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# LOCAL GOVERNANCE ASSISTANCE PROJECT (ALGAP) PERFORMANCE MANAGEMENT PLAN

**MARCH 2007**

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## **DISCLAIMER**

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government



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# ACRONYMS AND ABBREVIATIONS

ALGAP	Afghanistan Local Governance Assistance Project
ASP	Afghanistan Stabilization Program
IR	Intermediate Result
M&E	Monitoring & Evaluation
PMP	Performance Management Plan
SO	Strategic Objective



# I.0 INTRODUCTION

ALGAP, a USAID-funded project implemented by ARD, Inc., provides technical assistance for the strengthening of provincial and district level governance in Afghanistan. ALGAP also provides assistance at the national level on sub-national governance-related policy issues. At the provincial level, support and technical assistance is provided to Provincial Councils, provincial administrations and other provincial governance participants. The technical assistance incorporates action workshops and training programs and the preparation of supporting materials.

ALGAP collaborates with the Office of Administrative Affairs, the Ministry of Interior, the Independent Administrative Reform Civil Service Commission, line ministries at the sub-national level, relevant non-governmental organizations, and various multi-lateral and bilateral donors.

## PROJECT HISTORY

Initially assigned to work in support of the Afghanistan Stabilization Program (ASP), the project focus after the first year evolved into providing direct technical assistance to Provincial Councils. In September 2005 ALGAP conducted a nationwide program disseminating information regarding the Provincial Law. The activity was intended primarily for Provincial Council candidates to enable them to have a clearer concept of the positions for which they were seeking election. This pre-election effort was followed in November 2005 with ALGAP-organized and conducted Provincial Council Orientation/Organization workshops in 33 of 34 provinces for newly elected council members. These workshops were designed in collaboration with other donors and the government in order to assist the Provincial Councilors in developing basic organization standards, establishing initial rules and procedures for conducting the councils' business, and developing the capabilities to fulfill their responsibilities and obligations. To reinforce the basic workshop, ALGAP, through discussions with the council members, identified specific workshops and other activities that would further enhance the ability of the councils to fulfill their roles and responsibilities.

It was clear to the project and other interested observers that the councils lacked sufficient skills and resources needed for the performance of various essential tasks. While other organizations and projects were addressing physical and material needs, the primary focus of ALGAP was to increase the capacity of individual council members as well as the council body as a whole. To address the identified immediate needs, ALGAP developed capacity-building activities for the delivery of technical assistance and training in the individual provinces.

Initial Provincial Council assistance activities included consultative visits to districts within each province, basic office supplies to enable the councils to begin to operate, and technical and limited financial assistance for a national conference of Provincial Council members called by the President of Afghanistan. Subsequently, ALGAP, at the request of Provincial Councils, provided technical and financial assistance for regional conferences.

## CAPACITY BUILDING

To provide technical assistance ALGAP established a cadre of local facilitators/trainers. These province-based individuals were assigned to a Provincial Council to provide technical assistance and to facilitate the development of an active and inclusive provincial governance process that included the involvement of the public, individually and through groups, as well as government officials and staff.

As part of its capacity-building effort, ALGAP staff and consultants developed six workshop modules to respond to the needs of Provincial Council members:

- Provincial Council and its Relationships,
- Information Gathering for Planning,
- Basic Administration Skills,
- Meeting Management and Facilitation,
- Action Planning, and
- Introduction to the Budget Process.

These basic workshop modules are now available for use with other additional provincial governance actors: provincial administration officials, NGOs and other organizations involved directly in provincial governance. Expansion of the workshops is the direct result of requests received from governors and heads of line ministries. In addition, the workshops provide an effective means for encouraging provincial governance actors to collaborate on a variety of activities.

## **CIVIC EDUCATION**

ALGAP is also implementing an effective civic education program targeting the entire population of the country. The primary goal of this multi-faceted program is to increase public understanding of the relationship of Provincial Councils to other governance institutions and to increase public involvement with Provincial Councils and the broad provincial governance process. ALGAP has contracted with local and international organizations to design and implement mass media public awareness campaigns that include provincial roundtable discussions, mobile theater with accompanying illustrated booklets, and radio and television broadcasts of local dramas. The unifying theme of these activities is that people as well as organizations can become involved in provincial decision-making processes. The campaign also seeks to introduce the public to ways for becoming involved and for recognizing the benefits of such involvement.

## **OBJECTIVE OF THE PERFORMANCE MANAGEMENT PLAN**

At this stage of contract execution, USAID and ARD are developing a Performance Management Plan (PMP) that will capture the performance of ALGAP in light of the evolved project implementation strategy and ongoing activities through the remainder of the contract period. This plan includes a PMP framework and identifies representative indicators of project performance and progress. The focus of the PMP is the period following the election of the Provincial Councils in November 2005 through the end of contract extension June 2007. During this timeframe the project is providing ongoing activities in support of the Provincial Councils and in strengthening the participatory provincial governance system throughout Afghanistan.

## **PMP DEVELOPMENT METHODOLOGY**

To facilitate development of the PMP, a results framework was constructed based on ALGAP activities completed to date as well as on-going and planned activities. All available monthly and quarterly project reports and other activity-related documentation were reviewed. Major stages in the evolution of the project and the principal activities of ALGAP since contract implementation in the fall of 2004 were identified and associated with the major goals, objectives and relevant measurable indicators of project performance. Proposed procedures for implementing performance measurement using specific indicators were put together for review by and USAID.

# 2.0 ALGAP RESULTS FRAMEWORK

As originally conceived and executed in late 2004, ALGAP focused on achieving four results:

1. A favorable national enabling environment,
2. Infrastructure improvements at provincial and district levels,
3. Strengthened financial, administrative and managerial capacity at provincial and district levels, and
4. Creation of opportunities for citizens to interact with provincial authorities in setting priorities for sub-national governance.

It was envisaged that the primary vehicle for assistance to sub-national governance institutions would be the Afghanistan Stabilization Program (ASP), which was to focus on improving governance at the district level by providing the necessary buildings, communications network and capacity building to both the district administrations and the elected district councils. Activities were designed primarily to assist in the capacity building at the district level. However, this did not occur for a number of reasons:

The management of the Project Management Unit was co-opted by the Ministry of Interior. The Inter-Ministerial Task Force that was meant to oversee the Program and the Management Unit did not meet for over 14 months.

The ASP devoted itself exclusively to construction. While 80% of construction funds were expended or committed, less than 0.5% of funds for capacity building were expended with no further commitments.

Elections for District Councils were postponed indefinitely, with the “guesstimate” of an election date sometime in 2007.

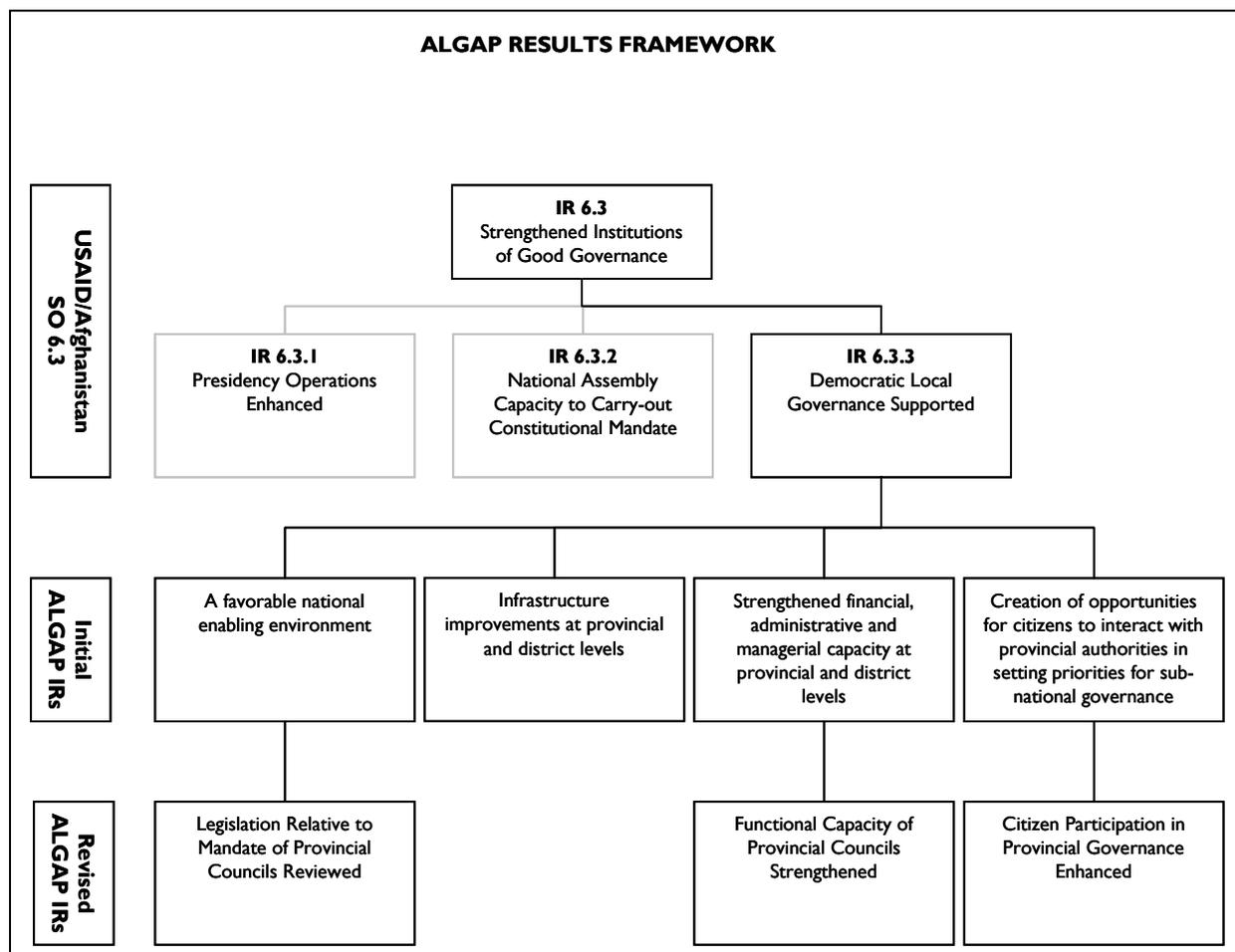
As a consequence of these events, ALGAP refocused its efforts on the Provincial Council elections held in September 2005 and on training and capacity building for the resulting Provincial Councils seated in the middle of November, 2005. The assistance program, in effect, lost a year of effort due to this delay. ALGAP expenditures, accordingly, were much lower than anticipated. Neither of these events was anticipated by either USAID or ARD and neither can be held accountable for them.

With a refocusing of its strategy on the strengthening of Provincial Councils, ALGAP generated considerable momentum, and defined – in consultation with USAID, GOA, and provincial leaders – an ambitious array of activities that held the potential for improving the effectiveness and functionality of individual councils as well as promoting better communication and collaboration among Provincial Councils, and between Provincial Councils, the general public, and regional and national authorities.

Despite the reorientation of ALGAP activities, there has not been a significant shift from the originally intended results. Instead, ALGAP pursued project objectives with a more precise focus, conforming to the Strategic Objective 6 of the USAID/Afghanistan - A Democratic Government with Broad Citizen Participation.

The figure below illustrates the hierarchical relationship of ALGAP to the Mission’s Strategic Object 6 and the evolution of the project from its initial design to its current state. ALGAP falls directly under

Intermediate Results 6.3 – Strengthened Institutions of Good Governance. More specifically, ALGAP contributes to Intermediate Result 6.3.3 – Democratic Local Governance Supported. The figure also illustrates, through a comparison of the initial ALGAP intermediate results to the revised results, a heightened degree of focus resulting from the reorientation of the project.



As initially conceived, ALGAP targeted four intermediate results as necessary to supporting democratic local governance: a favorable enabling environment at the national level; provincial and district level improvements in infrastructure; strengthened provincial and district managerial capacity; and greater citizen interaction. With the reorientation of ALGAP now focuses on achieving three intermediate results.

## 2.1 ENABLING ENVIRONMENT

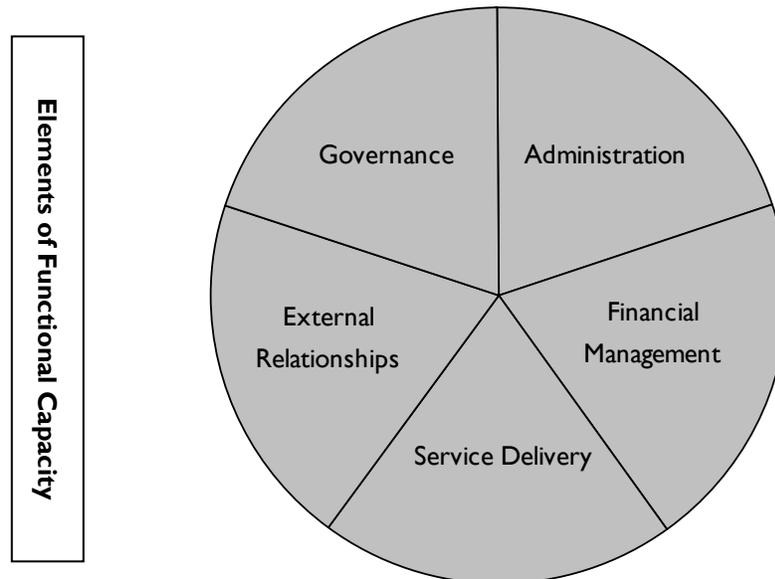
At ALGAP startup, it was anticipated that the project would be positioned to have a significant impact on improving the national enabling environment as it relates to empowerment of provincial and district governments to function appropriately. Several constraining factors developed however, and as a result ALGAP recognized the importance of more accurately targeting its efforts by influencing, to the extent possible, positive change within the context provincial government mandates. The initial national enabling environment intermediate result was therefore revised to more accurately reflect the change.

## 2.2 INFRASTRUCTURE IMPROVEMENT

Infrastructure improvements at the provincial and district levels are no longer viewed as an integral component of ALGAP and do not figure among the revised intermediate results.

## 2.3 CAPACITY STRENGTHENING

Capacity strengthening remains a critical component of ALGAP, though all efforts in this area are now focused uniquely on provincial governments. The revised intermediate result reflects the notion that strengthening the capacity of provincial governments must reach beyond improving financial, administrative and general managerial capabilities. Improving governance, service delivery, and the external relations capabilities of provincial governments is also critical. Under the revised intermediate result, capacity is treated a collective of the five functional elements as depicted below.



**Governance** refers to the provision of leadership and vision the provincial level. Leadership articulates the direction in which a provincial government heads, identifies requisite resources and oversees programs.

**Administration** indicates the mechanisms, structures and culture put in place in order to coordinate the functioning of the provincial government.

**Financial Management** represents the means used to engage, control and oversee the resources made available to the provincial government to carry out programs.

**Service Delivery** refers to the ability of a provincial government to meet the needs of the local citizenry in an effective and efficient manner.

**External Relationships** represent the capacity of a provincial government to coordinate with governing bodies at either superior or subordinate levels.

## **2.4 CITIZEN INTERACTION**

Citizen interaction, or the ability of citizens to actively participate in local government, remains a vital component of ALGAP. In the revised intermediate result and in ALGAP activities, citizens continue as an area of focus. The revised intermediate result has been rearticulated to highlight the focus at the provincial level.

# 3.0 ALGAP INDICATORS

From the first months of ALGAP implementation, monitoring performance has been centered on quantifying the inputs, outputs and resources provided through project activities. ALGAP management regularly reported, and continues to track performance data related to levels of technical assistance, training participants, and funding provided. This information is crucial to determining whether ALGAP is being implemented on-time and within budget as stipulated in annual work plans. As important as this data may be to monitoring the week-to-week and month-to-month project activities they are not as useful in determining the effects, consequences or outcomes of ALGAP programs.

With the revised ALGAP Results Framework it is now possible to refocus performance measurement to include an examination of project outcomes and even short-term impact.

Each result can now be viewed in terms of process and outcome or impact indicators. Process indicators, as in the data ALGAP has reported in the past, quantifies the delivery of inputs and resulting outputs. Outcome or impact indicators will provide evidence of the extent to which the provision of inputs and resulting outputs have brought about intended change.. The outcome or impact indicators complete picture in the cause and effect relationship.

The following table present process and outcome/impact indicators for each revised ALGAP intermediate result.

<b>ALGAP Performance Indicators</b>		
<b>Results</b>	<b>Process Indicators</b>	<b>Outcome/Impact Indicators</b>
Legislation Relative to Mandate of Provincial Councils Reviewed	<ul style="list-style-type: none"> <li>• Technical assistance provide to national level governing bodies</li> <li>• Number of studies</li> </ul>	<ul style="list-style-type: none"> <li>• Critical changes in national attitudes towards the empowerment of provincial governments resulting from ALGAP</li> <li>• Critical changes in statutory and regulatory empowerment of provincial government resulting from ALGAP</li> </ul>
Functional Capacity of Provincial Councils Strengthened	<ul style="list-style-type: none"> <li>• Number of provincial councils participating in capacity strengthening consultations and training</li> <li>• Number of capacity strengthening participants disaggregated council and non-council status and by sex.</li> <li>• Person hours of TA from staff and facilitators</li> </ul>	<ul style="list-style-type: none"> <li>• Change in governance capacity of provincial governments</li> <li>• Change in the administrative capacity of provincial governments</li> <li>• Change in the financial management capacity provincial governments</li> <li>• Change in the service delivery capacity of provincial governments</li> <li>• Change in the external relations capacity of local governments</li> </ul>

<b>ALGAP Performance Indicators</b>		
<b>Results</b>	<b>Process Indicators</b>	<b>Outcome/Impact Indicators</b>
Citizen Participation in Provincial Governance Enhanced	<ul style="list-style-type: none"> <li>• Number of provinces benefiting from civic education activities</li> <li>• Number of civic education activities conducted</li> <li>• Number of citizens participating in civil education activities</li> <li>• Number of radio broadcasts on civic education</li> </ul>	<ul style="list-style-type: none"> <li>• Change in knowledge exhibited by local citizens</li> <li>• Change in behavior exhibited of local citizens</li> </ul>

# 4.0 DATA COLLECTION, PROCESSING AND REPORTING

Modalities for collecting performance data will be contingent on whether ALGAP is reporting on month-to-month program implementation or examining the longer-range effect of ALGAP activities. Monthly performance tracking will involve the use of process indicators, whereas the question of longer-range effect will entail using outcome/impact indicators. Collecting, processing and reporting data associated with each indicator type is discussed below.

## 4.1 PROCESS INDICATORS

Contractually, ALGAP reports on program implementation to USAID quarterly. As activities are implemented, the ALGAP team captures and stores indicator data for every province. The information is aggregated by the ALGAP team in Kabul and transmitted to USAID during the quarterly reporting cycle.

Results	Process Indicators
Legislation Relative to Mandate of Provincial Councils Reviewed	<ul style="list-style-type: none"> <li>• Technical assistance provide to national level governing bodies</li> <li>• Number of studies</li> </ul>
Functional Capacity of Provincial Councils Strengthened	<ul style="list-style-type: none"> <li>• Number of provincial councils participating in capacity strengthening consultations and training</li> <li>• Number of capacity strengthening participants, disaggregated council and non-council status and by sex.</li> <li>• Person hours of TA from staff and facilitators</li> </ul>
Citizen Participation in Provincial Governance Enhanced	<ul style="list-style-type: none"> <li>• Number of provinces benefiting from civic education activities</li> <li>• Number of civic education activities conducted</li> <li>• Number of citizens participating in civil education activities</li> <li>• Number of radio broadcasts on civic education</li> </ul>

To date, data collection and reporting procedures related to process indicators have proved adequate and no deviation from current practices is warranted.

## 4.2 OUTCOME/IMPACT INDICATORS

Outcome/Impact indicators are designed to measure performance in terms of change over the long-term. Ideally, ALGAP would establish a set of baseline indicator data shortly after project start up and near project completion. Comparison and analysis of the two data sets would ensue.

The selected outcome/impact indicators for each of ALGAP's three intended results are of a qualitative nature as opposed to the quantitative nature of the process indicators. This implies that data collection, processing and reporting will require specifically designed tools or instruments are required for each indicator.

### 4.2.1 Legislation Relative to Mandate of Provincial Councils Reviewed

ALGAP's continuing role in bringing about change at the national level appears to be in question at this time. Should ALGAP pursue its mandate of reviewing legislation relative to Provincial Councils, the focus for measuring the effect of its activities will be on examining changes in national attitudes vis-à-vis Provincial Councils and whether legislation has promoted their regulatory authority.

With the nature of ALGAP's responsibilities currently unknown, development of data collection instruments will be suspended, pending clarification.

Results	Outcome/Impact Indicators
Legislation Relative to Mandate of Provincial Councils Reviewed	<ul style="list-style-type: none"> <li>• Critical changes in national attitudes towards the empowerment of provincial governments resulting from ALGAP</li> <li>• Critical changes in statutory and regulatory empowerment of provincial government resulting from ALGAP</li> </ul>

### 4.2.2 Functional Capacity of Provincial Councils Strengthened

Results	Outcome/Impact Indicators
Functional Capacity of Provincial Councils Strengthened	<ul style="list-style-type: none"> <li>• Change in governance capacity of provincial governments</li> <li>• Change in the administrative capacity of provincial governments</li> <li>• Change in the financial management capacity provincial governments</li> <li>• Change in the service delivery capacity of provincial governments</li> <li>• Change in the external relations capacity of local governments</li> </ul>

Measuring the extent to which a provincial council is strengthened is a direct reflection of ALGAP's training and consultative services activities and entails examining each respective function (Governance, Administration Financial Management, Service Delivery, and External Relationships) that is covered by the training or consultations. This is achieved through delineating 4 stages through which a provincial council

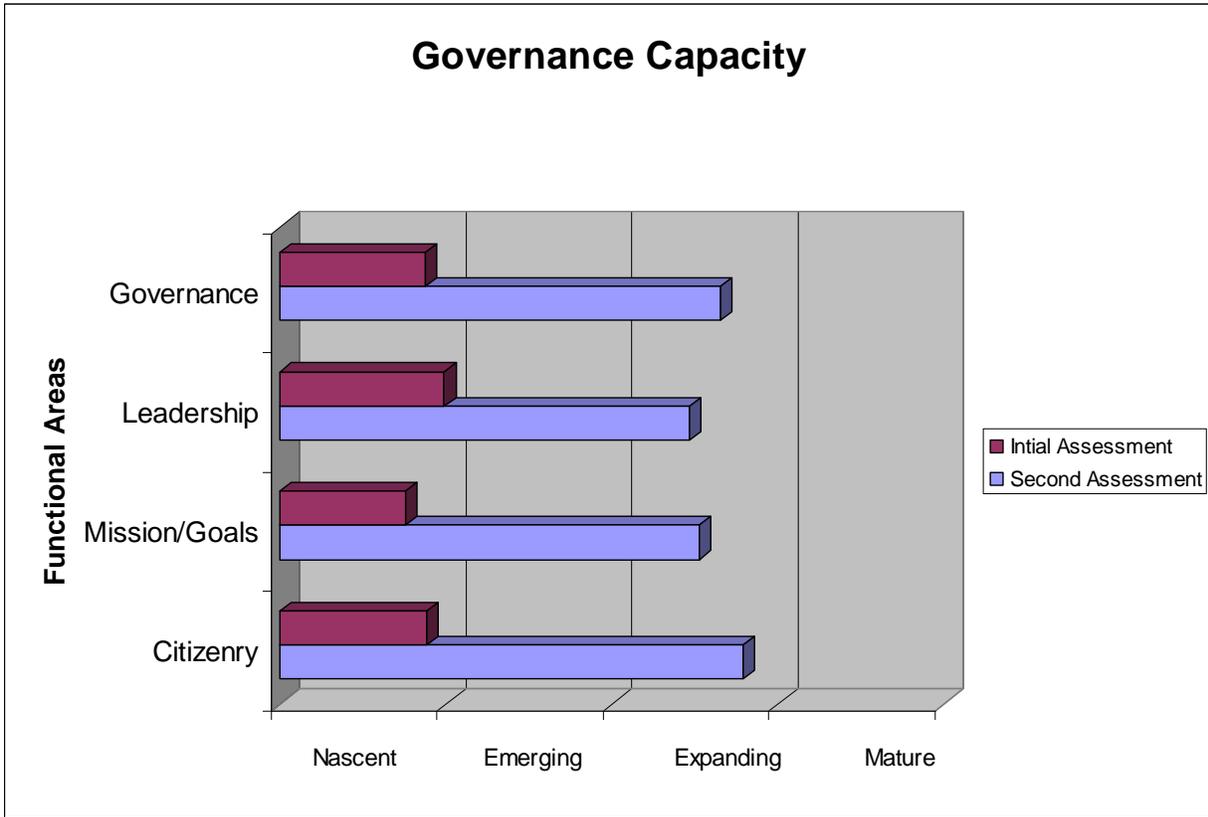
passes from the time it is newly formed to the time it is mature in its functional capacity. At each stage there are identifiable characteristics that can be examined in order to determine the appropriate classification of a council in each capacity. For example, a newly formed council may be described as nascent in the area of governance while a different council that is long established may be described as emerging. A typical nomenclature used to describe the 4 stages is: Nascent – Emerging – Expanding – Mature.

The mechanics of measuring change in capacity is achieved by using a set of tools in a participatory workshop setting, the result of which will be a quantifiable and narrative characterization of the impact on the capacity of individual or the collective of Provincial Councils.

The first tool, referred to as a *Characteristic and Stages of Growth of in Capacity Tool*, introduces the notion that Provincial Councils progress through four stages of growth: from that of being newly formed or nascent, and evolving into Provincial Councils that are emerging, expanding or mature. An illustrative tool which addresses governance capacity can be found in Appendix A. Characterizations for each stage of growth of a Provincial Council are developed and, as in the illustrative governance capacity tool, capacity is broken down into an examination of leadership, mission/goals and citizenry. Using these characterizations ALGAP can proceed to describe the governance capacity of Provincial Councils pre and post-ALGAP through the use of a second tool: a set of questions one can ask in order to generally assess a Provincial Council's stage of growth.

Called the *Facilitators' Guide to Sample Interview Questions to Ask About Provincial Council Governance Capacity*, the second tool is organized in order to take a semi-structured approach to asking about a Provincial Council. The tool, an example of which is presented in Appendix B, is used in a workshop setting to provoke discussion about the leadership of a Provincial Council, its capacity to articulate mission and goals, and how the Provincial Council interfaces with citizens. The discussions themselves serve as the source of information that is eventually used in conjunction a third tool, the *Provincial Council Governance Capacity Assessment- Rating Tool*, as presented in Appendix C.

The rating tool is based on a 6-step numerical scale. For example, a rating of 1 indicates that a specific aspect of a governance capacity needs urgent attention. A rating of 6 on the other hand, signifies that the same aspect is acceptable but needs to be monitored. With a familiarity of the stages of growth of a Provincial Council and having answered specific questions, ratings are determined for leadership, mission/goals and citizenry. The ratings are then averaged in order to arrive at a governance capacity ranking. Using the individual ratings for leadership, mission/goals and citizenry, or the overall rating for governance, ALGAP can determine and report either numerically or graphically on the stage of growth of a Provincial Council. One method for graphically representing the results follows. The graph illustrates the results of an initial capacity assessment as well as a comparison assessment conducted at a later point.



It is expected that a workshop to conduct capacity assessments of all 5 functional area would require a minimum of 3 days and involve the participation of Kabul and Province Based Facilitators. While a full assessment is recommended it is also possible to focus on examining 1 or 2 functional areas: Governance and External Relations for example. Regardless, a set of 3 tools for each functional area is required. Once developed, the tools should be reviewed and edited to fit the context of Afghanistan by ALGAP staff.

#### 4.2.3 Citizen Participation in Provincial Governance Enhanced

Measuring citizen participation in terms of outcomes or impact requires a qualitative approach as opposed to the quantitative approach used in examining involvement from the process indicator perspective. Evidence of enhanced citizen participation is best measured through the acquisition of knowledge and, in turn, the resulting change in behavior.

Results	Outcome/Impact Indicators
Citizen Participation in Provincial Governance Enhanced	<ul style="list-style-type: none"> <li>• Change in knowledge exhibited by local citizens</li> <li>• Change in behavior exhibited of local citizens</li> </ul>

To capture data related to changes in knowledge, ALGAP should carry out citizen surveys following education type activities. The focus of the surveys should be centered on determining whether citizens absorbed and retained the principal messages of the activities. To examine changes in behavior however will require that ALGAP interview both citizens and Provincial Council authorities. ALGAP should seek to determine if acquired knowledge has resulted in increased interaction between citizens and authorities. This may be seen through increased attendance of citizens at Council meetings, enhanced participation of citizens in Council-sponsored or supported programs, or greater exchange of letters between citizens and authorities.

# APPENDIX A: ILLUSTRATIVE CHARACTERISTICS AND STAGES IN GROWTH IN GOVERNANCE CAPACITY TOOL

<b>CHARACTERISTICS AND STAGES OF GROWTH IN A PROVINCIAL COUNCIL'S GOVERNANCE CAPACITY</b>				
	<b>NASCENT</b>	<b>EMERGING</b>	<b>EXPANDING</b>	<b>MATURE</b>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>▪ One or only a few members of the PC controls or directs all functions and operations of the PC.</li> <li>▪ The roles of the PC members is not clearly defined, understood or is vague</li> <li>▪ The management style of the PC directive and members of the PC only provide technical input.</li> <li>▪ The leaders of the PC do not clearly communicate the role or purpose the PC.</li> <li>▪ The PC members lack the understanding of their responsibilities to citizens.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Most decisions are made by the leader or a few leaders of the PC, sometimes with input from one or two PC members.</li> <li>▪ Members of the PC have little understanding of how the leaders make decisions.</li> <li>▪ The leaders of the PC are seen as directive rather soliciting input from PC members.</li> <li>▪ The leaders of the PC is aware of the need to seek input from citizens but do not make themselves available.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The leaders of the PC are more consultative and delegate some decision making to PC members.</li> <li>▪ Members of the PC understand their responsibilities but do not systematically involve themselves in decision-making.</li> <li>▪ The leaders of the PC understand their main role is to provide overall direction but they are still focused on maintaining control.</li> <li>▪ The leaders of the PC make more of an effort to contact and involve citizens.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The roles and responsibilities of the PC and its members are well defined and understood.</li> <li>▪ The leaders of the PC adopt a participatory approach to management.</li> <li>▪ The leaders of the PC demonstrate they are responsive to citizens.</li> <li>▪ The leaders of the PC are accessible to all citizens.</li> </ul>

<b>CHARACTERISTICS AND STAGES OF GROWTH IN A PROVINCIAL COUNCIL'S GOVERNANCE CAPACITY</b>				
	<b>NASCENT</b>	<b>EMERGING</b>	<b>EXPANDING</b>	<b>MATURE</b>
<b>Mission/Goals</b>	<ul style="list-style-type: none"> <li>▪ The members of PC have a vague idea the mission or potential mission of the PC.</li> <li>▪ The PC members are unclear as to how they can make contributions to the PC.</li> <li>▪ The mission or potential mission of the PC is understood by only a few of the members.</li> <li>▪ The activities carried out by the PC have little relationship to the PC's mission or potential mission.</li> <li>▪ Implementation plans are developed by PC leaders without input from PC members or citizens</li> </ul>	<ul style="list-style-type: none"> <li>▪ The mission and goals may be clear to the members of the PC but they are not widely understood by the citizens.</li> <li>▪ The mission and goals are not reflected in the responsibilities of members of the PC.</li> <li>▪ The mission and goals are not reflected in making plans for activities.</li> <li>▪ Planning for activities is carried out by the PC leaders, with little input from PC members or citizens.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The vision, mission and goals are clear to the PC members and to the citizens.</li> <li>▪ Strategies and objectives are aligned with the PC's mission and goals.</li> <li>▪ Planning for activities may be carried out by the PC leaders with some input from PC members and citizens.</li> <li>▪ Planning for activities is linked to the budget of the PC.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The PC has a clear mission and goals, and all PC members and citizens understand them.</li> <li>▪ Strategies are in line with the mission and goals and they are realistic.</li> <li>▪ Implementation planning is conducted with input by PC members and citizens.</li> <li>▪ The PC plans for activities according to established budgets or looks for additional funding to carry out the activities.</li> </ul>
<b>Citizenry</b>	<ul style="list-style-type: none"> <li>▪ Relationships between the PC and citizens are weak.</li> <li>▪ The PC sees citizens as non-essential to planning and carrying out mission and goals.</li> <li>▪ The PC does not serve as an advocate for citizens.</li> <li>▪ The PC is unable to identify the citizens it should serve.</li> <li>▪ Citizens are unaware of the PC or its roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>▪ The PC shows signs of reaching out and communicating with the citizens.</li> <li>▪ The PC may consult with some influential citizens leaders.</li> <li>▪ Some awareness among the PC members of their roles as advocates for citizens exists.</li> <li>▪ Citizens begin to approach the PC to suggest activities or services</li> </ul>	<ul style="list-style-type: none"> <li>▪ The PC has clearly identified the citizens it must serve</li> <li>▪ The opinions of the citizens are taken into account during the planning process.</li> <li>▪ The PC is involved in advocating for its citizens.</li> <li>▪ The PC is beginning to view citizens as partners in the planning and implementation of activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The group of citizens the PC serves is well defined.</li> <li>▪ The PC recognizes citizens as partners.</li> <li>▪ The PC advocates on key issues for the citizens</li> <li>▪ The PC carries out assessments or evaluations of its activities.</li> <li>▪ The mission and goals of the PC are reviewed by citizens.</li> </ul>

# APPENDIX B: ILLUSTRATIVE FACILITATORS' GUIDE TO SAMPLE INTERVIEW QUESTIONS TO ASK ABOUT PROVINCIAL COUNCIL GOVERNANCE CAPACITY

**Afghanistan Local Governance Assistance Project**

**Provincial Council Governance Capacity Assessment**

**Facilitators' Guide to Sample Interview Questions to Ask About Provincial Council Governance**

**GOVERNANCE**

**Leadership**

- Who are the leaders of the PC?
- How were the leaders of PC selected?
- Do the leaders and members of the PC represent the diverse interests of citizens?
- How do the leaders of the PC play a role in deciding upon direction, strategies or activities?
- How does the PC gather information about the needs and priorities of citizens?
- Does the PC meet with citizens regularly?
- Do citizens appear to believe that the PC advocates for their interests?

Optional Questions (Facilitator's are invited to develop their own questions)

▪

**Mission/Goals**

- Who defines the mission/goals of the PC?
- Do all members of the PC share the same ideas about the mission/goals?
- Does the PC have documents that define the mission/goals and activities?
- Are the goals of the PC achievable in the current economic, social or political environment?
- To what extent to do implementation plans reflect the mission/goals of the PC?
- What are some of the recent activities the PC has been involved in?

Optional Questions (Facilitator's are invited to develop their own questions)

▪

**Citizenry**

- What evidence is there that PC reflects the needs of citizens?
- Does the PC undertake surveys of citizens to determine if they are satisfied with services or activities?
- When does the PC call for input or advice from citizens?
- Are citizens involved in carrying out services or activities?
- Has the PC ever advocated for the interest of citizens at the level of the national government?

Optional Questions (Facilitator's are invited to develop their own questions)

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# APPENDIX C: ILLUSTRATIVE PROVINCIAL COUNCIL GOVERNANCE CAPACITY ASSESSMENT- RATING TOOL

**Afghanistan Local Governance Assistance Project**

**Provincial Council Governance Capacity Assessment  
Governance Rating Tool**

**Province:**

**Date of Assessment:**

**Conducted by:**

**RATING SCALE**

	Not applicable or sufficient information is not available to assess	
1	Needs urgent attention	1
2	Needs major improvement	2
3	Needs improvement on a wide scale	3
4	Needs improvement in a limited number of areas	4
5	Acceptable but room for some improvement	5
6	Acceptable, needs to monitored	6

<b>GOVERNANCE</b>		
<b>1 Leadership</b>		
a.	The leaders of the PC provide overall direction and oversight of the council	
b.	The PC leaders and all PC members have a clear understanding of their respective roles and responsibilities	
c.	The PC is composed of committed members who represent the varied interests of citizens	
d.	The leaders of the PC involve members in decision making	
e.	The leaders and members of the PC are credible in the eyes of the citizens	
f.	The PC has mechanisms in place for obtaining input from citizens	
<b>2 Mission/Goals</b>		
a.	The PC has clear mission/goals	
b.	The mission/goals are understood by all citizens	
c.	The planning of activities is aligned with the mission/goals	
d.	Plans have clear objectives that can be achieved	
e.	Plans are aligned with budgets	
f.	Plans are jointly developed by the PC and citizens	
<b>3 Citizenry</b>		
a.	The PC knows and can identify the citizens it should serve	
b.	The PC is able to recognizes the importance of the participation of citizens	
c.	Citizens present recommendations for services and activities to the PC	
d.	Citizens are involved assessing the effectiveness of activities	
e.	There is recognition of the stakeholder as partners	
f.	The PC advocates for citizens at higher levels of government	



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