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EVALUATION OF UN-HABITAT COUNTRY PROGRAMME IN AFGHANISTAN 2012 – 2016

UN-HABITAT
FOR A BETTER URBAN FUTURE

Evaluation Report 1/2017

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MAY 2017

UN HABITAT

EVALUATION OF UN-HABITAT'S COUNTRY PROGRAMME IN AFGHANISTAN, 2012 – 2016

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ABBREVIATIONS AND ACRONYMS

ARTF	Afghanistan Reconstruction Trust fund
ANDS	Afghanistan National Development Strategy
ANPDF	Afghanistan Peace and Development Framework
AUPP	Afghanistan Urban Peacebuilding Programme
CBMSP	Community-Based Municipal Support Programme
CC	Citizen's Charter
CDC	Community Development Cooperation
CLUIP	Community-Led Urban Infrastructure Programme
CP	Country Programme
CRP	Cost Recovery Plan
CPM	Country Programme Manager
EU	European Union
FGDs	Focus Group Discussions
FR	Final Report
FoAC	Future of Afghan Cities Report
FPMD	Facilitating Partners Management Department
GA	Gozar Assembly
GDMA	General Directorate for Municipal Affairs
GoIRA	Government of the Islamic Republic of Afghanistan
HCPD	Habitat Country Programme Document for Afghanistan
HLP	Housing Land and Property Task Force
HQ	Headquarters (UN-Habitat Headquarters in Nairobi, Kenya)
IDLG	Independent Directorate of Local Governance
INGO	International Non-governmental Organisation
ISAF	International Security Assistance Force
KM	Kabul Municipality
KIIs	Key Informant Interviews
K-SMNP	Kabul Strengthening Municipal Nahias Programme
KSP	Kabul Solidarity Programme
LIVE-UP	Local Integration of Vulnerable, Excluded and Uprooted People Programme
M&E	Monitoring and Evaluation
MABs	Municipal Advisory Boards

MGSP	Municipal Governance Support Programme
MOPAN	Multilateral Organisation Performance Assessment Network
MOSS	Minimum Operating Security Standards
MRRD	Ministry of Rural Rehabilitation and Development
MUDH	Ministry of Urban Development and Housing
NAPWA	National Action Plan for Women of Afghanistan
NPP	National Priority Plan
NSP	National Solidarity Programme
NSPIII	National Solidarity Programme Phase III
OFWMP	On-Farm Water Management Project
OECD/DAC	Organisation for Economic Co-operation & Development's Development Assistance Committee
PACCS	Peace-Building in Afghanistan through Consolidation of Community Solidarity
PAC	Programme Advisory Committee
QR	Quarterly Report
ROAP	Regional Office for Asia and the Pacific
SNPSP	Afghanistan Safety Nets and Pensions Support Project
SoAC	State of Afghan Cities 2014/2015 Programme
SP	Strategic Plan
SDGs	Sustainable Development Goals
ToR	Terms of Reference
UNAMA	United Nations Assistance Mission in Afghanistan
UNCT	United Nations Country Teams
UNDAF	United Nations Development Assistance Framework
UN-Habitat	United Nations Human Settlements Programme
UNPP	Urban National Priority Plan
US$	US dollar
USP	Urban Solidarity Programme
WB	The World Bank

EXECUTIVE SUMMARY

EVALUATION OVERVIEW

Since 1992, UN-Habitat has been working in Afghanistan in partnership with communities and government. It has provided basic services and worked with the Government of Afghanistan (GoIRA) and local authorities on various projects which include policy support and institutional capacity strengthening. UN-Habitat regards communities and government as partners and not beneficiaries in the planning and implementation of activities. UN-Habitat is present in ten provinces and five cities of Afghanistan including Kabul.

Following the ToR, "this evaluation intends to look at the effects of the UN-Habitat Country Programme in Afghanistan, with a wider strategic focus about accumulated effects over a longer time frame. It is conducted by UN-Habitat based on ROAP's agreement with Senior Management Retreat recommendation for a Country Impact Evaluation in the region". This evaluation is in-line with UN-Habitat's evaluation policy (2013) and the 2015 Revised UN-Habitat Evaluation Framework document and UN-Habitat's Strategic Policy on Human Settlements in Crisis and Sustainable Relief and Reconstruction Framework (2008).

The purpose of the evaluation is to document and assess the results and accumulated effects of the UN-Habitat programme in Afghanistan covering the period from 2012 to 2016. This evaluation will provide UN-Habitat management and stakeholders with an independent assessment of the value-added by UN-Habitat, achievements, lessons, challenges and opportunities for UN-Habitat's operations in Afghanistan. These findings should inform future strategy, opportunities, collaboration, replication and expansion. These are all important in future mainstreaming, especially given that the Afghanistan programme has had the largest portfolio country programme of UN-Habitat for more than a decade.

Five programmes were reviewed in-depth (based on different characteristics), reflecting UN-Habitat's vision on the three-pronged approach and its country mission, as well as focus on improving livelihoods, cross-cutting issues, and availability of data, donor, and collaboration with other UN agencies. These five programmes are:

1. National Solidarity Programme (NSP):

a. National Solidarity Programme Phase III (NSP III), 2012-2016

2. Urban Solidarity Programmes (USP):

a. Community-Based Municipal Support Programme (CBMSP), 20132015

b. Community-Led Urban Infrastructure Programme (CLUIP), 2015-2016

3. Strategic smaller programmes:

a. State of Afghan Cities Programme (SoAC), 2014-2015

b. Future of Afghan Cities Programme (FoAC), 2014-2016.

EVALUATION OBJECTIVES AND INTENDED AUDIENCE

The specific objectives are:

1. To assess the relevance of UN-Habitat Afghanistan's programme between 2012 and 2016 to attain accumulated positive results, for beneficiaries, local authorities, government institutions, that are supportive to UN-Habitat' s strategic objectives.

2. To assess the efficiency and effectiveness of UN-Habitat projects in Afghanistan in achieving results and the accumulation of results.

3. To identify what successful approaches and strategies worked, and which did not, drawing out key findings, lessons from UN-Habitat's experience in Afghanistan.

4. Taking into account the intended users of the evaluation, make recommendations to effectively deliver, develop and expand UN-Habitat's portfolio in Afghanistan.

The intended audience is UN-Habitat staff at country office, regional office and headquarters as well as donor and other key stakeholders of the projects evaluated.

1. https://unhabitat.org/afghanistan/

METHODOLOGY

Multi-faceted, mixed design and participatory methods were used to obtain both primary and secondary data for the evaluation. A total of 54 persons were interviewed and 114 persons consulted through focus group discussions, representing UN-Habitat staff (country, regional and headquarter offices), previous UN-Habitat staff, government, donors, UN agencies, partners, and beneficiaries. The data was collected through the following methods:

- Desk review
- Key informant interviews (KIIs)
- Focus group discussions (FGDs)
- Observation
- Site visits
- Photos
- Videos
- Validation workshops.

This data collection took place in Kabul, Herat, Mazar-e-Sharif and via Skype for those in Nairobi, Japan and elsewhere in the world.

The quality of evidence was addressed through the following evidence criteria:

- Beneficiary Voice and Inclusion (especially, the most excluded and marginalized groups)
- Appropriateness
- Triangulation
- Contribution
- Transparency.

Following the UN system evaluation criteria, this evaluation used the five evaluation criteria of: Relevance, Effectiveness, Efficiency, Impact and Sustainability.

The evaluation was conducted by external consultants Dr. Stephen Van Houten and Mr. Shakir Ullah Shakir in close consultation with the UN-Habitat Evaluation Unit, the Regional Office for

KEY FINDINGS AND CONCLUSIONS

This evaluation is the first ever UN-Habitat Afghanistan Country Programme evaluation. The findings from the five programme evaluation show that UN-Habitat has achieved excellent results in the fields of service delivery and technical assistance in both rural and urban areas. A summary of the five evaluation criteria is provided below.

	CRITERIA	ASSESSMENT
1	RELEVANCE	UN-Habitat's work was, and is, aligned to global, regional, national, provincial, and local priorities, and the five programmes were relevant and useful, especially given the national urban development priorities and the political-social-economic challenges facing Afghanistan over the last five years of review.
2	EFFECTIVENESS	Programme results were achieved in a coherent manner, and positive changes to beneficiaries resulted from the various products and services, and the transfer of beneficiary ownership had a constructive impact on the effectiveness of the projects.
3	EFFICIENCY	The five programmes: acquired appropriate resources (expertise and equipment) with due regard for cost; implemented activities as simply as possible; attempted to keep overheads as low as possible; achieved deliverables on time and budget; and addressed duplication and conflicts. UN-Habitat's progress and efficiency gains worked through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization.
4	IMPACT	The programmes attained clear development results to the targeted population, beneficiaries, local authorities, and government institutions, as well as addressed national priorities that are supportive of UN-Habitat's strategic objectives.
5	SUSTAINABILITY	UN-Habitat clearly engaged the participation of beneficiaries in the design, implementation, monitoring and reporting phases of the programmes. National project staff's capacity was built to enhance and sustain their involvement in urban development. All five programmes show that UN-Habitat's Country Programme was aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and local level.

2. The UN system evaluation criteria are similar to the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) evaluation criteria.

Details of the key findings include:

- UN-Habitat's long-term engagement in Afghanistan has given it a unique and strong relationship with communities and government.

- The methods (People's Process and CDCs) utilised the expertise and local knowledge of national and international staff who are largely responsible for the trust that exists between UN-habitat and the government and communities.

- UN-Habitat has actively contributed to the physical and social reconstruction of Afghanistan.

- UN-Habitat's legacy in Afghanistan was largely established through its contribution to the NSP with its focus on the People's Process and the formation of the CDCs.

- The placement of project teams and technical advisors within the government agencies, ministries, and municipalities has strengthened mutual trust, collaboration, and capacity building of government staff.

- Since 2013, UN-Habitat has been involved in technical cooperation with the government to ensure that skills are developed, maintained, and strengthened across various operational areas for local staff.

- One of UN-Habitat's key future challenges is to decide how to move forward with technical cooperation while not forgetting the power and impact of service delivery projects.

- The Country Programme and ROAP staff were, and are, central to UN-Habitat's success in Afghanistan.

- UN-Habitat has been successful in capacitating local staff; some have remained in the Country Programme and others are now making significant contributions to Afghanistan through working for the government.

- Despite Afghanistan's ongoing challenges UN-Habitat has managed to remain relevant and sustainable.

- UN-Habitat's work is aligned to global, regional, national, provincial, and local priorities.

- UN-Habitat, based on its history, current and planned work, is well placed to remain relevant and useful not only to Afghanistan but to other countries facing similar urban challenges.

- The country programmes are effective and efficient.

- Positive changes to beneficiaries resulted from the various products and services, and the transfer of beneficiary ownership had a constructive impact on programme effectiveness.

- UN-Habitat acquired appropriate resources with due regard for cost; implemented activities as simply as possible; attempted to keep overheads as low as possible; achieved deliverables on time and budget; and addressed duplication and conflicts.

- UN-Habitat's progress and efficiency gains worked through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization.

- The involvement of the gender and human rights aspects in the project design, planning, implementation, reporting and monitoring was strong across all five programmes.

- UN-Habitat has developed a committed, robust and diverse donor base.

- UN-Habitat must ensure that specific donor interests and requirements are met, some preferring service delivery, with others preferring technical assistance.

- The programmes attained clear impacts on the micro-, meso- and macro-levels to the targeted population, beneficiaries, local authorities, and government institutions.

- The somewhat unique structure, linkage, and succession of these projects meant that there were individual and accumulated impacts. These five programs are now part of the next 10 years as the Citizen's Charter (CC) is rolled out.

- UN-Habitat engaged the participation of beneficiaries in the design, implementation, monitoring and reporting phases of the programmes.

- UN-Habitat's Country Programme was aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and local level.

- The programmes were assessed to be replicable and encouraged collaboration between cities at the provincial level.

• UN-Habitat projects have fostered innovative partnerships with national institutions, NGOs, and other development partners.

• UN-Habitat needs to reassess the way it engages with the government, in that the working relationship should be based on equal partnerships and results-based outcomes. Government feels stronger and more able and UN-Habitat's evolving relationship with them should reflect these changes.

• UN-Habitat's Country Programme in Afghanistan has achieved an enormous amount of success. The strong country and regional teams are well placed to continue developing its collaboration with government and to guide and support other UN-Habitat Country Programmes.

MAIN RECOMMENDATIONS

	AREA	RECOMMENDATIONS	ADDRESSEE
1	ACHIEVEMENT	Consolidate gains and deliver on targets made with government and donors for the next three years, and, in 2020, use these gains and new strategic direction as a foundation for the next five years. New programmes to focus on designing innovative follow-up phases.	CP, ROAP
2	INTER-OFFICE WORKING RELATIONSHIPS	Arrange an externally facilitated workshop with the country and regional offices within the next three months to discuss how to enhance HQ expertise inputs to ongoing or future projects or programs in Afghanistan and the working relationship between HQ and the regional and country offices.	CP, ROAP, HQ
		Maintain HQ quality inputs at the project conceptual level and improve HQ support to project start-up and operational phases as non-delivery of UN-Habitat can have a broader impact on the UN system in the eyes of GoiRA.	CP, ROAP
		The Country Programme, supported by ROAP, should share the vast experience with HQ colleagues through a one-day workshop or similar in Nairobi, to lay the foundations of a common understanding about the Afghanistan programme, and help identify areas of potential cooperation.	CP, ROAP
		Improve HQ feedback and acknowledgement systems.	HQ
		Review and discuss HQ expert missions to Kabul and the provincial offices.	CP, ROAP, HQ
		Review and streamline the system of HQ branches asking for payment for services provided to the regional and country offices.	HQ
		Review and discuss the Cost Recovery Plan with full consultation and endorsement of the donors and the GoiRA, as allocating such charges on ad-hoc basis can be counterproductive if donors make those payments as ineligible during the verification stage.	CP, ROAP, HQ
		Discuss what the PSC means to donors at the high level and the country office on the ground and provide detailed report how such programme support costs are supporting respective project directly or indirectly as repeatedly requested by the donors in Kabul.	HQ
3	PROGRAMME IDENTIFICATION	Identify new programmes like SoAC and FoAC for future work and collaboration.	CP, ROAP
4	RESOURCE PLANNING	Ensure adequate financial and human resources as well as time for shorter projects like SoAC and FoAC.	CP, ROAP
5	STAFF TRAINING	Continue with the recently initiated training programme of local and international staff on standard organisational requirements and skills, and branches training on new action areas and corporate initiatives.	CP, ROAP, HQ
6	LOCAL STAFF	Develop and implement a long-term capacity development programme of local staff.	CP, ROAP
7	SECURITY	Review and strengthen security. While security costs should be adequately built into the projects' budgets, there is a need for facilities that adheres to the minimum operating security standards (MOSS), with HQ support.	CP, ROAP, HQ
8	COMMUNICATION PLAN	Develop a clear and consistent communication plan for organizational information relating to internal and external finances and human resources.	HQ
9	UMOJA	Review the UMOJA system to highlight its strengths and weaknesses considering future programmes.	CP, ROAP, HQ
10	IMPACT INDICATORS	Develop a specific impact measurement strategy for all current and future programmes.	CP, ROAP
11	RELATIONSHIP WITH GoIRA	Discuss GoIRA'S needs and the nature of future collaboration as the nature of the relationship shifts to greater collaboration and support.	CP, ROAP
12	RETURNEE AND IDP ISSUES	Strengthen the integration of returnee and IDP issues into programmes as a central cross-cutting theme.	CP, ROAP
13	SERVICE DELIVERY – TECHNICAL ASSISTANCE	Build on the model that exists in ongoing programmes (e.g. CFA, LIVE-UP, AUPP) that balance service delivery (e.g., block grants for communities) with technical assistance and support to GoIRA partners.	ROAP

1. INTRODUCTION

1.1 PURPOSE

Following the Terms of Reference, "this evaluation looks at the effects of the UN-Habitat Country Programme in Afghanistan, with a wider strategic focus with regard to accumulated effects over a longer time frame".This evaluation is in-line with UN-Habitat's Evaluation Policy (2013), the 2015 Revised UN-Habitat Evaluation Framework document and UN-Habitat's Strategic Policy on Human Settlements in Crisis and Sustainable Relief and Reconstruction Framework (2008). The ToR is found in Annex 1.

The purpose of the evaluation is to document and assess the results and accumulated effects of the UN-Habitat programme in Afghanistan conducted with emphasis on the period from 2012 to 2016. This evaluation will provide UN-Habitat management and stakeholders with an independent assessment of the value-added by UN-Habitat, achievements, lessons, challenges and opportunities for UN-Habitat's operations in Afghanistan. These findings should inform future strategy, opportunities, collaboration, replication and expansion. These are all important in future mainstreaming, especially given that the Afghanistan programme has had the largest portfolio Country Programme of UN-Habitat for more than a decade.

1.2 SPECIFIC OBJECTIVES

1. To assess the relevance of UN-Habitat Afghanistan's programme between 2012 and 2016 to attain accumulated positive results for beneficiaries, local authorities and government institutions, that are supportive to UN-Habitat' s strategic objectives.

2. To assess the efficiency and effectiveness of the UN-Habitat projects in Afghanistan in achieving results and the accumulation of results.

3. To identify what successful approaches and strategies worked, and which did not, drawing out key findings, lessons from UN-Habitat's experience in Afghanistan.

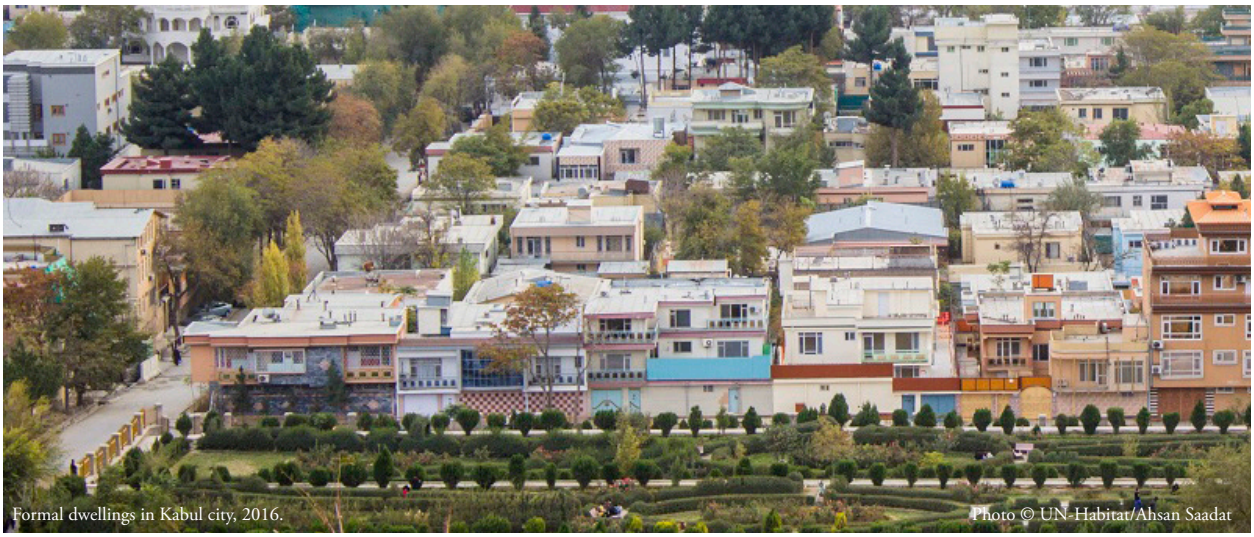
4. Taking into account the intended users of the evaluation, make recommendations to effectively deliver, develop and expand UN-Habitat's portfolio in Afghanistan.

The evaluation will look at issues such as resource mobilization, coordination, ownership, and adherence to critical crossing-cutting issues (that is, climate change, gender, human rights, and youth).

Five programmes will be reviewed in-depth (based on different characteristics) and how these reflect UN-Habitat's vision on the three-pronged approach and its country mission, as well as focus on improving livelihoods, cross-cutting issues, and availability of data, donor, and collaboration with other UN agencies.

1.3 PAST EVALUATIONS

There were no previous evaluations of UN-Habitat's Country Programme in Afghanistan. The recent Multilateral Organisation Performance Assessment Network (MOPAN) assessed UN-Habitat's programmes in Nepal and Afghanistan in the areas of: strategic, operational, relationship, performance, and results management.[3]



Formal dwellings in Kabul city, 2016. Photo © UN-Habitat/Ahsan Saadat

3 *MOPAN, MOPAN 205-16 Assessments, United Nations Human Settlements Programme (UN-Habitat) http://www.mopanonline.org*

2. BACKGROUND AND CONTEXT

2.1 MANDATE

The United Nations Human Settlements Programme is the United Nations agency for human settlements.[4] The UN General Assembly mandated the promotion of socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all based on inter alia the Vancouver Declaration on Human Settlements, the Habitat Agenda, the Istanbul Declaration on Human Settlements, the Declaration on Cities and Other Human Settlements in the New Millennium, and UN Resolution 56/206. The UN Millennium Declaration recognizes the dire circumstances of the world's urban poor and committed Member States to improve the lives of at least 100 million slum dwellers – Target 11 of Goal No.7 – a task mandated to UN-Habitat. This commitment has been furthered with the Sustainable Development Goals (SDGs) agreed in September 2015, with SDG Goal 11 to "Make cities and human settlements inclusive, safe, resilient and sustainable."

UN-Habitat's goals are "well-planned, well-governed, and efficient cities and other human settlements, with adequate housing, infrastructure, and universal access to employment and basic services such as water, energy, and sanitation."[5] UN-Habitat works through a medium-term strategy approach for successive six-year periods. The current strategic plan covers 2014 to 2019.

The strategic readjustments in this plan stemmed from the current trends in rapid urbanisation together with recent global economic turmoil, increasing poverty, and growing consequences of climate change. UN-Habitat's strategic plan (2014 – 2019) outlines seven focus areas:

1. Urban legislation, land, and governance
2. Urban planning and design
3. Urban economy
4. Urban basic services
5. Housing and slum upgrading
6. Risk reduction and rehabilitation
7. Research and capacity development.[6]

The plan prioritises the first four focus areas because these areas were seen as having been neglected in the past but articulated in UN-Habitat's 'three-pronged approach'. The three-pronged approach places emphasis on urban legislation, urban planning and design, and urban economy and municipal finance. These correspond to the first three focus areas of the strategic plan for 2014–2019, and they can be seen as the levers for transforming cities and human settlements into centres of greater environmental, economic and social sustainability. A fourth focus area, or sub-programme, urban basic services, is also prioritized, as large number of urban dwellers in developing countries still lack access to adequate basic

4. UN-Habitat, Country Programme Document, 2016-2019, Afghanistan, Regional Office for Asia and the Pacific, 2016

5. http://unhabitat.org/about-us/goals-and-strategies-of-un-habitat/

6. UN-Habitat, Strategic Plan, 2014 – 2019

services, especially water and sanitation as well as reliable waste management services, sustainable mobility solutions and safe domestic energy. The plan highlights the importance of developing adequate urban policies and legal frameworks in order to support proper urban planning design and implementation. The plan emphasizes UN-Habitat's role as a leading and acknowledged authority on urbanization matters. The plan also identifies four cross-cutting issues: Climate Change, Gender Equality, Human Rights and Youth. All cross-cutting issues are mainstreamed throughout the seven focus areas, ensuring that all policies, knowledge management tools and operational activities address these issues in their design and implementation.

UN-Habitat has four regional offices for Africa, Arab States, Latin America and the Caribbean, and Asia and the Pacific. The headquarters (HQ) are in Nairobi, Kenya. The Afghanistan country programme is part of the Asia Regional Office based in Fukuoka, Japan. The regional offices are expected to implement the strategic plan in their region, as well as disseminate urban knowledge within their areas, implement local programmes, and strengthen regional partnerships. The country programme organogram can be found in Annex 6.

2.2 PROJECT PORTFOLIO IN OVERVIEW

UN-Habitat's project portfolio in Afghanistan, 2012 – 2016, contained 25 new, on-going or completed projects during the period, with a total value of US$ 289, 230, 736 . Each project is listed below.

PROJECT	BUDGET/US$
National Solidarity Programme (NSP)	61,858,659
Learning for Community Empowerment Programme (LCEP-2)	52,348,281
Governance and Development Support Programme - Kandahar	21,587,200
Strengthening Municipal and Community Development, Phase III, in Lashkar Gah, Helmand.	7,794,859
Behaviour Change Communication (BCC), Afghanistan	1,767,500
Settlement upgrading and reintegration of Returnees and IDPs through community empowerment, infrastructure and services and local government support	11,870,026
Urban Solidarity Programme (USP)	5,000,000
Community Benefit Sharing: Assessment of Options	99,999
National Solidarity Programme Phase 3 (NSP III)	10,867,200
National Solidarity Programme (NSP III) Sub-Phase A (Rollout of remaining communities in Farah and Nangarhar)	1,545,600
Water Management - Developing Irrigation Associations for On-Farm Wa-ter Management Project (OFWMP)	378,000
Kabul Solidarity Programme	5,165,591
Community-Based Municipal Support Programme (CBMSP)	23,009,409
Urban Improvement and Transformation of Kabul City Phase 2 (Kabul Solidarity Programme Phase 2 KSP)	5,394,054
Local Integration of IDP Families in Herat, Afghanistan	149,591
State of Afghan Cities Programme (SoAC)	329,875
Afghanistan Safety Nets and Pensions Support Project (SNPSP)	250,000
Local Integration of Vulnerable and Excluded Uprooted Afghans (LIVE-UP)	12,706,480
Community-Led Urban Infrastructure Programme (CLUIP) in Afghanistan	20,000,000
Afghanistan Urban Peacebuilding Programme (AUPP)	13,984,756
Municipal Governance Support Programme (MGSP) in Afghanistan	13,736,250
The Future of Afghan Cities (FoAC)	655,890
Kabul Strengthening Municipal Nahias Program (K-SMNP)	32,898,187
Clean and Green Cities Programme (CGC)	29,918,428
Citizens' Charter Afghanistan Project (CCAP)	3,566,620
Total	**336,882,455**

Projects ending in 2017 – 2019 include:

- Afghanistan Urban Peacebuilding Programme (AUPP)
- Local Integration of Vulnerable, Excluded and Uprooted People program (LIVE-UP)
- Municipal Governance Support Programme (MGSP) in Afghanistan
- Kabul Strengthening Municipal Nahias Program (K-SMNP) until April 2020.
- Clean and Green Cities Programme: a basic labour stimulus and stabilisation package for nine strategic Afghan cities.
- Project for City Resilience (PCR)
- Securing Housing, Land and Property Rights of Protracted IDPs and Returning Refugees: Ensuring Durable Solution (HLP) Consortium Project in Afghanistan.

UN-Habitat requested that five programmes be evaluated, which are categorised under the three headings as follows:

National Solidarity Programme (NSP):

a. National Solidarity Programme Phase III (NSP III), 2012-2016

Urban Solidarity Programmes (USP):

a.Community-Based Municipal Support Programme (CBMSP), 2013-2015

b. Community-Led Urban Infrastructure Programme (CLUIP), 2015-2016

Strategic smaller programmes:

a. State of Afghan Cities Programme (SoAC), 2014-2015

b. Future of Afghan Cities Programme (FoAC), 2014-2016.

Vocational training in Charikar city, 2015. Photo © UN-Habitat/Ahsan Saadat

	NSP III	CBMSP	CLUIP	SoAC	FoAC
Project Title	National Solidarity Programme III (NSP III)	Community-Based Municipal Support Programme (CBMSP)	Community-Led Urban Infrastructure Programme (CLUIP)	State of Afghan Cities Programme (SoAC)	The Future of Afghan Cities Programme (FoAC)
Project Counterparts	MRRD Stakeholders: CDCs.	IDLG/DMM, MUDH and Municipalities of Kabul, Herat, Mazar-e-Sharif, Kandahar, and Jalalabad. Key community stakeholders: CDCs.	IDLG/DMM, MUDH, MoLSAMD/ DoLSAMD and Municipalities of Kabul, Herat, Mazar-e-Sharif, Kandahar, and Jalalabad Key community stakeholders: CDCs.	MUDH, IDLG and Kabul Municipality (KM), 33 Provincial Municipalities	MUDH, IDLG, Kabul Municipality (KM), and Afghanistan Land Authority (ARAZI) and City Region Infrastructure Development Authority (CRIDA)
Municipality, Province	Balkh, Bamyan, Farah, Herat, Kapisa, Kandahar, Nangarhar, Panjshir and Parwan	Kabul, Kabul Province; Herat, Herat Province; Mazar-e-Sharif, Balkh Province; Kandahar, Kandahar Province; and Jalalabad, Nangarhar Province	Kabul, Kabul Province; Herat, Herat Province; Mazar-e-Sharif, Balkh Province; Kandahar, Kandahar Province; and Jalalabad, Nangarhar Province	National programme, focusing on 34 Provincial Capitals, including Kabul	National programme, focusing on five city regions and 28 strategic District Municipalities
Number of Beneficiaries	2963 communities	Direct: 356, 903 people (41,731 households); indirect: 500,000+ people	Approximately 352,000 people (39,000 households)	N/A	N/A
Starting/Ending Date	1 May 2012 – 31 March 2017	1 April 2013 – 31 March 2015	1 April 2015 – 31 March 2016	1 July 2014 – 30 September 2015	October 2015 – December 2016
Duration	3 years, 1 month	2 years	1 year	1 year, 3 months	1 year, 1 month
Total Budget	US$ 28,060,800	US$ 23,009,409	US$ 20,000,000	US$ 329,875	US$ 655,000
Donor	Through MRRD, Afghanistan WB/International Development Association (IDA) EU (through EC via ARTF) Governments of the United States, United Kingdom, Canada, Japan, Germany, Sweden, Norway, Denmark, Netherlands, Switzerland, Australia, Finland, Czech Republic, New Zealand	Government of Japan	Government of Japan	Government of Australia	Government of Australia and the UK Embassy, Kabul

1. National Solidarity Programme III (NSP III)

The NSP was a national priority programme and the largest single development programme of the Government of the Islamic Republic of Afghanistan (GoIRA).[7] It was executed by the Ministry of Rural Rehabilitation and Development (MRRD), funded by the Afghanistan Reconstruction Trust Fund (ARTF), and managed by the World Bank (WB). The NSP was created in 2002 after the fall of the Taliban with the aim of providing Afghan villages with a democratic local administration and access to basic services.[8] President Ashraf Ghani invited renowned development expert Scott Guggenheim (based on his work in the Kecamatan Development Programme, Indonesia) to advise and assist with the implementation of NSP.

7. UN-Habitat, Facilitation for NSP Repeater Block Grant, MRRD/NSPIII/CN/RBG-2011/19-UNH, Inception Report, 30 July 2012
8.Center for Public Impact, Building trust in government: Afghanistan's National Solidarity Programme (NSP), Case Study, 30 March 2016

The NSP's objective was to build, strengthen, and maintain Community Development Councils (CDCs) as effective institutions for local governance and socio-economic development. The NSP had four key elements:

1. Establishing CDCs in a democratic manner

2. Building the capacities of CDC and community members (both men and women) in a variety of areas, primarily in local-governance and in development

3. Providing direct block grant transfers to fund approved subprojects identified, prioritized and managed by the communities

4. Linking CDCs to government agencies, NGOs, and donors to improve access to services and resources.

After the transitional government was established, government recognised the importance of its visibility and interaction with and support of people in the rural population who made up 80% of the population. The government implemented the CDC model that UN-Habitat had developed in the 1990s in rural Afghanistan. This model recognised the CDCs as the primary decision-making body on community matters. Candidates were elected through an election process and were only recognised if 60% of the community participated in the election, thus minimising corruption and ensuring the vote of women. The CDCs established special committees to manage procurement, project management, surveillance, maintenance, monitoring and financial management and accountability. The CDC was, and remains, the recognized link with the government and other actors.

In 2002, UN-Habitat, in collaboration with the GoIRA and the WB, provided technical support in the programme design. The NSP started in 2003 and ended in September 2016. The Government will officially sign it off in March 2017. The NSP had three phases:

1. NSP I (May 2013 to March 2007): During this phase, the programme covered 17,300 communities. The 10,000 communities not covered were extended into NSP II.

2. NSP II (April 2007 to September 2011): 23,200 communities were covered during this phase.

3. NSP III (October 2010 to September 2016): This phase had two sub-phases: (1) the first block grant to cover the remaining estimated 16,000 communities nationwide (bringing the total number of communities to around 39,200), and (2) the rollout to a selected 12,000 communities that have satisfactorily utilized their first block grant with a second (or "repeater") block grant.

From 2003 – 2016, UN-Habitat facilitated NSP implementation in 4,126 communities and repeater block grants in 2,088 CDCs in 9 provinces (Balkh, Bamyan, Farah, Herat, Kandahar, Kapisa, Nangarhar, Panjshir and Parwan). During this time, UN-Habitat engaged 120 engineers and 140 social organizers in the NSP facilitation. UN-Habitat plays a key role in building, strengthening, and maintaining CDCs as effective institutions for local governance and social-economic development.

2. Community Based Municipal Support Programme (CBMSP)

Limited municipal capacities to deliver basic services worsen urban challenges such as poverty, informal development, social exclusion, and insufficient access to basic services and infrastructure. CMBSP was implemented between 1 April 2013 and 31 March 2015, aimed at building municipal institutional capacity in order that municipalities could be credible, professional and independent service providers in collaboration with communities. It utilised the lessons learned from the Urban Solidarity Programme (USP) in Mazar-e-Sharif, Herat, and the Kabul Solidarity Programme (KSP) to improve access to basic services and infrastructure and empower communities to lead the development and implementation of upgrading projects without the reliance on external funding and technical expertise. UN-Habitat had learned from previous experience in Afghanistan that it is important to mobilize people to take responsibility for their development and to build a trusting and sustainable relationship between government and communities.

CBMSP was implemented in 4 provinces, with 356,903 beneficiaries (41,731 households).

The programme's three activity areas were:

1. Policy support at the national level

2. Organizational development and capacity building at both national and municipal levels

3. Service delivery at both the community and municipal levels.

CBMSP also sought to increase municipal revenues through Safayi tax and to improve the management of these revenues. This objective stemmed from UN-Habitat's previous experience in Afghanistan that showed that people are prepared to pay Safayi after their properties have been registered. Safayi tax would then become a stable source of

municipal income, which would then eventually return to people in the form of public services. The evidence of the return of Safayi taxes is the public services that Municipality and their representative offices provide to the public such as the cleaning of streets, water passages, canals, and drainage systems; the repair and maintenance of roads and bridges; and the provision of street lighting. The revenue department is responsible for the management and use of Safayi tax.

The start of CBMSP in 2013 was important in UN-Habitat's history in Afghanistan. It marked UN-Habitat's strategic shift from rural to urban development , and from direct delivery of basic services and the development of infrastructure facilities and community projects to capacitating and supporting local governments in the proper delivery of these essential services. The shift from stabilisation to governance also reflected the need expressed by GoIRA and donors for the hand-over of service delivery responsibilities to local government.

3. Community-Led Urban Infrastructure Programme (CLUIP)

2014 was an important year for Afghanistan with the change in Presidency and the related ministers, governors and mayors, the withdrawal of the International Security Assistance Force (ISAF), and the record number of 755,011 security and economic-related displaced persons. The majority migrated to urban areas because of safety, livelihood opportunities, and access to services. These migrants placed pressure on already vulnerable local infrastructure and services.

UN-Habitat had already initiated the Peace-Building in Afghanistan through Consolidation of Community Solidarity (PACCS, Phase 1 and 2, funded by the Government of Japan) programmes, the Urban Solidarity Programme (USP) and CBMSP to improve living conditions in poorly served neighbourhoods with a concentration of vulnerable households.[9] These programmes resulted in upgraded settlements, improved community solidarity, trust in the government, stimulated development, and integration of vulnerable families. Based on this experience and on the increasing demands in urban centres, UN-Habitat started CLUIP.

CLUIP ran for one year from 1 April 2015 – 31 March 2016. It covered five provinces and reached 352,000 beneficiaries (39,000 households). Its aim was to secure and stabilise urban areas across five cities. This was addressed through the programme's three components:[10]

1. To address the urgent needs of the most vulnerable households such as recently demobilized combatants, IDPs, rural-urban migrants, returnees and low-income urban households, through the establishment of CDCs and upgrading of underserviced areas to avoid disillusions and frustrations and reduce the risk that those households are falling back in illicit and insurgent activities.

2. To be able to respond to the needs of larger areas compared to the CDCs (average 250 households), CDCs are clustered into Gozar Assemblies (GAs, approximately 5 CDCs including 1000-1500 households). The GAs will facilitate to build solidarity and sustainable peace in a cluster of CDCs by enhancing improved access to basic infrastructure services considered by GAs as their top priorities. Female sub-committees and membership was prioritised.

3. To assist urban communities at CDC and GA level in each of the 5 provinces community empowerment programs were implemented, targeting both men and women to create livelihood opportunities, vocational training programs, exchange visits between communities of the 5 cities and support to Municipal Advisory Boards (MABs) to empower communities through improved internal relationships and understanding as well as communication and interaction with the MAB members.

4. State of Afghanistan Cities (SoAC)

In 2014, UN-Habitat and GoIRA discussed one of the key challenges in Afghanistan urban planning, that is, the outdated data that was incomplete and scattered across various ministries.[11] This data was not routinely collected and not used for policy or planning decision-making. The costs of the outdated data were enormous, as evidenced in the expanding informal settlements, land grabbing, decreasing agricultural land, deepening social problems, rising urban inequality, and greater insecurity. Rapid urbanization also highlighted the need for policy makers and city leaders to have access to reliable and verifiable information in terms of urban indicators to support decision-making. UN-Habitat saw the opportunity to contribute to improved urban data.

SoAC's purpose was to build capacity for improved urban data, monitoring and evidenced-based policy and planning decision making.[12] The two main expected accomplishments of this programme were:

9 *UN-Habitat, Completion Report, Community-Led Urban Infrastructure Programme (CLUIP), April 2016*
10 *UN-Habitat, Completion Report, Community-Led Urban Infrastructure Programme (CLUIP), April 2016*
11 *UN-Habitat, State of Afghan Cities Programme (SoAC), Mid-term Report, January 2015*
12 *The State of Afghan Cities, 2015, Volume 1*

1. Improved human and institutional capacity for urban data collection, monitoring and use

2. Improved knowledge and information availability on urbanisation in Afghanistan

SoAC developed a pioneering methodology that extracted data from the latest high-resolution satellite images of urban areas. Two data sets were produced: (1) house counts, and (2) land use. The output was the publication of two volumes of the State of Afghan Cities 2015.

Volume One presented the key findings under the five headings of: demographics and spatial structure, governance, economy, land and housing, and environment. Volume Two presented the primary data in a larger atlas-style format, using maps, graphs and data tables for each city. In addition, a discussion paper series was published on ten different themes such as: urban governance, inclusive cities, Afghanistan's urban future, cities for all, among others. SoAC ran from 1 July 2014 – 30 September 2015. The programme was implemented under the leadership of MUDH, IDLG and KM.

5. Future of Afghanistan Cities (FoAC)

FoAC was a one-year programme (1 October 2015 – 30 September 2016) funded by the Governments of Australia and the United Kingdom.[13] FoAC utilised the opportunities and the momentum built through SoAC with the objective to strengthen government capacity, coordination and data in line with a new national framework for urban development (UNPP). The programmes outcomes were:

1. Improved national urban policy environment

2. Improved knowledge and data on city regions and strategic district municipalities to support the development of UNPP and associated national programming during the 'Transformation Decade'.

The programme examined five major city regions and 28 strategic district municipalities in terms of population, land use, housing and rural-urban linkages. FoAC used the methodology that was developed for SoAC, as stated above. The baseline data ensured that the UNPP reflected the ground realities and bridged the rural-urban continuum. One of the programme outputs was publication (English, Dari and Pashto) of the large format Atlas of Afghan City Regions 2016, which was a continuation of the State of Afghan Cities 2015 report. The Atlas showed that there is an extensive interdependence between cities and their peri-urban areas.[14] Other findings included: the relative importance of strategic district municipalities which rival certain provincial capital municipalities in terms of estimated population, land area and economic significance; and the need for further consideration of the spatial structure of Afghan human settlements in order to secure regionally balanced population growth and appropriate policy and governance frameworks on the subnational level. FoAC also produced the second series of ten discussion papers covering thematic areas including: urban-rural linkages, metropolitan and peri-urban growth, urban economies, youth participation in governance, among others.

Having outlined the five programmes under review, it is important to briefly outline UN-Habitat's social mobilization process, which highlights the importance of the People's Process; building community self-reliance through a people-centred approach. This approach was developed before the NSP and then it became central to all of the NSP phases, subsequent UN-Habitat Afghanistan country programmes, and government approach and implementation models. Community activities are divided into 5 phases consisting of 15 steps, and are referred to as the Learning Ladder. This is an incremental, experience-based sequence of key steps that aims to facilitate an inclusive and participatory planning process within the community. Please see Annex 5 for more details.

Urban environment - Bamyaan city, 2015. Photo © UN-Habitat/Ahsan Saadat

3. APPROACH AND METHODOLOGY

In the ToR, UN-Habitat proposed using the five evaluation criteria below. These criteria are based on the UN system evaluation criteria of: Relevance, Effectiveness, Efficiency, Impact and Sustainability.[15]

The evaluation was conducted by consultants Dr. Stephen Van Houten (International Team Leader) and Mr. Shakir Ullah Shakir (National Evaluator) in close consultation with the UN-Habitat Evaluation Unit, the Regional Office for Asia and Pacific and of the UN-Habitat Afghanistan office. The evaluation was carried out from December 2016 to March 2017.

Taken together, these criteria provide management with the critical information needed to understand the programme and determine what should be done next.

The quality of evidence was addressed through the following evidence criteria:

- Beneficiary Voice and Inclusion
- Appropriateness
- Triangulation
- Contribution
- Transparency.

After data collection, the data was described, analysed, and interpreted. This was done through the following accepted methods:

- Data triangulation
- Testing reliability
- Testing validity
- Assessing sufficiency of data
- Assessing contradictions
- Comparing with comparative standards (of other similar projects and initiatives).

An Evaluation Matrix was used as a framework for sorting the data. Findings were gained through data: patterning, coding and weighting.

Theory of Change was applied using the logical framework of each of the five programmes to assess how performance was linked to the objectives, expected accomplishments and intended impact of the programmes, as well as to UN-Habitat's strategy and goals for Afghanistan.

Based on the ToRs and discussions with UN-Habitat, the following multi-faceted, mixed design methods

	CRITERIA	DEFINITION
1	RELEVANCE	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirement, country needs, global priorities and partners' and donors' policies.
2	EFFECTIVENESS	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.
3	EFFICIENCY	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
4	IMPACT	The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
5	SUSTAINABILITY	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of long-term benefits. The resilience to risk of the net benefit flows over time.

13. UN-Habitat, FoAC, 3rd Quarter Report, 1 April 2016 - 30 June 2016
14. Atlas of Afghan City Regions, 2016
15. The UN system evaluation criteria are similar to the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) evaluation criteria.
16. All those interviewed were anonymous.

3.1 DOCUMENT REVIEW

UN-Habitat provided various documents, which included:

- Project documents and concept notes
- UN-Habitat documents for programming in Afghanistan, including Habitat Country Programme Document for Afghanistan (HCPD)
- Progress and monitoring reports, including financial reports
- Evaluation reports
- United Nations Assistance Mission in Afghanistan (UNAMA) and donor documentation (including websites)
- UN-Habitat strategic plans and work programmes
- Afghan National Development Strategy (ANDS), Afghanistan Peace and Development Framework (ANPDF), and National Priority Programmes
- Other relevant documentation, such as news stories, UN-Habitat Web site, press release, publication, success stories, and mission reports of HQ/ROAP staff visited Afghanistan.

UN-Habitat provided the relevant documentation for all five programmes under review.

3.2 INTERVIEWS

Interviews were conducted to obtain qualitative information on the evaluation issues to allow the evaluation team to address the relevance, efficiency and effectiveness of the programme. Respondents refers to all of those people who took part in an interview or FGD, and included: UN-Habitat staff in Afghanistan, Kenya (Headquarters), and Japan (Regional Office); other UN agencies; donors; government; partners; and beneficiaries.

In the interviews, descriptive, normative, and impact questions were used to ensure that past, present, and future conditions were described, as well as cause-and-effect relationships. Following the ToR and discussions with UN Habitat, this evaluation used the following questions (broad and specific) to assess the country programme (please see Annex 4).

UN-Habitat recommended that the rate of performance of the country programme be measured using the following scale.

Focus Group Discussions (FGDs) were held with larger groups of people who had similar UN-Habitat experience. The same questions and rating scale were used during the FGDs.

RATING OF PERFORMANCE	CHARACTERISTICS
Highly Satisfactory (5)	The programme/project had several significant positive factors with no defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Satisfactory (4)	The programme/project had positive factors with minor defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Partially Satisfactory (3)	The programme/project had moderate to notable defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Unsatisfactory (2)	The programme/project had negative factors with major defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Highly Unsatisfactory (1)	The programme/project had negative factors with severe defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.

3.3 OTHER

This evaluation also used site and field visits, photos, and videos to collect data and provide programme evidence (see Annex 3 for details).

3.4 LIMITATIONS

The ongoing security risks in Afghanistan posed certain limitations, most notably in the evaluation team's restricted ability to move around the country. Another limitation was language. These limitations were addressed through the inclusion of Skype interviews, and through the engagement of the national consultant whose work mitigated some of the travel and language challenges.

Following the ToR and the desk review, this evaluation used purposive sampling to best answer the evaluation questions by focussing on the relevant population involved in the project.

More specifically, the type of purposive sampling used is maximum variation sampling, which allows the evaluator to gain greater insights into a project by looking at it from all angles. The evaluator is thus able to identify common themes that are evident across the sample.

In qualitative designs, the focus generally is not on sample size but rather on sample adequacy.[17] The adequacy of sampling is used as an indication of quality which is justified by reaching saturation.[18]

This evaluation used thematic data saturation, which means that there were no more patterns or themes emerging from the data.[19]

Regarding the limitations of purposive sampling, these are usually cited as: errors in evaluator judgment; low level of reliability; and inability to generalize findings. The evaluation quality criteria listed in the previous section was used to minimise these limitations. While the evaluated sample is not representative of the whole population, this is not considered to be a weakness in evaluations where qualitative or mixed methods research designs are used.[20] Given that there are only a limited number of primary data sources in this evaluation; purposive sampling is the most appropriate sampling method available.[21] This method choice is also strengthened by its high rating on cost- and time-effectiveness.

While cross-cutting issues were applied to the evaluation process itself, e.g., in ensuring representative selection for the interviews and FGDs, this proved difficult to adhere to for cultural reasons, as illustrated in the lower number of female respondents.

Transportaion modalities in Mazar -e- Sharif city, 2015. Photo © UN-Habitat/Ahsan Saadat

17 http://salmapatel.co.uk/academia/saturation-in-qualitative-
18 Bowen, G. a., 2008. Naturalistic inquiry and the saturation concept: a research note. Qualitative Research, 8(1), 137–152.
19 O'Reilly, M. and Parker, N., 2012. 'Unsatisfactory Saturation' : a critical exploration of the notion of saturated sample sizes in qualitative research. Qualitative Research, [online] 13(2), pp.
20 http://researchbasics.education.uconn.edu/
21 http://research-methodology.net/sampling-in-primary-data

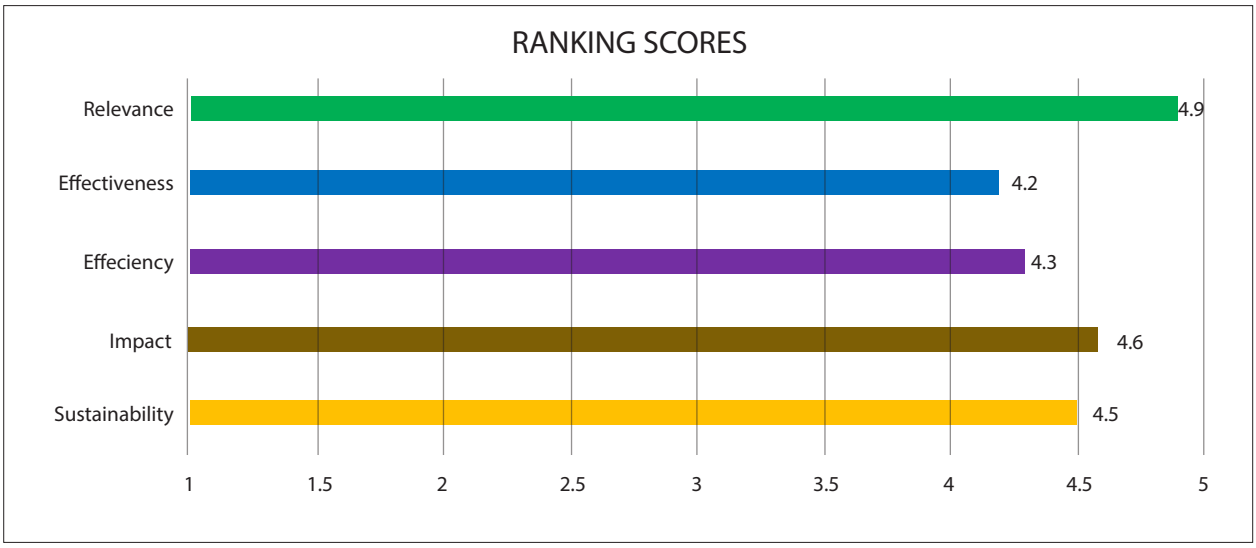
4. FINDINGS

The findings are now presented according the five evaluation criteria of: relevance, effectiveness, efficiency, impact and sustainability. The findings are fact based and each criterion begins with the performance ranking score followed by the extent to which achievements have been achieved, partly achieved, or not achieved. Finally, the integration of climate change, gender, human rights, and youth issues is discussed. The overall raking scores are outlined below. These scores represent a summary score of all five projects.

All five programmes were in similar ranges for each criterion, with few differences between them. The range of each criterion is provided below and the marginal programme differences are highlighted. These specifics are discussed under each criterion below.

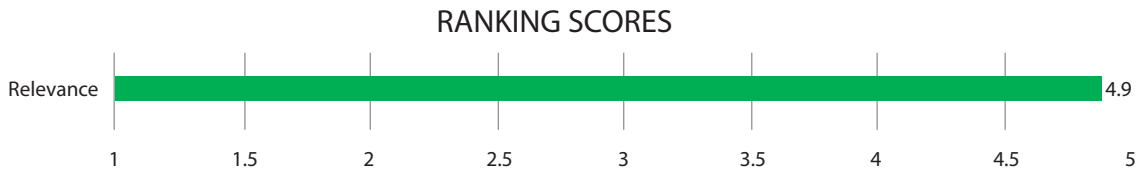
- Relevance: 4.9 [4.8 (CBMSP) – 5.0 (NSPIII)]
- Effectiveness: 4.2 [4.1 CLUIP – 4.3 (SoAC)]
- Efficiency: 4.3 [4.2 (SoAC) – 4.4 (NSPIII)]
- Impact: 4.6 [4.4 (CLUIP) – 4.7 [FoAC])
- Sustainability: 4.5 [4.3 (CLUIP) – 4.6 (SoAC)]

The relatively high ratings on effectiveness and efficiency were consistent through the five programmes with no programme showing significant differences. Any programme shortfalls in these areas are also discussed below.



Key
1 = Projects had negative factors with severe defaults or weaknesses
2 = Projects had negative factors with some defaults or weaknesses
3 = Projects had some strengths & weaknesses, but overall there was no measurable change
4 = Projects had positive factors with minor defaults or weaknesses
5 = Projects had several significant positive factors with no defaults or weaknesses

4.1 RELEVANCE



SUMMARY	
CRITERIA	SCORE
UN-Habitat in Afghanistan was relevant and provided value added for the country's development objectives and achieving sustainable urbanization?	
UN-Habitat country programme was in line with and responded to national needs, priorities and contribute to achieving sustainable urbanization?	
The identification, design and implementation process involved local and national stakeholders, as appropriate?	
UN-Habitat country programmes promoted partnerships and multi-stakeholder engagement in UN-Habitats priority areas of work?	

GREEN = ACHIEVED YELLOW = PARTIALLY ACHIEVED RED = NOT ACHIEVED

Relevance is a measure of the extent to which interventions meet recipient needs, country priorities, and are consistent with organisational and donor policies. More specifically, this evaluation showed that all five UN-Habitat programmes responded to all reflected needs, priorities and policies.

All five programmes were clearly aligned with the national Afghan development priorities as identified by the GoIRA. As a UN agency, UN-Habitat is part of the United Nations Development Assistance Framework (UNDAF) in support of the Afghanistan National Development Strategy (ANDS).

UNDAF's mission is to support the people and the Government of Afghanistan in achieving the goals of the Afghanistan National Development Strategy.

Our development assistance focuses on the needs and rights of the most vulnerable and seeks to bring effective governance and stability, provide livelihoods and improve basic services."[22] ANDS (2008-2013) outlined how the Government and its partners would meet the country's development needs.

UNDAF recognised that the UN was well placed to support ANDS by highlighting the links between stability and poverty alleviation, especially for marginalised and vulnerable persons. UNDAF (2013-2019) forms the overall vision of the United Nations Country Team's (UNCT) work between this period.[23]

Infrastructure in Kandahar city, 2014. Photo © UN-Habitat/Ahsan Saadat

22 United Nations Development Framework in Support to the Afghanistan National Development Strategy, 2010 – 2013
23 United Nations Development Assistance Framework for Afghanistan, 2015 - 2019

This Document recognises the conflict-affected and transitional context, highlights the priority areas and outcomes of (1) equitable economic development, (2) basic social services, (3) social equity and investment in human capital, (4) justice and rule of law and (5) accountable governance.

The country programme is aligned with the government's National Priority Plan (NPP) and the Urban National Priority Plan (UNPP). The Afghanistan country programme is aligned with UN-Habitat's Strategic Plan (2014 – 2019). All the five programmes are aligned with and relevant to relevant to the MTSIP and strategic plan. The common focus areas of the Strategic Plan are reflected in the Country Programme's ongoing engagement with urban legislation, urban planning and design, and urban economy and municipal finance (the three 'prongs'), as well as the fourth programme area of urban services.

NSP III was aligned with national and UN-Habitat priorities to support rural development, local governance, and sound basic infrastructure and services. In addition, for NSP III, UN-Habitat was committed to building, strengthening, and maintaining CDCs as effective institutions for local governance and the social-economic development of rural communities.

A major part of the relevance lies in the People's Process methodology that was incorporated into government and other UN-Habitat programmes. Respondents described NSP as the most important development programme ever in Afghanistan. ***"Government, partner and donor respondents described the programme in terms that included our mother programme of development in Afghanistan, flagship, our pride, the great equaliser, and the people's hope"***.

Beneficiaries were unanimous in describing NSP in positive terms – the first programme that responded to their needs, the programme that changed their lives. They stated that NSP was the first project that involved the community in the programme planning, decision making, implementation, and monitoring. Beneficiaries stated that NSP established the foundations for community development in Afghanistan. They also argued that the system of working through the CDCs is still valid today, and that its strength has been acknowledged and adopted by other agencies working in the areas. It is difficult not to overstate the enormous relevance and importance of NSP (including NSP III) to Afghanistan's political-social-economic transition.

CBMSP was aligned to the national development agenda of Afghanistan, in particular, ANDS and the National Priority Programme for Local Governance (NPP4) (component 17). It was also aligned to municipal development in promoting local governance in partnership with the MUDH, IDLG and KM. CBMSP used NSP's People's Process methodology to ensure that community priorities were reflected. The programme was constructed on UN-Habitat's experience with other urban development projects, especially the Kabul Solidarity Programme (KSP) and the Urban Solidarity Programme (USP).

In terms of the UN-Habitat global programme, CBMSP was aligned to the Housing and Slum Upgrading Branch and the Urban Legislation, Land and Governance Branch. CBMSP was aligned with the Global Housing Strategy with its focus on national housing, slum upgrading and prevention strategies and programmes. Respondents argued that CBMSP was relevant to the national and local priorities and needs, and that it responded to the urban needs of beneficiaries in terms of programme design, implementation and management.

As stated in Section 2, CBMSP marked UN-Habitat's strategic shift from the direct delivery of basic services and development of infrastructure (stabilisation) to supporting local governments to deliver these essential services (governance). Respondents were divided on this strategic shift, with some celebrating and others questioning its usefulness. International and some regional staff and government respondents outlined the importance of moving away from rural service delivery and instead focus on UN-Habitat's mandate for urban development. Country staff and certain other regional and country staff argued that the shift was too sudden and feared that UN-Habitat might lose its hard-gained relevance and usefulness in Afghanistan. Some respondents, including some donors, stated that the strategic shift was a mistake in Afghanistan.

The significant majority of respondents, including donors argued that UN-Habitat's future relevance in Afghanistan will be determined by its ability to balance stabilisation and governance. An interesting comment from a wide range of respondents was that UN-Habitat is uniquely placed to develop and export such a mixed model in urban development. This issue will be further discussed under the findings in effectiveness, impact and sustainability.

CLUIP was aligned with the GoIRA's national development, local governance and urban management priorities. This was done in partnership with MUNH, IDLG and KM. Like CMSP, CLUIP was aligned with the Global Housing Strategy with its focus on national housing, slum upgrading and prevention strategies and programmes, and contributed to the Housing and Slum Upgrading Branch's priorities in collaboration with the Urban Legislation, Land and Governance Branch. Staff, donor, government and beneficiary respondents were positive about CLUIP's relevance. Common respondent themes were that the programme: responded successfully to the huge challenge that Afghan cities face; and it incorporated the needs of the people.

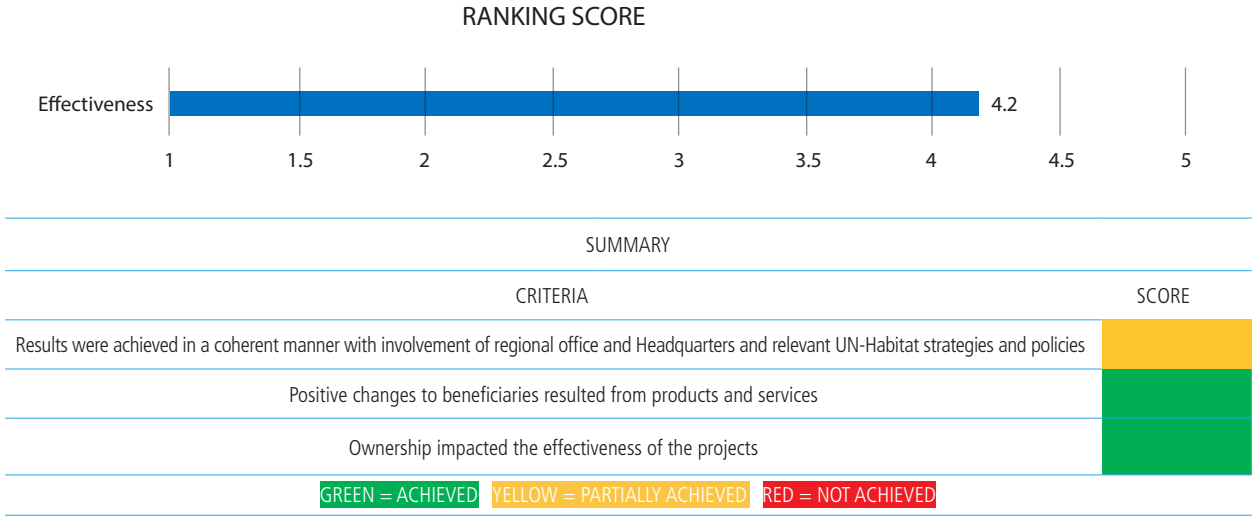
Another point on relevance was how the programme, like NSP and CBMSP, CLUIP recognised and contributed towards bringing communities and government closer. At the community level, respondents stated that the programme was in line with the Community Action Plan (CAP) and it responded to the local needs and development priorities. In Kabul City, for example, respondents claimed that CLUIP's relevance was heightened by the inclusion of all age groups of females and males in the different stages of project management. In Herat, respondents stated that both CLUIP and CBMSP were relevant and appreciated because they responded to the local development plans and needs of the people and because through the CDC system the actual work was performed mainly by local people.

SoAC was the first national review of urbanization trends in Afghanistan; with FoAC being a continuation of SoAC, and focussing on strengthening government capacity, coordination and data in line with a new national framework for urban development (UNPP). Both projects responded to the critical urban management and support gap identified in the National Priority Programme (NPP), which was the scarcity of reliable urban sector information in relation to policy development and urban planning. The NPP prioritised the need for shared information at the city, provincial and national levels. SoAC and FoAC were also aligned with ANDS and the National Action Plan for Women of Afghanistan (NAPWA) (2008-2018), the latter through the gendered analysis of urbanisation in Afghanistan. Their regional alignment is seen in their alignment with UNDAF's priorities in the 2014-2019 framework. Their global alignment is evident in their alignment to Millennium Development Goal (MDG) 7 dealing with environmental stability.

Respondents stated that both SoAC and FoAC were relevant to national, provincial and local priorities because without this data there would be no way to develop useful and sustainable urban planning policies. They stated that the relevance of reliable urban data was especially important in Afghanistan where data is generally very outdated. Respondents argued that the two projects provided data and direction to the government: SoAC with "where are we now?" and FoAC with "where are we going?" Another common theme is illustrated in this quote: "The government didn't know how much land was vacant; how many houses there were; the population size – we were able to respond to that need." Some respondents also commented on the fact that the government requested this information and that the projects were aligned to national urban development priorities. Staff, government and donors all highlighted the ongoing relevance of these projects in building on and strengthening this data and its use.

In summary, it was noted that all stakeholders, at all levels, argued that the five programmes were relevant and useful, especially given the national urban development priorities and the political-social-economic challenges facing Afghanistan over the last five years of review. Respondents argued that UN-Habitat's work was aligned to global, regional, national, provincial, and local priorities. UN-Habitat, based on their history, current and planned work, is well placed to remain relevant

4.2 EFFECTIVENESS



Effectiveness is a measure of the extent to which the intervention's intended outcomes – that is, its specific objectives – have been achieved. A project's effectiveness is assessed using three steps:

1. Measuring for change in the observed outcome
2. Attributing the change in the observed outcome to the intervention
3. Judging the value of the intervention.

The evaluation showed that the objectives of the five programmes were achieved. This was evidenced in the final reports for each programme and in the interviews with UN-Habitat staff, donors, government and beneficiaries. The programmes were monitored through the robust UN-Habitat M&E and reporting structures. Quarterly reports showed measured progress, challenges and responses in the programme implementation.

NSP III

NSP III was clearly effective in achieving its objectives and outcomes. The programme ended with 2,811 CDCs in nine provinces having completed and utilised the block grants.[24] This is 2,811 out of 2,963, the remaining number of CDCs withdrew. 4,010,447 people and 704,919 families benefitted from NSP III. 2,882 CDCs were trained in mandatory training topics, with 227,508 women and 637,788 men being trained. The remaining NSP III activities are: (1) Preparing the NSP III completion report, and (2) Payment of the remaining invoices by MRRD.

Beneficiaries gave very positive feedback about the programme and a common request was for more projects like this even though they know it is the end of NSP. There is a discernible apprehension amongst beneficiaries in terms of what will happen now and whether the Citizen's Charter will fulfil the needs of people, especially in the rural areas. Staff respondents expressed pride in being part of such a landmark process in Afghanistan: "We are proud to be part of something that has touched the lives of so many people, in such good ways" (Staff). Donors expressed satisfaction with the programme, and various respondents acknowledged UN-Habitat's historical and central role in the NSP process. One suggestion from the donors was that UN-Habitat could improve its communication with the donor, in that it has been inconsistent for some months. This issue is further discussed below.

CBMSP

CBMSP was effective in achieving its objectives and outcomes. One of the outstanding successes was the securing of over US$6 million in matching contributions from communities. The programme was also successful in the areas of establishing CDCs, capacity building and training, registration of properties for the safayi tax, and the undertaking of infrastructure projects. The infrastructure projects were 100% achieved, and other targets were, in fact exceeded. This is evident in overachievement of targets versus actual numbers for the following: # CDCs (135 vs 158), # households (33,750 vs 41,731) and # targeted persons (219,000 vs 356,903). Some of the challenges included: over-ambitious expectations for making institutional changes at the national level in a short period of time, the delays in municipal elections, and the adoption of the Municipal law.

24 UN-Habitat, Afghanistan National Solidarity Programme, Progress Update, December 2016.

Respondents were also very positive about CBMSP. Staff argued that the project was well managed and successful. Beneficiaries clearly want more projects like this and they commented on the fact that they wanted specifically UN-Habitat to be involved in future projects because they trusted UN-Habitat and respected their honesty and transparency. A beneficiary in a focus group discussion stated: "We want UN-Habitat, no-one else. They are our brothers and sisters and we trust them." One of the challenges raised was the unexpectedly high cost of maintenance. The donor (Japan) expressed satisfaction with the programme. The donor was pleased with CBMSP output and stated that they wish to continue supporting service delivery and infrastructure development in both urban and rural areas. The donor, however, expressed dissatisfaction with what is perceived as UN-Habitat's increasing role in capacity building activities, which is not their funding focus.

CLUIP

CLUIP was effective in achieving its objectives and outcomes. The overall objective of increasing socio-economic stability in target cities by meeting the urgent needs of the most vulnerable urban households was achieved through the increase of the community cohesion, job creation and the successful implementation of 210 sub-projects in target areas. All community construction and construction by block grants were completed. In terms of infrastructure, approximately 295 km of road was paved and 302 km of drainage was constructed. Another major achievement was the 37% community contribution, which enhanced ownership and sustainability. The programme created approximately 318,000 working days for men and women in 5 cities. It also provided skills training for vulnerable households.

Respondents were also very positive about CLUIP. Beneficiaries stated that they were pleased with how the contribution of beneficiaries was utilized. They said that it was economically and efficiently used and stated the reason for this as UN-Habitat's participatory approach. In Kabul, an example was provided of how it was planned to pave 29 km in District 11 but due to the efficient use of funds 33 km of road was paved. The head of CDC stated that "this project was a good learning experience for us to work in a participatory approach. We assure you that our community has great abilities and skills to implement several other development projects to overcome our social problems. We request donor agencies and other facilitating partners to continue their support here." Staff expressed satisfaction with how the programme was implemented and monitored. They expressed pleasure in being part of a programme with clear and useful outcomes: "CLUIP was one of government's few tools to bring change to the cities. It was successful because it responded to the needs of the people and brought the people and government together" (Staff). The donor (Japan) expressed satisfaction at CLUIP's effectiveness, and, like for CBMSP, expressed its desire to continue funding service delivery projects in the future in collaboration with UN-Habitat.

SoAC

The SoAC project was effective. The publication of the two volumes and the discussion papers highlighted the innovative methodology, strong government and UN-Habitat leadership, and the productive working relationship between them. There was complete distribution of the 500 copies (Vol 1) and the 300 copies (Vol 2). In addition to main SoAC publication, ten themed discussion papers in three languages were also developed under the SoAC project and 200 copies published for the government, government partners, donors, and other stakeholders. The President launched the report in November 2015. Another notable aspect was the use of CDCs and local municipalities to verify data.

Respondents were glowing in their discussions of SoAC. Government respondents stated that this was one of the most useful outputs they have ever had in partnership with an external agency. The praised the team, the methodology, the quality of the products and the collaboration. This project is a fine example of productive collaboration between government and an external agency. Project respondents were very satisfied with the process and products. They cited the marked capacity development of local staff on the team as one of the most significant accomplishments. They highlighted the following challenges:

- The limited time frame compromised the quality of outputs.
- The working team was too small and this also compromised output quality.
- The limited budget meant that the team had to

opt to cheaper and lower quality resolution on the satellite images .

• Satellite images dated very quickly. For example, even though the technical team used updated imagery, for one area they had an image of land with no buildings on it and six months later the same piece of land was covered with houses .

• Security was an issue for staff who did the field work and data verification.

• The team did not have the specific software to properly analyze data.

The team respondents argued that there is an ongoing need for this kind of work. The donor (Australia) was very complimentary of the project. They stated that the project was well managed and that the products were professional and useful. They also funded FoAC and they stated that they would welcome the opportunity to be part of any similar project in future.

FoAC

Finally, the FoAC project was also effective. The objective was achieved with embedded Urban Advisors supporting government agencies daily and assisting them with the drafting of the UNPP. The dataset on five city regions and 28 District Municipalities as well as discussion papers were produced within the stipulated timeframe. UN-Habitat worked in close collaboration with the government and other stakeholders to ensure that the final UNPP document was inclusive. The document was accepted by the government and is now guiding government policy and decision making.

Respondents were also very positive about FoAC's effectiveness. The government stated: "We were very happy with it," adding that the UNPP document is guiding government agencies to draft strategic urban plans. Moreover, government detailed how they are sharing the process and data with other interested countries, e.g., India and Pakistan, and how FoAC information is being shared with other international organisations when they approach government in anything related to urban planning. One government official stated that "FoAC was important because it gave us, the government, direction." The data also assisted government by providing population figures, indicating vacant land (e.g., 24% in Kabul) and showing that some municipalities were actually cities.

Other respondents highlighted the project's effectiveness in the production of the Atlas and the ten discussion papers, as well the fact that in response to FoAC the government created the Urban High Council and the methodology and findings were presented at the Brussels Conference on Afghanistan, 4 – 5 October 2016. It was also mentioned that the President strongly supported advancing the UNPP and appreciated that local staff had been employed and capacitated in the FoAC project.

A few key observations are now shared from data collected across the five programmes.

• Service Delivery – Technical Support: Respondents have raised what they perceived as a common challenge, namely UN-Habitat's strategic shift from service delivery to technical assistance. While almost everyone supports the new strategy, many respondents argued that the shift took place with too little preparation, information, as well as too quickly. While the model already exists in ongoing programming for service delivery and technical support, as evidenced in CFA, LIVE-UP, and AUPP with their balance of technical assistance with block grants for communities, many respondents fear that UN-Habitat will abandon service delivery altogether. Respondents argued that service delivery was largely responsible for UN-Habitat's good name in communities all over the country and with government. How this model is communicated and operationalised appears to be the main issue: "We understand we should support and develop the government but we also need to be involved in providing services – but the how is missing – how do we balance these in a country with a long and proud history of working in communities, and not just working with government." (Staff). Respondents called for a clearer articulation of the global policy and its specific implications for Afghanistan.

• ROAP: The regional office works closely with the country programme. One of ROAP's major strengths is having staff who previously worked in Afghanistan; people who have a good understanding of the political, economic and social conditions. They have long and established relationships with key Afghans, which make programme planning, implementation and

monitoring much easier. The two observation meetings with government showed keen strategic and operational skills based on mutual respect and strong working relationships. Staff reported that they feel supported by ROAP: "Our regional office has strong management, good people, they know what's going on in the country, and they are committed to Afghanistan – this last point is very important to us and to our success" (Staff). One challenge noted was the distance between Japan and Afghanistan, which limits visits from ROAP.

• IDP-Returnee Issues: The IDP-Returnee issue is one of the main challenges facing Afghanistan. In the interviews, government officials and donors stated categorically that UN-Habitat is centrally placed to assist the government in responding to this issue. While the IDP-Returnee issue is well articulated in UN-Habitat's LIVE-UP programme, ROAP, country staff and government stated that at present the issue exists in that silo and urgently needs to be integrated as a cross-cutting issue across UN-Habitat's country programme. This evaluation highlighted this as a fundamental and pressing issue for UN-Habitat Afghanistan.

• Ownership: One of UN-Habitat's key successes has been its ability to establish ownership in its programmes. Government and community ownership is evident across all five programmes. The field interviews highlighted community pride and ownership of having been part of the entire project management cycle in NSPIII, CBMSP and CLUIP. For example, because of NSPIII canals continue to be cleaned through a committed community and volunteer programme. Respondents did note that building community ownership needs incentives, time, and continuous engagement. One commonly expressed fear, as stated above in CBMSP and CLUIP, is the fear that communities will not be able to maintain the improvements without the ongoing support of UN-Habitat.

A common theme discussed in the interviews was the relationship between HQ, on the one hand, and ROAP and the country programme, on the other hand. All relevant stakeholders noted that while there had been positive efforts towards greater cohesion, the relationship needs to be improved.

Respondents provided different perspectives regarding this issue. HQ respondents stated that there was a need for a closer working relationship with the country programme. The perception was that the country programme manages its programmes with the minimum of HQ input. HQ stated that they would like to be more involved in the planning, implementation and monitoring of the country programme. Specifically, HQ argued that its technical expertise could be of assistance to the country programme. The perception at the regional and country level is that HQ is involved at the project conceptual level when it gets presented by the countries to HQ-PAG (Project Advisory Group) that reviews and approves the concept notes and project documents. However, it is felt that HQ is largely absent from the project start-up and operational phases.

The country team articulated that HQ provides strategic direction and some technical input on a needs basis. It was noted that this strategic direction, while important, missed the experiences and lessons learned in a large country programme like Afghanistan. It is clear that HQ, regional and the country programme want to improve their working relationship with each other. Country and regional respondents raised two other significant issues.

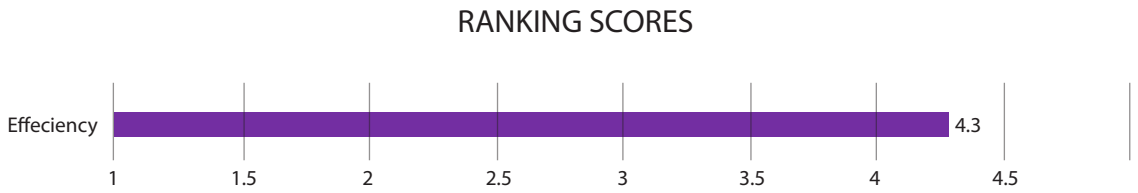
One, regional and country respondents were united in their wish to have more contact with HQ. They expressed the need for more senior management visits for longer periods of time and more frequently. It was commonly stated that trips of 2-3 days, with no travel outside of Kabul, were of little value to the country team and programme. One respondent stated: "We need regular trips that add value to us and to them. They have little idea what we are doing, especially when it comes down to the important details of the country programme implementation. Also, it is disheartening for staff to see [HQ] managers fly in and out without properly engaging permanent local staff." They suggested that every HQ mission from a branch should take ample time to brief the key programme staff about issues like the branch's role, the sub programme coordination and direction within the new urban agenda, and the menu of services, expertise, tools and guidelines available for countries and its staff. Respondents argued that this is the best platform for interactive sessions on how a branch can discuss with each programme how they can add value to the projects and programmes while sharing the knowledge and skills to country-based staff.

From the HQ perspective, certain HQ branches described how they have tried to maintain productive contact with the Country Programme. For example, in the Housing and Slum Upgrading Branch, the outcomes include the National Housing Profile and a Housing Strategy (2016), as well as the National Housing Policy, which is under formulation (2017). This work is reflected in the report with several mentions to the Global Housing Strategy. Furthermore, as for the missions, the Housing Unit undertook two missions in 2016 and a third mission is planned for 2017, and it was stated that the duration was mutually agreed-upon with Kabul. The Urban Legislation, Land and Governance Branch had a short engagement with the Country Programme in early 2016 with the Cities for All Programme.

Two, the other common evaluation theme was the system of HQ asking for payment for services provided to the regional and country offices. Not one respondent supported the system, and, in fact, the system came under heavy criticism. Respondents argued that not only does the system make no sense financially but it has created a gap between HQ and the country programme. Unprompted, one donor asked for clarification on this payment process, and expressed surprise that any HQ would charge its employees to carry out tasks that are part of their daily roles and responsibilities. It is important to note that all development partners are obliged to the Tokyo Declaration Partnership for Self-Reliance in Afghanistan from Transition to Transformation, and that the President of Afghanistan has repeatedly made categorical remarks about how some UN agencies charged Afghanistan resources for their HQ staffing.

In summary, this evaluation showed all five programme results were achieved in a coherent manner. There is currently an important debate about how HQ could be involved in the country programme in terms of planning, technical input, and financial support and investment. Positive changes to beneficiaries resulted from the various products and services, and the transfer of beneficiary ownership had a constructive impact on the effectiveness of the projects. Respondents highlighted this as one of UN-Habitat's core strengths.

4.3 EFFICIENCY



SUMMARY	
CRITERIA	SCORE
UN-Habitat Country Office, ROAP, and national partners had the capacity to design and implement projects?	
Institutional arrangements were adequate for implementing UN-Habitat's Country Programme in Afghanistan?	
Progress and efficiency gains of UN-Habitat worked through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization?	
UN-Habitat country programmes promoted partnerships and multi-stakeholder engagement in UN-Habitats priority areas of work?	

GREEN = ACHIEVED YELLOW = PARTIALLY ACHIEVED RED = NOT ACHIEVED

Efficiency is a measure of the relationship between outputs (intervention products or services) and inputs (the resources that it uses). A project is regarded as efficient if it utilizes the least costly resources that are appropriate and available to achieve the desired outputs. Assessing project efficiency requires the comparison of different approaches to achieving the same outputs. This is easier for some kinds of interventions if the activities are standardised.

In general, the five programmes operated efficiently, with sufficient funding to match the expected activities and outputs. Budgets were available, up-to-date, communicated with the donors, and signed off. Donors reported satisfaction with budget timeliness and professional standards. UN-Habitat programme managers and the finance department responded reasonably to all related enquiries in the evaluation.

Responses to the five specific programmes will be summarised, after which the successes and challenges of the five programmes in the period 2012-2016 will be highlighted. The literature review and interviews showed that NSP III was adequately funded and that it had sufficient staff. One of the common interview themes was that the national staff brought from the previous NSP phases added significant value to how NSP III was managed. Various examples were cited of local staff who had developed professional skills through their previous NSP experience. Various stakeholders noted, especially senior country staff and government that this capacity development was through long-term commitment and exposure to ongoing projects in UN-Habitat. Also, respondents highlighted that NSP III had transferred financial and human resources skills to CDCs and their communities. One common problem was the long delays faced by provincial NSP staff in receiving funds from Kabul.

CBMSP and CLUIP were both signed off within budget and, like NSP III, were praised by other stakeholders for their use of local staff and the transfer of financial and human resources skills to the community. For example, in CBMSP, 75% of the funds went directly to the communities through the CDCs, and community projects were implemented with substantial co-financing from communities and volunteer labour. Also, FGD beneficiaries in Kabul highlighted how CLUIP's participatory approach (involving local people in the project identification, design, and implementation) and transfer of skills to the community led to the efficient use of funds: i.e., 33 kilometres of road was paved instead of the planned 29 kilometres. UN-Habitat staff in Herat stated that all Shura and CDC members were trained before the beginning of the projects, which helped CBMSP and CLUIP to be effective and witness an above 50% contribution from beneficiaries.

Respondents commended SoAC and FoAC for their efficient use of resources. Various respondents commented on the efficiency of these two projects: costs relatively little, were time limited, and had visible and strong outputs. Donors were happy with the model and expressed interest in contributing to similar projects in the future. The main criticism was the lack of adequate resources, which is listed in the challenges below.

The main successes highlighted in the evaluation include:

- **Resource mobilization:** There was considerable mobilization of resources by the Country Office with ROAP support. Between late-2014 and mid-2016 the donor base was tripled to US$120 million. This is significant in that the US$ 120 million represents three times the annual budget for the Afghanistan office in 2014 (approximately US$ 30 million) and roughly half of UN-Habitat's global annual budget. This increase was also important because it provided a stable base for UN-Habitat Afghanistan to continue operating.

- **Donor perceptions:** Senior staff respondents stated that it is positive to retain the confidence of donors like the Government of Japan, especially since this funding makes an important contribution to UN-Habitat's reputation for being able to deliver concrete outputs. Respondents also noted that the Government of Australia's involvement in SoAC and FoAC, and the UK Embassy's (Kabul) involvement of FoAC provided a new model of producing useful outputs in a time-limited and efficient manner. The recent inclusion of new donors is significant, that is, the Swiss Agency for Development and Cooperation (SDC), the Government of Netherlands and USAID with their more long-term focus on sustainable interventions. External stakeholders applauded UN-Habitat's Afghanistan country management team for their efforts in keeping and attracting important donors, noting that they stood out as an exemplary example to other UN agencies and international non-governmental organizations (INGOs).

• **Local staff:** Respondents, especially government and donors, spoke highly of UN-Habitat's success in recruiting, developing and sustaining local staff. This was a common theme of the interviews. Some respondents also commented on the good financial skills and systems evident at the country office during audits and visits. Government respondents highlighted many examples of previous UN-Habitat staff who are competent and are now working successfully in government and making significant contributions. This evaluation included interviews with some of this staff, who expressed appreciation for UN-Habitat's human resource management approach to local staff. Some problems were raised, and these are dealt with below in the challenges.

• **Transfer of financial skills to communities:** The transfer of efficiency skills to the community was highlighted. UN-Habitat Afghanistan focused on building staff capacity in order that they could transfer skills like banking, financial management, and funding management to community members. For example, in the area of procurement, UN-Habitat was able to improve the quality of materials and thereby stop inefficiency. This assisted in contributing to community ownership.

• **Institutional capacity:** Institutional changes were implemented between 2011-2014 that saw the introduction of Standard Operational Procedures (SOPs), which highlighted programmes and operations integration, especially planning. Workflows were developed to assist with work process implementation and feedback. All contracts were standardized and focused on cost effectiveness. Verification examples were shown in the form of building costs and contract cost reduction. This focus on cost effectiveness led to savings of US$1.5 million a year. These institutional changes are now entrenched in the current work methods

• **Delivery of donor funding to beneficiaries:** UN-Habitat delivers 70-80% of donor funding directly to the beneficiaries. All their projects are at least 70%. This number is significant given the intensifying international debate about the percentage of humanitarian funding that goes directly to local NGOs and then beneficiaries, and the call to make funding delivery faster, cheaper, and culturally sensitive.[25]

The main challenges include:

• Programme delivery with the UMOJA system. Staff were generally negative about the new system. They stated that this system is "creating more problems than solutions" and that it is testing the country office's ability to deliver quickly. One respondent stated that: "It is a real headache because the system is not designed for field operations" (Staff). Respondents argued that in the coming months and years HQ support and flexibility are essential if this issue is to improve.

• **Shortfalls in local staff development:** Despite the recognition of local staff development above in successes, some country and regional respondents highlighted the point that while the strategic transformation of the country programme from stabilization to governance started in 2013, the HR dimension of transforming the country staff was underestimated. One respondent stated that: "We transformed the programme but not ourselves. This was particularly true for our national staff – we should have invested more in staff development and training so that they could do their jobs even better." Examples illustrating this shortfall included local staff 'freezing' in front of government officials (interpersonal skills) and a lack of knowledge on the policy and substantive programmes of what is urban development, tenure s security, and land titles (technical skills).

• **Security:** Respondents identified security as a significant challenge. Some government and local staff respondents highlighted the fact that even though UN-Habitat employs local staff, it should be remembered that this staff is under the same movement restrictions and security threats as international. Respondents stressed this with the increased threats and attacks on local staff working for UN agencies and INGOs. International staff also discussed the negatives effects of the security situation.

• **Resources and outputs:** In SoAC and FoAC, respondents inside and outside of the programmes argued that even though the programmes produced acclaimed and useful products, the lack of adequate financial and human resources resulted in compromised results.

• **Municipal financial skills:** Some respondents commented on the lack of financial skills at the municipal level. This included some municipal

25 *Bibi van der Zee, Less than 2% of humanitarian funds 'go directly to local NGOs', The Guardian, 16 October 2016, https://www.theguardian.com/global-development-professionals-network/2015/oct/16/less-than-2-of-humanitarian-funds-go-directly-to-local-ngos*

finance staff not understanding basic financial concepts like the double entry in accounting.

• **International staff:** Two strong views were expressed about the role of international staff in UN-Habitat's Afghanistan programme. The first group stated that more international staff is required to bolster local capacity in the organization's strategic shift to technical assistance and governance. The second group argued that while international staff play an important role, all five of the programmes under review, especially the longitudinal examples of staff development, are proof that local staff have the ability to be capacitated and manage complex programmes in Afghanistan.

This issue is topical and important and will be discussed further in sustainability and later in the recommendations. Respondents noted the security situation in Afghanistan was the main cause for problems in the recruitment and retention of qualified international staff.

• **Sub-contracting:** Government and community (Kabul, Herat and Mazar-e-Sharif) respondents noted that there are issues with sub-contracting in some localities where the CLUIP was implemented. They argued that sub-contracting had a negative impact on the quality of work.

• **Project review period:** Staff stated that the average time to project setup is between 2-3 months with the existing project advisory group. This is too long and not in alignment with GoIRA and donors who require a quicker response. Because there is no defined methodology for the advancement of funds for preliminary work, the first few months are lost with the administrative procedures to establish a project under UMOJA.

• **Country Programme Manager (CPM):** At present the CPM post is cost-shared across the projects and that person must provide inputs to project results in addition to oversight, agency representation and being security focal point. There was discussion about the effectiveness and efficiency of this arrangement, with suggestions that HQ should completely cover or provide 50% coverage so that the CPM can be independent of the projects and provide oversight to the programmes.

The issue of the Cost Recovery Plan (CRP) was raised as important issue with some confusion as to how it operates. Donors generally agree to the following cost structure for a project:

1. Direct Costs for Operations (i.e. personnel, office, equipment, vehicles, and other operations activities directly related to the execution of the project): 13-23%, depending on the nature of the project.

2. Direct Costs for Deliverable/Output: 70-80%, depending on the nature of the project

3. Indirect Costs or Programme Support Cost (PSC): 7%.

At the UN-Habitat HQ level, the PSCs are from 7% to 13% coming in from around the world (including Afghanistan) is now regarded as the organization's core income. The PSC + UNA (real core) + FGP (non-earmark) income is used to finance the organization. UNA + FGP + PSC should be used for Indirect Activities. The HQ directive is that any direct action done for project implementation should be charged to Direct Costs (1 or 2 above) but not to Indirect Cost (3 above). If a cost is charged incorrectly, this cost should be recovered from Direct Costs, which is known as Cost Recovery.

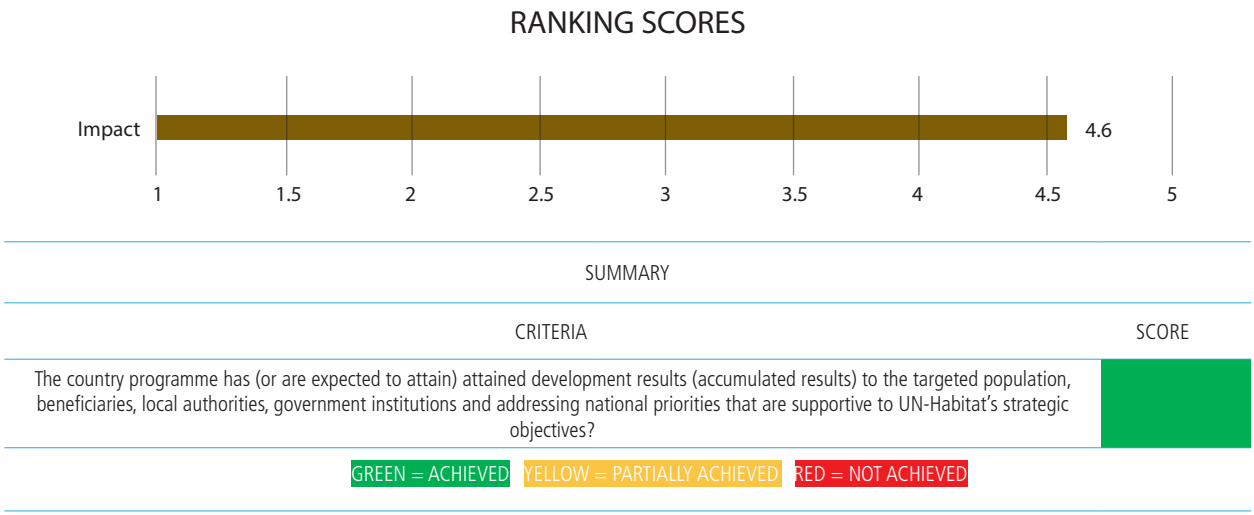
US$4 million was the yearly average PSC generated from all projects under Regional Office for Asia and the Pacific until 2015. Afghanistan generated approximately 40% of that amount. There is a strong feeling in the Afghanistan programme that some portion of their PSC contribution should be used for investment and staff development. Respondents at the country office regard it as their money that is being absorbed into HQ. They argue that these funds should be used to develop local staff, which would then lead to increased programme sustainability. In response, HQ stated that all costs related to projects implementation should be charged directly to the projects, and not to PSC and other core organizational funds.

The reason for this is that core funds should be used for normative organizational activities and not for project implementation purposes. The difference of understanding and perception of how these funds should be used remains an important hurdle between the country/regional programme and HQ.

Linked to the above point, this evaluation found that financial and human resources information is not well articulated, often contradictory, and speculative across the HQ, regional, and country levels. There is not one clear and transparent message concerning this information. This has led to some degree of confusion about the related current situation and future plans. How UN-Habitat communicates this information is important for future project effectiveness and efficiency.

In summary, this evaluation showed that despite the challenges listed, the five programmes: acquired appropriate resources with due regard for cost; implemented activities as simply as possible; attempted to keep overheads as low as possible; achieved deliverables on time and budget; and addressed duplication and conflicts. UN-Habitat Country Office, ROAP, and national partners had the capacity to design and implement projects. Institutional arrangements were generally adequate for implementing UN-Habitat's Country Programme in Afghanistan. Finally, there is clear evidence that UN-Habitat's progress and efficiency gains worked through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization.

4.4 IMPACT



Impact is a measure of the notable intervention effects on the beneficiaries, be they positive or negative, expected or unforeseen. It is a measure of the broader intervention consequences, e.g., social, political, economic effects at the local, regional and national level. It can be difficult measuring the intervention impact in proportion to the overall situation of the target group. This is particularly true in the dynamic and chaotic environments of complex and conflict-driven settings.

Two central challenges in assessing impact are dealing with effects that are numerous and varied (boundary judgment) and the result of complex interactions (attribution). To assess impact, this evaluation used the principals of systems theory (understanding complex adaptive systems) and probability-based inferences (assessing what would have happened if the intervention did not occur).

The NSP's overall impact has been assessed through various studies, which generally show that the NSP projects improved access to drinking water and electricity, and increased women's access to education, health care, and counselling services. It was less effective in other infrastructure projects, such as transport and irrigation. It increased people's acceptance of democratic processes, perceptions of economic well-being and positive attitudes towards women. NSP increases girls' school attendance and their quality of learning, yet there was no impact on boys. Effects on perceptions of local and national government performance and material economic outcomes were limited.[26] Other studies show that in measuring NSP's impact it had strong stakeholder engagement, objectives, management, measurement and alignment. Political commitment and evidence were assessed as good, while feasibility was fair.[27]

26 Andrew Beath, Fotini Christia, and Ruben Enikolopov, The National Solidarity Programme: Assessing the Effects of Community-Driven Development in Afghanistan, International Peacekeeping, Vol 22 (4), 2015

27 Center for Public Impact, Building Trust in Government: Afghanistan's National Solidarity Programme (NSP), Case Study, 30 March 2016

This evaluation looked at impact in terms of the UN-Habitat Country Programme and thus is more restricted that the above-mentioned studies. The key finding was the importance of the People's Process to what staff, national government, municipal government and beneficiaries regard as NSP's most important impact. UN-Habitat started using CDCs in 1998 in rural Afghanistan, and the government used the model for the first phase of NSP in 2003. This model became institutionalised at the local, provincial and national level, and formed the basis for government projects, including the current Citizen's Charter (CC) Afghanistan Project launched on 25 September 2016. The CC will support the government's first phase of the 10-year Citizens' Charter National Priority Programme, and will target one third of the country in all 34 provinces.[28] The project's aim is to reduce poverty and enhance living standards by improving the delivery of core infrastructure and social services to participating communities through strengthened CDCs.[29] This is evidence of impact at the macro level where UN-Habitat began with a process 20 years ago, which was developed and incorporated into various government policy, institutions, and implementation, and now it is part of a national process – uniting rural and urban community level work in partnership with and inter-ministerial collaboration – that is planned to last for the next 10 years.

Respondents were clear that NSP's impact is significant in that it was, and is, a long-term national project. In discussing NSP, CBMSP and CLUIP, they highlighted the following impacts:

- CDCs are now central to community life and many other government projects. Government acknowledged that the CDC model worked in urban areas.
- The increase in women's inclusiveness and expanding opportunities for women in local decision-making in rural and urban areas. Some respondents noted that this is not the case in all parts of Afghanistan, and that NSP was not able to challenge gender perceptions in insecure areas. Also, respondents said that they perceived women's inclusiveness to be better in urban than in rural areas
- The entrenchment of democratic election processes
- The strengthening of local governance structures. The strengthening of government institutions from CDCs to Gozar Assemblies to the Municipal Advisory Boards
- Improved relationship between communities and government. This evaluation showed that issues remain between some communities and municipalities: some communities regard the municipal government as incapacitated and corrupt, while some municipal officials feel excluded from projects
- Improved ownership of services and development projects
- Improved problem identification and problem-solving skills
- Contributed to economic development
- Communities acceptance of contributing to projects
- Brought disparate and ethnically diverse neighbourhoods together around projects: "We saw a new unity, which has lasted up to today" (CDC leader)
- Contributed to open, accountable and transparent governance
- Increased ownership: "this is our country, out land, our work" (Beneficiary)
- Building blocks and linkages between programmes: "NSP led to CBMSP, which led to CLUIP and then to Citizen's Charter" (UN-Habitat staff)
- Increased volunteerism
- The implementation of physical project activities created job opportunities and economic activity, and it was noted in CLUIP that this was especially the case for returnees.
- The experiences of NSP III, CBMSP and CLUIP informed the government's development of National Urban Priority Programme (UNPP) with a component focusing on urban settlement upgrading

• Environmental and safety improvement: "We learned a lot from UN-Habitat and it has changed the way we maintain our communities: street lights have made our streets safer; people move around freely now and out children can play in the streets" (Beneficiary Group)

• Increased space for women to make decisions in community processes and provided women with transferable skills, thus increasing economic and social independence.

This list is indicative rather than exhaustive and highlights impact on the micro- (personal), meso- (organizational) and macro- (policy) levels. CBMSP and CLUIP were completed recently, so while there is evidence of impact at the micro- and meso-levels, as outlined above, it is too early for long-term impact at the macro level. For SoAC and FoAC, the recent completion means similar limitations on the macro level of impact, yet there are clear signs of impact at the other two levels. The impact of these projects is evidenced in:

• Government is using the data. "There is the FoAC book open next to my computer. I use it every day to give information to people in government, donors and other international stakeholders" (Government Official). MUDH used the data for their proposal to the World Bank, while the President has used the data in speeches. At the municipal level, the data is being used to guide strategic planning processes.

• Government is sharing the data – has handed out over 1,000 copies and has published the data on their website where it has been downloaded over 4,000 times

• Government is sharing the data and methodology with other countries, for example, at the 16th Asia and the Pacific Regional Meeting, Bali, Indonesia, 6-9 December 2016.

• Other countries have expressed interest in the projects, for example, Pakistan, Indonesia, Bangladesh and Sri Lanka.

• Both projects made a significant contribution to the upskilling of local staff, especially their technical skills.

• The projects gave hope to the government and people about how best to deal with the future: "Before this we had nothing. We move forward now with confidence" (Government Official)

At the institutional level outlined in efficiency above, many changes were instituted at the country and regional levels. The new SOPs and manual (focussing on programme and operations integration) were adopted by other UN-Habitat country programmes, for example, Sri Lanka and Myanmar. The organisational capacity level in the Kabul office was transferred to provincial staff and communities. Respondents cited the examples of banking and procurement. The other interesting process relating to impact is the movement of previous UN-Habitat staff into government positions, where they are highly valued for their organisational and technical skills, competency, and transparency: "You know what you are getting if the person has worked at UN-Habitat – they are honest, have good people skills and they have a lot of experience and skills" (Government Official).

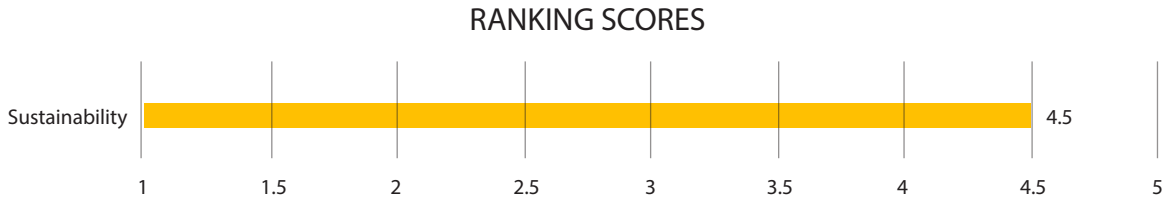
Government and beneficiaries are adamant that UN-Habitat's work has had an impact on the national development priorities in Afghanistan. Out of all the responses in this evaluation, there were two reports of no impact: one from a cookie store owner where the store had failed, and one from a municipal official who said that municipalities should control the budgets, not the CDCs.

In summary, the five programmes attained clear development results to the targeted population, beneficiaries, local authorities, and government institutions. These programmes addressed national priorities that are supportive of UN-Habitat's strategic objectives. Moreover, the somewhat unique structure, linkage, and succession of these projects meant that there were individual and accumulated impacts. Not only was NSP the backbone of the other programmes with its clearly stated impacts, but there were individual and accrued impacts in CBMSP which was followed by CLUIP. The same holds true for SoAC that was followed by FoAC. Ultimately, these five programs are now part of the next 10 years as the CC is rolled out.

28 World Bank, Afghanistan Government Inaugurates Citizens' Charter to Target Reform and Accountability, 10 October, 2016, http://www.worldbank.org/en/news/feature/2016/10/10/government-inaugurates-citizens-charter-to-target-reform-and-accountability

29 World Bank, Citizens' Charter Afghanistan Project, 2017, http://projects.worldbank.org/P160567/?lang=en&tab=overview

4.5 SUSTAINABILITY



SUMMARY	
CRITERIA	SCORE
UN-Habitat engaged the participation of beneficiaries in design, implementation, monitoring and reporting?	
The capacity of national project staff was built to sustain or enhance their involvement in urban development issues and with UN-Habitat?	
UN-Habitat's country Programme in various thematic areas was aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and city/local level?	
Projects implemented by the country programme will be replicable or scaled up at national or local levels or encourage collaboration between cities at provincial level?	
In UN-Habitat's Country Programme implemented in partnership with stakeholders in various thematic areas, projects have fostered innovative partnerships with national institutions, NGOs, and other development partners?	

GREEN = ACHIEVED YELLOW = PARTIALLY ACHIEVED RED = NOT ACHIEVED

Sustainability is a measure of intervention benefits after external support has been completed. Many interventions fail once the implementation phase is over, mainly because the beneficiaries do not have the financial resources or motivation to continue the programme activities. Sustainability is becoming a core theme in evaluations as international and national stakeholders emphasize autonomy, self-reliance and long-term improvements.

NSP ran successfully from 2003-2016, and now forms the basis of the Citizen's Charter. In terms of NSP III, sustainability was ensured through community responsibility for infrastructure development and management. CDCs played a key role in development activities, which were extended the areas of health, immunization, education and relief. A common observation from respondents was that the role of local government must be improved if CC is to be sustainable. This involved a lack of cooperation, motivation, and responsibility, as well as inadequately qualified staff and unnecessary bureaucracy. Some government officials stated that sustainability is hampered by the CDCs' limited capacity to implement and manage UN-Habitat projects. Insecurity was highlighted as the largest stumbling block to sustainability.

Respondents stated that CBMSP and CLUIP are the foundations for sustainable urban development. For CBMSP they cited the programme design which included physical, institutional, and financial sustainability plans. As evidence, respondents cited examples of the community action plans (CAPs); maintenance plans and committee; properly trained community maintenance members; policy support and development of municipal staff; improved service coverage and access; and the provision of revolving loans from community banks . Two often-cited contributors to sustainability included: the registration of properties for the safayi tax, and the creation of bank accounts. Respondents argued that both have remained since the programme ended. The government expressed its continued support of CDC-led urban upgrading.

For CLUIP, respondents stated that cost sharing played a major part in creating ownership and sustainability. A few respondents mentioned that cost sharing was not always positive as people had to borrow from various other sources in order to pay for their share of the contribution and ended up with even more debt than before. Like in CBMSP, community participation, maintenance plans, and skills transfer in all aspects of the process were cited as sustaining factors. Respondents also stated that community monitoring and reporting had been institutionalised through CLUIP, and beneficiaries highlighted the importance of transparency and accountability.

For both CBMSP and CLUIP, respondents were divided on whether functional linkages with local government had been effectively established. Some beneficiaries had positive experiences with local government, while others expressed their frustration with unskilled, unhelpful and corrupt local government officials. Local government respondents stated that they did not have any faith in the sustainability of CBMSP and CLUIP because things were already beginning to fall apart with no more assistance from UN-Habitat. The example was cited of a district in Kabul where surrounding areas that did not receive support all use the roads of the supported district to access school, health care and work. Subsequently the roads have lasted a fraction of what they were told they would and there is now no support for the unplanned for and extra maintenance. Respondents stated that sustainability depended on external and largely uncontrollable factors like poverty, unemployment, and the large influx of returnees. These concerns did not eliminate the belief in sustainability but tempered expectations about what is possible in the short- and long-term.

For SoAC and FoAC, respondents were clear that both projects are sustainable, as they have been positively received; they are being widely used by government and other stakeholders in urban planning; and they lend themselves to regular updating and data improvement. Given the criticism that the data quality could have been better, a few respondents articulated the need for a revision and improvement in resource allocation. The government expressed appreciation of the on-the-job trainings and related training workshops, which they felt had made an important contribution to the sustainability of the initiatives. Respondents also appreciated they had been translated into Dari and Pashto, which they argued added to their sustainability. Government and donors were particularly vocal in stressing that these projects should be continued in the future. Moreover, they stated that it is important that UN-Habitat identify other projects that focus on need and useful product output in an efficient manner and with relatively short time frames. In FoAC three other signs of sustainability were identified by respondents. (1) The protocols that were signed by IDLG, MUDH, KM, ARAZI and UN-Habitat at the start of the programme. (2) Embedding staff in MUDH, IDLG, KM and ARAZI. (3) Pairing of MUDH, IDLG, KM and ARAZI tashkeel staff with programme staff in the relevant departments. Government respondents spoke highly of these actions and argued that they had ensured programme continuity and success.

A few further words on FoAC's contribution to the establishment of the U-NPP framework. UN-Habitat worked in close collaboration with the government to develop this framework.[30] On 30 May 2016, President Ghani announced the formation of a High Council on Urban Development to shape Afghanistan's urban development as outlined in the UNPP.[31] It will be chaired by the President with MUDH and other key urban ministries. The UNPP's aim is to achieve dynamic, safe, liveable urban centres that are hubs of economic growth and arenas of culture and social inclusion. It is founded on the three pillars:

1. Strengthen Urban Governance and Institutions

2. Ensure Adequate Housing and Access to Basic Services for All

3. Harness Urban Economy and Infrastructure.

President Ghani has highlighted some of the urban development challenges as: urban sprawl, social exclusion, inequalities in service delivery, and poor rights to land and housing. He outlined the government's urban sector priorities as: registration of all public and private land completed by ARAZI by 2020; managing urbanization through planned city extensions by MUDH; encouraging private sector participation in urban development; and fostering rural-urban linkages to balance benefits of economic growth. UN-Habitat's support of the UNPP through FoAC (and the success of SoAC as well as the other three programmes under review) is an undeniable sign of its sustainability in Afghanistan.

Sustainability is further evidenced in the strong platform that UN-Habitat has created through the work of the regional and country offices. Based on programme transformation, there is a solid base for urban programming with impact and sustainability in Afghanistan through ongoing collaborative projects and ownership by the Government. In February 2017, UN-Habitat's regional office is concluding negotiations with Japan, EU, Switzerland, Netherlands and GoIRA counterparts (MUDH, President's Palace and MoF) for the next phase of LIVE-UP, AUPP, HLP, Citizen's Charter, and a major returnee reintegration programme for urban areas in Afghanistan. This is excluding the committed hard and soft pipeline projects for the next three years.

Stakeholders stated in a united and strong voice that UN-Habitat has a future in Afghanistan. Determining exactly what that future looks like is the crucial next step. Out of the four accepted types of programme transitions – termination, extension, expansion and redesign – different respondents argued one of the last three, namely, extension (CBMSP and CLUIP-like programmes), expansion (SoAC and FoAC), and redesign (service delivery to technical assistance, or a combination of both).

In summary, as evidenced in the interviews and the proposal documents, log frames, and up-to-date and finalised M&E data, UN-Habitat clearly engaged the participation of beneficiaries in the design, implementation, monitoring and reporting phases of the programmes. National project staff's capacity was built to enhance and sustain their involvement in urban development. All five programmes show that UN-Habitat's country programme was aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and local level. All five programmes were assessed to be replicable and encouraged collaboration between cities at provincial level. The UNPP and various other projects listed above show that UN-Habitat projects have fostered innovative partnerships with national institutions, NGOs, and other development partners.

4.6 INTEGRATION OF CLIMATE CHANGE, GENDER, HUMAN RIGHTS, AND YOUTH ASPECTS

All five programmes had strong integration of cross-cutting issues. They had well-articulated gender, human rights and governance components at the community level. Climate change and youth were engaged less directly as they were not specific programme targets. Some of the key points for each programme are highlighted below.

NSP III built on the success of the previous NSP phases which facilitated the inclusion of women in the CDCs. Respondents spoke positively about methodology in shifting perceptions and responses to women's inclusion in planning, decision making, and monitoring of community projects and daily life. It was pointed out that the success of this did vary between rural and urban areas, with more success in the latter. Other factors that contributed to this were reported as regional politics, instability, and male religious power and willingness to include women. Respondents reported that the CDCs have made a significantly positive impact to the inclusion of women and girls, even though there is still much to be done before equity is achieved. CBMSP and CLUIP utilised the same model with gender and CDCs, and emphasized governance, citizens' rights and the human-rights-based approach in highlighting municipalities as duty bearers and communities as rights holders.

CBMSP's four main successes regarding gender were: (1) Where possible, the formation of mixed gender CDCs and Gozar Assemblies; (2) Where not possible, the creation of an equal number of female and male CDCs; (3) The implementation of women-led activities (e.g. in Kabul, Kandahar, Jalalabad and Mazar-e-Sharif); and (4) Mandating block grants specifically for women (e.g. in Herat). Respondents provided examples of how women were empowered through inclusion, representation, and skills development. At the municipal level, CBMSP encouraged the improvement of governance and gender-responsive service delivery, as well as gender responsive budgeting and accountability frameworks. CBMSP promoted human rights principles in facilitating democratic elections for the CDCs and Gozar Assemblies. The programme also formed mechanisms for people's participation in democratic elections and participatory

processes, thereby allowing them to solve their own community issues. Youth was addressed, albeit more indirectly, through the provision of training. Respondents commonly cited the computer classes as an example, where often the majority of students were girls and young women. Various stakeholders stated that youth could be more systematically incorporated in current and future UN-Habitat programmes. CBMSP had few environmental and not any specific climate change related aspects. The two that were noted were: (1) The two environmental awareness classes that were part of the women's community activities; and (2) Infrastructure activities that improved the environment, i.e. drainage canals (Herat, Kabul and Mazar-e-Sharif), public toilets (Mazar-e-Sharif), and the park rehabilitation (Jalalabad).

CLUIP utilized the specific allocation of grants to women to empower women socially and economically. Specific grants were allocated in the programme to respond to their needs. Twenty-five projects were implemented with approximately 175,000 beneficiaries. CLUIP provided training and capacity building for each women's project. There were workshops for project sustainability, strategy, financial planning and reporting, and action planning. A five-day business management training included topics like: markets, order management, pricing, financial management, marketing, sales management and branding. Respondents cited examples of women having assumed business leadership roles (Kabul). As mentioned above, while respondents reported many successful women's projects, there were some that were not successful. Not enough information was provided to give further information as to why this was so for these projects.

SoAC's report had a strong gender focus with gender and age disaggregated data. Female staff from IDLG and MUDA were given preference for the training and capacity development activities. At least 40% of seats on the Programme Advisory Committee (PAC) were reserved for women. UN-Women were invited to sit on the PAC. The report focussed on the Right to Adequate Housing and Right to Water. Universal rights formed the basis for the assessment in each city.

FOAC had a clear gender focus, and various steps were taken to ensure the advancement of human rights. These included:

- Publishing a discussion paper on the theme of urban youth, women and governance to highlight the main challenges, and make recommendations
- Identifying IDP camps (often outside the city boundaries)
- Supporting women's enterprises, livelihoods and employment (existing situation as well as opportunities)
- Supporting youth livelihoods, opportunities and entrepreneurship
- Ensuring human safety and security, especially for women and girls
- Recognizing IDP camps and promoting their upgrading and improvement of tenure security in line with the National IDP Policy (2013)
- Peace-building: promoting dialogue, integration and development of regional approaches to security and safety
- Increasing legitimacy and reach of the state at sub-national levels
- Creating safer city region environments.

Finally, beneficiaries reported that they supported UN-Habitat's gender and human right approach. Overall respondents expressed appreciation for this approach, while stating that even more could be done to empower women and girls. Some respondents stated that there were opportunities for UN-Habitat to develop collaborative programmes in the areas of climate change and youth.

In summary, the involvement of the gender and human rights aspects in the project design, planning, implementation, reporting and monitoring was strong across all five programmes. Overall, the clear indicators in the monitoring and evaluation data were strong enough to assess and make conclusions on gender initiatives.

30 UN-Habitat, Project Completion Report, 12 May 2016
31 UN-Habitat, Afghanistan's Urban National Priority Program reaches an important milestone, 2 June 2016, http://unhabitat.org/afghanistans-urban-national-priority-program-reaches-an-important-milestone/

5. CONCLUSION

UN-Habitat has a long and consistent engagement with the people of Afghanistan, beginning in 1992 and formalized with the new government in the 2003 with the beginning of NSP. This evaluation is the first ever Afghanistan Country Programme evaluation. While the ToR requested an assessment of the 5 listed programmes over the last 5 years, organisational, financial and staff investment obviously goes back much further than 2012. This evaluation serves not only an assessment of the 5 programmes, but also highlights UN-Habitat's important history in Afghanistan and the emergent strategic themes, all of which serve as a road map for future engagement in Afghanistan and other countries.

The findings show a country programme that, despite the manifest local political, social and economic challenges, achieved exceptional results in various programmes and projects that covered different areas of focus, both rural and urban. The evaluation highlights that the overall objectives and expected accomplishments were achieved in all five programmes. The overall performance ratings for the five evaluation criteria were excellent: Relevance (4.9/5), Effectiveness (4.2/5), Efficiency (4.3/5), Impact (4.6/5) and Sustainability (4.5/5). All five programmes had strong integration of cross cutting issues, particularly in the areas of gender and human rights and less in climate change and youth.

Not only has UN-Habitat contributed to the physical and social reconstruction of Afghanistan, but, since 2013, it has been actively involved in technical cooperation with the government to ensure that skills are developed, maintained, and strengthened across various operational areas for local staff. UN-Habitat's legacy in Afghanistan was largely formed through its contribution to the NSP with its focus on the people's process and the formation of the CDCs. This evaluation found that respondents, especially beneficiaries and some government officials claimed that this was vital in creating the lasting trust and cooperation that UN-Habitat enjoys in the country today. UN-Habitat's more recent contribution to the technical cooperation with government is clearly appreciated by senior government officials and certain donors, but less known and thus less appreciated by people more generally in Afghanistan. One of UN-Habitat's key future challenges is to decide how to move forward with technical cooperation while not forgetting the power and impact of service delivery projects.

This evaluation highlighted the role of the country programme staff and ROAP to the success of the Afghanistan programme. Committed and skilled local and international staff have made a significant contribution to the country programme. The continuity and development of staff over long periods of time has been an important factor in building staff capacity. Not only does ROAP have programme staff who made substantial contributions while working in Afghanistan, these staff are now able to build on their country knowledge, experience and contacts to support the country programme and GoIRA in ways that few other organisations are currently in a position to do. One of the challenges is to build a stronger and more useful relationship between HQ, ROAP and the Country Programme. Moving forward together means that the various issues highlighted in the recommendations need to be addressed as a matter of urgency.

UN-Habitat enjoys a rather uniquely positive relationship with GoIRA. Understandably, different parts of the government want different things from UN-Habitat depending on their requirements and whether their focus is urban or rural. The last few years have seen a marked capacitation of the government in certain departments and these respondents expressed the need for UN-Habitat to continue providing and building on their technical support and cooperation. Furthermore, government requested that UN-Habitat needs to reassess the way it engages with the government, in that working relationship should be based on equal partnerships and results-based outcomes. It is clear that the government feels stronger and more capacitated and that UN-Habitat's relationship with them should reflect these changes.

UN-Habitat's donor base is strong and diverse. Not only have the country programme and ROAP managed to mobilise significant contributions since 2013, they have also been able to retain donors and engage new donors. Donors are pleased with UN-Habitat's methods of engagement and contributions to Afghanistan. It is important for UN-Habitat to ensure that specific donor interests

and requirements are met, some preferring service delivery, with others preferring technical assistance.

Some of the Best Practices for consideration include the following:

•Continue UN-Habitat's alignment with global, regional, national, provincial, and local priorities, as well as organisational and donor policies.

•Utilise the lessons learned in Afghanistan in identifying, establishing and maintaining programme relevance for other countries of a similar nature. Developing new programming in other countries based on successes in AFG, e.g., SoAC in other countries, and AUPP in other countries.

•Continue achieving results in a coherent manner with the dedicated or strengthened backstopping support from the regional office.

•Maintain the focus on beneficiary ownership of interventions and programmes.

•Uphold the robust M&E system and reporting structures, while ensuring standardisation of reports and the inclusion of a final closing report for all programmes and projects.

•Ensure that communities that were part of programmes like NSPIII, CBMSP and CLUIP understand the end-of-project conditions and have a clear understanding of what to, and what not to, expect in the future.

•Continue to develop new and maintain existing donors, as required.

•Continue with the development and sharing of institutional capacity strategies.

•Continue developing log frames for all programmes with clear baselines and target indicators against which impact can me be measured in the future.

•Continue engaging the participation of beneficiaries in the design, implementation, monitoring and reporting

•Continue fostering innovative partnerships with government institutions and other relevant stakeholders.

• Maintain the well-articulated gender, human-rights and governance components at the programme level.

While Afghanistan's ongoing challenges remain, this evaluation showed that UN-Habitat has managed to remain relevant and sustainable. Its programmes and projects were effective and efficient, and it has shown observable programmatic impacts, something that is somewhat difficult in the development and humanitarian fields. UN-Habitat can develop its country programme in Afghanistan in partnership with the government and it is well positioned to utilise the lessons learned in Afghanistan for other international programmes that face similar challenges.

Sustainable in Kabul city, 2015. Photo © UN-Habitat/Ahsan Saadat

6. LESSONS LEARNED

These lessons learned highlight the strengths and weaknesses in the programme preparation, design, and implementation that affected performance, outcome, and impact.

1. Service delivery was important in creating a positive country reputation and building trust with communities and the government. Service delivery responded to immediate community needs and provided visible outputs. It is important to build on the model that exists in current programmes (e.g., CFA, LIVE-UP, AUPP) that balance service delivery (e.g., block grants for communities) with technical assistance and support to GoIRA partners.

2. The People's Process was instrumental in UN-Habitat's success in Afghanistan. Not only was it effective in ensuring quicker service delivery but it also supported building state-society relations. The establishment of the CDCs is a major contribution to UN-Habitat and the government's ongoing work. CDCs also provided a formal entry point for communities to the municipalities, and some CDC representatives became members of municipality advisory boards in order to facilitate more direct interaction with the municipalities.

3. The national staff-led approach to implementation was essential to programme success. It also played an important part in capacitating staff for future projects and building a solid working relationship with government.

4. Action-oriented and flexible approaches (e.g., SoAC) allowed new partners to come on board, who then made important contributions. It is more effective and efficient to build consensus through programme output delivery than waiting to get consensus before one begins implementation. Donors, government and partners acknowledged and praised UN-Habitat's flexibility and actions.

5. A two-year timeframe is good for implementing community-based programmes (e.g., CBMSP and CLUIP) and securing sustainable results. Community mobilisation, action planning and sub project development usually take at least one year. Shorter timeframes could compromise project outcomes.

6. Long-term country engagement contributes to building ongoing relationships with communities and government at the central and municipal levels, and establishing a strong institutional legacy in the country.

7. The Safayi tax builds on property registration and has shown to work well in Afghanistan, especially when partnered with improved tenure security and community activities to show concrete outputs at the municipality and community level. People see where their taxes go and this encourages future commitment to payments.

8. Gender specific sub-projects targeting women gave women space in community decision making processes and transferable skills to increase economic and social independence. While this varied from region to region, women and men spoke of the long-term and positive changes in communities as a result of female representation in the CDCs and the female sub-projects.

9. It was beneficial to involve a wide range of stakeholders (such as various levels of government, CDCs, beneficiaries, partners and donors) in any programme. It builds trust and increases stakeholder commitment and responsibility. UN-Habitat's engagement of a wider range of stakeholders in government, partners and donors has contributed to it increasing its relevance, effectiveness, efficiency, impact and sustainability.

10. Physical project activities (e.g., in CLUIP) supported job creation (especially for returnees) and enhanced trust between communities and government.

Mobilisation in Kabul city, 2016. Photo © UN-Habitat/Ahsan Saadat

7. RECOMMENDATIONS

These recommendations aim to be specific, practical, related to verifiable actions, and identify the responsible person or entity (addresses: CP – Country Programme; ROAP = Regional Office; and HQ = Headquarters). There are 13 recommendations, and one recommendation (2) has seven sub-recommendations.

	AREA	RECOMMENDATIONS	ADDRESSEE
1	RESULTS ACHIEVEMENT	Consolidate gains and deliver on targets made with government and donors for the next three years, and, in 2020, use these gains and new strategic direction as a foundation for the next five years. New programmes to focus on designing innovative follow-up phases.	CP, ROAP
2	THREE INTER-OFFICE WORKING RELATIONSHIPS	Arrange an externally facilitated workshop with the country and regional offices within the next three months to discuss how to improve HQ expertise inputs to ongoing or future projects or programs in Afghanistan and the working relationship between HQ and the regional and country offices.	CP, ROAP, HQ
		Maintain HQ quality inputs at the project conceptual level and improve HQ support to project start-up and operational phases as non-delivery of UN-Habitat can have a broader impact on the UN system in the eyes of GoiRA.	CP, ROAP
		The Country Programme, supported by ROAP, should share the vast experience with HQ colleagues through a one-day workshop or similar in Nairobi, to lay the foundations of a common understanding about the Afghanistan programme, and help identify areas of potential cooperation.	CP, ROAP
		Improve HQ feedback and acknowledgement systems.	HQ
		Review and discuss HQ expert missions to Kabul and the provincial offices.	CP, ROAP, HQ
		Clarify rules and arrangements, including payment schemes where HQ branches provide services to the regional and country offices and, in particular, where regional and country offices requested the services of the HQ branches and units.	HQ
		Review and discuss the Cost Recovery Plan with full consultation and endorsement of the donors and the GoiRA, as allocating such charges on ad-hoc basis can be counterproductive if donors make those payments as ineligible during the verification stage.	CP, ROAP, HQ
		Discuss what the PSC means to donors at the high level and the country office on the ground and provide detailed report how such programme support costs are supporting respective project directly or indirectly as repeatedly requested by the donors in Kabul.	HQ
3	PROGRAMME IDENTIFICATION	Identify new programmes like SoAC and FoAC for future work and collaboration.	CP, ROAP
4	RESOURCE PLANNING	Ensure adequate financial and human resources as well as time for shorter projects like SoAC and FoAC.	CP, ROAP
5	TAFF TRAINING	Continue with the recently initiated training programme of local and international staff on standard organisational requirements and skills, and branches training on new action areas and corporate initiatives.	CP, ROAP, HQ
6	LOCAL STAFF	Develop and implement a long-term capacity development programme of local staff.	CP, ROAP
7	SECURITY	Review and strengthen security. While security costs should be adequately built into the projects' budgets, there is a need for facilities that adheres to the minimum operating security standards (MOSS), with HQ support.	CP, ROAP, HQ
8	COMMUNICATION PLAN	Develop a clear and consistent communication plan for organizational information relating to internal and external finances and human resources.	HQ
9	UMOJA	Review the UMOJA system to highlight its strengths and weaknesses considering future programmes.	CP, ROAP, HQ
10	IMPACT INDICATORS	Develop a specific impact measurement strategy for all current and future programmes.	CP, ROAP
11	RELATIONSHIP WITH GoIRA	Discuss GoIRA'S needs and the nature of future collaboration as the nature of the relationship shifts to greater collaboration and support.	CP, ROAP
12	RETURNEE AND IDP ISSUES	Strengthen the integration of returnee and IDP issues into programmes as a central cross-cutting theme.	CP, ROAP
13	SERVICE DELIVERY – TECHNICAL ASSISTANCE	Build on the model that exists in ongoing programmes (e.g. CFA, LIVE-UP, AUPP) that balance service delivery (e.g., block grants for communities) with technical assistance and support to GoIRA partners.	ROAP

ANNEX 1: TERMS OF REFERENCE

Evaluation of UN-Habitat's Country Programme in Afghanistan, 2012-2016 Terms of Reference

1. BACKGROUND

The United Nations Human Settlements (UN-Habitat) is the lead United Nations agency for Cities and Human Settlements. The agency was established as the United Nations Centre for Human Settlements (UNCHS), through the General Assembly Resolution 32/162 of December 1977, following the first global Conference of United Nations on Human Settlements that was held in Vancouver, Canada, in 1976.

For nearly two decades of its existence (1978-1996), UNCHS remained a small technical agency. Faced with rapid urbanization, accelerating slum formation and growing evidence of urban poverty, the second United Nations Conference on the Human Settlements (Habitat II) was held in Istanbul, Turkey, in 1996. The main outcome of the conference was the adoption of Istanbul Declaration and the Habitat Agenda. This gave UNCHS an explicit normative mandate of assisting Members States to monitor the implementation of the Habitat Agenda and to report on global human Settlements conditions and trends.

UN-Habitat, as a small and specialized programme on urbanization and sustainable human settlements, has a central role in delivering the global sustainable development agenda (Agenda 2030), adopted by Member States in 2015. UN-Habitat is striving to align its programme of work with the SDGs and other international agreements adopted last year (e.g., the Paris Climate Change Agreement and Addis Ababa Action Agenda on Financing for Development), which are in line with the reforms undertaken by UN-Habitat. UN-Habitat's commitment to reform process and improving effectiveness is evident, among other things, in the enforcement of regional strategic plans and HCPDs aligned with national priorities; application of a 'three-pronged approach' combining urban planning and design with local and national governance and legislation, and municipal finance and strengthening the local economy; and implementation of the International Public Sector Accountability Standards, Open Aid Transparency Initiatives and Umoja Enterprise Resource Planning (ERP) system.

UN-Habitat has over two decades of experience and physical presence in communities across 20 provinces of Afghanistan. Since 1992, UN-Habitat has been working with communities across Afghanistan placing people at the centre of decision-making and action. This approach aims to make people more responsive and self-reliant, establish sense of ownership, and help build peace and social cohesion. The overarching vision guiding UN-Habitat's work in Afghanistan is prosperous, inclusive and equitable human settlements that reduce poverty and contribute to national stability and development. Specifically, the mission of UN-Habitat Country Programme is "to transform lives through enhancing access to urban land, housing and services, while making systems and institutions responsive to people's views and needs" (Country Programme Document, The Islamic Republic of Afghanistan, 2016-2019, p.13)

In addition to direct implementation of community-based urban and rural rehabilitation and development initiatives, the enhancement of professional and technical skills, and the delivery of humanitarian relief, UN-Habitat has supported government counterparts with technical assistance in policy, planning and urban management, the provision or upgrading of services and infrastructure and the reintegration of returnees.

The diversity of UN-Habitat's experience across Afghanistan reflects a key lesson learned over the past two decades of operation: the importance of operating at multiple levels from the ministry and municipality to the urban street, in order to address a complex in a holistic and organic manner an array of issues which are rarely static. Core to UN-Habitat's work has been the importance of participation, as embodied in UN-Habitat's 'people's process' that draft on the ideas and reflect reflects the interests of key stakeholders.

1.1 CONTEXT OF AFGHANISTAN

With an estimated total population of 35.3 million people and an urban population of 8.9 million, Afghanistan is still a predominantly rural society. However, over the past decade Afghanistan has witnessed almost a doubling of its urban population. Afghanistan is rapidly urbanizing with an annual urban population growth rate of 4.6%, which is much higher than the national population growth rate of 2.7%. The population growth rate in secondary cities such as Herat and Mazar-e-Sharif, and including Kabul City, is nearly 5% per year. The seven million or more Afghn who now live in the nation's town and cities will, allowing for natural population growth and rural-urban migration, be joined by more than 320,000 additional people annually. Kabul is estimates to have a current population of at least four million, while the population of Marzar-i-Sharif, Heart, Qandahar, and Jalalabad is belived to not exceed 500,000 (HCPD, 2015).

Since 2002, Afghanistan has been the focus of the largest aid effort in modern history, with pledges of civilian assistance by mid-2012 amounting to US$60 million. The mandate given by the United Nations Security Council, for the International Security Assistance Force (ISAF) ended on 31 December 2014 and saw a withdrawal of the international military force and handover of security duties to the Afghan force. This transition is likely to impact on the development work carried out by UN-Habitat and other UN agencies in Afghanistan and pave the way for renewed parameters of partnership between Afghanistan and the international donor community. More aid is now delivered through line ministries and local authorities, so as to strengthen official capacity and ensure that government leads the process of development.

1.2 UN-HABITAT'S IMPLEMENTATION APPROACH

The participatory community development approach used by UN-Habitat encourages municipalities to work in informal settlements and first demonstrates that upgrading can be conducted successfully in both formal and informal settlement and can result in improved living conditions. Second, it strengthens interactions between municipalities and community representatives with area-level planning processes (community development councils (CDCs) coordinating their activities) and through city-wide consultations. Third, it develops nationwide policies and laws (e.g., on upgrading, tenure, and municipal governance) that support the work implemented at the community and municipal level, and that recognizes the rights of all urban dwellers, in formal and informal settlements.

Over the years, UN-Habitat has gradually shifted its focus on development support through direct execution to supporting local governments to deliver essential basic services through mix of direct and national execution modalities whilst increasing its evidence based normative and policy support programs over the years. This shift from stabilization to governance is in line with the desire of the Government of Afghanistan to gradually hand over the responsibilities of service delivery to local governments.

UN-Habitat has a presence in 12 provinces of the country, including five major cities—the country team works closely with experienced Afghan staff who are often from the areas in which the projects they manage are implemented, and are well placed to assess the situation on the ground, including possible security risks (Annex I). With insecurity in many provinces, the approach for implementing projects for UN-Habitat and its implementing partners is to be flexible, resourceful and creative in finding ways to deliver programmes despite challenges. Maintaining cordial working relations with community leaders is also considered crucial.

Figure 1: Community Enabling Process

In Afghanistan, women's mobility outside their home is limited for cultural reasons, women—especially in rural areas—are primarily involved in home-based income-generating activities such as carpet weaving, sewing, tailoring, agricultural work and taking care of livestock and selling dairy products. The female employment-to-population rate in Afghanistan is higher than the South Asian average (Source: ILO, 2012, Afghanistan: Time to move to Sustainable Jobs). Addressing gender issues in Afghanistan, with recognition of cultural sensitivity required, UN-Habitat has been applying a practical approach to gender equality. UN-Habitat has practiced the establishment of separate community groups for males and females. Female staff members facilitate the meetings and the preparation of the community action plans for female members. To mobilize women and ensure their social participation at community level, it is essential to have female staff work in the field although this is difficult in Afghanistan.

On youth, it is estimated that the labour force increase by over 400,000 each year, and Afghanistan increasingly has to generate employment opportunities for its new labour market entrants, along with those individuals who are already unemployed and underemployed. Women and youth are among the vulnerable groups targeted in UN-Habitat's projects mainly by increasing employment through infrastructure projects and acquiring of skills for sustainable livelihoods.

1.3 UN-HABITAT WORKING WITH OTHER UN AGENCIES

The United Nations Assistance Mission in Afghanistan (UNAMA) is a political mission established by the United Nations Security Council in 2002 at the request of the Government of Afghanistan to assist it and its people in laying foundations for sustainable peace and development in the country. On 19 March 2013, the UN Security Council unanimously adopted resolution 2096 (2013), which renews the mandate of UNAMA and sets out the scope and range of activities it must undertake over the coming 12 months, as Afghanistan continues its political and security transition. Among other things, the resolution acknowledges the adoption of the Tokyo Mutual Accountability Framework – which sets out the principles of the partnership between the international community and Afghanistan – to support the sustainable economic growth and development of Afghanistan. It also welcomed the conclusions of the Tokyo Conference on Afghanistan held in July 2012. The conference brought together representatives of 70 countries and international organizations to chart out future assistance for the country. There are currently more than 20 UN agencies operating in the country.

1.4 UN-HABITAT'S PROJECT PORTFOLIO IN AFGHANISTAN 2012-2016

UN-Habitat's project portfolio in Afghanistan, 2012-2016, contains 20 projects (Annex II).

The list of projects within the proposed scope of the evaluation includes several long running programmes such that the National Solidarity Programme and the Kabul Solidarity Programme:

- Settlement upgrading and reintegration of Returnees and IDPs through community empowerment, infrastructure and services and local government support
- Urban Solidarity Programme
- Community Benefit Sharing: Assessment of Options
- National Solidarity Programme NSPIII Sub-Phase A (Rollout of remaining communities in Farah and Nangarhar)
- Water Management—Developing Irrigation Associations for On-Farm Water Management Project (OFWMP)
- Kabul Solidarity Programme
- Community-Based Municipal Support Programme (CBMSP)
- National Solidarity Programme (Phase III and Repeater Block Grants—2nd Round)
- Urban Improvement and Transformation of Kabul City Phase 2 (Kabul Solidarity Programme Phase 2)
- Local Integration of IDP Families in Herat, Afghanistan
- State of Afghan Cities Programme (SoAC).

• Afghanistan Safety Nets and Pensions Support Project (SNPSP)

• Community-Led Urban Infrastructure Programme (CLUIP) in Afghanistan

• *) Afghanistan Urban Peacebuilding Programme (AUPP)

• *) Local Integration of Vulnerable, Excluded and Uprooted People program(LIVE-UP)

• *) Municipal Governance Support Programme (MGSP) in Afghanistan

• *) The Future of Afghan Cities (FoAC)

• *) Kabul Strengthening Municipal Nahias Program (K-SMNP) ending April 2020

• *) Clean and Green Cities Programme: a basic labour stimulus and stabilisation package for nine strategic Afghan cities

Note: *) Projects ending in 2017-2019.

The projects cover both urban and rural areas, from delivery of basic services to supporting local governments (stabilization to governance). The projects respond to the Afghanistan National Development Strategy (ANDS), and the National Priority Programmes (NPPs). The ANDS Goals for Governance, Rule of Law and Human Rights is to "Strengthen democratic processes and institutions, human rights, the rule of law, delivery of public services and government accountability". UN-Habitat's portfolio of projects is aligned with two NPPs: The National Programme for Local Governance (in the Governance Cluster) and the Urban Management and Support Programme (in the Infrastructure Development Cluster).

The projects relates to UN-Habitat's Focus Areas of housing and slum upgrading; urban basic services; urban economy; urban land legislation & governance; risk reduction and rehabilitation; urban planning and design; and research and capacity development. Projects are mainly large with budgets of several millions and continuous phases. The key donors are the Government of Afghanistan, Government of Australia, the European Union (EU), the Government of Japan, the Netherlands, USAID, and the Swiss Agency for Development and Cooperation (SDC).

UN-Habitat projects are managed on a day to day basis from its country office in Kabul. Each programme or project is led by a national programme manager with international advisors. Each project team is supervised by the Country Programme Manager with close backstopping support from by Senior Human Settlements Officer based in the Regional Office for Asia and the Pacific.

Numerous evaluations have been conducted for interventions in Afghanistan by bilateral donors and others, including the Randomized Impact Evaluation of Afghanistan's National Solidarity Programme (report available at http://www.nsp-ie.org/). However, these reports do not assess in-depth UN-Habitat's priorities and value added.

1.5 JUSTIFICATION / MANDATE OF THE PRESENT EVALUATION

This evaluation intends to look at the effects of the UN-Habitat country programme in Afghanistan, with a wider strategic focus with regard to accumulated effects over a longer time frame. It is conducted by UN-Habitat at the request of the country programme management.

The evaluation is conducted as part of UN-Habitat's efforts to ensure that UN-Habitat evaluations provide a full representation of its mandate and activities, including evaluation of humanitarian type and development interventions, and in-line with the 2015 Revised UN-Habitat Evaluation Framework document, requesting for more country programme evaluations with evidence of UN-Habitat's results at country level. Evaluation is integral to UN-Habitat's mandate and activities including programme planning, budgeting and implementation cycle and supports UN-Habitat to manage for results by assessing the extent to which UN-Habitat humanitarian type and development interventions are effectively delivering results.

The evaluation also responds to UN-Habitat's strategic policy on human settlements in crisis and sustainable relief and reconstruction framework, which has guided UN-Habitat's work in the humanitarian sector since 2008, which states that 'regular and periodic evaluation' of the policy should be undertaken.

2. PURPOSE AND OBJECTIVES OF THE EVALUATION

The purpose of this country programme evaluation is to document and assess the results and accumulated effects of the UN-Habitat programme in Afghanistan conducted with emphasis on the period from 2012 to 2016.

The time frame relates to some important milestones. First, NSP 3 (the last phase of NSP) ran from 2012 to 2016. NSP has been the core programme intervention of UN-Habitat Afghanistan, since 2003. Moreover, preparations for a new strategic plan for UN-Habitat, with a stronger thematic focus, started off in 2012, with the new Strategic Plan (2014-2019) starting in 2014. After 2014, after new government and withdrawal of international security assistance forces, the required role/modality of international assistance changed. In addition, UN-Habitat Afghanistan country programme started to transformed during this period and starting from 2012 would capture and report on the transformation of environments and country programme itself.

This evaluation will provide UN-Habitat management, its offices and staff responsible for project development and implementation in UN-Habitat country offices, regional offices and at headquarters; its governing bodies, donors and key stakeholders in Afghanistan with a forward-looking objective assessment of the value-added by UN-Habitat, achievements, lessons, challenges and opportunities for UN-Habitat's operations in Afghanistan.

What will be learned from the evaluation findings is expected to play an instrumental role in influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, and enhancing effective collaboration of UN-Habitat with other UN agencies and international organizations and development partners in Afghanistan; developing, replicating and up-scaling innovative project implementation approaches, and in generating credible value for targeted beneficiaries and addressing national priorities.

Moreover, as Afghanistan programme has had the largest portfolio country programme of UN-Habitat for more than a decade, the evaluation is an opportunity to identify lessons and success factors that could be mainstreamed in UN-Habitat's country office operations as well as provide evaluative information for programme improvement and reflect the results and impact achieved as well as provide good recommendations for the future programme engagement in Afghanistan. In addition, the evaluation shall look into the institutional aspects of the country office especially in terms of support received from the headquarters in reciprocation to the income generated from the country programme on annual basis.

2.1 SPECIFIC OBJECTIVES

(a) To assess the relevance of UN-Habitat Afghanistan's programme between 2012 and 2016 to attain accumulated positive results, for beneficiaries, local authorities, government institutions, that are supportive to UN-Habitat's strategic objectives.

(b) To assess the efficiency and effectiveness of the UN-Habitat projects in Afghanistan in achieving results and the accumulation of results.

(c) To identify what successful approaches and strategies worked – and which did not – drawing out key findings, lessons from UN-Habitat's experience in Afghanistan;

(d) Taking into account the intended users of the evaluation, make recommendations to effectively deliver, develop and expand UN-Habitat's portfolio in Afghanistan.

The evaluation will examine mainstreaming of such issues as resource mobilization, coordination, ownership, and adherence to critical crossing-cutting issues (human rights, gender, youth, climate change)

3. SCOPE OF THE EVALUATION AND SAMPLING

The evaluation is expected to assess the accumulated results of Afghanistan country programme, 2012-2016.

Out of the projects identified in the portfolio, three projects with different characteristics will be reviewed in-depth with regard to results and accumulated effects at project level.

The selected projects reflects UN-Habitat's vision on the three-pronged approach and its country

mission, as well as, focus on improving livelihoods, cross-cutting issues, and availability of data, donor, and collaboration with other UN agencies.

1: National Solidarity Programme

• National Solidarity Programme Phase 3 (RECENT, 2012-2016)

2: Urban Solidarity Programme

• Community-Based Municipal Support Programme (CBMSP) (with self-evaluation) (2013-2015) and Community-Led Urban Infrastructure Programme (CLUIP) (with self-evaluation) (2015-2016) as a continuation of CBMSP

3: Strategic smaller programme

• State of Afghan Cities Programme (SoAC), and Future of Afghan Cities Programme (FoAC) (with publication) (2014-2016) as a second phase of SoAC

4. RELEVANT EVALUATION QUESTIONS TO BE EXPLORED

The evaluation will assess and rate performance of the country programme, 2012-2016, on each evaluation criteria based on a set of questions as outlined below (Annex V: Rating of Performance). Note that under key issues there may be sub-questions, for example, on support received by the Country Office and the extent to which the Country Office, Regional Office and Headquarters are working to towards shared, coherent and collective goals.

Relevance

• What is the relevance and value added of UN-Habitat in Afghanistan for the country's development objectives and achieving sustainable urbanization?

• To what extent were UN-Habitat country programme in line with and respond to national needs, priorities and contribute to achieving sustainable urbanization?

• To what extent has the identification, design and implementation process involved local and national stakeholders as appropriate?

•To what extent cross-cutting issues of youth, gender equality, climate change/ environmental capacity development and human rights have been addressed by UN-Habitat?

• To what extent and in what ways have UN-Habitat country programme promoted partnerships and multi-stakeholder engagement in the UN-Habitat's priority areas of work?

Efficiency

•To what extent did the UN-Habitat Country Office, ROAP, and national partners have the capacity to design and implement projects?

• To what extent were institutional arrangements adequate for implementing UN-Habitat's Country Programme in Afghanistan? What type of (administrative, financial and managerial) obstacles did the projects face and to what extent has this affected its efficiency?

• What progress and efficiency gains of the UN-Habitat working through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization?

• To what extent did actual results contribute to the expected results at output and outcome level?

Effectiveness

• To what extent were results achieved in a coherent manner with involvement of regional office and Headquarters and relevant UN-Habitat strategies and policies?

• What kind of positive changes to beneficiaries have resulted from products and services?

• What areas of work have proven to be most successful in terms of ownership in relation to the local context and the needs of beneficiaries? To what extent and in what ways has ownership, or lack of it, impacted the effectiveness of the projects?

•To what extent the country programme has (or are expected to attain) attained development results (accumulated results) to the targeted population, beneficiaries, local authorities, government institutions and addressing national priorities that are supportive to UN-Habitat's strategic objectives?

Sustainability

•To what extent did UN-Habitat engage the participation of beneficiaries in design, implementation, monitoring and reporting?

•To what extent was the capacity of national project staff built to sustain or enhance their involvement in urban development issues and with UN-Habitat?

•To what extent was UN-Habitat's country Programme in various thematic areas aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and city/local level?

•To what extent will projects implemented by the country programme be replicable or scaled up at national or local levels or encourage collaboration between cities at provincial level?

•In UN-Habitat's Country Programme implemented in partnership with stakeholders in various thematic areas, how projects have fostered innovative partnerships with national institutions, NGOs, and other development partners?

5. STAKEHOLDER INVOLVEMENT

A key determinant of evaluation utilization is the extent to which clients and stakeholders are meaningfully involved in the evaluation process. It is expected that this evaluation will be participatory, involving key stakeholders: UN-Habitat management and project developing and implementing entities at headquarters, regional office (ROAP) and the country office, Committee of Permanent Representatives (CPR), donors and other interested parties. Some key stakeholders, including those stakeholders involved in the implementation and users/recipients/beneficiaries will participate through interviews, a questionnaires or group discussions. Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance utilization.

6.EVALUATION APPROACH AND METHODOLOGY

The methodological approach of this evaluation will explore mixed methods approach, combining desk reviews, meta-evaluation and data collection (including interviews, meetings, focus groups and surveys) and data analysis. The evaluation will be conducted in line with the Norms and Standards for Evaluation in the UN system.

A variety of methodology will be applied to collect information during evaluation including:

(a) Review of relevant documents to be provided by the Country Office and ROAP. Documentation to be reviewed will include: (1) Project documents and concept notes; (2) UN-Habitat documents for programming in Afghanistan, including Habitat Country Programme Document for Afghanistan (HCPD); (3) Progress and monitoring reports, including financial reports; (4) Evaluation reports; (5) UNAMA and donor documentation (including websites); (6) UN-Habitat strategic plans and work programmes; (7) Afghan National Development Strategy (ANDS) and National Priority Programmes; (8) any other relevant documentation (such as news stories at UN-Habitat Web site, press release, publication, success stories, mission reports of HQ/ROAP staff visited Afghanistan).

(b) Key informant interviews and consultations with key stakeholders, including national stakeholders and other UN agencies in Afghanistan, beneficiaries, partners, etc. The interviews will be conducted to obtain qualitative information on the evaluation issues to allow the evaluation team address the programme relevance, efficiency and effectiveness of the programme.

(c) Surveys implemented through the application of questionnaires of target stakeholders. Different questionnaires should be used for different stakeholder groups.

(d) Field visits to assess selected projects of UN-Habitat in Afghanistan.

Due to the security situation in Afghanistan alternative methods may be used in situations with restricted access such as:

• Interviews by phone and interviews at external events attended by the informants

• Interviews and discussions with groups brought to accessible areas for training or other reasons, or who regularly travels to accessible areas, or at the point of entry to safe areas

• Satellite imagery, videos, photographs made using cameras with built-in Global Positioning System date capture

• Text messaging surveys and online survey

• Use of participatory rapid appraisal tools through a community dissemination process.

The evaluator will review the assignment outlined in the terms of reference (TOR) and undertake an initial desk review, identify information gaps, redefine the methodology to be used in the evaluation and develop an evaluation work plan (inception report) that will guide the evaluation process. The inception report will identify what is expected to be accomplished, what process and approach to be followed, who is to do what tasks, and which key deliverables are to be completed.

The inception report will address the scope of the evaluation, approach and methods, evaluation questions of the TOR, including limitations to assessing evaluation criteria and answering the evaluation questions. It should also identify criteria and provide reasons for selection of projects and thematic areas for in-depth review and field visits. Once the inception report is approved by the Evaluation Unit and the overseeing regional office UN-Habitat, it will become the management document for guiding delivery of the evaluation in accordance with UN-Habitat expectations.

The implementation phase of the evaluation will involve the overall data collection and analysis of the evaluation. Supported by the Evaluation Unit, the international consultant will conduct a field mission to the UN-Habitat Country Office in Kabul, Afghanistan, The evaluation team, consisting of an international evaluation consultant and a supporting national consultant will be expected to undertake field visits, which will include consultations with beneficiaries of projects as well as visits to projects, as and when to the extent that the security situation permits.

The draft evaluation report, prepared by the international consultant, will be shared first with the Evaluation Unit and the country office management. The draft report must meet minimum requirements for draft reports (as assessed by the Evaluation Unit) before the draft is shared more widely with relevant stakeholders for comments. Comments from key stakeholders will be consolidated by the Evaluation Unit and forwarded to the international consultant for incorporation. The international consultant will submit the final draft report to the Evaluation Unit. The evaluation report should follow the standard format of UN-Habitat Evaluation reports, putting forward the purpose, focus, scope, evaluation methodology, evaluation findings (with assessment of achievements and rating of performance according to evaluation criteria), lessons learned and recommendations.

7. LEAD EVALUATOR

The evaluation shall be carried out by an international consultant supported by a national consultant during data collection and data analysis. The international consultant is responsible for the work plan of national consultant, quality of work and preparation of the evaluation report.

8. QUALIFICATIONS AND EXPERIENCE OF EVALUATOR

The international consultant is expected to have:

• Knowledge and understanding of UN and UN-Habitat's role in promoting sustainable urbanization, human settlement issues in general and interlinkages to other areas, especially normative work, research and advocacy.

• Extensive proven experience in conducting evaluations and delivering professional results, presenting credible findings derived from evidence and putting conclusions and recommendations supported by the findings. Examples of evaluation reports produced by lead evaluator to be included in expression of interest.

• More than 15 years of experience in results-based management, professional project management and monitoring and evaluation.

• Experience in implementation of projects in Asia, fully acquainted with conflict and post-conflict development projects, experience of Afghanistan and similar intervention in fragile states. The international consultants must be fluent in English; working knowledge of local language is an advantage.

• Advanced academic degree in urban development, environment, gender, housing, infrastructure, governance, or related fields.

• It is envisaged that the team members would have a useful mix of experience and academic

training relevant to the project evaluated and be gender-balanced.

The national consultant should have good local working knowledge, be proficient in English and Pashto and Dari (official languages of Afghanistan), and have experience in implementation, management and monitoring and/or technical knowledge of donor-funded development projects.

9. RESPONSIBILITIES AND EVALUATION MANAGEMENT

This evaluation is commissioned by UN-Habitat, and managed by the Evaluation Unit.

A reference group with members from the Evaluation Unit, the Country Office in Afghanistan, the Regional Office for Asia and the Pacific (ROAP) and the Programme Division will be established for the purpose of this evaluation. The reference group will guide the evaluation process and ensure quality of process and outputs of the evaluation. The group will give comments on work plan and draft reports.

The Evaluation Unit will manage the evaluation in close consultation with the country office management ensuring that the evaluation is contracted to suitable candidates; providing advice on code of conduct of evaluation; providing technical support as required; ensuring that contractual requirements are met; and approving all deliverables (evaluation work plan, draft and final evaluation reports).

The international consultant and the national consultant will be selected by the Evaluation Unit through a consultative process with ROAP and the Country Office. The international consultant will be contracted through ROAP. The national consultant will be contracted through the Country Office in Afghanistan.

ROAP and the UN-Habitat Country Office in Afghanistan will provide logistical support to the evaluation team. ROAP will be responsible for contracting of the consultant through UNOPS. ROAP and the Evaluation Unit will post the vacancy announcement on their respective listservers/ communities for interested candidates to apply.

The evaluators are responsible for meeting professional and ethical standards in conducting the evaluation, and producing the expected deliverables as described in the terms of reference.

10. WORK SCHEDULE

The evaluation will be conducted for 8 weeks spread over three months from mid-November 2016 to mid-February 2017. Preparatory work to plan and organize the evaluation as well as selection and contracting of consultant, including travel logistics, will take place from mid-November to early December 2016. The international consultant is expected to prepare an inception report containing a detailed work plan that will operationalize the evaluation. The provisional time table is as follows.

Empoerment in Jalalabad city, 2014. Photo © UN-Habitat/Ahsan Saadat

Task	Planning the Evaluation			Implementing the Evaluation			
	September 2016	October 2016	November 2016	November 2016	December 2016	January 2017	February 2017
Preparation and finalization of the TOR	X	x					
Call for consultancy and recruitment of evaluators		x	x				
Development of work plan and inception report		x	x				
Country visits, data collection and analysis					x	x	
Drafting of the evaluation report					x	x	
Review and revision of the draft evaluation report					x	x	
Final revision and finalizing the final draft report					x	x	
Editing, layout, publication and report dissemination							x
Developing formal management response matrix for the recommendations of the evaluation							x

11. DELIVERABLES

The three primary deliverables for this evaluation are expected from the international consultant:

(a) Inception report with evaluation work plan. The consultants will prepare an evaluation work plan to operationalize and direct the evaluation. The work plan will describe how the evaluation will be carried out, including limitations. The evaluation work plan will explain expectations for evaluation; details of methods to be used; roles and responsibilities; evaluation framework, reporting and work scheduling. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract.

(b) Draft evaluation reports. The evaluation team will prepare evaluation report draft(s) to be reviewed by the UN-Habitat. The draft should follow UN-Habitat's standard format for evaluation reports. The drafts may be more than one, until a draft is approved to have met the basic requirements of UN-Habitat reports.

(c) Final evaluation report (including Executive Summary and Annexes) prepared in English and following the UN-Habitat's standard format of evaluation report. The report should not exceed 50 pages (excluding Executive Summary). In general, the report should be technically easy to comprehend for non-specialists.

12. RESOURCES

The consultants will be paid an evaluation fee based on the level of expertise and experience. DSA will be paid only when travelling on mission outside official duty stations of consultants. The international consultant to conduct this evaluation

will be contracted at P-5 level. The level of the national consultant will be determined after consultations based on national fee level.

13. DISSEMINATION OF EVALUATION FINDINGS

The evaluation report will be published on UN-Habitat's web-site with evaluations (www.unhabitat.org/evaluation), the intranet Habnet under 'evaluation' and in the Project Accrual and Accountability System (PAAS). The report will be included in the quarterly evaluation newsletter with evaluation updates from UN-Habitat.

A 'brown-bag' meeting for UN-Habitat staff at Headquarters organized by the Evaluation Unit can serve as a way to share findings of the report with staff and be presented by a country office staff and the evaluator (in person or by skype), if resources are available.

A video/ youtube can be recorded highlighting key findings and with excerpts from the evaluators' mission to Afghanistan and field visits. This option would depend on the international consultant familiarity with such approach and advocacy resources available for the evaluation.

14. INTERNATIONAL TRAVEL (HOME – KABUL):

The cost of a return air-ticket from the place of recruitment on least-cost economy will be reimbursed upon submission of travel claim together with the supporting documents including copy of e-ticket, receipts and used boarding passes. Three quotations from the reputable travel agents shall be submitted for UN-Habitat's clearance prior to purchase of tickets.

15. LOCAL TRANSPORTATION:

Such as vehicle arrangements to provinces will be covered by UN-Habitat.

16. TRAVEL ADVICE/REQUIREMENTS:

The Consultant must abide by all UN security instructions. Upon arrival he/she must attend a security briefing provided by UNDSS. He/she should undertake Basic and Advanced Security Training as prescribed by UNDSS. Regular missions will be undertaken for which UNDSS authorisation must be sought.

ToR Annex I: Project Portfolio Information

UN-Habitat Afghanistan Regional and Provincial Offices

Regional Office Provincial Office

Eastern Region
(Ghazni, Khost, Kunar, Laghman, Nangarhar, Nuristan, Pkatia, Paktika)
Main Office in Jalalabad
Projects: NSP, LIVE-UP,CLUIP, AUPP, MGSP

Central-Highland Region
(Bamyan and Daykundi)
Main Office in Bamyan
Office in Nili (AUPP and MGSP)
Projects: NSP, MGSP, AUPP

Northern Region
(Badakhshan, Baghlan, Balkh, Faryab, Jawzjan, Kunduz, Samangan, Sar-i-Pul, Takhar)
Main Office in Mazar
Office in Kunduz (AUPP)
Projects: NSP, CLUIP, MGSP, AUPP

Western Region
(Badghis, Farah, Ghor, Herat)
Main Office in Herat
Office in Farah (NSP, AUPP, MGSP)
Projects: NSP, CLUIP, MGSP, LIVE-UP, AUPP

Southern Region
(Helmand, Kandahar, Nimroz, Uruzgan, Zabul)
Main Office in Kandahar
Projects: NSP, CLUIP, MGSP

Kabul+ Central Region
(Kapisa, Logar, Panjshir, Parwan, Wardak)
Office in Charikar, Mahmud-e-Raqi, and Bazark
Projects: NSP, AUPP, FoAC, MGSP

ToR Annex II: UN-Habitat Project Portfolio in Afghanistan, 2012-2016

No	FY	Project Title	Donor	Duration	Budget
1	2012	Settlement Upgrading and Reintegration of Returnees and IDPs (Internally Displaced Persons) through Community Empowerment, Improved Infrastructure and Services and Local Government Support (EU8)	EU	Jan-12 - Feb-15	$11,870,026
2	2012	Urban Solidarity Programme (USP)	Japan	Mar-12 – Dec-13	$5,000,000
3	2012	Community Benefit Sharing: Assessment of Options	World Bank	Apr-12 – Dec-12	$99,999
4	2012	National Solidarity Programme Phase III (Repeater Block Grants)	MRRD/WB	May-12 – Sep-16	$10,867,200
5	2012	National Solidarity Programme NSP III Sub - Phase A (Rollout of Remaining communities in Farah and Nangarhar)	MRRD/WB	Jul-12 – Sep-16	$1,545,600
6	2012	Kabul Solidarity Programme (KSP)	JICA	Aug-12 – Dec-13	$5,165,591
7	2013	Developing Irrigation Associations for On-Farm Water Management Project (OFWMP)	MAIL / ARTF	Jul-12- Dec-14	$378,000
8	2013	Community-Based Municipal Support Programme (CBMSP)	Japan	Apr-13 – Mar-15	$23,009,409
9	2013	National Solidarity Programme - Repeater Block Grants-2nd Round	MRRD/WB	Jan-13 – Sep-15	$9,177,600
10	2013	Urban Improvement and Transformation of Kabul City Phase II [Kabul Solidarity Programme Phase II (KSP Phase II)]	JICA	Jul-13 – Nov-14	$5,394,054
11	2014	Local Integration of IDP Families in Herat, Afghanistan	USAID	Oct-13 – Mar-14	$149,591
12	2014	Development of the State of Afghan Cities Report	DFAT (Australia)	Jun-14 – Jun-15	$329,875
13	2015	Afghanistan Safety Nets and Pensions Support Project (SNPSP)	MoLSAMD	Jan-14 – Apr-16	$250,000
14	2015	Local Integration of Vulnerable and Excluded Uprooted Afghans (LIVE-UP)	EU	Jan-15 – Dec-17	$12,706,480
15	2015	Community-Led Urban Infrastructure Programme (CLUIP)	Japan	Apr-15 – Mar-16	$20,000,000
16	2014	State of Afghan Cities (SoAC)	DFAT (Australia)	Jul-14 – Sep-15	$330,000
17	2015	Afghanistan Urban peacebuilding Programme (AUPP)	Netherland / SDC	May 15 – Apr-18	$13,984,756
18	2015	Future of Afghan Cities Program (FoAC)	DFAT (Australia)/UK	Sep-15 – Aug-16	$655,890
19	2015	Municipal Governance Support Programme (MGSP) in Afghanistan	EU	Sep-15 – Sep-18	$13,736,250
20	2016	Kabul Strengthening Municipal Nahias Program (K-SMNP)	USAID	May-16– Dec-20	$32,898,187
21	2016	Clean and Green Cities Programme (CGC)	USAID	Jul-16 – Nov-17	$20,856,000

ANNEX 2: LIST OF PEOPLE INTERVIEWED OR CONSULTED

NO	PERSON INTERVIEWED	POSITION	VENUE	DATE	METHOD
1	Haji Mohammad Hamidi	National PM, UN-Habitat (UN-H)	Kabul	14 Dec 2016	Interview
2	Frozan Abdullah	PM, AUPP, UN-H	Kabul	14 Dec	Interview
3	Dr Ahmad Shekib Rafi	Urban Development Advisor, UN-H	Kabul	14 Dec	Interview
4	Wajiha Ghafari Saifullah Saifi	Senior Admin Finance Officer, UN-H Finance Officer, UN-H	Kabul	14 Dec	Interview
5	Beneficiaries (9)	CLUIP, Guzar 1, District 11	Kabul	15 Dec	FGD
6	Beneficiaries (3)	CLUIP, Guzar 7, District 17	Kabul	15 Dec	FGD

7	Ms. Bibi Roona	Owner, Cookie Factory, CLUIP, Guzar 1, District 11	Kabul	15 Dec	Interview
8	Marcus Tudehope Azima Roya Dayan Rasikh	International PM, LIVE-UP, UN-H National PM, LIVE-UP, UN-H MIS Assistant, LIVE-UP, UN-H	Kabul	15 Dec	FGD
9	Najib Amiri Ghulam Sakhi Mohebi	Senior Programme Coordinator, UN-H M&E/MIS Reporting Officer, UN-H	Kabul	15 Dec	Interview
10	Eng. M. Rahman Eng. Habib Rahimi Najib Amiri	PM for EU-supported programmes, UN-H CFA Manager, UN-H Senior Programme Coordinator, UN-H	Kabul	15 Dec	FGD
11	Eng. Habib Rahimi	CFA Manager, UN-H	Kabul	15 Dec	Interview
12	Andrew Cox	Director, Programme Division, UN-H	Skype	16 Dec	Interview
13	Naison Mutizwa-Mangiza	Director & Principal Adviser, Policy & Strategic Planning, Office of Executive Director, UN-H	Skype	16 Dec	Interview
14	Municipal Officials (3) Beneficiaries (11)	CBMSP, District 16	Kabul	17 Dec	FGD
15	Municipal Officials (2) Beneficiaries (9)	CBMSP, District 6	Kabul	17 Dec	FGD
16	Kanishka Noori	Team Leader for CFA Programme, UN-H	Kabul	17 Dec	Interview
17	Noorullah Farajid	Programme Officer, Knowledge Management Unit, UN-H	Kabul	18 Dec	Interview
18	Hiroshi Takabayashi	Knowledge Management Officer, Knowledge Management Unit (KMU), UN-H	Kabul	18 Dec	Interview
19	Depika Sherchan	Housing, Land and Property Advisor, UN-H	Kabul	18 Dec	Interview
20	Muhammad Farid	Urban Researcher, UN-H	Kabul	18 Dec	Interview
21	Akram Salaam Atefah Hussaini Mohammad Ahsan Saadat Ahmad Shoaib Azizi Atefa Moravej Masoul Hamza Ghezal Jahed	PMU Manager, ARAZI, UN-H GIS Officer, UN-H Communication Officer, KMU, UN-H Senior M&E Advisor, Citizen's Charter, UN-H Urban Planning Officer, CFA, UN-H GIS Officer, UN-H GIS Officer, UN-H	Kabul	18 Dec	FGD
22	Ghulam Rasoul Rasouli Mamoon Khawar	Executive Director, NSP, MRRD Head, FPMD, NSP, MRRD	Kabul	19 Dec	Interview
23	Ghullam Sakhi Mohebi	M&E/MIS Reporting Officer, UN-H	Kabul	19 Dec	Interview
24	Humayoun Faiz	Policy and Planning Director, MUDH	Kabul	19 Dec	Interview
25	Takahiro Hara	First Secretary, Economic Cooperation Section, Embassy of Japan	Kabul	19 Dec	Interview
26	Raphael Tafts	Head, Urban Planning & Design Branch, UN-H	Skype	19 Dec	Interview
27	Srinivasa Popuri	Senior Human Settlements Officer, Regional Office for Asia & the Pacific, UN-H	Skype	19 Dec	Interview
		Regional Office for Asia & the Pacific, UN-H			
28	Eng. Mohammad Yasin Karimullah Ataee	Dep. Director, Policy and Coordination Department, Kabul Municipality Assistant Project Manager, CFA, UN-H	Kabul	20 Dec	Interview
29	Abdul Wali Ghafari Wali Mohammed Farhodi	PM, Governance & Democracy, EU Senior PM, Rural Development, EU	Kabul	20 Dec	Interview

30	Female Beneficiaries (8)	CLUIP, Guzar 1, 2, and 3, District 17	Kabul	20 Dec	FGD
31	Municipality Officials (3) Abdulhai Bahruddin Habibullah	Property Manager, District 17 Revenue Collection Manager, District 17 Price Control Manager, District 17	Kabul	20 Dec	FGD
32	Female Beneficiaries/CDC Members (3)	CBMSP, District 6	Kabul	21 Dec	FGD
33	Municipality Officials (3)	CBMSP, District 6 CBMSP, District 6	Kabul	21 Dec	FGD
34	Mr. Nawabi Abdul Karim Sidiqi Bashir Ahmad Sarwary Sayed Hamid Mir Hamid Jamshidi Abdul Basir Ayoubi	UN-Habitat Regional Manager Engineer CLUIP and CBMSP Social Mobilizer CLUIP and CBMSP Social Mobilizer CLUIP and CBMSP Engineer CLUIP and CBMSP Social Mobilizer CLUIP and CBMSP	Herat	24 Dec	FGD
35	Abdul Sami Rahimy Fardin Barakzai Abdul Aziz	General Manager of Municipality # 7 General Manager of Municipality # 12 Engineer Municipality # 7	Herat	24 Dec	FGD
36	Beneficiaries, CDCs (9)	CBMSP Municipality # 7	Herat	24 Dec	FGD
37	Mawlawi Zada	Deputy Head of Herat, MABMs	Herat	24 Dec	Interview
38	Beneficiaries (6: 3 female, 3 male)	CLUIP Karte Amin, CDC # 87	Herat	25 Dec	FGD
39	Mr. Ghulam Sarwar Noori Mr. Farid Sedeqi	NSP Team Leader NSP MIS Officer	Herat	25 Dec	FGD
40	Jan Turkstra	Ex-country Representative, Netherlands	Skype	26 Dec	Interview
41	Beneficiaries (3 female)	Shura Members Municipality # 4	Mazar	27 Dec	FGD
42	Mr. Homayon Ajmal	NSP PMU Provincial Manager	Mazar	27 Dec	Interview
43	Mr. Hafizi Eng. Mujtaba Mr. Ahmad Shah Eng. Muhsen Mr. Karim Ms. Aaqela Mr. Zmaray	Provincial Manager, UN-H Provincial Team Leader, UN-H CLUIP and CBMSP staff, UN-H CLUIP and CBMSP staff, UN-H CLUIP and CBMSP staff, UN-H CLUIP and CBMSP staff, UN-H CLUIP and CBMSP staff, UN-H	Mazar	27 Dec	FGD
44	Mr. Wahabzada Eng. Obaid	Deputy Mayor, Mazar-e-Sharif Engineer, Mayor's Office, Mazar-e-Sharif	Mazar	28 Dec	FGD
45	Beneficiaries (7: 1 female, 6 males)	Municipality Advisory Board Members	Mazar	28 Dec	FGD
46	Beneficiaries (3 female)	Shura members, Municipality # 4	Mazar	27 Dec	FGD
47	Yoshinobu Fukasawa	Director, Regional Office for Asia and the Pacific, UN-H	Skype	29 Dec	Interview
48	Mohammad Seyam Habibi	DFAT	Skype	5 Jan 2017	Interview
49	Adriaan Ijsselstein	Netherlands Embassy	Skype	9 Jan	Interview
50	Hasyim Hasyim	Programme Management Officer, overseeing UN-Habitat financial rules and regulations in Afghanistan, ROAP, Japan	Skype	6 Jan	Interview

51	Mark Bowden	DSRSG, UNAMA & RC of UNDP, Afghanistan	Skype	11 Jan	Interview
52	Hussain Aklaqi	SDC		11 Jan	Interview
53	Abdul Baqi Popal	Deputy Minister for Municipality & Acting Director for the Independent Directorate of Local Governance (IDLG)	Skype	11 Jan	Interview
54	Naoko Goto	Programme Management Assistant, ROAP, Japan	Skype	12 Jan	Interview
55	Matthew French	Previous Acting PM, Afghanistan, UNH	Skype	13 Jan	Interview
56	Robert Lewis-Lettington	Leader, Legislation Unit, Coordinator (a.i.), Legislation, Land and Governance Branch, UNH, Kenya	Skype	30 Jan	Interview
57	Marco Kamiya	Coordinator, ai Urban Economy and Finance Branch, UN-HABITAT Global Headquarters in Kenya	Skype	30 Jan	Interview
58	Christophe Lalande	Leader, Housing Unit, Housing and Slum Upgrading Branch, UN-Habitat, Nairobi, Kenya	Skype	31 Jan	Interview
59	Eng. Farhad Neyaesh	Mayor Herat	Skype	18 Jan	Interview
60	Ahmad Shaheer Shahriar	Deputy Minister, Programmes, MRRD	Kabul	19 Feb	Interview
61	Najib Amiri Parul Agarwala Hamid Samim	Senior Programme Coordinator, UN-H Urban Adviser, UN-H National PM, CGC, UN-H	Kabul	19 Feb	Interview
62	Observation: 14 (4 UN-H, 8 MUDH)	Meeting with H.E. MUDH Minister Naderi by Senior Human Settlements Officer Mr. Srinivasa Popuri during his mission to Afghanistan	Kabul	19 Feb	Observation
63	Sadat Mansoor Naderi	Minister of Urban Development & Housing	Kabul	19 Feb	Interview
64	Helena Ohlsson Antony Lamba	Urban Adviser, UN-H Chief Technical Adviser (Land), UN-H	Kabul	20 Feb	Interview
65	Observation: 21 (UN-H 19, Government 2, UNESCO 1)	Lunch Meeting with President Advisor Scoot Guggenheim and Senior Staff Team of UN-Habitat Afghanistan headed by Senior Human Settlements Officer Mr. Srinivasa Popuri	Kabul	20 Feb	Observation
66	Scott Guggenheim	Presidential Adviser, GoIRA	Kabul	20 Feb	Interview

SUMMARY

INTERVIEWS	FGDs
Total Interviews 45	Total FDGs 21
Total Persons Interviewed 54	Total Persons in FGDs 114
TOTAL RESPONDENTS 52 + 114 = 168 Female 44 (27%); Male 124 (73%)	
OBSERVATIONS 2 Meetings with Government (14 + 21 = 35 participants)	
VALIDATION WORKSHOPS (1) Afghanistan Country Team, UN-Habitat, Kabul, Tuesday, 21 February 2017, (25 persons) (2) Regional Team, UN-Habitat, Skype, Thursday, 9 March 2017 (30 persons)	

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ANNEX 4: INTERVIEW QUESTIONS

RELEVANCE

BROAD

Is the project doing the right thing? How important is the relevance or significance of the intervention regarding local and national requirements and priorities?

1. To what extent are the objectives of the programme still valid?

2. Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?

3. Are the activities and outputs of the programme consistent with the intended impacts and effects?

SPECIFIC

1. What is the relevance and value added of UN-Habitat country programme and is it consistent with the intended impacts and effects towards its objectives for achieving sustainable urbanization?

2. To what extent was UN-Habitat's country programme consistent with national need and priorities and contribute to achieving sustainable urbanization?

3. To what extent has the identification, design and implementation process involved local and national stakeholders as appropriate?

4. To what extent cross-cutting issues were addressed?

5. To what extent and in what ways have UN-Habitat implementation process involved local and national stakeholders as appropriate? How is stakeholder engagement included in the UN-Habitat's priority areas of work?

EFFECTIVENESS

BROAD

Are the objectives of the development interventions being achieved? How big is the effectiveness or impact of the project compared to the objectives planned (Comparison: result – planning)?

1. To what extent were the objectives achieved/are likely to be achieved?

2. What were the major factors influencing the achievement or non-achievement of the objectives?

SPECIFIC

1. To what extent were results achieved in a coherent manner with involvement of regional office and Headquarters and relevant UN-Habitat strategies and policies?

2. What kind of positive changes to beneficiaries have resulted from products and services?

3. What areas of work have proven to be most successful in terms of ownership in relation to the local context and the needs of beneficiaries? To what extent and in what ways has ownership, or lack of it, impacted the effectiveness of the projects?

EFFICIENCY

BROAD

Are the objectives being achieved economically by the development intervention? How big is the efficiency or utilisation ratio of the resources used (Comparison: resources applied – results)?

1. Were activities cost-efficient?

2. Were objectives achieved on time?

3. Was the project implemented in the most efficient way compared to alternatives?

SPECIFIC

1. To what extent did the UN-Habitat Country Office, ROAP, and national partners have the capacity to design and implement projects?

2. To what extent were institutional arrangements adequate for implementing UN-Habitat's Country Programme in Afghanistan? What type of (administrative, financial and managerial) obstacles did the projects face and to what extent has this affected its efficiency?

3. What progress and efficiency gains of the UN-Habitat working through the government's national programmes with respect to design, management, implementation, reporting, and resource mobilization?

IMPACT

BROAD

Does the development intervention contribute to reaching higher level development objectives (preferably, overall objective)? What is the impact or effect of the intervention in proportion to the overall situation of the target group or those effected?

1. What has happened as a result of the programme?

2. What real difference has the activity made to the beneficiaries?

3. How many people have been affected?

SPECIFIC

1. To what extent the country programme has (or are expected to attain) attained development results (accumulated results) to the targeted population, beneficiaries, local authorities, government institutions and addressing national priorities that are supportive to UN-Habitat's strategic objectives?

SUSTAINABILITY

BROAD

Are the positive effects or impacts sustainable? How is the sustainability or permanence of the intervention and its effects to be assessed?

1. To what extent did the benefits of a programme continue after donor funding ceased?

2. What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

SPECIFIC

1. To what extent did UN-Habitat engage the participation of beneficiaries in design, implementation, monitoring and reporting?

2. To what extent was the capacity of national project staff built to sustain or enhance their involvement in urban development issues and with UN-Habitat?

3. To what extent was UN-Habitat's country Programme in various thematic areas aligned with National Development Strategies and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and city/local level?

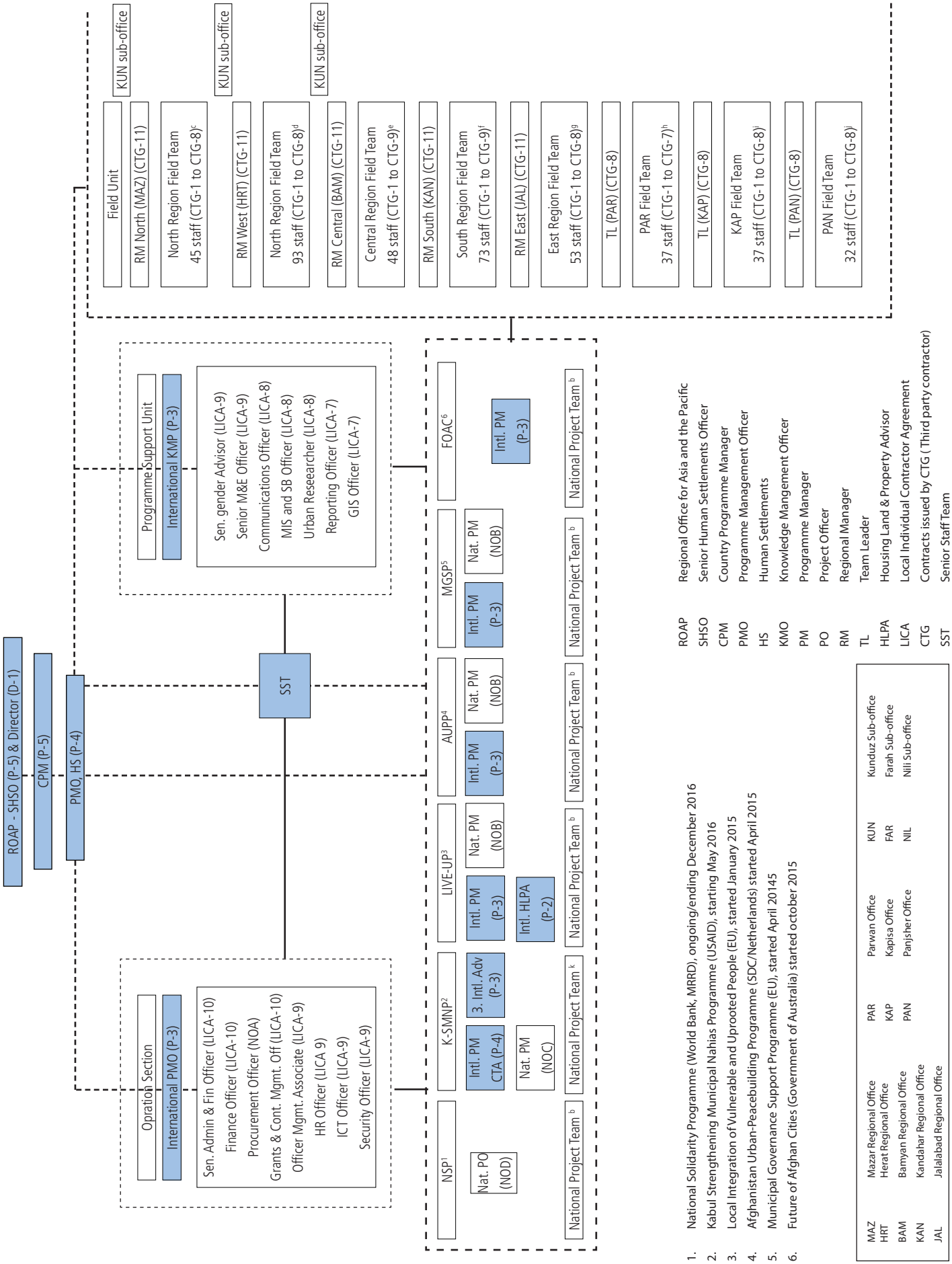
4. To what extent will projects implemented by the country programme be replicable or scaled up at national or local levels or encourage collaboration between cities at provincial level?

5. In UN-Habitat's Country Programme implemented in partnership with stakeholders in various thematic areas, how projects have fostered innovative partnerships with national institutions, NGOs, and other development partners?

ANNEX 5: STEPS FOR WORKING WITH COMMUNITIES

Phase 1: Raising Community Awareness			
Step 1: Contacting Community Representatives	**Step 2**: Small Group Meetings for Discussing Community Assets, Community Problems and their Causes, Feasibility of a Community Development Council, Generating Demand for a Large Community Gathering		
Phase 2: Establishment of the Community Development Council (CDC)			
Step 3: Holding a Large Community Gathering for Presenting List of Issues, and the Election of Men and Women Community Development Councils	**Step 4:** Establishing the Community Development Council	**Step 5:** CDC Mission Statement, and Endorsement of Mission Statement by Community Groups	
Phase 3: Community Development Plan			
Step 6: Preparing a Community Development Plan of men and women and harmonizing into one CDP. Establishment of the Community Fund Box	**Step 7**: Community Endorsement of the Development Plan	**Step 8:** Community Self Initiated Project	
Phase 4: Project Design and Submission of Project Proposal			
Step 9: Designing the Community Project(s)	**Step 10:** Write up the Community Project Proposal(s)	**Step 11**: Community Endorsement of Project Proposal(s)	**Step 12:** Submission of Community Project Proposal
Phase 5: Project Implementation, Monitoring and Evaluation			
Step 13: Implementation, Monitoring and Reporting on Project Activities	**Step 14:** Final Project Evaluation	**Step 15:** Reflection on Project Learning Experience, Review of Community Development Plan prioritisation of future activities along multiple tracks	

ANNEX 6: UN-HABITAT COUNTRY PROGRAMME ORGANIGRAM



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2. Kabul Strengthening Municipal Nahias Programme (USAID), starting May 2016
3. Local Integration of Vulnerable and Uprooted People (EU), started January 2015
4. Afghanistan Urban-Peacebuilding Programme (SDC/Netherlands) started April 2015
5. Municipal Governance Support Programme (EU), started April 20145
6. Future of Afghan Cities (Government of Australia) started october 2015

ROAP	Regional Office for Asia and the Pacific
SHSO	Senior Human Settlements Officer
CPM	Country Programme Manager
PMO	Programme Management Officer
HS	Human Settlements
KMO	Knowledge Mangement Officer
PM	Programme Manager
PO	Project Officer
RM	Regional Manager
TL	Team Leader
HLPA	Housing Land & Property Advisor
LICA	Local Individual Contractor Agreement
CTG	Contracts issued by CTG (Third party contractor)
SST	Senior Staff Team

MAZ	Mazar Regional Office	PAR	Parwan Office	KUN	Kunduz Sub-office
HRT	Herat Regional Office	KAP	Kapisa Office	FAR	Farah Sub-office
BAM	Bamyan Regional Office	PAN	Panjsher Office	NIL	Nili Sub-office
KAN	Kandahar Regional Office				
JAL	Jalalabad Regional Office				