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REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – REGIONAL COMMAND NORTH

QUARTERLY REPORT: OCTOBER - DECEMBER 2011



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REGIONAL AFGHAN MUNICIPALITIES PROGRAM FOR URBAN POPULATIONS – RC NORTH

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CONTENTS

- ABBREVIATIONS & TERMS II**
- RAMP UP NORTH: OCTOBER – DECEMBER 2011 SUMMARY3**
- MUNICIPAL PROGRESS/PROGRAMMATIC HIGHLIGHTS.....4**
 - Capacity Building4
 - Service Improvement Plans.....4
 - Municipal Management and Capacity Building Plans5
 - Citizen Engagement.....6
 - Sustainable Service Delivery Improvement Projects.....7
- PROGRESS BY INDICATOR ON THE RU-N PERFORMANCE MANAGEMENT PLAN9**
 - Progress Towards CLIN 1: Capacity Building of GIRoA officials at municipal level..... 13
 - Progress Towards CLIN 2: Support to GIRoA to provide responsive, effective, and visible municipal service delivery 15
 - Progress towards CLIN3: Support to GIRoA to improve economic development and revenue generation at municipal level 18
 - Progress Towards Cross-cutting (Common) Activities.....23
- PROGRAM CHALLENGES.....28**
- LESSONS LEARNED28**

ABBREVIATIONS & TERMS

AO	Assistance Objective
AFN	Afghani (monetary unit of Afghanistan)
ASGP	Afghan Sub-national Governance Program (UNDP Program)
CLIN	Contract Line Item
CO	Contracts Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
DAI	Development Alternatives Incorporated
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
FAF	Foreign Assistance Framework
GIRoA	Government of the Islamic Republic of Afghanistan
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MMCBP	Municipal Management and Capacity Building Plan
MTL	Municipal Team Leader
NGO	Non-Governmental Organization
PAAG	Public Administration Advisory Group
PMP	Performance Management Plan
RAMP UP	Regional Afghan Municipalities Program for Urban Populations
RC N	ISAF Regional Command North
RFP	Request for Proposals
RU-N	RAMP UP North
SDAG	Service Delivery Advisory Group
SDIP	Service Delivery Improvement Plan
SMAP	Strategic Municipal Action Plan
SOP	Standard Operating Procedures
SO	Strategic Objective
TAMIS	Technical Assistance Management Information System
TBD	To be determined
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government

Terms

<i>gozar</i>	Neighborhood
<i>nahya</i>	Municipal District
<i>wakil or kalanter</i>	<i>nahya</i> or <i>gozar</i> representative
<i>mustoufiat</i>	Sub national representative office for Ministry of Finance
<i>Tashkeel</i>	administrative structure of a GIRoA entity
<i>Safayi tax</i>	service charge and property tax
<i>Sharwali</i>	Municipality
<i>moqarara</i>	Regulation
<i>zarang</i>	motorized rickshaw, a three-wheeled motorcycle modified with carrying capacity

RAMP UP NORTH: OCTOBER – DECEMBER 2011 SUMMARY

The Regional Afghan Municipalities Program for Urban Populations, Regional Command North (RAMP UP North) project's revised work plan was approved on December 2, 2011. This approval was significant for clarifying program goals and objectives and allowing RU-N to rapidly develop specific action plans for embedded team members. During this quarter, RU-N staff made notable progress, especially in terms of capacity building of municipal officials and citizen representatives, project planning and procurement, and citizen engagement and public awareness.

In terms of capacity building, RU-N began implementing project-based training, defined as using service improvement projects as a primary teaching platform to develop core competencies. Key municipal procurement officials and citizens in five municipalities received experienced-based training on transparent procurement processes, which align with Afghan procurement laws. RU-N program staff introduced citizens and officials to the idea of Service Improvement Plans (SIPs) and assisted them in developing SIPs for several subprojects. RU-N staff introduced municipal officials and citizens to concepts of project management, focusing on tools and concepts used for project selection and prioritizing needs, project planning, project sustainability assessments, and project monitoring. Citizens received first hand training in assessing neighborhood needs, and well as citizen monitoring.

RU-N Sustainable Service Delivery Improvement Projects entered the second of four planned rounds, with Service Delivery Advisory Groups (SDAGs) and mayors prioritizing and selecting projects in many municipalities. Most of the first round projects have entered the procurement stage, with five bid openings and evaluations held in December. One project, the Aybak central park improvement project, entered final stages. RU-N staff continued to involve citizens and municipal officials in all stages with a focus on project monitoring and oversight. In addition, local media was present at several events providing widespread exposure to increase public awareness of the work of RU-N. This exposure will help to amplify the project's message, build stakeholder partnership and increase the probability of long term, citizen led financial sustainability through expanded revenues.



The RU-N procurement team conducted a bid opening and capacity-building event on December 15, 2011 with SDAG members, municipal officials, and media representatives present.

The RU-N civil society team conducted several citizen beneficiary surveys, both pre- and post-project to assess community needs, and options for change. The team asked several questions to assess whether or not citizens were willing to contribute to project sustainability and how much their contribution might be. While complete analysis was not complete at the end of the reporting period, initial findings point a broad-based citizen willingness to pay more for basic municipal services. RU-N will complete analysis and share the results with mayors and SDAG members, and use the information in Round 2 project design. Finally, RU-N staff also worked closely with Mayors and community leaders to develop public awareness campaigns to inform the public about municipal projects and to begin to link expanded service to citizen financial support.

Overall, this quarter was extremely productive in terms of capacity building, project planning, and citizen engagement activities. More specific details on RU-N activities for October – December 2011 are described below.

MUNICIPAL PROGRESS/PROGRAMMATIC HIGHLIGHTS

CAPACITY BUILDING

This quarter, capacity-building activities were embedded in all the work of RU-N. From meetings with the Municipal Accounting Department to discuss modernized accounting systems to working with citizens to draft SIPs, RU-N staff were first and foremost concerned with passing along skills and tools to assist municipal officials and citizens perform their functions or roles in the municipal decision-making process more effectively.

SERVICE IMPROVEMENT PLANS

Concurrent with the implementation of the Sustainable Service Delivery Improvement Projects, RU-N technical experts have introduced the concept of longer-term service delivery improvement planning. The purpose of the Service Improvement Plan is to lay a foundation for benchmarking service improvement goals, citizen monitoring, and sustainability. Citizens who were involved in drafting SIPs were instructed by RU-N staff on how to determine the current level of service delivery, the desired level of service delivery, and indicators to measure whether or not the desired level of service delivery has been reached.

SIPs were drafted in all nine municipalities, and details of the status of the SIPs for first round projects are listed in the table below:

Service Improvement Plans for Round One Projects—Status by Municipality				
Municipality	Project	Participants	Date Drafted	Both English and Dari version?
Aybak	Central park improvement	Two PAAG members, 10 SDAG members, RU-N staff	12/21/11	Yes
Faizabad	District 1 and 5 trash collection	15 SDAG members (11 males, four female), seven kаланters, four other citizens, RU-N staff	11/28/11	English
Kunduz	Trash collection	21 citizens including SDAG, PAAG, and kаланters, RU-N staff	12/20/11	Yes
Maymana	Women's park construction	14 citizens, RU-N staff	01/15/12	Dari
Mazar-e-Sharif	District 5 trash collection	45 kаланters, head of District 5, RU-N staff	10/01/11	Yes
Pul-e-Khumri	Trash collection	22 participants (17 males, five females) including SDAG, PAAG, citizens, and kаланters, RU-N staff	12/20/11	Yes
Sar-e-Pul	Central park improvement	17 participants including three women, three youths, Mayor, Deputy Mayor, SDAG Vice Chair, Head of Olympic Committee, PAAG members, and kаланters, RU-N staff	12/20/11	English

Sheberghan	Trash collection	20 SDAG members (15 males, five females), one male citizen, two female citizens, RU-N staff	09/08/11	Yes
Taloqan	Trash collection	14 SDAG members, six kаланters, five PAAG members, RU-N staff	12/19/11	Yes

MUNICIPAL MANAGEMENT AND CAPACITY BUILDING PLANS

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



The PAAG in Mazar-e-Sharif worked with RU-N staff to finalize the MMCBP on December 22, 2011.

This quarter, all nine MMCBPs were completed with RU-N assistance and the input of municipal officials, PAAG members, and other relevant parties. Overall, 95 PAAG members participated in 16 PAAG events to draft and finalize the MMCBPs in all nine municipalities. Details on stakeholder participation and status for each plan are outlined in the table below:

Municipal Management and Capacity Building Plans (MMCBPs) Status by Municipality		
Municipality	Participants	Date Finalized
Aybak	Deputy Mayor, 10 PAAG members, RU-N staff	12/13/11
Faizabad	18 PAAG members (16 men and two women), RU-N staff	12/13/11
Kunduz	Mayor, 11 PAAG members, RU-N staff	12/14/11
Maymana	Nine PAAG members, RU-N staff	12/18/11
Mazar-e-Sharif	Eight PAAG members, RU-N staff	12/22/11
Pul-e-Khumri	18 PAAG members, RU-N staff, signed by Mayor on 12/14/11	12/12/11
Sar-e-Pul	Mayor, six PAAG members, ASGP advisor, RU-N staff	12/14/11

Sheberghan	Mayor, eight PAAG members, RU-N staff	12/12/11
Taloqan	Mayor, 10 PAAG members, RU-N staff	12/12/11

CITIZEN ENGAGEMENT

This quarter, RU-N staff facilitated 35 Service Delivery Advisory Group meetings. During those meetings, capacity-building activities took place to assist citizens in more effectively participating in governance. SDAG members went through processes to select projects, develop scopes of work (SOWs), draft Service Improvement Plans (SIPs), and participate in other activities such as monitoring project progress and discussing project priorities with municipal officials.

In addition to SDAG meetings, citizen beneficiary group meetings were held this quarter. Beneficiary groups are those citizens directly benefitting from the planned service delivery project and are directly responsible for raising neighborhood revenues to meet long term sustainability requirements. A total of eight beneficiary group meetings and nine beneficiary surveys took place this quarter with 104 and 632 participants respectively.



The SDAG of Sheberghan met on November 13, 2011 to discuss their roles and responsibilities in terms of municipal decision making.

RU-N civil society staff also worked to increase women’s engagement in various decision-making activities. Though this is a struggle considering the environment in which RU-N operates, in some municipalities women’s participation was particularly noteworthy. In Maymana, for example, where a women’s park is being developed, women represented over 56% of citizens participating in RU-N activities.

Finally, RU-N staff worked to establish the Economic Delivery Advisory Groups (EDAGs) and conducted research into the types of business associations that already exist in each municipality, with the goal of partnering with existing local business. EDAGs are planned for early 2012.

SUSTAINABLE SERVICE DELIVERY IMPROVEMENT PROJECTS

Sustainable Service Delivery Improvement Projects are meant to 1) improve services to citizens on behalf of the mayor; 2) promote improved service delivery models that can be sustained and replicated; 3) create an environment where citizens play a role in determining community needs, monitoring results, and providing the revenues needed to sustain municipal services; and 4) serve as a vehicle to build the capacities of municipal staff in terms of planning, procurement, construction management, budgeting, and other key skills.

The RU-N team continued to focus on sustainability of projects and project-based training this quarter. First round of projects progressed with initial bid openings and evaluations, while several second round projects were selected during the quarter. A table showing the status of first round projects is shown below:



Municipal officials in Aybak monitored the progress of the central park improvement project on October 4, 2011. Subsequently, RU-N staff, municipal officials, and SDAG members completed the final inspections.

First Round Sustainable Service Delivery Improvement Projects—Status as of December 31, 2011 by Municipality		
Municipality	Project	Status
Aybak	Central park improvement	Completed final inspection
Faizabad	District 1 and 5 trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested*
Kunduz	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested*
Maymana	Women's park construction	Project selection process completed and entered planning phase
Mazar-e-Sharif	District 5 trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested*
Pul-e-Khumri	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested*
Sar-e-Pul	Central park improvement	Bid opening and evaluation scheduled for January 2012
Sheberghan	Trash collection	Project selection completed and SOW drafted, submitted to USAID for approval
Taloqan	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested*

* Materials sourcing difficulties and USAID equipment approval delays pushed final bid approvals into 2012, with all projects expected to be fully operational in early 2012.

When selecting second round projects, RU-N staff worked with municipal officials and citizens. In each community the interaction between Service Delivery Advisory Group and municipal officials is slightly different, but they generally fall into three categories: 1) The Service Delivery Advisory Group (SDAG) first met privately to discuss/develop project ideas and then present them to the Mayor and municipal leaders (PAAG) for discussion; 2) The SDAG and municipal leaders (PAAG) met without the Mayor to develop a shared set of project ideas and subsequently present them to the Mayor for discussion; or 3) The SDAG, PAAG, and Mayor met to discuss and decide on a project. Regardless of the process, Mayors were

deeply engaged and the process was highly collaborative. Municipalities were asked to develop second round projects that were within the scope/capacity of RU-N, and were contained within the legal responsibilities of Mayors. Second round projects include:

- On December 18, the SDAG in Mazar-e-Sharif selected trash collection in District 3 for their second round project.
- In Sar-e-Pul, the SDAG met on December 20 to prioritize projects and narrowed their list to four possible projects. They are now reviewing their choices to better align with municipal authorities.
- On December 28, SDAG meetings took place in Faizabad and Maymana. Projects included construction of public latrines, construction of slaughterhouses, and improved street lighting.
- The SDAG, district leaders, and *kalantars* met in Taloqan on December 29 and chose their second round project—construction of a public park.

PROGRESS BY INDICATOR ON THE RU-N PERFORMANCE MANAGEMENT PLAN

RU-N's primary Assistance Objective (AO) is "improved performance and accountability of governance." The program accomplishes this objective by: (a) Increasing the capacity of GIROA municipal officials; (b) Markedly improving the delivery of municipal services to citizens in target municipalities; and (c) increasing municipal capacity to enable, support, and sustain economic growth.

This section presents a detailed review of each RU-N Indicator, disaggregated as per the performance management plan, and illustrates progress against program indicators during the reporting period. For the purpose of this report, the previously approved PMP indicators are used. RUN has submitted a new PMP to USAID and is awaiting approval.

Assistance Objective Indicators

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

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

In lieu of the External Survey, two survey questionnaires were developed, consisting of six questions each, targeted at two citizen groups: Civil Society Leaders and Business Community Leaders. Using the Internal Survey results, municipal contacts, and other means of community outreach, approximately 40 individuals were identified as civil society or community leaders and as business community leaders (approximately 20 of each), and surveyed in each municipality. The next round of survey is scheduled to take place in June.

A snapshot of all RUN indicators is included in the table below followed by a short progress description for each indicator:

Indicator	Baseline	Target	Q4 FY 2011 (July-Sept 2011)	Q1 FY2012 (Oct-Dec 2011)	Notes
CLIN 1 Indicators					
1.1: # of municipalities with functioning performance budgeting systems	0	3	0	0	See revised PMP
1.2: # of municipalities with functioning accounting systems	0	3	0	0	
1.3: # of local mechanisms supported with USG assistance for citizens to engage their sub-national government	0	7	0	5	Local mechanisms defined with disaggregated data table
CLIN 2 Indicators					
2.1: # of sub-national government entities receiving USG assistance to improve their performance (FAF Indicator 2.3)	0	9	9	9	
2.2: # of municipal service delivery projects implemented	0	9	0	1	However 8 projects are in progress and in 9 municipalities, 9 projects have been selected for the second round
2.3: % of RAMP UP North activities involving government officials in project planning, implementation, and/or evaluation	0	75%	100%	100%	Government officials were involved in all phases, whether actively or in terms of capacity-building/project-based training.

2.4: Number of projects completed with community and GIROA involvement	0	9	0	1	However 8 projects are in progress and in 9 municipalities, 9 projects have been selected by SDAGs for the second round
2.5: % of citizens who believe that their access to municipally-provided services has increased	TBD Q1 FY2012	20% increase	N/A	N/A	See revised PMP
2.6: % of targeted communities reporting increased availability of GIROA delivered basic services	TBD Q1 FY2012	TBD	N/A	N/A	See revised PMP
CLIN 3 Indicators					
3.1: # of public private partnerships established	0	3 in different municipalities	0	0	Programming on PPPs planned for Q2 FY2012
3.2: # of person-days of labor	0	120,000	0	900	Based on estimates from the Aybak project—45 days, 8 hours per day, 20 persons. See revised PMP
3.3: # of sub-national institutions receiving USG assistance to increase their annual own-source revenue	0	9	9	9	
3.4: % increase in revenue generated		20% in 3 municipalities	N/A	N/A	Baseline information in disaggregated table
Aybak (Samangan)	7,473,500 AFN				
Faizabad (Badakshan)	550,000 AFN				
Kunduz (Kunduz)	10,410,000 AFN				
Maymana (Faryab)	3,7000,000 AFN				
Mazar-e-Sharif (Balkh)	23,124,011 AFN				
Pul-e-Khumri (Baghlan)	Unknown				
Sar-e-Pul (Sar-e-Pul)	40,001,891 AFN				

Sheberghan (Jawzjan)	2,079,567 AFN				
Taloqan (Takhar)	28,647,365 AFN				
Common Indicators					
C1: The number of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization	0	40	0	171	Project-based trainings only as described under C1. Formal training workshops to begin in Q2 FY2012
C2: The number of government officials receiving USG-supported anti corruption training	0	45	0	14	Municipal officials trained in procurement law/procedures to increase transparency. Formal training workshops to begin in Q2 FY2012
C3: The number of mechanisms for external oversight of public resource use supported	0	4	2	2	Local mechanisms defined with disaggregated data table
C4: The number of USG-supported anti-corruption measures implemented	0	18	10	51	Measures defined with disaggregated data table
C5: The number of key-infrastructure rehabilitated or improved.	0	TBD	0	0	To be removed; see revised PMP

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

Indicator 1.1: # of municipalities with functioning performance budgeting systems

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

A baseline assessment of the municipalities' current financial management practices was conducted through the Internal Survey, completed during the July-September 2011 quarter. The assessment indicated that no performance budgeting systems were in place. The team will introduce performance based budgeting principles through the implementation of sub-projects but given the rescope program we have suggested to eliminate this indicator from our PMP, as there is no current requirement for performance based budgeting and it does not align with GIROA budget processes and procedures.

Indicator 1.1: # of municipalities with functioning performance budgeting systems							
Year	Baseline	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	0	3	0	0	0		See revised PMP.

Indicator 1.2: # of municipalities with functioning accounting systems

A baseline assessment of the municipalities' current financial management practices was conducted through the Internal Survey, completed during the July-September 2011 quarter. Following the initial assessment, RU-N worked to develop a list of training offerings that were appropriate to municipality needs, forming the foundation of the Municipal Capacity Development Plan. Based on the results of the plans, in the first quarter of 2012, RU-N will assist in improving accounting systems in a variety of ways. For some communities, the first step is developing paper-based record keeping systems. In other communities, paper-based single and double entry accounting systems will be introduced. In every community, there are significant skills set barriers to computer based accounting systems

In the survey, each municipality was asked: "Is your accounting system manual, computerized, or a combination of both?" Municipal officials in Sar-e-Pul, Sheberghan, Aybak, Pul-e-Khumri, and Taloqan described their systems as manual. In Maymana, Kunduz, and Faizabad, the systems were described as a combination of both manual and computerized systems; however, all of these municipalities indicated that their filing systems were manual. In Mazar-e-Sharif, both accounting and financial filing systems are computerized, but the RU-N Technical Programs Staff and Technical Experts still have concerns that the system is not transparent, consistent and verifiable.

Indicator 1.2: # of municipalities with functioning accounting systems							
Year	Baseline	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	0	3	0	0	0		See revised PMP.

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

Indicator 1.3 measures the number of local mechanisms supported with USG assistance for citizens to engage their sub-national government and will demonstrate whether the number of participatory citizen engagement mechanisms increases as a result of RU-N's capacity building activities. Increasing the number of such mechanisms will create more responsive, effective, transparent, accountable, and gender sensitive municipal governance and, thereby, increase the level of good governance in RU-N supported municipalities.

Indicator 1.3: # of local mechanisms supported with USG assistance for citizens to engage their sub-national government							
Year	Target	Q3: (April-June)	Q4: (Jul-Sep)	Q1: (Oct – Dec)	Q2: (Jan-Mar)	Q3: (Apr-Jun)	Notes:
FY 2011/12	7	0	3	5			Local mechanisms are defined as below with the disaggregated data.

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

Local Government Engagement Mechanisms on RU-N								
Municipality (Province)	Number of Instances of Each Type of Mechanism (number of meetings/interviews)							
	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Municipal Officials interview with media (press conferences)	Public Meeting	Citizen-municipal budget meetings/forums	Newsletters/flyers	Opening/Closing Ceremony	Total number of mechanisms
Aybak (Samangan)	2		3				1	3
Faizabad (Badakshan)	3		1	2				3
Kunduz (Kunduz)	4		4			1		3
Maymana (Faryab)	7			2				2
Mazar-e-Sharif (Balkh)	2		3	3				3
Pul-e-Khumri (Baghlan)	4		1					2
Sar-e-Pul (Sar-e-Pul)	5		2	1				3
Sheberghan (Jawzjan)	3							1
Taloqan (Takhar)	5		2					2

Total	35	0	16	8	0	1	1	5
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A mechanism cannot be disaggregated by gender; however, the below table presents a breakdown of the participants in each mechanism by gender and municipality. In this instance, though some Service Delivery Advisory Groups members attended multiple meetings and/or participated in multiple mechanisms, they did so as Service Delivery Advisory Groups members and thus are only counted once, under the Service Delivery Advisory Groups mechanism.

Participants by gender by province in local government engagement mechanisms								
Municipality (Province)	SDAG Meetings				Public Meetings			
	Total Participants	Male	Female	Youth	Total Participants	Male	Female	Youth
Aybak (Samangan)	20	15	4	1				
Faizabad (Badakshan)	32	24	6	2	5	5		
Kunduz (Kunduz)	29	21	7	1				
Maymana (Faryab)	24	17	6	1	21	1	20	
Mazar-e-Sharif (Balkh)	16	14	2		23	20	3	
Pul-e-Khumri (Baghlan)	31	29	2					
Sar-e-Pul (Sar-e-Pul)	19	12	5	2	12	12		
Sheberghan (Jawzjan)	15	11	4					
Taloqan (Takhar)	25	20	3	2				
Total	211	163	39	9	61	38	23	0

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

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

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

Reported on a quarterly basis, Indicator 2.1 measures the number of sub-national government entities receiving USG assistance to improve performance, which helps track how many municipalities are being assisted against the overall target. According to RU-N's programming objectives, "sub-national government entity" is defined as a municipal government. During the last quarter RU-N continued to work with all 9 targeted municipalities to support them in capacity building, service delivery improvements and economic development activities.

Indicator 2.1: # of sub-national government entities receiving USG assistance to improve their performance (FAF Indicator 2.3)

Year	Target	Q3: (April-	Q4: (July –	Q1: (Oct-	Q2: (Jan-	Notes:

		June)	Sep)	Dec)	Feb)	
FY 2011/12	9	0	9	9		

Indicator 2.2: # of municipal service delivery projects implemented

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

Indicator 2.2: # of municipal service delivery projects implemented						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	9	0	0	1		However, 8 additional projects were approved by USAID during the quarter as shown on the table below. 9 more projects were selected by SDAG members. See detailed tables below:

First Round Sustainable Service Delivery Improvement Projects—Status as of December 31, 2011 by Municipality					
No	Region	Municipality	Province	Title	Status
1	North	Aybak	Samangan	Central park improvement	Completed final inspection
2	North	Faizabad	Badakhshan	District 1 and 5 trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested
3	North	Kunduz	Kunduz	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested
4	North	Maymana	Faryab	Women's park construction	Project selection process completed and entered planning phase
5	North	Mazar-e-Sharif	Balkh	District 5 trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested
6	North	Pul-e-Khumri	Baghlan	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested
7	North	Sar-e-Pul	Sar-e-Pul	Central park improvement	Bid opening and evaluation scheduled for January 2012
8	North	Sheberghan	Jawzjan	Trash collection	Project selection completed and SOW drafted, submitted to USAID for approval
9	North	Taloqan	Takhar	Trash collection	Held initial bid opening and evaluation, waiver for vehicle purchase requested

Second Round Sustainable Service Delivery Improvement Projects—Status as of December 31, 2011 by Municipality		
Municipality	SDAG Meeting Date	Proposed Projects

Aybak	[1/1/12]	Construction of a slaughterhouse
Faizabad	12/28/11	Construction of a slaughterhouse; installation of public latrines; installation of trash bins
Kunduz	12/26/11	City park improvement
Maymana	12/28/11	Installation of public latrines; increased street lighting
Mazar-e-Sharif	12/18/11	Trash collection in District 3
Pul-e-Khumri	12/26/11	Drainage system; water network; digging of well
Sar-e-Pul	12/20/11	City market improvement; construction of public bath
Sheberghan	12/21/11	Installation of public latrines;
Taloqan	12/29/11	Construction of a slaughterhouse installation of public latrines; city park improvement

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

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

<i>Indicator 2.3: % of RAMP UP North activities involving government officials in project planning, implementation, and/or evaluation</i>						
Year	Target	Q3: (April-June)	Q4: (July – Sep)	Q1: (Oct-Dec)	Q2: (Jan-Feb)	Notes:
FY 2011/12	75%	0	100%	100%		

Municipal officials have been involved in all nine Municipalities in terms of project selection (with citizen groups), planning, cost estimation, bid opening and evaluation, implementation, and monitoring.

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

Active cooperation between GIRoA and the communities they serve will help to better meet the needs of constituents through fostering constructive dialogue and engaging in joint implementation and project evaluation. As measured by Indicator 2.4, RU-N strives to ensure that all projects are completed with both community and municipal involvement. This indicator is reported quarterly.

<i>Indicator 2.4: Number of projects completed with community and GIRoA involvement</i>						
Year	Target	Q3: (April-June)	Q4: (July – Sep)	Q1: (Oct-Dec)	Q2: (Jan-Feb)	Notes:
FY 2011/12	9	0	0	1		However, 6 additional projects were approved by USAID during the quarter, and 9 more projects were selected by SDAG members. Details in the above tables under Indicator 2.2

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

Due to the cancellation of the third-party, independent External Survey, no baseline information was collected for Indicator 2.5. The definition and data collection approach to this indicator will be updated to reflect this reality in the revised PMP.

<i>Indicator 2.5: % of citizens who believe that their access to municipally-provided services has increased</i>						
Year	Baseline (Q4 Jul – Sep '11)	Target	Base Year	Option Year 1	Option Year 2	Notes:
FY 2011/12	TBD Q1 FY2012	20% Increase				See revised PMP

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

Due to the cancellation of the third-party, independent External Survey, no baseline information was collected for Indicator 2.6. The definitions and data collection approach to this indicator will be updated to reflect this reality in the revised PMP.

<i>Indicator 2.6: % of targeted communities reporting increased availability of GIROA delivered basic services</i>						
Year	Baseline (Q4 Jul – Sep '11)	Target	Base Year	Option Year 1	Option Year 2	Notes:
FY 2011/12	TBD Q1 FY2011	TBD				See revised PMP.

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

Indicator 3.1: # of public private partnerships established

Public-Private Partnerships (PPPs) in target municipalities offer numerous potential benefits to municipalities and residents alike and are a required revenue enhancement activity for RU-N. Indicator 3.1 measures the number of PPPs established in each municipality each quarter. No PPPs were established during the last quarter but the project is working towards identifying PPP opportunities.

Indicator 3.1: # of public private partnerships established						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	3 in different municipalities	0	0	0		Programming on PPPs planned for Q2 FY2012

Indicator 3.2: # of person-days of labor

Indicator 3.2 measures the person-days of labor generated through RU-N’s service delivery and small-scale infrastructure municipal projects and other activities. Given the reduced scope of work, RU-N has recommended to delete this indicator in the new PMP.

Indicator 3.2: # of person-days of labor						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	120,000	0	0	900		Based on estimates from the Aybak project—45 days, 8 hours per day, 20 persons. See revised PMP

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

Indicator 3.3 is a standardized, global USAID/Foreign Assistance Framework (FAF) indicator. Reported on quarterly, it measures RU-N’s input across its area of operations, in terms of revenue enhancement activities. Each municipality is a “sub-national institution.” Indicator 3.4, which measures the increase in municipal revenue over time, provides the output measurement for RU-N’s revenue enhancement and/or capacity building activities at the municipal level (i.e. for each sub-national institution).

As Indicator 3.4 measures change overtime, it is reported on annually. The baseline information on municipal revenues was collected as part of the Internal Survey conducted during the previous quarter; these baselines are presented below, disaggregated by municipality, province, and revenue source.

Indicator 3.3: # of sub-national institutions receiving USG assistance to increase their annual own-source revenue						
Year	Target	Q3: (April-June)	Q4: (July – Sep)	Q1: (Oct-Dec)	Q2: (Jan-Feb)	Notes:
FY 2011/12	9	0	9	9		

Throughout the quarter, RU-N Embedded Team members have met regularly with the municipal Finance Director’s to consult on and identify possible project activities, as seen in the below table.

Number of Meetings with Municipal Revenue Directors* over the Quarter (October-December 2011)

Province	Municipality	Status	Number of Meetings
Aybak	Samangan	Completed	0
Faizabad	Badakhshan	Completed	2
Kunduz	Kunduz	Completed	1
Maymana	Faryab	Completed	3
Mazar-e-Sharif	Balkh	Completed	5
Pul-e-Khumri	Baghlan	Completed	2
Sar-e-Pul	Sar-e-Pul	Completed	2
Sheberghan	Jawzjan	Completed	2
Taloqan	Takhar	Completed	3

*The numbers indicated only include meetings with the municipal Finance Directors. There were meetings in some municipalities with provincial Finance Directors as well, but they are not counted among the above.

Indicator 3.4: % increase in revenue generated								
Year	Municipality (Province)	Baseline (Q4 Jul-Sep 2011)		Target	Base Year	Option Year 1	Option Year 2	Notes:
FY 2011	Aybak (Samangan)	Safayi Tax	2,133,200 AFN	20% in 3 municipalities				Baseline information; Under GIRoA law, municipal financial books closed on January 6, 2012.
		Business License Fee	325,615 AFN					
		Property Registration Fee	5,014,685 AFN					
		Total	7,473,500 AFN					
FY 2011	Faizabad (Badakshan)	Safayi Tax	300,000 AFN					
		Business License Fee	250,000 AFN					
		Property Registration Fee	N/A					
		Total	550,000 AFN					
FY 2011	Kunduz (Kunduz)	Safayi Tax	9,500,000 AFN					
		Business License Fee	910,000 AFN					
		Property Registration Fee	N/A					
		Total	10,410,000 AFN					
FY 2011	Maymana (Faryab)	Safayi Tax	3,000,000 AFN					
		Business License Fee	200,000 AFN					
		Property Registration Fee	500,000 AFN					
		Total	3,700,000 AFN					
FY 2011	Mazar-e-Sharif (Balkh)	Safayi Tax	20,000,000 AFN					
		Business License Fee	1,124,011 AFN					
		Property Registration Fee	2,000,000 AFN					
		Total	23,124,011 AFN					
FY 2011	Pul-e-Khumri (Baghlan)	Safayi Tax	Unknown					
		Business License Fee	Unknown					
		Property Registration Fee	Unknown					
		Total	Unknown					

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

PROGRESS TOWARDS CROSS-CUTTING (COMMON) ACTIVITIES

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

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

<i>Indicator C1: # of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization</i>						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	40	0	0	171		All project-based training. Formal training workshops to begin in early 2012.

RU-N has not conducted any formal classroom training activities yet; however, RU-N staff has conducted project-based training, with materials developed to transfer knowledge and skills, along with staff training prior to implementation. The number of people trained is indicated in the table above.

RU-N capacity building focuses on project-based training, with traditional classroom training being a smaller, but significant part.

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

<i>Detailed list of individuals who received USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization</i>										
Municipality	Bid Openings/Pre-construction meetings		Joint SDAG & PAAG Meetings		PAAG Meetings		Developing work Schedule events		Project Monitoring/Evaluation Events	
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Mazar-e-Sharif	3		4		10					
Faizabad	3		11	2	12	1				
Pulikhumri	3		7	1	1					

Kunduz	6		4	1	9				
Taloqan	1		4		14				
Sar-e-Pul			3		13				
Sheberghan			4	1	13				
Maymana			2		4				
Aybak	6		5		14				9
Total	22	0	44	5	90	1	0	0	9

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

Indicator C2: # of government officials receiving USG-supported anti-corruption training						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:
FY 2011/12	45	0	0	14		Formal training workshops to begin in early 2012.

RU-N has not conducted any formal training activities, yet during the quarter, five transparent bid openings were held. Before each bid opening, participants received introductory training on procurement law and regulations, as well as information on the value of transparent public procurement. The Afghan procurement law was designed to combat corruption, and therefore the training given by RU-N staff is counted as an anti-corruption training. In addition, the bid opening events were televised on local news stations, further increasing the transparency of the process.

C3: The number of mechanisms for external oversight of public resource use supported
Indicator C3 measures the number of local mechanisms supported which provide external oversight of public resource use that RU-N supports through its programming activities. Indicator C3 is reported quarterly and disaggregated by municipality and province. Each separate type is counted once, and the number of occurrences in each municipality indicated in a separate table below. In accordance with the four types of mechanisms identified by RU-N for use in its programming activities, the base year target for Indicator 1.3 has been set at four.

Indicator C3: # of mechanisms for external oversight of public resource use supported						
Year	Target	Q3: (April- June)	Q4: (July – Sep)	Q1: (Oct- Dec)	Q2: (Jan- Feb)	Notes:

FY2011/12	4	0	2	2		Local mechanisms are defined as below with the disaggregated data.
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RU-N has currently identified the following four mechanisms to be supported through its programming: Citizen Forums (via the Service Delivery Advisory Group, Economic Development Advisory Group, and project-based beneficiary groups), and budget hearings.

The number of meetings held for each mechanism used is reflected below.

Mechanisms for external oversight of public resource-use on RU-N				
Municipality (Province)	Number of Instances of Each Type of Mechanism (number of meetings/interviews)			
	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Project-based beneficiary groups	Budget Hearings
Aybak (Samangan)	2			
Faizabad (Badakshan)	2		2	
Kunduz (Kunduz)	4			
Maymana (Faryab)	7		2	
Mazar-e-Sharif (Balkh)	2		3	
Pul-e-Khumri (Baghlan)	4			
Sar-e-Pul (Sar-e-Pul)	5		1	
Sheberghan (Jawzjan)	4			
Taloqan (Takhar)	5			
TOTAL	35		8	

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

Common Indicator 4 tracks the number of anti-corruption measures implemented. An input indicator, it provides a measure of citizen involvement and/or external input toward reducing corrupt practices at the municipal level. Indicator C4 is reported quarterly and disaggregated by municipality and province. Each separate measure is counted (as opposed to the mechanism of C3), and the number of occurrences in each municipality indicated in a separate table below. In accordance with the five types of mechanisms identified by RU-N for use in its programming activities, the Base Year target for Indicator 1.3 has been set at three per municipality or 18.

<i>Indicator C4: # of USG-supported anti-corruption measures implemented</i>						
Year	Target	Q3: (April-	Q4: (July –	Q1: (Oct-	Q2: (Jan-	Notes:

		June)	Sep)	Dec)	Feb)	
FY 2011/12	18	0	10	51		Anti-corruption mechanisms are defined as below with the disaggregated data.

RU-N has currently identified the following five anti-corruption measures, to be implemented: the Service Delivery Advisory Group, Economic Development Advisory Group, project-based beneficiary groups, budget hearings, and citizen monitoring plans for subprojects.

RU-N Supported Anti-Corruption Measures					
Municipality (Province)	Service Delivery Advisory Group (Citizen Review Board)	Economic Development Advisory Group (Citizen Review Board)	Project-based beneficiary groups	Budget Hearings	Citizen Monitoring Plans for subprojects
Faizabad (Badakshan)	2		2		1
Taloqan (Takhar)	5				
Kunduz (Kunduz)	4				
Pul-e-Khumri (Baghlan)	4				1
Aybak (Samangan)	2				6
Mazar-e-Sharif (Balkh)	2		3		
Sar-e-Pul (Sar-e-Pul)	5		1		
Sheberghan (Jawzjan)	4				
Maymana (Faryab)	7		2		
TOTAL	35	0	8	0	8

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

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

Indicator C5: # of key-infrastructure rehabilitated or improved						
Year	Target	Q3:	Q4:	Q1:	Q2:	Notes:

		(April- June)	(July Sep)	(Oct- Dec)	(Jan- Feb)	
FY 2011/12	TBD Q4	0	0	0		To be removed; see revised PMP.

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

PROGRAM CHALLENGES

For the period October – December 2011, RU-N faced challenges on several fronts, from program and budgeting to operational issues.

With service improvement projects moving from design to implementation, several challenges arose. For instance, USAID waiver approvals and equipment trans-shipment issues caused procurement delays. Lacking official receipt of option year approval, there was great reluctance to sign service contracts that extended beyond the official project year. After highly publicized bid openings, these short term delays dampened municipal and citizen enthusiasm as the reporting period concluded. In response, USAID and RU-N worked aggressively to resolve issues and have projects on track in early 2012.

On procurement issues, RU-N worked hard to provide opportunities for local contractors to participate and win new business. Local vendor lists received email notification in addition to Afghanistan wide, web-based RFP notice. However, local capacity to meet Afghan and USAID procurement standards became a challenge for many firms. RU-N will work to provide capacity building for contractors to help them take advantage of future RFPs. RU-N also worked hard to promote transparent bid openings, engaging municipal officials and citizens, as well as media coverage. Because of time and distance challenges, bid openings for northeastern municipalities of Faizabad and Taloqan were held in Kunduz. For successive rounds, RU-N will work to hold transparent procurement activities locally.

LESSONS LEARNED

The main lesson learned this quarter was that when offered the opportunity to be involved with events and processes that citizens and municipal consider relevant, they will respond.

Citizens enthusiastically embraced project monitoring report cards. They embraced their role in certifying quality workmanship as part of the contractor payment process. They embraced their collaborative role in project development and design, especially the women of Maymana in taking a lead in Women's Park design. Many citizens described how participating in a public procurement exercise was never imagined. Municipal officials deeply appreciated collaborative transparency with international donors.

For RU-N, as work plans and action plans are set, budget stabilized and option year officially approved, the challenges of rapid project implementation take hold. Making up for lost time requires rapid implementation and tight coordination.

As 2011 concludes, RU-N has a clear roadmap to provide mayors with meaningful and practical capacity assistance, to provide communities with relevant small scale service improvements, and to provide citizens both the space and the tools to make a meaningful contribution to community development.