

UNDP-Afghanistan CPD Outcome 3 Evaluation

The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity

Final Evaluation Report

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**Cecile Collin
Abdul Moien Jawhary
Lawrence Robertson**

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LIST OF ACRONYMS AND ABBREVIATIONS

ACCS	Afghanistan Afghan Civil Service Support
ANDS	Afghanistan National Development Strategy
APRP	Afghanistan Peace and Reintegration Programme
ASGP	Afghanistan Sub-National Governance Project
CBRP	Capacity Building for Results Program
CD	capacity development
CDA	capacity development advisor
CID	Center for International Development
CPAP	Country Partnership Action Plan
CPD	Country Programme Document
CS	civil service
CSO	Central Statistical Organisation
CTPA-CSC	Cash Transfer Program Assistance for Civil Service Reform
DAI	Development Alternatives Incorporated
DDA	District Development Assembly
DFID	Department for International Development
DG	district governor
DGO	District Governor's Office
DIM	direct implementation modality
EGGI	Economic Growth and Governance Initiative
GDCLCA	General Directorate for Coordination of Local Council Affairs
GIRoA	Government of the Islamic Republic of Afghanistan
HDI	human development index
IARCSC	Independent Administrative Reform for Civil Service Commission
ICCD	Inter-Ministerial Commission on Capacity Development
ICSPA	Institutional and Capacity Support to the Parliament of Afghanistan
IDLG	Independent Directorate of Local Governance
JCMB	Joint Coordination and Monitoring Board
KII	key informant interview
LoA	Letter of Agreement
LPP	Limited Liability Partnership
MBAW	Making Budgets and Aid Work
MJ	Meshrano Jirga
MoCI	Ministry of Commerce and Industries
MoF	Ministry of Finance
MoLSAMD	Ministry of Labour, Social Affairs, Martyrs, and the Disabled
MoTCA	Ministry of Transportation and Civil Aviation
MTBF	Medium-term budget framework
MTEF	Medium-term expenditure framework
MTFF	Medium-term fiscal framework
N/A	Not applicable
NABDP	National Area-Based Development Programme
NDI	National Democratic Institute for International Affairs

NGO	non-government organisation
NIBP	National Institution Building Project
NPP	National Priority Program
NSGP	National State Governance Project
OoP	Office of the President
PAR	public administration reform
PBGF	Performance Based Governors' Fund
PC	provincial council
PEFA	Public Expenditure and Financial Accountability
PFM	Public Financial Management
PG	Provincial Governor
PGO	Provincial Governor's Office
PME	Planning, Monitoring and Evaluating
ProDoc	Project Document
PRR	priority reform and restructuring
RAMP-UP	Regional Afghan Municipalities Program for Urban Populations
ROAR	results-oriented annual report
SEAL	Support to the Establishment of the Afghan Legislature
SNTV	Single Non-Transferable Vote
SUNY	State University of New York
TAF	The Asia Foundation
TOR	Terms of Reference
UNAMA	United Nations Assistance Mission-Afghanistan
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNDSS	United Nations Department of Safety and Security
WJ	Wolesi Jirga

EXECUTIVE SUMMARY

The United Nations Development Programme (UNDP) Country Programme Document (CPD) for Afghanistan for 2010-2014 was designed to promote stabilization, state building, and democratic governance, and reflect the development priorities of the Afghanistan National Development Strategy (ANDS) and the United Nations Development Assistance Framework (UNDAF). Under the CPD, UNDP Afghanistan works to contribute towards achieving six development outcomes.

UNDP conducted an outcome evaluation of one outcome, Outcome 3: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity,” at the end of 2013. The outcome evaluation is intended to contribute to the development of the next CPD in preparation for the period 2015-2018. UNDP/Afghanistan contracted with three independent consultants to form an evaluation team to examine progress towards the outcome since 2010, the factors behind these changes, UNDP’s contributions to these changes, and the partnership strategies used by UNDP. The evaluation was conducted using evaluation criteria of relevance, effectiveness, efficiency and sustainability, guided by UNDP’s Evaluation Policy.

The three-person team conducted fieldwork in October 2013, collecting data through desk reviews of relevant documents, key informant interviews, focus groups, direct observations, and by gathering and analysing previously collected aggregate and survey data. The evaluation team worked in Kabul and three other provinces: Parwan, Bamyan, and Herat.

CPD Outcome 3 has two distinct components. The first, “the state has improved ability to deliver services to foster human development” focuses on executive branch agencies. The second, “elected bodies have greater oversight capacity,” covers legislative institutions elected by the people which are expected to support their constituents, in part through the oversight of the executive branch. To cover these two components, the evaluation separated the analysis and writing of findings, lessons learned, and conclusions for these two distinct areas.

The evaluation focused on the outcome level, while also examining the four main projects UNDP implemented under this CPD outcome. The four key initiatives are the:

1) National Institution Building Project (NIBP)

NIBP mainly targets the Independent Administrative Reform for Civil Service Commission (IARCSC) to provide capacity development (CD) support to Afghanistan Government at the national and sub-national levels.

2) National State Governance Project (NSGP) – NSGP works directly with the Office of the President (OoP) to enable more effective policy and decision making at the center of the government.

3) Afghanistan Sub-National Governance Project (ASGP) – ASGP, now in its second phase, supports the Government of the Islamic Republic of Afghanistan (GIROA) in

developing capacity and systems to ensure effective implementation of sub-national governance strategies.

4) Making Budgets and Aid Work (MBAW) Project - MBAW, now in its third phase, supports the Ministry of Finance (MoF) to develop capacity, processes, and systems for public financial management and aid coordination.

These four projects focus on building executive branch capacity. Since part of the Outcome focuses on elected bodies, the evaluation also considered the UNDP projects that provided support to the Parliament, and how ASGP supports provincial councils.

5) Support to the Establishment of the Afghan Legislature (SEAL) I and II - These two UNDP projects, now closed, worked with the national parliament. SEAL II operated for only three months in 2010 during the current CPD.

EVALUATION FINDINGS

The evaluation first examined support to developing executive branch capacity, and then to elected bodies for oversight.

1. “The state has improved ability to deliver services to foster human development”

Capacity building support is important for all sectors of the government and UNDP’s partnerships have contributed substantially, along with other donors and programs, to development of GIRoA capacity over the four-year period of the CPD.

Assessment of progress towards the outcome in Afghanistan

Relevance: The focus of Outcome 3 on strengthened state capacity is highly relevant to Afghanistan. With the post-Taliban state inheriting institutions in ruins, the need for state building was huge and urgent. This led to a focus on quick impact fixes through injecting international expertise via consultants or donor managed programs.

Effectiveness: The Afghan state has clearly become more effective. GIRoA capacity had expanded since 2010: substantial capacity has been built in civil service (CS), and capacity has increasingly been pushed out from the central government ministries in Kabul to the Provinces. The qualifications of civil servants have also been seen as improved and general frameworks and policies have been developed.

Efficiency: Objections about salary top-ups and the use of international and national LoA staff note issues with sustainability – but also with the effects of providing additional assistance to some team members while leaving others unsupported. This has been criticized as demotivating to the civil service, and noted as such in our civil servant focus groups. There has also been limited coordination of TA - within GIRoA, between donors, and between assistance providers and the government.

Sustainability: Much of the growth in GIRoA capacity is not sustainable. First, the injection of international or national expertise into government ministries/agencies through special hiring procedures and additional compensation only provides benefits to

the government while programmatic support lasts. Second, civil servants that have been trained and developed experience in new government processes and procedures often leave the civil service.

Assessment of factors affecting the outcome in Afghanistan

Years of civil war; the dominant roles of patronage and corruption in politics in the centralized Afghan system; traditional attitudes towards women in Afghanistan; competition for skilled staff from international community and businesses; and donor programs (including past and current UNDP programming) have shaped the outcomes described above. Many other multilateral and bilateral donors have had notable nationwide or more narrowly focused programs in the same areas as CPD Outcome 3.

Assessment of key UNDP contributions to outcomes

The four main UNDP projects under CPD Outcome 3 have support the growth of the capacity of government institutions of Afghanistan in important ways. The evaluation is not be very specific about the magnitude and effect of UNDP contributions since the programmes focused on outputs rather than outcomes and many other donor programs work in these same areas with the same methods as these UNDP programmes.

Relevance: UNDP programming has targeted important national priorities under CPD Outcome 3 through areas that are UNDP strengths

Effectiveness: The effectiveness programmes has varied across projects, ministries/agencies, and by province, as does the effectiveness of the main methodologies used.

Efficiency: The main methodology used to support capacity building has been providing additional, skilled staff to support GIRoA partners with the execution of their mandates. Efficiency has depended on the receptivity of partners to project-provided international and national staff, the quality of these staff, and their management by UNDP and their GIRoA partners.

Sustainability: The sustainability of CPD Outcome 3 outputs and their contributions to the outcome are widely seen to be problematic. . Instead of capacity building, staffing mechanisms often led to capacity substitution through personnel that are not likely to be retained after programmes conclude.

Assessment of UNDP partnership strategy

Relevance: UNDP/Afghanistan developed ambitious projects with the right partners in a highly centralized system: the key state institutions for civil service development (IARCSC), the growth of governance at the Provincial and District levels (IDLG), the strong Office of the Presidency (OoP), and the powerful Ministry of Finance (MoF) for budget, revenue, and aid management.

Effectiveness: UNDP/Afghanistan developed and approved ambitious comprehensive ProDocs for all four projects, but as donor funding lagged and mobilization targets were

not met, UNDP had to adjust targets and the extent of project coverage which frustrated GIRoA partners. UNDP also does not seem to have capitalized on ways to build on complementarities, or potential complementarities, in capacity building projects.

Efficiency: The partnership between UNDP and its government partners under Outcome 3 can be well managed; at other times and with some partners, issues persisted and were not resolved in ways that enabled partnerships to work well. In some cases, efficiency was affected by the particular personnel sent as national and international LoA staff to different ministries and the receptivity of their government partners to advice, coaching, mentoring, and training.

Sustainability: UNDP is recognized as a valuable partner by its main partners in Afghanistan. The main GIRoA partners under Outcome 3 all seek to continue their programmatic relationships with UNDP going forward. Thus the overall partnerships between UNDP and the OoP, MoF, IDLG, and IARCSC are sustainable. However, most of the mechanisms used in the partnerships between the programmes under CPD Outcome 3 and their GIRoA counterparts are not sustainable beyond the life of the programmes.

Oversight by Elected Bodies

Parliament and Provincial Councils are the only elected representative bodies at the national and provincial levels. Their capacity has grown over the four year period 2010-2013. These bodies, elected in 2010 and 2009 respectively, focus on representation, lawmaking (for parliament), policy implementation, and oversight. Oversight is only one component of their activities.

4.2.1. Assessment of progress towards the outcome in Afghanistan

Relevance: Building a larger role for the elected representatives of the people is a priority for Afghanistan to help balance the centralized, powerful executive branch of the government. Elected bodies need ways to hold executive branch ministries/departments and independent agencies accountable for their mandates; capacity for oversight is a critical part of this important need.

Effectiveness: Assistance has provided exposure to examples from other parliaments, trained staff and members in process and technical skills, and supported networking to facilitate the work of these bodies. Although the oversight roles are underdeveloped, Parliament has set some precedents where ministers have been held responsible for budget spending. At the provincial level, provincial councils also have a weak mandate and lack technical skills needed for the kind of oversight of projects of the executive done at present.

Efficiency: With a weak political parties and an electoral system that has allows weak bonds between constituents and “their” representatives, the few mechanisms for holding elected representatives accountable to the votes allows elected bodies to be inefficient, including in oversight.

Sustainability: Almost 10 years of national and provincial elected bodies is significant given their absence through most Afghan history. Afghans report satisfaction with their Parliamentary and Provincial Council representatives in surveys which suggests these institutions will endure.

Assessment of factors affecting the outcome in Afghanistan

Oversight by elected bodies, and its development over 2010 to the present, has been shaped by the structure of Afghan institutions and politics, the nature of social relationships in Afghanistan and its regions, weak heritage of elected bodies, capacity weaknesses of elected bodies and officials, and donor and government programs to support elected bodies.

Assessment of key UNDP contributions to outcomes

Relevance: With few elected representative state bodies, it has been important to support the members of these few bodies chosen by the people.

Effectiveness: There were only four months of SEAL II support to Parliament and part of one output of ASGP that has provided supported PCs under this CPD. The program was effective when in operation. Providing ASGP support to PCs, especially for oversight, through PGOs is not effective in terms of oversight, since it does not encourage dependent PC members to challenge DGOs.

Efficiency: The absence of an overall strategy for the development of either house was a weakness for Parliamentary development, and UNDP's choice to support PCs through PGOs is not efficient for supporting oversight.

Sustainability: The direct partnership between UNDP and Parliament was expected to endure, but the limited indirect links between UNDP and the PCs are not sustainable.

RECOMMENDATIONS AND LESSONS' LEARNED

1. Executive Branch Capacity Building

Lessons Learned

1. *Structural problems in the construction of the Afghan state impede capacity building:* The tensions between a formally highly centralized state and *de facto* strong periphery plus differences between the merit-based model and patronage-based practices hamper capacity building.
2. *Management and partners focused on outputs more than outcomes:* Gaps in the structure of the results framework between the CPD outcome level and the outputs of projects were large and appear to have contributed to not focusing on the outcome level.

3. *Letter of Agreement staff provision has not been a sustainable methodology:* Injecting staff into GIRoA institutions through LoA or CDA mechanisms has not been a sustainable method.

5.1.2. Recommendations

1. *Focus beyond individual capacity:* Future capacity building assistance, should focus on the enabling environment and institutional arrangements to allow GIRoA institutions to deliver and respond to feedback mechanisms.
2. *Consider ways to focus on outcomes as well as outputs;* UNDP-Afghanistan and its partners should build consensus around projects and outputs – as well as use an agreed theory of change - to develop a full results framework that clarifies how project outputs and other contributions are expected to produce the intended outcomes.
3. *Consider outcomes that emphasize service delivery through improved capacity;* An outcome such as “A sustainable capacity to deliver” can focus attention on the delivery of services to the Afghan people, the bottom line for why the international community and Afghan people seek governance and support the state.
4. *Consider a comprehensive UNDP approach and single programme on capacity development;* UNDP/Afghanistan should collaborate with its GIRoA partners and assess whether a single, pool-financed institutional reform program that combines salary support, capacity development, and service delivery within a single common public sector reform framework can better deliver sustainable support.
5. *Develop mutual accountability frameworks with GIRoA partners;* UNDP/Afghanistan should build and use management frameworks that foster mutually beneficial relationships, project outputs, and CPD outcomes through memoranda of understanding with GIRoA partners.
6. *Use the Transition to support these changes;* UNDP should consider developing MoUs with GIRoA partners that link donor support for public sector salaries to more demand-driven and results-oriented institutional reform through mutual accountability.

2. Elected Bodies and Oversight

Lessons Learned

1. *Place assistance in political context:* Politics and competitive, contested elections shape not only what is feasible but what is desired by the members of Parliament and Provincial Councils.

2. *Focus attention on long-term goals:* The limited experience with representative institutions, problematic legal frameworks, and political culture that has discouraged mechanisms political parties make the empowerment of elected bodies a long-term project in Afghanistan.
3. *Expect partners to need long-term support:* With capacity limits and limited experience, elected bodies will continue to need substantial support over a sustained period of time to develop.
4. *Provide assistance through sustainable mechanisms:* Assistance to support elected bodies will take sustained engagement through lasting means.
5. *Support more than oversight:* Strengthening the elected bodies broadly supports oversight by enhancing the overall development and ability of representative institutions execute their mandates.
6. *Systemic changes are needed to support oversight by elected bodies:* Legal and institutional reforms are needed to increase the authority of elected bodies *vis-à-vis* the executive, and substantial capacity building assistance will be needed to develop, use, and institutionalize oversight practices.

Recommendations on Elected Bodies and Oversight

1. *Support institutions of representative democracy:* Policy dialog and practical assistance should provide substantial support to elected bodies to perform their mandates. This support should not focus only on oversight but assist with the full range of responsibilities of Parliament and Provincial Councils.
2. *Support more than oversight:* Elected representatives at the national and provincial levels – and assistance to them - should focus on enhancing their roles representing broad social interests.
3. *Support technical oversight in more promising ways:* UNDP should consider ways to develop, support, and institutionalize oversight mechanisms for executive branch policies, procedures, and projects through other mechanisms, for encouraging technical monitoring by qualified, impartial professionals through institutions via separate design missions and external audits.

3. General Recommendations

1. *Strengthen and use outcome-level indicators for management in the next CPD:* UNDP-Afghanistan should manage for results at the outcome level, and develop indicators and system to use CPD outcomes for the management of programmes. These outcome-level indicators can be used together with output-oriented indicators to better understand programmes and how they contribute towards CPD Outcomes. GIRA institutions also need to develop these systems.

2. *Support ways to integrate bottom-up planning with top-down budgeting:* UNDP-Afghanistan should work to help Afghanistan link the local, district/municipal, and provincial planning that is done through consultative and representative institutions with centralized GIRoA executive branch budget development and implementation processes. Keeping the two separate as is done now supports neither government performance nor democratic development.

1. INTRODUCTION

The United Nations Development Programme (UNDP) sought an outcome evaluation of Afghanistan 2010-2014 Country Programme Document (CPD) Outcome 3: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.” The outcome evaluation is intended to contribute to the development of the next CPD in preparation for the period 2015-2018.

UNDP-Afghanistan contracted with three independent consultants to form an evaluation team to examine changes in the outcome since 2010, the factors behind these changes, UNDP’s contributions to these changes, and the partnership strategies used by UNDP. The team developed an approved inception report to guide the fieldwork, conducted fieldwork for the evaluation in Afghanistan in October 2013, presented a PowerPoint Briefing to UNDP-Afghanistan on initial findings and recommendations, drafted a Zero Draft Evaluation Report for comment by UNDP-Afghanistan and the evaluation reference group, a Draft Evaluation Report for a second round of comments, and this Final Evaluation Report.

1.1. Objectives of the evaluation

The purpose of the CPD Outcome 3 evaluation is to take stock and evaluate UNDP contribution towards strengthening the country’s governance institutions to improve public service delivery. These outcomes were envisaged under the Outcome 3 in the CPD and CPAP which were written and approved in 2009. UNDP plans to use the evaluation findings to inform the planning, design, and formulation of the new Country Programme Document for UNDP Afghanistan for 2015 to 2018. The evaluation is also planned to provide inputs to the Assessment of Development Results report of the UNDP Evaluation Office.

The outcome evaluation will assist UNDP in gaining a better understanding of:

- a) the extent to which the planned outcome and the related outputs have been, are being, or are likely to be achieved by end 2014;
- b) the causal linkages by which outputs contribute to the achievement of the specified outcome;
- c) concrete evidence of UNDP contribution to outcomes;
- d) if, and which, programme processes such as strategic partnerships and linkages are critical in producing the intended outcomes;
- e) factors that facilitate and/or hinder the progress in achieving the outcome, both in terms of the external environment and those internal to the portfolio interventions including: weaknesses in design, management, human resource skills, and resources;
- f) strategic values and comparative advantage of UNDP in contributing to the outcome; and
- g) lessons learned from the implementation of the interventions.

1.2. UNDP Background

The UNDP Country Programme Document (CPD) for Afghanistan for 2010-2013, later extended through 2014, was designed to advance and deepen the progress made in the previous programming cycle in promoting stabilization, state building and governance, and strengthening democratic institutions in the country. The CPD was developed in consultation with the Government of the Islamic Republic of Afghanistan (GIROA) and development partners and reflects the national development priorities articulated in the Afghanistan National Development Strategy (ANDS) as well as United Nations Development Assistance Framework (UNDAF). The CPD also takes into account that UNDP operates under the overall mandate of the United Nations Assistance Mission in Afghanistan (UNAMA). Under the current CPD, UNDP Afghanistan works to contribute towards the achievements of six development outcomes:

- Outcome 1: Capacity in state and non-state institutions increased to contribute to overall stabilization and peace-building.
- Outcome 2: Effectiveness of the justice system is improved and access to justice is increased.
- Outcome 3: The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.
- Outcome 4: The state and non-state institutions are better able to promote democratic participation and be accountable to the public.
- Outcome 5: Capacities of national and local governance bodies are improved for better natural resource and disaster risk management.
- Outcome 6: Increased opportunities for income generation through the promotion of diversified livelihoods, private sector development and public-private partnerships.

The outcome evaluation evaluates change over the period 2010-2013, and the collective results of UNDP's contributions, in strengthening the country's governance institutions to improve public service delivery as implemented through various initiatives under the Outcome 3. The evaluation team has considered overall progress towards Outcome 3 and the sources of this progress, in particularly UNDP initiatives in this broad area. The team has also explored contributions beyond projects by UNDP such as policy advocacy.

1.3 The Afghanistan Context

Afghanistan has historically had centralized governance institutions with limited reach and capacity across the geographically and culturally diverse territory. The arid country is divided by numerous high mountain ranges; the isolation of valley populations from one another is accentuated by winter snows. While "the ability of the Afghan state to penetrate rural areas and rule them directly expanded throughout the late nineteenth and twentieth centuries," state control has historically been "limited primarily to its irrigated agricultural plains and cities" (Barfield and Nojumi 2010, 44). Formal centralized governance structures have coincided and worked with decentralized local authorities which have had more influence on the lives of most of the people in Afghanistan.

The country was a constitutional monarchy until overthrown in 1973; the King governed through patronage arrangements with customary, tribal and religious leaders. A small professional civil service ran government agencies, which had little reach or impact on most Afghans. The short-lived republican government was not able to change the system before being overthrown by a communist coup in 1978. With aspirations for a larger reach for the state, the communist authorities repeatedly purged civil servants and added to state agencies – but also were not able to increase the effective reach of the state. Instead their antagonism to customary, tribal and religious authorities led to the civil conflict which started in 1978.

Civil war, with substantial external interventions, has weakened state capacity and reach still further. State institutions, and the civil servants that made them run, were all but destroyed by years of war. Government ministries were reduced to only empty shells of buildings with a handful of poorly qualified staff. With educational institutions destroyed as well, Afghanistan has suffered from an absence of well-trained professionals that could be employed as civil servants as part of the rebuilding process.

Post conflict stabilization has been recognized as starting in the wake of the overthrow of the Taliban government in late 2001 and installation of the interim government. With the country left with extremely weak administrative, technical and managerial capacity after years of conflict, both the government and international community relied heavily on expatriate technical assistance to support reconstruction. Striking immediate needs and low state capacity led both the government and international donors to substitute consultants for civil servants as well as to deliver services through external mechanisms such as international non-governmental organisations. Ongoing conflict has limited efforts to extent GIRoA governance and staff to areas that are still contested or have become areas of conflict.

The costs of this technical assistance and the limited results achieved in terms of capacity building have been a concern to the government and donors for a number of years (Michailof 2007). The urgency and the magnitude of reconstruction efforts, the gradual development of government presence (particularly in the provinces and district) as well as donor policies and procedures have made it difficult to improve the state's ability to deliver services. The government and donors agreed to and implemented a public administration reform (PAR) process to reform the administration through: changing positions; revising salaries and incentives; building of civil service management; introducing merit-based appointments; and capacity enhancement. This restructuring of departments and changing of recruitment practices was initially piloted under a “priority reform and restructuring” (PRR) process in a few ministries. In return for specifying objectives and functions, some measure of restructuring, and merit-based recruitment, PRR allowed participating ministries and independent agencies to pay higher salaries to qualified staff in selected positions. This process then evolved into a second set of reforms (pay and grade reforms). Pay and grade reforms were piloted and then extended to all ministries/agencies, the last of which are completing the process at the end of 2013. PAR at the provincial level was seen to encounter the same general problems of PAR

“heightened because of the distance from Kabul, the diverse nature and complexity of local patronage systems, and even lower levels of capacity” (Lister 2007, 7).

Local governance structures were an even greater challenge to reconstruct than national ones. The Constitution established a structure of appointed provincial governors (PGs) and district governors (DGs). DGs and PGs were initially managed and structured through the Ministry of the Interior and since 2007 through the Independent Directorate of Local Governance (IDLG).

Afghanistan has had only a brief, tumultuous experience with representative democracy. As a monarchy until 1964, the country had no parliament. The 1964 Constitution created a constitutional monarchy with the creation of a two-chamber parliament under King Zahir Shah. The National Assembly did not play a large role under the King or after the republic was declared, and was marginalized and then disbanded after the communist coup in 1978. There was no Parliament during the civil war and Taliban period. Parliament was restored in the 2004 Constitution on the 1964 model, and elections were held in 2005 for the new body. Provincial elected bodies had never existed in Afghan history. Provincial Councils were envisioned in the 2004 Constitution and elected at the same time as the first Presidential election in 2004 for all 34 provinces of Afghanistan.

Even more than with state capacity in executive branch ministries, reconstituting the Afghan parliament started almost *de novo*. In this case, there was not even a few staff or a ruined building as a base. The executive branch established a State Ministry of Parliamentary Affairs to support the development of the new bicameral legislature composed of an upper house, the *Meshrano Jirga*, and a lower house, the *Wolesi Jirga*. The new Provincial Councils for the provinces came to be supported by the institutions that supported appointed subnational governance – the Ministry of Interior and then the Independent Directorate of Local Governance.

2. DESCRIPTION OF THE INTERVENTIONS

UNDP Afghanistan has implemented four main projects under this outcome in the CPD. These projects also contribute to other CPD Outcomes, and other projects support Outcome 3. The evaluation focused on the contribution of these projects – but not only these projects – in considering UNDP’s contributions towards progress in Outcome 3. The four key initiatives, as noted in the term of reference (TOR) for the outcome evaluation, are:

1. National Institution Building Project (NIBP)

UNDP works mainly with the Independent Administrative Reform for Civil Service Commission (IARCSC) to provide capacity development (CD) support to Afghanistan Government at the national and sub-national levels. The project places international capacity development advisors (CDAs) and national capacity development officers in ministries and departments to provide CD support to civil servants. NIBP, implemented 2010-2013, also promotes South-South “twinning arrangements” and partnerships between Afghan ministries and agencies with

corresponding ministries and agencies of other countries to transfer specialized skills and experience. The Project Document (ProDoc) planned for a \$115 million budget. NIBP has three main outputs:

- 1.1 Institutional and organizational capacity of selected government entities strengthened by policy and strategy development and systems improvement through coaching and advisory services to improve service delivery and to support PAR objectives;
- 1.2 Institutional and organizational capacity development of selected government entities improved through coaching and advisory services in alignment with Civil Technical Assistance Plan; and
- 1.3 PAR management and coordination capacity of IARCSC strengthened and institutional and policy support for implementing required training programmes for civil servants established.

2. National State Governance Project (NSGP) – NSGP works directly with the Office of the President (OoP) to enable more effective policy and decision making at the center of the government. The project focuses on improving organizational, management, and administrative effectiveness of the OoP; strengthening policy planning, analysis, monitoring, and coordination among relevant state actors; and improving the infrastructure and facilities of the OoP. Although the project document designed a \$34.5 million project, mobilization has been low and the actual project has been almost \$2.4 million. NSGP works to deliver four outputs:

- 2.1 An enabling organizational environment is in place to support the operations and programs of the President's Office;
- 2.2 Capacity of First Vice-President's Office in planning and service delivery improved;
- 2.3 Strengthen the human and institutional capacity of the second Vice President to support the President in achieving his mandate; and
- 2.4 Improved policy analysis and technical capacity of Council of Ministers and Cabinet Committees through the Office of Administrative Affairs.

3. Afghanistan Sub-National Governance Project (ASGP) – ASGP supports the Government in developing capacity and systems to ensure effective implementation of the governance strategies outlined in the ANDS under the Good Governance and Rule of Law pillar, and the Afghanistan Compact addressing the challenges identified for sub-national governance. ASGP is now in its second phase for 2010 to 2014. ASGP II as designed was a \$179.7 million project which had three outputs:

- 3.1 National systems, procedures, and legal frameworks to implement, coordinate, and monitor subnational governance policy are in place; by 2014
- 3.2 Provincial and District Governors' Offices have the capacity to develop and lead the implementation of strategies for improving security, governance, and development in accordance with ANDS by 2014; and

- 3.3 Democratically elected Municipal administrations are collecting revenues and delivering basic services under an improved organizational framework by 2014.

Output 3.2 was revised, in part to explicitly include Provincial Councils, to: Provincial and District Governors' Offices (PGO/DGO) have the capacity to lead and coordinate development, governance and security in accordance with the Afghanistan National Development Strategy (ANDS) and the Provincial Councils have the capacity to provide oversight and represent citizens in accordance with ANDS.

4. Making Budgets and Aid Work (MBAW) Project - MBAW, now in its third phase, supports the Budget Department of the Ministry of Finance (MoF) to develop capacity, processes, and systems to ensure effective implementation of the Government's strategies for addressing challenges to improved public financial management, as outlined in the ANDS and by the Joint Coordination and Monitoring Board. MBAW also aims to contribute to overall improvements of the country's aid effectiveness. MBAW as approved in 2007 was a \$7.5 million project. MBAW delivers three outputs:

- 4.1 Improved budget planning and management (the budget is comprehensive, policy-based, prepared in an orderly manner, and supportive of the national development strategy);
- 4.2 National policy and strategy development and coordination of external assistance aligned with Paris Declaration and ANDS implementation improved; and
- 4.3 Improved Budget Execution and delivery management and sustainable Institutional capacity developed at MoF and Government Institutions.

Since part of the Outcome focuses on elected bodies, the evaluation will also consider the UNDP projects that provided support to the Parliament.

5) Support to the Establishment of the Afghan Legislature (SEAL) I and II -

These two closed UNDP projects appear to have been the only UNDP initiatives that worked with the national parliament. SEAL I (2005-2008), a \$15.5 million effort, helped to establish the parliament and SEAL II (designed for 2008-2013 as a \$15.3 million project) aimed to help institutionalize parliament. UNDP was unable to mobilize the resources envisioned for the SEAL II programme and thus brought the \$6 million project to an early closure in March 2010. SEAL II had five outputs:

- 5.1 Enhanced parliamentary capacity to exercise its legislative responsibilities;
- 5.2 Parliament effectively and responsibly oversees the activities of the Executive;
- 5.3 Strengthened dialogue between parliament and citizens;
- 5.4 Strengthened capacity for effective decision/policy making (e.g. budget process throughout the budget cycle, National Development Programmes and International Relations); and

5.5 Effective administrative structures and processes are in place.

Time frame and Budget Expenditures:

How the overall results of the five key projects contribute to the outcome will be evaluated. The evaluation has examined the activities and outputs of each projects' phases that fell within the present Country Programme Document's period (2010-2014). The overall timeframe and amount of funds expended (through mid-2013) of these five projects is:

- NIBP (2010-2013), \$19.4 million
- NSGP (2010-2013), \$2.4 million
- ASGP (2010-2014), \$47.2 million
- MBAW (2007-2013), \$20.7 million
- SEAL II (2008-March 2010), \$6 million¹

Geographic coverage:

NIBP works with the 25 key ministries and government agencies, centrally located in Kabul. It also reached out and worked with civil service training institutes, and with selected line departments in some provinces (Herat, Balkh, Bamyan, Nangarhar, and Kandahar).

NSGP works with the Office of the President in Kabul.

ASGP's key project partner is the Independent Directorate of Local Governance in Kabul. ASGP II has also established partnerships with each of the 34 provincial governors, 34 provincial councils, and 19 municipalities.

MBAW works mainly with the Ministry of Finance in Kabul.

SEAL II worked with the members and staff of the *Meshrano Jirga* (MJ) and *Wolesi Jirga* (WJ) in Kabul.

This evaluation covered the entire geographical reach of all projects through an examination of national-level outcomes, aggregate data available at the national and regional level, supplemented by data collected through fieldwork in Kabul with a sample of ministries and a diverse sample of three provinces across the country.

Target groups and stakeholders:

Target groups and stakeholders of UNDP's interventions under these five projects varied by output. They are mainly the key government counterparts for each project as noted above. Other stakeholders are other multilateral and bilateral partners of the Government of Afghanistan, some of which have projects to support similar objectives with the main GIRoA partners of these five CPD Outcome 3 interventions.

¹ Only a small portion of these funds was expended in the first three months of 2010 under the current CPD.

3. EVALUATION PURPOSE, SCOPE, AND METHODOLOGY

The Inception Report, in line with the Evaluation Plan of UNDP Afghanistan and UNDP Evaluation Office standards and guidance, proposed a plan for an outcome evaluation to assess UNDP contributions towards progress made on CPD Outcome 3: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.” The team has executed the plan in the approved inception report for the outcome evaluation.²

As suggested by the division of the outcome statement into two independent clauses, this outcome has two components. The first, “the state has improved ability to deliver services to foster human development” focuses on executive branch agencies that are expected by their mandates to deliver goods and services to the people of Afghanistan to support their human development. The second, “elected bodies have greater oversight capacity,” covers legislative institutions elected by the people which are expected to support their constituents, in part through the oversight of the executive branch. The report is likely to be unbalanced in emphasis and size however, as the UNDP and other international actors appear to have systematically focused less on and provided less support to the development of these representative institutions at the national and provincial levels.³

UNDP outcome evaluations assess UNDP contributions towards the progress made on outcome achievements. The CPD 3 Outcome evaluation thus addressed broad-based linkages to support the development of governance; partnerships across agencies; analyses of how other external local, regional and global environmental factors have affected development across Afghanistan; the comparative influence of UNDP and other actors; and the significance of progress made in the development of the Afghan state’s improved ability to deliver services to foster human development and greater oversight capacity of elected bodies over the CPD’s lifetime. Contributions from UNDP are noted from the projects above, but not only from these five projects.

3.1. Evaluation Purpose

The purpose of the outcome evaluation is to contribute to the development of UNDP-Afghanistan’s next CPD, now in preparation for the period 2015-2018. The evaluation should provide support for development programming going forward based on findings, conclusions, and lessons learned from the evaluation.

² The approved Inception report is attached as an Annex.

³ District-level representative bodies in Afghanistan vary, but are not state bodies (or are not clearly identified as such today), have not been elected through processes with universal suffrage, and are not mandated with key governance responsibilities – particularly oversight - like the two houses of Parliament or Provincial Councils. Bodies such as District Development Assemblies (DDAs) will thus not be considered in the evaluation.

Evaluation criteria and questions

The evaluation was conducted using the following evaluation criteria as guided by the Development Assistance Committee's Criteria for Evaluation of Development Assistance, as endorsed by UNDP's Evaluation Policy.⁴ The criteria used, from the TOR for the evaluation, and sub-questions to address, are:

a) Relevance

- To what extent do the intended outcome and the relevant outputs address national priorities and to what extent is this aligned with UNDP's mandate?
- Have UNDP interventions been relevant to women and other marginalized populations?
- Has UNDP been able to adapt its programming to the changing context to address priority needs in the country?
- What are potential areas of engagement for UNDP's next Country Programme in relation to strengthening Afghanistan's governance institutions to improve public service delivery?

b) Effectiveness

- To what extent the planned outcome has been or is being achieved? Are there any additional outcome(s) being achieved beyond the intended outcome?
- How have corresponding results at the output level delivered by UNDP affected the outcome, and in what ways have they not been effective?
- What are the challenges to achieving the outcome?
- Has UNDP best utilized its comparative advantage in deciding to deliver these planned outputs?
- What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome?
- Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome?
- To what extent did the results, both at the outcome and output levels, benefit women and men equally?
- Is the current set of indicators, both outcome and output indicators, effective in informing the progress made towards the outcomes? If not, what indicators should be used?

c) Efficiency

- Has there been any duplication of efforts among UNDP's own interventions and interventions delivered by other organizations or entities in contributing to the outcome?

⁴ See UNDP, "The evaluation policy of UNDP," DP/2011/3, 10 November 2010.

d) Sustainability

- How strong is the level of ownership of the results by the relevant government entities and other stakeholders?
- What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved?
- What could be done to strengthen sustainability?

3.2. Evaluation Scope

The evaluation used as a reference the UNDP documents *Outcome Level Evaluation, a Companion Guide to the Handbook on Planning Monitoring and Evaluating for Development Results for Programme Units and Evaluators* as well as the *Handbook on Planning, Monitoring and Evaluating for Development Results* (PME Handbook). The following definition from the PME Handbook has been used:

Outcomes describe the intended changes in development conditions that result from the interventions of governments and other stakeholders, including international development agencies such as UNDP. They are medium-term development results created through the delivery of outputs and the contributions of various partners and non-partners. Outcomes provide a clear vision of what has changed or will change globally or in a particular region, country or community within a period of time. They normally relate to changes in institutional performance or behaviour among individuals or groups. Outcomes cannot normally be achieved by only one agency and are not under the direct control of a project manager (p. 3).

The evaluation not only focuses at the outcome level but also examines the performance of UNDP's interventions, via the projects implemented, throughout the results chain. As the PME Handbook notes:

In order to understand whether everything has been done to contribute to the achievement of outcomes, evaluations also need to look at how well the initiative was planned, what activities were carried out, what outputs were delivered, how processes were managed, what monitoring systems were put in place, how UNDP interacted with its partners, etc. Outcome-level evaluation does not, therefore, imply an exclusive preoccupation with outcomes; but it does mean that all UNDP initiatives should be evaluated in terms of their overriding intention to bring about change in human development conditions at the outcome level (p. 4).

The evaluation thus focused on progress towards the outcome in the country, which as the PME Handbook makes clear exceeds what UNDP had planned and been able to contribute to on its own. Per the Terms of Reference, the evaluation has provided:

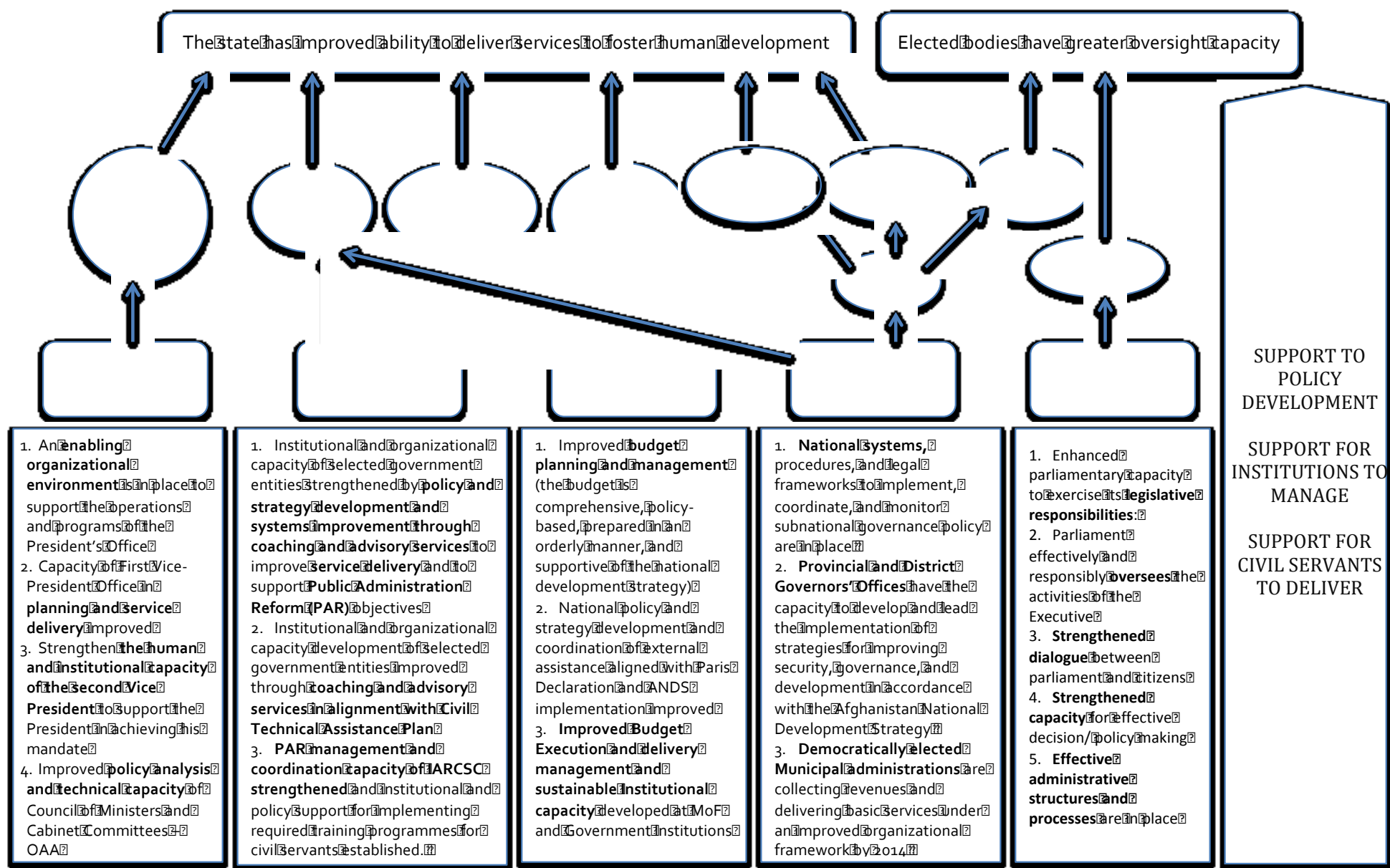
- An assessment of progress towards the outcome in Afghanistan;
- An assessment of factors affecting the outcome in Afghanistan;
- An assessment of key UNDP contributions to outcomes; and

- An assessment of the partnership strategy used.

The focus of the evaluation has remained on the high CPD Outcome 3 level: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.” The CPD in 2009 conceptualized the links between programming to the outcome as follows:

UNDP will work in several mutually reinforcing areas to promote good governance at the national level, with a particular focus on sub-national levels. Governance programmes will cover institutional development, leadership training, administration reform and capacity building/strengthening of provincial, district and municipal level entities to achieve service delivery improvements. (p. 5)

The logical framework for UNDP contributions to this outcome examined in the evaluation is thus two sided, aiming at each of the two independent clauses. For all of the areas where UNDP has programmes in the following figure, there are also other initiatives from other donors that have been incorporated into the fieldwork and analysis.



Afghanistan has a highly centralised system of government, with officials appointed at all levels by the President through the advice and support of IDLG. Presidential appointees lead all provincial, district, and municipal administrations. These are provincial governors, district governors, and mayors. The executive branch is also composed of ministries and independent agencies; Ministers and the boards of independent agencies are appointed by the President. Ministers are subject to confirmation by Parliament (the first oversight by elected bodies). Other high ranking ministerial staff are appointed by the President, including the top three grades of civil servants. Local provincial level directors of ministries are formally accountable and report to their ministries in Kabul, not to the provincial governor.

Other than the President (elected with a team of a First and Second Vice President), constitutionally-mandated elections are held for only two other state bodies: Parliament (composed of an Upper House and Lower House) and provincial councils. As noted in the outcome statement on oversight by elected bodies, oversight is expected to come from parliament at the national level and from provincial councils at the provincial level. Oversight of the executive branch is one of their major responsibilities at both levels respectively, with additional roles overseeing district level governance to some extent for provincial councils. Parliament and provincial councils do more than oversee, with law making functions of parliament at the national level and important consultative processes for provincial councils in provincial policy implementation. There are no elected bodies at the district level, although there are quasi-state bodies such as District Development Assemblies to support development planning and implementation that have been chosen through processes to represent the other representative local bodies at district and lower levels.

3.3. Evaluation Methodology

Evaluation of the outcomes for CPD Outcome 3 “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity” has:

- defined the outcome, based on the CPD and understanding of UNDP management and the context at the time;
- unpacked the logic behind the outcome and the causal chain expected to produce these changes;
- clarified variables in the logical model;
- identified how these variables can be measured;
- gathered data for their measurement;
- considered the drivers behind these changes, particularly of the role of UNDP projects in contributing to the outcome; and
- Placed these changes in the broader context of developments in Afghanistan.

Indicators and Baselines

Past and current indicators are a starting point for the outcome evaluation. The CPAP proposed that the achievement of this outcome would be measured through the following indicators:

- a) Number of clients satisfied with improved service delivery of public sector
Baseline: TBD
Target: TBD
- b) Public perception of government performance combating corruption
Baseline: 66% negative opinion (2008 survey)
Target: 56% (decrease by 10% from the baseline)
- c) Patterns of resource allocation and utilization by sectors addressing citizens' needs
Baseline: 2009 national budget allocation by sectors
Target: Increase in budget allocation (ratio) in social sectors
- d) Ministries engaged in implementation of ANDS have adequate capacities for analysis and development of policies to support programme and projects
Baseline: 2 policy unit currently in place and operational in the Ministry of Economy and the Ministry of Commerce and Industry
Target: At least 6 key ministries equipped to undertake policy analysis and development, and all such units operationally and programmatically linked to the Office of the President

The CPAP did not clarify the character of or measurement of these indicators, each of which has a number of nuances that would complicate their use. UNDP-Afghanistan recognized that these indicators were problematic. Thus in early 2013, indicators for this CPAP outcome were revised. The new indicators are:

- a) Level public satisfaction with education for children and availability of clean drinking water
Baseline: 2009: Satisfaction with education: 67% and Satisfaction with availability of clean drinking water: 63%
Target: 2013: Satisfaction with education: 80%; Satisfaction with availability of clean drinking water: 75%
- b) Percentage of citizens who see corruption as a major problem in various facets of life and at all levels of Government
Baseline: 2009: 76%
Target: 2013: 66%
- c) Percentage of state budget allocation for Education, Health and Social Protection
Baseline: 20.2%
Target: 25%

As suggested in the TOR for the CPD 3 evaluation, these indicators may not be the most appropriate ways of measuring the progress or the achievement of the outcome. The sources of these data, the way these data are aggregated, and data quality are not clear. The evaluation team has briefly examined and used these indicators based on UNDP-Afghanistan's 2012 results-oriented annual report (ROAR). The most recent ROAR indicated:

Satisfaction with education: 77%

Satisfaction with availability of clean drinking water: 76%

Percentage of citizens who see corruption as a major problem: 79%

Percentage of state budget allocation for Education, Health and Social Protection:
1392 (2013):19.8%

GIRoA results towards these performance indicators is mixed – approaching UNDP's 2013 target for education satisfaction; exceeding the 2013 target by one measure for the availability of clean drinking water by fall 2012; and worsening from the 2009 baseline for this measure of corruption and for the percentage of budget allocations for education, health, and social protection by 2012.

However these indicators do not appropriately measure UNDP contributions to the CPD Outcome 3. The UNDP projects under Outcome 3 do not work with the Ministry of Education, which provides the teachers and administration for public educational institutions (although NIBP does work with the Ministry of Higher Education that works with universities). Teachers are the majority of all civil servants in Afghanistan, but have been treated separately by GIRoA, UNDP, and other donors. Most school buildings across Afghanistan have been constructed in a decentralized way off-budget by a host of international military, non-governmental organization, and bilateral donor projects. The CPD Outcome 3 projects also have not worked in a systematic fashion on drinking water (although support to the Ministry of Public Works through NIBP and to municipalities through ASGP has targeted drinking water in some provinces and cities). As with schools above, many international military, non-governmental organization, bilateral donor, and other UNDP projects - such as the National Area-Based Development Programme (NABDP) and Afghanistan Peace and Reintegration Programme (APRP) - have supported potable water projects on- and off-budget through decentralized procurement of well-drilling and refurbishment. While support for a higher capacity-enabling environment, institutional and organizational capacity, and stronger individual capacities for civil servants may have the potential to reduce corruption (and perceptions of corruption which are what the indicator above measures), countering corruption has not been the explicit focus of most of the CPD Outcome 3 projects. Finally, capacity building efforts of the programs have focused on helping GIRoA institutions execute their mandates – not to instruct them that their goals should be to increase budget allocations for education, health, and social projection.

The evaluation thus considered other indicators that could plausibly better measure the outcome or progress toward the outcome. The team considered designing, measuring, and gathering data on more valid and reliable indicators that would also have baseline measurements or ones that can plausibly be reconstructed for 2010. This effort proved

impossible since there is neither an elegant way to design an indicator or set of indicators for “the state has improved ability to deliver services to foster human development” nor are there baseline data available from 2009 or 2010. Human development is measurable by the human development index (HDI). The HDI at national-level is available in the global Human Development Report. Measuring “improved state ability” remains challenging; and the linkage of “state improved ability to deliver services” to “foster human development” equally so. The CPD Outcome 3 focused on elements not captured directly in the HDI: voice, participation and the exercise of political agency. Thus instead the evaluation has used interviews in a sample of institutions to ask comparative questions about state capacity in these institutions in 2013 relative to 2010. The evaluation has examined perceived changes as noted by informants interviewed that had worked on these issues in 2009/2010 compared to the present.

Data collection methods

The CPD Outcome 3 evaluation team’s data collection methods included:

- Desk reviews of relevant documents
- Key informant interviews;
- Focus groups;
- Direct observations during field visits to selected sites (ministries/directorates, departments, and independent agencies); and
- Gathering and analysing previously collected aggregate and survey data.

Desk reviews of relevant documents: Desk review included materials such as the ANDS, NPPs, and other documents related to national development policies; the UNDAF, UNDP CPD and CPAP; UNDP and other multilateral and bilateral agency project documents, progress reports, and evaluations; grantee and contractor reports; and independent think tank, university, and non-government organisation (NGO) studies from Afghan and international sources. A complete list of sources used is included as an Annex.

Key informant interviews (KIIs): KIIs focused on selected Afghan government, UNDP, and other donor/implementer counterparts for government capacity building in executive and legislative institutions. Interviews focused on Kabul as the centre of the centralized system of governance, supplemented by fieldwork to selected provinces. KIIs focused on project engagements with key counterparts and their effects on these organisations’ capacity for service delivery or oversight. Semi-structured KII instruments and protocols were developed and used to ensure that KIIs are systematic and target outcomes.

Focus groups: The evaluation team organised focus groups led by the national consultant in Dari with selected civil servants from a sample of the key counterpart ministries, independent agencies, and departments of the main UNDP projects under CPD Outcome 3. Focus group discussions emphasized the types of project engagements/partnerships and their effects on individual, organisational, and the enabling environment for capacity development.

Direct observations: The team examined civil service working conditions and practices in a sample of Ministries/Independent Agencies in Kabul, as well as these conditions and practices in a sample of Provincial capitals selected for fieldwork. Direct observation also consider Provincial Council conditions and practices from the three provinces visited for fieldwork.

Aggregate and survey data: The evaluation team also gathered, assessed, and analysed existing survey research and other data on Afghanistan relevant to CPD outcomes. Reliable survey research has been conducted annually across Afghanistan for many years that has asked large samples of the population questions that have informed the team about attitudes, practices, and changes at the aggregate level and among key segments of the population, such as women. Data from the annual Survey of the Afghan People conducted by The Asia Foundation (TAF) has been examined, as well other information from other sources.⁵ The International Bank for Reconstruction and Development (World Bank) has produced several monographs on capacity development, including on Afghanistan. Most relevant is the 2013 Public Expenditure and Financial Accountability (PEFA) Report for Afghanistan, which has been compared to the earlier PEFA assessment from 2008.⁶

The team explicitly considered gender in data collection (as well as in interviews themselves). The number of women in elected bodies is encouraged by quotas for female Provincial Council Members and for Members of Parliament. The team has ensured that we discussed oversight with female and well as male members of these elected bodies, and considered support to them to carry out oversight. Women are underrepresented in the civil service and even more so in the management of executive branch agencies and ministries. We tried to select some women civil servants to discuss capacity building overall and the contributions of projects through additional outreach to some of our sample of Ministries and independent agencies selected for examination - but were not successful outside of discussions with gender units as the number of women civil servants in other department/directorates remains small. We were more successful in interviews with UNDP and project LoA staff, where substantial numbers of key informants were women.

⁵ The TAF survey conducted in July 2013, made available 5 December, made changes to some of the questions about perceptions of governance capacity and elected bodies that has made the 2013 survey information less useful for examining change over time than expected.

⁶ World Bank. May 2008. *Afghanistan: Public Financial Management Performance Assessment*. Washington: World Bank.

Evaluation principles

The evaluation has been carried out following principles of:

Independence and neutrality

The team does not have any financial or other ties to UNDP or its national and international development partners that could be construed as a conflict of interest. Team members have undertaken the review in a neutral and objective manner to avoid any perceptions of bias.

Transparency

The mission has been conducted in a transparent manner, identifying the goals of the review explicitly to UNDP and its partners.

Confidentiality

Interview and focus group participants that contribute to the findings, conclusions, and recommendations are not identified by name, position, or institution. Oral statements have not been attributed to specific individuals or organizations.

Evidence-based triangulation

The team has focused on ensuring that the findings, conclusions, and recommendations are supported by clear, factual evidence and has triangulated data and findings through different sources and different data collection methods.

Participation

The evaluation adopted a participatory approach, involving beneficiaries and stakeholders.

Protection

The study took care to not to put at risk any of individuals or organizations consulted and involved in the fieldwork. Security concerns were assessed in coordination with UNDSS and UNDP security.

Gender mainstreaming

The evaluation took into consideration the extent to which gender was included in programming and the challenges in doing so in the Afghan context.

Sampling

Since the UNDP interventions that contribute to this outcome cover the entire country, the evaluation team has developed a sampling methodology to ensure that the evaluation findings and judgments are based on a strong set of data that represents important constituencies across Afghanistan. Sampling has been used in the following ways:

- Selecting Afghan executive branch ministries and independent agencies;
- Selecting civil service focus group participants from these ministries and agencies;

Selecting key informants on elected Afghan bodies; and
Selecting provinces for fieldwork

Sampling logic has also guided interviews, focus groups, and direct observation at the provincial level and in the selection of departments of ministries/agencies. This sampling has been both systematic and opportunistic. The evaluation team has systematically conducted fieldwork in the following three provinces: Parwan, Bamyan, and Herat. The team opportunistically sample interviewed some municipal and district officials from these provinces as well, through meetings in a district and at the provincial centre. One of the main alternative explanations for Outcome 3 evaluation outcomes across Afghanistan is the level of insecurity and conflict. Examination of Outcome 3 in areas with less violence and insurgency is informative about alternatives, in areas with different economic and social patterns as well as different demographics. This logic guided our case selection. Bamyan has the least violence of Afghan provinces, although some districts face insecurity challenges that now limit access to the provincial government. Based on initial interviews with UNDP programme managers in Kabul, these provinces also vary in the amount of attention and assistance they have received from projects, with Parwan least and Herat and Bamyan more. Parwan also has not apparently been the focus of other targeted donor projects that may also have an influence on capacity built in the region; this targeting has in part been through UNDP projects, with earmarking from Italy (Herat) and Switzerland (Bamyan). The team has enlisted and appreciated NIBP and ASGP support for interview contacts and arranging the timing of interviews.

The team selected three Government of Afghanistan ministries or independent departments for additional interviews and focus groups based on initial discussions with UNDP about project activities and project documentation: the Ministry of Transportation and Civil Aviation (MoTCA), Ministry of Commerce and Industries (MoCI), and Ministry of Labour, Social Affairs, Martyrs, and the Disabled (MoLSAMD). These three have been particular partners for NIBP, including at the provincial level in Herat (and not in Bamyan and Parwan for comparison). The team has also conducted interviews with particular foci of projects such as the Ministry of Economy, in particular on donor coordination, and IARCSC for civil service capacity building, through NIBP.

The team also focused on the IDLG, IARCSC, MoF, and Offices in the OoP as the key counterparts of the four executive-branch focused projects under CPD Outcome 3. Sampling has been driven by initial understandings about the variation in project support to these agencies; many donors and large programs have supported the MoF and IARCSC. Few donors have addressed the three ministries discussed above. This has make it a little bit easier to examine contributions from UNDP projects to capacity development; and sampling on this independent variable has prevented biases that comes from sampling on perceptions of outcomes.

Risks and potential shortcomings

Insecurity and UNDP security regulations have not limited the fieldwork. However practical constraints and data limitations are potential shortcomings in the evaluation. The Evaluation Team has of course not able to cover the full diversity of Afghanistan in 20 days of fieldwork. The team has developed sampling and survey methods to help manage these difficulties.

Pre-electoral campaigning for the next provincial council and presidential elections in April 2014 does not appear to have made it more difficult to reach some provincial council members for interviews. Parliament has proven difficult to cover, as UNDP has had only small programmes there that have now closed. Preparations for the *Loya Jirga* scheduled by the President for November made it more challenging to attempt to meet Parliamentarians. The team discussed Parliamentary assistance with UNDP staff, including past SEAL II staff and those developing a potential new initiative, as well as with the management of other projects that have worked or work with Parliament. These projects were supported by USAID and implemented by the National Democratic Institute for International Affairs (NDI), Development Alternatives Incorporated (DAI), and State University of New York (SUNY) Center for International Development (CID).

The Evaluation Report outlines and explains findings; judgments made following the evaluation criteria and questions based on the analysis of qualitative and quantitative evidence. The report also provides lessons learned and makes forward-looking, realistic, and actionable recommendations. The report clearly indicates when sections and statements are descriptive, analytical, evaluative, summative, or makes a recommendation through the organisation of the report and in the language of the report's sections.

4. EVALUATION FINDINGS

Since CPD Outcome 3 is composed of two distinctive components, the findings and recommendations will examine the two parts of the outcome separately. The fieldwork and findings provide more focus on first component – “the state has improved ability to deliver services to foster human development” as the emphasis of greater GIRoA, UNDP, and other donor attention. By contrast, there has been little emphasis on elected bodies from the government, UNDP, or other donors and the evaluation correspondingly focused less on this area. In addition, within elected bodies, members and assistance providers have placed a relatively lower priority to oversight relative to other key functions, particularly representation at all levels and lawmaking (at the national parliament) or policy implementation (by provincial councils).

4.1. “The state has improved ability to deliver services to foster human development”

This part of the outcome describes state capacity. The United Nations Development Group (UNDG) defines capacity simply as: “the ability of individuals, institutions, and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner.” Capacity development (CD) is thus defined as the “process through which these abilities are obtained, strengthened, adapted, and maintained over time.” The outcome focuses on overall state capacity – the people and systems in the context of Afghanistan - and whether there is the potential to “deliver services to foster human development.” It is important to note explicitly that this formulation of the outcome does not clarify whether state capacity is actually used to deliver services, or what kinds of services are delivered to whom. These latter uses of capacity are critical to Afghanistan’s development and the welfare of Afghans. The focus of the outcome as defined in the CPD’s formulation is about the capabilities of the Afghan state to potentially use its institutions, policies, and people – particularly civil servants – to achieve the goals outlined in the Constitution and ANDS in a way that can be continued.

For this section of the outcome, the Evaluation report examines in turn the four categories from the TOR (Assessment of progress towards the outcome in Afghanistan; Assessment of factors affecting the outcome in Afghanistan; Assessment of key UNDP contributions to outcomes; and Assessment of UNDP partnership strategy), using the criteria of relevance, effectiveness, efficiency, and sustainability for all but the assessment of factors affecting the outcome. The following table summarizes the findings of the assessment for “The state has improved ability to deliver services to foster human development” part of the outcome, which will be examined in more detail in the following four sections of findings. The assessments are aggregate views across GIRoA institutions which does not allow for precise measurement. Yet broad categories of high, medium, and low – and levels in-between or areas that can be measured differently for different aspects, is hopefully helpful as a summary.

Summary Assessment Table for 4.1

	Relevance	Effectiveness	Efficiency	Sustainability
Assessment of progress towards the outcome in Afghanistan	High	Medium to low	Medium to low	Low
Assessment of factors affecting the outcome in Afghanistan	Not applicable (N/A)	N/A	N/A	N/A
Assessment of key UNDP contributions to outcomes	High	Medium to low	Medium to low	Low
Assessment of UNDP partnership strategy	High	Medium to low	Medium to low	Medium

4.1.1. Assessment of progress towards the outcome in Afghanistan

UNDP programming frameworks emphasize that outcomes are the responsibility of primary stakeholders and go beyond what UNDP projects (or indeed all international projects) can be expected to achieve. This aspect of the CPD Outcome 3 goal has this characteristic. Many factors have contributed to the notable progress in this important area since 2010. The progress is even more notable in the longer period since 2001.

Relevance

The focus of and progress toward Outcome 3 is highly relevant to Afghanistan. Relevance in terms of assessment of progress towards the outcome refers to how relevant the area (state capacity building) is for the country. A restored, capacitated state was seen as critical by the international community and Afghan participants in the 2001 Bonn Conference that followed the overthrow of the Taliban authorities. The Islamic Emirate of Afghanistan was at the nadir of state capacity in the country after almost continuous conflict since 1978. With the post-Taliban state inheriting institutions in ruins, the need for state building was widely recognized. Both the interim Afghan authorities and international community approached the need to develop state capacity as an urgent one. This led to a focus on quick impact fixes through injecting international expertise via consultants or donor managed programs. After a few years, dissatisfaction with these modalities started to grow. By 2010, years of experience with injecting international and national consultants into GIRoA institutions for key functions – or substitute for state capacity deficits through donor-managed projects - was widely seen to slow or even be detrimental to the development of the needed Afghan government capacity to manage the responsibilities of governance themselves. Stronger GIRoA capacity has become even

more important with government and donor aspirations and commitments to increase the role of the government and deliver more assistance through GIRoA processes at the Kabul and London conferences in 2010, which were reiterated at the Chicago, Tokyo, and Istanbul conferences in 2012.

The relevance of progress towards this outcome for Afghanistan is thus rated as high. A state with the capacity to manage governing the country is recognized as critical by Afghans and the international community alike.

Effectiveness

Adapting from the definition used in the *Outcome-Level Evaluation Companion Guide* for UNDP interventions, overall effectiveness considers how well the government of Afghanistan has developed in an issue area – in this case government capacity. Afghanistan's government has built substantial state capacity since any reference point. To evaluate progress under the CPD, the evaluation of Outcome 3 focuses on changes since the start of 2010 in capacity development. The CPD did not start with clear indicators for the outcome or explicit baseline measurements of capacity from 2009 or in January 2010 that could be compared to end 2013 metrics.

The Afghan state has clearly become more effective. All interviews conducted in the evaluation noted numerous ways that GIRoA capacity had expanded since 2010, before going on to note some of the many problems that still leave the government without adequate capacity to perform its mandates that will be discussed in the factors affecting the outcome section below. The lack of clear metrics make it difficult to precisely categorize the effectiveness of progress towards increased capacity within GIRoA structures.

One proxy metric for capacity is the size of the civil service. Substantial capacity has been built in civil service (CS), and capacity has increasingly been pushed out from the central government ministries in Kabul to the Provinces and Districts that are home to the overwhelming majority of Afghans. Using official statistics, and excluding the Ministry of Education since the huge number and growth in teachers distorts the general pattern, Table 1 demonstrates that the average rate of growth of the civil service in the 24 main ministries and independent directorates of Afghanistan was 16.1% from 2010 to 2012. The more relevant median rate of growth by ministry for the two year period was 8.1%; the effects of higher rates of growth of security staff (in the Ministry of the Interior in particular) are less distortionary on the median than the average.

This is relatively impressive growth, and staffing has filtered down to the regions. ASGP reports that the percentages of *Tashkeel* staff positions filled in the PGOs and DGOs rose to 81% and 72% of all positions respectively at the end of 2012. The share of female staff in the PGOs and DGOs remained small however, at 3% and 0% (ASGP Q1 2013 Report, 13). Staffing is particularly hard in districts where the security situation is dangerous where prospective officials appear reluctant to accept positions due to these hazards (DoD November 2010, 58). And in some respects the security impediments to GIRoA staff have worsened: "Government officials are increasingly targeted by the insurgency,

further hampering recruiting efforts” (April 2011, 73-74). There are numerous districts, including even districts in more secure Provinces like Bamyan, that have no government presence beyond teachers.

Cities have grown tremendously in Afghanistan. The Central Statistical Organisation (CSO) estimates that 24.2% of the population of the country were urban residents in 2013; the rate of growth of urban areas averaged 5.4% annually over 2005-2010. Municipal governance has thus grown in importance in Afghanistan. Municipal governance is hampered by operating under an outdated law from the Taliban period. On the other hand, this law does provide for municipalities to raise and use own-source revenues – the only level other than the central government with this authority. Appointed mayors and municipal staffs have also been strengthened over this period and grown in number of staff.⁷ Evaluating on a comparative perspective, for the Eastern region where DAI made comparative RAMP-UP collected data available to the team, the ratio of staff to population rose only slightly from 2010 to 2011 – from 1.1 to 1.2 per 1000 inhabitants in the 13 provincial capitals of these provinces (NRC 2013a, 6).

⁷ For example, in Charikar (Parwan), municipal and ASGP LoA staff noted that staff numbers had grown; RAMP-UP reported that “staff levels increased from 68 in 2010 to 109 in 2012. Most of these were contract positions (74%) and most employees were in the Public Works Office (NRC 2012, 2).

Table 1: Growth in the Civil Service, 2010-2012

				1390	1389	1388		
				2011-12	2010-11	2009-10		
<i>Total</i>				362726	333260	328977	33749	10.3%
<i>M.of</i>	Education		231525	204100	204209	27316	13.4%	
Rev total				131201	129160	124768	6433	5.2%
Office	of	Administrative	Affairs	1244	1267	1151	93	8.1%
M.of	Economy			793	788	740	53	7.2%
M.of	Foreign	Affairs		880	1059	706	174	24.6%
M.of	Justice			2526	2525	2181	345	15.8%
M.of	Finance			6499	6072	5380	1119	20.8%
M.of	Frontiers,Ethnics	Tribes	Affairs	1157	1157	1072	85	7.9%
M.of	Transport	Civil	Aviation	3577	3780	2094	1483	70.8%
M.of	Water	&	Power	2041	5571	9127	-7086	-77.6%
M.of	Mines			5529	6153	7205	-1676	-23.3%
M.of	Agriculture,	Irrigation	Livestock	8644	8566	8874	-230	-2.6%
M.of	Higher	Education	8274	6519	5589	2685	48.0%	
M.of	Public	Works		2979	2411	2544	435	17.1%
M.of	Commerce	and	Industries	5359	5388	5444	-85	-1.6%
M.of	Public	Health		14331	14433	11575	2756	23.8%
M.of	Communication	Information	Technology	2436	2446	2545	-109	-4.3%
M.of	Religious	Affairs	Haj	6837	6816	6806	31	0.5%
M.of	Labour	Social	Disabled	7210	7058	7347	-137	-1.9%
M.of	Information	and	Culture	4204	4211	3364	840	25.0%
M.of	Repatriation	Refugees	Affairs	1029	1010	1000	29	2.9%

M.of	Urban	Development	Affairs	2133	1330	2342	-209	-8.9%
M.of	Women	Affairs		888	874	794	94	11.8%
M.of	Rural	Rehabilitation	Development	1884	1849	1913	-29	-1.5%
M.of	National	Defence		3226	3338	3238	-12	-0.4%
M.of	Interior			5438	3163	1974	3464	175.5%
M.of	Counter	Narcotics		487	395	339	148	43.7%
IDLG				5138	4602	4426	712	16.1%
IARCSC				609	436	448	161	35.9%
av rate of change							16.1%	
median					8.1%			

Source: CSO 2013.

The qualifications of civil servants have also been seen as improved. Numerous interviews with GIRoA managers, project management and staff, and LoA staff provided anecdotal evidence to support this development. Interviewees noted when asked about how civil service capacity has improved that the number and percentage of grade 12 and university graduates in the civil service had grown in their units. This progress was cited by Directorates of the IARCSC and IDLG, within the various directorates of ministries in Kabul, and by Department heads of line ministries in provincial interviews in Parwan, Bamyan, and Herat. Management, civil servants, and project-supported LoA staff also noted numerous ways that training and assistance had provided support to improve ministerial/agency practices and staff capacity, as well as provided equipment and information technology (IT) support to improve government operations.

Another metric for capacity is the development and implementation of frameworks and policies to support a strong civil service. General frameworks and policies have been developed. These frameworks have increasingly been developed by GIRoA rather than solely by donors through assistance projects. And many measures have been implemented. These measures in the civil service have included Priority Reform and Restructuring (PRR), pay and grade reform, new HR policies, and project-based budgeting (which should be completed in the last GIRoA ministries by end 2013). Frameworks have changed for further development at the center (through NPPs) and in sub-national governance (through implementation of the SNG policy, Provincial Plans, and prospects for rationalization of district-level representative bodies.⁸)

Focused attention on budget management and execution, increasing revenues, and assistance management can also be examined as central to improved state performance and the work of the international community, particularly UNDP. Increased revenue collection – at the national and municipal levels – better budget execution, and stronger aid management are apparent. The PEFA report, which examines the ways the GIRoA systems operate for budgeting, notes the many ways MoF and GIRoA budget performance has improved, concluding “financial resources are, by and large, being used for their intended purposes as authorized by a budget which is processed with transparency and has contributed to aggregate fiscal discipline” (World Bank November 2013, 4). Improved aid management is particularly difficult to support empirically with detailed evidence, but was noted in the team’s interviews with Ministries in Kabul, in the MoF, and at the provincial level. However, the highly centralized system that operates relatively effectively is itself problematic, and the high levels of spending, low levels of revenue raised through the government, and extremely high levels of aid dependency are not satisfactory or sustainable.

⁸ Afghanistan has not established elected state bodies at the district level. There are several different sets of representative bodies that have been selected through community meetings organized by different ministries and donors - including District Development Assemblies (DDAs) established by the Ministry of Rural Rehabilitation and Development in almost all districts, District Development Councils formed by the IDLG in many districts, and Afghanistan Social Outreach Programme (ASOP) councils established for USAID in districts that were priorities for U.S. units with ISAF. The MRRD and IDLG have agreed on a policy to unify structures and use DDAs as the basis for District Councils in the absence of elections. This policy awaits approval by the Cabinet.

To summarize, the Afghan state is clearly more capable and effective at the end of 2013 relative to the start of 2010. Substantial progress has been made since 2002 – and since 2010 – in improving the ability of the state to deliver services. But neither GIRoA leaders, the international community in Afghanistan, or the public are satisfied with the progress to date. Increased GIRoA capacity was noted several ways in reports and was emphasized by interviewees: in the number of civil servants, the quality of civil servants, the distribution of civil servants, the ability to execute development budgets, the amount of information available about budgetary processes, and in perceptions of the growth of government capacity that are widely held in the international community and by the population. However, this capacity is seen to not be adequate to execute GIRoA's mandates in the challenging conditions of Afghanistan. Within this progress, for each different aspect discussed above, substantial problems remain which will be discussed in the section on factors contributing to the outcome below. Thus the effectiveness of this progress is rated medium to low.

Efficiency

Again adapting from the *Outcome-Level Evaluation Companion Guide*, efficiency is a measure of how well the government organized itself to build its capacity. Efficiency was not a criteria of focus of the initial emergency basis for reconstituting Afghan state institutions. However, dissatisfaction has grown since that time with the main methodologies used by the international community and GIRoA institutions – in part due to concerns about efficiency. Objections about salary top-ups and the use of international and national LoA staff note issues with sustainability – but also with the effects of providing additional assistance to some team members while leaving others unsupported. This has been criticized as demotivating to the civil service, and noted as such in our civil servant focus groups. There has also been limited coordination of TA - within GIRoA, between donors, and between assistance providers and the government. Weak coordination has led to too many advisors in some ministries while needed support is not provided in other ministries and agencies. Increased efforts by GIRoA and donors have improved coordination. Both the MoF and Ministry of Economy, in part thorough the Inter-Ministerial Commission on Capacity Development (ICCD), have been able to improve the information available about GIRoA needs and donor capacity and to coordinate the provision of assistance. UNDP's projects under this outcome have contributed to more efficient coordination.

To conclude, while the growth of the Afghan state capacity has not been particularly efficient, dissatisfaction with inefficiencies in the growth of civil service capacity has led to better methods and more coordination in ways that have the potential to increase the efficiency of GIRoA operations in the future. The efficiency rating is thus medium to low.

Sustainability

Sustainability within this category refers to the ability of the government to sustain these capacity increases in the future without this level of international support. To date, the low sustainability of capacity building efforts in the executive branch is notable – and has been often criticized (e.g. European Union Institute for Security Studies 2011, Senate

Foreign Relations Committee Majority Staff 2011). A great deal of the growth in GIRoA capacity is not sustainable. Sustainability problems have several aspects. First, the injection of international or national expertise into government ministries/agencies through special hiring procedures and additional compensation only provides benefits to the government while programmatic support lasts. Second, civil servants that have been trained and developed experience in new government processes and procedures often leave the civil service. The lack of promotion potential in the CS and higher pay and better prospects for work with donors and the international community leads to high rates of CS staff turnover. PRR and P&G reforms, as well as the frequent use of additional top-up mechanisms, have created a costly and large civil service, beyond what Afghanistan can sustain with its own resources. This is the case even without taking into account the security sector, where the Afghan National Army and Afghan National Police are the largest and most costly aspects of the government. The high costs of the civil service are only manageable through donor support. The planned change of the system to a cadre-based civil service is planned to provide incentives for civil servants to stay in service by improving their promotion prospects. GIRoA also introduced the National Technical Assistance (NTA) Guidelines in April 2013 to harmonize pay and grading scales and encourage the development of a sustainable, merit-based pay framework as part of the broader Public Administration Reform effort.⁹

Budget execution, while improving from 2010 to 2011, 2011 to 2012, and this year has still struggled to meet donor and Afghan expectations. The Afghan government executed 94 percent of its operating budget in 2012, while the execution rate for the development budget rose from 39 percent in 2010 to 52 percent in 2012 (DoD July 2013, 134). There is still substantial need for improvement. The agreed TMAF targets a budget execution rate of 75 percent by 2017.

Municipalities, the only other unit with the authority to raise and use revenues besides the national government, have improved both sides of the ledger in many cities, with own revenues rising and expenditures increasing. Increased revenues and spending was noted in interviews with municipal officials and ASGP LoA staff in municipalities as well as by the management of the RAMP-UP East project of USAID.¹⁰ However most revenues still come from the central level.

The sustainability of this progress towards the outcome is thus ranked low. The progress, and the ability to maintain this level of GIRoA capacity, depends on international financing and international assistance programs. The ability to maintain this level of

⁹ UNDP management and staff interviewed noted that they are committed to supporting GIRoA NTA guidelines and are transitioning existing LoA staff to the NTA scale.

¹⁰ With USAID support, RAMP-UP East shared the detailed information on revenues and expenditures from twelve of the thirteen provincial cities in its area of operations with the team. There was a high variance in the change in revenues raised by these cities, with cities that focused on this area able to increase own-source revenues and spending while other cities that did not make this effort sometimes demonstrated a sharp decline in revenues raised. No comprehensive data was found by the team in this area across all Afghan cities (DAI October 2013).

human capital in GIRA is also problematic, as state systems do not provide sufficient incentives compared to other alternatives for many civil servants.

4.1.2. Assessment of factors affecting the outcome in Afghanistan

Multiple factors explain the capacity challenges faced by the Afghan state and developments in state capacity building over the CPD time frame (from 2010 to the present). Years of civil war; the dominant roles of patronage and corruption in politics in the centralized Afghan system; traditional attitudes towards women in Afghanistan; competition for skilled staff from international community and businesses; and donor programs (including past and current UNDP programming) have shaped the outcomes described above.

Legacy of conflict

Afghanistan has systematic problems in developing the capacity of state institutions, organisations, and individuals –with exceptions- from the ways that years of civil war and violence has degraded human capital in the country. With conflict, young people were not able to get as much, or as quality, schooling. State institutions themselves and their staff were all but destroyed by years of war. The entire fabric of society was damaged by high levels of uncertainty and the short-term focus on survival brought about by the conflict. Afghans traditionally have depended on networks of family, friend, tribe, and connections; the uncertainties of years of civil war have reinforced the importance of these coping mechanisms. Incentives to use these mechanisms are strong, as are disincentives to trying to avoid them. Using “*qaum*” networks in hiring and promotion promises to benefit users by strengthening webs of reciprocal obligations, while rejecting these practices degrades connections and cuts decision makers out of the networks used by many across the country.¹¹ The importance of family, value of networks, and the particular connections many Afghans have with particular districts and cities also reduces the willingness of professionals to move to occupy positions in other provinces.

Patronage and corruption in the centralized system

Patronage rather than professionalism is widely perceived to be the main system for how to get positions and be promoted in Afghan government structures. Patronage is also how many people expect to be replaced after a relatively short time in office. While there is potentially room for professional staff under patronage-based leaders, incentives to work effectively are degraded by patronage-based promotions. Corruption also reduces professionalism by weakening incentives for good performance and increasing the

¹¹ *Qaum* in Afghanistan is used in a variety of ways “to explain a complexity of affiliations, a network, of families or occupations. Each has a rich density of meanings. Every individual belongs to a *qaum* which provides protection from outside encroachments, cooperation, support, security, and assistance, either social, political or economic. Frequently a village corresponds to a *qaum*, but it does not necessarily exist in a precise geographic setting. In a more restricted sense *qaum* refers to descent groups, from family kin to ethnic group. In tribal areas *qaum* refers to a common genealogy from extended family, or clan, to tribe to tribal confederation.” See Blood 2001, <http://countrystudies.us/afghanistan/37.htm>, accessed 11 November 2013.

payoffs for malfeasance. When positions are bought and sold at high prices, new office-holders then need to raise money rapidly as they have often had to borrow to afford the position. They thus need to repay family, friends, and networks that have lent the money to buy positions. And they need to raise these revenues quickly in a context where officials are frequently changed.

Afghan governance is also extremely centralized. Despite the varied terrain in the diverse country, all main decisions are made in the central government. This is particularly true for appointments; while the top ranks of civil servants need to pass formal exams and competitive panels, after this stage, the top three grades then need an appointment by the Presidency. Political appointees lead the main institutions of the government, and have frequently been replaced. In general, the center has weak mechanisms for government monitoring and evaluation which do little to provide transparency, encourage responsibility, and force accountability. There is also little appetite evident within GIRoA structures to try to address the structural issues that impede stronger, more accountable governance. This hesitancy about change is evident in the discussions and slow pace of development in many laws and regulations. For example, issues with the Municipal and PC laws have been under discussion since the creation of the IDLG but revised legislation remain unfinished and has not been adopted despite the long-time period.

Experience in capacity building around the world suggests that effective assistance needs to be demand driven. Under these conditions in Afghanistan, some civil servants have not demonstrated a strong interest in professional development and training. Even with PAR and P&G reforms, some civil servants in focus groups asserted (and other studies/donor program experience suggest) that increasing their skills would provide few benefits for them (DAI October 2011, 26).

International competition

Opportunities for well-qualified Afghans for higher paying positions outside of the civil service lead strong civil servants to leave state service. Many of the most promising positions in Afghanistan are with foreign governments, donors, and their contractors and grantees. The existence of a competitive market for well trained staff through the job market leads some civil servants, in the wake of building their own capacity through donor assistance, to resign from the civil service in favor of more lucrative employment with donors and their partners. GIRoA and its international partners, including UNDP, have moved to address issues of staff retention through agreement to move to the NTA pay scale.

Rising insecurity and the transition

Civil service staffing has been particularly difficult in insecure provinces and districts. Insecurity makes these areas difficult to staff. Evidence that anti-government elements in particular target government officials reduces the incentives for well-qualified candidates to take up positions in these provinces and districts. The draw-down of international military forces in the security transition has raised risks in some provinces and districts, and has made staffing harder. Some interviewees suggested that the quality of civil servants was lower in less secure provinces as well.

Gender

The potential for people in Afghanistan to have the solid qualifications and professional experience to make excellent civil service personnel is not only limited by the ways conflict has impeded education, training, and professional development. Traditional attitudes towards women that are pervasive across Afghan cultures have also severely limited the pool of well qualified women applicants for civil service positions. Views that limit the education of girls have carried over to restrict the employment of women in the past and at present; both limit the potential for women to gain the education, skills, and experience needed to serve the state. In general, this has drastically reduced the number of women applications – plus disadvantages women candidates in the competition for positions and has reduced the quality of half of the potential applicant pool. Current IARCSC regulations that provide for an extra half-point benefit to women candidates for positions, and determine that any ties go to female applicants, provide only a modest boost within social practices that still often discourage women from working outside of the home. Family obligations also grow with raising children, and traditional attitudes lead many women civil servants to quit once parents.

Other donor programs

In addition to the current CPD programmes examined below, prior UNDP and other donor projects have also worked on these objectives with these partners. Previous UNDP programmes in this area include the Capacity for Afghan Public Service (CAP) Project, Civil Service Leadership Development (CSLD) Project, other phases of MBAW, and the first phase of ASGP.

The broad goal of supporting the development of a capable Afghan government is widely supported by the international community. Other bilateral and multilateral donors have had independent projects that have supported the same goals, targeted the same objectives, and worked with the same partners and beneficiaries as the main UNDP initiatives examined under CPD Outcome 3. A host of independent programs have created coordination challenges and sometimes led to duplication of efforts within particular GIRoA institutions. One example of duplication is repeated capacity assessments that have been conducted by different donors in some GIRoA ministries. The existence of parallel programs has also been challenging for GIRoA partners to manage and reduced donors' potential leverage to push for greater accountability with their partners. As has been noted in evaluations of some UNDP projects, "bigger players" have greater influence than smaller projects (van Asseldonk 2012, 81). The largest donor has been the United States, with nearly \$24.7 billion provided to support governance and economic development from 2001 to mid-2013 (SIGAR 2013, 119). This amount of resources far exceeds that mobilized by other donors. While some of these resources were allocated to support UNDP programming, and some have been channeled directly through GIRoA budgets, most funds have gone off budget to programming implemented by international, U.S., and Afghan contracting companies.

USG programs in national civil service/government capacity building and with provinces, districts, and municipalities over the CPD period have been mainly managed by USAID.

In addition to the nationwide programs briefly noted below, other initiatives target particular Ministries (such as the Ministry of Agriculture, Irrigation, and Livestock as well as selected provinces and districts). Nationwide programs include:

Afghanistan Afghan Civil Service Support (ACSS) project, implemented by Deloitte Consulting Limited Liability Partnership (LLP), is a \$21.5 million program that works with the IARCSC to train civil servants in Kabul and the provinces in five core public administration functions: human resource management, financial management, project management, strategic planning, and procurement. The program uses trainers in the Civil Service Institute in Kabul and regional training centers to build the capacity of government employees.

Cash Transfer Program Assistance for Civil Service Reform (CTPA- CSC), an on-budget initiative, provides \$15 million in funding to support reform and salaries under pay and grade reform through the IARCSC, contingent on IARCSC reforms and policy measures.

Performance Based Governors' Fund (PBGF) Project, implemented by the Asia Foundation, provided until recently direct budget support through an incentive-based competition to PGOs to enhance their relationships with citizens and improve their budget management. PBGF provided operational resources to reward provinces that demonstrated improve planning, budgeting and auditing capacity across Afghanistan.

Regional Afghan Municipalities Program for Urban Populations (RAMP-UP), which has provided staff and implementer-managed projects for provincial cities and other municipalities across the country through four large contracts: three to DAI and one to Chemonics. The projects, which began in June 2010 and are currently expected to end in March 2014, have provided seven LoA staff to provincial capitals and smaller numbers of LoA staff support to other cities in all provinces across the country. The large size and comprehensive scope of these projects has made their impact on cities notable; in addition to their work in other areas, RAMP-UP has focused on the same areas as ASGP and collaborated with ASGP to support: revenue enhancement, municipal budgeting, and community involvement (including a focus on women).

Economic Growth and Governance Initiative (EGGI), implemented by Deloitte until June 2013, provided support to the MoF to enhance public financial management and provincial budgeting processes. The project, which began in 2009, also worked with other GIRoA institutions, including on budget execution.

Other donors with notable nationwide or focused programs in the same areas as CPD Outcome 3 initiatives include: UN Habitat, which has also provided substantial assistance to some municipalities for the construction of public infrastructure and equipment for solid waste management; the United Kingdom's Department for International Development (DFID), which has supported the Adam Smith Foundation's work with the MoF as well as targeted support for provincial capacity development, particularly in Helmand Province; and other European bilateral agencies that tend to support projects in Provinces where they have deployed troops through ISAF. The International Bank for

Reconstruction and Development (World Bank) has also had several sequential large capacity building projects to support civil service reform. The current Capacity Building for Results Program (CBRP) has tried to shift to a competitive system of incrementally working with better prepared ministries on staff capacity building and reform, including shifting the basic orientation of the system from a position-based orientation to the planned “cadre-based” civil service system. Implementation has been slow to develop in 2013; MAIL is the first ministry for implementing the full CBRP project.

Overall, to sum up, GIRoA institutions still have weak capacity, which varies but is in general weaker at the provincial and district levels than at the center. Corruption and nepotism are widely seen as central to the operations of the government and civil service in the highly-centralized system. Conflict and insecurity continue to have detrimental effects on capacity development, as does donor and international competition for staff. GIRoA still does not deliver that much in terms of actual service delivery across Afghanistan. And the country is extremely aid dependent, facing challenges of off-budget donor activities, low and problematic budget execution within GIRoA systems, and low levels of own-source revenues.

4.1.3. Assessment of key UNDP contributions to outcomes

Unlike outcomes, outputs of programmes are UNDP’s managerial responsibility. This section examines the contributions of UNDP programmes to the outcome, through a brief description of key outputs of projects and then the four key evaluation principles of relevance, effectiveness, efficiency, and sustainability.

The contributions of UNDP outputs from programmes under CPD Outcome 3 are difficult to measure without clearly specified connections between output levels and the outcome. The outputs also need to have valid indicators (ones that accurately measure the underlying concepts), indicators that are measurable, and ones that are actually measured. With these three conditions generally not met, for reasons that are not clear, the assessment of UNDP contributions instead has focused on interview findings from UNDP staff, partners, and stakeholders and evidence gathered from government, project, donor, and other documents.¹² The statements in the CPD could have been formulated and taken several steps further to meet strong standards of measurability, relevance, and been used for management. Absent these steps in the development of the CPD, this assessment of UNDP contributions can also only be summarized in rather general terms such as high, medium, and low, as well as between these parameters. As a CPD Outcome evaluation, while the assessment discusses some of the outputs and contributions of the main projects under the outcome, the focus is on the aggregate outcome level rather than the discrete projects. This again makes it a rather general rating to assess UNDP contributions, through categories such as high, medium, and low.

¹² Documents from the period when the CPD was generated were generally not available, and the staff from that period had largely turned over. Thus the evaluation team was not able to gain much information about Country Office planning and the development of the CPD *circa* 2009.

As noted above, other donor programmes also support the improved ability of the Afghan state. UNDP however as a multi-lateral partner of the GIRoA has particular strengths as a provider; the official nature of the partnership between UNDP and GIRoA institutions help UNDP work directly with the government rather than operate in parallel or without the government as is the practice of many bilateral development agencies. UNDP projects support their specific outputs, which in turn contribute to the progress made towards Outcome 3. The four main UNDP projects under Outcome 3 support the central government institutions of Afghanistan in direct ways – providing staff to assist in capacity development and also direct operations in the MoF, IARCSC, IDLG, and OoP.

MBAW

For MBAW, interviews, project reports, and independent evaluations of the project note substantial progress in project components towards MBAW outputs. Budget planning and management continues to incrementally improve annually with the support of MBAW. Gains have extended beyond MoF through Public Financial Management (PFM) advisors to the main line ministries, as measured by spending, through MBAW. MBAW advisors in the Policy Department and M&E unit have also been critical to the development, approval, and monitoring of NPPs. While there is less evidence for building substantial institutional capacity, project-supported staff have helped develop policies and institutionalize the use of new practices in the Budget Department, Fiscal Policy Unit, and in aid coordination. Budget Department management interviewed noted that there had been a systematic increase in the role of civil servants in the department after 2011. However, MBAW remains central to MoF operations; this indicates problems in the development of sustainable institutional capacity for budget execution and aid management.

NIBP

NIBP outputs contribute to Outcome 3 through: support via CDAs in targeted ministries (16 ministries as of the last quarterly report) and assistance, primarily through CDAs, to the IARCSC. NIBP support contributed to the development of the proposed Civil Servants Law, now with the Ministry of Justice for concurrence, and Civil Servants Regulations. Key IARCSC stakeholders concurred with project management and shared the desire to focus more on institutional rather than individual capacity development – to shape the enabling environment to practice the individual and organizational learning through the NIBP project (and other assistance).

ASGP

ASGP support has been central to the work and progress of the IDLG. LoA staff are critical to the work of key operational directorates, as noted by their management. And ASGP has the reach to provide LoA staff through the IDLG to governors' offices in all 34 provinces as well as to 19 municipalities across Afghanistan. LoA staff are placed to help GIRoA staff develop their capacity and perform their mandates. The project has also supported the development of national frameworks and revised laws, including the proposed new Municipalities and Provincial Councils Laws that address some of the problems of the current legislation for both. If passed, these legal frameworks have the potential to contribute to more sustainable change. ASGP has also supported provincial

strategic planning in the 34 provinces through LoA staff support in the IDLG, in PGOs, and in municipalities.

NSGP

NSGP has had to ramp down expectations based on smaller funding support than anticipated, challenges staffing the project, and difficulties providing staff and technological support to different Offices within OoP. The four main partners of the project within OoP largely operate independently (Office of the Chief of Staff, Office of Administrative Affairs, First Vice President's Office, and Second Vice President's Office), and each sought more than the project was able to deliver. NSGP has helped create, staff, train, and provide technology and office equipment for several new components for these offices; this support has taken substantial time to create operational components in OoP: at the time of the Outcome 3 evaluation, the call center was about to become operational, economic advisory board had a few months of operation, IT support either recently or about to be delivered, and monitoring and evaluation staff support in place for a relatively short time.

Relevance

UNDP programming has targeted important national priorities under CPD Outcome 3 through areas that are UNDP strengths. These programmes have been priorities for UNDP-Afghanistan. These priorities are within well-established frameworks of the ANDS and the more operational NPPs, particularly the NPPs for "Efficient and Effective Governance," "Sub-National Governance," and "Financial and Economic Reforms." Capacity building support has been recognized as important for all sectors and UNDP has contributed substantially, along with other donors and programs, to development of GIRoA capacity over the four-year period of the CPD examined here.

However, the team was not able to assess how the Outcome was developed or the processes of decision making that led to these four programmes being identified as contributors to this outcome. With substantial staff and management turnover at UNDP-Afghanistan and challenges in information management, little information was available to the team on the design, logic, and assumptions behind the outcome as conceptualized in 2009 beyond what was written in the CPD itself and in ProDocs. Personnel change since 2009 and the limited institutional memory of UNDP-Afghanistan did not make it clear why UNDP chose these implementing modalities for these four CPD Outcome 3 projects or why some ministries/agencies were priorities for capacity development (beyond the primary partners IARCSC, IDLG, OoP, and MoF). However, UNDP-Afghanistan's choices aligned well with both national priorities and UNDP's mandate.

While the four executive-branch capacity development projects clearly contributed towards progress in Outcome 3, the results frameworks used by the projects and UNDP do not lead in a comprehensive way from outputs of these projects, which are a focus of management, to the outcome. Instead, the outcome and outcome indicators appear to have largely stood on their own, measured annually via ROAR reporting. Projects have focused on their own processes and outputs. The lack of connections between the Outcome and project outputs appears to have largely left the outcome ignored and not a

focus for Country Office or project management since its development in 2009. The lack of attention to the outcome has left the indicators weak, even when revised, and not well measured. Not clearly documenting the intervention logic, modalities and risks seen in 2009 at the inception of the CPD also makes it challenging to analyze effectiveness.

The relevance of UNDP Outcome 3 projects to the outcome is ranked high. The projects focus on capacity weaknesses of GIRoA and often provide vital assistance for key processes.

Effectiveness

In the *Outcome-Level Evaluation Companion Guide*, “Effectiveness is a measure of how well UNDP contributed to developmental changes initiated and achieved by the government or other UNDP counterparts (2011, 16). UNDP-Afghanistan’s effectiveness is thus how the four CPD Outcome 3 programmes and policy work has contributing to “the state’s ability to deliver services to support human development.” The evaluation suggests that effectiveness has varied: across projects, ministries/agencies, and by province. The effectiveness of the main methodologies used by UNDP also varies. Project management and staff, government partners, and donors had diverse views about project effectiveness for the four main projects under Outcome 3.

MBAW

Management, staff, and partners of MBAW interviewed asserted that the program was highly effective and essential to MoF operations – the “blood and soul of Ministry operations.” Through MoF control over the budget, Ministry operations are critical to budgeting and budget execution of all other GIRoA ministries and agencies. MBAW support was attributed to be the main reason that the MoF was better able to manage budget and aid processes, and had been able to develop more sophisticated, longer-term frameworks with more back and forth with other ministries/independent agencies. These better processes and longer-time frames were institutionalized to push and encourage better budget planning and executing by line ministries that would allow them to provide better services to the Afghan people. With reliance on the MBAW project for essential operations, MoF managers were concerned about how they would function after the conclusion of the MBAW program.

NIBP

Interview findings on NIBP effectiveness varied. At the central level, some partners found LoA staff to be highly effective in supporting key activities and development in their ministries. LoA staff, both national and international, were able to illustrate important ways that their work contributed to ministry priorities such as the ICCD at the Ministry of the Economy. Other partners were not as satisfied with the staff provided by UNDP, either due to the frequency of staff turnover, the limited provision of staff, or the balance of staff knowledge, experience, and background.

ASGP

Perceptions of ASGP effectiveness had a high degree of variance. At the IDLG, the main directorates that partnered with the program found ASGP support to be instrumental to their operations – but then noted numerous ways that their directorates were not satisfied with ASGP. IDLG managers were critical of the pace of ASGP delivery, particularly UNDP’s procurement processes and the slow delivery of some expected activities (such as study tours). At the provincial level, ASGP operations were varied; management by international staff from regional was seen as effective in its operations by UNDP, while the lack of on-site management in Parwan was perceived to contribute to inefficiencies by local authorities. One of the main objections from IDLG management about ASGP was the continued operations of international UNDP staff in the regions. Their objections appeared to center on the relatively high cost of the few international staff compared to the procurement of national LoA staff. However, the internationals appear to have contributed substantially to efficient management in important ways. National LoA staff efficiencies were notable at the municipal level, where Parwan and Herat staff were able to demonstrate the ways that ASGP functioned closely with municipal staff.

NSGP

NSGP had a difficult relationship with its stakeholders and partners at the center of Afghan governance in the Office of the Presidency. Interviewees focused more on what the project had not been able to do to support the plans of the main offices of OoP and the mismatch between promises, expectations, and delivery through NSGP than what NSGP had managed to deliver. Instead of the large-scale technological and institutional development programme that OoP had expected, NSGP as implemented had a fraction of the budget, delivered less, and more slowly than anticipated. Poor communications between the project and key partners was criticized by project partners for not explaining these changes. Managers in OoP serve the most demanding clients in Afghan politics: the President and two Vice Presidents. Accustomed to quickly responding to changing political demands, OoP managers pointed to inefficiencies in delivery that contributed to NSGP not being able to meet their needs, particularly Direct Implementation Modalities for procurement. Some aspects of the program were more valued by particular partners, such as the work of the economic advisor by the Second Vice President’s Office.

The effectiveness of UNDP interventions towards Outcome 3 results is thus rated medium to low, based on the diverse experiences and results of the four programmes examined above.

Efficiency

Efficiency focuses on “how well UNDP organized itself in delivering quality outputs (with a view to contributing to the capacity of government or other UNDP counterparts’ capacity to achieve outcomes” (UNDP 2011, 16). While there was abundant evidence for Outcome 3 programme effectiveness, UNDP management and staff and key GIRoA partners were more critical of how UNDP support had contributed to the outcome and to programme outputs under CPD Outcome 3. The main methodologies used – and how UNDP-Afghanistan had implemented them – were much critiqued.

For all four projects, the main methodology used to support capacity has been providing additional, skilled staff to support their execution of the mandates of ministries and agencies. The effectiveness of these contributions has depended on the receptivity of partners to the project-provided international and national LoA/CDA staff, the quality of these staff, and their management by UNDP and the ministries. MBAW partners praised the quality of staff and management; NSGP on the whole had difficulties providing and sustaining staff and came in for criticism instead. ASGP had the largest numbers of staff and most variation, nationally and in the provinces.

In addition to the LoA/CDA modality, these projects contribute to strengthening of institutional framework and policies for ministries and directorates. Projects have provided support to organizations, processes, structures, management, information technology, and communication – including between organizations and from central government institutions to their departments in the provinces (and organisations to coordinate at the national and provincial levels). These contributions include as illustrative examples: the development and staffing of the call center for the First Vice President’s Office through NSGP, the development of Provincial Development Plans and Provincial Strategic Plans through ASGP, the development of an all-GIRoA report on capacity development and international assistance through NIBP support to the Ministry of Economy, and support to annual and other budget circulars put out by MoF via MBAW.

Capacity building through these projects has also focused on increasing level of competences of management and civil service staff in ministries and agencies through training, exposure visits, and mentoring. As with the government a whole, capacity building projects have had a harder time in outreach to provinces and had limited reach to districts. At the municipal level, ASGP was able to have a stronger influence through LoA staff at provincial municipalities.¹³

Each project had challenges with addressing women efficiently; this is not surprising in the context of Afghanistan. With pressure to deliver more in terms of government capacity, the context for programming made for a difficult environment for the CPD Outcome 3 projects to focus on gender through mainstreaming. This has been the case in staffing and in policy development. The challenges of recruiting, training, and developing well-qualified civil servants has been daunting, particularly in less secure provinces. MBAW has worked with the MoF to develop the practice of gender-sensitive budgeting in Afghanistan; this foundation has the potential to enable gender-responsive budgeting across ministries. Some management in the primary GIRoA partners of UNDP Outcome 3 projects considered gender mainstreaming as a UNDP and donor priority – not their own. No evidence for project work on marginalized populations emerged during the fieldwork for these four projects.

¹³ Provincial Municipalities are the capitals of provinces.

The efficiency of UNDP Outcome 3 projects towards reaching the outcome is thus ranked as medium to low, in part due to the different approaches and distinct outputs of the four Outcome 3 programmes.

Sustainability

The sustainability of CPD Outcome 3 outputs and their contributions are widely seen to be problematic. While exposure to alternative ways of operating/organizing and capacity building with GIRoA managers and civil servants may endure – to the extent that staff and management are retained (which is problematic) – national and international LoA staff are not a sustainable mode for building capacity in GIRoA institutions. Instead of capacity building, many interviewees and sources noted that LoA and CDA mechanisms often led to capacity substitution where project-provided staff did civil service work rather than supporting GIRoA staff doing this work. The sustainability of projects that depend on this key mechanism is thus deeply problematic for they extend dependence of the government on donors for essential processes. On the other hand, support through UNDP for the development of GIRoA policies and their implementation, especially in some Ministries is more sustainable. Particularly noted were MBAW contributions to policy, legal and institutional frameworks through the medium-term fiscal framework (MTFF), medium-term budget framework (MTBF), medium-term expenditure framework (MTEF), PFM Road Map, improved national budget process and procedures, and subnational governance and financial policy framework which have been developed and improved significantly with the contributions of the MBAW project. Moving to the NTA salary scale can reduce the wage bill and enable ministries to retain project-supported LoA staff that are willing to continue at a lower pay rate.

At the provincial level, the prospects for retaining the staff provided through LoA mechanisms are even less likely. For the municipalities, LoA staff and civil servants interviewed suggested that municipal capacity would decline without LoA structure, as would revenues as the tax mapping systems supported by ASGP (and RAMP-UP) were expected to decline without this technical assistance.

The sustainability of UNDP achievements towards Outcome 3 is thus ranked as low.

4.1.4. Assessment of UNDP partnership strategy

The outcome evaluation found appreciation of UNDP and its programmes by their key GIRoA partners, who then qualified their remarks by noting numerous ways that they were not satisfied with the ways that NIBP, ASGP, and NSGP had been implemented. UNDP staff also noted ways that these primary partners and other GIRoA institutions were problematic as partners from an institutional and programmatic perspective.

Relevance

UNDP-Afghanistan developed ambitious projects with the right partners: the key state institutions for civil service development (IARCSC), the growth of governance at the Provincial and District levels (IDLG), the strong Office of the Presidency in a highly

centralized system, and the powerful budget, revenue, and aid management ministry (MoF).

But the ways in which these projects were executed created a host of problems that led to problems in the relationships with these key GIRoA partners and reduced the relevance of project assistance through NIBP, ASGP, and NSGP. GIRoA and current UNDP programme managers noted ways that issues of staffing and funding impeded start-up and the delivery of assistance in ways that damaged the partnership between UNDP and their GIRoA partners. GIRoA managers also were critical of the direct implementation modality (DIM) as too slow for their needs. IDLG managers were particularly critical, since they had implemented some aspects of the program themselves under national implementation before reverting back to DIM after UNDP was not satisfied with the IDLG processes that had been used. MBAW largely avoided these issues and has remained highly relevant to the MoF, even with other donor project support to the Ministry. However the continued high relevance of MBAW to the MoF poses problems; the unsustainable mechanisms used to support essential budget, revenue, aid management, and other ministry operations through MBAW and other projects have left the MoF with a problem of dependence on assistance for essential operations. Reported disagreements between ministry and MBAW/UNDP management in the partnership centered around efforts to develop exit strategies and reduce MoF dependence on staff provided by MBAW.

The relevance of UNDP's partnerships with Outcome 3 partners is rated high. The institutions that UNDP partners with are the key GIRoA partners for progress towards "The state has improved ability to deliver services to foster human development."

Effectiveness

UNDP-Afghanistan developed and approved ambitious comprehensive ProDocs for all four projects, but as donor funding lagged and mobilization targets were not met, UNDP had to adjust targets and the extent of project coverage. This adjustment was seen by many of UNDP's partners as not following through with programme commitments. The key partners for NIBP (the IARCSC), ASGP (the IDLG), and NSGP (OoP) all found ways that they felt UNDP had overpromised and under-delivered. These sentiments were especially strong for the most demanding high-level political partners such as OoP, some offices of which were extremely disappointed with the gap between what NSGP had planned to furnish the Office of the Chief of Staff in terms of technology and training and what was actually delivered. The key partners for MBAW, the MoF, by contrast expressed only issues with the UNDP's efforts to develop a phase-out strategy and provide less support, as well as efforts to change the LoA modality for programme delivery.

UNDP management, project management, donors, and partners all noted ways that the main mechanisms for programme delivery were less effective than desired. The main challenge noted is the difficulty of building capacity through LoA staffing mechanisms. However, the ways that donors had earmarked funds for some provinces and regions were also seen as impeding efficient operations. UNDP also does not seem to have

capitalized on ways to build on complementarities, or potential complementarities, in capacity building projects. NIBP and ASGP management and staff did not emphasize ways that their CD activities were coordinated or complementary. Limited coordination between LoA staff within projects and between the projects was said by some GIRoA managers interviewed to risk duplicating tools or building contradictions instead of reinforcing joint goals and operations.

The effectiveness of UNDP partnerships is thus ranked medium to low; while all GIRoA partners appreciated the partnership, each institution expressed dissatisfaction with how the results were being obtained towards increased GIRoA capacity.

Efficiency

The partnership between UNDP and its government partners under Outcome 3 can be well managed; at other times and with some partners, issues persisted and were not resolved in ways that enabled partnerships to work well. Some issues in these relationships were even about efficiency; IDLG management has objected to the placement of UNDP staff (international ASGP advisors) in regions to manage the program, rather than running the all ASGP program staffing for the provinces through IDLG systems. Based on the sample of three provinces examined by the Outcome 3 evaluation team, and discussions with ASGP management, regional ASGP advisors appear important to strengthen oversight, accountability, and reporting on LoA staff which boosts the efficiency of program delivery. With the exception of recent months in the area of economic policy advice, NSGP was seen as inefficient by programme partners in ways that were detrimental to program objectives. OoP management were highly critical of NSGP for overpromising and under-delivering. Criticism included the use of direct implementation modalities, which were seen as too slow for OoP needs. The Office of the Chief of Staff argued that they would have procured needed technological support themselves had they known NSGP would not be able to provide these materials in a timely way. MBAW and programme staff by contrast had developed systematic ways of supporting MoF operations based on the budget calendar, and improved the speed of these processes impressively over the last few years. NIBP efficiency was affected by the particular personnel sent as national and international LoA staff to different ministries and the receptivity of their government partners to advice, coaching, mentoring, and training. While LoA staff can be driven by ministry managers or their own inclinations to do the work of the ministry directly rather than build capacity, the program is more efficient when international and national LoA staff are in a position to not do the ministry's work but rather focus on capacity building for civil servants and managers.

The efficiency of UNDP partnerships is thus rated medium to low.

Sustainability

UNDP is recognized as a valuable partner by its main partners in Afghanistan. The main partners under Outcome 3 all seek to continue their programmatic relationships with UNDP going forward. Thus the overall partnerships between UNDP and the OoP, MoF, IDLG, and IARCSC are sustainable. However, most of the mechanisms used in the partnerships between the programmes CPD Outcome 3 and their GIRoA counterparts are

not sustainable: LoA/CDA staff support and procurement through DIM last only as long as project support. There are important counterexamples where exposure, training, mentoring are linked together and where assistance has supported in the development policies/standard operating procedures, such as some of the NIBP work for CSC managers. In other ways, the very unsustainability of the mechanisms makes the partnership with UNDP so critical to the GIRoA partner. The clearest example of this relationship is between MBAW and the MoF, where the staff provided by the project to the ministry are central to the progress made in budgeting and aid management over recent years and current operations of the government. The MoF cannot yet manage without these staff which makes phase out and sustainability the most contentious areas for debate in the partnership. Despite UNDP's GIRoA partners' dissatisfaction with programmes or aspects of projects, particularly in the ways that they are implemented, all seek additional and/or successor projects to the current set of projects under CPD Outcome 3. UNDP's relevance and importance as a development partner - even with the problems that were noted by the MoF, IDLG, IARCSC (and other ministries), and OoP with MBAW, ASGP, NIBP, and NSGP – continues to be recognized and UNDP's assistance sought for capacity building.

The continued interest of GIRoA partners in continuing their partnership with UNDP, despite the problems with the partnership under the Outcome and these projects, suggests that the relationship is sustainable. The sustainability of the partnership is thus rated medium.

4.2. Oversight by Elected Bodies

For both Parliament and Provincial Councils, the only elected representative bodies at the national and provincial levels respectively, capacity has grown over the four year period 2010-2013. These bodies, elected in 2010 and 2009 respectively, focus on representation, lawmaking (for parliament only as provincial councils do not have a mandate to make laws), policy implementation, and oversight. Oversight is thus only one component of the activities of these elected bodies at both the national and provincial levels.

By the Constitution, the National Assembly (Parliament) of Afghanistan has a bicameral structure. The lower house of the people or *Wolesi Jirga* has 249 members directly elected by the people “through free, general, secret and direct balloting.” Members are elected from provincial districts that select multiple members, based on the estimated population of the province, through a Single Non-Transferable Vote (SNTV) mechanism. The upper house or *Meshrano Jirga* has 102 Members selected through three different mechanisms. A third are elected by the 34 Provincial Councils from amongst their Members, who are replaced as PC members by the person on the provincial list with the next-highest number of votes. A third are supposed to be elected by District Councils from among their Members in the same way as PC members. But these members have to date been appointed by the President as there are no elected District Councils. Finally, a third are appointed by the President. Thus two-thirds of the MJ are currently presidential appointments, which weakens oversight of the executive by Parliament. Seats are reserved for women in the Lower House, with two female Members per province (68

Members). In the Upper House, half of the 34 constitutionally-set Presidential appointees (17 Members) are reserved for women. These mechanisms have led to 24 percent of the seats being reserved for women in the National Assembly overall. Each house has a staff composed of civil servants to support the institution and its members. Parliament lacks the “power of the purse” held by many legislatures that provides authority to elected representatives to determine the budgets and funding priorities of government institutions. Instead the Afghan constitution grants the national assembly only the power only to accept or reject the executive branch’s budget proposals. Over time, Parliament has developed ways to use its limited constitutional authority as leverage to persuade the executive branch to compromise somewhat on spending plans. There are no formal role for political parties in Parliament and no single party has the support of even a quarter of legislators.

Provincial Councils are advisory bodies that have between 9 and 29 directly elected representatives depending on the population of the province (Livingston and O’Hanlon, 16). Members are elected through a single province-wide district with the top candidates elected through a general election for candidates from an overall and a female candidate list. There are 420 PC members for the 34 provinces, 296 (70%) of whom are male and 124 (30%) female. Provincial councils have a small staff in each province to support the institution and its members. PCs have no formal roles in provincial budgeting; under the unitary national system, budgets are set by the ministries for their departments in the provinces, and PGO (and DGO) budgets are set by the IDLG and executed by the MoF *mustofiat* and its provincial departments.

As with the section above, this section of the outcome on “elected bodies have greater oversight capacity” examines the same four categories from the TOR: Assessment of progress towards the outcome in Afghanistan; Assessment of factors affecting the outcome in Afghanistan; Assessment of key UNDP contributions to outcomes; and Assessment of UNDP partnership strategy. For three sections, the four criteria of relevance, effectiveness, efficiency, and sustainability are used - for all but the assessment of factors affecting the outcome. The following table summarizes the findings of the assessment for elected oversight. Each is examined in more detail in the following four sections of findings.

Summary Assessment Table for 4.2

	Relevance	Effectiveness	Efficiency	Sustainability
Assessment of progress towards the outcome in Afghanistan	High	Low	Low	Medium
Assessment of factors affecting the outcome in	N/A	N/A	N/A	N/A

Afghanistan				
Assessment of key UNDP contributions to outcomes	Low	Low	Low	Low
Assessment of UNDP partnership strategy	High	Medium to low	Medium to low	Medium

The summary assessment table for oversight by elected bodies combines the evaluation's estimates for the national Parliament and Provincial Councils. The sections below present the evidence to support these aggregate ratings with information on both national and provincial-level elected bodies.

4.2.1. Assessment of progress towards the outcome in Afghanistan

For both Parliament and Provincial Councils, interviews and documents note how capacity has grown over the four year period 2010-2013.¹⁴ However the focus on oversight by these elected bodies has not been a top priority and has changed less over this period. There are important examples when elected bodies have used their oversight authority and capabilities. But in general, oversight of the executive branch at the central and provincial levels by elected bodies is neither strong nor systematic.

Relevance

Afghanistan has had limited experience with representative democracy and thus needs substantial assistance in this area; support for strengthening the institutions of democracy has been recognized as vital to the development of democracy in the country by the international community and Afghans. Parliament and Provincial Councils are the only popularly elected representative state bodies in the country. Many Afghans recognize that the executive branch is overly-powerful, both in Kabul and the Provinces; Building a larger role for the elected representatives of the people is thus a priority for Afghanistan. With systematic weaknesses in the Afghan governance system, particularly with respect to monitoring, oversight, and accountability, support to elected bodies to increase their capacity to hold executive branch ministries/departments and independent agencies responsible for their mandates is clearly important. Oversight is also highly relevant since there are few independent civil society efforts through Afghan non-governmental organisations, which are also dependent on foreign donor support, or the media. And these limited channels are substantially stronger at the national level in Kabul than in the provinces.

¹⁴ For example, "Afghanistan's National Assembly has demonstrated slow but growing capacity and political maturity. Parliament continued to develop institutionally during its July 2012 – January 2013 session by approving a final budget and questioning ministers over their failure to properly execute their budgets (DoD July 2013, 126).

There are many challenges in executing these roles effectively. This is particularly true at the provincial level. PC members and the PC law are not clear on the roles and responsibilities of members *vis-à-vis* Provincial executive bodies. Both Parliamentarians and PC members have on the whole a host of institutional capacity limitations. The same challenges that have gravely weakened the education and experience of Afghans to the detriment of civil service capacity hamper the capacity of elected bodies as well. Many individual members have limited skills and experience. Parliamentarians and deputies lack education, skills, and experience. Many lack the knowledge and tools needed to strongly executing their mandates, including in oversight. There are important examples of that show change in that there are precedents for oversight making a difference; these are discussed in effectiveness of oversight below.

The relevance of progress towards the outcome for “oversight by elected bodies” is thus ranked as high. Parliament and PCs are the only elected state bodies, and if oversight is to come from elected state bodies – these are the only possible institutions for the job.

Effectiveness

Both Parliament and PCs have sought to oversee the executive branch at their respective levels. However, neither have been very effective in this regard. This is a problem of relevance, based on the weak legal basis for elected bodies noted above, and also of capacity. One source for a quasi-baseline at the national level noted that “the concept of oversight in the Parliament remains the weakest of the core Parliamentary functions and the one in greatest need of assistance” (Jones 2010, 36). There have been a number of precedent-setting occasions where the WJ has called ministers to account, in particular for responsibility for spending their annual development budgets (when many ministries spent less than 50% of the allocated funds). In 2012 and 2013, the WJ voted no confidence in several ministers, including key security ministers, which forced their resignation and replacement. However, informed observers have seen these examples of oversight as being driven more by politics than by developing parliamentary standards of holding government responsibility for executing their mandates (Hewad, Rutting, and Franco 2013). Parliamentarians and PC members focus on constituency service and representation, particularly serving/representing other influential people from their provinces. Many successful candidates have incurred substantial costs to win election to these positions, particularly parliamentary seats. This encourages rent seeking by members within parliament by either representing constituents for a price or “selling” their votes, including reportedly for key oversight measures.¹⁵

At the provincial level, interviewees noted that PC members were willing and interested in oversight of both government and off-budget donor projects in their provinces. However these same interviewees, even PC members themselves, noted that Council Members, including those on the oversight committee, lacked technical skills needed for effective oversight (such as engineering knowledge to evaluate bridge construction). PC members and staff in governor’s offices also noted that PCs lacked the resources needed

¹⁵ Credible accusations have been widely aired about vote buying on confidence in certain ministers (SUNY 2013, 28).

for travel to oversee. Interviewees in both PCs and PGOs also noted as well that they usually were not able to recruit engineering expertise often needed for this kind of oversight of construction projects. Oversight by PC members was also criticized by political appointees and civil servants in the provinces visited as “interference.” For example, some IARCSC provincial directors noted that PC members had pushed for particular people to be hired through the PC members’ roles on oversight committees. These examples shows how PC members may impede rather than reinforce the integrity of the hiring process through their inclusion on review panels. Staff from programs that worked with provincial councils noted the difficulties local notables such as PC members faced with raising issues about the roles and responsibilities other powerful people from their province – whether in the executive branch or not - that limited the role and usefulness of oversight from PCs.

Survey data also shows that the Afghan people share the opinions and priorities of Parliamentarians about their many responsibilities. When asked in 2011 and 2012 “the most important responsibility of their members of Parliament,” only 11% and 12% polled prioritized monitoring the president and government, compared to 29% and 31% that emphasized constituent service, 26% and 25% development, and 33% and 30% law making respectively in the TAF surveys.¹⁶ Afghans also report acting on these beliefs about the roles and priorities of their elected representatives. Twenty and 18% of respondents reported personally contacting Members of Parliament with personal and local problems in the 2011 and 2012 surveys, and a slightly higher proportion turned to a member of the Provincial Council (24, 22, and 24%) in 2011, 2012, and 2013 TAF surveys.¹⁷ The proportion of these citizens that acknowledged Parliamentarians and Provincial Council members had tried to help in response declined from 2011 to 2012, from 68 to 61% for Parliament and 69 to 63% for PC members. Satisfaction with PC actions remained in 2013, with 73% of those that contacted a PC representative very or somewhat satisfied with the outcome (2013, 198). When asked a different question about their MPs in 2013, 24% of respondents asserted that the member of parliament for their province had been involved in helping to resolve a problem or issue that affected them in the last two years (2013, 197).

The effectiveness of progress towards the outcome for “oversight by elected bodies” is thus ranked as low. Parliament and PCs have been able to develop, but oversight has been a relatively low priority and not been very effective overall at either level.

Efficiency

Efficiency in elected bodies focuses on the mechanisms for encouraging these bodies and their members to perform their intended roles. In the context of Afghanistan, with a weak political parties and an electoral system that has created only weak bonds between constituents and “their” representatives, there are few mechanisms for oversight by

¹⁶ The time period for comparison is limited since this and the subsequent question were not asked in 2009 and 2010.

¹⁷ The 2013 TAF question qualified a time period for asking a PC representative for help to “the last two years” (2013, 198).

elected bodies. This is in part because there are few incentives for oversight and only weak mechanisms for Afghans to hold their elected representatives accountable for fulfilling their responsibilities, including oversight. These weaknesses in their accountability enable elected representatives to be reelected even if they do not deliver on their responsibilities, with oversight just one of their tasks. About half of the WJ members and PC members were reelected after serving in their positions following election in 2004 and 2005. Name recognition is central to electoral success and reelection. Small numbers of votes are sufficient for election or reelection under the SNTV electoral system and large electoral districts used in Afghanistan. Representatives in this situation can be reelected through a focus on narrow interests of some of their constituents, defined in a variety of ways (the population of their geographic home, ethnic group, *qaum*, or family). This can lead representatives to behave in ways that are contrary to professionalization of governance rather than support impartial oversight. This can be manifest through deal-making with ministers by Parliament or having PC members “interfere” in CS hiring as members of civil service panels.

The efficiency of the oversight by elected bodies is thus rated as low. Parliament and PCs have weak mandates in this area, limited experience and skills, and poor incentives to be strong oversight institutions over the executive branch.

Sustainability

The prior Afghan experience with an elected parliament lasted from 1964-1978; the current experience is already almost 10 years which is significant for the country. And Afghanistan has now had almost 10 full years of provincial elected bodies which are unprecedented in Afghan history. This experience and institutions seems likely to persist. Community leaders value having additional channels to turn to with needs or problems. And Afghans report satisfaction with their Parliamentary and Provincial Council representatives in surveys; measures of satisfaction have in general improved slightly from 2009/2010 to mid-2012 but then declined relatively sharply in 2013 as reported by TAF. The percentage of respondents that cited “a great deal” and “fair amount” of confidence in Parliament changed from 19% and 40% respectively in 2010 to 24% and 38% in 2012 – before falling to 12% and 35% in 2013. The percentage of respondents that cited “a great deal” and “fair amount” of confidence in Provincial Councils changed from 20% and 42% respectively in 2009 to 23% and 43% in 2012 before falling modestly to 16% and 41% in the latest survey (2013, 191). These levels of confidence were relatively high compared to executive branch agencies (with the exception of the Afghan National Army and Afghan National Police). These data suggest that Afghans value their elected representatives and institutions in consistent ways, which may support the continuation of these representative institutions in the future. The reelection of substantial numbers of experienced PC and WJ members also supports sustainability. WJ and MJ staff that have been strengthened through CD support is less sustainable; improved qualifications and experience for these staff opens up opportunities for other positions in the executive branch or with internationals which contributes to high levels of staff turnover.

The sustainability of the progress to date towards oversight by elected bodies in Afghanistan is thus assessed as medium. Despite the evident challenges with oversight and weaknesses in both Parliament and the PCs, these bodies seem likely to endure, continue to have oversight roles, and many members are reelected and able to utilize their experience, skills, and training going forward in Afghanistan.

4.2.2. Assessment of factors affecting the outcome in Afghanistan

Oversight by elected bodies, and its development over 2010 to the present, has been shaped by the structure of Afghan institutions and politics, the nature of social relationships in Afghanistan and its regions, capacity weaknesses of elected bodies and officials, and donor and government programs to support elected bodies.

Weaknesses of elected bodies

The development of institutions in Afghanistan by the government and donors since 2001 has focused on creating a strong executive branch. The executive has far greater power in the Constitution than the legislative branch. The structure of executive-legislative branch relations, as regulated by the Constitution and practice over the post 2004 period, places Parliament in a weak position relative to the President and government at the national level – and Provincial Councils in an even weaker position relative to appointed Governors at the Provincial and District levels. Parliament and provincial councils are also placed in a weak position because they have poor links to constituents from the electoral system, which uses the Province as electoral unit for multi-member districts for the WJ and PCs, and weaknesses of other mechanisms to link social groups to their representatives such as political parties. The national parliament is further hampered by the fact that two-thirds of the appointed positions for MJ are appointed by the President.

The conduct of elections themselves has been problematic for representation, both in 2004 and 2005 for the first Provincial Council and Parliamentary elections and even more so in the second set of elections 2009 and 2010. Rising violence, variation in the ability of populations to participate in elections due to conflict, increased accusations of fraud, and more evidence of electoral fraud have reduced the legitimacy of elected representatives. These legitimacy issues are particularly problematic for PC members elected 2009 as the large number of ballots excluded from the Presidential vote as fraudulent remained in the counts used to determine the PC victors. The September 2010 parliamentary elections were held amid significant security and logistical challenges. Widespread fraud and corruption hampered the elections, particularly at the subnational level. International observers and civil society groups documented instances of ballot stuffing, ghost polling stations, and some interference by staff of electoral bodies; fraud was especially notable in areas with high levels of insecurity, limited observer and candidate agent coverage, and insufficient female electoral staff. In response to protests about these election results, President Karzai appointed a special tribunal to investigate and recommend changes to the election results in December 2010. The IEC, parliamentarians, and NGOs challenged the legality and constitutionality of the special tribunal and called for its dissolution. The creation of the special tribunal resulted in a political impasse virtually halting Parliamentary action until June 2011 (DoS 2013).

Neither the GIRoA nor civil society has managed to make reforming elected bodies a priority since 2004. The main efforts to reconsider SNTV in civil society have been supported by donors and the government's Afghanistan Subnational Governance Policy provided little clarity on the responsibility and accountability of subnational administration to provincial councils.

Few incentives for oversight

A political economy analysis of oversight in the context of Afghanistan suggests the many issues that weaken incentives for elected bodies to conduct oversight. Parliament is empowered to oversee ministerial appointments and budget execution by ministries. However the structure of Afghan politics (the electoral system, multi-member districts, and weak parties) and internal organization of Parliament does not provide solid ways to create enduring majorities of votes from individual legislators. These problems are accentuated in smaller population units such as provinces. At the provincial level, few people have leadership skills, networks, and resources to be potential leaders; one of the mechanisms to that can lead to opposition and stop a rise to elected or appointed leadership can be adamant opposition from other local leaders. The need to collaborate together to further their own interests (including reelection) and to serve the interests of their constituents inhibits calling other influential leaders to account. Oversight is hampered by strong reasons elected representatives not to create opposition that can impede or block their own or constituency interests. These factors explain the weak reasons for elected representatives to oversee and be critical of policy implementation.

Provincial councils are also engaged in the implementation of programs and policies with PGOs and DGOs in the province and districts. This makes it hard to have some PC members, including those on the PC's oversight committee, be objective with their responsibilities as they are also overseeing the implementation by their colleagues from the council when examining these programs.

Lack of capacity for oversight

Parliamentary deputies and PC members, like the rest of the population in Afghanistan, have suffered from years of civil war and violence which has degraded education and professional experience. Many elected representatives have few skills and little knowledge of their roles and responsibilities, including of oversight. These capacity deficits may be especially detrimental to women members, who have often had even less opportunities for personal and professional development than male members. Parliamentary and PC staff capacity also face this same environmental weakness.

Assistance programs

The weak heritage of elected bodies in the country, the absence of elected structures at the time of the overthrow of the Taliban government, and need to develop the institutions in the 2004 Constitution made it clear to the interim Afghan authorities and international donors that support for the new Parliament and Provincial Councils that were written into the Constitution would be needed. To support the restoration of Parliament, UNDP

developed the comprehensive SEAL I program; USAID also created a large program to support parliament, the Afghanistan Parliamentary Assistance Project (APAP), implemented by the State University of New York over 2004-2013. A new long-term USAID program through DAI has begun to support Parliament starting this summer.

Provincial Councils have received less attention, but were also supported by UNDP and USAID. UNDP worked with PCs through the first phase of ASGP and through Output 2 of ASGP II. USAID supported PC development via NDI in a nationwide effort that focused on women PC members, as well as through other regionally targeted stabilization programs that focused on particular less secure provinces and districts. These USG programs, which were sometimes not well coordinated with national GIRoA-led efforts, targeted support to areas where ISAF and U.S. military units focused their security efforts. As with most assistance, the emphasis of stabilization programs was on executive branch bodies at the province and district levels; however these efforts often also provided some support to PCs as well. The NDI support through the Support to Sub-National Governance Structures project focused on training PC members and staff, improving coordination and networking between PCs and PC members, between PCs and DGOs and PGOs, between PCs and Parliament, and between PCs and the IDLG. As with UNDP, NDI also supported the executive branch body charged with supporting PCs, the IDLG's General Directorate for Coordination of Local Council Affairs (GDLCA).

4.2.3. Assessment of key UNDP contributions to outcomes

SEAL has supported the development of both staff and member capacity of Parliament and PCs. Assistance has provided exposure to examples from other parliaments, trained staff and members in process and technical skills, and supported networking to facilitate the work of these bodies. There are not strong baselines to measure change against, but implementing partner interviewees emphasized the notable growth in member and staff skills and connections.

Although UNDP has recognized that developing representative institutions in the country will be a substantial, long-term endeavor, UNDP has to date provided limited support to elected bodies, especially relative to the substantial effort to help build executive branch capacity discussed above. Over the current CPD, there has been only three months of SEAL II support to the national Parliament. Only part of one output of ASGP has provided supported PCs across the country. After SEAL II was brought to an early conclusion in March 2010, UNDP planned a \$15.75 million four-year follow-on project for 2010. However, mobilization was only \$6 million towards the overall goal of helping to develop "An effective, efficient and accountable parliament supporting development and poverty reduction for the citizens of Afghanistan." The envisioned follow-on project was thus not approved or developed further until 2013; UNDP-Afghanistan has now developed a Project Document, Strategy and Capacity Support to the Parliament of Afghanistan (SCSPA), to further the institutionalization of parliamentary capacity and is mobilizing funds for this effort.

Relevance

Afghanistan had not had a parliament since 1978 and never had democratically elected provincial bodies in its history. UNDP support for elected bodies has supported the development and institutionalisation of powers and practices of representative government. With few elected representative state bodies, it has been important to support the members of these few bodies chosen by the people. As noted above, these bodies and members/staff have numerous needs for capacity development – and few providers of this assistance. There is no oversight by elected bodies apart from that provided by these two institutions. Parliamentary and PC assistance is thus highly relevant to representative democracy and CPD Outcome 3. It is also important to provide support to elected bodies, which is by definition political, through multilateral organisations like UNDP rather than only through bilateral providers that can be seen as more closely linked to the interests of particular countries. SEAL and ASGP have worked to support the development of these institutions, not only towards their ability to oversee as elected bodies.

The relevance of UNDP contributions to the outcome for oversight to elected bodies is thus assessed as low. While Parliament and PCs are the right partners for this area, UNDP provided only limited support to Parliament through a dedicated project under the period of the CPD to date, limited assistance to PCs through part of ASGP, and did not focus assistance on oversight.¹⁸

Effectiveness

UNDP support to Parliament during the period of the CPD was only from January to March 2010. As a short time period of a small, short-duration project from four years ago, few enduring effects are to be expected from the portion of SEAL II within the time frame of the CPD. And the difficulty of identifying effects is compounded by the fact that Parliament had benefitted from both the prior SEAL I, the implementation of first year and a half of SEAL II prior to 2010, and the complementary USAID APAP project over the entire period 2010-2013. Unsurprisingly, the evaluation has not noted any independent effects of the three months of SEAL II assistance in 2010. However, the direct relationship of SEAL II with the Parliament has helped the project and Parliament to focus on long-term development and capacity, albeit only slowly.

At the Provincial level, ASGP assistance has provided the potential for Letter of Agreement staff member to serve each PC, as well as targeted the allocation of 20% of ASGP's budget contributions by province to PCs. PC members interviewed appreciated this staff assistance when present in their PC and noted its absence when these positions were not filled. But PC leaders and members also recognized that the project's support was not sustainable. Some PC members were not aware that ASGP support was more than this staffing. The effectiveness of ASGP support to PCs, especially for PC oversight of the executive, is hampered by the absence of a direct way to provide support to PCs. ASGP has not established the separate PC bank accounts that would be required to

¹⁸ Not overly focusing on oversight is appropriate given the many mandates of elected bodies and their overall needs for institutional development and capacity.

provide support directly to the PCs. The mechanism for providing ASGP funds to PCs through PGOs, who are expected to channel the PC share to the PCs, inhibits oversight by elected bodies. This dispersed way of providing ASGP assistance to PCs through IDLG and the PGOs increases PC dependence on the executive branch that PCs are supposed to oversee and thus decreases the incentives for PC oversight.

The effectiveness of UNDP contributions towards progress in oversight by elected bodies is thus evaluated as low. Programmes and activities have not strongly supported oversight at the national or provincial levels through elected state bodies.

Efficiency

Parliamentary development has been supported by few donors and programs; provincial councils have also had limited donor support. UNDP support to elected bodies, especially when well-coordinated with USAID-funded projects, has the potential to help make headway in areas critical to Afghanistan's future: representation, accountability, lawmaking, and oversight. More than one donor is needed in this area. There are also important benefits to supporting elected representatives through multilateral UNDP programmes relative to the potential political issues for elected representatives of being closely connected with or seen as dependent on the programmes of a single government, especially the U.S. government. The absence of an overall WJ or MJ strategy for the development of either house was a weakness that affected the efficiency of the SEAL support to Parliament.¹⁹ These lacunae contributed to incentives for Parliament to focus on day to day work and the management of rolling issues rather than develop a strategic focus on long-term parliamentary development. SEAL II support to increase member and staff capacity at Parliament was provided directly through UNDP to the Secretariat, by providing LoA staff and through training and exposure visits. These mechanisms were reportedly effective ways of delivering assistance since they were closely coordinated with and worked closely with the beneficiaries. However, LoA staff to Parliament are not sustainable. The staff departed after the project ended.

At the provincial level, LoA staff support for PCs suffers from this same problem. ASGP funds are also what enables the transportation of PC members and staff for oversight missions, meetings, hiring technical advice when needed, and networking as well as capacity building to further oversight by provincial elected bodies. In contrast to direct support that can be provided efficiently, indirect support to PCs through the transfer of funds to them via PGOs may not be efficient and in some ways make PCs less able to effectively focus on oversight. This mode of delivery, going through the provincial governor's offices, is inefficient as it emphasizes the dependence of the PCs on the executive and may inhibit provincial council oversight of PGO and department activities by emphasizing this dependent position.

The efficiency of UNDP support towards progress in oversight by elected bodies is thus evaluated as low. The ways programmes and activities have been designed and managed has not strongly supported oversight by Parliament or PCs.

¹⁹ The WJ has a draft strategic plan 2011-2016 that was made available to the team.

Sustainability

To further sustainability, SEAL II targeted supporting the WJ Secretariat, Secretary General of the MJ, and staff of both houses as more permanent than the members of parliament. This focus has been criticized for weakening the ability of the project to work with members; the argument guiding earlier assistance was that since they are less likely to remain in office than permanent staff, the priority should be on staff (Jones 2010, 16). The problems that affect capacity developing overall in Afghanistan affect Parliamentary support as well; as with support to capacity building in the executive branch, better-trained staff often left their positions upon finding more lucrative or rewarding positions outside of Parliament. Some capacity building assistance to permanent staff may be sustainable, but assistance through LoA staff is not. ASGP assistance to PCs through LoA staff is also not sustainable and oversight practices supported through ASGP funds are not seen as likely to endure after project assistance ends. High proportions of both Parliamentarians and PC members have run for reelection and been successful, which suggests that support to members is somewhat sustainable.

The sustainability of UNDP-supported progress in oversight by elected bodies is thus evaluated as low. The limited three months of support for Parliamentary development, including some towards oversight under SEAL in the timeframe of the CPD and the methods used to support PC oversight have not produced sustainable achievements.

4.2.4. Assessment of UNDP partnership strategy

Following the initial period of support for the establishment of parliament, the National Assembly has proven to be a difficult partner for UNDP and other donors in Afghanistan. The elected representatives of Parliament and Provincial councils have been difficult to work with on institutionalisation and building effective elected bodies. The combination of important roles, substantial responsibilities, low capacity, and challenging working relationships between members within these elected bodies and between them and executive bodies at the national and provincial levels, have made Parliament and Provincial Councils difficult partners for UNDP (and other assistance providers as well). Some high profile measures taken by Parliament, in particular the Amnesty bill absolving Members of Parliament for criminal responsibility for crimes during the civil conflict, soured the international community on working with the National Assembly and created negative impressions of Parliament in society.

Relevance

While difficult partners, Parliamentarians and PC members are highly relevant partners as the only elected members of representative bodies in Afghanistan. They are thus central to representation, lawmaking/policymaking, as well as to oversight. Even with a weak Parliament, as established by the Constitution, and weak PC law that establishes only consultative bodies, these institutions are essential to governance in Afghanistan. There are no alternatives to these bodies, which are often turned to by Afghans. UNDP developed a direct partnership with Parliament through SEAL and SEAL II, but only an indirect relationship with PCs through IDLG and PGOs. SEAL II however only operated

for three months of the current CPD. UNDP then developed a care and maintenance project, “Strategic Support to the Afghan Parliament” (SCSPA), in 2011. UNDP appointed a project manager and a chief technical advisor at the end of 2012 as part of a project initiation plan for SCSPA and continued to develop this initiative in 2013.

The relevance of these UNDP partnerships to oversight elected bodies is thus high. Parliament and PCs are the only elected state bodies and thus the only potential partners for oversight by elected bodies.

Effectiveness

The direct partnership between UNDP with Parliament for SEAL and SEAL II was seen to be a more effective modality than the indirect relationship between UNDP and PCs through IDLG and PGOs by UNDP staff interviewed. The direct links between beneficiaries and UNDP project staff made for better implementation of project activities and stronger communications between beneficiaries and UNDP staff to the benefit of programming. However, Parliamentarians and SEAL project staff found some areas of collaboration challenging as some priorities differed. UNDP had to respect the concerns expressed by some donors about continuing exposure visits for staff and members, but reducing these exposure visits disappointed partners and beneficiaries in Parliament. The first Parliament did not focus on aspects of longer-term parliamentary development, such as strategic planning for both houses, sought by UNDP and donors. ASGP support for PCs has been seen by PC members to vary based on the time period that they have had support, the personalities of LoA staff, and their qualifications. Some PC members interviewed did not know that financial support for PC work was available through ASGP via the PGOs.

The effectiveness of UNDP’s partnerships to oversight elected bodies is thus ranked as medium to low. Although SEAL only operated for three months over 2010-2013, the direct relationship and dedicated programme enabled the partnership to work. UNDP’s partnership with the 34 PCs has been mediated by the executive branch (through PGOs and the IDLG) and been only a small part of a project that otherwise targeted the executive branch. This is not an effective partnership for supporting oversight by elected bodies.

Efficiency

The SEAL II project approached Parliament as an enduring institution, in part through working with commissions and staff. SEAL II was able to work with the WJ Secretariat and Secretary General of the MJ to develop strategic plans for the development of these institutions. The closure of the project in March 2010 avoided working with Parliament in the final stages of the 2010 elections and the immediate aftermath of these controversial elections that was a challenging period for the APAP project. The assistance was thus quite efficient, but only for a three months period when SEAL was active. Approaching the PCs through one output of ASGP, and providing fund through the PGOs, was not seen to be efficient by either beneficiaries or UNDP staff. Since some PC deputies lacked knowledge of the UNDP mechanism and the support available, and because of the way the provision of funds to PCS through PGOs reduces the incentives of PCs to oversee

activities of PGOs, the mode of delivery appears to have been inefficient and even impeded intended results.

The efficiency of these UNDP partnerships with elected bodies for oversight is thus assessed as medium to low. The partnership with parliament was relatively efficient, but brief and not focused on oversight. The indirect way of partnering with PCs is not well structured to support oversight by elected bodies.

Sustainability

The partnership of UNDP with Parliament was seen by UNDP staff to have built relationships with Parliamentary staff that will enable the next UNDP Parliamentary assistance project to start up rapidly. The April 2010 PC elections are expected to return many existing members to council seats; prior training and capacity building with these members under ASGP will thus be sustainable through the reelected members. About half of the members of the first Parliament were reelected in 2010; a similar reelection rate is anticipated for members of the second Parliament in elections due in 2015. Knowledge gained from exposure visits and skills developed through training in reelected PC and Parliamentary members is sustainable. SEAL and ASGP processes that have relied on LoA staff to work with Parliament and the PCs are not sustainable, since staff depart when there is no more funding for their positions through projects.

The sustainability of these UNDP partnerships with elected bodies for oversight is thus assessed as medium. The continued interest of UNDP's partners in subsequent assistance, even with the gaps in assistance to Parliament and limited modalities for support to PCs, attest to the viability of these partnerships.

5. RECOMMENDATIONS AND LESSONS LEARNED

The evaluation of progress in Afghanistan and UNDP-Afghanistan's CPD Outcome 3 experience suggests recommendations for the management of the UNDP programme in the future and lessons learned from the 2010-2013 experience in supporting government capacity building and elected oversight. As with the findings above, some lessons learned and recommendations for capacity building in the executive branch are separated from those for the oversight of elected bodies.

Lessons learned are "Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations" (DAC 2002, 23). Lessons learned highlight the main generalizations that are conclusions of the outcome evaluation.

5.1. Executive Branch Capacity Building

5.1.1. *Lessons Learned in Executive Branch Capacity Building*

Capacity development has been the focus of three large projects (ASGP, NIBP, and MBAW) over this almost four year period under the CPD, plus a smaller effort focused on the Office of the Presidency.

1. *Structural problems in the construction of the Afghan state beyond UNDP's control impede capacity building and the achievement of the outcome:* International support for rebuilding the Afghan state in a centralized fashion began in 2002 after Bonn; difficulties and contradictions in state capacity building are embedded in the framework of the Afghan state and all donor support for this enterprise. It is the tensions between a *de jure* highly centralized state and *de facto* strong periphery, as well as between a merit-based model on paper and the reality of a patronage-based system in practice, that are at the heart of the challenges of public administration reform in Afghanistan (World Bank 2012, 67). An even more fundamental divide has largely been ignored – whether many Afghans in the periphery want a greater role for a larger, more effective Afghan state in their lives. There is little clarity on this question at present because to date the substantial capacity that has been built within GIRoA has in general not been widely seen to deliver, especially in the provinces and districts of Afghanistan.
2. *UNDP management and partners focused on outputs more than outcomes:* Gaps in the structure of the results framework between the outcome level as designed in the prior CPD and the outputs of the projects under Outcome 3 were large. The absence of clear links between project outputs and CPD outcomes and responsibility for these intermediate steps on the way to progress towards the outcome appear to have contributed to not focusing on the outcome level – by both partners and UNDP – under the CPD.

3. *Letter of Agreement staff provision has not been a sustainable methodology:* Injecting staff into GIRoA institutions through LoA or CDA mechanisms has not been a sustainable method of building capacity in Afghan government structures. Experience has shown that project supported staff provide capacity only while projects endure; after projects, few staff have continued under less lucrative compensation plans.

5.1.2. Recommendations on Executive Branch Capacity Building

The recommendations in this section focus on CD in the executive branch.

1. *Focus beyond individual capacity:* In future capacity building assistance, attention should be given to strengthening and supporting the enabling environment and institutional arrangements that will allow for GIRoA institutions that are better able to deliver upon their mandates and that are responsive to feedback mechanisms. UNDP support should clearly contributing to improvements in institutional, organizational and societal capacity. The draft UNDP-Afghanistan Capacity Development strategy notes both the lesson learned above and plan to shift the emphasis of programmatic support to
2. *Consider ways to focus on outcomes as well as outputs;* In the design of the next CPD, UNDP-Afghanistan and its partners should work to build a broad consensus on the targeted outcomes, as well as agreement on projects and outputs. This shared consensus should use an agreed theory of change and develop a full results framework for the CPD that clarifies how project outputs (and other contributions) are expected to produce the intended outcomes. The framework and consensus-building processes around it should also assign responsibilities and accountability for making progress towards or achieving these outcomes. The CPD should elaborate adequate outcome indicators as well as any needed intermediate indicators, ways of measuring them, responsibility for measuring them, and develop processes for reviewing progress towards outcomes that are useful for both partners and UNDP management. UNDP should focus on management for outcome-level results and ensuring that management for results (and measurement of CD results) is embedded into programming at the project and cluster levels. This focus on outcomes has the potential to benefit UNDP, donors, GIRoA institutions, and the Afghan people. However, building this consensus is likely to require many meetings and high level political support. The kick-off of these processes may also need to await the formation of the next government after the April 2014 elections.
3. *Consider outcomes that emphasize service delivery through improved capacity;* Capacity building is not meant to be an end in itself in development or in Afghanistan. But as written in the CPD, capacity building could be seen as the goal of assistance. UNDP-Afghanistan should consider outcomes that take capacity building from a general idea of stronger ability into the use of stronger capacity to fulfill mandates. An outcome such as “A sustainable capacity to deliver” can focus attention on the delivery of services to the Afghan people, the

bottom line for why the international community and Afghan people seek governance and support the state.

4. *Consider a comprehensive UNDP approach and single programme on capacity development*; UNDP-Afghanistan should collaborate with its GIRoA partners and assess whether a single, pool-financed institutional reform program that combines salary support, capacity development, and service delivery within a single common public sector reform framework can better deliver sustainable support. A single large program has potential efficiency gains for both donors and government and may better support mutual accountability.
5. *Develop mutual accountability frameworks with GIRoA partners*; UNDP has had difficult partnerships with many of the government counterparts for key capacity development activities. UNDP-Afghanistan should anticipate that partnerships will remain challenging and build management frameworks to help instill mutually beneficial relationships that support project outputs and CPD outcomes. Within the problematic frameworks of the Afghan governance system and politics, UNDP and donor aspirations to support professional development should be expected to continue to have difficult partnerships with central government institutions and provincial authorities. To help manage in the context of Afghan patronage politics, challenges of corruption, and inadequate GIRoA capacity; perceptions that UNDP and donors have not been able to ensure adequate cooperation from partners; and partner dissatisfaction with UNDP's delivery of assistance – UNDP-Afghanistan and its primary government partners should negotiate firm memoranda of understanding that clarify roles and responsibilities of UNDP and its partners. UNDP should use these MoUs actively to manage its programs and to insist on partner accountability for program outputs and progress towards outcomes.
6. *Use the Transition to support these changes*; The post-2014 Transition to Afghan ownership is widely expected to lead to reduced assistance flow as well as a change in how assistance is provided - with less donor ability to deliver technical assistance through parallel systems and incentives to channel assistance resources through the government as agreed in TMAF commitments. The transition can be seized by UNDP as an opportunity to foster a more disciplined approach to reform, in which the government in exchange for continued donor support to key public sector salaries agrees to more demand-driven and results-oriented institutional reform, and boost the potential for mutual accountability.

5.2. Elected Bodies and Oversight

5.2.1. Lessons Learned on Elected Bodies and Oversight

Under this CPD, UNDP-Afghanistan has had only the concluding three months of a short-duration project to support overall Parliamentary development – with oversight only one of the outputs supported within Parliament - and provided some support through planning for and the inception of a successor project, “Strategy and Capacity Support to

the Parliament of Afghanistan.” UNDP support has also been provided to the PCs, again for more than oversight, through part of an output of ASGP, over 2010 to the present. This experience provides some brief lessons for UNDP going forward:

1. *Place assistance in political context:* As bodies composed of members that are competitively elected, UNDP should expect Afghan politics to drive not only what is feasible but what is desired by successful candidates for Parliament and Provincial Councils. Elected bodies are political rather than technical.
2. *Focus attention on long-term goals of representation:* The current Parliament has had only a recent nine year history in the country (and Afghanistan only an extremely limited historical experience with elected Parliaments before that). PCs have only had a decade to develop as Afghanistan’s first democratically elected Provincial bodies. With problematic legislative frameworks for both bodies and a political system/political culture that has discouraged mechanisms for supporting encompassing and enduring social mechanisms such as political parties, there are no other mechanisms to empower elected representatives beyond their weak legal mandates. Elected representatives need additional support and mechanisms to perform their mandates effectively – and even more support to strengthen and institutionalize their representative roles in enduring ways.
3. *Expect elected partners to need long-term support:* With the difficult history of the country placing grave limits on human capacity and with scant experience with elected bodies in the country, elected representatives and their relatively new institutions will continue to need substantial support over a sustained period of time to develop effective, institutionalized ways of exercising their mandates.
4. *Provide assistance through sustainable mechanisms:* As with support to the executive branch for capacity development, providing the funding for LoA staff for elected bodies is not sustainable; staff provided through program support lasts only as long as the program and is then missed once completed. Assistance to support elected bodies needs to be provided through longer-term methods rather than providing LoA staff.
5. *Support more than oversight:* Elected bodies in Afghanistan have mandates that go beyond oversight. To support Parliament and Provincial Councils, broad assistance is required, to facilitate all of their roles (including in oversight). Strengthening the PCs more broadly has greater potential to support stronger oversight by enhancing their overall development and ability to execute their mandates.
6. *Systemic changes are needed to support oversight by elected bodies:* The current system provides only weak support for oversight of the executive branch by Parliament or Provincial Councils. Legal and institutional reforms are needed to increase the authority of elected bodies *vis-à-vis* the executive, and substantial

capacity building assistance will be needed to develop, use, and institutionalize oversight practices.

5.2.2. Recommendations on Elected Bodies and Oversight

Recommendations in this section focus on elected bodies. UNDP, other donors, the international community, and GIRoA should continue to support strengthening elected representative bodies in Afghanistan and expanding their roles in the political system. Developing the institutions of representative democracy will take decades in Afghanistan. These institutions are critical to building and institutionalizing a balanced political system rather than one where power is over centralized in Kabul and within the executive branch as at present.

1. *Support the institutions of representative democracy:* Policy dialogue and practical assistance should provide substantial support to elected bodies to perform their mandates. This support should not focus only on oversight but assist with the full range of responsibilities of Parliament and Provincial Councils. Policy dialogue should focus on more than technical guidance; along with UNAMA, UNDP should help encourage debate and discussion on the Single Non-Transferable Vote (SNTV) system and alternative electoral systems to better promote representation at the national and provincial levels (Governance Unit 2011).
2. *Support elected bodies for more than oversight:* Elected representatives at the national and provincial levels – and assistance to them - should focus on enhancing their roles representing social forces in their constituencies. Constituency representation needs to be developed to encourage representatives to focus on listening to, understanding, and supporting group interests at the local level rather than emphasizing representing the particular, personal interests of influential individual constituents as is all too common at present in Afghanistan. The representation of these broad interests should influence lawmaking, policy making and implementation, and budget development and execution through the demand side for service delivery that ought to be one of the main areas of focus for elected bodies. Parliament and provincial councils need to be able to influence the development and implementation of GIRoA policy frameworks, planning processes, and budget development and execution through their roles of representative bodies. Using these representative roles more can move representatives from what are now seen as their “technical” roles in oversight - where they are ill-equipped to perform (such as for questions about the quality of public works projects like bridges that depend on engineering knowledge) – to broader roles of what government policies and frameworks should do to meet constituency needs and preferences. Representatives need support to perform broader political roles of representing constituencies and incentives to stop “interfering” to support the narrow interests of political clients (or their own personal interests).

3. *Support technical oversight in more promising ways:* UNDP should consider ways to develop, support, and institutionalize oversight mechanisms for executive branch policies, procedures, and projects through other mechanisms such as external audits. Elected bodies have weak mandates, skills, and practices for oversight and operate within legal frameworks that are not conducive to strong oversight through Parliament or Provincial Councils. Donors, including UNDP, and GIRoA should develop alternative mechanisms for encouraging technical monitoring of government processes and performance by qualified, impartial professionals through Afghan institutions. Developing these types of oversight over projects, processes, and institutions will require separate design missions and projects beyond this Outcome evaluation.

5.3 General Recommendations

The CPD Outcome 3 evaluation has in addition has produced a couple of broader recommendations for UNDP and GIRoA management.

1. *Strengthen and use outcome-level indicators for management in the next CPD and government processes:* The outcome statement and its formulation, the logical framework for programmes to build towards the outcome and inter-linkages under the outcome, the indicators, and the measurement and use of these indicators appear to have been underdeveloped in the prior CPD. This has made it difficult to identify and measure outcomes and UNDP's contributions to them under CPD Outcome 3. UNDP-Afghanistan and GIRoA institutions should manage for results at the outcome level, and develop indicators and systems for measurement that are useful for management. UNDP should use CPD outcomes and progress towards these outcomes for the management of programmes. These outcome-level indicators can be used together with output-oriented indicators to better understand programmes and how they together contribute towards CPD Outcomes. Processes could be linked to GIRoA institutions to make monitoring and evaluation a continuous process that focuses both partners on outcomes as well as outputs.
2. *Support ways to integrate bottom-up planning with top-down budgeting:* UNDP-Afghanistan should work to help Afghanistan link all of the local, district/municipal, and provincial planning that is done through consultative and representative institutions with centralized GIRoA executive branch budget development and implementation processes. Keeping the two separate as is now largely the case across the country supports neither government performance nor democratic development. Integrating the two could link the preferences of Afghans to GIRoA spending in ways that support accountability and efficiency - thus developing critical democratic practices, promoting better government performance, and better meeting the diverse service delivery priorities of communities. These linkages can help Afghans benefit from the investments in state capacity building over the past decade by not only encouraging its use to deliver services but also engaging them in the political decision making about what kinds of services are delivered to whom that is central to their future.

6. Annexes

Inception Report, with Terms of Reference

UNDP/Afghanistan CPD Outcome 3 Evaluation

*The state has improved ability to deliver
services to foster human development and
elected bodies have greater oversight capacity*

Inception Report

12 October 2013

**Cecile Collin
Abdul Moien Jawhary
Lawrence Robertson**

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1. INTRODUCTION

This inception report for UNDP/Afghanistan proposes a plan for discussion and approval by the Strategic Management Support Unit for an outcome evaluation of CPD Outcome 3, “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity,” to be carried out by a three-person team in October and November 2013. The plan outlined in this inception report will be discussed with UNDP in Kabul and other UNDP stakeholders, adjusted as needed for finalisation, and then executed by the team for UNDP/Afghanistan.

1.1. Objectives of the evaluation

The purpose of the CPD Outcome 3 evaluation is to take stock and evaluate UNDP contribution towards strengthening the country’s governance institutions to improve public service delivery. These outcomes were envisaged under the Outcome 3 in the CPD and CPAP. UNDP plans to use the evaluation findings mainly to inform the planning, design, and formulation of the new Country Programme Document for UNDP Afghanistan, which will cover the period 2015 to 2018.

The evaluation will also provide inputs to the Assessment of Development Results of the UNDP Evaluation Office.

The outcome evaluation will assist UNDP in gaining a better understanding of:

- a) the extent to which the planned outcome and the related outputs have been, are being achieved, or are likely to be achieved by end 2014;
- b) the causal linkages by which outputs contribute to the achievement of the specified outcome;
- c) concrete evidence of UNDP contribution to outcomes;
- d) if, and which, programme processes such as strategic partnerships and linkages are critical in producing the intended outcomes;
- e) factors that facilitate and/or hinder the progress in achieving the outcome, both in terms of the external environment and those internal to the portfolio interventions including: weaknesses in design, management, human resource skills, and resources;
- f) strategic values and comparative advantage of UNDP in contributing to the outcome; and
- g) lessons learned from the implementation of the interventions.

1.2. Background and context

The UNDP Country Programme Document (CPD) for Afghanistan for 2010-2013, later extended through 2014, was designed to advance and deepen the progress made in the previous programming cycle in promoting stabilization, state building and governance, and strengthening democratic institutions in the country. It was developed in consultation with the Government and development partners and reflects the national development priorities articulated in the Afghanistan National Development Strategy (ANDS) the

United Nations Development Assistance Framework (UNDAF) priorities. The CPD also takes into account that UNDP operates under the overall mandate of the United Nations Assistance Mission in Afghanistan (UNAMA). Under the CPD, UNDP Afghanistan works to contribute towards the achievements of six development outcomes:

- Outcome 1: Capacity in state and non-state institutions increased to contribute to overall stabilization and peace-building.
- Outcome 2: Effectiveness of the justice system is improved and access to justice is increased.
- Outcome 3: The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.
- Outcome 4: The state and non-state institutions are better able to promote democratic participation and be accountable to the public.
- Outcome 5: Capacities of national and local governance bodies are improved for better natural resource and disaster risk management.
- Outcome 6: Increased opportunities for income generation through the promotion of diversified livelihoods, private sector development and public-private partnerships.

This Inception Report, in line with the Evaluation Plan of UNDP Afghanistan and UNDP Evaluation Office standards and guidance, proposes a plan for an outcome evaluation to assess UNDP contributions towards progress made on outcome achievements for CPD Outcome 3: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.”

As suggested by the division of the outcome statement into two independent clauses, this outcome has two components. The first, “the state has improved ability to deliver services to foster human development” focuses on executive branch agencies that are expected by their mandates to deliver goods and services to the people of Afghanistan to support their human development. The second, “elected bodies have greater oversight capacity,” covers legislative institutions elected by the people which are expected to support their constituents, in part through the oversight of the executive branch. The report is likely to be unbalanced in emphasis and size however, as the UNDP and other international actors appear to have systematically focused less on and provided less support to the development of these representative institutions at the national and provincial levels.¹

1.3. Scope of the evaluation

This evaluation is to evaluate the collective results of UNDP’s contributions towards strengthening the country’s governance institutions to improve public service delivery as implemented through various initiatives under the Outcome 3 of the current CPD/CPAP.

¹ District-level representative bodies in Afghanistan vary, but are not state bodies, have not been elected through processes with universal suffrage, and not mandated with key governance responsibilities – particularly oversight - like the two houses of the Parliament or Provincial Councils. Bodies such as District Development Assemblies will thus not be considered in the evaluation.

The evaluation team will consider overall progress towards Outcome 3 and the sources of this progress, in particularly UNDP initiatives in this area. The team will also endeavor to explore other contributions by UNDP beyond projects such as policy advocacy.

Programmatic scope:

UNDP Afghanistan has implemented four main projects under this outcome. These projects also may contribute to other CPD Outcomes. The Outcome evaluation will focus on the contribution of these projects – but not only these projects – when considering UNDP’s contributions towards any progress in Outcome 3 outcomes. The four key initiatives are:

- 1) National Institution Building Project (NIBP)** – UNDP works mainly with the Independent Administrative Reform for Civil Service Commission (IARCSC) to provide capacity development (CD) support to Afghanistan Government at the national and sub-national levels. The project places international capacity development advisors and national capacity development officers in ministries and departments to provide CD support to civil servants. NIBP, implemented 2010-2013, also promotes South-South “twinning arrangements” and partnerships between Afghanistan ministries and agencies with corresponding ministries and agencies of other countries to transfer specialized skills and experience. NIBP has three main outputs:
 - 1.1 Institutional and organizational capacity of selected government entities strengthened by policy and strategy development and systems improvement through coaching and advisory services to improve service delivery and to support Public Administration Reform (PAR) objectives;
 - 1.2 Institutional and organizational capacity development of selected government entities improved through coaching and advisory services in alignment with Civil Technical Assistance Plan; and
 - 1.3 PAR management and coordination capacity of IARCSC strengthened and institutional and policy support for implementing required training programmes for civil servants established.
- 2) National State Governance Project (NSGP)** – NSGP, covering 2010/2 to 2013, works directly with the Office of the President (OoP) to enable more effective policy and decision making at the center of the government. The project focuses on improving organizational, management, and administrative effectiveness of the OoP; strengthening policy planning, analysis, monitoring, and coordination among relevant state actors; and improving the infrastructure and facilities of the OoP. NSGP works to deliver four outputs:
 - 2.1 An enabling organizational environment is in place to support the operations and programs of the President’s Office;
 - 2.2 Capacity of First Vice-President Office in planning and service delivery improved;
 - 2.3 Strengthen the human and institutional capacity of the second Vice President to support the President in achieving his mandate; and

- 2.4 Improved policy analysis and technical capacity of Council of Ministers and Cabinet Committees – Office of Administrative Affairs.
- 3) Afghanistan Sub-National Governance (ASGP)** – ASGP supports the Government in developing capacity and systems to ensure effective implementation of the governance strategies outlined in the ANDS under the Good Governance and Rule of Law pillar, and the Afghanistan Compact addressing the challenges identified for sub-national governance. ASGP is now in its second phase for 2010 to 2014. ASGP has three outputs:
- 3.1 National systems, procedures, and legal frameworks to implement, coordinate, and monitor subnational governance policy are in place;
 - 3.2 Provincial and District Governors' Offices have the capacity to develop and lead the implementation of strategies for improving security, governance, and development in accordance with ANDS; and
 - 3.3 Democratically elected Municipal administrations are collecting revenues and delivering basic services under an improved organizational framework by 2014.
- 4) Making Budgets and Aid Work (MBAW)** - MBAW, now in its third phase, supports the Budget Department of Afghanistan's Ministry of Finance, aiming at developing capacity, process, and systems to ensure effective implementation of the Government's strategies in addressing challenges for improved public finance management, as outlined in the ANDS and Joint Coordination and Monitoring Board. MBAW also aims to contribute to overall improvements of the country's aid effectiveness. MBAW deliver three outputs:
- 4.1 Improved budget planning and management (the budget is comprehensive, policy-based, prepared in an orderly manner, and supportive of the national development strategy);
 - 4.2 National policy and strategy development and coordination of external assistance aligned with Paris Declaration and ANDS implementation improved; and
 - 4.3 Improved Budget Execution and delivery management and sustainable Institutional capacity developed at MoF and Government Institutions.

The evaluation will also consider the two UNDP projects that provided support to the Parliament.

- 5) Support to the Establishment of the Afghan Legislature (SEAL) and SEAL 2**
These two closed UNDP projects appear to be the only initiatives that worked with the national parliament. The national parliament has also been supported by one longstanding USAID project, and a new intervention that has just begun.

Time frame:

How the overall results of the four key projects contribute to the outcome will be evaluated since the start of each project's current phase that falls within the present

Country Programme Document's period (2010-2014). The timeframe of these four projects is:

- NIBP (2010-2013)
- NSGP (2010-2013)
- ASGP (2010-2014)
- MBAW (2007-2013)

Geographic coverage:

NIBP works with the 25 key ministries and government agencies, centrally located in Kabul. It also reaches out and works with all civil training institutes and centers in all 34 provinces in Afghanistan.

NSGP mainly works with the Office of the President, located in Kabul.

ASGP's key project partners are the Independent Directorate of Local Governance and the Independent Administrative Reform and Civil Servant Commission, situated in Kabul. Through its provincial approach in the second phase, it has also established partnerships with each of the 34 provincial governors and also with provincial and municipalities on a demand basis.

MBAW works mainly with the Budget Department of the Ministry of Finance, located in Kabul.

This evaluation will cover the entire geographical reach of all projects through an examination of national-level outcomes, aggregate data available at the national and regional level, supplemented by data collected through fieldwork in Kabul with a sample of ministries and a diverse sample of provinces across the country.

Target groups and stakeholders:

Target groups and stakeholders of UNDP's interventions under these four projects vary depending on the planned results of each output. They are mainly the key government counterparts for each project. Other stakeholders are other multilateral and bilateral partners of the Government of Afghanistan, some of which have projects to support similar objectives with the main partners of CPD 3 interventions.

2. METHODOLOGY

UNDP outcome evaluations assess UNDP contributions towards the progress made on outcome achievements. The CPD 3 Outcome evaluation will thus address broad-based linkages to support the development of governance; partnerships across agencies; analyses of how other external local, regional and global environmental factors affect development across Afghanistan; the comparative influence of UNDP and other actors; and the significance of progress made in the development of the Afghan state's improved

ability to deliver services to foster human development and greater oversight capacity of elected bodies over the CPD's lifetime. Contributions from UNDP are likely to come from the projects above, but not only be from these four projects.

2.1. Evaluation criteria and questions

The evaluation will be conducted with the following evaluation criteria as guided by the Development Assistance Committee's Criteria for Evaluation of Development Assistance, as endorsed by UNDP's Evaluation Policy:²

a) Relevance

- To what extent do the intended outcome and the relevant outputs address national priorities and to what extent is this aligned with UNDP's mandate?
- Have UNDP interventions been relevant to women and other marginalized populations?
- Has UNDP been able to adapt its programming to the changing context to address priority needs in the country?
- What are potential area of engagement for UNDP's next Country Programme in relation to strengthening Afghanistan's governance institutions to improve public service delivery?

b) Effectiveness

- To what extent the planned outcome has been or is being achieved? Are there any additional outcome(s) being achieved beyond the intended outcome?
- How have corresponding results at the output level delivered by UNDP affected the outcome, and in what ways have they not been effective?
- What are the challenges to achieving the outcome?
- Has UNDP best utilized its comparative advantage in deciding to deliver these planned outputs?
- What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome?
- Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome?
- To what extent did the results, both at the outcome and output levels, benefit women and men equally?
- Is the current set of indicators, both outcome and output indicators, effective in informing the progress made towards the outcomes? If not, what indicators should be used?

c) Efficiency

- Has there been any duplication of efforts among UNDP's own interventions and interventions delivered by other organizations or entities in contributing to the outcome?

² See UNDP, 'The evaluation policy of UNDP', DP/2011/3, 10 November 2010.

d) Sustainability

- How strong is the level of ownership of the results by the relevant government entities and other stakeholders?
- What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved?
- What could be done to strengthen sustainability?

2.2. Conceptual framework

The evaluation will use as a reference the UNDP documents “Outcome Level Evaluation, a Companion Guide to the Handbook on Planning Monitoring and Evaluating for Development Results for Programme Units and Evaluators,” as well as the PME Handbook. Consequently, the following definition, extracted from the PME Handbook, will be used:

Outcomes describe the intended changes in development conditions that result from the interventions of governments and other stakeholders, including international development agencies such as UNDP. They are medium-term development results created through the delivery of outputs and the contributions of various partners and non-partners. Outcomes provide a clear vision of what has changed or will change globally or in a particular region, country or community within a period of time. They normally relate to changes in institutional performance or behaviour among individuals or groups. Outcomes cannot normally be achieved by only one agency and are not under the direct control of a project manager (p. 3).

The evaluation will not only focus at the outcome level but examines the performance of UNDP’s intervention, via the projects implemented, throughout the results chain. As mentioned in the above mentioned document:

In order to understand whether everything has been done to contribute to the achievement of outcomes, evaluations also need to look at how well the initiative was planned, what activities were carried out, what outputs were delivered, how processes were managed, what monitoring systems were put in place, how UNDP interacted with its partners, etc. Outcome-level evaluation does not, therefore, imply an exclusive preoccupation with outcomes; but it does mean that all UNDP initiatives should be evaluated in terms of their overriding intention to bring about change in human development conditions at the outcome level (p. 4).

The focus will be on progress towards the outcome in the country, which exceeds what UNDP had planned and been able to contribute to. As per the Terms of Reference, the evaluation will cover:

- An assessment of progress towards the outcome in Afghanistan;
- An assessment of factors affecting the outcome in Afghanistan;

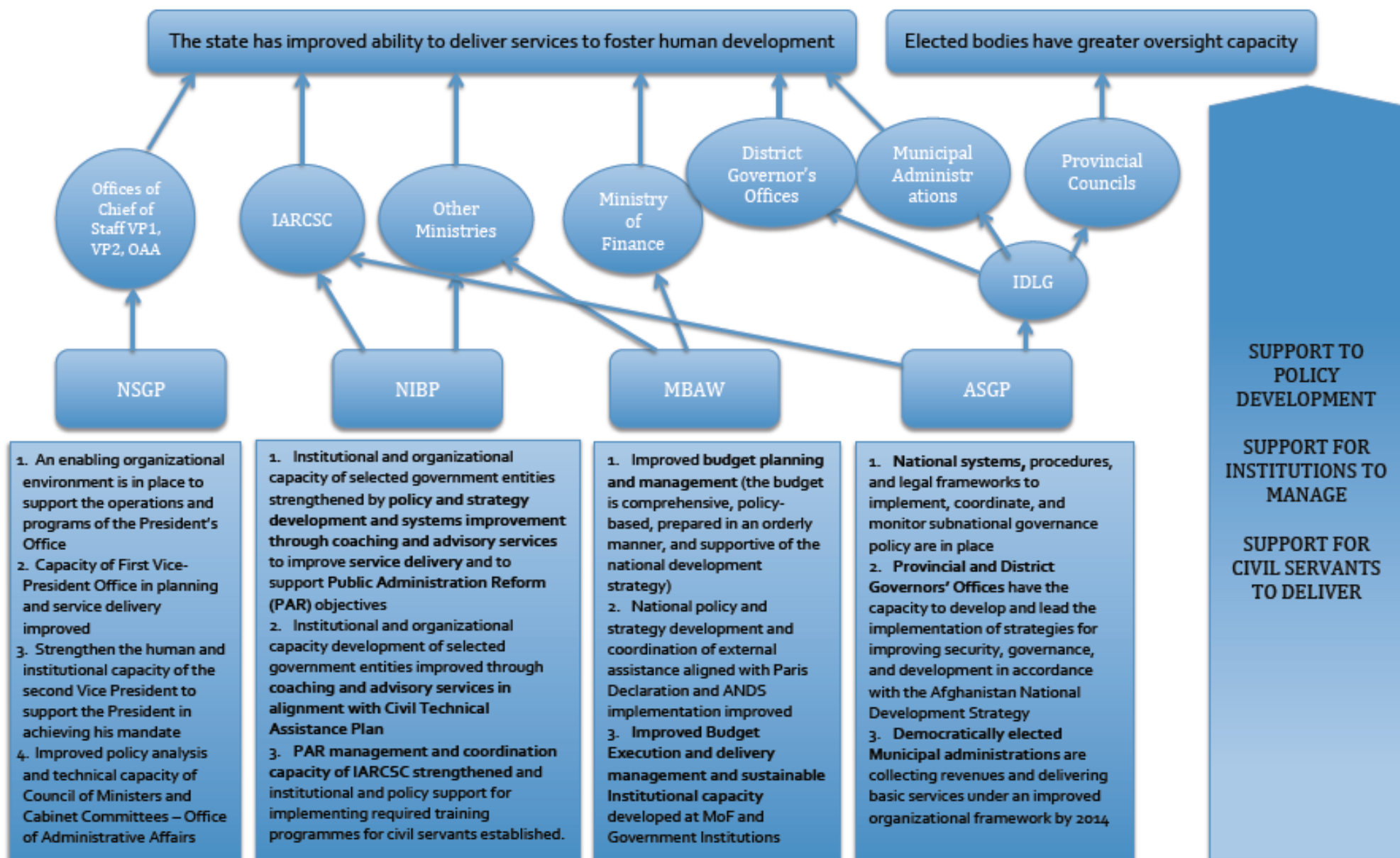
- An assessment of key UNDP contributions to outcomes
- An assessment of the partnership strategy used.

The conceptual framework focuses on the frame and logic for the Outcome, “the state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity,” for the evaluation. In conducting the work, the Evaluation Team will refine the approach, conduct fieldwork to gather data, analyse these data, and then draft and finalise a report on CPD Outcome 3 that explains why governance is critically important in Afghanistan as well as explains the engagement of the UN, UNDP, and other international actors in supporting governance in the challenging environment of the country.

The focus of the evaluation will remain on the high CPD 3 level outcomes: “The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.” The CPD in 2009 conceptualized the links as follows:

UNDP will work in several mutually reinforcing areas to promote good governance at the national level, with a particular focus on sub-national levels. Governance programmes will cover institutional development, leadership training, administration reform and capacity building / strengthening of provincial, district and municipal level entities to achieve service delivery improvements. (p. 5)

The logic framework for UNDP contributions to this outcome to be examined in the evaluation is thus two sided, aiming at the each of the two independent clauses. For all of the areas where UNDP has programmes in the following figure, there are also other initiatives from other donors that will be taken into account in the fieldwork and analysis.



Afghanistan has a highly centralised system of government, with officials appointed at all levels by the President through the advice and support of IDLG. Presidential appointees lead all regional, district, and municipal administrations. These are provincial governors, district governors, and mayors. The executive branch is also composed of ministries and independent agencies; Ministers and the boards of independent agencies are appointed by the President. Ministers are subject to confirmation by Parliament (the first oversight by elected bodies). Other high ranking ministerial staff are appointed by Ministers. Local provincial level directors of ministries are formally accountable and report to their ministries in Kabul, not to the provincial governor.

Other than the President (and team of First and Second Vice Presidents), constitutionally-mandated elections are held for only two other state bodies: Parliament (composed of an Upper House and Lower House) and provincial Councils. Per the Outcome statement on oversight by elected bodies then, this oversight is expected to come from Parliament at the national level and from provincial councils at the provincial level. Oversight of the executive branch is one of their major responsibilities at both levels, and below to the district level to some extent for provincial councils. Parliament and provincial Councils do more than oversee, with lawmaking functions of Parliament at the national level and consultative processes for provincial councils in provincial policy implementation. There are no elected bodies at the district level, although there are quasi-state bodies chosen through processes that represent other representative local bodies at this level.

2.3. Evaluability

Stakeholder analysis

Several levels of synergies need to be taken into account for the evaluation of UNDP's contribution to the outcome. This includes programmes and organizations targeting the same institutions than Outcome 3, for similar types of purposes or for other motivations.

The first level is synergies with the other CPD outcomes, which include a component of State capacity building and Public Administration Reform. All CPD outcomes comprise support to State institutions, but the following outcomes are more likely to involve more directly the stakeholders targeted by Outcome 3. This concerns particularly the following outcomes:

- Outcome 1: Capacity in state and non-state institutions increased to contribute to overall stabilization and peace-building.
- Outcome 4: The state and non-state institutions are better able to promote democratic participation and be accountable to the public.
- Outcome 6: Increased opportunities for income generation through the promotion of diversified livelihoods, private sector development and public-private partnerships. This outcome has indeed a component of local governance

The evaluation will have to analyse to what extent the complementarity of the outcomes was planned at the design stage and monitored during the programme implementation. The possible effects of the results of other UNDP programmes on Outcome 3 will be also part of the analysis.

The second level of synergies concern the interventions undertaken by the State institutions in parallel to the interventions related to UNDP Outcome 3. To some extent, they will determine how the outputs of the UNDP activities will be used and capitalized towards the achievement of the Outcome, or possibly used for other purposes. This can include also strategic choices and policies.

The third level concerns external stakeholders' actions, which are likely to contribute positively to the outcome. International organizations, bilateral donors interventions, NGOs, associations, research centre, civil society are expected to support directly the State institutions on similar or specific aspects, or indirectly with advocacy or lobbying to increase the State accountability in the completion of its duties. Previous or parallel programmes on governance, such as USAID or Asia Foundation

The fourth level comprises interventions or external factors, which are likely to affect negatively State progresses on good governance and rule of law. This can include insecurity maintained by some warlords. On some cases, they can hardly be identified precisely and can then only be included to a limited extent in the evaluation.

Evaluation of the outcomes for CPD 3 "The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity" can plausibly be done. The evaluation will:

- adequately define the outcome, based on the CPD text and understanding of UNDP management and the context at the time;
- unpack the logic behind the outcome and the causal chain expected to produce these changes;
- clarify variables in the logical model;
- identify how these variables can be measured;
- gather data for their measurement;
- consider the drivers behind these changes, particularly of the role of UNDP projects in CPD3; and
- place these changes in the broader context of developments in Afghanistan.

Indicators

Existing and past indicators are a starting point for the outcome evaluation. Although not clear in either the character of or measurement for some indicators, the CPAP proposed that the achievement of this outcome would be measured through the following indicators:

a) Number of clients satisfied with improved service delivery of public sector

Baseline: TBD

Target: TBD

b) Public perception of government performance combating corruption

Baseline: 66% negative opinion (2008 survey)

Target: 56% (decrease by 10% from the baseline)

c) Patterns of resource allocation and utilization by sectors addressing citizens' needs

Baseline: 2009 national budget allocation by sectors
Target: Increase in budget allocation (ration) in social sectors

d) Ministries engaged in implementation of ANDS have adequate capacities for analysis and development of policies to support programme and projects

Baseline: 2 policy unit currently in place and operational in the Ministry of Economy and the Ministry of Commerce and Industry

Target: At least 6 key ministries equipped to undertake policy analysis and development, and all such units operationally and programmatically linked to the Office of the President

In early 2013, indicators for this CPAP outcome were revised to:

a) Level public satisfaction with education for children and availability of clean drinking water

Baseline: 2009: Satisfaction with education: 67% and Satisfaction with availability of clean drinking water: 63%

Target: 2013: Satisfaction with education: 80%; Satisfaction with availability of clean drinking water: 75%

b) Percentage of citizens who see corruption as a major problem in various facets of life and at all levels of Government

Baseline: 2009: 76%

Target: 2013: 66%

c) Percentage of state budget allocation for Education, Health and Social Protection

Baseline: 20.2%

Target: 25%

As suggested in the TOR for the CPD 3 evaluation, these indicators may not be the most appropriate ways of measuring the progress or the achievement of the outcome. The evaluation team will examine and use these indicators, but also focus on designing, measuring, and gathering data on other indicators that can plausibly better measure the outcome or progress toward the outcome. These indicators must also have baseline measurements or ones that can plausibly be reconstructed. A new set of indicators may need to be developed and baselines reconstructed on the basis of information available for the period immediately preceding the start of the CPD/CPAP period.

Baselines

Baseline data for some of these indicators was not included in the CPAP. Limited data quality and availability at the beginning of the programme may have had important effects. The evaluation will include examining perceived changes as noted by informants interviewed that had worked on these issues before and after the start of CPD and project implementation and possibly ask counterfactual questions, such as “what do you think the outcomes in _____ would be have had if there have been no UNDP project in this area?”

2.4. Data collection methods

The CPD Outcome 3 team's data collection methods will include:

- Desk reviews of relevant documents
- Key informant interviews;
- Focus groups;
- Direct observations during field visits to selected sites; and
- Gathering previously collected survey data.

Desk review of document will include materials such as Afghanistan National Development Strategy, Afghanistan's National Priority Programs, and other documents related to national development policies; the United Nations Development Assistance Framework for Afghanistan (UNDAF), UNDP Afghanistan's Country Programme Document (CPD) and Country Programme Action Plan (CPAP); UNDP and other multilateral and bilateral agency project documents, progress reports, and evaluations; business and contractor reports; and independent think tank, university, and non-government organisation (NGO) studies from Afghan and international sources.

Key informant interviews (KIIs) will focus on key Afghan government, UNDP, and other donor/implementer counterparts for government capacity building in executive and legislative institutions. Interviews will focus largely but not only on Kabul, with fieldwork to selected provinces. KIIs will focus on the types of project engagements and their effects on their organisations/target organisations and service delivery or oversight. Semi-structured KII instruments and protocols will be developed and used to ensure that KIIs are systematic and target outcomes.

The evaluation team plans to organise focus groups led by the national consultant in Dari or Pashto with selected staff from a sample of the key counterpart ministries and independent agencies of the main UNDP projects under CPD 3. Focus group discussions will focus on the types of project engagements and their effects on their organisations and service delivery. The evaluation team will develop focus group instruments and protocols to make processes systematic and target outcomes.

Direct observation will examine civil service working conditions and practices in a sample of Ministries/Independent Agencies in Kabul, as well as these conditions and practices in a sample of Provincial capitals selected for fieldwork. Direct observation will also consider Provincial Council conditions and practices, as well as those in Parliament. Direct observation protocols will be developed and used to make observation systematic and target outcomes.

The evaluation team will also gather, assess, and analyse existing survey research and other data on Afghanistan relevant to CPD outcomes. Reliable survey research has been conducted annually across Afghanistan for many years that has asked large samples of the population questions that can inform the team about attitudes, practices, and changes at the aggregate level and among key segments of the population, such as women. Data from The Asia Foundation's annual Survey of the Afghan People will be examined, as will other sources.³ The World Bank

³ Data from the TAF survey conducted in July 2013 may be obtainable before public release, planned for November.

has produced several volumes on capacity development, including on Afghanistan. Most relevant, the draft is available for the 2013 Public Financial Management Assessment, which can be compared to the earlier period.⁴

The team will make additional efforts to include the gender dimension in the data collection. The number of women in elected bodies is encouraged by quotas for female Provincial Council Members and for Members of Parliament. The team will ensure that we discuss oversight with female and well as male members of these elected bodies, and consider support to them to carry out oversight. Women are underrepresented in the civil service and even more so in the management of executive branch agencies and ministries. We will ensure that we select some women civil servants to discuss capacity building overall and the contributions of projects through additional outreach to some of our sample of Ministries and independent agencies selected for examination.

Evaluation principles

The evaluation will be carried out according to the following principles.

Independence and neutrality

The team does not have any financial or other ties to UNDP or its national and international development partners that could be construed as a conflict of interest. Team members will undertake the review in a neutral and objective manner and avoid any perceptions of bias.

Transparency

The mission will take place in a transparent manner, identifying the goals of the review explicitly to UNDP and its partners alike.

Confidentiality

Interview, focus group, and survey participants that contribute to the findings, conclusions, and recommendations will not be identified by name, position, or institution. Oral and survey statements not be attributed to specific individuals or organizations.

Evidence-based triangulation

The team will ensure that the findings, conclusions, and recommendations are supported by clear, factual evidence and will triangulate data and findings using different sources and different data collection methods

Participation

The evaluation will adopt a participatory approach, involving beneficiaries and structures having a stake in the interventions in the formulation of findings and recommendations, and include women in the selection of interviews.

⁴ World Bank. May 2008. *Afghanistan: Public Financial Management Performance Assessment*. Washington: World Bank.

Protection

The study will take care to not to put at risk any of individuals or organizations consulted and involved in the fieldwork. Security concerns will be assessed in coordination with UNDP security.

Gender mainstreaming

The evaluation will take into consideration the extent to which gender is included in the programming at each level and the challenges in doing so in the Afghan context.

Inclusivity

Data collection and analysis will consider disadvantaged and marginalized populations.

2.5. Analytical approaches

Since the UNDP interventions that contribute to this outcome cover the entire country, the evaluation team has developed a sampling methodology to ensure that the evaluation findings and judgments are based on a strong set of data that represents important constituencies across Afghanistan. Sampling will be used in the following ways:

- Selecting key informants from Afghan executive branch agencies;
- Selecting civil service focus group participants from ministries and agencies;
- Selecting key informants from elected Afghan bodies;
- Selecting provinces for fieldwork.

Sampling logic will also guide interviews, focus groups, and direct observation at the provincial level and in the selection of executive branch ministries/agencies. This sampling will be both systematic, as below, and opportunistic.

The evaluation team plans fieldwork in the following provinces: Parwan, Bamyan, and Herat. The team plans to sample some municipal and district officials from these provinces as well, through meetings in the provincial center. One of the main alternative explanations for challenges in the development of Outcome 3 evaluation outcomes across Afghanistan is the level of insecurity and conflict. Examination of Outcome 3 in areas with less violence and insurgency may be informative about alternatives, in areas with different economic and social patterns as well as different demographics. This logic guides our case selection. Bamyan has the least violence of Afghan provinces, although some districts face insecurity challenges. Based on initial interviews with UNDP programme managers in Kabul, these provinces also vary in the amount of attention and assistance they have received from projects, with Parwan least and Herat and Bamyan more. Parwan also has not apparently been the focus of other targeted donor projects that may also have an influence on capacity built in the region; this targeting has in part been through UNDP projects, with earmarking from Italy (Herat) and Switzerland (Bamyan).

Provincial level interviews will also be opportunistic. Fieldwork in Kabul provides opportunities for engagement with Provincial and District officials and Parliamentarians/Provincial Council members. Their responsibilities frequently bring them to Kabul, and in addition, security concerns leave some often in the capital. The team will thus reach out to and sample a set of officials and elected members of representative institutions in Kabul. This procedure will allow for sampling views and experiences that in provinces with different levels of conflict and

insecurity, as well as different demographic, economic, and social patterns. The team has enlisted and appreciates NIBP and ASGP support for interview contacts and the timing of interviews.

Based on initial discussions with UNDP about project activities and project documents, the team has selected three Government of Afghanistan ministries or independent departments for additional interviews and focus groups: the Ministry of Transport and Civil Aviation, Ministry of Commerce and Industries, Ministry of Labour, Social Affairs, and Martyrs. These three have been particular partners for NIBP, including at the provincial level in Herat (and not in Bamyan and Parwan for comparison). We will also conduct interviews with particular foci of projects such as the Ministry of Economy's donor coordination mechanism.

This is in addition to the team's focus on the IDLG, IARCSC, MoF, and OoP (the key counterparts of the four projects). Sampling has been driven by initial understandings about the variation in project support to these agencies; many donors and large programs have supported the MoF and IARCSC. Few donors have addressed the three ministries selected. This will make it easier to examine contributions from UNDP projects to capacity development, and sampling on this independent variable will prevent bias that comes from sampling on perceptions of outcome.

2.6. Risks and potential shortcomings

Data limitations and security risks are potential shortcomings in the evaluation. The Evaluation Team is not able to cover the full diversity of Afghanistan in 20 days of fieldwork. UNDP security regulations and considerations have the potential to limit access to some areas of the country and of project work. The team has developed survey methods to help manage these difficulties. TAF may not produce or share 2013 data in time for the final report. The longer sequence of TAF surveys provides sufficient data to understand trends and would go through July 2012 even if 2013 data are not made available. Pre-electoral campaigning for the next provincial council and presidential elections may make it more difficult to reach some parliamentary or provincial council members for interviews. Parliament in particular may prove difficult to cover, as UNDP has had only small programmes there that have now closed. The team will discuss Parliamentary assistance with other UNDP staff, including those developing a potential new initiative, as well as other projects in this area (USAID support through the National Democratic Institute, DAI, and State University of New York).

3. PROGRAMME OF WORK

This section outlines the procedures and deliverables for the CPD Outcome 3 evaluation.

3.1. Phases of work

The evaluation team will produce the following five deliverables:

- This **Evaluation Inception Report**, explaining what the evaluation will evaluate, the purpose of the evaluation, an evaluation matrix outlining data collection methods for each

of the evaluation questions, and proposed schedule of tasks for presentation and discussion with UNDP;

- **Zero draft Evaluation Report** for initial feedback from UNDP;
- **Draft Evaluation Report** to be shared with UNDP and relevant stakeholders;
- **Evaluation debrief presentation** on the main findings for a meeting with UNDP and key stakeholders;
- **Final Evaluation Report**; and
- **Evaluation Brief** of approximately two pages that provides a concise summary of evaluation findings in plain language that can be widely circulated.

The Final Evaluation Report will outline and explain findings; judgments made following the evaluation criteria and questions based on a good analysis of qualitative and quantitative evidence; lessons learned; and forward-looking, realistic, and actionable recommendations.

The Final Evaluation Report will have the following structure:

- Title and opening pages
- List of acronyms and abbreviations
- Executive summary
- 1. Introduction
- 2. Description of the interventions
- 3. Evaluation purpose, objective, and scope
- 4. Evaluation methodology
- 5. Evaluation findings
- 6. Recommendations
- 7. Annexes
 - Inception Report, with TOR
 - Data collection report
 - a. Field visits
 - b. Institutions of people interviewed (names not mentioned)
 - c. Documents reviewed

The report will clearly indicate whether sections and statements are descriptive, analytical, evaluative, summative, or makes a recommendation through the organisation of the report and in the language of the report's sections.

3.2. Team composition and responsibilities

The independent evaluation team consists of three members: one Evaluation Team Leader (TL) and two Evaluations Specialists.

The TL Lawrence Robertson is responsible for overall coordination of the evaluation team, and for the overall quality and timely submission of the evaluation report to UNDP. The TL has and will:

- Serve as the focal point of the evaluation in liaising with UNDP evaluation manager;
- Lead and manage the evaluation mission;

- Prepare, finalize, and lead the presentation of the inception report;
- Decide the division of tasks and responsibilities within the evaluation team;
- Draft and present the evaluation report and evaluation findings; and
- Finalize the whole evaluation report and submit it to UNDP.

Evaluation Specialists Cecile Collin and Abdul Moien Jawhary have and will:

- Contribute to the development of the Inception Report and the design of the detailed evaluation scope and methodology (including the methods of data collection and analysis);
- Perform evaluation-related roles and activities as agreed with the Evaluation Team Leader and as outlined in the Inception Report; and
- Contribute to the preparation of the draft and finalized evaluation reports including participating in the presentations of findings.

Mr. Jawhary will lead in the identification of Afghan stakeholders in the executive branch, elected bodies, and civil society and Ms. Collin will lead in the identification of UNDP and other donor staff and management. Mr. Robertson will lead in the identification of other international stakeholders, particularly U.S. government agencies and their partners and contractors.

In executing the fieldwork, Mr. Jawhary will lead in fieldwork with Afghan stakeholders, including: identifying key organizational and individual stakeholders and arranging KIIs and arranging and conducting focus groups, after the development and testing of focus group instruments and protocols. Ms. Collin will lead in gathering UNDP and other UN agency materials. Mr. Robertson will lead in the identification, gathering, and analysis of other survey data and external reports. The team will develop additional ways to divide and manage the tasks of the outcome evaluation under the leadership of the TL.

3.3. Management and logistic support

The Evaluation Team will work closely with UNDP/Afghanistan's Evaluation Coordinator throughout the work. All local transportation and transportation within Afghanistan will be arranged by UNDP/Afghanistan. UNDP/Afghanistan Department of Safety and Security (DSS) will clear all potential sites for fieldwork before travel or site visits.

3.4. Calendar of work

The CPD Outcome 3 evaluation team proposes the following schedule for completing the outcome evaluation.

- Draft Inception Report submission October 2.
- Presentation of Draft Inception Report October 9.
- Final Evaluation Inception Report (on or about October 13, 2 working days after receiving feedback from UNDP on the Draft Inception Report)
- Fieldwork in Afghanistan October 6 to 31.
- Evaluation Debrief (October 29) to present the main findings to UNDP and key stakeholders;

- Draft Evaluation Report (November 9, 10 days after data collection mission ends) to be shared with UNDP and relevant stakeholders for feedback and quality assurance; and
- Final Evaluation Report and Evaluation Brief (on or about November 21, 5 days after receiving feedback from UNDP – assuming one week for UNDP review from November 10-14).



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Annex 1. Terms of reference of the evaluation

UNDP Afghanistan TERMS OF REFERENCE

Outcome Evaluation: CPD Outcome 3 (Strengthening Democratic Governance for Service Delivery)

Title: **Evaluation Team Leader** (1 position, Afghan national or international, maximum 40 days)
Evaluation Specialists (2 positions, Afghan national or international, maximum 30 days each)

Type of Contract: Individual Contract

Timeframe: August – November 2013

Duty Station: Home-based with travel to and within Afghanistan

1. INTRODUCTION

The UNDP Country Programme Document (CPD) for Afghanistan for 2010-2014 is designed to advance and deepen the progress made in the previous cycle in promoting stabilization, state building and governance, and strengthening democratic institutions in the country. It has been formulated in consultation with the Government and development partners and reflects the national development priorities articulated in the Afghanistan National Development Strategy (ANDS) and the United Nations Development Assistance Framework (UNDAF) priorities, and takes into account that UNDP operates under the overall mandate of the United Nations Assistance Mission in Afghanistan (UNAMA). Under the CPD, UNDP Afghanistan works to contribute towards the achievements of six development outcomes:

- Outcome 1: Capacity in state and non-state institutions increased to contribute to overall stabilization and peace-building.
- Outcome 2: Effectiveness of the justice system is improved and access to justice is increased.
- Outcome 3: The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.
- Outcome 4: The state and non-state institutions are better able to promote democratic participation and be accountable to the public.
- Outcome 5: Capacities of national and local governance bodies are improved for better natural resource and disaster risk management.
- Outcome 6: Increased opportunities for income generation through the promotion of diversified livelihoods, private sector development and public-private partnerships.

In line with the Evaluation Plan of UNDP Afghanistan, an outcome evaluation will be conducted to assess UNDP contributions towards the progress made on outcome achievements. Specifically to this Terms of Reference, UNDP's contributions towards the following outcome are to be evaluated:

“The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity.”

This TOR outlines the scope, requirements, and expectations of the evaluation and will serve as a guide and point of reference throughout the evaluation.

2. BACKGROUND AND CONTEXT

Democratic governance is central to the achievement of the Millennium Development Goals (MDGs), and, in particular, the elimination of poverty. The attainment of the MDGs in Afghanistan are heavily dependent on strong, legitimate and effective public administration structures, at both central and sub-national level, which are responsive to the needs of ordinary citizens, including the poor. After a decade of massive security, development, and humanitarian assistances, some progress has been made in reconstructing the country, its economy, and its governance system. However, state institutions remain fragile and their capacity to deliver basic services and security throughout the country is still weak. Problems of capacity exist at all levels, from individual to organizational capacity as well as a lack of an enabling environment for further development.

In order to strengthen the cross-cutting and core capacities of the State, UNDP focuses on strengthening the individual and institutional capacities in priority government entities. This includes support to the Centre of Government, enhancement of the aid management capacities and support to information management. At the sub-national level, support focuses on capacity development of the government in formulating and implementing a sub-national governance policy and legal and regulatory framework; development of institutional and administrative capacities in provincial and district administrations to deliver basic services and strengthening the capacity of Provincial Councils to act as the representative link between the State and local communities.

3. EVALUATION PURPOSE AND OBJECTIVES

The 2010-2013 CPD has been extended for another year until 2014 in concurrence with the extension of the UNDAF. The new UNDP Afghanistan Country Programme will start in 2015. The purpose of this evaluation is to take stock and evaluate UNDP contribution towards strengthening the country's governance institutions to improve public service delivery as envisaged under the Outcome 3 in the CPD and CPAP. The evaluation findings will be mainly used to inform the planning, design, and formulation of the new Country Programme Document for UNDP Afghanistan, which will cover the period of 2015-2018. Therefore, this evaluation will need to be forward-looking; the findings and judgments made must be based on concrete evidence that will support UNDP's strategic thinking for its new programme cycle, specifically in determining its strategic priorities in supporting the Government in this outcome area.

Another purpose of this evaluation is to provide inputs to the Assessment of Development Results exercise currently being carried out by the UNDP Evaluation Office.

The outcome evaluation will assist UNDP in gaining a better understanding of the following aspects of its interventions:

- h) the extent to which the planned outcome and the related outputs have been, are being achieved, or likely to be achieved by end 2014
- i) the causal linkage by which outputs contribute to the achievement of the specified outcome
- j) concrete evidence of the UNDP contribution to the outcome including the use of case studies as a tool to explain results
- k) if and which programme processes e.g. strategic partnerships and linkages are critical in producing the intended outcome
- l) factors that facilitate and/or hinder the progress in achieving the outcome, both in terms of the external environment and those internal to the portfolio interventions including: weaknesses in design, management, human resource skills, and resources
- m) strategic values and comparative advantage of UNDP in contributing to the outcome
- n) lessons learned from the implementation of the interventions

4. EVALUATION SCOPE

This evaluation is to evaluate the collective results of UNDP's contributions towards strengthening the country's governance institutions to improve public service delivery as implemented through various initiatives under the Outcome 3 of the current CPD/CPAP.

Programmatic scope:

Under this outcome, UNDP implements four key initiatives:

- 5) National Institution Building Project (NIBP)** – UNDP works mainly with the Independent Administrative Reform for Civil Service Commission (IARCSC) to provide capacity development (CD) support to Afghanistan Government at the national and sub-national levels. The project places international capacity development advisors and national capacity development officers in ministries and departments to provide CD support to civil servants. NIBP, implemented between 2010-2013, promotes “twinning arrangements” and partnerships between Afghanistan ministries and agencies with corresponding ministries and agencies of other countries to transfer specialized skills and experience. NIBP has three main outputs:
 - 1.4 Institutional and organizational capacity of selected government entities strengthened by policy and strategy development and systems improvement through coaching and advisory services to improve service delivery and to support Public Administration Reform (PAR) objectives
 - 1.5 Institutional and organizational capacity development of selected government entities improved through coaching and advisory services in alignment with Civil Technical Assistance Plan
 - 1.6 PAR management and coordination capacity of IARCSC strengthened and institutional and policy support for implementing required training programmes for civil servants established.

- 6) **National State Governance Project (NSGP)** – NSGP, covering the period of 2010-2013, works directly with the Office of the President (OoP) to enable more effective policy and decision making at the center of the government. The project focuses on improving organizational, management, and administrative effectiveness of the OoP; strengthening policy planning, analysis, monitoring, and coordination among relevant state actors; and improving the infrastructure and facilities of the OoP. NSGP works to deliver four outputs:
 - 2.5 An enabling organizational environment is in place to support the operations and programs of the President’s Office
 - 2.6 Capacity of First Vice-President Office in planning and service delivery improved
 - 2.7 Strengthen the human and institutional capacity of the second Vice President to support the President in achieving his mandate
 - 2.8 Improved policy analysis and technical capacity of Council of Ministers and Cabinet Committees – Office of Administrative Affairs

- 7) **Afghanistan Sub-National Governance (ASGP)** – ASGP supports the Government in developing capacity and systems to ensure effective implementation of the governance strategies outlined in the ANDS under the Good Governance and Rule of Law pillar, and the Afghanistan Compact addressing the challenges identified for sub-national governance. ASGP is now in its second phase covering the period of 2010-2014. ASGP implements three outputs:
 - 3.4 National systems, procedures, and legal frameworks to implement, coordinate, and monitor subnational governance policy are in place
 - 3.5 Provincial and District Governors’ Offices have the capacity to develop and lead the implementation of strategies for improving security, governance, and development in accordance with the Afghanistan National Development Strategy
 - 3.6 Democratically elected Municipal administrations are collecting revenues and delivering basic services under an improved organizational framework by 2014

- 8) **Making Budgets and Aid Work (MBAW)** - MBAW, now in its third phase, supports the Budget Department of Afghanistan’s Ministry of Finance, aiming at developing capacity, process, and systems to ensure effective implementation of the Government’s strategies in addressing challenges identified for improved public finance management, as outlined in the ANDS and Joint Coordination and Monitoring Board. MBAW also aims to contribute to the overall improvement of the country’s aid effectiveness. MBAW deliver three outputs:
 - 4.4 Improved budget planning and management (the budget is comprehensive, policy-based, prepared in an orderly manner, and supportive of the national development strategy)
 - 4.5 National policy and strategy development and coordination of external assistance aligned with Paris Declaration and ANDS implementation improved
 - 4.6 Improved Budget Execution and delivery management and sustainable Institutional capacity developed at MoF and Government Institutions

Time frame:

The overall results of the four key projects contributing to the outcome should be evaluated since the start of each project's current phase that falls within the present Country Programme Document's period (2010-2014). Below is the timeframe of the projects contributing to this outcome.

- NIBP (2010-2013)
- NSGP (2010-2013)
- ASGP (2010-2014)
- MBAW (2007-2013)

Geographical coverage:

NIBP works with the 25 key ministries and government agencies, centrally located in Kabul. It also reaches out and works with all civil training institutes and centers in all 34 provinces in Afghanistan.

NSGP mainly works with the Office of the President, located in Kabul.

ASGP's key project partners are the Independent Directorate of Local Governance and the Independent Administrative Reform and Civil Servant Commission, situated in Kabul. Through its provincial approach in the second phase, it has also established partnerships with each of the 34 provincial governors and also with provincial and municipalities on a demand-based basis.

MBAW works mainly with the Budget Department of the Ministry of Finance, located in Kabul.

This evaluation covers the entire geographical reach of all projects.

Target groups and stakeholders:

Target groups and stakeholders of UNDP's interventions under these four projects vary depending on the planned results of each output but they are mainly the key government counterparts for each project.

5. METHODOLOGY

Overall guidance on evaluation methodology can be found in the UNDP [*Handbook on Planning, Monitoring and Evaluating for Development Results*](#). The evaluation team will determine the specific design and methods for the evaluation during the initial inception period in close consultation with UNDP. Specifically on the outcome evaluation, while it should focus on the outcome, it does not mean that other aspects of UNDP initiatives are neglected. In order to understand whether everything has been done to contribute to the achievement of the outcome, the evaluation also needs to look at how well the initiative was planned, what activities were carried out, what outputs were delivered, how processes were managed, what monitoring systems were put in place, how UNDP interacted with its partners, etc. As a result, an outcome-level evaluation does not, therefore, imply an exclusive preoccupation with outcomes; but it does mean that all UNDP initiatives should be evaluated in terms of their overriding intention to bring about change in human development conditions at the outcome level⁵.

⁵ Excerpt from "A Companion Guide to the UNDP Outcome-Level Evaluation (draft, May 2011)

Outcome evaluations include four standard categories of analysis:

- An assessment of progress towards the outcome;
- An assessment of factors affecting the outcome,
- An assessment of key UNDP contributions to outcomes
- An assessment of the partnership strategy used

During the outcome evaluation, the evaluation team is expected to apply a mixed-method approach collecting both quantitative and qualitative data to validate and triangulate data. The development of evaluation methodology will be done in close collaboration with UNDP, to be coordinated by UNDP Afghanistan's Strategic Management Support Unit.

The data collection methods should include, but not limited to,

- Desk reviews of relevant documents (Afghanistan National Development Strategy, Afghanistan's National Priority Programs, and other documents related to national development policies, United Nations Development Assistance Framework for Afghanistan (UNDAF), UNDP Afghanistan's Country Programme Document (CPD) and Country Programme Action Plan (CPAP), project documents, progress reports, relevant evaluation reports and studies, etc.)
- Key informant interviews
- Focused group discussions
- Direct observations during field visits to selected sites
- Administration of surveys/questionnaires

As indicated in the original Country Programme Action Plan (CPAP), the achievement of this outcome will be measured through the following indicators:

e) Number of clients satisfied with improved service delivery of public sector

Baseline: TBD

Target: TBD

f) Public perception of government performance combating corruption

Baseline: 66% negative opinion (2008 survey)

Target: 56% (decrease by 10% from the baseline)

g) Patterns of resource allocation and utilization by sectors addressing citizens' needs

Baseline: 2009 national budget allocation by sectors

Target: Increase in budget allocation (ration) in social sectors

h) Ministries engaged in implementation of ANDS have adequate capacities for analysis and development of policies to support programme and projects

Baseline: 2 policy unit currently in place and operational in the Ministry of Economy and the Ministry of Commerce and Industry

Target: At least 6 key ministries equipped to undertake policy analysis and development, and all such units operationally and programmatically linked to the Office of the President

Since early 2013, indicators for this CPAP outcome have been revised to:

d) Level public satisfaction with education for children and availability of clean drinking water

Baseline: 2009: Satisfaction with education: 67% and Satisfaction with availability of clean drinking water: 63%

Target: 2013: Satisfaction with education: 80%; Satisfaction with availability of clean drinking water: 75%

e) Percentage of citizens who see corruption as a major problem in various facets of life and at all levels of Government

Baseline: 2009: 76%

Target: 2013: 66%

f) Percentage of state budget allocation for Education, Health and Social Protection

Baseline: 20.2%

Target: 25%

However, it should be noted that these indicator may not be the most appropriate indication to measure the progress or the achievement of the outcome. The evaluation team will need to further design what suitable indicators can appropriately be used to satisfy the evaluation. A new set of indicators may need to be reconstructed on the basis of information available for the period immediately preceding the start of the CPD/CPAP period.

Since the geographical scope of UNDP interventions contributing to this outcome is quite extensive, covering the entire country, the evaluation team is expected to apply a sound sampling methodology to ensure that the evaluation findings and judgments are made based on a good representation of data.

The data collection methods used are expected to be participatory and inclusive of disadvantaged and marginalized populations.

6. EVALUATION CRITERIA AND QUESTIONS

The evaluation will be conducted against the following evaluation criteria as guided by the Development Assistance Committee's Criteria for Evaluation of Development Assistance.

e) Relevance

- To what extent do the intended outcome and the relevant outputs address national priorities and to what extent is this aligned with UNDP's mandate?
- Have UNDP interventions been relevant to women and other marginalized populations?

- Has UNDP been able to adapt its programming to the changing context to address priority needs in the country?
- What are potential area of engagement for UNDP's next Country Programme in relation to strengthening Afghanistan's governance institutions to improve public service delivery?

f) Effectiveness

- To what extent the planned outcome has been or is being achieved? Are there any additional outcome(s) being achieved beyond the intended outcome?
- How have corresponding results at the output level delivered by UNDP affected the outcome, and in what ways have they not been effective?
- What are the challenges to achieving the outcome?
- Has UNDP best utilized its comparative advantage in deciding to deliver these planned outputs?
- What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome?
- Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome?
- To what extent did the results, both at the outcome and output levels, benefit women and men equally?
- Is the current set of indicators, both outcome and output indicators, effective in informing the progress made towards the outcomes? If not, what indicators should be used?

g) Efficiency

- Has there been any duplication of efforts among UNDP's own interventions and interventions delivered by other organizations or entities in contributing to the outcome?

h) Sustainability

- How strong is the level of ownership of the results by the relevant government entities and other stakeholders?
- What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved?
- What could be done to strengthen sustainability?

All UNDP evaluations need to assess the degree to which UNDP initiatives have supported or promoted gender equality, a rights-based approach, and human development. In this regard, United Nations Evaluation Group's guidance on [Integrating Human Rights and Gender Equality in Evaluation](#) should be consulted.

7. EVALUATION PRODUCTS

The evaluation team is expected to produce the following deliverables:

- **Evaluation Inception Report** detailing the evaluation team's understanding of what is being evaluated and why, an evaluation matrix outlining which data collection methodologies will be used to address each of the evaluation questions, a proposed

schedule of tasks. A presentation of the inception report will be made to and discussed with UNDP. Please see Annex A for the minimum requirements of what to be included in the Inception Report.

- **Zero draft Evaluation Report** for initial feedback from UNDP
- **Draft Evaluation Report** to be shared with UNDP and relevant stakeholders for feedback and quality assurance.
- **Evaluation debriefing meeting** with UNDP and key stakeholders where main findings will be presented.
- **Final Evaluation Report**
- **Evaluation Brief** - a concise summary of the evaluation findings in plain language that can be widely circulated. This can be in a form of a PowerPoint presentation or a two-page briefing document.

The final report is expected to cover findings; judgments made following the evaluation criteria and questions based on a good analysis of qualitative and quantitative evidence, as applicable; lessons learned; and forward-looking, realistic, and actionable recommendations. The report will include the following contents⁶:

- Title and opening pages
- List of acronyms and abbreviations
- Executive summary
- Introduction
- Description of the intervention
- Evaluation purpose, objective, and scope
- Evaluation methodology
- Evaluation findings
- Recommendations (forward-looking and actionable)
- Annexes: TOR, data collection report - field visits, people interviewed (names not to be mentioned), documents reviewed, etc.

8. EVALUATION TEAM COMPOSITION AND COMPETENCY REQUIREMENTS

The evaluation team will consist of three members: one Evaluation Team Leader and two Evaluations Specialists.

8.1 Evaluation Team Leader (one position, 40 working days)

Roles and responsibilities: responsible for overall coordination of the evaluation team, and for the overall quality and timely submission of the evaluation report to UNDP. Specifically, the Evaluation Team Leader will perform the following tasks:

- Serve as the focal point of the evaluation in liaising with UNDP evaluation manager
- Lead and manage the evaluation mission
- Prepare, finalize, and lead the presentation of the inception report
- Decide the division of tasks and responsibilities within the evaluation team

⁶ For more details, please refer to Annex 7 of UNDP Handbook on Planning, Monitoring, and Evaluating for Development Results (2009)

- Draft and present the evaluation report and evaluation findings
- Finalize the whole evaluation report and submit it to UNDP

Competency requirements

- Advanced university degree in relevant disciplines (e.g., political sciences, public administration, public policy, laws, etc.)
- At least 15 years of international working experience in the field of governance (national and/or sub-national governance)
- At least seven years of experience in programme evaluation and proven accomplishments in undertaking evaluation for international organizations, preferably including UNDP
- Experience in conducting at least seven evaluations in related fields and with international organizations, at least two of which as the team leader
- Deep knowledge of the political, cultural, and economic contexts of Afghanistan including prior working experience in the country
- Good analytical and strategic thinking skills
- Excellent inter-personal, communication, and teamwork skills
- Excellent written and spoken English and presentational capacities
- Extensive knowledge of qualitative and quantitative evaluation methods
- Ability to meet tight deadlines
- Fluency in English language is required. Knowledge of local language i.e. Pashto and Dari is preferable but not required.

8.2 Evaluation Specialists (2 positions, 30 working days each)

Roles and responsibilities:

- Contribute to the development of the Inception Report and the design of the detailed evaluation scope and methodology (including the methods of data collection and analysis)
- Perform evaluation-related roles and activities as agreed with the Evaluation Team Leader and as outlined in the Inception Report
- Contribute to the preparation of the draft and finalized evaluation reports including participating in the presentations of findings

Competency requirements:

- Advanced university degree in relevant disciplines (e.g., political sciences, public administration, public policy, laws, etc.)
- At least ten years of international working experience related to capacity development in the areas of governance
- Experience in conducting at least five evaluations in the field related to this evaluation and with international organizations, preferably including UNDP
- Proven knowledge of evaluation methods
- Excellent analytical and English report writing skills
- Deep knowledge of the political, cultural, and economic contexts of Afghanistan including prior working experience in the country
- Excellent inter-personal, communication, and teamwork skills
- Ability to meet tight deadlines

The evaluators must be independent and objective; therefore, they should not have any prior involvement in the design, implementation, decision-making or financing any of the UNDP interventions contributing to this outcome.

9. EVALUATION ETHICS

Evaluations in the UN will be conducted in accordance with the principles outlined in both Norms and Standards for Evaluation in the UN System by the United Nations Evaluation Group (UNEG) and by the UNEG 'Ethical Guidelines for Evaluation'. These documents will be attached to the contract. Evaluators are required to read the Norms and Standards and the guidelines and ensure a strict adherence to it, including establishing protocols to safeguard confidentiality of information obtained during the evaluation.

10. IMPLEMENTATION ARRANGEMENTS

This evaluation is commissioned by UNDP Afghanistan. To facilitate the outcome evaluation process, a UNDP evaluation manager will be assigned to oversee the overall evaluation process and provide the evaluation team with any logistics and administrative support as needed. An evaluation reference group will be formed to provide critical and objective inputs throughout the evaluation process to strengthen the quality of the evaluation. It is planned that the members of the reference group will be invited from the Country Office, Evaluation Office, Regional Bureau for Asia and the Pacific, and the Asia-Pacific Regional Centre. The members will be asked to provide inputs on the TOR, selection of the consultant, inception report, draft report, and the final report.

11. TIME-FRAME FOR THE EVALUATION PROCESS

The evaluation is to be conducted between August-November, based on the following milestones:

Submission and presentation of the draft Inception Report	10 days after contract signed
Submission of the final Inception Report	3 days after receiving feedback from UNDP
Presentation of the initial findings from data collection	2 days after the data collection mission ends
Submission of the zero draft of the evaluation report	10 days after the data collection mission ends
Submission and presentation of the first draft of the evaluation report	5 days after receiving feedback from UNDP
Submission of the final report and evaluation brief	5 days after receiving feedback from UNDP

Annex A:

The Inception Report should at, the minimum, include the following components:

Evaluation purpose and scope—A clear statement of the objectives of the evaluation and the main aspects or elements of the initiative to be examined.

Evaluation criteria and questions—The criteria and questions that the evaluation will use to assess performance and rationale.

Evaluation methodology—A description of data collection methods and data sources to be employed, including the rationale for their selection (how they will inform the evaluation) and their limitations; data collection tools, instruments and protocols and discussion of reliability and validity for the evaluation; and the sampling plan.

Evaluation matrix—This identifies the key evaluation questions and how they will be answered by the methods selected

Sample Evaluation Matrix

Evaluation Criteria	Key Questions	Data Sources	Data Collection Methods/Tools	Indicators/ Success Standards	Method for Data Analysis

A schedule of key milestones, deliverables and responsibilities.

Detailed resource requirements tied to evaluation activities and deliverables detailed in the work plan.

Annex 2: Evaluation Matrix

UNDP Afghanistan CPD Outcome 3 Evaluation

The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity

Evaluation criteria and key questions	Sub-questions	Key indicators	Data sources	Data collection methods/ tools	Data analysis method
RELEVANCE:					
1. To what extent do the intended outcome and relevant outputs address national priorities?	What was the process for designing outputs and outcomes? How inclusive was it at the national and decentralized levels?	Alignment of CPAP and outcome 3 projects to ANDS, CPD, UNDAF and UNDP strategy currently and at the time of the design.	ANDS, National Priority Programmes, national development policies, UNDAF, CPD CPAP, UNDP strategy, project baselines, needs assessment and identification, relevant evaluation reports and studies.	Desk review	Qualitative analysis and output mapping
	Which are the logical linkages between outputs and outcomes and how consistent are they?			Semi-structured key informant interviews (KIIs)	
2. To what extent is this aligned with UNDP's mandate?	On which assumptions/preconditions are they based?		UNDP Country Office management, national authorities.		
	Are there inconsistencies between the outcome / outputs and national priorities?				
	Were, and why were, programmes underfunded?				
	To what extent were cultural specificities in respect to change management incorporated?				
	Which were the overall development gaps and national priorities of the country in relation to this outcome at				

the time when this outcome was prioritized?

To what extent was this relevant to prioritize this outcome at the time of the design?

3. Have UNDP interventions been relevant to women and other marginalized populations?	Were there specific strategies and policies in respect to women and marginalized groups?	Existence of gender specific strategies in the project documents	Project documents and progress reports	Desk research	Qualitative analysis and quantitative data comparison, wherever available.
	Has the gender dimension been integrated in the programming?	Effects of programmes on women	Programme managers and beneficiaries; gender specialists in Afghanistan.	Semi-structured KIIs	
	Does the coverage of the programme implementation including marginalized populations?		District level secondary data on women's participation.	FGDs	
4. Has UNDP been able to adapt its programming to the changing context to address priority needs in the country?	How have needs been identified?	Level of changes in the design of the programme and prioritization of the activities / outputs compare to the changes in risks (documented and actual), country context, and other interventions	UNDP managers; Afghan leaders; donor agencies, national and international NGOs	KIIs	Qualitative analysis
	How were baselines and objectives determined (by whom, with whom, where, which methodology, and when)?		Project documents, progress reports and reviews	Document review	
	How were context changes integrated in the programming and monitored?		Minutes of Project Board meetings, Risk log, Programme revisions		
	Have priorities evolved during programme implementation?				
	To what extent was the approach				

conflict sensitive?

How efficient were procedures in the programme revision?

To what extent have risks been monitored? How relevant were the risks indicators used?

To what extent has programme adaptation has been affected by donors?

5. What are potential areas of engagement for UNDP's next Country Programme in relation to strengthening Afghanistan's governance institutions to improve public service delivery?

What are the strengths and weaknesses of UNDP in this area?

Which particular areas would best benefit from UNDP's comparative advantage in the next programming cycle?

Level of gaps

Specificities of UNDP competence compare to other donors

UNDP senior managers; Afghan leaders; donor agencies, national and international NGOs

KIIs

Document review

Qualitative analysis

EFFECTIVENESS

6. To what extent have planned outcomes been achieved? Are there any

What were the changes in the state of outcome from when the programmes began in 2010 until now?

What are the differences in the

Difference between target indicators / actual achievement

Side effects

Progress reports, programme revisions

UNDP staff, donors, beneficiaries, external

FGDs with beneficiaries

Semi-structured KIIs

Analysis of outcome indicators, review of other elements not

additional outcome(s) being achieved beyond the intended outcome?	government's capacity for delivering public services when the programmes began in 2010 and now?	Changes in human resources management in the ministry (ToRs, hiring process)	organizations.		captured by current indicators, qualitative and quantitative analysis
	What are the differences between the elected bodies' oversight capacities when the programmes began in 2010 and now?	Evolution of the quality of outputs produced by the ministries	FDGs in Kabul, selected provinces		
	To what extent have the targets been reached, according to outcomes indicators?	Number and structure of meetings done by elected bodies and State institutions			
	Are there other un anticipated effects of the programme?	Existence and implementation of capacity building plan			
	How have interventions been prioritized when underfunded?	Evolution of tax revenue collected			
	Have programmes been redesigned and if so, how?	Level of satisfaction between 2010 and now on public service delivery			
	To what extent the projects and all interventions directed towards the outcome had effects on the State Institutions balance power (did it reinforced the role of some institutions compare to others, and what are the consequences)?				
7. How have corresponding	How can the contribution be established? Through which	Improvement in the organization and	beneficiaries, UNDP staff, donors and	Semi-structured KIIs	Qualitative analysis and

results at the output level delivered by UNDP affected the outcome, and in what ways have they not been effective?	linkages?	products of supported State institutions.	external stakeholders.	FGDs; beneficiary feedback.	quantitative data comparison
	Is the level of output sufficient to lead to mid-term effects?		Site visits		
	To what extent did the outputs build on external support?	Staff is more competent in the support institutions	Project documents Context analysis	Desk research.	
	Which are the limitations in the contribution of outputs to the outcome?	Elected bodies supported by the project are functional and exert their oversight role			
8. What are the challenges to achieving the outcome?	Which external factors limited the achievements?				
	To what extent those challenges are anticipated in the programming?		Beneficiaries, UNDP staff, donors and external stakeholders.	Semi-structured KIIs	Context analysis
	How could they be overcome?		Site visits	FGDs; beneficiary feedback.	
	If not how should programmes evolve?		Project documents Previous evaluation reports	Desk research.	
9. Has UNDP best utilized its comparative advantage in deciding to deliver these planned outputs?	To what extent could the programme capitalize on UNDP experience and resources?		Site visits UNDP staff, project managers, beneficiaries and external stakeholders	Semi-structured KIIs FGDs; beneficiary feedback.	Qualitative analysis
	To what extent did the assistance provided reflect UNDP's expected added value and competences?			Desk research.	
	Were there aspects of the work that		Desk research		

only UNDP could undertake or that other agencies could have done?

10. What are the key gaps that UNDP interventions could address within its comparative advantage that would significantly contribute to the achievement of the outcome?			Site visits	Desk review	Gap analysis
			UNDP staff, project managers, beneficiaries and external stakeholders	Semi-structured KIIs Direct observation	
			UNDP, donor, other analyses and documents	FGDs and individual beneficiary interviews	
11. Has UNDP's partnership strategy been appropriate and effective in contributing to the outcome?	Have all relevant stakeholders been involved?	Level of coordination and synergies with other stakeholders intervening on the outcome	Site visits	Semi-structured KIIs	Qualitative analysis
	At which stages of the process were the partners involved and to what extent?		UNDP staff, project managers, beneficiaries and external stakeholders	Desk review Direct observation	stakeholder analysis
		Level of participatory process, roles of partners	UNDP and partners' assessments, MoUs with partners		
		Customary authorities or other key stakeholders have been consulted in the process and the partnership meet their needs			
12. To what	To what extent do women have	% / number of	Site visits	Semi-structured	Qualitative

extent did the results, both at the outcome and output levels, benefit women and men equally?	access to the same services stemming from the programme as men?	women using the services compare to men	UNDP staff, project managers, beneficiaries and external stakeholders Desk research, gender disaggregated data available, development statistics	KIIs Desk review Direct observation	analysis Quantitative analysis based on data available
13. Is the current set of indicators for both outcome and output effective in informing the progress made towards the outcomes? If not, what indicators should be used?		Existence of effects not captured by the indicators	Site visits UNDP staff, project managers, beneficiaries and external stakeholders UNDP documents	Semi-structured KIIs Desk review Direct observations	Qualitative analysis Quantitative analysis based on data available
EFFICIENCY					
14. Has there been any duplication of efforts among UNDP's own interventions and interventions delivered by other organizations or entities in contributing to the	Which are the other programmes address those objectives and to what extent was there coordination / duplication? What are the coordination mechanisms in place at the national and provincial level?	Coordination mechanisms Existence of synergies, complementarities or duplication	Site visits Programme managers, donors, external organizations working on the issues, beneficiaries UNDP and other donor documents	Direct observation Semi-structured KIIs Desk review	Qualitative analysis

outcome?

SUSTAINABILITY

15. How strong is the level of ownership of the results by the relevant government entities and other stakeholders?	To what extent did the different level of administrative bodies involved in the process improve on the long term?	Changes in the policies, procedures, and working methods of the beneficiaries owing to the programme	Programme managers, donors, external organizations working on the issues, beneficiaries at all levels	Semi-structured KIIs focus groups	Qualitative analysis
		Evolution of the quality/quantity of outputs produced by the beneficiaries	Government and institutions budget and strategies	Desk research	
16. What is the level of capacity and commitment from the Government and other stakeholders to ensure sustainability of the results achieved?	What government/stakeholder measures are in place to promote sustainability?	Level of sustainability of the partnerships created	Programme managers, donors, external organizations working on the issues, beneficiaries	Semi-structured KIIs focus groups	Qualitative and quantitative analysis
		Evolution of the tax collection mechanisms	Government and donors budget and strategies		
		Evolution of the budget allocated by the State for the sustainability of the outcomes		Desk research	
		Ability of the supported institutions to draft policies and			

17. What could be done to strengthen sustainability?	What measures are in place to encourage sustainability?	documents			
		Opportunities for linkages with other programmes	Programme managers, donors, external organizations working on the issues, beneficiaries at all levels	Semi-structured KIIs	Qualitative analysis
	What measures are in place to monitor sustainability?	New donor funding, new partners		Desk review	
CROSS-CUTTING ISSUES					
18. How has UNDP's programming incorporated gender equality, rights based approach and human development priorities in all aspects of planning and implementation?		Involvement of other stakeholders			
		Vulnerability and HRBA analysis of context; communities aware of rights and entitlements vis-a-vis the projects and Government. Comparison of the details of vulnerable communities in areas with the achievements of the programme	Programme managers, UNDP gender specialists programme documents, UNDP gender and HRBA strategies, analyses	Semi-structured KIIs Desk review	Qualitative analysis

Annex 3. Stakeholder identification

The main stakeholders of CPD 3, “the state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity,” are the Government of Afghanistan officials that design and manage social service delivery to the people of Afghanistan, and their elected representatives in Parliament and Provincial Councils that are tasked with oversight over the executive branch.

The main stakeholders are thus the leadership and staff of executive branch agencies and ministries, including the:

- Office of the Presidency (OoP) in Kabul;
- Ministry of Finance (MoF) in Kabul and all provinces;
- Other ministries and independent agencies in Kabul and all provinces;
- Independent Administrative Reform and Civil Servant Commission (IARCSC) in Kabul and all provinces;
- Independent Directorate for Local Governance (IDLG) in Kabul and all provinces;
- Provincial governments; and
- District governments

Legislative stakeholders are:

- Members and staff of the *Wolesi Jirga* from all provinces;
- Members and staff of the *Meshrano Jirga* from all provinces; and
- Members and staff Provincial Councils in all provinces.

Annex 4. Tentative outline of the main report

The Final Evaluation Report will have the following structure per the TOR:

- Title and opening pages
- List of acronyms and abbreviations
- Executive summary
- 1. Introduction
- 2. Description of the interventions
- 3. Evaluation purpose, objective, and scope
- 4. Evaluation methodology
- 5. Evaluation findings
- 6. Recommendations
- 7. Annexes
 - Inception Report, with TOR
 - Data collection report
 - a. Field visits
 - b. Institutions of people interviewed (names not mentioned)
 - c. Documents reviewed

Annex 5. Outcome model

UNDAF Programme Component	CPD Outcome and Outcome Indicators	Outputs	Output Indicators
2. Strengthening Democratic Governance B) National, regional and local levels of governance expand their capacities to manage the equitable delivery of public services and support conflict reduction.	3. The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity. Indicator: Number of clients satisfied with improved service delivery of public sector. Baseline: YTD Target: YTD Indicator: Public perception of government performance combating corruption. Baseline: 66% neg. opinion (2008 survey) Target: Decrease by 10% Indicator: Patterns of resource allocation and utilization by sectors addressing citizens' needs. Baseline: 2009 (1387) National budget allocation	3.1. Inclusive legislation, policies and programmes are in place, and government institutions are strengthened to improve the quality of service delivery	3.1.1. Indicator: Presence of legislation and policies to address human development-sensitive service delivery at national and sub-national level. Baseline: Draft subnational governance policy submitted for Cabinet approval, national youth policy drafted. Target: Subnational governance policy translated into a legal and regulatory framework and appropriate roles for relevant government bodies formulated, national youth policy finalized.
			3.1.2. Indicator: Presence of systems and processes for government bodies to manage and monitor human development-sensitive service delivery. Baseline: Basic capacity and framework is in place. Target: Policies and performance measurement systems, and guidelines on financial management, human resources management, procurement and related work processes designed and approved, & capacity

	<p>by sectors;</p> <p>Target: Increase in budget allocation (ratio) in social sectors.</p> <p>Indicator: Ministries engaged in implementation of ANDS have adequate capacities for analysis and development of policies to support programmes and projects.</p> <p>Baseline: Two policy units currently in place and operational in the Ministry of Economy and the Ministry of Commerce and Industry.</p> <p>Target: A minimum of 6 key ministries equipped to undertake policy analysis and development, and all such units operationally and programmatically linked to the Office of the President.</p>		<p>development in these areas carried out in government bodies (for civil servants) at the national and subnational levels.</p> <p>3.1.3. Indicator: M&E for implementation of NAPWA and ANDS-Gender Cross Cutting Strategy in place.</p> <p>Baseline: none exists</p> <p>Target: one exists</p>
		<p>3.2. PAR management and coordination capacity of IARCSC strengthened and institutional and policy support for implementing</p>	<p>3.2.1. Indicator: A national gender-responsive civil service training policy is developed, approved and implement.</p> <p>Baseline: None exists</p> <p>Target: One exists</p>

		required training programmes for civil servants established.	<p>3.2.2. Indicator: Institutional arrangements are put in place to deliver required organization-specific, job-specific, gender awareness and generic training programmes to civil servants, in accordance with the requirements of the Civil Servants Law and ANDS monitoring target.</p> <p>Baseline: less than 10% capacity exists</p> <p>Targets: By 2013, the capacity of ACSI and Regional and Provincial Training Centers is developed to meet the ANDS target of conducting training for each civil servant at least once in two years.</p>
		3.3. Improved capacity of elected bodies to provide effective oversight.	<p>3.3.1. Indicator: Engagement of all relevant national and subnational elected bodies in planning, participatory consultations, financing and budgetary decision making processes,</p> <p>Baseline: Nascent at the subnational level and limited at the national level.</p> <p>Target: Engagement of all national and sub-national elected bodies assured</p>

Source: 1 September 2009. Annex I. UNDP - Afghanistan - Country Programme 2010 - 2013 Results & Resources Framework

Annex 6. Detailed responsibilities of evaluation team members

The independent evaluation team consists of three members: one Evaluation Team Leader (TL) and two Evaluations Specialists.

The TL Lawrence Robertson is responsible for overall coordination of the evaluation team, and for the overall quality and timely submission of the evaluation report to UNDP. The TL has and will:

- Serve as the focal point of the evaluation in liaising with UNDP evaluation manager;
- Lead and manage the evaluation mission;
- Prepare, finalize, and lead the presentation of the inception report;
- Decide the division of tasks and responsibilities within the evaluation team;
- Draft and present the evaluation report and evaluation findings; and
- Finalize the whole evaluation report and submit it to UNDP.

Evaluation Specialists Cecile Collin and Abdul Moien Jawhary have and will:

- Contribute to the development of the Inception Report and the design of the detailed evaluation scope and methodology (including the methods of data collection and analysis);
- Perform evaluation-related roles and activities as agreed with the Evaluation Team Leader and as outlined in the Inception Report; and
- Contribute to the preparation of the draft and finalized evaluation reports including participating in the presentations of findings.

Mr. Jawhary will lead in the identification of Afghan stakeholders in the executive branch, elected bodies, and civil society and Ms. Collin will lead in the identification of UNDP staff and management. Mr. Robertson will lead in the identification of other international stakeholders.

In executing the fieldwork, Mr. Jawhary will lead in fieldwork with Afghan stakeholders, including: identifying key organizational and individual stakeholders and arranging KIIs; arranging and conducting focus groups, after the development and testing of focus group instruments and protocols. Ms. Collin will lead in gathering UNDP and other UN agency materials. Mr. Robertson will lead in the identification, gathering, and analysis of other survey data and external reports. The team will develop additional ways to divide and manage the tasks of the outcome evaluation under the leadership of the TL.

Annex 7. Reference documents/Sources of Reference Documents

United Nations

United Nations Development Assistance Framework
Latest documents from the new UNDAF process

UNAMA

United Nations Development Programme

General

Country Programme Document 2009-2013 (extended to 2014)
CPAP
CPAP review minutes?
Cluster strategies?

National Institution Building Project (NIBP)

Project Document
Annual Reports
Annual Work Plans
Evaluation Report and annexes

National State Governance Project (NSGP)

Project Document
Annual Reports
Annual Work Plans
Evaluation Report and annexes

Afghanistan Sub-National Governance (ASGP)

Project Document
Annual Reports
Annual Work Plans
Final Evaluation Report and Annexes (September 2011)

Making Budgets and Aid Work (MBAW)

Project Document
Annual Reports
Annual Work Plans
Final Evaluation Report and annexes
Mid-Term Evaluation Report and annexes

Support to the Establishment of the Afghan Legislature 2 (SEAL 2)

Project Document
Annual Reports
Annual Work Plans

No other UN agencies?

Other multilateral and bilateral development partners

International Bank for Reconstruction and Development (World Bank)

United States Agency for International Development (USAID)

DFID/UKAID

Government of Afghanistan

Afghanistan National Development Strategy
Afghanistan's National Priority Programs

Office of the Presidency (OoP)

Ministry of Finance (MoF)

Independent Administrative Reform and Civil Servant Commission (IARCSC)

Independent Directorate for Local Governance (IDLG)

Parliament of Afghanistan

United States Government (USG)

Department of Defense (DoD)

Biannual Reports on Progress Toward Security and Stability in Afghanistan

Office of the Special Inspector General for Afghan Reconstruction (SIGAR)

Department of State (DoS)

United States Agency for International Development (USAID)

Research Organisations – Think Tanks, NGOs, Universities, Implementing Partners

The Asia Foundation (TAF)

Afghan Analysts Network (AAN)

Afghanistan Research and Evaluation Unit (AREU)

Democracy International (DI)

Integrity Watch Afghanistan (IWA)

Annex 8. Project list

UNDP has implemented four main projects under the current CPD in this outcome:

National Institution Building Project (NIBP) – UNDP works mainly with the Independent Administrative Reform for Civil Service Commission (IARCSC) to provide capacity development (CD) support to Afghanistan Government at the national and sub-national levels. The project places international capacity development advisors and national capacity development officers in ministries and departments to provide CD support to civil servants. NIBP, implemented 2010-2013, also promotes “twinning arrangements” and partnerships between Afghanistan ministries and agencies with corresponding ministries and agencies of other countries to transfer specialized skills and experience. NIBP has three main outputs:

- 1.1 Institutional and organizational capacity of selected government entities strengthened by policy and strategy development and systems improvement through coaching and advisory services to improve service delivery and to support Public Administration Reform (PAR) objectives;
- 1.2 Institutional and organizational capacity development of selected government entities improved through coaching and advisory services in alignment with Civil Technical Assistance Plan; and
- 1.3 PAR management and coordination capacity of IARCSC strengthened and institutional and policy support for implementing required training programmes for civil servants established.

National State Governance Project (NSGP) – NSGP, covering 2010 to 2013, works directly with the Office of the President (OoP) to enable more effective policy and decision making at the center of the government. The project focuses on improving organizational, management, and administrative effectiveness of the OoP; strengthening policy planning, analysis, monitoring, and coordination among relevant state actors; and improving the infrastructure and facilities of the OoP. NSGP works to deliver four outputs:

- 2.1 An enabling organizational environment is in place to support the operations and programs of the President’s Office;
- 2.2 Capacity of First Vice-President Office in planning and service delivery improved;
- 2.3 Strengthen the human and institutional capacity of the second Vice President to support the President in achieving his mandate; and
- 2.4 Improved policy analysis and technical capacity of Council of Ministers and Cabinet Committees – Office of Administrative Affairs.

Afghanistan Sub-National Governance (ASGP) – ASGP supports the Government in developing capacity and systems to ensure effective implementation of the governance strategies outlined in the ANDS under the Good Governance and Rule of Law pillar, and the Afghanistan

Compact addressing the challenges identified for sub-national governance. ASGP is now in its second phase for 2010 to 2014. ASGP has three outputs:

- 3.1 National systems, procedures, and legal frameworks to implement, coordinate, and monitor subnational governance policy are in place;
- 3.2 Provincial and District Governors' Offices have the capacity to develop and lead the implementation of strategies for improving security, governance, and development in accordance with ANDS; and
- 3.3 Democratically elected Municipal administrations are collecting revenues and delivering basic services under an improved organizational framework by 2014.

Making Budgets and Aid Work (MBAW) - MBAW, now in its third phase, supports the Budget Department of Afghanistan's Ministry of Finance, aiming at developing capacity, process, and systems to ensure effective implementation of the Government's strategies in addressing challenges for improved public finance management, as outlined in the ANDS and Joint Coordination and Monitoring Board. MBAW also aims to contribute to overall improvements of the country's aid effectiveness. MBAW deliver three outputs:

- 4.1 Improved budget planning and management (the budget is comprehensive, policy-based, prepared in an orderly manner, and supportive of the national development strategy);
- 4.2 National policy and strategy development and coordination of external assistance aligned with Paris Declaration and ANDS implementation improved; and
- 4.3 Improved Budget Execution and delivery management and sustainable Institutional capacity developed at MoF and Government Institutions.

The evaluation proposes to also examine UNDP's work with Parliament through:

Support to the Establishment of the Afghan Legislature 2 (SEAL 2) - SEAL 2 followed-on the work of SEAL 1 2005-2008. The project operated from 2008 until early early 2010). Planned and achieved outputs are not yet known to the evaluation team.

Annex 9. Project mapping

The projects under CPD Outcome 3 have a nationwide reach, through work with central government ministries and the Office of the President in Kabul, as well as through Ministry and independent agency centers in the capitals of all 34 provinces.

NIBP works with the 25 key ministries and government agencies, centrally located in Kabul. It also reaches out and works with all civil training institutes and centers in all 34 provinces in Afghanistan.

NSGP mainly works with the Office of the President, located in Kabul.

ASGP's key project partners are the Independent Directorate of Local Governance and the Independent Administrative Reform and Civil Servant Commission, situated in Kabul. Through its provincial approach in the second phase, it has also established partnerships with each of the 34 provincial governors and also with provincial councils and municipalities.

MBAW works mainly with the Budget Department of the Ministry of Finance, located in Kabul.

SEAL 2 worked with the Parliament in Kabul, which has representatives from all provinces in the Upper and Lower Houses.

This evaluation will covers the entire geographical reach of all projects through an examination of national-level outcomes, aggregate data available at the national and regional level, supplemented by data collected through fieldwork in Kabul at the main counterpart institutions for each of the four projects plus a sample of four other government ministries. The team will also conduct fieldwork in sample of provinces, tentatively Herat, Bamiyan, and Badakhshan.

Annex 10: Detailed Work Plan

UNDP Afghanistan CPD Outcome 3 Evaluation Team Tentative Plan for Meetings/Field Visits

Objective: Evaluation of UN CPD Outcome 3 <i>The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity</i>			
Organizations	Purpose	Date/Time	Facilitation Required
Kabul Province			
UNDP Results Management Specialist/ Strategic Management Support Unit	General Introduction, Arrangements for IDs, Security Briefings, Office Space & Accommodation of the team, Discussions on the Inception Report and Work Plan,	6-7 October	Transport and facilitation, Meeting appointment by the relevant/program administration support section
UNDP CO Program Officers/focal points for NIBP, MABW, ASGP, and NSGP, Program Specialist of UNDP CO Cross Practice & Gender Unit,	Project Debriefs, Gender inter- relationships, consideration and implications of the 4 and other projects under CPD Outcome 3	To be determined (TBD) ⁷	Meeting appointments by the relevant/program administration support section
Independent Directorate for Local Governance Directorate, Directors for Policy and Planning, Monitoring and Evaluation, Provincial Councils, Programs, and Support to the Municipalities	Development of service delivery capacity in the provinces and provincial councils; contributions of assistance projects	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Independent Administrative Reform for Civil Service Commission (IARCSC)	Development in capacity enhancement of the organization for public service delivery in related sectors; contributions of projects	TBD	Meeting appointment the by the relevant/program administration support section and transportation arrangement
Sample ministries/independent directorates (Ministry of Labor, Social Affairs, Martyrs and Disabled Persons, Transport and Civil Aviation, Ministry of Commerce and	Development in and project contributions to capacity enhancement in service delivery of the ministries/independent	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement

⁷ To be determined when mutually agreed with UNDP Officials and the team

Industries, Civil Service Commission (GDPDM and ACSI)) receiving NIBP and other project contributions, National and International Capacity Enhancement Advisors/Officers in the ministries/general directorate	directorates		
Office of the President Programs/Policy Directorates and Office of Administrative Affairs.	NSGP and other project contributions in the capacity enhancement of the organization in improvement in service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
ANDS Manager and its Governance, Rule of Law Sector Coordinator in MoF	Development in and contributions to organizational capacity enhancement in reaching the objectives of ANDS/NPPs in related sectors (budget expenditures and planning)	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
ANDS, JCMB Offices in Ministry of Economy	Development in and contributions to enhancement in the capacity in reaching the objectives of ANDS in related sectors in service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
The Monitoring and Evaluation Committee of the Parliament	Development in and contributions of UNDP and other projects in the Organization; public representatives' views, oversight capacity related to improvement in related sectors in service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
MBAW Project Manager, Aid Coordination and Policy Implementation Directors in MoF	Development in and contributions of MBAW and other projects in the MoF, and views related to capacity enhancement of the MoF and officials for improved services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement

Adam Smith Organization Program Officials in Kabul	Development in and contribution of MABW and other projects in capacity enhancement of MoF in related services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
The Asia Foundation Organization Program Officials in Kabul	Development in and international assistance contribution to enhancement of capacity/oversight in public service delivery in the country	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
USAID Program Officials in Kabul	Development in and international assistance contribution in enhancement of capacity/oversight in public service delivery in the country	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
UNAMA related program officials in Kabul	Development in and contribution of UN and international assistance in capacity enhancement for improvement the public service delivery/oversight in the country	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Donors of the 4 projects (AusAid, DfID, Swiss, EU, ...)	Perspectives and experiences, previous reports, and knowledge about outcomes and projects	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Parwan Province/Municipality			
Parwan Governor/Deputy, Directorate of Sector Services Affairs, and district level officials in the province	Development in and contribution of ASGP, NIBP and other projects in capacity enhancement for services delivery	TBD	Travel and accommodation arrangements for the mission and meeting appointment by the relevant/program administration support section and transportation arrangement
ParCharikar Municipality, other sectors directorates	Development in and contribution of ASGP, NIBP and other projects	TBD	Meeting appointment by the relevant/program administration

	in capacity enhancement for public services delivery		support section and transportation arrangement
ASGP Advisor in Parwan	Development in and contribution of ASGP, NIBP and other projects in capacity enhancement for public services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Parwan Provincial Council	Development in and contribution of ASGP and other projects in their oversight capacity for public service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Bamyan Province/Municipality			
Bamyan Governor/Deputy, Directorate of Sector Services Affairs, and district level officials in the province	Development in and contribution of ASGP, NIBP and other projects in capacity enhancement for services delivery	TBD	Travel and accommodation arrangements for the mission and meeting appointment by the relevant/program administration support section and transportation arrangement
Bamyan Municipality, other sectors directorates	Development in and contribution of ASGP, NIBP and other projects in capacity enhancement for public services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
NIBP and ASGP Advisors in Bamyan	Development in and contribution of ASGP, NIBP and other projects in capacity enhancement for public services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Bamyan Provincial Council	Development in and contribution of ASGP and other projects in their oversight capacity for public service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Herat Province/Municipality			
Herat Governor/Deputy, Directorate of	Development in and contribution	TBD	Travel and accommodation

Sector Services Affairs, and district level officials in the province	of ASGP, NIBP and other projects in capacity enhancement for public services delivery		arrangements for the mission and meeting appointment by the relevant/program administration support section and transportation arrangement
Herat Municipality, other sectors directorates	Development in and contribution of ASGP and NIBP projects in capacity enhancement for public services delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
NIBP and ASGP advisors in Herat	Development in and contribution of ASGP and NIBP and other projects in their related services	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Herat Provincial Council	Development in and contribution of ASGP and other projects in their oversight of public service delivery	TBD	Meeting appointment by the relevant/program administration support section and transportation arrangement
Kabul Province			
UNDP Results Management Specialist/ Strategic Management Support Unit	Debriefing of the field visits, and status of the meetings conducted, review of the evaluation work plan, preparation for the study presentation	TBD	Meeting appointment by the relevant/program administration support section

Note: The number of the provinces visited will be affected by the limitations and possibilities in the time line for the study, the security situation, and arrangements expected of UNDP CO.

Data collection report

a. Field visits

In addition to fieldwork in Kabul with UNDP, ministries, independent directorates, donors, and other stakeholders, the team conducted field work as planned in the inception report in three selected provinces: Parwan, Herat, and Bamyan.

b. Institutions of people interviewed (names not mentioned)

United Nations

UNDP

Front Office

Strategic Management Support Unit

Program Office

Oversight and Compliance Unit

National Governance Unit

Sub-National Governance and Development Unit

Afghanistan Sub-National Governance Project

National Institution Building Project

National State Governance Project

Making Budget and Aid Work Project

Afghanistan Peace and Reintegration Programme

National Area-Based Development Programme

Afghanistan Transparency Initiative

Gender Equality Project II

Rule of Law Unit

United Nations Mission in Afghanistan (UNAMA)

Office of the Special Representative of the Secretary General

Civil Affairs' Office

Spokespersons' Office

Government of the Islamic Republic of Afghanistan (GIROA)

Office of the President

Office of the Chief of Staff

Office of Administrative Affairs

Directorate of Monitoring and Evaluation

First Vice-President's Office

Second Vice President's Office

Economic Advisor

Economic Advisory Board Member

Independent Administrative Reform and Civil Service Commission

Administrative Reform Secretariat
General Directorate of Program Design and Management (GDPDM)
Civil Service Management Department
Provincial Affairs Department
International Capacity Development Advisors (CDAs)
National CDAs
Civil servants

Ministry of Economy
International CDAs
National CDAs
Civil servants

Ministry of Commerce and Industries
Private Sector Development Directorate
Afghanistan New Market Development Project
Small and Medium-Sized Enterprise Management and Development Affairs Directorate
Human Resources Department
International CDAs
National CDAs
Civil servants

Ministry of Labour, Social Affairs, Martyrs, and the Disabled (MoLSAMD)
International CDAs
National CDAs
Civil servants

Ministry of Transportation and Civil Aviation (MoTCA)
International CDAs
National CDAs
Civil servants

Ministry of Finance
General Directorate for Budget
Budget Policy and Reform Unit
Budget Reform Unit
International Public Financial Management Advisors

Independent Directorate of Local Governance (IDLG)
General Directorate of Policy and Technical Affairs
General Directorate of Municipal Affairs
General Directorate of Strategic Coordination
General Directorate of Coordination of Local Council Affairs
General Directorate of Capacity Building and Labour Policy for Human Relations

Parwan

Provincial Governor's Office
Provincial Council members
Social Services Directorate
Municipality staff

Herat

Provincial Governor's Office
Social Services Directorate
Provincial Council members
Women's Council members
Department of Agriculture
Department of Economy
IDLG
IARCSC
Department of Labour, Social Affairs, Martyrs, and the Disabled
School Council members
Mayor's Office
Municipality staff

Bamyan

Social Services Directorate
Provincial Council member
Department of Agriculture
Agricultural Research Station
Department of Economy
IARCSC
Department of Labour, Social Affairs, Martyrs, and the Disabled

Donors

European Union
World Bank
AUSaid
Italian Development Cooperation Office (COOPI)

Donor Implementing Partners/Project Teams*Deloitte*

Capacity Development Program

*Democracy International**Development Alternatives International*

RAMP-UP East
Assistance to Legislative Bodies of Afghanistan

National Democratic Institute for International Affairs

State University of New York
Center for International Development
Afghanistan Parliamentary Assistance Program

The Asia Foundation
Country Office Team
Governance Team
Support to the Center of Government

c. Documents reviewed

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CPAP
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October 2013. Strategy for Subnational Governance and Service Delivery for Peace. Final Draft

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National Institution Building Project (NIBP)

Project Document
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Annual Work Plans

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Strengthening State Building through Strategic Government Communication (January 2008-December 2010) (Prior Project Document, n.d.). Kabul: UNDP.

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Quarterly Reports
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Jawhary, Abdul Moien, and Michael J. Meyer. April 2013. Inter-Governmental Roles in Service Delivery (Draft). Kabul: UNDP.

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Government of Afghanistan (GIROA)

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National Priority Program for Efficient and Effective Governance
National Priority Program for Sub-National Governance
National Priority Program for Financial and Economic Reforms

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2013. First Quarter Performance Report FY 1392 On Strategic Plan. Kabul: MoF.

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