala-e-Naw Mayor, Qala-e-Naw had not submitted its budget to Kabul in March 2014.

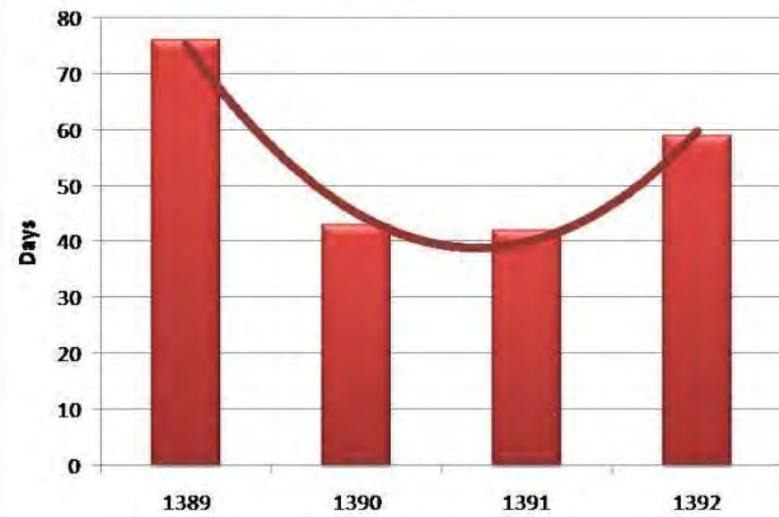
Following approval of the budgets in Kabul, each municipality held a third budget hearing, at which they presented the approved budget. This enabled citizens to hold the municipality to account for implementation of the budget throughout the year.

The graph below shows trends in budget approval timelines from 1389 to 1392. At the time of writing, none of the 1393 budgets had been approved.

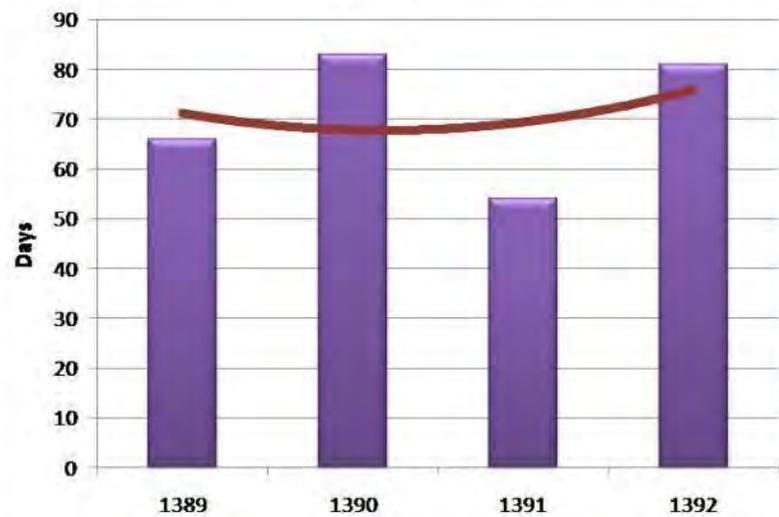
### Chaghcharan



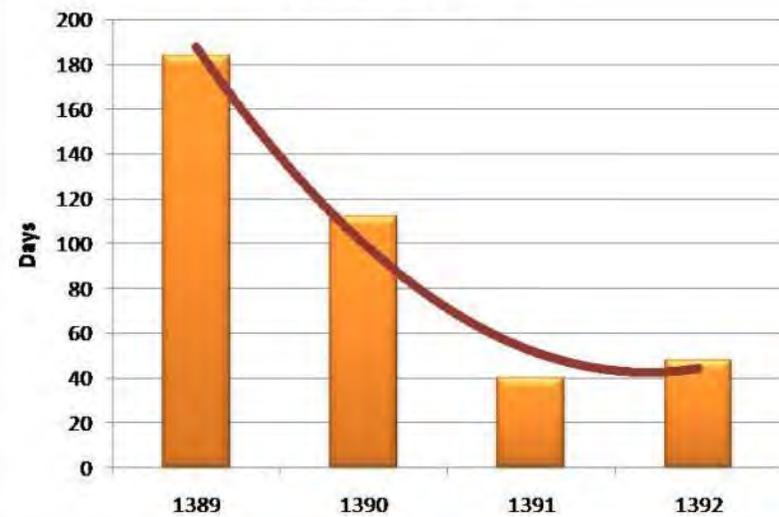
### Farah



### Herat



### Qala-e-Naw



## **Mid-Year Budget Review**

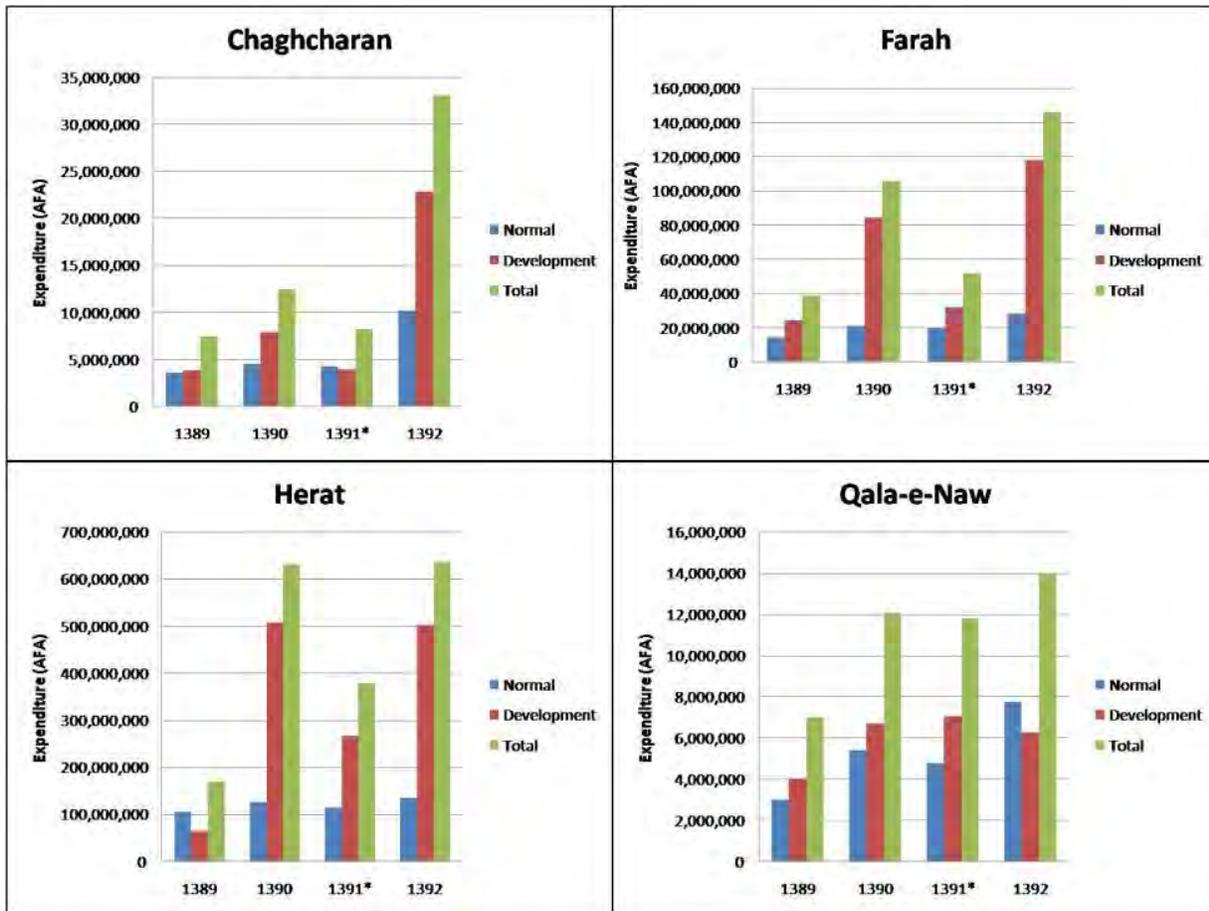
Mid-Year Budget Reviews improve transparency and enable citizens to hold municipalities to account for implementation of the budget. In Option Year #1 RU-W helped each partner municipality conduct a Mid-Year Review for the first time and helped municipal officials present progress on implementation of development projects, overall expenditures and revenue collections in comparison to the budget estimate. RU-W helped each partner municipality hold the event again in Option Year #2, with municipal officials leading the process, presenting their performance and responding to questions, with RU-W in a more supporting role. Public attendance was excellent, with 210 citizens attending in Option Year #1, increasing to 355 citizens attending sessions in Option Year #2. This increase showed increased citizen engagement in holding the municipality to account.

## **Capital Budget Plan**

In Option Year #2, RU-W also helped Herat develop a Capital Budget Plan. The plan will serve as a basis for implementing multi-year budget planning for 3 years from 1393 to 1395. The Capital Budget plan includes a list of capital projects, prioritizes them and helps identify funding sources and donors, RU-W helped municipalities incorporate citizen priorities expressed in the SDIP, Citizen Perception Survey and the Economic Development Plan.

## **Budget Implementation**

RU-W measures improvements in municipal budget implementation by analyzing trends in total spending and in budget performance (actual spending as a percentage of budgeted spending). The graph below compares RU-W partner municipality budget expenditures from 1389 to 1392



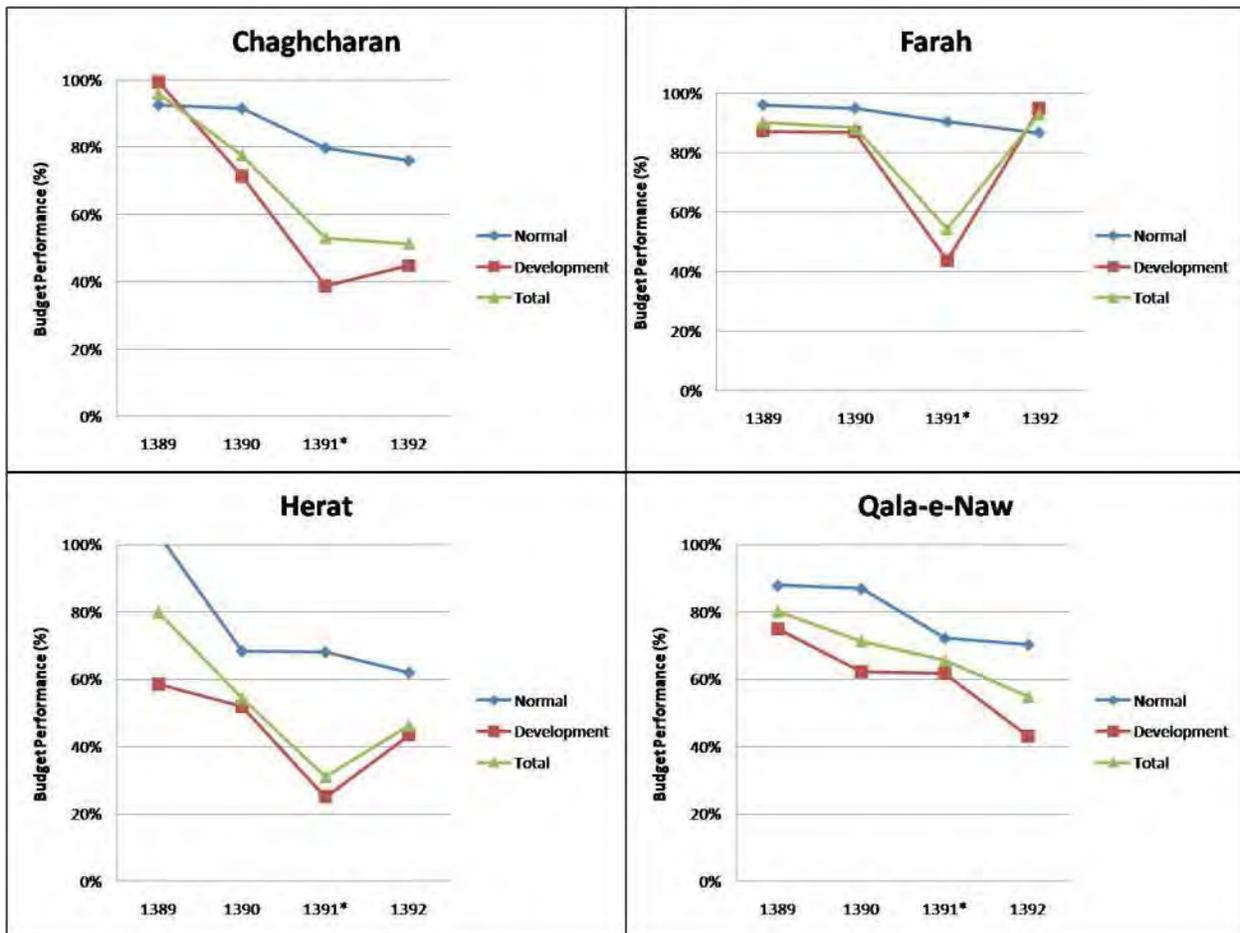
\* 1391 is a 9 month fiscal year

Expenditure figures for 1389-1392 show overall increases in spending, both on the normal and the development budget. Chaghcharan in particular improved with total spending for 1392 nearly three times greater than in 1389. Farah saw an equally impressive increase in spending compared to prior years, both in relation to the normal and development budget. Herat and Qala-e-Naw also exhibit positive trends over the whole period, although Qala-e-Naw's development budget spending for 1392 spending was lower than in the two prior years.

A comparison of 1392 to 1390 shows a similarly positive picture. Total expenditures in all four municipalities match or exceed those achieved in 1390. All four municipalities also spent more in 1392 than 1391, although 1391 was a 9 month fiscal year so expenditures look artificially low in comparison to other years.

The picture for budget performance (actual spending as a percentage of budgeted spending) is mixed.

The charts below show trends in budget performance from 1389 to 1392, both in terms of the Normal Budget and the Development Budget.



\* 1391 is a 9 month fiscal year

The tables above show that budget performance declined overall from 1389 to 1392, with only Farah on exceeding its 1389 budget performance. Qala-e-Naw's performance in 1392 was particularly poor compared to 1391, whereas Chaghcharan, Herat and Farah improved in comparison to 1391. Farah's performance was particularly strong.

Results for 1392 could have been stronger, if there had not been 3-5 month delays in getting budget approval from Kabul. These delays meant municipalities did not start implementing their budgets until well after the first quarter of the fiscal year.

These trends should also be seen in the context of increasing budgets. Chaghcharan and Farah (but even Herat and Qala-e-Naw to a lesser extent) increased their development budgets significantly over the 1389 – 1392 period and this skews.

### Handbook on Effective Municipal Budgeting

RU-W developed and published a handbook on a "Model Budget Process for Afghanistan Municipalities". This provides municipalities with a step-by-step guide on all facets of the budget process, incorporating examples from partner municipalities. This will serve as an easy-to-use tool for better budgeting after the project ends. RU-W provided an electronic copy of the publication to GDMA for distribution to municipalities.

## **I.8 MODERNIZE ACCOUNTING 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 continued assisting the municipalities to improve the quality of their financial reporting and decreasing human errors. RU-W maintained an emphasis on automated reporting for greater accuracy and transparency.

### **Aligning policies and procedures with GIRoA requirements**

RU-W assisted partner municipalities to standardize their financial policies and procedures, aligning them with GIRoA policies and streamlining where necessary.

For example RU-W assisted the Chaghcharan Finance and Revenue Departments to develop and record their current operational procedures, whilst in Herat RU-W also helped reconcile municipal expense codes with the MoF's coding system. In Farah, RU-W worked with the Accounting Manager to align account codes with ones issued by IDLG.

### **Integrated Financial Management System (IFMS)**

GDMA selected this database, developed by RU-S, for national roll-out and implementation in all municipalities. An integrated system, IFMS helps municipalities generate payroll, enter expenditure and revenue transactions, develop the budget, generate financial reports, including capital transactions, and links property and business registration information with the rest of the accounting system. RU-W introduced the IFMS (Information Financial Management System) in each partner municipality.

RU-W provided IT equipment and installed network cabling for implementation of IFMS in partner municipalities. RU-W trained relevant municipal staff, including members of the Budget Committees, on the IFMS Budget and Accounting modules. RU-W also helped municipalities implement the BPR module alongside its BPR survey support. Parallel to progress on BPR in all four municipalities, RU-W trained municipal BPR Database Officers on the IFMS BPR module and used it for collating BPR data.

At the close of the project, Budgeting and BPR modules were in use in all four municipalities. The Budget module was used for collating 1393 municipal budgets, apart from in Herat, which will enter them into the module following approval of the budget. Chaghcharan used IFMS to submit its budget to GDMA.

The BPR module is being used in all four municipalities for collections and recording of Safayi. RU-W also provided training on the Accounting module, and municipalities will be responsible for transitioning from the existing Excel-based system to IFMS. RU-W was unable to implement the IFMS Payroll module (see below).

### **Automation of Payroll**

RU-W helped municipalities transfer payroll information from existing systems to Excel in order to improve accuracy and assist future payroll automation. Advisory support and on the job training was provided to ensure sustainability of this system and to ensure that municipal staff can make payroll and overtime calculations easily in the future.

Herat and Farah planned to transfer payroll to the IFMS Payroll Module in line with GDMA guidance. Roll-out of this Module was delayed throughout the year, initially due to delays translating the module, and subsequently due to it not being compatible with payroll systems in RU-W partner municipalities. RU-W documented these issues and communicated them to GDMA and RU-S. RU-W was ultimately unable to implement the system.

### **Operational Assessments and Financial Operations Manual**

In Option Year #2, RU-W conducted an Operational Assessment of municipal financial functions. These assessments reviewed existing financial procedures, including those relating to expenditures and revenue, and compared current practices with official rules, procedures, and the relevant public and municipal laws.

RU-W published Operational Assessment reports for all four municipalities and presented the findings of the assessment to Mayors and senior municipal managers. Each municipality will use the findings to improve financial processes and practices. RU-W shared these assessments with GDMA, and they will serve as a valuable resource for guiding future donor and GIRoA support to improve municipal financial operations. RU-W will provide a summary document to USAID to guide future programming.

RU-W planned to develop Financial Operations Manuals based on findings of Operational Assessments in each municipality. The need to integrate guidance from the IDLG mandated IFMS system (and IFMS's slowed finalization) meant that RU-W provided training on the IFMS operational manual instead of developing Financial Operations Manuals.

### **Monthly and Quarterly Reporting**

During the Base Year, partner municipalities reported financial information using different formats. RU-W helped municipal staff develop a standard Excel-based template for reporting Monthly and Quarterly financial information.

RU-W provided advice and on-the-job training to help municipal staff use revenue and expenditure templates to produce accurate monthly and quarterly financial reports. To improve budget execution, all RU-W municipalities began sharing monthly and quarterly reports with Mayors and senior staff to identify and resolve expenditure and revenue collection challenges.

RU-W trained bookkeeping staff and payment managers on the use of the new template to record daily transactions. RU-W also helped municipal staff enter transactions in Excel and prepare quarterly budget reports, including revenues and expenditures.

By the close of the project, all four municipalities continued to generate these reports on a monthly and quarterly basis without RU-W support.

### **Monthly Bank reconciliation**

RU-W provided on-the-job training and developed improved processes and procedures to enable finance staff to conduct regular reconciliations of financial information. Regular reconciliations improve the accuracy of monthly and quarterly reports, and enable municipal financial staff to manage cash flow and track municipal financial performance (for revenues and expenditures) accurately.

Specifically RU-W helped municipal staff use their bank books to record municipal expenditure transactions and reconcile them with monthly bank statements. RU-W also helped finance staff

reconcile bank cash voucher receipts for revenue collections against the Excel records. This enabled Finance Departments to track all their debits and credits, including bank charges and tax deductions, against the bank balance.

This assistance improved monthly recording using Excel and made the 1392 and 1393 budget process easier compared to prior years while reducing some of the opportunities for human error. This also improved the municipality's ability to understand the status of their spending by allowing them to quickly compare the budget to actual expenditures at a detailed level.

### **Recording of Capital Payment Transactions**

RU-W enhanced each partner municipality's budget tracker to cover their capital payment transactions and trained municipal finance staff to record development projects transactions in it. This helped municipalities generate reports on project implementation progress.

### **Cash Flow Planning**

RU-W helped all partner municipalities project their cash flows in order to improve implementation of their budget and reduce bank balances at the end of the year. RU-W helped service delivery staff project cash flow requirements for the rest of 1392 and helped finance staff project cash flow to avoid overspending.

In Option Year #2, this process highlighted a potential cash flow deficit in Herat Municipality. RU-W helped the municipality address this by deferring payments for some infrastructure projects and helping them identify immediate actions to improve revenues.

### **Cash Security**

RU-W helped accounting and revenue staff in all four municipalities record cash transactions using the new cash count templates on a daily basis to help them increase cash security.

## **1.9 INCREASE PARTICIPATION OF WOMEN**

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 developed an inventory of female employees working in each municipality and reviews all municipal policies for compliance with GIRoA gender requirements. This inventory revealed that Farah and Qala-e-Naw had no female staff.

In Option Year #2, RU-W worked with each municipality to add a Gender Officer to their municipal tashkeel. RU-W helped develop a job description and helped each municipality write a justification in their budget submission. Unfortunately no municipalities were successful in adding this position to their taskheels so RU-W worked with them to assign a staff member to coordinate gender mainstreaming activities in the municipality. All four municipalities designated staff as Gender Focal Points.

RU-W helped Chaghcharan, Herat, and Qala-e-Naw MABs establish a Women's sub-committee with between 4 and 8 members. These sub-committees ensure that MAB's and Budget Committees include women's priorities in their discussions and in municipal planning.

**Afghan Anti-harassment Policy:** GDMA issued a Anti-harassment policy in 2013. RU-W conducted an introductory workshop on the new Afghan Anti-harassment policy for all municipal staff in all four municipalities.

**Gender Mainstreaming Training and Gender Guideline:** In the Base Year RU-W conducted an introductory gender awareness workshop for municipal staff in all four municipalities. In Option Year #2, RU-W provided gender mainstreaming training for municipal staff with a total of 76 women and 173 men receiving training across all four municipalities.

RU-W helped municipalities implement GDMA's Gender Mainstreaming Guideline. RU-W held focus group discussions (FGDs) with municipal staff, MAB members, the Department of Women's Affairs (DoWA) and female community stakeholders to understand women's needs and get ideas on how to mainstream gender considerations into municipal activities. Each municipality then developed a Gender Strategy (and associated Action Plan) to operationalize their mainstreaming guideline.

Following that, RU-W conducted an introductory workshop on the 'Gender Guideline and Action Plan' for municipal staff across all four municipalities. Staff learned about activities included in the plan and their budgetary requirements.

Budget Committees in all four municipalities agreed to allocate eight hundred thousand to one million AFA toward implementation of the action plan in the 1393 budget, including constructing the first women's toilet in the municipal building.

**Youth and the Municipality Seminar:** RU-W conducted its series of "Youth and the Municipality" workshops at universities and high schools throughout the western region. These workshops encouraged dialogue between youth and municipal officials and are a means of encouraging civic responsibility. The topics covered roles and responsibilities of the municipality and citizens, Municipal budget, revenue resources, tax collection, development projects, greenery, waste management and public outreach. In total, 3,921 people attended these workshops.

RU-W handed over these workshops to the Herat Cultural Department and Farah Youth Council. Herat led 4 workshops and Farah conducted 1 workshop without RU-W assistance. This leads us to expect that these Seminars will be sustainable in the long term, and will continue without RU-W support.

### ***Herat leads monthly 'Youth and the Municipality' Seminar***

Since 2011, RU-W has held a series of 'Youth and the Municipality' workshops at universities and high schools throughout the western region. These workshops encourage dialogue between local youth and municipal officials and are a means of encouraging civic responsibility.

From 2013 onwards, in order to make these events sustainable, RU-W began transferring responsibility for these seminars to municipalities.

In March 2013, Herat municipality for the first time hosted a 'Youth and the Municipality' seminar in their Conference Hall. The Cultural, Planning, Finance and Revenue Departments presented the draft of the 1392 budget to more than 80 men and women who represented the 12 sub-districts of Herat city.

Since then, the Cultural Department of Herat municipality has continued conducting monthly seminars to target youth without RU-W support. This encourages RU-W that this activity will be sustained in the future.



A high school principal asks the municipality to collect waste around schools on a regular basis at the 'Youth and the Municipality' in March 2013



The Head of Cultural Department presents municipal outreach plan for 1393 at the 'Youth and the Municipality' in November 2013

**Mock Municipality competition:** In Option Year #1 RU-W held a mock municipality competition in Herat municipality. This included an essay writing contest and research on five municipalities from around the world to engage youths in identifying creative find solutions to challenges facing the city. This proved to be an effective way to educate students about the different responsibilities, activities, and challenges of a municipality.

**Youth Council:** In Option Year #2 RU-W helped Chaghcharan, Farah, and Qala-e-Naw establish elected Youth Councils to liaise between the municipality and youth and to mobilize youth to improve the community through campaigns and events. This included publicizing the role of the Youth Council, seeking candidate nominations, campaigning for nominated candidates, establishing voting stations and conducting the elections. Youth Councils are voluntary bodies and meet regularly with the Mayor and senior municipal managers.

In Farah, they implemented volunteer work in coordination with their municipality. They organized the first ever voluntary cleaning campaign (hashar) in Farah Main Park.

RU-W trained Youth Council members on Public Participation, Good Governance, and Proposal Writing.

### **Farah Youth Council Mobilizes Volunteers to Clean the Main Park**

In May 2013, RU-W helped Farah municipality conduct elections and establish a youth council to interface with the municipality on youth issues and involve young people in municipal affairs.

In September 2013, within six months, Farah's Youth Council organized the first-ever voluntary Clean-up Campaign (hashar) in Farah Main Park. The Youth Council ran a campaign to get the involvement of youth from local high schools and Farah University. Mullahs supported the campaign, using prayer times to emphasize the importance of cleanliness and the environment.

The municipality provided overalls, gloves, garbage bags and a garbage truck for the cleaning campaign. The Mayor participated in the event and recognized the initiative of the Youth Council saying, "Today youths proved that they are helping their municipality".

This volunteer day was organized directly by the Youth Council, which also coordinate with the municipality. The council received no RU-W financial support and this suggests that this new body will continue to hold events in the future.



"The Municipality+ Youths= A Clean City"



Farah Youth picking up garbage in the Main Park

**International Women’s Day:** In 2011, RU-W helped each partner municipality to conduct a ceremony to honor International Women’s Day for the first time. In 2012, RU-W municipalities conducted a ceremony to recognize efforts of their female staff and members of MAB and EDC on the occasion of International Women’s Day. In 2013, municipalities and DoWA again recognized this event, in the absence of RU-W support.

## **I.10 IMPROVE STRATEGIC COMMUNICATIONS FOR CITIZEN AWARENESS**

RU-W provided support to help municipalities improve their communication with citizens, the media and civil society. Specific achievements include:

**Communication and Public Relations Strategies:** In Option Year #1 RU-W helped each municipality finalize a communications strategy. The strategy includes activities like a newsletter for internal and external stakeholders, public competition for municipal affairs, media outputs, and engagement with available educational institutes and civil societies. RU-W helped each municipality implement their strategy to improve citizen awareness and engagement with municipal activities. RU-W also provided support in improving their communications with citizens, including effective use of billboards, festivals, local media and campaigns.

In the 1392 budget both Chaghcharan and Qala-e-Naw included Outreach Officers in their tashkeels and budgets. Unfortunately, GDMA eliminated these positions, and in 1393 GDMA issued guidance asking municipalities not to add new positions to their tashkeels. In 1392 Chaghcharan, Farah and Qala-e-Naw nominated an employee as public outreach focal points to implement the communications strategy. In Herat, RU-W worked with the Cultural Department.

In Option Year #1 RU-W helped Chaghcharan, Farah, and Qala-e-Naw municipalities print and install billboards around the city, encouraging citizens to pay taxes, reminding citizens of the top priorities from the SDIP and encouraging public participation in budget hearings.

RU-W also helped partner municipalities install banners in high schools to promote urban living and inform students about the roles and responsibilities of the municipality and citizens. These banners built upon lessons from the “Roles and Responsibilities of the Municipality and Citizens” sessions held in these schools.

In Option Year #2 Chaghcharan started publishing a monthly magazine at their own expense to keep citizens informed about municipal activities. In Qala-e-Naw, DoWA allocated two pages of their monthly magazine to the municipality, which used the space to promote BPR and their Greenery Campaign. In Herat, RU-W helped the Cultural Department create a Facebook page for the municipality to keep citizens updated on progress implementing municipal plans and to receive citizen feedback.

RU-W also helped Herat and Qala-e-Naw initiate a greenery volunteer day where citizens improved their neighborhoods by planting shrubs.

**Budget in Brief:** In Option Year #2 RU-W helped each municipality develop a narrative summary of their 1392 budget. It explained the basic contents of the budget in an easy-to-read format for citizens. Each municipality distributed these to citizens at public hearings and placed copies in municipal libraries.

**Herat House of Culture:** In Option Year #1 RU-W and Herat opened a House of Culture. This cultural complex consists of a rich library with both city-procured books and some donated by members of the community, a study room, archive of municipal publications, a computer lab with internet, a conference room, a lobby and an exhibition space. RUW provided 1,000 books for the Herat House of Culture.

In Option Year #2 RU-W helped the Cultural Department conduct a series of 11 seminars at the House of Culture on 'Leadership', 'Communication Skills', 'Energy Therapy', 'Learning from Mistakes' and a Q&A on 'Internet, Social Media, and Search Engines' for 273 youth.

**Herat Film Festival:** In Option Year #1, RU-W helped Herat municipality conduct a documentary film festival. Citizens submitted 15 short films based on the theme "the city from a citizen's perspective", ten met the festival criteria. The documentaries mainly highlighted municipal shortcomings from citizen perspectives, while two focused on positive service delivery efforts made by Herat municipality.

In Option Year #2, Herat conducted a second Documentary Film Festival with 15 short films shown. The films were on the topic of 'My City' and looked at a variety of urban living issues from the perspective of ordinary citizens. Herat municipality led the whole process and conducted the event. Herat plans to hold the event every year.

**Public Libraries:** RU-W helped Chaghcharan, Farah, and Qala-e-Naw open Public Libraries. Municipalities allocated space and RU-W renovated them and provided shelves, chairs, study tables and 500 books for each library. Municipalities continue to staff and maintain these spaces, which are regularly used by citizens.

**Radio Program:** In Option Year #1 RU-W supported partner municipalities to broadcast half hour weekly radio programs on popular radio stations in each municipality. Each program addressed a key issue facing the municipality and citizens. Each half hour program consisted of a drama, followed by a live call-in segment and a guided discussion focused on the topic of the program. Caller questions were answered by officials including the Mayors of Chaghcharan and Qala-e-Naw, as well as the Director of the Herat Construction Department and the Head of Herat Cultural Department.

The topics explored include cleanliness of the city, solid waste management, urban construction permits, maintenance of existing infrastructure, and greenery. In September the first program looked at citizen participation and public outreach.

### **Radio Program in Qala-e-Naw**

In order to improve citizen outreach, RU-W helped Qala-e-Naw develop a communications strategy. One element of the strategy was broadcasting a series of radio shows on a local radio station. Each show included a pre-recorded drama highlighting a particular issue, followed by a live phone-in with a municipal official.

The series of programs proved popular both with local citizens and municipal officials. In Qala-e-Naw, the Mayor and Revenue Manager appeared live 'on air' and Qala-e-Naw citizens called in and asked them questions.

Following this success, Qala-e-Naw views radio as a good medium to reach a wide range of citizens and inform them about municipal activities. In 2013, the municipality worked again with the local radio station to broadcast a program introducing a municipal business and property registration campaign and introduce new safayi rates and regulations. The Edalat radio station agreed to broadcast the program free of charge and the municipality intends to continue using this valuable communication medium to improve its relationship with citizens.



Qala-e-Naw Mayor introduces BPR in live radio program

## **1.11 SUPPORT MUNICIPAL CONFERENCES**

In April 2012 RU-W convened the first-ever Municipal Conference, bringing together partner municipalities from the western region of Afghanistan. Mayors and senior municipal officials joined representatives from USAID, IDLG/GDMA, and other municipal stakeholders for two days of presentations and discussions on topics including budgeting, revenue generation, and solid waste management.

Mayors then asked RU-W to convene periodic meetings between the municipal partners, GDMA, and RU-W to provide a framework for close interaction between central government and the municipalities and each other. RU-W conducted three periodic Mayors Meetings on topics including 'budgeting & revenue collection', 'public outreach and women and youth engagement', and 'service delivery and economic development'.

At these events, representatives from USAID, IDLG/GDMA and members of Municipal Economic Development Committees and Municipal Advisory Boards joined Mayors and senior municipal officials and shared experiences and discuss best practice and challenges.

## **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. These projects simultaneously fill two purposes: (1) municipal projects provide citizens with marked improvements in daily life, helping them gain satisfaction with and confidence in their municipal government; and (2) in executing projects hand-in-hand with municipal officials, 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.

### **2.1 BASELINES**

See I.I.

### **2.2 EXPEDITIOUS PROJECTS**

During the Base Year RU-W moved quickly to plan and implement a series of expeditious projects in each municipality. RU-W worked with the municipalities and their communities to determine some immediate projects to implement. In addition to meeting some critical needs, it allowed the municipality to show its citizens some immediate improvements and it also built goodwill between RU-W and the municipalities.

RU-W municipalities participated in the bidding process to learn about transparent procurement. They also learned how to monitor construction projects. RU-W assisted the municipality to develop an Operations and Maintenance (O&M) plan for long term sustainability.

RU-W also conducted training on quality control and quality assurance for RU-W contractors.

Some projects overran and were completed in Option Year #1. Overall seventeen expeditious projects were designed and implemented across four municipalities, all of which were completed with input from communities and in partnership with GIROA.

- **Chaghcharan:** Three projects, including sidewalks, park bridge guard rail, parking lot, and concrete garbage bins throughout the city
- **Farah:** Four projects, including parking lots, drainage canals, culverts, and street medians
- **Herat:** In total, six interrelated infrastructure projects including sidewalk, guard rail, drainage canal, and box culverts
- **Qala-e-Naw:** Four infrastructure projects including sidewalk, drainage canal, culvert, and park

Annex A provides details of these projects.

An evaluation of the expeditious projects was completed in October 2013. Key findings were that projects reduced localized dust pollution and mud in pedestrian areas, reduced trash disposal in public places and improved water drainage and cleanliness in high traffic areas. Due to the varied nature of the Expeditious Projects and the fact that construction was concurrent with the Baseline Citizen Perception Survey, it is difficult to assess the impact of these projects on citizen satisfaction with their municipalities, but anecdotal assessments indicated that citizens benefited from the project and credited their municipal government for the improvement.

The evaluation also found that the projects remained in a good condition, and there was little evidence of deterioration following handover to the municipalities. There were some exceptions to this, for example in Herat damage to manhole screens was observed, showing the need for municipalities to continuously invest in ongoing maintenance of these projects.

The evaluation also found that partner municipalities were continuing to allocate budget funds for the ongoing operations and maintenance of the projects. This included funds for staffing and equipment for regular cleaning and repairing of observed damage.

Municipalities were found to be allocating funds and planning maintenance based on the RU-W provided maintenance plans but in most cases they were not following the maintenance schedule and instead were cleaning and maintaining the infrastructure on an ad hoc basis. While this had not led to significant deterioration in the quality of the projects, it reinforced the importance of preventative maintenance in

### ***Drainage and Sidewalk Construction Encourage Qala-e-Naw Citizens to Walk***

Outside of the summer months Qala-e-Naw experiences intense rainfall and flooding. Pedestrians preferred to walk on the asphalted street rather than mud sidewalks and parents discouraged their children from playing outside.

In 2011, the municipality along with citizens identified drainage and sidewalk construction as high priority areas for RU-W assistance. In response RU-W helped the municipality construct 3km of drainage canals including 5 culverts, and 6 km of sidewalks.

As a result citizens benefit from a clean and safe environment. These also improve road safety by improving road conditions, and separating pedestrians from local vehicle traffic.

Since 2011, the municipality has allocated funds for the operation and maintenance of these projects. In accordance with the plan, the Solid Waste Management Department procured equipment to enable its staff to keep the drains and sidewalks clean. Local Citizens also recognize the value of these projects, and cooperate with the municipality to sweep the sidewalks.



Construction of sidewalks, drainage and raised planter reduce dust in the summer months and mud in winter months



Children play on sidewalk alongside renovated drainage in Qala-e-Naw sub-district #1

order to sustain the service improvements into the future.

Positively, the evaluation found that the majority of expeditious projects were now incorporated into municipal service improvement plans developed for subsequent Anchor Services. This makes it likely that municipal operations and maintenance of Expeditious Projects will be sustained in the future as municipalities apply the rigorous approaches and training provided through the Anchor Service and Service Delivery Advisory Groups provide oversight of these projects.

### **2.3 IMPROVED SERVICE DELIVERY (ANCHOR SERVICE)**

In Option Year #1 RU-W introduced 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. RU-W finalized Anchor Service Improvement plans for each partner municipality after receiving feedback from municipal officials and other government and civil society stakeholders.

Municipalities also established Service Delivery Advisory Groups (SDAGs) that brought municipal officials and key stakeholders together to provide input into the anchor service. In Option Year #1, RU-W delivered Performance Management training for municipal officials and SDAG members. In Option Year #2 RU-W built on this by conducting Performance Management and Data Collection training. These courses enable participants to set indicators and collect data to monitor service quality and identify necessary service improvements.

The SDAGs developed Municipal Service Improvement Plan for their anchor service. SDAGs also set performance indicators for the anchor service in both Option Year #1 and Option Year #2 (see 2.7). The SDAGs have proved to perform well and serve as a model for municipal – community joint decision making.

Each municipality chose a second anchor service for Option Year #2. The Option Year #2 Anchor Service introduced the requirement for municipalities to write proposals and secure funding through the Municipal Incentive Fund (MIF). Municipalities were required to include an in kind and/or financial contribution equaling 25% of the total proposal cost. Municipalities established proposal writing committees, and RU-W provided formal proposal writing training and on the job support. Committees incorporated information from the Citizen Perception Survey, Service Delivery Improvement Plan (SDIP) priorities and technical surveys in their proposals.

All four municipalities successfully qualified for funding of their selected Anchor Service.

Annex A includes a list of Anchor Service Improvements.

For both first and second Anchor Service Improvements, RU-W helped municipalities develop 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.

Municipality	Option Year #1	Option Year #2
<b>Chaghcharan</b>	Greenery and Park	Solid Waste Management
<b>Farah</b>	Drainage	Street
<b>Herat</b>	Greenery and Park	Drainage
<b>Qala-e-Naw</b>	Street, Sidewalk and Side Ditches	Solid Waste Management

RU-W completed an evaluation of Option Year #1 anchor service improvements in September 2013.

In Chaghcharan, the Anchor Service was for Green Spaces and the main improvement was construction of a new 6,000 square meter Main Park with solar lighting, planting and playground equipment. The evaluation found that citizens' usage of green spaces increased markedly from 3% in 2011 to 32% in 2013. At the same time, the proportion of citizens who were satisfied with the number and quality of green spaces increased from 3% in 2011 to 68% in 2013 and the proportion that were very dissatisfied fell from 88% in 2011 to only 7% in 2013.

In Farah, the Anchor Service was Drainage. The evaluation found that from 2011 to 2013, citizen access to open ditches and canals had improved. Access to open ditches increased from 87% in 2011 to 97% in 2013. The improvements in Farah also contributed to the cleanliness of pedestrian areas, reduced flooding and improved traffic flow by guiding mud, surface water away from road surfaces.

In Herat, the citizen survey did not assess citizen satisfaction with median greenery but the engineering assessment found that the median renovation and installation of solar irrigation system improved irrigation of greenery planted in the street medians. The engineering assessment also found that the renovated medians did not let out water and this should reduce flooding.

In Qala-e-Naw, the Anchor Service was for Streets, Sidewalks and Ditches. The evaluation found that these improvements reduced localized dust pollution and mud in pedestrian areas, and improved water drainage. RU-W public perception surveys indicated that Qala-e-Naw citizens rated the quality of all types of drainage services in 2013 higher than 2011. Less positively, ratings for sidewalks actually fell from 2011 to 2013, emphasizing the importance continuing to invest municipal resources in this service and to implement the developed Municipal Service Improvement Plan.

A key element of the Anchor Services approach was to develop SOPs for maintenance of services, provide on the job training for the responsible municipal employees, develop a Municipal Service Improvement Plan for a Service Delivery Advisory Group to monitor the service, and to ensure that municipalities allocated sufficient Operations and Maintenance Costs in their budgets to ensure that services were put on a sustainable footing. The evaluation also assessed the impact of these activities on the ongoing operations and maintenance of the relevant services.

A key finding of the engineering assessment was that 12 months following the handover of improvements to the municipalities, they remained in good condition and no deterioration requiring repairs. One exception to this was in Farah where a traffic accident had led to a crack in a parapet wall. Positively the municipality had taken note of this and had allocated funds to repair the damage in the 1393 budget.

Evaluations also found that SDAG members continued to regularly monitor the status of the improvements and they confirmed that municipal employees were following the relevant SOPs following training by RU-W.

Finally, the evaluation found that partner municipalities were continuing to allocate funds for the ongoing operations and maintenance of the projects. This included funds for staffing and equipment as well as for regular cleaning and repairing of any damage. Specifically in their 1393 budget submissions RU-W partner municipalities allocated a total of 2,441,000 AFA towards Operations and Maintenance of their Option Year #1 Anchor Services and a further 27,850,000 AFA towards implementing additional improvements identified in the Option Year #1 Anchor Services.

Although it is too early to measure the impact of the Option Year #2 Anchor Services, the picture on Operations and Maintenance was similar to for Option Year #1. Together, all four partner municipalities allocated 5,097,500 AFA towards maintenance of Option Year #2 Anchor Services, with a further 47,800,000 AFA allocated for implementing further service improvements identified for the selected Anchor Service.

These findings demonstrate that, in addition to providing much needed improvements in municipal services, the critical improvements were in relation to establishing sustainable municipal capacity to operate and maintain municipal services, and to provide a model for municipalities to apply to other services in future years.

### ***Chaghcharan Main Park: A New and Safe Environment for Families***

In July 2012, Chaghcharan citizens and municipals identified Parks & Green Spaces as a high priority so, with RU-W support, the municipality designed and built a new Main Park. The 6,000 square meter park contains grassy areas, trees and flowers, as well as a playground, sports courts/fields and private family seating areas. Newly installed solar powered lighting also allows evening use both for local youths and families to enjoy after work. Municipal employees water the plants and maintain the playground equipment.

RU-W developed an SOP on Park & Greenery and Solar light maintenance and trained staff on them.



Municipal staff removing weeds from the Main Park grassy area



Local youths play soccer in the park

## 2.4 PROMOTE PUBLIC ENGAGEMENT & CITIZEN PARTICIPATION

**Roles and Responsibilities of the Municipality and Citizens:** To increase citizens' knowledge about the roles and responsibilities of the municipality, RU-W designed a civic education training program, called Roles and Responsibilities of Municipality & Citizens. RU-W conducted this training program 62 schools, 8 faculties and at 43 short courses. In total, RU-W delivered this training to 21,694 citizens in the life of the project.

This program informs students about municipal responsibilities and corrects common misperceptions. With an understanding of the broader role of the municipality, and also of its citizens, students can take this message home to their families and neighborhoods. Municipal officials' willingness to attend, engage in dialogue, and participate in these sessions also fills an important gap between the citizens and their sub-national government.

In Option Year #2, RU-W, in coordination with Education Departments in all RU-W municipalities, handed over the 'Roles and Responsibilities of the Municipality and Citizens' sessions to Student Mock Municipalities in some schools. RU-W trained the students and teachers to deliver this module and provided them with a laptop, projector, screen, camera, printer, and generator. In total, this training was conducted for a further 5,629 students.

The tables below summarize number of students participated in 'Roles and Responsibilities of the Municipality and Citizens'. The first one illustrates details of sessions conducted with RU-W support and the second one shows the numbers of sessions conducted by High School Mock Municipalities without RU-W support:

R&R Sessions Conducted by RU-W							
Municipality	Base Year		Option Year #1		Option Year #2		Total
	Male	Female	Male	Female	Male	Female	
<b>Chaghcharan</b>	0	0	1275	595	791	281	<b>2942</b>
<b>Farah</b>	0	0	728	959	1065	1911	<b>4663</b>
<b>Herat</b>	0	0	2614	3412	2135	2736	<b>10897</b>
<b>Qala-e-Naw</b>	0	0	1085	798	704	605	<b>3192</b>
<b>Total</b>	<b>0</b>	<b>0</b>	<b>5702</b>	<b>5764</b>	<b>4695</b>	<b>5533</b>	<b>21694</b>

R&R Sessions Conducted by Mock – Municipalities							
Municipality	Base Year		Option Year #1		Option Year #2		Total
	Male	Female	Male	Female	Male	Female	
<b>Chaghcharan</b>	0	0	0	0	317	54	<b>371</b>
<b>Farah</b>	0	0	0	0	0	165	<b>165</b>
<b>Herat</b>	0	0	0	0	2297	2276	<b>4573</b>
<b>Qala-e-Naw</b>	0	0	0	0	254	266	<b>520</b>
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2868</b>	<b>2761</b>	<b>5629</b>

This program informs students about municipal responsibilities and corrects common misperceptions.

With an understanding of the broader role of the municipality, and also of its citizens, students can take this message home to their families and neighborhoods. Municipal officials' willingness to attend, engage in dialogue, and participate in these sessions also fills an important gap between the citizens and their municipality.

***Qala-e-Naw Mock Municipality Council Students take on RU-W school seminars and impress the Mayor with their knowledge and commitment:***

Roqaya and Khomari study in the tenth and twelfth grade at Neswan girl's high school of Qala-e-Naw city and serve respectively as Mayor and Treasurer of the student led Mock Municipality Council. In early May 2013, for the first time, they delivered the 'Roles and Responsibilities of the Municipality and Citizens' seminar for their younger schoolmates.

They explained the responsibilities of the different departments of the municipality, how the municipality functions, why citizens pay tax, and where the municipal budget comes from and is spent. Their knowledge and confidence impressed participants including the Qala-e-Naw Mayor, municipal officials, the USAID delegation, and their teachers.

The Qala-e-Naw Mayor applauded their presentation and provided some funding to support the Mock Municipality Council in recognition of their contribution to municipal and school life.



██████ (standing) and ██████ (far left) speaking at the Neswan high school

**Municipal Advisory Board:** RU-W formed Municipal Advisory Boards (MABs) using draft GDMA guidelines. In Option Year #2, GDMA revised and finalized the guidelines and RU-W helped re-form Municipal Advisory Board's in Chaghcharan, Farah, and Qala-e-Naw in compliance with the new guidelines, helped conduct new elections for board members, and revised the MAB Terms of Reference. UNDP's ASGP provided this assistance to Herat's MAB.

RU-W supported Chaghcharan, Farah, and Qala-e-Naw MAB to hold periodic meetings and involve citizens in municipal decision making. RU-W also helped MABs establish Economic Development sub-committees and Women's sub-committees in each municipality. (See I.9) RU-W also trained members of these MABs on 'Roles and Responsibilities of Municipalities', 'Report Writing', and 'Budget Preparation' (See I.4).

**Debate and Quiz Competitions:** As a supplement to the 'Roles and Responsibilities of the Municipality and Citizens' sessions, schools also held debate and quiz competitions on the topic. RU-W provided topics for debate and 130 questions for the quiz. 77+124 girls and 67+64 boys participated in the debate and quiz competitions in Chaghcharan, Farah and Qala-e-Naw. In each municipality a panel judged the quiz and debates and gave awards for the best in each high school.

**In Kind Award Competition:** RU-W introduced the concept of competitive in-kind awards to school municipalities to conduct activities that build on activities with youth. Herat and Farah municipalities

refused to allow the competition. Chaghcharan students submitted a successful proposal for RU-W funding of banners encouraging citizens to keep the city clean, avoid water wastage and making them aware of an upcoming greenery campaign.

## **2.5 DEVELOP SERVICE DELIVERY IMPROVEMENT PLANS**

In the Base Year, RU-W helped municipalities conduct community engagement sessions and develop a Service Delivery Improvement Plan reflecting citizen needs and priorities. 5,496 citizens took part in these sessions. 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 developed an SDIP guidebook and shared it with municipalities to enable them to conduct the SDIP process in the future.

RU-W also helped municipalities update their SDIP. Herat opted not to participate but the other three partner municipalities led SDIP update sessions at which participants reviewed progress since the previous SDIP, identified their future needs and set priorities. 827 citizens participated in the sessions and RU-W helped partner municipalities analyze the data and update their SDIPs. In Herat, RU-W helped the municipality update its SDIP based on the status of projects implemented in the last two years. All four partner municipalities presented their updated SDIPs at public budget hearings and were considered as part of the 1393 budget process.

## **2.6 IMPLEMENT SDIPS**

Based on the results of public participation and community engagement sessions held in 1390, RU-W shared the SDIPs with the budget committees for incorporation into the 1391 and 1392 budgets. Municipalities incorporated citizen concerns and needs in the budget development process. Municipalities conducted public presentations of the SDIPs, 1391, and 1392 budget to inform citizens how they reflected their input.

SDIPs were also taken into account in the selection of the Option Year #1 and #2 Anchor Services.

### **Chaghcharan- Service Delivery Improvement Plan**

In 2011, RU-W helped Chaghcharan develop hold community engagement sessions to identify citizen priorities and record them in a Service Delivery Improvement Plan (SDIP). The SDIP was published in a booklet, listing individual projects and general service priorities. The Budget Committee referred to the SDIP when developing the 1391 budget and this ensured that it reflected citizen priorities.

In 2013, in order to update its SDIP, Chaghcharan municipality led a further series of community sessions. Chaghcharan held 3 sessions with 170 citizens and revised the SDIP before sharing it with the Budget Committee to inform development of the 1393 budget. RU-W also provided Chaghcharan with a booklet detailing a model process so they can continue to update their SDIP in future years.



SDIP sessions in 2011



SDIP sessions in 2013

## **2.7 IMPROVE MUNICIPAL PERFORMANCE MANAGEMENT SYSTEMS**

RU-W established Service Delivery Advisory Groups (SDAG) for Option Year #1 and #2 anchor service improvements and helped them define indicators, set baselines, establish targets, and develop action plans for the service through Municipal Service Improvement Plans. RU-W helped SDAG's evaluate results for the first anchor service and update their MSIPs for continuing follow-up the in coming year.

In Option Year #2, RU-W delivered Performance Management and Data Collection training (see Functional Skills Training) to enable SDAG members to collect data for monitoring service quality.

### **Performance-based Budgeting Approach in the Anchor Service**

For Option Year #1 anchor service improvements, RU-W helped each Service Delivery Advisory Group (SDAG) prepare an action plan comprising actions to improve the service with a budget request to implement them. They also included O&M costs for the service in the departmental budget request.

For Option Year #2 anchor services, RU-W again helped SDAGs develop action plans for the selected services in each municipality and submit these to Budget Committees for inclusion in the 1393 budget.

The Option Year #1 Anchor Service SDAG also updated their action plans and submitted budget requests for these improvements.

In their 1393 budget submissions, RU-W municipalities allocated 1,100,000 AFA for infrastructure projects identified in Municipal Service Improvement Plans. This allocation equates to more than half of the funding requested by SDAGs in their representations to budget committees, and represents a promising start for the introduction of performance-based budgeting for Municipal Services.

## **2.8 DEVELOPMENT OF MUNICIPAL MASTER LAND USE PLANS**

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).

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 served to assist in municipal planning and growth management. In the Base Year and Option Year #1, RU-W digitized maps and assigned land use classifications to all municipal parcels. This provided municipalities with the basic mapping infrastructure for all future work in land use planning.

RU-W also helped its municipalities to update their imagery with the new settlements that they added to the municipality. RU-W also prepared block maps for each municipality. These helped identify businesses and properties as part of the registration activity in Chaghcharan, Farah, Qala-e-Naw, and Herat sub-district #5. Upon the completion of business and property registration, RU-W finalized the land use maps and helped municipalities enter the maps into the IFMS.

Finally RU-W developed a model process to take this base mapping data and provide the necessary steps for creating a new land use plan. As part of this process, RU-W met with MUDA to get their input and advice as well as background on their current plan development process. RU-W developed a model process and guide with details of all the steps in the process, including how to involve citizen input, and shared it electronically with GDMA for distribution to municipalities.

## **2.9 STRENGTHEN AFGHAN IMPLEMENTING PARTNERS**

In the Base Year RU-W began providing assistance to construction companies involved in the expeditious projects. We used the projects themselves as living laboratories to emphasize learning principles. RU-W held training for infrastructure companies prior to releasing the anchor service Request for Proposal (RFP) and during the implementation of expeditious and anchor services. This served to empower local sub-contractors and improve their capacity to service RU-W orders and provide services to the municipality in the future. RU-W continued to provide training for subcontractors in Option Year #1 and Option Year #2.

In implementing the expeditious projects and Anchor Service Improvements, In the Base Year and Option Year #1, RU-W used a total of 19 different construction companies. 84% (16 out of 19) of

these companies were rated positively<sup>1</sup> for the quality of their construction work with 63% (12 out of 19) being rated positively for their timeliness in completing projects. In Option Year #2, RU-W used a total of 5 different construction companies. 100% (5 of 5) of these were rated positively for the quality of their construction work, with 80% (4 of 5) being rated positively for their timeliness in completing projects.

As part of the Option Year #2 Anchor Service, RU-W continued to build the capacity of construction companies implementing service improvements. RU-W did this through joint site monitoring with municipal construction staff and providing verbal and written feedback to contractors throughout the construction process. RU-W support focused on health, safety and environmental control on construction projects, providing formal Health and Safety training for municipal contractors in Option Year #2.

In addition to provision of training, subcontractors benefited from joint supervision and the provision of regular technical advice from municipal engineers supported by RU-W engineering and quality control staff.

RU-W also helped municipalities strengthen links with local media, NGOs, and civil society. RU-W helped municipalities initiate periodic Municipality-NGO-Media Roundtables to connect these groups with senior municipal official and provide a forum for constructive engagement on key municipal issues. These sessions are designed to improve the quality of information reaching citizens and enhance citizen-municipality cooperation.

RU-W helped the Round Tables hold meetings at which they discussed possible activities to promote public awareness of municipal affairs and to promote public awareness on the roles and responsibilities of the municipality and citizens. RU-W supported Chaghcharan, Farah, and Qala-e-Naw to air a TV show, print banners, and broadcast a radio programs, respectively. Herat opted to not have this committee.

## **2.10 CITIZEN SERVICE CENTERS**

RU-W initially planned to explore the feasibility of a Citizen Information Center in Herat. At USAID's request, and as part of the Option Year #2 workplan extension, this was expanded to include support for fully fledged Citizen Service Centers in all four partner municipalities.

In Option Year #2 RU-W introduced the concept of a Citizen Service Center (CSC) to municipalities. CSCs are intended to improve citizen perception of the municipality, reduce opportunities for corruption, and enable municipalities to monitor their performance in processing citizen requests.

RU-W renovated venues provided by each municipality, provided computers and installed cabling for the various databases needed for CSC operations. Staff were trained in communication and customer service skills and how to enter information into databases. CSCs were initially open from 08:00 am to noon providing information to citizens and municipal officials, with RU-W oversight, conducted on-the-

---

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

job training for CSC staff during the afternoons. RU-W also developed and introduced a simple performance management system for each CSC.

By March 2014, 4,554 citizens had visited the newly opened CSCs in all partner municipalities.

## **CLIN 3 Support the GIRoA to Increase Revenue at the Municipal Level**

Activities implemented under this CLIN directly support the growth of local economic development and strengthening of revenue generation, and thereby the municipality's ability to finance its service offerings and operating costs. As 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 increased municipal revenues, business growth and job creation.

### **3.1 BASELINE**

See I.I.

### **3.2 INCREASED REVENUE COLLECTION**

Throughout the life of the program, RU-W supported municipalities to improve collections through a combination of process improvements, awareness campaigns and improved reporting.

RU-W assistance began in 2011 with a comprehensive review of municipal revenues over the previous three years, to better understand how municipalities were collecting funds. RU-W helped each municipality analyze their revenue collection process, identifying bottlenecks and weak points and examined under-reported and uncollected sources. This led to strategies focused specifically on increasing revenues in ways that made sense to each municipality.

#### **Mapping Revenue Sources**

In Option Year #1, RU-W conducted process mapping of the Safayi and business registration fees. In Option Year #2, RU-W helped partner municipalities' process map two additional key revenue sources in order to improve collections. Mapping helped the municipality identify problems and bottlenecks and RU-W designed assistance to increase collections.

#### **Municipal Debtors**

In Option Year #2 RU-W began helping municipalities collect uncollected revenues from a number of governmental entities, including Provincial Directorates and Governor's offices. The type of debt varied by municipality, but the largest unpaid revenues included overdue Property Taxes, Land sales, Rents and Safayi. In total, other government entities owed municipalities 227 million AFA.

In response RU-W helped revenue staff in each partner municipality to finalize a list of municipal debtors and develop a collection plan. This included other governmental entities but also significant income from unpaid rent of municipal property and unpaid sales of municipal property.

RU-W also escalated this issue to GDMA and highlighted that in many cases MoF failed to approve the necessary funds in Provincial Directorate budgets. GDMA asked all municipalities to provide an updated list of the total debts owed by governmental entities to municipalities and agreed to address this issue both through IDLG at the ministerial cabinet level and at the presidential level.

#### **New Safayi and Business License rates**

RUW helped Chaghcharan, Farah and Qala-e-Naw develop a new tariff format for Safayi payments based on the authorization from IDLG. Herat had done this in prior years.

In Chaghcharan, RU-W helped the municipality develop new Business License rates. After protests by the business community over the new rates, the municipality and a special Governor's committee agreed on new rates and the business community accepted them. RU-W also helped the Revenue Department issue business licenses and Safayi books.

In Farah, RU-W helped municipal finance staff prepare and print new Safayi books in compliance with the new guidelines and new property information available from the BPR process (see Business and Property Registration). RU-W also helped the municipality start issuing business licenses.

Farah and Chaghcharan started collecting Safayi and Business taxes rates using the new rates. Qala-e-Naw will start using them in 1393.

### **Revenue Awareness Campaigns**

RU-W helped municipalities implement tax collection campaigns to encourage improved Safayi collections. The campaigns included meetings with community elders, Mullah gatherings, Friday prayers, meetings in schools, TV advertisements, youth seminars and publication of brochures. Mayors appeared on television and radio in Farah and Chaghcharan encouraging citizens to pay their Safayi.

In all three municipalities, Mayors welcomed the campaign and covered up to 50% of the costs. In Qala-e-Naw, the municipality designed and installed a banner to encourage citizens to pay their taxes.

### **Recording and Reporting Municipal Revenues**

RU-W stressed the need for better reporting, particularly automated reports in order to provide 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.

RU-W helped all partner municipalities develop monthly and quarterly revenue reports and share the results with Mayors and revenue staff. This enabled officials to improve analysis of ongoing collections, including analyzing trends and developing more accurate projections of future revenues. Municipalities discussed ways to improve collections, concentrating on those revenues lagging behind estimates and developed revenue enhancement plans to compensate for collection shortfalls.

### **Revenue Collection Manual**

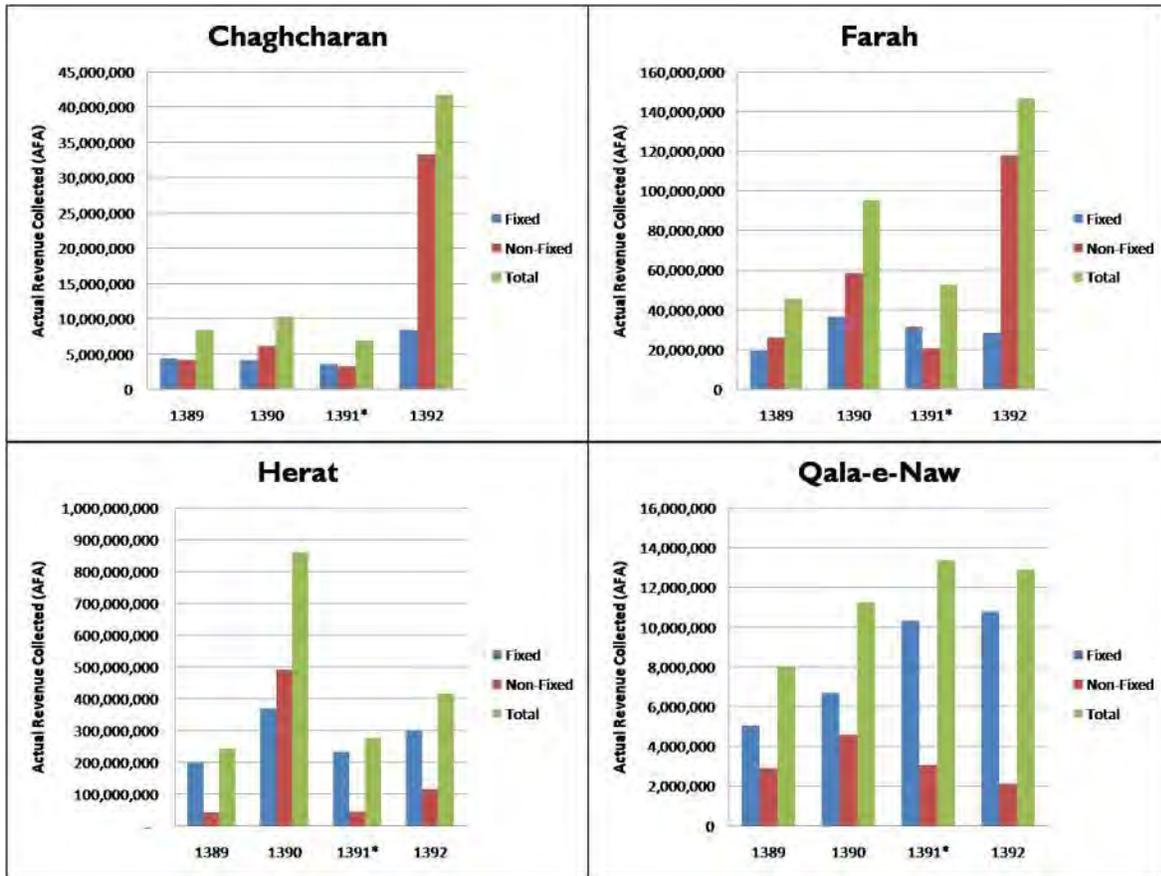
RU-W planned to develop a standardized revenue manual to systematize the collections process. This would have also provided clear and transparent rules for citizens when paying municipal taxes and fees.

During Option Year #2, GDMA informed RU-W that it would create such a manual and standardize it for all municipalities. The RU-W Operational Assessments (see Performance Budgeting) and Revenue Mapping activities will provide valuable input to this manual.

### **Revenue Collection Performance**

RU-W measures improvements in municipal revenue collections by analyzing trends in total collections and in collection performance (actual collections as a percentage of planned collections).

The charts below show total Revenue Collections from 1389 to 1392.



\* 1391 is a 9 month fiscal year

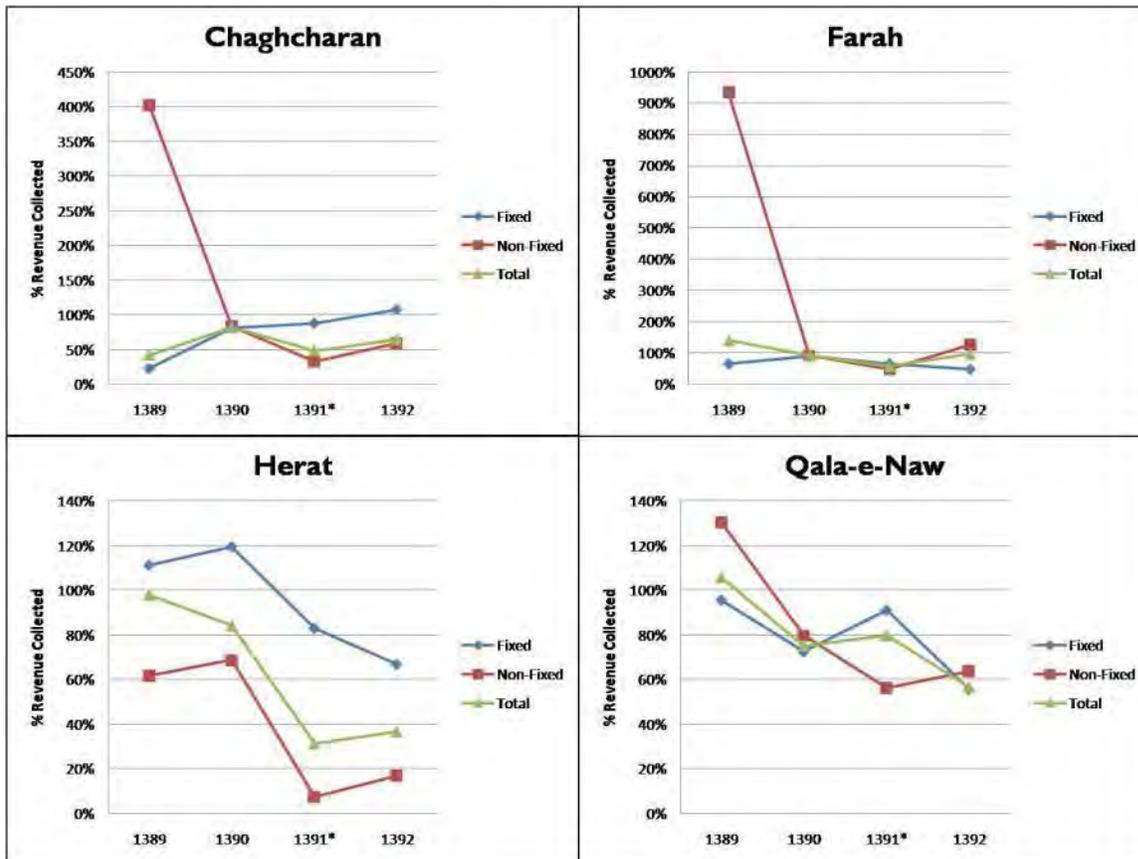
Total revenue collection trends show mixed performance from 1389 to 1392. Chaghcharan and Farah showed strong revenue growth in this period, but this largely relied on municipal property and land sales. RU-W continually warned municipalities not to rely on this unsustainable revenue source. Over the 4 year period, Qala-e-Naw showed the greatest improvement, with large increases in fixed revenue collections from a low level in 1389.

For 1391 a shortened fiscal year and stoppages to the collection of some taxes at the end of the year negatively affected all municipal revenue collections in 1391. These included a combination of Border Taxes, Taxes on imports and Vehicle taxes, which affected municipalities to varying degrees. In addition, municipalities already signed contracts with companies for revenue collections based on a 12-month fiscal year. When GIRoA changed 1391 to 9 months municipalities ended up only capturing 9 months of revenue (but paid companies as if they collected 12 months). This further depressed 1391 collections.

At the beginning of 1392 GDMA and instructed municipalities to discontinue collecting municipal border taxes. Within 2 or 3 months GDMA sent a new letter telling municipalities they could again collect these taxes. They also indicated they would rebate to the municipalities the taxes the national government collected during the first couple of months. However, late in 1392 GDMA decided to allocate these funds to municipalities and Districts based on need as determined by GDMA (and without elaborating on the methodology). This had dire implications on Farah and Herat. Farah budgeted to

collect 1.5m AFA during the period and GDMA allotted them only 250,000 AFA. Herat budgeted 35.75m AFA and GDMA allocated only 700,000 AFA.

1392 showed good performance in terms of overall revenue collected compared to prior years, however, collections continued to lag behind estimates. The chart below shows trends in revenue performance (Revenue Collected as a percentage of the estimate included in the budget) from 1389 to 1392.



\* 1391 is a 9 month fiscal year

The above table illustrates collection performance (Revenue Collected as a percentage of the estimate included in the budget) over the life of the project.

Collection performance fell in Qala-e-Naw from 1389 to 1392, despite overall collections actually increasing. In Chaghcharan, Farah and Herat overall collection performance improved when compared to 1391. Chaghcharan and Farah also collected more total revenues compared to prior years. In Chaghcharan collection of fixed revenues improved consistently from 1389 to 1392, and actually exceeded estimates in 1392.

In Chaghcharan this strong performance in 1392 was largely the result of the municipality allocating additional collection resources. RU-W contributed to this by conducting a 2 month pilot program where it provided collection support to the Revenue Department for Safayi. During the collection period, Safayi revenues increased by nearly 1,150% compared to 1391. RU-W shared the results of its

Safayi collection support with the Mayor who then allocated three municipal teams to continue implementing the revenue collection plan.

In Farah, poor security proved to be the single most significant factor in discouraging collections, with the municipal operations reduced for a 2 months period at the end of the fiscal year.

In Herat collection of non-fixed revenue increased slightly in 1392. Again, property sales make up the bulk of non-fixed revenues and RU-W counseled against over-reliance on property sales as unsustainable. Fixed revenue collections were negatively affected by the stoppage of the Border Tax and Herat's unwillingness to allocate sufficient resources to collections. In early 1392 Herat also replaced its Revenue Manager with someone less experienced. This likely had a negative effect on collections.

Qala-e-Naw performed poorly in overall collections and particularly in relation to *fixed* revenues. Qala-e-Naw collected less in 1392's 12 month fiscal year than in 1391's 9 month fiscal year. The continued absence of the new Mayor and the removal of the Revenue Manager during the first 4 months of 1392 serve as the main reasons for this. However, this was also an improvement compared to 1389.

### **3.3 INCREASED HOUSEHOLD & BUSINESS REGISTRATION**

In Option Year #1 RU-W worked with Chaghcharan and Farah on a comprehensive registration of all properties and businesses in the municipality. In Option Year #2 Qala-e-Naw and Herat also participated in this activity, having agreed to provide the necessary staff and use the GDMA mandated database.

Prior to commencement of the survey, RU-W conducted a two-day introductory training in each municipality for all assigned municipal staff members and BPR surveyors. Survey teams then conducted the survey, and verified the information against existing land use maps to determine households and businesses not included on municipal registries. Survey teams also entered the information into municipal databases. Initially this used the RU-E database for Business Registration and the RU-S one for Property registrations. In Option Year #2, both these were superseded by the IFMS database, and all municipal BPR data was transferred to the relevant IFMS modules.

RU-W also designed a complementary public information campaign for each municipality to alert citizens in advance of the registration effort. In a few instances, mayors personally delivered a radio message to the public. Additionally, RU-W supported all four municipalities with printing of a brochure about the benefits of Business and Property Registration (BPR), and installation of billboards around Chaghcharan and Farah cities to encourage citizen cooperation. In advance, RU-W also supported municipal efforts to organize sessions for wakil-e-guzars, clergy men, civil society and school principals with the aim to inform citizens and request their support for the program.

In Option Year #2, RU-W completed Business and Property Registration (BPR) field surveys in Chaghcharan, Farah, Herat sub-district #5, and Qala-e-Naw.

Business and Property registration is illustrated in the below table:

Type of Registration	Municipality	Total Surveyed
Property	Chaghcharan	4,137
	Farah	11,114
	Herat	10,203
	Qala-e-Naw	4,808
<b>Total</b>		<b>30,262</b>
Business	Chaghcharan	1,557
	Farah	8,898
	Qala-e-Naw	1,616
<b>Total</b>		<b>12,071</b>
<b>Total Properties &amp; Business</b>		<b>42,333</b>

The table below shows the total revenues for Safayi Collections for each municipality from 1389, through to the close of the 1392 fiscal year.

Safayi Revenues				
Municipality	1389 - Baseline	1390	1391	1392
Chaghcharan	231,342	332,130	524,850	1,553,775
Farah	159,596	337,551	1,047,116	3,360,142
Herat	51,581,629	92,805,849	75,262,651	97,073,453
Qala-e-Naw	1,204,347	1,118,735	1,125,000	1,437,985
<b>Total</b>	<b>53,176,914</b>	<b>94,594,265</b>	<b>77,959,617</b>	<b>103,425,355</b>

The table above demonstrates a significant increase in municipal revenues relating to Safayi payments. This reflects the improvements made by municipalities in terms of better public awareness, streamlined collection processes, increased safayi rates and improved accuracy of property data. The led to a 94% increase in municipal Safayi Revenues from 1389 to 1392. RU-W anticipates that municipal revenues will continue to increase as Herat and Qala-e-Naw begin using the updated Business and Property data.

<b>Business License Revenues</b>				
Municipality	1389 - Baseline	1390	1391	1392
Chaghcharan	420,000	421,700	498,010	661,700
Farah	404,291	117,374	26,600	361,850
Herat	6,879,560	11,793,157	19,095,300	20,783,810
Qala-e-Naw	353,050	558,630	453,980	1,106,640
<b>Total</b>	<b>8,056,901</b>	<b>12,890,861</b>	<b>20,073,890</b>	<b>22,914,000</b>

The table above demonstrates a significant increase in municipal revenues relating to Business Licensing. Partner municipalities increased revenues relating to Business Licensing by 184% over the life of the project.

<b>Increase compared to baseline</b>	
Business registration	14,857,099
Safayi tax	50,248,441
<b>TOTAL</b>	<b>65,105,540</b>

The above table shows the total increase in revenues for Business Registration and Safayi taxes over the life of the project. These increases are significant improvements over the RU-W base year, and represent encouraging improvements in fixed municipal revenues, that will put municipalities on a sustainable footing to improve services to citizens.

### **3.4 DEVELOP MUNICIPAL ECONOMIC DEVELOPMENT PLANS**

In 2011, municipalities lacked the capacity to effectively facilitate and encourage economic development within their boundaries. RU-W aimed to help municipalities' foster economic development by focusing on the improvement of services, infrastructure and facilities in support of the business sector and identify the best opportunities for partnerships with the business sector that can expand jobs for citizens. These improvements were to be informed by the contributions of the business community and documented in an Economic Development Plan.

RU-W helped each municipality establish an Economic Development Steering Committees (EDCs). With significant community input they developed economic profiles for their cities. The geographic focus of the profiles encompassed the elements of the municipal economic system, such as markets, trade patterns, value chain linkages and dependence on municipal services and facilities. EDCs then identified opportunities for investment and developed Economic Development Plans.

EDCs published these EDPs and summary brochures and shared them with citizens. EDPs include specific action plans municipalities should consider for funding as part of the development of the 1393 budget. In each partner municipality, EDCs met with Budget Committee to propose high priority development projects for inclusion in 1393 budget.

Budget committees agreed to fund a total of 6 out of 19 suggested projects, allocating a total of 11,556,400 AFA. In Farah and Qala-e-Naw EDCs convinced their budget committees to fund 100% of the requested budget items for four projects including street construction, drainage, and public toilets. Herat funded 46% of one recommended project (construction of public washrooms) and also allocated funding to construct 7 public washrooms (out of 15 suggested washrooms) within market areas. In Chaghcharan, the Budget Committee funded 100% of the suggested budget for construction and renovation of greenery spaces throughout the city.

These budget allocations show that municipalities are funding projects identified in their Economic Development Plans and putting in place the basis for involving the business community in setting priorities for improving economic developing in RU-W partner municipalities.

### **3.5 STRENGTHEN MUNICIPAL CAPACITY TO SUPPORT ECONOMIC DEVELOPMENT**

RU-W provided assistance to EDCs to improve their capacity. It provided training to strengthen their meetings and help them reach out to key stakeholders (e.g. donors and the business community). EDC members attended training on 'Planning', 'Meeting Management', 'Report Writing', and 'Proposal Writing'. RU-W also introduced EDCs to the concept of 'Alternative Service Delivery'. (See Core Skills Training)

### **3.6 IMPROVE MUNICIPAL SERVICES TO BUSINESS**

RU-W helped Chaghcharan, Farah, and Qala-e-Naw complete registration of businesses and finalize new rates and regulation for business taxes. Municipalities entered business registration information into the IFMS Business Registration module. This enables municipal staff to issue computerized business permits quicker and easier for business owners.

### **3.7 LEVERAGE MUNICIPAL ASSETS FOR ECONOMIC GROWTH**

RU-W developed a training course on 'Asset Management' and conducted it for the Administrative, Properties, Public Services, and Marketing staff and their Interns in all partner municipalities. This training enabled municipal staff to identify different ways to utilize their assets and enhance their revenue. RU-W helped municipalities audit their assets and create manual registers detailing the location, size and status of municipal assets. RU-W handed over a computer to each municipality and helped them to computerize their asset manual registration. RU-W also helped municipalities gather documentation about all assets. (See Core Skills Training).

### **3.8 GENERATE GREATER AWARENESS ABOUT INNOVATIVE PUBLIC-PRIVATE PARTNERSHIPS**

RU-W took no actions under this activity in the Base Year because of funding uncertainties and lack of clarity on whether we would have an option year. Budget cuts subsequently forced RU-W to de-emphasize this activity and RU-W took no actions under this activity in Option Year #1.

In Option Year #2 RU-W introduced the concept of PPPs in a training on alternative service delivery and identified PPPs as one possible mechanism for delivering municipal services.

RU-W also worked with partner municipalities through their economic development commissions to assess and identify opportunities for public-private partnerships contained in their individual economic development plans.

### **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 got more youth involved in municipal governance.

The program matched interns with departments based on their skills and interests, and an assessment of municipal need. Municipal departments applied for interns to demonstrate their commitment. Interns worked in a variety of departments, including Accounting, Administration, Archives, Construction, Culture, Green Spaces, Market Control Management, Property, Revenue, and Sub-districts.

RU-W provided training for interns to get them familiar more with various dimensions of municipal work environment including: Conflict Management, Good Governance, Gender Awareness, Project Management, Public Participation, Presentation Skills, Outreach, Roles and Responsibilities and Report Writing.

Interns also helped implement new and improved systems. Interns helped implement a registration system for official letters, new processes for filing management and to computerize manual records. They helped municipal departments complete their new and modern archive system for important municipal documents.

In the first round of MIP, a total of 30 interns completed a six-month internship in the municipal offices, with three being hired by municipalities even before concluding the internship. RU-W conducted second and third rounds of the MIP with 36 and 19 interns respectively participating. Out of 66 first and second graduate Interns, 48 found subsequently secured jobs in local government, education departments, NGOs, and the Private Sector.

For second and third rounds of the MIP, RU-W held a conference for all interns in Herat. This included a tour of Herat Municipality. This enabled interns to network with each other, learn about the operations of Herat and share knowledge and experience. For Herat interns, RU-W also facilitated joint sessions with NDI-funded interns at the Provincial Council. In Chaghcharan and Herat, RU-W also held events to connect interns with potential local government employers.

The Municipal Internship Program also served as an entry point for women to join municipal governance, and for the first time in Chaghcharan, Farah, and Qala-e-Naw municipalities. This serves to encourage women citizens to go to the municipality to access services and also to participate in public events. At the close of the project, Chaghcharan had two permanent female staff and Farah and Qala-e-Naw had added one to their 1393 tashkeels.

### ***Chaghcharan - Internship Program***

Gul Mohammad served as an intern in the Administration Department in the first round of MIP (2012). During the six month program, he immersed himself in the everyday operations of local government while getting training and practical experience of filing, report writing, asset management, and project management.

His commitment impressed his supervisor and, when it came to hiring new staff for the Revenue Department, he recommended Gul Mohammad, who then started working as a Tax Collection Officer.

The Internship program also placed female interns in municipal departments and this opened the door for women to enter the municipal workforce. As a result of this, in 2012 and for the first time in its history, the municipality employed two women as permanent staff members. Nasima and Hafiza had been working as Business and Property Registration surveyors and gained the needed experience to secure jobs as a Recruitment and Archiving Officer respectively.



██████████ and the Revenue Intern reviewing documents for issuing business licenses



██████████ (above centre left) and ██████████ (right corner) working together with the Admin Intern on HR filing system

## **MUNICIPAL INCENTIVE FUND**

RU-W allocated a portion of its service delivery funds to a Municipal Incentive Fund. The MIF is a competitive program to recognize good municipal performance among its partner municipalities. The fund also seeks to help municipalities overcome their budget restrictions and implement high priority services.

In Option Year #1, RU-W introduced the MIF to partner municipalities, presenting the proposal, timeline, and guidelines on completing proposals in each municipality. In each municipality key staff including mayors had an opportunity to ask questions about the MIF and learn about the proposal process and selection criteria.

Municipalities formed committees to develop proposals based on community priorities, with RU-W receiving twelve proposals for a variety of services including public baths, public toilets, slaughterhouse, park, culverts, drainage canals, and sidewalks. RU-W completed the evaluation of the received proposals from all four partner municipalities. RU-W found that none of the proposals met the minimum threshold.

For the Option Year #2 Anchor Service RU-W introduced the requirement for municipalities to write proposals and secure funding through the Municipal Incentive Fund. Municipalities again established proposal writing committees and RU-W provided formal proposal writing training and on the job support to help them develop proposals. Committees incorporated information from the Citizen Perception Survey, Service Delivery Improvement Plan (SDIP) priorities and technical surveys in their proposals. Municipalities also included an in kind or financial contribution equaling 25% of the total proposal cost.

RU-W and USAID assessed MIF proposals and all four municipalities received funding for their Option Year #2 Anchor Service. Municipalities' contribution varied from 72,250 to \$659,266. (See 2.3)

Annex B includes a full list of Anchor Service Improvements.

## **CHAPTER 5: DISCUSSION OF PROBLEMS ENCOUNTERED AND WHERE OBJECTIVES WERE NOT ACHIEVED**

This section details the challenges encountered by RU-W throughout the life of the program. This should be read alongside Chapter 4, which includes additional details where these challenges impacted on RU-W activities.

### **PROGRAM BUDGET CONSTRAINTS AND UNCERTAINTY**

Budget and Program guidance changed regularly and dramatically over the course of the Program and this adversely impacted RU-W's ability to plan and budget for the long term (see Evolution of the Program). Regular changes in approach based on the budget figures or programming changes (e.g. the directive that municipalities apply through the Municipal Incentive Fund for all Anchor Service #2 funds). These budget and programmatic changes reduced RU-W's ability to systematically planning activities. Municipalities also suffered from not knowing what to expect. Most adapted pretty well, but Herat did not.

### **USAID STAFF TURNOVER**

RU-W had 7 different official CORs/ACORs during the life of the project and each change brought needs for education, programming changes, and the need to absorb new ideas. The lack of continuity made it difficult for the project and for municipalities.

### **FAILURE TO PASS THE NEW MUNICIPAL LAW**

Afghanistan continues to operate under the old Taliban Local Government Law. GDMA started an effort to draft a new law. They introduced a draft in late 2011 and asked RAMP UPs and ASGP to hold sessions in the municipalities to get feedback. Upon receipt of the feedback they indicated they revised their draft. But they refused to share the revised draft with the municipalities or RAMP UPs (or USAID). At the close of the project, the new law still has not appeared for public inspection or approval by the government. Municipalities therefore continue to operate by the old law although GDMA sometimes continues to issue instructions based on the new, unapproved law. This creates an ambiguous legal framework for local governance, creating uncertainty for municipalities and citizens.

### **PUBLIC ADMINISTRATION REFORM AND MUNICIPAL CAPACITY**

Initially, a lack of civil service reform continued to seriously impede municipal ability to recruit, hire, and retain qualified staff, particularly in engineering and more technical positions. Limited staff capacity initially placed limits on the nature of assistance RU-W was able to provide to municipalities and created a challenge to provide assistance without actually doing daily municipal work for them.

In 1391, Herat was a pilot municipality for the Public Administration Reform and, during preparations for the 1392 budget, all partner municipalities were asked to design their budgets in compliance with the Public Administration Reform. This was then expanded in 1393, with municipalities unable to add additional staff to their tashkeels. Municipalities and RU-W did not receive clear guidance on the

implementation of the Public Administration Reform, and this hindered RU-W assistance to municipal budget development, capacity building and organizational reform.

GDMA encouraged RAMP UPs and municipalities to spend more resources on public outreach. The CLIN 4 TWG mainly emphasized outreach activities. However, in the 1392 budget process RU-W worked with Chaghcharan, Farah and Qala-e-Naw to include in their Tashkeel a Public Outreach Officer. Each municipality wanted to continue and expand outreach efforts. However, when these budgets reached Kabul GDMA rejected these outreach officials, even though GDMA continued stressing the importance of public outreach in all meetings and conferences. (Even though Afghan municipalities fund 100% of their own budget with local resources.) When municipalities and RU-W asked for an explanation GDMA, after some delay, while emphasizing the importance of public outreach, indicated the municipalities sent insufficient justification for the positions. Municipalities subsequently sent new justifications and asked for these positions again in 1393 and in mid-year 1392. None of these municipalities received approval for Public Outreach Officers.

Again, in 2013, as municipalities were developing their 1393 budgets, the 1393 budget circular instructed municipalities not to add new staff in their 1393 Tashkeels. The letter stated that those municipalities wishing to add new positions should wait until 1394. RU-W partner municipalities had intended to add new positions and staff to their 1393 Tashkeel in order to provide better services, but removed new Tashkeel positions in accordance with the circular.

## **CHANGES IN THE ANNUAL BUDGETING PROCESS**

GDMA each year sent out a Budget Circular to municipalities with the specific instructions for preparing and submitting their draft budgets. Each year GDMA sent this circular too late. In the TWGs, RAMP UPs requested earlier issuance of the circular but GDMA continued to send it near the end of the fiscal year (or even in the new fiscal year). This delayed the entire process and shortened the time municipalities could spend their budgets.

In 1391, the fiscal year was unexpectedly shortened from 12 months to 9 months. This was the main reason for municipality's poor expenditure and revenue collection performance in 1391 (Option Year #1). In the absence of clear guidelines from GDMA, municipalities did not fully account for the impact the shortened fiscal year would have on spending, especially on their development projects. Revenue collections were also negatively impacted because municipalities had signed revenue collection contracts assuming a 12 month fiscal year.

For the 1392 budget preparation process GDMA sent out instructions on the Tashkeel contradictory to instructions sent by the Civil Service Commission and the Ministry of Finance. This led to long budget approval delays in Kabul and delayed budget implementation.

In 1392 GDMA and GIRoA sent a letter to municipalities (through RU-W for our partner municipalities) instructing municipalities to discontinue collecting municipal border taxes. GIRoA intended to collect and spend these municipal revenues, but give a small percentage to the municipalities. Within 2 or 3 months GDMA sent a new letter telling municipalities they could again collect these taxes. They also indicated they would rebate to the municipalities the taxes the national government collected during the first couple of months. However, late in 1392 GDMA decided to allocate these funds to municipalities and Districts based on need as determined by GDMA (and without elaborating on the methodology).

This had dire implications on Farah and Herat. Farah budgeted to collect 1.5m AFA during the period and GDMA allotted them only 250,000 AFA. Herat budgeted 35.75m AFA and GDMA allocated only 700,000 AFA.

## **GDMA AND MUNICIPALITY FOCUS ON INFRASTRUCTURE AND NOT CAPACITY BUILDING**

GDMA viewed RU-W (and the other RAMP UPs) mainly as an infrastructure program. As the budget reduced GDMA continually pressed for less spending on capacity building and more focus on infrastructure. All reporting they asked for concentrated on what “things” RU-W constructed for the partner municipalities. They expressed little or no interest in sustainability of the infrastructure improvements and in capacity building in other areas. At the same time USAID continued referring to the project as a capacity building program. This created a disconnect for RAMP UP West in trying to meet the expectations of USAID and GDMA.

## **GDMA COMMUNICATION WITH MUNICIPALITIES**

Whenever GDMA wanted information from the partner municipalities, they contacted RAMP UP-West. RU-W gently tried to encourage GDMA to contact municipalities directly and get such information since RU-W would end at some point. As a result GDMA complained to USAID that RU-W didn't want to cooperate with them. RU-W merely wanted to establish a communication link between municipalities and GDMA for future sustainability. GDMA maintained they could more easily obtain information from the RAMP UPs than contact the municipalities themselves and refused to cultivate a direct relationship with the municipalities when they needed municipal information. This begs the question of how GDMA and municipalities will communicate effectively in the absence of RAMP UP.

## **TURNOVER OF MAYORS**

In 2012 GDMA began conducting performance assessments of municipal mayors, but they refused to share the assessment criteria with the Mayors, RU-W and anyone else. The Mayors didn't know on what GDMA would base the assessment nor could they do anything to improve or mitigate their rating. GDMA simply decided to change mayors based on unknown factors. These assessments led to frequent unpopular changes in Mayor. For example GDMA named the Mayor of Farah as its Mayor of the Year at its National Mayors Conference. Shortly thereafter, they transferred him to a smaller less significant municipality. He refused and GDMA replaced him as Farah Mayor, leading to protests and stoppages in municipal services. GDMA within a couple of months replaced this mayor with a former deputy mayor of the award winning mayor. Over the course of the project, GDMA replaced the Chaghcharan mayor once, Qala-e-Naw's Mayor once and Farah twice. Finally, the Mayor of Herat was dismissed by President Karzai in February 2014. In addition to disrupting local communities, these changes caused delays in implementation of RU-W activities.

## **INCONSISTENT SUPPORT TO GENDER FOCUSED ACTIVITIES**

GDMA support to Gender focused activities was inconsistent. They drafted an Anti-Harassment policy and asked RAMP UPs to introduce them to municipalities. They subsequently notified RAMP UPs to not conduct the training. After almost a year they asked again and RU-W conducted sessions for municipal

staff on the policy. Moreover, when budget cuts became a reality GDMA pressed RAMP UPs to curtail or eliminate gender programming and only concentrate on infrastructure development.

## **COORDINATION WITH OTHER SUB-NATIONAL GOVERNANCE PROGRAMS**

RU-W attempted to collaborate with other sub-national governance programs, especially in Herat and Farah where multi program assistance was necessary to an impact on these larger cities. UN-Habitat and UNDP's ASGP program were the largest of these but, in practice, coordination on activities did not prove easy, and delayed RU-W activities on a number of occasions.

Specifically, in Farah, in Option Year #1, ASGP agreed to support a third Public Budget Hearing but this did not happen. The Hearing would have informed citizens of the contents of the approved municipal budget and enabled them to hold their municipality accountable in the coming year.

In support of RU-W's renovation and reorganization of municipal archives, ASGP agreed to provide a facility to house Farah's new archive. This did not happen, delaying RU-W assistance. The municipality subsequently funded a Connex (a type of portable container building) to house the archive from its own budget.

In Option Year #1 in Herat, ASGP and UN Habitat started Business and Property Registration in a single district. They decided to use their own questionnaire and database system, instead of the one mandated by GDMA. RU-W therefore decided not to offer assistance on BPR until everyone used the same inputs.

ASGP agreed to conduct Business Registration in Farah, with RU-W taking responsibility for Property Registration. ASGP never started the Business Registration activity and, after RU-W completed Property Registration, GDMA directed Farah to engage RU-W to conduct Business Registration as well.

ASGP and UN Habitat paid municipal officials in excess of regular wages to participate in their activities, and specifically on BPR. Herat therefore wavered on providing the necessary staff and asked for special remuneration of municipal staff inconsistent with USAID policies. These challenges led to RU-W assistance on Herat's BPR being delayed until September 2013 (when Herat finally agreed to use the GDMA mandated questionnaire and database and provide significant municipal participation in the activity without incentive payments) and its scope reduced to a single district.

## **PUBLIC-PRIVATE PARTNERSHIPS (PPPS)**

RU-W originally intended to help establish a PPP in each municipality, in order to, increase revenues, improving services and also expose municipalities to the idea that the private sector can work on behalf of municipalities and citizens to increase efficiencies and improve services. RU-W Intermediate Result Indicator 3.1 originally measured 'the number of Public-Private Partnerships formed as a result of RU-W assistance'.

RU-W took no actions under this activity in the Base Year because of funding uncertainties and lack of clarity on whether we would have an option year. Budget cuts subsequently forced RU-W to de-emphasize this activity and RU-W took no actions under this activity in Option Year #1. Moreover, GDMA guidance on PPPs remained in draft throughout the life of the project, so municipalities had no clear legal basis to enter into PPP arrangements.

Municipalities faced 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) also mitigated against PPPs in the short term. Neither the private sector nor the municipalities were ready to undertake PPPs on any scale in the short term and with the dispersed nature of populations, even in municipalities, financial viability for PPPs was uncertain as well.

In Option Year #2 RU-W removed the PMP indicator relating to PPPs, and introduced the concept of PPPs in training on alternative service delivery. RU-W presented PPPs as one possible mechanism for delivering municipal services. RU-W also worked with partner municipalities through their economic development commissions to assess and identify opportunities for public-private partnerships contained in their individual economic development plans.

## **TRANSPORT**

Transportation continued to pose a challenge to implementation of many RU-W activities throughout the program. RU-W initially relied upon Embassy Air flights for travel to and from partner municipalities. Periodic Embassy Air flight cancellations resulted in either RU-W staff unable to visit partner municipalities or stranded team members for long periods.

In January 2013, Embassy Air stopped scheduled flights to Farah and Qala-e-Naw and required that RU-W request special flights with a minimum of four passengers. RU-W requested some special flights but Embassy Air did not approve them. This delayed RU-W activities in these two municipalities.

In October 2013, Embassy Air started a cost-recovery model for flights, making RU-W staff reliant on commercial services. At the end of RU-W technical activities, commercial services continue not to fly to Qala-e-Naw and only serve other partner municipalities with weekly flights.

Due to security restrictions, RU-W staff were often unable to travel by road. This inability to travel between partner municipalities adversely impacted programming and quality control.

## **Chapter 6: Lessons learned**

### **The Municipal Law and holding Mayoral Elections are pre-requisites for establishing true citizen accountability in local governance**

The Municipal Law, when passed, should establish Municipal Council's to replace the current Municipal Advisory Boards, and provide them with a legal role in local governance and municipal decision making. The Law should also allow for the election of Mayors, and this would be an improvement over the existing system whereby mayors are centrally appointed. The existence of a Municipal Council and holding of Local Elections are pre-requisites for establishing true accountability of local government to citizens and, in its absence, this will not be put on a sustainable footing. GDMA does currently seek to hold Mayor's to account through its annual performance assessment but, while this may be useful as a review of performance in the long run it serves to make Mayors accountable to GDMA rather than to citizens, and that is not a basis for democratic, accountable and transparent local governance.

### **The absence of strong leadership and clear, transparent guidelines from GDMA hinders improvements in municipal performance**

Budget cuts led to the withdrawal of RAMP UP Advisers based permanently at GDMA and this contributed to a lack of progress in areas that held back RAMP UP activities. This delayed finalization of PPP Guidance, the Municipal Gender Guideline, and guidance on Municipal Advisory Boards. In the example of PPPs this was a factor in RU-W not pursuing PPPs for municipalities, while the Municipal Gender Guideline and for MABs came in the final year of the program. This limited RU-W's ability to embed these functions in partner municipalities.

### **Significant Municipal Revenues are owed by other local and central government entities**

In total, other government entities owed RU-W partner municipalities 227 million AFA. In part this was a result of poor debt collection by municipalities and RU-W provided assistance to improve systems and processes for debt collection. However, a significant cause of this was the unclear legal framework and budgetary arrangements delineating whether and how local government entities should pay for municipal services. RU-W escalated this issue to GDMA and highlighted that in many cases MoF failed to approve the necessary funds in Provincial Directorate budgets. GDMA agreed to address this issue both through IDLG at the ministerial cabinet level and at the presidential level.

### **Municipal staff should be at the forefront of monitoring and quality control**

The expeditious projects reinforced the need for continuous oversight of subcontractors to ensure quality of construction. Too often, if RU-W and the municipality were not closely watching the subcontractors would deviate from the designs, substitute inferior materials, do sub-standard work, or a combination of all three. In the Option Year #1 and Option Year #2 Anchor Services RU-W placed the municipality at the forefront of monitoring and quality control of municipal projects, providing formal and on the job training and specialized equipment that enabled municipal engineers conduct robust quality assessments. This improved municipal oversight and quality control compared to RU-W providing oversight from local offices and Herat.

### **Citizen Perception Surveys require continued donor support**

The relatively high cost of such surveys certainly deterred municipalities from considering funding surveys themselves, but this could be overcome by municipalities grouping together in order to share the costs. Additionally, some municipalities, notably Herat, were unconvinced of survey results that did not chime with their own views. This may partly have been caused by the perception that the surveys were being conducted by RAMP UP and the municipality was not involved in the design of the survey at the initial stages, and was not involved in the analysis of results.

### **Allocating additional Municipal staff time to revenue collection can lead to large and rapid increases in municipal revenues**

For example in April and May 2013, RU-W provided Chaghcharan with support to improve Safayi Collections. Municipal staff with RU-W help went 'door-to-door' talking to citizens in their homes, informing them about the new tax bill information, the Safayi regulations and encouraging them to pay their Safayi. In this two month period, revenues increased by Safayi revenues increased by 1,150% in comparison to the prior year. Having seen this success, Chaghcharan hired three more revenue staff to collect Safayi without RU-W support.

### **The RAMP UP regional structure enabled each RAMP UP to respond to local needs and design appropriate interventions, but reduced synergies**

The regional approach, along with large differences in program budgets, led to a fewer opportunities for sharing experiences and adopting successful approaches from elsewhere. In cases where activities were replicated on a national level, there proved to be significant challenges associated with adapting these to the West region. Specifically, following the success of KCI's Citizen Service Center, USAID asked RAMP Ups to duplicate this approach in partner RU-W municipalities. RU-W did do this and it is anticipated that these centers will be a success; however, RU-W partner municipalities do not have Kabul City's freedom to change and streamline administrative processes. This may limit the effectiveness of the smaller municipal CSCs. Similarly, RU-S's IFMS system is being rolled out as a national system. The system was not originally designed as a national system and there were significant problems in adapting it for the West Region, not least in translating databases into Dari.

### **Youth Outreach proved to be a cost effective and sustainable way to improve citizen participation in municipal activities**

This was evidenced by Roles and Responsibilities seminars being successfully transferred to schools, and the enthusiasm of students to interface with the municipality through youth councils and volunteer events like *hashars*.

### **Local Media is a cost effective way to strengthen Citizen Outreach**

Local Radio Stations in all four municipalities re-broadcast municipal radio programs free of charge following the end of RU-W funded programming. The radio station in Qala-e-Naw also provided additional on-air Q&E sessions for municipal officials to take calls from citizens and discuss municipal events. Local television stations in Herat also offered to broadcast films entered in the Municipal Film Festival free of charge. These films addressed municipal issues and encouraged citizens to support municipal events and maintain the urban environment. These examples highlighted the opportunity for municipalities to continue cooperating with local media to strengthen citizen outreach and awareness at very low cost.

### **Programming efforts in smaller municipalities must be scheduled to avoid overwhelming municipal capacity.**

Chaghcharan and Qala-e-Naw have a lower staffing numbers and therefore lower absorptive capacity than Farah and Herat. During the Base Year, poor coordination among RU-W technical teams in Herat, would sometimes lead to large numbers of technical activities happening at the same time. This overwhelmed the municipality and caused delays in implementing RU-W activities as key municipal staff were needed for more than one activity at a time.

### **Internships were a popular and effective way of introducing new skills and young workers into municipal government**

The Municipal Internship Program introduced young graduates into municipal departments in order to help implement RU-W activities, support municipal activities and to gain experience of local government. A significant proportion of RU-W interns went on to secure jobs in Municipalities and other Local Government organizations. The Internships proved very popular with municipalities as they helped supplement municipal staffing, but they also introduced important ICT skills and new ways of working. This evidenced by interns securing jobs in the municipal departments that they had been interns in. Significantly, the internship program also introduced women into municipal departments, in some cases for the first time. This began the process of making municipalities more welcoming places for female citizens to access services, and also highlighted to predominantly male municipal staff, the value of a mixed workforce.

### **Municipal Advisory Boards (MABs) must become permanent Municipal Councils in order to sustain the progress made under RU-W**

RU-W helped embed MABs in municipal decision making in all four municipalities. The MABs proved successful in representing citizen priorities and in holding municipal government to account. Application of the GDMA guideline also ensured that women were MAB members as a means of incorporating women's priorities into municipal planning. RU-W provided training for MABs throughout the life of the program, but the advisory nature of the Boards, and their lack of a legal role in Governance meant that some Mayors tried to sideline MAB advice they did not agree with, and there was also regular turnover of MAB members. In order to mitigate these challenges, and for the improvements to be sustained they must be replaced with permanent, elected Municipal Councils.

### **Citizen groups will volunteer their time to without stipends or other monetary incentives**

RU-W helped municipalities establish citizen's groups including: Economic Development Committees, Municipal Advisory Boards, Service Delivery Advisory Groups and Youth Councils. None of these groups was paid a stipend and this encourages RU-W that these will continue to operate after the end of the project and will be sustainable entities for involving citizens in municipal affairs.

## **CHAPTER 7: SUGGESTIONS CONCERNING DESIRABLE FUTURE AND FOLLOW ON PROJECTS**

At the conclusion of the program USAID completed the design of a follow-on program: Strong Hubs for Afghan Hope and Resilience (SHAHAR), and was in the process of reviewing proposals. SHAHAR is envisaged as a single national program, as opposed to the regional model adopted by RAMP UP, and is intended to continue many of the activities begun by RAMP UP.

This section details RAMP UP West's recommendation on future programmatic, needs both in the West Region and nationally. It is hoped that this section will prove useful to the USAID Implementing Partner responsible for SHAHAR, but also for other USAID or donor programming working in the West Region or nationally.

The following activities and approaches are recommended:

### **Municipal Capacity Assessment**

Assessments of Municipal Capacity should be conducted early in any follow-on project. This would include updating a Municipal Capacity Index (MCI) scoring system to reflect project capacity building priorities and conducting a baseline assessment of each municipality being supported. Time constraints might also mean that a rapid capacity assessment would need to be conducted initially, with a full MCI tool developed subsequently. The final RU-W Municipal Capacity Index and Municipal Management and Capacity Building (MMBCBP) could function as starting points for these assessments.

The RU-W Municipal Capacity Assessment was conducted as an external study for RU-W purposes. It is recommended that municipalities, and potentially GDMA, are fully involved in the development of the tools, implementation of the assessment itself and the analysis and development of recommendations. Municipal involvement would enable them to use MCI scores to track progress, and also to use the tool to express its own priorities for improvement. This would also provide a further capacity building opportunity for municipal officials and improve municipal ownership of capacity building activities. GDMA involvement would have similar benefits, but would additionally enable GDMA to provide independent oversight of municipal capacity improvements, and enable them to use MCI scoring to allocate funding to recognize municipal improvements and to provide to support to address capacity gaps.

### **Operational Assessments**

In December 2013, RU-W completed finalization of Operational Assessments. These assessments reviewed existing financial procedures, including those relating to expenditures and revenue, and compared existing practices with official rules, procedures, and the relevant public and municipal laws. These assessments form a valuable basis for future projects to identify what support should be provided to municipalities to improve their financial operations, revenue collection and to identify how processes and systems can be simplified. The Operational Assessment should also be read alongside guidance from the rollout of version 2.0 of the national Integrated Financial Management System (IFMS) as this will also most likely result in some simplification of municipal financial processes.

## **Capacity Building activities and local training capacity should be institutionalized and integrated with municipal HR systems**

RU-W helped municipalities establish training facilities and provided ToT for municipal training coordinators, as well as introducing basic performance management and staff management processes. In the next project, these two functions should be brought together so that staff inductions and ongoing performance management of municipal staff are used to identify training and development needs that can be met either by the local training coordinator or supported by GDMA on a national or regional basis.

It's also important to note that adding permanent training staff is an important pre-requisite for establishing indigenous and sustainable training capacity. Any future project should continue to work with municipal training coordinators, help municipalities get municipal training staff added to their Tashkeels, and conduct a Training of Trainers. Municipal training staff should then be embedded into program training activities, working alongside project staff. These steps, and using local training capacity as much as possible, should establish a basis for sustainable indigenous training capability that responds to municipal needs.

## **Integration of Project Activities with GDMA's annual performance evaluation of Mayors**

GDMA's methodology and criteria for evaluation of mayors should be made transparent and integrated into the identification and design of project activities. This would encourage mayoral support to program activities, while also allowing the program to respond to and support GDMA's strategic vision of how a well performing mayor and municipality functions.

## **Continued assistant to Service Delivery Advisory Groups and strengthening their role in performance management of municipal services**

For the Option Year #1 and #2 Anchor Services, RU-W established Service Delivery Advisory Groups (SDAG) made up of citizens and municipal officials. These SDAGS are responsible for overseeing the implementation of the Municipal Service Improvement Plan (MSIP) for whichever service they are responsible for. They should also monitor citizen satisfaction with that service, monitor service improvements and use that information as a basis for updating the MSIP on an annual basis and securing municipal funding for further service improvements.

While SDAGs have been established in all four municipalities and they also played an important role in securing funding for MSIPs in budget plans, they are still in an early stage and need further support. Specifically, each municipality should ideally have an SDAG managing a MSIP for every municipal service, and the SDAGs should be involving citizens and citizen groups in monitoring of services. RU-W provided some performance management training to SDAGs, helping them understand how to set indicators and collect data, but this requires continued support to embed these groups in the municipal planning and performance management process.

## **Support to Municipal Conferences and Mayors Meetings**

RU-W established regular Municipal conferences and Mayors meetings to provide a framework to exchange experience and share knowledge among RU-W municipalities. It is recommended that the follow on program continues to support this mechanism and to encourage GDMA's regular attendance in order to strengthen links between local government and Kabul.

## **Distribution of Municipal Budget Guides**

RU-W developed a handbook on a “Model Budget Process for Afghanistan Municipalities”. This was published electronically and distributed to GDMA. The handbook provides municipalities with a step-by-step guide on all facets of the budget process, incorporating examples from partner municipalities. It is recommended that a follow-on project physically publish this handbook and distribute it to municipalities and GDMA. The handbook will provide an easy-to-use guide for better municipal budgeting.

## **Urban Planning**

RU-W was originally going to provide support on urban planning, and in fact partner municipalities wanted support on developing or updating their existing urban plans. RU-W was unable to help them do this, but instead worked with MUDA to develop a Guide to Preparing a Comprehensive Plan. This plan details all the steps required for municipalities to update their urban plans, including heavy emphasis on citizen participation. This Plan was distributed in electronic format but any follow on project is recommended to publish this and distribute it to GDMA and municipalities. Additionally, a follow on program could support municipalities to use the guide to either update existing or create new urban plans.

## **Citizen Service Centers**

RU-W helped Chaghcharan, Farah, Herat, and Qala-e-Naw open their CSCs towards the end of 2013 when RU-W prepared for closedown. The follow on project should provide on the job training for CSC staff and ensure that performance management systems are being used. Each municipality should be assisted to introduce permanent qualified staff and support should be provided to ensure that CSCs use clear and simple guidelines for CSC activities. GDMA and any follow on project also need to monitor CSCs in these municipalities as they expand their services from initially providing information on a limited number of municipal services, to provision of information on the full range of service and finally to the point where they can provide citizen services directly.

## **Gender Programming**

RU-W helped municipalities develop Action Plans to localize and implement the GDMA Gender Mainstreaming Guideline. Encouragingly, in their 1393 budget submissions, all four municipalities allocated funding for items identified by their Action Plans. Additionally, RU-W helped MABs establish Women’s Sub-Committees to manage the Action Plan and ensure that municipal decision making is responsive to women’s needs. While these are encouraging steps, GDMA and municipal support for gender mainstreaming have been inconsistent throughout the life of the program. Continued programmatic support is likely to be needed to ensure that Women’s Sub-Committees are established under Municipal Councils, that Action Plans continue to be updated, and that these mechanisms are institutionalized.

## **Municipal Internship Program**

The Municipal Internship Program proved to be a very successful activity for RU-W. It introduced new skills and a new generation of workers into municipal government, and also brought women into the municipal workforce for the first time in some municipalities. In addition, and especially in smaller municipalities, it provided additional staffing to implement municipal reforms and RU-W activities. Municipalities are not yet in a position to continue funding these Internship programs, so they would require support either from GDMA at a national level, or support from any follow on program.

### **Performance Management**

RU-W began establishing Performance Management Systems for municipal services and CSCs but these are still embryonic. Future programming needs to provide continued support to these systems including capacity building and a combination of, establishing municipal performance management functions, and continued empowerment of citizen oversight mechanisms such as SDAGs. Without continued support there is a danger that the current systems will not prove sustainable or will become isolated from municipal decision making processes and budget development. This will limit their ability to ensure that municipal services are addressing citizen priorities and that there is continuous improvement in service provision.

### **Development of GDMA's M&E and Policymaking functions**

GDMA currently gets involved in decision making in individual municipalities and see themselves as supervisors. This makes mayors accountable to GDMA, rather than citizens and, in an environment where municipalities self-fund this is not what their role should be. This was especially evident where municipalities made decisions on how to spend their resources, notably in relation to improving capacity for Outreach and Youth and Gender work, and GDMA overruled these decisions. Instead, they need to play the role of monitoring and evaluation and policy making at an over-arching level.

This also extends to communication and the need for clear channels between GDMA and the municipalities and not through the donor-funded project. The next project should provide support to GDMA to establish improved direct communication and coordination between it and municipalities. GDMA needs support from follow on programs to develop these areas and to better understand its role.

### **Afghanization**

Any follow on project needs to fully empower the local team. Expats involved need to become mentors and advisors to the local team members, while the local team itself needs to get the authority to act and manage the project. This is consistent with existing guidance on Afghanization of donor programs but is important to emphasize given the tendency of programs in Afghanistan to be staffed by high proportion of expats relative to similar programs in other countries.

## CHAPTER 8: ENVIRONMENTAL COMPLIANCE

All USAID activities are required to adhere to USAID Environmental Procedures 22 CFR §216. These regulations require each USAID project to undergo an Initial Environmental Examination (IEE) meant to identify the potential environmental impacts expected as a result of a project activity. Based on the IEE, a systematic approach for environmental control including procedures, instructions and templates was developed in a project-specific Environmental Manual (EM). In addition, a Framework Environmental Mitigation and Monitoring Plan (FEMMP) was completed for the major activity types outlined in the IEE, represented by Municipal Solid Waste Management, Sanitation and Latrines, Small-Scale Infrastructure, and Small-Scale Road Activities. These project level documents were submitted to the USAID Mission Environmental Officer in the Base Year, and again in Option Year #2. All project level documents were approved.

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

The Environmental Management Program Tracking Table (see Annex B) includes the Environmental compliance tracking records for each sub-project.

In the Base Year RU-W undertook a total of 16 infrastructure sub-projects fourteen (14) of the subprojects underway were screened as ‘negative determination with conditions’, wherein environmental management includes sub-project specific mitigation and monitoring requirements that are documented in an EMMP. The remaining subproject was screened as ‘negative determination without conditions’.

RU-W undertook 13 infrastructure projects in Option Year#1 in cooperation with partner municipalities. Of these 13, RU-W screened twelve (12) as ‘negative determination with conditions’. RU-W screened the remaining sub-project as ‘negative determination without conditions’.

In Option Year #2, RUW initiated another six (6) infrastructure sub-projects in Farah, Herat and Qala-e-Naw. RU-W screened five (5) of these as ‘negative determination with conditions’ and the sixth as ‘negative determination without conditions’. The Environmental Management Program Tracking Table includes the Environmental compliance tracking records for each sub-project.

In total, RU-W undertook a total of thirty-five (35) infrastructure sub-projects. The Environmental Management Program Tracking Table contains the Environmental compliance tracking records for each sub-project. As indicated in the table, thirty-two (32) of these sub-projects screened as ‘negative determination with conditions’, wherein environmental management includes sub-project-specific mitigation and monitoring requirements documented in their EMMP. The remaining three projects screened as ‘negative determination without conditions’.

The small scale infrastructure projects undertaken by RU-W included road medians, solar pumps for median watering, park solar light installation, drainage canals, street median renovation, park greenery and planting, garbage bins, park fitness equipment provision and installation, sidewalk construction,

bridge guard rails, etc. Due to the relatively small-scale scope of these sub-projects, as well as, the low-impact construction methods and emphasis on utilizing manual labor, these incurred relatively minor potential for significant adverse environmental impact.

For such sub-projects, environmental mitigation primarily focused on personal protective measures for laborers, pedestrian and vehicular traffic safety considerations, timely disposition of spoils and wastes, and work site dust controls. RU-W held pre-construction meetings with contractors and the municipalities to review environmental mitigation requirements. RU-W embedded engineers and municipal officials closely followed construction activities on a daily basis to monitor compliance and follow up with contractors as needed. RU-W experienced no notable adverse environmental impacts from these activities.

The environmental benefits realized through these sub-projects include increasing public safety by formalizing pedestrian thoroughfares, municipal cleaning and greening, and overall sanitation, hygiene and aesthetic improvements.

## ANNEX B: ENVIRONMENTAL MANAGEMENT PROGRAM TRACKING TABLE

Sub-project Number	Sub-project Name	Environmental Screening Checklist Recommended Determination	EMMP Requirement	
<b>Expeditious Projects(Base Year)</b>				
<b>Chaghcharan</b>				
CHG-0001	Chaghcharan City Green Area and Sidewalk Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
CHG-0002	Chaghcharan City Garbage bin Construction	Negative Determination without Conditions	x	Not Required
				Prepared
				In Progress
				Completed
CHG-0003	City Parking Lots & Sidewalk Construction	Negative Determination without Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Farah</b>				
FRH-0002	Farah City Parking Lots Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
FRH-0003	District#4 Boulevard Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
FRH-0004	Shah Bazaar Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Herat</b>				
HER-0003	Chowk-e-Cinema-Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HER-0004	Chowk-e-Gulha Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HER0005	Shahre-Naw Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress

			x	Completed
HER-0006	Bank-e-khon Street Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HER-0007	Box Culvert Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
<b>Qala-e-Naw</b>				
QAL-0002	Posht-e-Amniat Milli-Road Sidewalk & Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
QAL-0003	Amniat Milli Road Sidewalk & Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
QAL-0004	Bandar Qadis/Green area Sidewalk and Drainage Canal Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Anchor Service Improvements Option Year#1</b>				
<b>Chaghcharan</b>				
CHG-0019	Main park Solar light Installation	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
CHG-0020	Main Square and park Improvement	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
CHG-0021	Main park Improvement	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
CHG-0022	Main park Irrigation SystemImprovement	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
CHG0024	Chaghcharan Main Park - Greenery and Planting	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Farah</b>				

FRH-0023	Drainage (District One)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
FRH-0024	Drainage Construction(Jade Bank Zeraati)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Herat</b>				
HRT-0032	Street Median Renovation 64 Metra	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HRT-0033	Street Median Solar pump	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HRT-0034	Farqa Road Median Renovation	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HRT-0038	Taraqi Park fitness equipment provision and installation	Negative Determination without Conditions	x	Not Required
				Prepared
				In Progress
				Completed
<b>Qala-e-Naw</b>				
QAL-0017	Sidewalk and street ditch Construction(posht Bagh)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
QAL-0018	Sidewalk and street ditch Construction(Mahal Qassab ha)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Anchor Service Improvements Option Year#2:</b>				
<b>Chaghcharan</b>				
CHG-0025	Solid Waste Collection Service - Mobile Garbage Bin Provision	Negative Determination without Conditions	x	Not Required
				Prepared
				In Progress
				Completed
<b>Farah</b>				
FRH-0026	Street Median Construction	Negative Determination with Conditions		Not Required
				Prepared
				In Progress

			x	Completed
FRH-0026	Street Solar Lights Supply and Installation	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Herat</b>				
HRT-0037	Drainage Construction (Jade-e-Shomali)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
HRT-0037	Drainage Construction (Qul-Ordo Street)	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed
<b>Qala-e-Naw</b>				
QAL-0020	Service Improvement-Solid Waste Collection	Negative Determination with Conditions		Not Required
				Prepared
				In Progress
			x	Completed

## ANNEX C: INDEX OF ALL REPORTS AND INFORMATION PRODUCTS PRODUCED UNDER THIS CONTRACT

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
1.01	RU-W Workplan- Base Year, Jun 2011	Deliverable	English	13-Jun-11	36
1.02	RU-W Workplan- Option Year #1, Oct 2011	Deliverable	English	26-Oct-11	24
1.03	RU-W Workplan-Option Year #2- Nov 2012	Deliverable	English	21-Nov-12	40
2.01	RU-W-Performance Management Plan- June 2011	Deliverable	English	12-Jun-11	42
2.02	RU-W-Performance Management Plan-Feb 2012	Deliverable	English	12-Feb-12	47
2.03	RU-W-Performance Management Plan-Jan 2013	Deliverable	English	14-Jan-13	46
3.01	RU-W April 2011 Monthly Report	Deliverable	English	15-May-11	16
3.02	RU-W May 2011 Monthly report	Deliverable	English	15-Jun-11	19
3.03	RU-W June 2011 Monthly report	Deliverable	English	15-Jul-11	14
3.04	RU-W July 2011 Monthly report	Deliverable	English	15-Aug-11	14
3.05	RU-W August 2011 Monthly report	Deliverable	English	15-Sep-11	14
3.06	RU-W September 2011 Monthly Report	Deliverable	English	15-Oct-11	17
3.07	RU-W October 2011 Monthly Report	Deliverable	English	15-Nov-11	22
3.08	RU-W November 2011 Monthly Report	Deliverable	English	15-Dec-11	26
3.09	RU-W December 2011 Monthly Report	Deliverable	English	15-Jan-12	29
3.10	RU-W January 2012 Monthly Report	Deliverable	English	15-Feb-12	36
3.11	RU-W February 2012 Monthly Report	Deliverable	English	15-Mar-12	29
3.12	RU-W March 2012 Monthly Report	Deliverable	English	15-Apr-12	29
3.13	RU-W April 2012 Monthly Report	Deliverable	English	15-May-12	30
3.14	RU-W May 2012 Monthly report	Deliverable	English	15-Jun-12	23
3.15	RU-W June 2012 Monthly report	Deliverable	English	15-Jul-12	24
3.16	RU-W July 2012 Monthly report	Deliverable	English	15-Aug-12	23
3.17	RU-W August 2012 Monthly report	Deliverable	English	15-Sep-12	19
3.18	RU-W September 2012 Monthly Report	Deliverable	English	15-Oct-12	20
3.19	RU-W November 2012 Monthly Report	Deliverable	English	15-Dec-12	21
3.20	RU-W December 2012 Monthly Report	Deliverable	English	15-Jan-13	22
3.21	RU-W January 2013 Monthly Report	Deliverable	English	15-Feb-13	24
3.22	RU-W February 2013 Monthly Report	Deliverable	English	15-Mar-13	24
3.23	RU-W March 2013 Monthly Report	Deliverable	English	15-Apr-13	27
3.24	RU-W April 2013 Monthly Report	Deliverable	English	15-May-13	27
3.25	RU-W May 2013 Monthly report	Deliverable	English	15-Jun-13	31
3.26	RU-W June 2013 Monthly report	Deliverable	English	15-Jul-13	25
3.27	RU-W July 2013 Monthly report	Deliverable	English	15-Aug-13	25
3.28	RU-W August 2013 Monthly report	Deliverable	English	15-Sep-13	27
3.29	RU-W September 2013 Monthly Report	Deliverable	English	15-Oct-13	31
3.30	RU-W November 2013 Monthly Report	Deliverable	English	15-Dec-13	28
3.31	RU-W December 2013 Monthly Report	Deliverable	English	15-Jan-13	25

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
4.01	RU-W April-June 2011 Quarterly report	Deliverable	English	30-Jul-11	19
4.02	RU-W Jul-Sep 2011 Quarterly Report	Deliverable	English	30-Oct-11	31
4.03	RU-W Oct-Dec 2011 Quarterly Report	Deliverable	English	30-Jan-12	36
4.04	RU-W Jan-Mar 2012 Quarterly Report	Deliverable	English	30-Apr-12	40
4.05	RU-W April-June 2012 Quarterly Report	Deliverable	English	30-Jul-12	40
4.06	RU-W Oct-Dec 2012 Quarterly Report	Deliverable	English	30-Jan-13	45
4.07	RU-W Jan-Mar 2013 Quarterly Report	Deliverable	English	30-Apr-13	57
4.08	RU-W April-June 2013 Quarterly Report	Deliverable	English	30-Jul-13	57
4.09	RU-W Oct- Dec 2013 Quarterly Report	Deliverable	English	30-Jan-14	46
5.01	RU-W Annual Report- Nov 2011	Deliverable	English	13-Nov-11	36
5.02	RU-W Annual Report- Nov 2012	Deliverable	English	30-Nov-12	50
5.03	RU-W Annual Report- Nov 2013	Deliverable	English	30-Nov-13	70
6.01	RU-W Final Report- March 2014	Deliverable	English	15-Mar-14	134
7.01	RU-W-Demobilization Plan	Deliverable	English	11-May-12	20
8.01	RU-W Disposition List	Report	English	15-Mar-14	6
9.01	RU-W-Branding Implementation Plan- June 2011	Deliverable	English	22-Jun-11	18
10.01	RU-W Success Story- 1390 Revenue Collection	Report	English	Aug-12	1
10.02	RU-W Success Story- 1391 Budget	Report	English	Jun-12	1
10.03	RU-W Success Story-Advisory Boards	Report	English	Jun-12	1
10.04	RU-W Success Story- Chaghcharan Property Registration and Awareness Campaign	Report	English	8-Sep-13	1
10.05	RU-W Success Story- Chaghcharan Expeditious projects	Report	English	Jan-12	1
10.06	RU-W Success Story- RU-W Launch Ceremony of Expeditious Projects	Report	English	Nov-11	1
10.07	RU-W Success Story-Farah Expeditious projects	Report	English	Jun-12	1
10.08	RU-W Success Story-A Female Graduate Intern	Report	English	Dec-12	1
10.09	RU-W Success Story-Filing System	Report	English	Nov-12	1
10.1	RU-W Success Story-Film Festival	Report	English	Mar-13	1
10.11	RU-W Success Story- Herat Internship Program	Report	English	Dec-12	1
10.12	RU-W Success Story- Herat Construction Department	Report	English	3-Dec-13	1
10.13	RU-W Success Story-Herat House of Culture Success Story	Report	English	Jun-12	1
10.14	RU-W Success Story-Herat Internship Program	Report	English	Dec-12	1
10.15	RU-W Success Story- Municipal Conference Success Story	Report	English	Jun-12	1
10.16	RU-W Success Story- Qala-e-Naw Municipal Advisory Board	Report	English	24-Sep-13	1

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
10.17	RU-W Success Story- Radio Program	Report	English	Jun-13	1
10.18	RU-W Success Story-Service Delivery Improvement Plan	Report	English	Jun-12	1
10.19	RU-W Success Story-Training Centers	Report	English	N/A	1
10.2	RU-W Human Interest Story-Farah Intern	Report	English	24-Dec-13	2
10.21	RU-W Human Interest Story-Chaghcharan Park	Report	English	17-Sep-13	1
10.22	RU-W Human Interest Story- A Member of Chaghcharan Municipal Advisory Board	Report	English	11-Sep-13	2
10.23	RU-W Postcard-First female staff in Chaghcharan	Report	English	16-Apr-14	1
10.24	RU-W Postcard- Chaghcharan Graduate Intern	Report	English	20-Aug-13	1
10.25	RU-W Postcard-Chaghcharan Revenue Collection	Report	English	Aug-13	1
10.26	RU-W Postcard-Farah Municipality Debtors List	Report	English	4-Nov-13	1
10.27	RU-W Postcard-Farah Revenue Collection	Report	English	Jun-13	1
10.28	RU-W Postcard-Farah youth council Cleaning the Main Park	Report	English	11-Dec-13	1
10.29	RU-W Postcard-Farah Youth Council	Report	English	5-Jun-13	1
10.3	RU-W Postcard-Hand-over of R&R to schools	Report	English	22-May-13	1
11.01	Environmental Review Report Chaghcharan City Garbage Bin Construction	Report	English	11-Jul-11	17
11.02	Environmental Review Report Chaghcharan City Parking Lots	Report	English	11-Jul-11	17
11.03	Environmental Review Report Chaghcharan Sidewalks	Report	English	11-Jul-11	17
11.04	Environmental Review Report Farah Drainage Canal	Report	English	11-Jul-11	17
11.05	Environmental Review Report Farah Boulevard Construction	Report	English	11-Jul-11	17
11.06	Environmental Review Report Farah Parking Lots Construction	Report	English	11-Jul-11	17
11.07	Environmental Review Report Farah Sidewalk & Drainage	Report	English	11-Jul-11	17
11.08	Environmental Review Report Herat Bank-e-khon Drainage Canal	Report	English	11-Jul-11	17
11.09	Environmental Review Report Herat Chawk-e-Gulha Sidewalk	Report	English	11-Jul-11	17
11.10	Environmental Review Report Herat Chowk-e-Gulha Drainage Canal	Report	English	11-Jul-11	17

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
11.11	Environmental Review Report Herat Shahr-e-Naw Drainage Canal	Report	English	11-Jul-11	17
11.12	Environmental Review Report Herat Box Culvert Construction	Report	English	11-Jul-11	17
11.13	Environmental Review Report Herat Chowk-e-Cinema Drainage Canal	Report	English	11-Jul-11	17
11.14	Environmental Review Report Qala-e-Naw Amniat Milli RoadSidewalk & Drainage	Report	English	11-Jul-11	17
11.15	Environmental Review Report Qala-e-Naw Bandar QadisGreen Area, Sidewalk	Report	English	11-Jul-11	17
11.16	Environmental Review Report Qala-e-Naw Posht-e-Amniat Milli RoadSidewalk	Report	English	11-Jul-11	17
11.17	Environmental Review Report Chaghcharan Main Park Improvement	Report	English	3-Jul-12	23
11.18	Environmental Review Report Chaghcharan Main Park Irrigation System	Report	English	3-Jul-12	21
11.19	Environmental Review Report Chaghcharan Main square & Park improvement-Construction	Report	English	21-Jul-12	23
11.20	Environmental Review Report Chaghcharan Park Solar light	Report	English	21-Jul-12	14
11.21	Environmental Review Report Farah Drainage Construction	Report	English	21-Jul-12	17
11.22	Environmental Review Report Farah Drainage Construction-jade-bank zaraati	Report	English	21-Jul-12	17
11.23	Environmental Review Report Herat Farqa Road Median	Report	English	10-Feb-13	18
11.24	Environmental Review Report Herat Street Median	Report	English	21-Jul-12	17
11.25	Environmental Review Report Herat Street Median Solar pump	Report	English	21-Sep-12	18
11.26	Environmental Review Report Qala-e-Naw Sidewalk & street ditch Construction (1)	Report	English	20-Aug-12	17
11.27	Environmental Review Report Qala-e-Naw Sidewalk & street ditch Construction (2)	Report	English	21-Jul-13	17
11.28	Environmental Review Report Farah Street Median	Report	English	20-Jul-13	16
11.29	Environmental Review Report Farah Street Solar light	Report	English	20-Jul-13	15
11.30	Environmental Review Report Herat Drainage service Jade Shumali	Report	English	9-Jun-13	17
11.31	Environmental Review Report Herat Drainage service Qul Urdo	Report	English	9-Jun-13	17
11.32	Environmental Review Report Qala-e-Naw Solid Waste collection	Report	English	20-Jul-12	18

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
12.01	2012 External Survey PMP indicators	Report	English	30-Nov-12	
12.02	2012 External Survey Results - Farah	Report	English	Nov-12	39
12.03	2012 External Survey Results - Herat	Report	English	Nov-12	98
12.04	2012 External Survey Results - Qala-e-Naw City	Report	English	Nov-12	95
12.05	2012 External Survey Results -Chaghcharan	Report	English	Nov-12	96
12.06	2013 External Survey PMP indicators	Report	English	Oct-13	97
12.07	2013 External Survey Results - Chaghcharan	Report	English	Oct-13	93
12.08	2013 External Survey Results- Farah	Report	English	Oct-13	98
12.09	2013 External Survey Results- Herat	Report	English	Oct-13	95
12.1	2013 External Survey Results- Qala-e-Naw	Report	English	Nov-13	
13.01	Functional Audit Report - Chaghcharan November 2011	Report	English	Dec-11	17
13.02	Functional Audit Report - Farah November 2011	Report	English	Dec-11	21
13.03	Functional Audit Report - Herat November 2011	Report	English	Dec-11	23
13.04	Functional Audit Report - Qala-e-Naw December 2011	Report	English	Dec-11	18
13.05	2012 Chaghcharan MMCBP	Report	English	Dec-12	50
13.06	2012 Farah MMCBP	Report	English	Dec-12	62
13.07	2012 Herat MMCBP	Report	English	Dec-12	81
13.08	2012 Qala-e-Naw MMCBP	Report	English	Dec-12	61
13.09	Mid-Term Assessment Report - Chaghcharan	Report	English	Feb-13	27
13.1	Mid-Term Assessment Report - Farah	Report	English	Feb-13	27
13.11	Mid-Term Assessment Report - Herat	Report	English	Feb-13	28
13.12	Mid-Term Assessment Report - Qala-e-Naw	Report	English	Feb-13	28
13.13	2013 Chaghcharan MMCBP	Report	English	Feb-14	65
13.14	2013 Farah MMCBP	Report	English	Feb-14	73
13.15	2013 Herat MMCBP	Report	English	Feb-14	86
13.16	2013 Qala-e-Naw MMCBP	Report	English	Feb-14	70
14.01	Chaghcharan Operational Assessment	Report	English	9-Nov-13	30
14.02	Farah Operational Assessment	Report	English	9-Nov-13	31
14.03	Herat Operational Assessment	Report	English	9-Nov-13	34
14.04	Qala-e-Naw Operational Assessment	Report	English	9-Nov-13	28
14.05	Compiled Report of Operational Assessment	Report	English	24-Dec-13	23
15.01	Chaghcharan Municipality Gender Strategy	Report	English	Oct-13	7
15.02	Farah Municipality Gender Strategy	Report	English	Oct-13	7
15.03	Herat Municipality Gender Strategy	Report	English	Oct-13	7
15.04	Qala-e-Naw Municipality Gender Strategy	Report	English	Oct-13	7
16.01	Chaghcharan Economic Development Plan	Report	English	N/A	39

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
16.02	Farah Economic Development Plan	Report	English	N/A	38
16.03	Herat Economic Development Plan	Report	English	N/A	47
16.04	Qala-e-Naw Economic Development Plan	Report	English	N/A	40
16.05	Chaghcharan Municipal Economic Development Brochure	Brochure	English	N/A	2
16.06	Farah Municipal Economic Development Brochure	Brochure	English	N/A	2
16.07	Herat Municipal Economic Development Brochure	Brochure	English	N/A	2
16.08	Qala-e-Naw Municipal Economic Development Brochure	Brochure	English	N/A	2
17.01	Anti-Corruption	Training	English	N/A	31
17.02	Asset Management- Phase I	Training	English	N/A	40
17.03	Asset Management-Phase II	Training	English	N/A	37
17.04	Basic Concept & Principles of Management	Training	English	N/A	50
17.05	Gender Mainstreaming	Training	English	N/A	37
17.06	Municipal Advisory Board I	Training	English	N/A	25
17.07	Municipal Advisory Board II	Training	English	N/A	28
17.08	Municipal Advisory Board III	Training	English	N/A	41
17.09	Organizational Structure	Training	English	N/A	50
17.1	Performance Management Need assessment	Training	English	N/A	44
17.11	Project Budgeting	Training	English	N/A	36
17.12	Project Planning	Training	English	N/A	51
17.13	Proposal Writing	Training	English	N/A	50
17.14	Public Participation	Training	English	N/A	31
17.15	Report Writing	Training	English	N/A	22
17.16	SWOT Analysis	Training	English	N/A	12
18.01	Chaghcharan	Report	English	N/A	1
18.02	Farah	Report	English	N/A	1
18.03	Herat	Report	English	N/A	1
18.04	Qala-e-Naw	Report	English	N/A	1

Index NO	Document Name	Deliverable or Report	Language	Publication Date	Pages
18.05	Action Plan Chaghcharan	Report	English	N/A	1
18.06	Action Plan Farah	Report	English	N/A	1
18.07	Action Plan Herat	Report	English	N/A	1
18.08	Action Plan Qala-e-Naw	Report	English	N/A	1
19.01	Municipal Capacity Index Methodology	Report	English	N/A	5
20.01	A Handbook on a Model Budget Process for Afghanistan Municipalities	Report	English	N/A	18
21.01	A Guide to Preparing a Comprehensive Plan	Report	English	N/A	58