Municipal Management Manual for Afghanistan

Afghanistan Municipal Strengthening Program

Chapters 1-8

Municipal Management Manual for Afghanistan

Prepared for the

USAID-Funded
Afghanistan Municipal Strengthening Program

by the
Urban Management Centre

on behalf of the
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Preface

The USAID-funded Afghanistan Municipal Strengthening Program (AMSP, 2005-2010) focused on strengthening the municipal governments in 11 provincial capitals located primarily in southeastern Afghanistan: Jalalabad (Nangarhar Province), Gardez (Paktia Province), Asadabad (Kunar Province), Ghazni (Ghazni Province), Tirin Kot (Uruzgan Province), Khost (Khost Province), Panjshir City (Panjshir Province), Charikar (Parwan Province), Sharana (Paktika Province), Kandahar City (Kandahar Province), and Nili (DaiKondi Province).

The goal of this program was to improve citizen satisfaction with municipal-level government in the selected capital cities by demonstrably enhancing the delivery of public services and improving the quality of life in each community. This goal was pursued by building governmental capacity at the municipal level through a "learning by doing" approach that included formal training (education) and managerial and technical assistance.

This Municipal Management Manual for Afghanistan represents a collection, reorganization, and expansion of reference materials on key municipal management topics, many of which were covered in a basic municipal training program delivered under AMSP for mayors and municipal managers and staff of the 11 provincial municipalities. This reference work complements the Municipal Governance in Afghanistan manual, which explained the legal framework and structure of municipal governance in Afghanistan and was published in 2009 and released in English, Dari, and Pashtu.

This current publication incorporates experience of what has worked and what has not in other developing countries as well as in the developed world. It provides examples and leading practices from these experiences. The intended audiences are local trainers, municipal managers, national officials with municipal infrastructure and service responsibilities, and students of local government.

This manual aims to provide broad coverage of various aspects of urban management by:

- Presenting tools and techniques for professionalizing urban management
- Clarifying internationally well known concepts in connection with the topics discussed
- Providing case studies on best management practices from other countries.

The manual is divided into chapters grouped into eight sections. Each subject area is covered only at a basic or "introductory" level. The references listed at the end of each chapter cover the subject matter in greater detail.

Section A, **Urban Governance and Administration**, provides an overview of the existing legal framework for urban governance in Afghanistan; the roles and responsibilities of municipalities and municipal officials; a broader context of good urban governance; and the various forms of citizen participation in urban governance.

Section B, **Human Resource Management**, deals with issues of organizational design and the importance of staff development for an efficient and responsive municipality. Chapter 7 discusses the importance of ethics, transparency, and accountability in the context of municipal functioning, and Chapter 8 deals with the role of public relations, media, and communications in service delivery.

Section C, **Urban Planning**, provides a comprehensive understanding of the fields of urban planning and strategic planning. It provides tools and techniques for the preparation, implementation, and monitoring of a development plan.

Section D, **Urban and Public Finance**, provides an overview of key issues; introduces a framework for urban financial analysis; and addresses the questions of how and from where municipalities can mobilize the resources required to finance the provision of urban services

and the development and maintenance of urban infrastructure. Chapter 14 deals comprehensively with municipal accounting and provides tools for keeping accounts in municipalities.

Section E, **Local Economic Development**, describes the various initiatives that municipalities can undertake to promote job creation and attract more businesses. It also highlights the importance of heritage management for local economic development in cities.

Section F, **Urban Poverty Alleviation**, provides an overview of the issues relating to urban poverty and describes how to provide services for informal settlements. It also discusses the importance of tenure security and land titling for overall improved land management and land reforms.

Section G, **Urban Infrastructure Planning and Management**, provides details on the process of managing large projects and planning, designing, and maintaining various services that municipalities provide. The section also provides details of efficient and transparent procurement processes that municipalities can adopt for procuring services from the private sector. Chapter 24 talks about municipal performance measurement and improvement and explains how municipal officials and decision makers can measure and monitor the performance of their service delivery. Chapter 25 dwells on the sensitive issue of environmental compliance, municipal planning and implementing large projects and the current Afghan laws that municipalities need to follow.

Section H, **Disaster Management**, discusses how municipalities can be better prepared to handle disasters and undertake efficient community response. It also presents the current laws and framework regarding disaster preparedness in Afghanistan.

Taken as a whole, this Municipal Management Manual is designed to form the basis for training in the wide range of subjects that constitute the fundamentals of municipal management practice. As USAID's successor program in Afghanistan, the Regional Afghan Municipalities Program for Urban Populations (RAMP UP) moves forward, UMC and ICMA hope that local trainers will find this reference useful as they develop training materials—and that the successes and lessons learned in the AMSP program will be carried forward and built upon in these and other Afghanistan municipalities.

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Acknowledgments

Chapter 1: Legal Framework of Governance in Afghanistan

Summary: *This chapter gives an introduction to the constitutional and legal framework that guides the municipalities in Afghanistan. It also presents the various central authorities that impact the functioning of municipalities.*

Objectives: *The objectives of this chapter are as follows:*

- *Learn the definition of legal terms commonly used in constitutional law*
- *Gain understanding of current national and subnational legal framework*
- *Obtain basic understanding of current laws affecting municipalities*
- *Gain knowledge of IDLG and its mission and goals*
- *Learn what other central ministries, directorates, commissions, and research organizations are involved with municipal level government.*

1.0 Introduction

In August 2007, President Karzai of the Islamic Republic of Afghanistan (IRoA) decreed the establishment of the Independent Directorate for Local Governance (IDLG), and entrusted it with wide-ranging authorities, both policy-making and executive, over the entire subnational governance in Afghanistan. For some months, the IDLG, in cooperation with central ministries and other government agencies that hold mandated responsibilities in governance reaching down to the provinces, has engaged in a wide-ranging review of subnational governance in Afghanistan. Its draft *Policy on Subnational Governance,* released in September 2008, details policy recommendations on the entire Afghan subnational governance.

The IDLG, coordinating also with the Independent Administrative Reform and Civil Service Commission (IARCSC), is working to finalize new policy and IARCSC public administration reform for a fundamental and comprehensive reform of the institutions of subnational governance. Municipal government occupies a central place in these reforms. Once these reforms have been undertaken, the municipalities will emerge with new structural arrangements and authorities that would have the effect of remarkably transforming their current place and role in subnational governance.

The IDLG recommendations focus primarily on provincial municipalities. The second type of municipalities, identified as rural municipalities, do not seem to be the focus of the recommendations. The Kabul Municipality, as in the past, has been treated separately and has a distinctive status with direct links to the central government.

The (provincial) municipalities, under the recommendations, would have a corporate structure. They would have well-defined territorial boundaries and following from that, political and administrative boundaries. The criteria for the creation of municipalities would be also clarified.. Further, municipal administrative councils will be part of the municipality structure.

The transformation of the current municipalities would come primarily from two recommendations:

- The first is the establishment in each municipality of a council that would be popularly elected every four years. These bodies would be delegated powers that relate to fiscal management and representation of constituency interests. The council would also elect the mayor, who would be the chief executive of the municipality.

- The second principal recommendation concerns fully vesting in the municipalities the responsibility over "public services." This recommendation has been examined in more detail in the following chapter titled "Roles and Responsibilities of Municipalities."

The recommendations make it clear that central control, which is now exercised by the IDLG and the Ministry of Finance (MoF) in separate realms, would not be eliminated. For example, the national government shall prescribe standards for municipal management systems.

2.0 Constitutional Mandates

2.1 National State

Afghanistan's constitutional history dates back to the reign of King Amanullah Khan (1919-29), who issued what may appropriately be characterized as the first constitution of the modern state of Afghanistan in 1923. Since then a number of constitutions have emerged from the Afghan state. In substantive terms, these instruments have taken various, and indeed, widely different forms owing to different forms of government. Afghanistan has been governed in the form of kingdom and at times as a republican state (with vastly different characteristics). Nonetheless, every one of these instruments embraced two salient features: centralized state and unitary state. In fact, these constitute the bedrock principles of Afghan constitutionalism.

The twin principles were perhaps best expressed succinctly in King Amanullah Khan's *Fundamental Principles of the Kingdom of Afghanistan* of 1923 (see Box 1).

When translated into practice, the combination of the two principles was intended to produce a united national state that was controlled by its Kabul-based leader – king when Afghanistan functioned as a kingdom, and president when it adopted the republican form of government – in whose person power was concentrated. The reality was that the centralized power did not permeate the entire country, while the unitary form of the state was fractured by competing and hostile entities based on tribe, regional loyalty, ideology, or illicit commerce the opium-based trade).

BOX 1: CENTRALIZED AND UNITARY STATE

Afghanistan is completely free and independent in the administration of its domestic and foreign affairs. All parts of the country are under the *authority of His Majesty* the King and are to be treated as a *single unit* without discrimination between different parts of the country.

> *-Article 1, Fundamental Principles of the Kingdom of Afghanistan, 1302/ 1923 (emphasis added) – King Amanullah Kahn.*

The *Constitution* of 2004[1] of the Islamic Republic of Afghanistan (IRoA) also embraced the twin principles of centralized state and unitary state. In fact, in the case of the latter, the principle was more categorically stated: thus, the Islamic state is constituted as an "independent, unitary and indivisible state" (Article 1, *Constitution*). Although there were calls for the adoption of the *federal state* for Afghanistan during the process of making the *Constitution*, they failed to win favor, and the classical form was sustained. On the other hand, given that IRoA is the first Afghan state to be founded upon democratic principles, the centralized power in the hands of the leader was somewhat diluted. Three branches – executive, legislative, and judicial – were established at the national level. However, the executive in the person of the president remains quite powerful. It is in fact an executive presidency, and the legislative and judicial branches are not constituted entirely independent of the executive.

2.2 Subnational Governance

The *Constitution's* notable departures from the constitutions of the past are found in its articulation of the mandates for subnational governance. It issues two broad policy directives for subnational governance. First is the requirement for the adoption of all necessary measures to create a healthy administration and realize reforms in the administrative system of the country (see Box 2).

BOX 2: STATE'S RESPONSIBILITIES IN ADMINISTRATION

The state shall adopt necessary measures to create a healthy administration and realize reforms in the administrative system of the country.

The administration shall perform its duties with complete neutrality and in compliance with the provisions of the laws.

The citizens of Afghanistan shall be recruited by the state on the basis of ability, without discrimination, according to the provisions of the law.

- *Article 50, Constitution*

The second broad policy directive is an outcome from the first: there shall be the transfer of necessary powers to local administrations while preserving the principle of centralism embedded in the *Constitution* (see Box 3). This directive has been described as the source of decentralization in Afghanistan and delegation of authority from the center to the periphery.

BOX 3: DELEGATION OF CENTRAL AUTHORITY

The government, in preserving the principles of centralism, shall transfer necessary powers, in accordance with the law, to local administrations in order to accelerate and improve economic, social as well as cultural matters, and foster peoples' participation in developing national life.

- *Article 137, Constitution*

2.3 Municipalities

Box 4 details the mandates relating to municipalities. The following principles are expressed in these provisions:

- Municipalities shall be established to administer "city affairs."
- There shall be municipal councils with a mayor and members elected through free, general, secret, and direct elections.
- The conduct of such elections is entrusted to the Independent Elections Commission (IEC).
- The matters relating to the municipalities shall be regulated by law.

BOX 4: MUNICIPAL COUNCILS – 2004

- To administer city affairs, municipalities shall be established.

- The mayor and members of municipal councils shall be elected through free, general, secret, and direct elections.

- Matters relating to municipalities shall be regulated by law.

> - *Article 142, Constitution*

- The Independent Elections Commission shall be established to administer and supervise every kind of election as well as refer to general public opinion of the people in accordance with the provisions of the law.

> - *Article 156, Constitution*

Municipalities have occupied a distinct place in subnational governance in Afghanistan since the 1923 *Fundamental Principles* were decreed by King Amanullah Khan (though the precise wording of "municipalities" is absent, the meaning is clear). The elective principle for municipalities also has antecedents: it dates back to the 1964 *Constitution of the Kingdom of Afghanistan* of King Zahir Shah.

This provision is indeed a departure from the past constitutional pronouncements, and if the mandate is carried out, the institutions of subnational governance would become distinguishable from the national superstructure – they would not be simply an elaboration of the central power at a different level but rather emerge in a structure that merits recognition on its own.

3.0 Current Arrangements for Subnational Governance

3.1 Governor and Provinces

The current constitutional arrangements for subnational governance focus on the province (w*ilayats)*. In fact, the province has always been the principal administrative unit since the emergence of the modern state of Afghanistan. At present there are 34 provinces (see Table 1), each one headed by a governor (w*ali*) appointed by the president. The executive authority of the province–in effect, the provincial administration--is vested in the person of the governor.

The governors derive their status and standing in the provinces not simply on the basis of the formal authority they wield. Typically, their authority is enhanced by their relationships to the traditional social bases and institutions such as tribe and *shuras* (consultative bodies). Indeed, they exercise informal authority by engaging, for example, in conflict resolution at the local level and employing *shuras* as informal sounding boards in their respective administrations.

The criteria for the creation of provinces were laid down in the *Law on the Basic Organization of [the Government of] Afghanistan* of 1965 as population, geography, and economic and social conditions (Article 34). The *Constitution* offers the same criteria (Article 136). These criteria are malleable, and political considerations have also played a role in the establishment of provinces over the years. There is no uniformity with respect to their geographical area, population, natural and economic resources and potential, and development. Applying the criteria for the creation of provinces, they are graded between 1 to 3 "degrees," with 1 being the highest ranking. The grade of a province affects the size of the governor's staff as well as the salaries and perquisites of the personnel.

3.2   Provincial Councils

Councils at the provincial level have existed in Afghanistan in one form or another since King Amanullah decreed in his *Fundamental Principles of the Kingdom of Afghanistan of* 1923 the establishment of advisory councils consisting of both elected and appointed members. The *Constitution* requires the creation of wholly elected councils in all the provinces, and enumerated their role in the provincial administration (Articles 138, 139). The foremost of their responsibilities is to assist the governor in the provincial administration.

Table 1: Provinces[2]

	PROVINCE/ *Wilayats*	No. of Districts/ *Woluswali*	GRADE
1	Kabul	15	1
2	Kapisa	7	2
3	Parwan	10	2
4	Wardak	9	3
5	Logar	7	3
6	Ghazzni	19	2
7	Paktya	11	2
8	Nangarhar	22	2
9	Laghman	5	3
10	Kunar	15	3
11	Badakshan	28	1
12	Takhar	17	2
13	Baghlan	15	2
14	Kunduz	7	1
15	Samangan	7	3
16	Balkh	15	1
17	Jauzan	11	2
18	Faryab	14	2
19	Badghis	7	2
20	Hirat	16	1
21	Farah	11	2
22	Nimroz	5	3
23	Hilmand	13	2
24	Kandahar	16	1
25	Zabul	11	3
26	Uruzgan	5	3
27	Ghor	10	3
28	Bamyan	7	3
29	Paktika	19	3
30	Nuristan	8	3
31	Sari Pul	6	3
32	Khost	13	3
33	Panjsher (added in 1383 Saur/ April 2004 ; carved out of Parwan Province)	7	3
34	Daykundi (added in 1383 Jauza/ May 2004; carved out of Uruzgan Province)	9	3

Implementing legislation for elected provincial councils (*shura-i-wilayat*) (PCs) was enacted in the form of the *Law of Provincial Councils* of 2007. However, PCs had been formed with elected members in November 2005. This step was necessitated by the fact that, under the terms of the *Constitution,* they were tasked with playing a key role in the selection of the representatives to the *Meshrano Jirga* (House of Elders) (Article 84, *Constitution*) and that task had to be carried out for the new Afghan state to formally come into existence. The 2007 law enumerated the duties and authorities of the PCs.

3.3 Districts

Districts (*woluswali*) are the administrative units which together make up each of the provinces; the number of districts in provinces varies considerably (see Table 1). Similar to provinces, the districts are graded from 1 to 3. The districts constitute the secondary level of Afghanistan's subnational government. The capital of a province or the provincial center (m*arkaz*) is located in one district, and such districts host the provincial municipality (*sharwali wilayat*) (at times also called the capital municipality). The provincial municipality's boundaries are not contiguous to the district boundaries in which they are placed. Many of the other districts host rural or district municipalities (rural municipalities (*sharwali uluswali*). The rural municipalities function under the subgovernors (*woluswal*) who head the districts and report directly to the governors. Provincial municipalities have a quite distinct form of governance, and their formal interaction with the governors is narrowly limited. That part of the district which hosts the provincial municipalities is administered directly by the governor himself. Not unlike the governors, subgovernors exercise informal authority in addition to their formal powers.

The *Constitution* (Article 140) mandates that districts, like the provinces, should have popularly elected councils – this is certainly new to their governance, for no such bodies were prescribed for the districts in the previous constitutions. Unresolved political issues relating to the boundaries of the districts and the population that lives within each of them led to the shelving of the creation of these bodies.

3.4 Villages

There are various estimates of the number of villages that are distributed over the districts in Afghanistan; it is generally acknowledged that their number exceeds 40,000. The villages form the lowest level of the provincial administration. The leadership of the village rests with the village headman (variously known as *malik, alaqadari or arbab)*, a position that dates back into the earlier history of the country. The village headman is the link of the village to the district officials, and he is also the key figure in the conduct of much of the informal village affairs, often in association with *shuras*.

The *Constitution* calls for the creation of councils at the village level in order to bring about "active participation of the people" in administration (Article 140). The spirit of this constitutional mandate has been met by the widespread establishment of Community Development Councils (CDCs). These are elected consultative bodies that are brought into the development work at the grass roots level.

4.0 Functions of the Central Government at the Subnational Level

While all the ministries at the central government level have responsibilities that affect subnational governance, only a few are broadly active in serving the provinces via their provincial line departments. Some provincial line departments have offices with limited functions at the district level as well. Typically, the provincial offices are headed by a senior civil servant (Grade 1 or 2) who has varying numbers of staff under him largely determined by the mission that is vested in him or her.

The majority of the line departments are engaged in service delivery. Two basic models predominate in such operations:

1. Direct service delivery by the department and its attached staff – this is the model followed by the majority of the ministries for their provincial operations;

2. Contracting of specific service responsibilities to statutory entities and to nongovernmental organizations (NGOs). Thus, the Ministry of Energy and Water (MEW) has entrusted the distribution of electricity at the local level to *Breshna Mosesa*, a wholly government owned corporation, and the Ministry of Public Health (MoPH) has contracted out the delivery of Basic Package of Health Services (BPHS) in the provinces to NGOs.

There are also provincial line departments that do not have service delivery mandates. Of them, the most important for subnational governance is the Ministry of Finance (MoF), which has the paramount responsibility for the fiscal management of the subnational institutions of governance. The MoF has in each province an office (*moustoufiat*) which is headed by its provincial "agent" (*moustoufie*), who has an important role in fiscal management.

In addition tothe provincial line departments of the ministries, there are also provincial offices of statutory/corporate agencies that are entrusted with service delivery responsibilities.

For example, the Afghan Urban Water Supply and Sewerage Company (AUWSSC) was established in January 2008 to replace the Central Authority for Water Supply and Sanitation (CAWSS), the semi-autonomous but highly centralized entity. AUWSSC was created as a quasi-governmental and financially self-sustaining entity, and it is tasked with the design and planning, infrastructure development, service delivery, revenue collection, and maintenance of water supply to the municipalities. It is overseen by Supreme Council for Water Affairs Management (SCWAM), the central entity that coordinates and develops strategic policies relating to water in Afghanistan. However, at this time the AUWSSC is not fully functional. Until it is operational in the larger provincial capitals, the operations respecting water and sanitation are being undertaken by decentralized Strategic Business Units (SBUs) that are technically part of the AUWSSC. In other municipalities, the CAWSS remains operational on behalf of the AUWSSC.

In the recent years, the IRoA has established a number of new statutory agencies with dedicated responsibilities at the subnational level.

5.0   Goals and Vision for Subnational Governance

An integral and distinctive aspect of the discussions and decisions that were taken on the future of Afghanistan after the fall of the Taliban in 2002 was the increasing attention that was devoted to subnational governance. This focus was invariably articulated in terms of what is best described as goals and visions for subnational governance. This is true of the national conversations and policy formulations as it is of the international agreements that Afghanistan forged in the process of emerging as the IRoA.

There are many signposts in the evolution of the goals and visions for subnational governance. The underlying premise of these goals and visions was that they should be consistent with, and promote, the nine overarching goals for the well-being of its people that the IRoA embodied in its *Millennium Development Goals – The Islamic Republic of Afghanistan: Country Report 2005 – Vision 2020.*[3] The most elaborate and the most important articulation of these are to be found in the IRoA's *Afghanistan: National Development Strategy*, 1387-1391/ 2008-2013 (ANDS).[4] ANDS functions as the central framework for Afghanistan's development efforts aimed at promoting economic growth among the poor, support for the development of democratic processes and institutions, and the reduction of poverty and vulnerability of its population.

As ANDS declared, the strategic objective of the IRoA is the establishment of a stable Islamic constitutional democracy in which the three branches of the state function effectively and inclusively. This democracy is committed to upholding the rule of law and basic human rights, and it would be held accountable. In this endeavor, the IRoA offered specific goals, and the measures that it would take to achieve them (see Box 5). By implication, these goals cannot be reached without the delegation of central powers to the provincial administration. Thus, the IRoA's goals and visions for subnational governance intersect and merge with the mandates for subnational governance embodied in the *Constitution.*

BOX 5: GOALS AND MEANS IN GOVERNANCE – ANDS

The Government aims to provide good governance and measurable improvements in the delivery of services. To achieve these goals it will: (i) establish, reform, and strengthen government institutions at the central and subnational levels with an emphasis on transparency, competence, and results-based management; and (ii) reform legislative processes, including holding of free and fair elections.

- *Afghanistan National Development Strategy, 1387-1391/ 2008-2013, pp. 6-7.*

6.0 Legal Framework

6.1 Law on Municipalities of 2000

Beginning in 1934, a number of laws directed at municipalities were issued by the Afghanistan state (see Table 2). The current legal framework for municipal laws comes from the *Law on Municipalities* enacted in 2000 by the Islamic Emirate of Afghanistan (IEoA). It remains in force subject to the provision in the *Constitution* that invalidates prior laws and decrees inconsistent with its provisions (Article 162).

Table 2: Legislation on Municipalities (s. *Sharwall*)

1	*Municipalities Law*, March 28, 1934	Repealed by #2
2	*Municipalities Law*, July 10, 1947	Repealed by #3
3	*Law of Municipalities in Afghanistan*, November 16, 1957	Repealed by #4
4	*Municipalities Law*, February 21, 1965	Amended by #5
5	Amendments to *Municipalities Law*, January 05, 1991	Superseded by #6
6	*Law on Municipalities*, October 07, 2000	

Three different types of municipalities have been identified in the law:

1. "provincial municipalities" that are part of the "local administration"

2. "district municipalities" akin to the rural municipalities

3. "district branches" of the municipalities (Articles 1-3, 7).

The first two types of municipalities were to be established under the following criteria:

- At the center of the administrative units having a population of more than 5000 people; or

- At the center of an administrative unit in which the "implementation of the urban master plan is feasible."

The Municipal Law 2000[5] states that each municipality would be governed by a mayor, an unspecified number of deputies to the mayor, and a municipal administrative council (*majlis-e-dori*) (see Articles 9, 10, 16 and 23). The law is silent on the method of appointment of these officials and the composition of the council. The municipalities are entrusted with a truly expansive list of "obligations and powers." Significantly, these obligations and powers – in essence, functions -- are applicable to all municipalities, regardless of the differentiations that the law itself made between provincial, district, and branch municipalities.

The 2000 Law on Municipalities does not address popular elections for municipalities.

6.2 Popular Elections for Municipalities

The *Elections Law for Municipalities* of 2003 was enacted by the Transitional Islamic State of Afghanistan (TISoA) pursuant to Article 111 of the 1964 Constitution to regulate the elections for the municipalities and "their branches" (Article 1).

The elections are to be held only for municipalities at the district centers with no less than 1,000 houses within the radius of 1Km and which require services; those at the "border cities" with similar make up were excluded (Article 3). A further important distinction has been made: council members for municipalities with wards or subdistricts (*nahiyas*) are to be elected by indirect and secret ballot, whereas those which do not have wards are to be elected by direct secret ballot (Article 8). The mayors are elected by direct secret ballot by the members to serve a 3-year term (Article 7). Two legal-administrative bodies are to be instituted for the elections, the Elections Executive Board to organize and carry out the elections and the Elections Monitoring Board to supervise the activities of the former.

The *Elections Law for Municipalities* remains constitutionally and legally valid, but as of May 2010, municipal elections had not taken place. The Independent Electoral Commission (IEC), mandated by the *Constitution*, was established in 2004.

7.0 Fiscal Management

The fiscal management of the municipalities is covered in detail in Chapter 2, "Roles and Responsibilities of Municipalities." The 2000 Law on Municipalities' requires municipalities to be financially self-sustaining institutions of governance (see Box 6). Of all the subnational institutions of governance, the municipalities alone were singled out to receive this unique status. The law does not explicitly specify that this requirement applies to both the provincial and district municipalities, but it is evident from a close reading of its provisions relating to fiscal matters that it is applicable only to the provincial municipalities. There is also a provision for the municipalities to seek special funding from the MoF under exceptional circumstances: if the municipality development plan cannot be implemented by the use of the municipality funds, financial assistance shall be provided from the Emirate development budget (Article 11). In essence, fund transfers from the center to the municipalities were not routinely available; the legislative goal of financially self-sustaining municipalities was to be compromised only under very limited circumstances.

BOX 6: MUNICIPALITIES AS FINANCIALLY SELF-SUSTAINING ENTITIES

Municipal revenues shall belong to the municipality, and as such, it shall adjust its expenditures to the approved budget taking into consideration the revenues being collected.

- Article 12.1, Law on Municipalities of 2000

The 2000 law vests the mayor with the authority for drafting of the annual budget that includes the annual *tashkeel* (annually sanctioned list of staff positions). The mayor's draft budget, if confirmed by the administrative council of the municipality, would be reviewed by the MoF, and if approved by the MoF, would be incorporated into the annual national budget in accordance with the applicable provisions of the law and submitted to the council of ministers for its consideration (Article 10). The implementation and "control" over the approved budget rests with the mayor (Article 22); in contrast to the process of budget preparation, the council has no role here.

Since each municipality is mandated to serve the "general needs of the urban population" (Article 2), it is understood that the municipal budget preparation and execution would be devoted to this end. Besides this general mandate, the municipalities were also entrusted with specific responsibilities relating to the implementation of their respective master plans in cooperation with the relevant provincial line departments (Article 5).

The *Public Finance and Expenditure Management Law* of 2005[6], a key measure of the IRoA to reform the management of public finance, essentially confirmed the status of the municipalities as financially self-sustaining institutions. As it declared, the amount and manner for collection of revenue on the part of the municipalities shall be determined and

specified by law, and their expenditure must not exceed the total of state assistance and revenues generated by the municipalities. Unlike the prior legislation, this law provided that the municipalities may borrow from the state in accordance with the law.

This law effectively enhances and consolidates the role of the MoF in the public sector fiscal management. It also regularizes and makes more stringent the requirements for fiscal management of the municipalities.

7.1 Sources of Revenue

The subnational institutions of governance, with the sole exception of the municipalities, function as collectors of revenue for the central government; all locally generated revenue, whether large in amount such as customs tariff collected by the provinces or relatively smaller amounts such as minor taxes collected from business premises by the districts, are remitted to the national treasury. The revenue that the municipalities generate too is sent to Kabul and consolidated into the national budget. However, such revenue technically belongs to the municipality, and the amount of such revenue constitutes the primary determination of the municipal budget and expenditures ordinarily permitted to the municipalities by the MoF. There is no co-relationship between the revenue collected by, say, the PCs and their budget expenditures, whereas there exists such a co-relationship in the case of the municipalities – in other words, municipalities do not receive intergovernmental transfers.

The laws that are applicable to municipal sources of revenue are given in Table 3. The *Law on Municipalities* of 2000 and *Public Finance and Expenditure Law* of 2005, the two principal laws that address municipal fiscal matters, offer a very limited number of revenue generation sources.

Table 3: Laws on Revenue Sources of Municipalities

Law on Municipalities, 2000
Municipal Tax Law for City Services,2000
Amendment to Article 11 of Municipal Tax Law for City Services, 2002
Safaie Tax Regulation, 2000
Public Finance and Expenditure Law, 2005

The two main revenue sources for municipalities are the *Safaie Tax Regulation of* 2000, and taxes and fees pursuant to the *Municipal Tax Law for City Services*.

The *Safaie Tax Regulation* was enacted by the IEoA and remains in force as the principal legislation relating to municipal property taxes. It has been described as the most predictable source of revenue for municipalities as well as one that has the most potential. The law constitutes the principal legislation relating to municipal property taxes. It is designed to capture the value of a property, taking into account a proportion of the cost of immovable property concerned as incurred by the individual owners and its "communal" dimension in the context of municipal services rendered, such as provision/ improvement of roads and cleaning streets and ditches. However, the income it generates is relatively low. The main problem is that no valuation of private property in municipalities has taken place since 1978, and the tax base is low and unrealistic.

The IEoA's *Municipal Tax Law for City Services* was enacted pursuant to its *Law on Municipalities.* In 2002, an amendment decreed by the TISoA added a further provision. This law (and its amendment) established taxes/fees for services, directly and indirectly, provided by the municipalities to individuals, organizations, and entities. The coverage is extremely broad. There are certainly provisions in the law that generate revenue, but the vast numbers of taxes/fees produce minuscule income.

8.0 Independent Directorate for Local Governance

A number of studies on subnational governance in Afghanistan had recommended in the past that the IRoA should establish a coordinating body for subnational governance to address its deficiencies both from the policy perspective and in practice. The model that virtually all these studies had in mind was a ministerial coordinating committee; the high standing and status inherent in such a committee, it was assumed, would be vital for meaningful impact on subnational governance. Based on the constitutional authority given to him to create "commissions to improve the administration of the country" (*Constitution*, Article 64.20), President Karzai established the Independent Directorate for Local Governance (IDLG) on August 30, 2007, under a presidential decree.

IDLG took over from the MoI as the principal policy making and executive authority over the entire subgovernance structure of Afghanistan, with the exception of public finance, which continued to be vested in the MoF. The authority of the IDLG is vast: as the IDLG succinctly stated,

> *"this directorate is mandated to improve governance and achieve stability and security through improved governance."*[7]

Its *Strategic Framework,* released on September 27, 2007, expands and elaborates this mandate (see Box 7). Further, IDLG developed and issued a detailed *Five Year Strategic Workplan* in February 2008[8]. The workplan of course covers the entire spectrum of subnational governance. However, it is relevant to highlight its commitment to municipal resource management and revenue generation (see Box 8).

BOX 7: IDLG – MISSION, VISION AND GOALS

1. *Mission:*

The Independent Directorate for Local Governance (IDLG)'s mission is to consolidate peace and stability, achieve development and equitable economic growth and to achieve improvements in service delivery through just, democratic processes and institutions of good governance at subnational level thus improving the quality of life of Afghan citizens.

2. Vision:

Independent Directorate for Local Governance (IDLG)'s governance vision is to make difference in the lives of Afghan citizens by providing them good governance. The Independent Directorate for Local Governance (IDLG) and its subnational governing units will be fully committed to provide open and transparent, accountable, participative, effective, coherent, and inclusive governance based on consensus and rule of law, at national and subnational level. Similarly, the Independent Directorate for Local Governance (IDLG) and its subnational governing units are committed to ensure that Afghanistan's women enjoy greater equity in education, political participation and justice.

3. Goals:

Independent Directorate for Local Governance (IDLG)'s goals are to:

- *Ensure that the framework for subnational governance in Afghanistan upholds the principles of good governance including open and transparent, accountable, participative, effective, coherent, and inclusive governance based on consensus and rule of law at the subnational level.*

- *Establish and strengthen government institutions at the subnational levels in order to ensure people's participation in governance and to achieve measurable improvements in the delivery of services and the protection of rights of all Afghans.*

- *Ensure that subnational governance institutions play an active part in facilitating the delivery of national activities and programmes to improve the well-being of the Afghan people*

<div align="right">- IDLG, Strategic Framework, 1386 5 Mizan/ 27 September 2007 (Italics in original).</div>

Even though the MoF retained the primary authority over fiscal matters, with the establishment of IDLG with expanded authority, the traditional division of responsibilities that had existed between the MoF and MoI was no longer valid. The IDLG now functions as the intervening medium between the municipalities and MoF on virtually all fiscal matters. For example, the draft budgets of the municipalities now have to be initially submitted for IDLG approval, and then they go before the MoF for its review and approval. When clarifications of municipal authority for taxing or imposition of fees are required, it is the IDLG that intervenes with the MoF. The IDLG does not make the policy or policy rulings on fiscal matters; the responsibility of which firmly rests with the MoF. However, the direct access of the municipalities to the MoF is no longer available, and the procedure in place currently requires their interaction to take place through the IDLG. In fact, where rulings or decisions are required of the MoF on fiscal matters, the initial approval of the IDLG is now mandatory. Thus, the annual budget of a municipality has to be approved by the IDLG, and only then would it be submitted for final action on the part of the MoF.

TABLE 8: IDLG ACTIVITIES RELATING TO RESOURCE MANAGEMENT AND REVENUE GENERATION OFMUNICIPALITIES UNDER WORKPLAN[9]

1. UPDATING POLICY AND LEGISLATIVE FRAMEWORK GOVERNING MUNICIPAL REVENUE GENERATION AND RESOURCE MANAGEMENT:
❑ Formulation of policy governing municipal revenue generation and resource management
❑ Drafting updated laws, rules, and regulations governing generation, management, and accountability for resources at the municipal level
❑ Drafting regulations related to municipal infrastructure
❑ Establishment of appropriate oversight, transparency, reporting, and accountability mechanisms for revenue generation and resource management at the municipal level
2. DEVELOPING CAPACITY AND SUPPORTING MUNICIPALITIES IN REVENUE GENERATION AND RESOURCE MANAGEMENT
❑ Capacity building with municipalities to identify and manage investments in infrastructure and other economic investments
❑ Design of guidelines and support for property reevaluation
❑ Development of coordination mechanisms at central level between government and external investors in development and infrastructure in municipalities
❑ Empowerment of municipalities to coordinate with communities to plan and target the use of existing resources to priority developments

9.0 Other Central Authorities That Have an Impact on Municipalities

A number of new statutory authorities established by the IRoA have an impact on the functioning of the municipalities. Unlike the IDLG, their impact is selective and indeed, it comes through their regulatory authority over the particular subject matters placed under their control. A brief review of the more notable of these authorities follows.

Control and Audit Office of Afghanistan (CAO)

Reporting directly to the President, the CAO headed by the Auditor General constitutes the independent supreme audit institution of the public sector in Afghanistan. Its authorities are based on the *Public Finance and Expenditure Management Law* of 2005. The *Law on Municipalities* of 2000 did not mention external or internal auditing. Presumably, arrangements for the internal auditing apparatus were left to be determined by the individual municipalities. By law, the financial records of the municipalities are subject to the review of CAO. The CAO has been regularly sending out audit teams to the provinces and their auditing has included municipalities as well.

Independent Administrative Reform and Civil Service Commission (IARCSC)

Of IARCSC's mandates, the implementation of the high-profile Public Administration Reform (PAR) has elicited considerable interest. The municipalities have been outside PAR but with

IDLG, it is likely that the situation will change. Reform will be an undertaking of IDLG, but IARCSC will be critical as the agency with expertise in the field. IARCSC's more direct intervention is through the exercise of its powers of oversight over general management of the civil service.

Afghanistan Independent Human Rights Commission (AIHRC)

This body was initially established in June 2002 pursuant to the Bonn Agreement. It was reestablished by the *Law on the Organization, Duties and Jurisdiction of the Afghanistan Independent Human Rights Commission* of 2005 pursuant to the *Constitution* which specifically mandated this body for the "purpose of monitoring the observation of human rights in Afghanistan, and their promotion and protection" (Article 58). The *Constitution*, in 38 articles in Chapter 2, incorporates a strong commitment to human rights. It went further and explicitly recognized the *Universal Declaration of Human Rights* and committed Afghanistan to the observation of the international human rights treaties to which the country has been (and will be) a signatory (Article 7). The promotion and protection of human rights was an integral element in the international agreements that Afghanistan forged in its emergence as IRoA, and they have been fully integrated into virtually all aspects of IRoA policies on governance, generally as a crosscutting theme.

IDLG does not have specific responsibilities relating to the human rights agenda of GoA. AIHRC has gradually expanded its operations in the provinces, and now has a network of regional and provincial offices that includes coverage of the municipalities by virtue of the fact these bodies are constituted at the provincial centers.

National Environmental Protection Agency (NEPA)

NEPA, the first national agency with a mandate to protect and promote the environment in Afghanistan, was established by a Presidential decree in April 2005. However, it received proper legislative authority only with the *Environmental Law* enacted pursuant to the *Constitution* (Article 15) in January 2007. The law has wide scope, and the NEPA is "responsible for coordinating and monitoring conservation and rehabilitation of the environment, and for implementing this Act" (Article 3). The mandates of the law translate NEPA into an expansive regulatory authority that impacts not only every governmental entity but literally the entire civil society.

10.0 Beyond the Framework

With a complete framework for subnational governance and an environment of reform in place, attention is turning to the development of self-governance by municipalities and improved service delivery to citizens. This manual is one important building block for reaching that goal.

What did we learn about in this chapter?

- *The governance framework of Afghanistan*

- *Constitutional mandates at the national and subnational level*

- *Current arrangements for subnational governance*

- *Fiscal management responsibilities at the municipal level*

- *The role of the Independent Directorate for Local Governance and other central authorities that affect municipalities.*

11.0 Endnotes

[1] Source: The Constitution of Afghanistan, January 3, 2004, *www.moj.gov.af*. For the original authoritative text see, official Gazette, Issue No. 818, 1382 08 Dalw/January 28, 2004.

[2] Source: www.aims.org.af.

[3] Millennium Development Goals – The Islamic Republic of Afghanistan: Country Report 2005 – Vision 2020, www.ands.gov.af.

[4] Source: Islamic Republic of Afghanistan, Afghanistan: National Development Strategy, 1387- 1391/ 2008-2013, *www.ands.gov.af*.

[5] Source: Islamic Emirate State of Afghanistan, Law on Municipalities, 2000, Published in the official Gazette, Issue No. 343, 10th Rajab Al-Murajjab, 1421 L.H/ October 7, 2000.

[6] Source: Islamic Republic of Afghanistan, Finance and Expenditure Management Law, 2006. Published in the official Gazette, Issue No. 893, 1384 5 Asad/July 27, 2005.

[7] IDLG Strategic Framework, 27 September 2007.

[8] Source: Independent Directorate of Local Governance, Five Year Strategic Workplan, February 2008.

[9] Source: IDLG, Workplan, pp. 36-38.

Chapter 2: Roles and Responsibilities of Municipalities

Summary: *This chapter gives an introduction to the various roles and responsibilities entrusted to municipalities by various laws in Afghanistan. It also presents various recent legislation that has added responsibilities for municipalities and discusses issues related to efficient undertaking of these responsibilities.*

Objectives: The objectives of this chapter are as follows:

- *Learn what prospective changes in the roles and responsibilities of municipal government are presently under consideration*
- *Be taught the "obligations and powers" and "core functions" that municipalities hold under current law*
- *Gain an understanding of current issues and problems in municipal governance that are driving the reform initiatives*
- *Learn about recently enacted national legislation that imposes specific requirements and duties on municipalities*

1.0 Introduction

As pointed out in Chapter 1, the draft policy recommendations of the Independent Directorate for Local Governance (IDLG), if carried out in their current form through implementing legislation, would transform the structure and responsibilities of the municipalities of Afghanistan as they currently exist. A central plank in this transformation would be the assumption by the municipalities of responsibility for public services. The rationale for this change is that public services are best planned, produced, and delivered at the local level.

This would also be consistent with the mandate of the *Constitution[1]* that states that there shall be, while preserving the principles of centralism, the transfer of necessary powers to local administrations in order to accelerate and improve economic, social, and cultural matters, and to foster peoples' participation in developing national life.

If this step is taken, Afghan municipalities will become the principal deliverers of service to the populations that live within their respective boundaries. To accomplish this, the recommendations would require the transfer by the central authorities of "concomitant resources,"[2] including the building of the necessary competencies for devolved programs.

The recommendations include several provisions that are clearly intended to facilitate and promote the ability of municipalities to become effective providers of service to their respective populations:

- The municipalities would be authorized to organize economic enterprises, primarily to deliver essential public services. The IDLG also proposes to put in place a regulatory and incentive framework to encourage private sector delivery of services in the municipalities.
- The municipalities may impose fees and charges for selected services provided by such economic enterprises. As is detailed later in this chapter, there are a vast number of direct and indirect services that municipalities provide that are subject to fees and taxes under existing law. However, there are issues of tapping the full potential of these tax bases.

Hence, there is a need to review in their entirety the sources that are legally available to the municipalities to generate revenue and rationalize them to fit the current economic reality in Afghanistan.

- The recommendations also mention mandatory and optional functions of municipalities and the necessity to clearly define, these taking into consideration municipalities'

capacities. Presumably, the primary service delivery functions would form the core of their functions, and the determination of the optional functions should vary from municipality to municipality.

- The municipalities will have the authority to design their organizational structures based on guidelines established by the central government. The municipalities, as they exist now, function largely on the basis of the structure and practices inherited from the past. A thorough review and reorganization of the municipal administrative apparatus should be undertaken by each municipality.

- Finally, the IDLG proposes to introduce a purposeful and systematic buildup of municipal capacity. Along with this, steps would be taken to extend the implementation of Public Administration Reform (PAR) to the municipal level, which would be supplemented by human resource and organizational development and management. The necessity for these measures has been documented again and again in the numerous studies that have examined the entire structure and operations of institutions of subnational governance.

As the discussion to follow points out, municipalities currently do have service delivery responsibilities. However, these responsibilities constitute primarily minor services. There are a few municipalities that have taken over the responsibilities of the provincial line departments on an ad hoc basis. The primary providers of services today are the provincial line departments. Even though the municipalities are not directly responsible for much of the delivery of services to their inhabitants, they play an important role as coordinators of service delivery of the provincial line departments. This coordination is accomplished in two principal ways:

- The mayors intervene directly with the provincial line departments and coordinate and facilitate their operations within the municipal boundaries. The municipal administrative organization, based on n*ahiyas* (wards) headed by m*odir-e nahiyas* and the n*ahiya* sub-divisions of g*ozar* (neighborhood) headed by headmen, is geared to provide information on the needs of the people that would enable the mayor to intervene effectively with the line departments.

- Mayors associate themselves with the province-wide coordination of operations of the line departments, which has been increasingly engaging the attention of the governors.

It is well documented that the confidence the citizenry has in its government, and the legitimacy the government in turn can gain in the eyes of that citizenry, is heavily dependent upon the successes of local government in carrying out this responsibility. Afghanistan is no exception to this. The recognition of the critical importance of sound local government practices addressing citizen needs underpins the goals and visions for subnational government that have emanated from the Afghan governments and the international donors since 2001.

This is further highlighted by the results of the national opinion survey undertaken in 2007 by the Asia Foundation[3] as presented in Table 1**.** Most strikingly, the importance of developing roads, water, and power is judged slightly higher than education and health care.

Table 1: Importance of Development Issues[4]

DESCRIPTION OF ISSUE	ALL	RURAL	URBAN
Importance of roads	51.0%	52.9%	44.2%
Importance of water	50.8%	49.5%	55.5%
Importance of power	50.5%	50.4%	51.0%
Importance of education	49.1%	48.5%	51.0%
Importance of health care	48.6%	48.7%	48.2%

2.0 Functions of Municipalities as Stated in the Law on Municipalities of 2000

The IRoA's *Law on Municipalities* of 2000[5] has elaborated the "Obligations and Powers" or functions of municipalities. In enumerating these functions, the law does not make a distinction between provincial municipalities and district municipalities as to the application of its provisions; all municipalities subject to the provisions without exception. The financial ability of the municipalities, which are required to be self-sufficient, is also not given due consideration.

The functions of the municipalities are enumerated in the *Law on Municipalities* of 2000, Chapter 4, Article 16. The functions are sweeping and lengthy. The law covers forty-four sub sections, most of which provide multiple responsibilities (see Box 1).

BOX 1: "OBLIGATIONS AND POWERS" OF MUNICIPALITIES, LAW ON MUNICIPALITIES OF 1421 (1379)/ 2000: CHAPTER 4: ARTICLE 16 (EXTRACT)

Municipalities and district branches thereof have their respective obligations and powers as given below:

1. Adopt measures for ensuring means of livelihood for the residents living in the respective area.
2. Adopt measures for construction and maintenance of wells, kariz (subterranean irrigation canals), ponds, and potable water reservoirs by the relevant sources.
3. Adopt measures for the protection and creation of urban green spaces and ensure cleanliness and sanitation in the relevant areas, as well as for the protection of the natural environment.
4. Adopt measures for construction of roads, playgrounds, public bathhouses, emporiums, markets, and cultural and civic centers, with the engagement to the extent possible of private investment in areas under planning.
5. Value residential houses according to rules and regulations.
6. Fix rental of municipal properties in accordance with the provisions of law.
7. Adopt measures for inspecting sanitary conditions in bathhouses, restaurants, guesthouses, samovars, swimming pools, public halls, and other food shops in cooperation with the concerned departments.
8. Adopt measures to ensure cooperation with health institutions in the implementation of measures intended to prevent the outbreak of diseases and to protect the natural environment.
9. Adopt measures for allotment of land-plots for the construction of residential houses and commercial sites in accordance with relevant laws.
10. Expropriate land in accordance with the provisions of the land expropriation law.
11. Adopt measures for taking part in the construction of residential centers, maintenance of roads, streets, and residential areas.
12. Adopt measures for a sound expansion of the means of transportation in the municipality. Adopt measures for providing assistance in foodstuffs supply and distribution.
13. Control prices and measuring appliances, regulate and universalize the metric system in the municipality.
14. Adopt measures for providing assistance in promoting sports and physical training in accordance with Islamic morality.

3.0 Current Functions

As they function now under the mayors, municipalities are decidedly executive entities. There are currently no elected councils, and hence as the only formally mandated authority for the municipalities, the mayors play the role akin to chief executive officers.

The scope of the functions that the municipalities currently perform is much narrower than stipulated by the 2000 law. The major factors responsible for this include the fact that many functions handed over to them by the law still are delivered by the provincial line departments. Some functions are obsolete or no longer meaningful in the current context of the municipal administration. It is also true that the limitations of their financial resources have curtailed the intervention of the municipalities; after all, they have to operate within the budgets that depend entirely upon revenues they can generate. Some municipalities have been able to go beyond the budget limitations, but have been able to do so only because of donor assistance, and on the rare occasion, through contributions from the governors.

It should also be recognized that while the structural changes in functional responsibilities of the central authorities resulted in the narrowing of the functions of the municipalities, certain other developments have had the effect of making the responsibilities that they still carry more difficult and more complex. Undoubtedly, the best example of this is the growth of "informal settlements" (or unauthorized and/or illegal settlements established by migrants from the rural areas, internally displaced people, or returned refugees). Informal settlements necessarily require the provision of municipal services, but provision of basic services for them is complicated because these settlements have emerged without regularized order and often in geographical locations where the provision of such services as streets, water, and electricity is difficult. There is also the issue of these settlements not being "registered" habitations that provide a tax base.

3.1 Core Functions of Municipalities

In general, all the municipalities in Afghanistan should exercise fairly well-defined core functions related to the delivery of basic infrastructure and services. These core functions fall under four categories:

1. Functions that municipalities are directly responsible for under the *Law on Municipalities* of 2000, including those relating to the implementation of the master plans required by this law.

2. Functions in which the municipalities have a coordinating or facilitating role.

3. Functions in which the municipalities have a monitoring role to ensure public safety.

4. Functions that the municipalities are called upon to assume in consequence of a functional vacuum created by the absence of the provincial line departments.

Functions under the Law on Municipalities *of 2000*

As previously noted, a significant number of functions enumerated for Afghan municipalities under *Law on Municipalities* have been taken over by the provincial line departments. For example, the stipulation in the law's Chapter 4 that the municipalities should adopt measures for ensuring the means of livelihood for the residents living in the respective areas (see, item 1 in Box 1) is no longer their responsibility. It is primarily the responsibility of the Central Ministry of Economy (MoEc). Service delivery of water to the municipalities is in the hands of the Afghan Urban Water Supply and Sewerage Company (AUWSSC), and the supply of electricity remains with the Ministry of Energy and Water (MEW). Similarly, responsibilities with respect to health care under this law now come under the basic health services (BPHS), which have been contracted out to nongovernmental organizations (NGOs) by the Ministry of Public Health (MoPH). Some others are simply not feasible in the circumstances that the municipalities are placed in now, owing to limited financial conditions and limited private

sector participation. For example, the 2000 law requires that the municipalities should adopt, to the extent possible, measures for construction of roads, playgrounds, public bathhouses, emporiums, markets, and cultural and civic centers through the engagement of private investment in areas under planning (see, item 4 in Box 1). Regardless of the qualification "to the extent possible," in the current economic conditions prevailing in Afghanistan, private enterprise joining hands with municipalities to engage in the development of the infrastructure and municipal facilities is quite unlikely.

In terms of the 2000 law, the principal functions that municipalities carry out now may be identified as operations relating to the maintenance and upgrading of roads and streets, waste management, and basic sanitation. The national policy, as it has evolved, and the structural changes that were thereby brought about have complicated the tasks for municipalities. The following examples illustrate the complications that exist:

- **Roads**: Roads and streets within its boundaries are maintained and upgraded by the municipality. However, there is no distinct category of roads identified as "municipal roads" in the policy documents of the Ministry of Transport and Civil Aviation (MoTCA) and in its master plan developed with the aid of the Asian Development Bank (ADB). Road infrastructure has attracted substantial investment from donors. Yet, it seems unclear to the municipalities what assistance would be extended to them by the central authorities and/or donors when it comes to their roads and streets because of the absence of municipal roads as a formally recognized category.

- **Water**: The water service delivery to the municipalities rests with the AUWSSC. However, AUWSSC is not established in all the municipalities. Thus, for example, the municipalities of Gardez, Asadabad, Khost, and Tirin Kot in Uruzgan Province and Bazarak are not provided services by AUWSSC. In its absence, these municipalities have stepped in and assumed the responsibility for supplying water to their residents. Ministry of Rural Rehabilitation and Development (MRRD), the counterpart of the AUWSSC in the districts, may be involved as well since there is no clear demarcation indicating where the water supply connection to the municipality ends and the connections to the districts begin in some areas.

- **Electricity**: Municipalities do not have formal responsibilities for the provision of electricity to their citizens, for the national mandated authority for electricity is the MEW. While the generation of electricity and its transmission remains with the MEW, the distribution at the local level has been handed over to *Breshna Mosesa*, a wholly government owned corporation. Thus, municipal electricity service delivery is carried out by *Breshna Mosesa*, but the coordination of the delivery is typically in the hands of local municipality. The major issue that confronts the service delivery is that only a minority of municipal dwellers receive power from the state, leaving the majority dependent upon private sources or no electricity at all. Yet, residents look to the municipalities for this important service.

There are other municipal functions called for under the *Law on Municipalities* and which do not involve ambiguities or difficulties in interpretation. An example is basic sanitation activities involving cleaning of street ditches within the municipality. This is also tied to road and street maintenance. Thus, in Bazarak Municipality, the ditch cleaning initiated with donor assistance in 2008 covers 4.1 square kilometers and includes approximately 1,000 shops, 600 houses, and 27,000 linear meters of ditches. In conjunction with the ongoing ditch cleaning, the municipality has sought donor assistance to study and design a municipal landfill, transfer stations, and recycling sites. This particular example shows how a municipality may expand the scope of its services beyond the conventionally structured narrow range.

Generally, the service delivery functions of municipalities have become more burdensome because of the regulatory environment of some recent laws as well as other responsibilities imposed by another set of laws. The imposition of additional responsibilities upon the municipalities does not taken into account the fact that they are mandated to function within

the bounds of financial self-sufficiency. Indeed, given the enormous constraints of revenue generation, the municipalities by and large find it very difficult to carry out even their core functions.

Beyond the financial constraints, the municipalities are faced with other issues generated by these additional responsibilities. In general, municipal staff need extensive assistance in capacity building, both in administrative and technical areas.

Coordinating/Facilitating Role

In this role, the Afghan municipalities essentially facilitate the service delivery by the provincial line departments that have service delivery functions within the respective municipalities This is true of their relationships to, for example, the MUDH and MEW with respect to the services of water and electricity. In addition to coordinating the service delivery of such entities, the municipalities are also responsible, where necessary, for the identification and transfer of land required for their operations (such as land for water treatment plants, pump stations, and electric sub-stations) at reasonable prices. Besides engaging directly with the MUDH and MEW in coordinating their respective services within municipal boundaries, the municipalities also associate themselves in the coordination of the operations of the provincial line departments increasingly undertaken by the governors. This intervention by the governors is an important development. Forums they chair bring together the provincial administration and the line departments, which together form the provincial government. The governors not only coordinate the work of the provincial administration with the central operations within their administrative units, but also promote coordination among the provincial line departments. The involvement of the mayors at these meetings is extremely valuable to improve coordination among provincial line departments.

Monitoring Role

To ensure public safety, the municipalities of Afghanistan are responsible for the enforcement of local engineering and safety standards on all residential, commercial, and government buildings. Thus, the tasks of inspection and monitoring of electrical systems of all city buildings are vested with the municipalities. If upon inspection, a building is found to be a public hazard, the municipality would require the owner to address and rectify the problem. If the owner is incapable or unwilling to do so, it is the municipality's duty to intervene and take action and recover from the owner any costs incurred.

The municipalities often take over the responsibilities that ordinarily belong to a provincial line department. Typically, such interventions are ad hoc in nature and mainly in the electricity and water sectors. Two examples from Tirin Kot and Khost municipalities relating to the provision of water illustrate this. In the absence of AUWSSC, the Tirin Kot provincial administration assigned the task of establishing a water department to its provincial municipality. Following the process laid out for staffing in *Tashkeel*, the Tirin Kot mayor sought and won approval to add the position of the director of water supply to his administration, and the department has been established and is functioning. This is an ad hoc measure, for when the AUWSSC establishes itself in the province, it would take over the assets, operations, and revenue from the water department and the post of director will be eliminated.

In Khost, the municipality had been delivering water to the Khost residents by water tankers, not an uncommon practice among the municipalities. However, upon the completion of a new water supply network in Khost by a donor, the municipality took over its operations, since the line department did not step in. In 2008, this supply system was rehabilitated and improved by another donor, and the mayor requested that the provincial administration ask the central authority to take over the rehabilitated scheme. The province approved the request, but the change has yet to take place.

These examples show the need for a clarity and responsibility in service delivery among municipal and central authorities. There is also a need for a regulation or procedure for the recovery of costs associated with such initiatives undertaken by municipalities.

In the case of Tirin Kot and Khost, no capital investment funds were involved; their costs are limited to the payment of salaries to the new hires (a semi-skilled plumber/ mechanic in Tirin Kot and a director in Khost) and these costs would be eliminated once the AUWSSC stepped in and took over the operations. There is an expectation on the part of these mayors as well as others that any capital costs incurred in assuming the responsibility of water delivery would be met by donors. This expectation may not necessarily be realized.

On the other hand, the AUWSSC is willing to allow municipalities that have undertaken the service delivery of water in its absence to collect and retain the fees charged for water. However, the municipalities can do so only with the formal approval of MoF and IDLG. The municipalities of Tirin Kot and Khost have received the approval, and they retain the fees collected from the supply of water. Such fees are added to their respective general revenues and pay for the new hires.

Initiatives of Mayors

In carrying out their functional responsibilities, a few Afghan mayors have responded to community initiatives or taken the initiative themselves to go beyond the standard municipal operations and fulfill particular needs of specific population segments they serve. The prime example of such an initiative is the women's market that was opened in Charikar Municipality located in Parwan Province April 2008. This was primarily a response to the difficulties women of Charikar had of shopping on their own to meet their personal as well as family needs. A joint effort of women citizens, the mayor, governor, Ministry of Women's Affairs (MoWA), and the Afghanistan Municipal Strengthening Program (AMSP), this market offers home goods as well as Afghan handicrafts to women shoppers. The market is open only to women, and it is entirely operated by women entrepreneurs and staffed by women as well.

4.0 Responsibilities Related to Master Plans

Apart from the functions enumerated at length in its Chapter 4, the *Law on Municipalities* of 2000 explicitly vested the municipalities with responsibilities relating to "urban master plans." The *Law on Municipalities* stipulates that the feasibility of a city center to implement an "urban master plan" should be one of the two criteria for the establishment of a municipality. The law also gave the ownership of the master plans to the municipalities, and instructed the Departments of Central Engineering and Urban Planning to consult and cooperate with the municipalities in the implementation of such plans (Article 5).

There is rethinking in the way the master planning approach was developed, since the targeted development of the municipal urban areas was not achieved. However, by setting the land set aside as public lands for development purposes, the municipalities created a key revenue source. However, the Transitional Islamic State of Afghanistan (TISoA) decreed in 2002 the prohibition of the sale or distribution of "public land, residential and commercial plots and high-rise building sites to the real or legal persons for construction or other purposes." This decree also specifically instructed that any government land disposed of contrary to the master plans should be reversed immediately by municipal action.

The question that may be asked in the light of recent developments in urban planning in Afghanistan is whether master plans, as originally conceived some decades ago, are any longer relevant to the municipalities.

On another front, provincial development plans (PDPs) are being prepared. These PDPs form a major sector strategy of ANDS, and they are the products of the Provincial Development Committees (PDCs) in association with the Ministry of Urban Development and Housing (MUDH) which has the responsibility for land and urban development. PDCs are made up of the heads of the provincial line departments, with the governor as the chairman,

and they are intended to coordinate and plan development for each of the provinces and are intended to be more participatory in their approach. Among the expected outcomes of the implementation of these plans are the strengthening of municipal capacity to manage urban development and deliver services, increased access to basic services for urban households, and improved urban environment with green areas and open spaces. Unlike the master plans, PDPs placed the municipalities within the framework of development of provinces.

5.0   Added Municipal Responsibilities under Recent Legislation

Essentially, there are two categories of recent Afghan legislation that have an impact on the responsibilities of the municipalities.

- The first category includes those laws that created regulatory authorities, which in turn have begun to exercise their authorities through administrative regulations. In general, such regulations deal with subjects of a technical nature. They are directly applicable to the municipalities as institutions of subnational governance.

- The second category comprises laws that indirectly impose burdens upon the municipalities on account of the subject matter they cover. In both cases, these laws call upon the municipalities to take on responsibilities that go beyond their traditional functions. Three such examples follow.

5.1   Environmental Law[6]

The National Environmental Protection Authority (NEPA), established under the *Environmental Law* of 2007 to implement its provisions, has recently begun to issue regulations under the authority vested in it. The regulatory environment it is beginning to create is, for understandable reasons, markedly of a technical nature, and thus, it exemplifies the first category of laws described previously.

The responsibilities of the municipalities under NEPA's 2007 Regulation on "Measures and Plans on Prevention of Air Pollution in the Main Cities of Afghanistan Based on the Environmental Law of 2007" are presented in Table 2.

The municipalities are now vested with the exclusive responsibility for the disposal of "garbage and solid waste" in the stipulated manner, promotion of recycling technology, and the adoption of measures to standardize the toilets built following traditional methods.

See Chapter 25 on Environmental Compliance for more details.

Table 2: Measures and Plans on Prevention of Air Pollution in the Main Cities of Afghanistan Based on the E*nvironmental Law* **of 1385/ 2007- Responsibilities of Municipalities** *(extract)*[7]

No.	MEASURES
9	Asphalt all dirt roads of the city and clean paved roads
10	Construct road-side springs for regular flow of water, and provide for their continued maintenance
12	Transport and landfill garbage and solid waste as appropriate away from the cities
13	Promote recycling technology
14	Adopt practical measures to standardize toilets constructed with traditional systems (secondary factors of pollution)
15	Remove obstacles from narrow streets
19	Prevent the construction of factories in the outskirts of the city

5.2   Procurement

In 2005, the IRoA issued, as part of its reform of the public fiscal management and consistent with the *Constitution*, a new *Procurement Law.* The procurement functions relating to "goods, works and services" of the municipalities of Afghanistan are now regulated by this law. It addresses procurement methods and processes in detail, and all procurement functions are required to be performed with the use of standardized forms. The Procurement Policy Unit

(PPU) of the MoF was vested with the authority of adopting measures for the implementation of the law (Article 106). The law clearly identifies two important areas to focus on, the environment and transparency of state actors, and addresses the steps that are to be followed respecting them. The MoF, through its PPU, monitors the implementation of the law (Article 93.1).

The municipalities, in common with other state entities, are required to adopt the following measures in the implementation of the *Procurement Law*:

- Establish a procurement entity or office (*shoba*)
- Establish a procurement committee
- Develop annual procurement plans.

With respect to the working of the law, no distinction is made as to size or the capacity of the administrative entity; they are all bound by its terms. At this point the *municipalities* with larger populations–Kandahar and Gardez, for example–have already established separate procurement offices and procurement committees. Others tend to adopt ad hoc measures or alternatively, hand over the procurement activities to the office of the governor. In all cases, the annual procurement plan that is developed forms one basis of the budget requests that municipalities annually submit to the MoF.

5.3   Audit

Pursuant to the *Public Finance and Expenditure Management Law* of 2005,[8] the IRoA established the Control and Audit Office (CAO) as the independent supreme audit institution of the public sector in Afghanistan. The *Law on Municipalities* of 2000 does not provide for the external auditing of the municipalities or require that they establish internal auditing mechanisms. Presumably, arrangements for the internal auditing apparatus were left to be determined by the individual municipalities. Now, by law the financial records of the municipalities are subject to the review of the CAO. The current law does not specifically call for internal auditing procedures to be adopted by governmental entities, though certain provisions may be interpreted to suggest that such action was deemed desirable. However, the subject of internal audits in governmental entities is currently being studied by the IRoA, and eventually, formal requirements may be forthcoming.

Establishing internal auditing mechanisms in each municipality will ensure compliance with the obligations that fall upon the municipalities as entities that collect and spend public funds as under the law and instructions of the MoF.

5.4   Fundamental Rights/Human Rights

In Afghanistan, fundamental rights and human rights are inextricably linked for the reason that what constitutes fundamental rights as enshrined in the *Constitution* are drawn primarily from the corpus of international human rights law.

The national state is obligated by the *Constitution* to honor and protect fundamental and human rights (Articles 5, 7). The national state inevitably faces pressure from within the country and outside it to act accordingly, but the subnational institutions of governance rarely face similar pressures to ensure that these rights are not violated by their policies and actions.

However, subnational institutions must defend these rights as they are constituent elements of the state.

Beyond the substantive rights, the *Constitution* establishes the right of citizens to access information from the government (see Box 2). This is a right that directly bears upon governance at all levels, and it is one that is deserving of state protection as much as other rights.

BOX 2: RIGHT OF ACCESS TO INFORMATION

…. The Citizens of Afghanistan shall have the right of access to information from the state departments in accordance with the provision of the law. This right shall have no limit except when harming rights of others as well as public security.

It follows from the preceding discussion that municipalities, like other subnational institutions of governance, are duty bound to both honor and protect the rights enshrined in the *Constitution*. The facilitation of this engagement is a crucial task of the Afghanistan Independent Human Rights Commission (AIHRC). In carrying out the core function of the promotion of human rights, AIHRC is committed to raising awareness of human rights not only among the Afghan population in general but also among officials. Thus, in 2007, AIHRH conducted training workshops for officials of several ministries at the center as well as officials of several provinces (Kabul, Ghazni, Kapisa, Logar, and Wardak). No such training has been offered to municipal officials as yet, but as the program is carried out, it is expected that they too, will be trained. On the other hand, there is the obligation on the part of the mayors to direct their attention to the protection of both fundamental and human rights in their respective work.

What did we learn about in this chapter?

- *Roles and functions that municipalities are supposed to undertake as per the existing legal framework in Afghanistan*

- *Roles and functions that municipalities adopt due to non-availability of any other authority to deliver basic services to its citizens*

- *Issues related to undertaking these roles and functions by municipalities*

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[2]Concomitant Resources: As used in the IDLG Recommendations, means resources that should be transferred from the center to the municipalities at the same time as the responsibility for delivery of services is handed over to them.
[3]Sources: The Asia Foundation
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[4]Source: The Asia Foundation, *Afghanistan in 2007: A Survey of the Afghan People*, Kabul, 2008, p. 39.
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[6]See also Chapter 25 on Environmental Compliance.
[7]Source: National Environmental Protection Authority, Islamic Republic of Afghanistan. This table excludes several columns of the original that provided additional information such as the responsible entities (in all cases the municipalities were not the only responsible entities), start/ end dates and monitoring entities (as a rule, NEPA).
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Chapter 3: Good Urban Governance

Summary: *The functioning of a city is complex. In a city, poor governance can hurt efforts to provide citizens with basic services and a good quality of life. This chapter discusses the principles of good urban governance. It looks at the opportunities for good urban governance to thrive in the new economic era with the assistance of modern technology. Today there are various modern applications and tools that can give municipalities information, making it easier to achieve integrated and sustainable development. This chapter explores the linkages of good urban governance with sustainable development.*

Objectives: *The objectives of this chapter are to integrate principles of good urban governance in local governments by:*

- *Learning about reforms that can help municipalities follow the principles of good urban governance*

- *Learning about tools for implementing good urban governance practices*

- *Exploring the influences of a sustainable development approach on urban governance*

- *Studying new urban governance concepts such as the new public management approach and the corporatization of urban management*

- *Recognizing the international commitment to good governance through the Millennium Development Goals.*

1.0 Introduction to Governance

Governance is a regularized way:

- To bring order

- To make decisions

- For stakeholders to work and interact together

- Of creating a structure or process to implement decisions

- To implement decisions.

Governance enables day-to-day functioning to conduct business and is applicable to any organization, from a family unit to a society. For example, the basic unit of society is a family. The head of the family brings order to the day-to-day functioning of a family. There is harmony in the house, and daily activities go smoothly. A wise family head keeps everyone attached in a way that enables all family members to perform their tasks to the best of their ability with mutual respect. The head of the family

- Consults with relevant members of the family depending on the issue at hand

- Sorts out any conflicts by bringing the members together and advising them based on the family rules

- Ensures that the family earnings are used properly based on present priorities and future needs

- Takes into account the rules of the society the family lives in.

This method of ensuring smooth functioning of the fundamental unit of society is governance of a family.

In the same way, the government of an urban area is like the head of a big family. The members of the family are citizens, businesses, service providers, academic institutions, religious and community organizations, and nongovernmental organizations. These members

are the "stakeholders" of an urban area. The government creates rules and methods to ensure that all these stakeholders can perform their functions smoothly. Urban governance is made up of the mechanisms, processes, and institutions through which citizens and groups express their interests, resolve their differences, and exercise their legal rights and obligations. In other words, ensuring the functioning of an urban area is a complex activity.

Not only the state, but also the private sector and civil society participate in the governance of a society. Just as each family member has a role in the family, each sector has a role in governing the society: the state creates a favorable political and legal environment; the private sector generates jobs and income, which creates growth, mobilizes the economy, and leads to development; civil society facilitates political and social interaction.

2.0 Principles of Good Urban Governance

The example of a family shows that the concept of "governance" is as old as human civilization. To be categorized as good or bad, governance needs to be analyzed. For example, a well-governed family has a just and wise head of the family, who serves as the leader. This leader encourages all the family members and ensures that everyone is taken care of. All the family members have confidence in their leader. There is transparency in the leader's dealings (i.e., all the working members know how their money is being spent or saved). The young, weak, or vulnerable members know they will be cared for. All family members know that they can reach out to the leader, who will make a decision in their best interest. There is harmony and mutual respect, and this family is an asset to society. These characteristics reflect good governance in the family.

In the same way, governance of an urban area can be analyzed based on certain characteristics. In an urban setup, good governance occurs when the society's norms and practices enable and encourage each stakeholder to take greater control over his/her own development. Good governance ensures that one stakeholder does not interfere with the accepted rights of others. Good governance promotes constructive interaction among political, social, and economic entities. It ensures that corruption is minimized, that the views of minorities are taken into account, and that the voices of the most vulnerable members of the society are heard in decision making. It is also responsive to the present and future needs of the society.

The above description of good urban governance is very general. To apply principles of good urban governance in all urban areas, it is necessary to identify universally accepted characteristics. The United Nations promotes the following standard characteristics for good urban governance:[1]

- Participatory
- Consensus oriented
- Accountable
- Transparent
- Responsive
- Equitable and inclusive
- Effective and efficient
- Follows the rule of law.

Achieving all the characteristics in totality is an ideal condition. Municipalities should try to achieve as many characteristics and to as great a degree as possible.

More details about the characteristics of good urban governance are provided below.

2.1   Participation

The freedom of every member of society to participate is essential to good governance. Further, the participation of stakeholders and members of the local community in general creates a sense of ownership in government projects and programs. It improves efficiency and increases monitoring by the involvement of stakeholders and community in general.

In a government setup, participation can be either direct or through legitimate intermediate institutions or representatives, which is called representative democracy.

The participation in representative democracy needs to be informed and organized to take the concerns of the vulnerable members of the society into consideration in decision making.

The Community Participation Law[2] in India demonstrates the implementation of participation. This law is aimed at strengthening municipal governments by:

- Institutionalizing citizen participation
- Introducing the concept of *Area Sabhas* (*Area Sabhas* are committees consisting of all registered voters of a polling place) in urban areas
- Involving citizens in municipal functions such as setting priorities, developing budgets, and exerting pressure for compliance with existing regulations.

The Community Participation Law will create another tier of decision making in the municipality that is below the ward level, called the *Area Sabha*. All the *Area Sabhas* in a ward will be linked to the ward-level committee through *Area Sabha* representatives, who will serve as community representatives. There will thus be a minimum of three tiers of decision making in a municipality; namely, the municipality, the ward committee, and the *Area Sabhas*.

2.2   Consensus

For decision making in local governance it is necessary to understand the different perspectives of stakeholders (service providers, government agencies, beneficiaries, nongovernment organizations, community based organizations, institutions, individuals) in an urban area project or program or any activity that affects the stakeholders and work out a decision that everyone finds acceptable. Good urban governance requires mediation of the different interests in society to reach a broad consensus on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can result only from an understanding of the historical, cultural, and social contexts of a given society or community, which is brought to the table by the various stakeholders.

2.3   Accountability

Accountability is an obligation or willingness to accept responsibility for one's actions. For example, the municipality has promised a citizen that it will repair a water leak within twenty-four hours, but the city's maintenance truck driver has left work with the truck for a personal reason. When the maintenance is still not done after twenty-four hours, the angry citizen will call the municipality's customer service number again and complain. To prevent such complaints, municipal managers have to make clear to employees what is the process flow of the task, how it affects the work of others, and who does each part of the task. The citizens, the manager, and the employees all need to know who is responsible for the work being done or not done. Accountability makes it easier for all municipal managers and employees to carry out their duties, identify the obstacles to completing them, reward the loyal employees, and penalize irresponsible ones. Accountability is a key requirement of good urban governance.

Not only governmental institutions but also the private sector and civil society organizations must be accountable to the citizens and to their institutional stakeholders. In general, an organization or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law.

2.4   Transparency

In a governance context, transparency refers to the conduct of public business such that it provides stakeholders with access to the decision-making process and the ability to effectively influence it. When the stakeholders know how a decision was made, they also come to know if it was made in a fair, honest manner. The decision-making process also reflects whether the concerns of everyone involved were addressed. Every person who will be affected by the decision has the right to provide his or her input to ensure that his/her perspective is taken into account before the decision is made.

When transparency is prevalent, it is impossible to have underhand dealings and corrupt practices. The public knows who has made a particular decision and on what basis, and they know how it affects them. Thus, transparency brings in accountability and integrity in the discharge of public functions by public officials. It also means that the municipality provides enough information in easily understandable forms to the public.

With the advantage of a compact geographical area, transparency has the potential to craft an inclusive city by fostering, building, and cementing close relationships among various civic actors in a city. As an example of implementing transparency, a mandatory reform under the Jawaharlal Nehru National Urban Renewal Mission (JNNURM) program in India requires that states enact a Public Disclosure Law. This law ensures preparation of a medium-term fiscal plan of municipalities and the release of quarterly performance information to all stakeholders.[3] As another example, the city of Bangalore in Karnataka, India, has been a pioneer in disclosure of municipal budgets and information of financial performance to citizens. In partnership with an independent nongovernmental organization, Public Record of Operations and Finance (PROOF), Bangalore has been engaging with citizens and other interest groups in an open discussion and debate on municipal finances for the last three years.[4]

2.5   Responsiveness

In a family, if a child has a high fever, a family member takes her to the doctor immediately. If the fuel for the stove is running out, a family member agrees to get more within a day. If a child needs new clothes, the head of the family promises to buy a new outfit for Eid-ul-Fitr celebration. The fact that each need receives a response, as well as the speed and manner of fulfilling the need, is referred to as responsiveness. Now, if relatives are visiting and the tiles in the house look old, the head of the family may deny a request to replace the old tiles with new ones, on the basis of attending to priorities. But by listening to the request and politely explaining the reasons for denying it, the head of the family is still being responsive.

There are three keys to responsiveness:

- The leader responds to each issue raised in a logical and well-mannered way, and fulfills needs within a reasonable timeframe.
- The leader informs the persons involved of the timeframe in which their requirement will be taken care of and who will take care of it.
- The persons needing a service have confidence that promises will be kept; otherwise, next time they will not trust the person making the promise.

Similarly, good urban governance requires that municipal institutions must be responsive. The keys to responsiveness apply to institutions as business procedures. For example, if a municipality receives a complaint about a leaking water pipe, the municipality promises to send the maintenance squad within twenty-four hours. If a citizen comes in with a request for

a building permit, an employee of the municipal building department takes his request immediately and tells him that the building department will issue the permit within thirty days. If a neighborhood demands a park, the municipality may inform the neighborhood residents that the budget cannot accommodate the park this year, but will forward the request to set aside funds for it next year.

An example of implementing responsiveness is the Citizen's Charters initiative that took hold in India starting in 1997. A Citizen's Charter is a document that represents an understanding between ordinary citizens and public service providers. The main objective of publishing the Citizen's Charter of an organization is to improve the quality of public services. The Citizen's Charter lets people know the mission of the concerned ministry, department, or organization; how one can get in touch with its officials; what to expect in the way of services; and how to seek a remedy if something goes wrong. The Citizen's Charter does not by itself create new legal rights, but it helps in enforcing existing rights and in improving the responsiveness of municipal agencies. Citizen's Charters drafted by municipal agencies include the following components:

- Vision and mission statements
- Details of business transacted by the organization
- Details on the organization's clients
- Details of services provided to each client group
- Details of mechanisms for resolving grievances and how to access them
- Client expectations.[5]

2.6 Equity and Inclusiveness

A society's well-being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires that all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being.

For example, the role of women in decision making is one of the most important questions for consideration in the movement for their empowerment. The 73rd and 74th Amendments (1993) to the Indian Constitution demonstrate the decentralization of governance to ensure greater participation by citizens. These amendments have also served as a major breakthrough toward ensuring women's access to and increased participation in political power structures. The amendments reserve one-third of the seats at the local government level in rural areas (*Panchayati Raj* Institutions) and urban areas (municipalities) to be held by women. Also, one-third of the chairpersons (mayors) of these local bodies must be women. This amendment provides the structural framework for women's inclusion in political decision making. Currently, there are about one million elected women representatives in *panchayats* (village councils) and municipalities in India.

This inclusion aims to ensure involvement of society in general, creating representation from all sections of the population in the decision making process. This representation leads to equity in governance and equal access to service provision and development.

2.7 Effectiveness and Efficiency

Municipalities have limited resources. Good urban governance requires that municipalities make the best use of resources at their disposal to produce results that meet the needs of citizens. For example, building a road that crosses difficult terrain may require lots of resources, but will only connect 2 percent of the population. In such a case, it may be more worthwhile to use the resources to build roads that connect to say 58 percent of the population in the other part of the urban area. On the other hand, if the 2 percent of the population is a market that supports trade and commerce and provides important services or connection with the rest of the region, it is an effective use of resources to build that road

even at a high cost. Effectiveness takes into account the usefulness of the end result or outcome.

Efficiency refers to producing the maximum output of services or products with the lowest possible input of resources. The concept of efficiency in the context of good urban governance also covers the sustainable use of natural resources and the protection of the environment. For example, if making a water fountain in a city center requires a huge amount of fresh water where fresh water is scarce, the fountain is an inefficient use of a valuable resource. On the contrary, if the fountain is designed to use recycled water, it becomes efficient, as it is using resources carefully.

2.8   Rule of Law

A family has its own set of rules, and the head of the family must treat all the members fairly according to those rules. A wise family leader knows that taking the side of a favorite member who has made a mistake will be bad for the member and also the entire family in the long term.

In the same way, a legal framework that is fair and is enforced impartially across the society is very important for good urban governance. Good urban governance requires full protection of human rights, particularly those of minorities. Unbiased enforcement of law requires an independent system of courts and an unbiased and incorruptible police force. The members of a society cannot be safe if the police are corrupt or the courts take the side of influential people.

3.0   Urban Governance Reforms

Traditional governments worldwide took the role of providing services themselves, a role that was derived from the way empires are run. People could not relate to this organization. Soon, handling so many responsibilities became cumbersome. It was evident that the traditional form of government did not fully support democracy. Moreover, the government was not delivering the required services. The conventional approach to governance limited business opportunities to a small segment of the population. At this initial stage, some reforms were introduced bring in new views and give business opportunities to a wider segment of the population. Examples of such reforms are decentralization and procurement reforms.

3.1   Decentralization

A family head who has a large, growing family but holds on to all the decision-making powers may lose effectiveness and efficiency and might have difficulty being responsive due to the difficulty of managing the needs of all family members. In such a case, the family head might give the authority for some decisions to other trustworthy family members, while advising the new decision makers on critical matters that need attention. This in essence is decentralization. Decentralization means the transfer of certain powers and responsibilities from a single authority to others with the intent of providing better governance.

In the urban context, decentralization means the establishment of a local representative government that has administrative and financial powers to deliver services to its citizens. Decentralization promotes democracy by placing decision making close to those who will be affected by the decisions. This closeness allows direct, wide, continuous, and more meaningful participation by citizens in the development process of their local area.

For example, in India there are three clear tiers of decentralization:

- The first comprises the functional and financial decentralization that should flow from the central government to the cities.

- The second is decentralization from the city government to the city's wards.

- Inclusiveness demands a third level of decentralization that embraces community groups and civil society stakeholders, including women and marginalized people to share in decision making and implementation.

An example of decentralization is the 73rd and 74th amendment act of the Indian Constitution (1993). This act provided powers and functions to local self-governments--i.e., the *panchayats* (village councils) and municipal bodies.

3.2 Procurement Process

In general, the procurement process adopted by a government reflects the commitment to transparency and accountability and is a step toward implementing good governance. A transparent, accountable procurement process checks corruption and provides business opportunities fairly to all.

The Afghan Procurement Law (enacted in 2002) has established such a process. The Procurement Law regulates the affairs related to procurement of goods and services, and coordination of both domestic and foreign sources of supply by various government and private agencies. It provides clear guidelines and standard procedures that establish a fair, open, transparent, and competitive procurement system. (See Chapter 22 for more discussion of procurement in Afghan municipalities.)

4.0 Technology and Good Urban Governance

Previously, most communication from government to citizens involved newspaper announcements or notices. These notices would be tacked onto a notice board, and passersby would see them, or interested persons would come in search of the notices and read them. The government departments interacted through letters and files. For example, sending a public notice to someone would take a minimum of two to three days because the notice had to be typed, approved, printed, and then sent by mail. Similarly, data were collected manually and recorded in books, which was a very tedious, error-prone task. Raw data are of no use; data give information only when they are analyzed. In those days, by the time data were analyzed, the underlying situation would have changed, making the whole task useless and wasting resources.

With the development of the Internet and electronic tools, communication has become faster. More people can be reached in less time than before with advances in technology. Seeing the benefits in the private sector, governments have started using technology for different tasks. Municipalities are putting up websites and are using the Internet to communicate with the public and other organizations. Any notice now can be typed, approved, and displayed on the Internet. People can see the notice instantly from their homes or anywhere there is an Internet connection.

Similarly, the use of computers and other electronic devices has made data collection very fast. With faster availability of data, experts can focus on analysis, transforming the data into useful information that can guide management decisions.

Governance tools that use computer technology are discussed in further detail below, showing how they work and how their use can help in the day-to-day functioning of a government body.

4.1 E-Government

E-government is the short name for electronic government, also known as e-gov, digital government, online government, or transformational government. It refers to the use of information and communications technology to promote more efficient and cost-effective government, facilitate more convenient government services, allow greater public access to information, and make government more accountable to citizens. The purpose of developing e-government strategies is to enhance efficiency and effectiveness and also to strengthen

relationships with citizens. E-government enables comfortable, transparent, and low-cost interaction between government and citizens, between government and business enterprises, and among governments.

The primary types of e-government are:

- Government-to-Citizen or Government-to-Consumer (G2C)

- Government-to-Business (G2B)

- Government-to-Government (G2G)

- Government-to-Employees (G2E).

For each type of e-government, four kinds of activities take place:

- Publication of information on the Internet (e.g., regulatory services, general holidays, public hearing schedules, issue briefs, notifications).

- Two-way communications between the agency and a citizen, a business, or another government agency. In this type of activity, users can engage in dialogue with agencies and post problems, comments, or requests to the agency.

- Transactions (e.g., submission of tax returns, applications for services and grants).

- Governance (e.g., online polling, voting, and campaigning).

> **Ahmedabad Municipal Corporation's E-Government Project**
>
> Ahmedabad Municipal Corporation has established six city civic centers located in five zones of Ahmedabad city and also created forty-three ward civic offices. These civic centers and civic offices are joined via intranet and Internet connectivity to facilitate better performance of the delivery of municipal services such as birth and death registration, building plans, primary health and education, city cleanliness, water supply, sewage, roads, street lights, and parks through e-government to the 3,600,000 citizens of the city. The city has worked to make remote access to city transactions and services available twenty-four hours a day so that a citizen need not come to the municipal office to pay any fees or taxes that he can pay on the Internet. All this information is available on AMC's website, www.egovamc.com.

Non-Internet Technologies Used in E-Government

While e-government is often thought of as "online government" or "Internet-based government," government agencies can use many non-Internet electronic technologies. These technologies include telephone, facsimile, personal digital assistant (PDA), short messaging service (SMS text messaging), multimedia messaging service (MMS), wireless networks and services, Bluetooth, closed circuit television (CCTV), Global Positioning System (GPS) tracking systems, radio frequency identification (referred to as RFID tag), biometric identification, road traffic management and regulatory enforcement, identity cards, smart cards and other near-field communication applications (short-range, high-frequency wireless), polling station technology (where offline e-voting is being considered), television- and radio-based delivery of government services, e-mail, online community facilities, newsgroups and electronic mailing lists, online chat, and instant messaging technologies.

Benefits of E-Government

E-government is convenient and cost-effective. E-government helps simplify processes and makes government information easily accessible to public sector agencies and citizens. The benefits of e-government include efficiency, improved services, better accessibility of public services, and more transparency and accountability (see Case Study 1 in Annex C), as well as the following:

- **Democratization:** E-government can support greater citizen participation. Through the Internet, people from all over the country can interact with politicians and make their voices heard. Blogs (online journals that are updated frequently) and online surveys allow politicians to see the views of the people they represent on any given issue. Chat rooms

(online conferencing) can place citizens in real-time contact with elected officials and their offices, allowing voters to directly influence their government.

- **Environmental Benefits:** Proponents of e-government argue that online government services will lessen the need for hard-copy forms. Due to recent pressures from environmentalist groups, the media, and the public, some governments and organizations have turned to the Internet to reduce paper use.

- **Speed, Efficiency, and Convenience:** E-government allows citizens to interact with computers to achieve objectives at any time and any location, and eliminates the necessity for physical travel to interact with government officials sitting behind desks and windows. Improved accounting and recordkeeping can be achieved through computerization, and information and forms can be easily accessed, so that processing time is less. On the administrative side, linked information can now be stored in databases versus hard copies stored in various locations, making it easier to find and retrieve files. Individuals with disabilities no longer have to be mobile to be active in government and can stay in the comfort of their own homes.

- **Public Approval:** Citizens enjoy participating in online discussions of political issues with public officials; and young people, who traditionally display minimal interest in government affairs, are drawn to e-voting procedures.

- **Decision Making:** Effective e-government enables better decision making as well as follow-through across three primary components:

  ◦ **Leadership:** The roles and responsibilities of the organization's appointed officials and senior executive management that shape the organization's strategic vision, culture, decision-making processes, and plan for action

  ◦ **Organizational Structure:** The structure and form of organizational relationships that support decision making, foster appropriate culture, and build essential skills for applying resources to make things happen

  ◦ **Process Management:** The management of ways that organizations serve their customers and measure success or failure, including leadership and decision-making processes, as well as changes to operational processes required to support new e-government capabilities.

4.2   Management Information Systems

Information is a fundamental resource that needs to be collected and stored properly. As it is always changing, it needs to be updated continuously. To make the best use of available information, the processing of information is essential. Correct information processing will lead to good and efficient communication. The formal systems that perform all these tasks and manage information are called management information systems (MIS). Information management is needed in municipalities to understand the trends in urbanization, including growth and expansion of urban centers to provide for adequate municipal infrastructure and services (see Case Study 2 in Annex C).

Some of the important functions that MIS can support are:

- **Managerial Functions:** All possible kinds of information that support managers in making decisions regarding planning and control are an essential component of MIS; examples are historical and current status data coming from a paper or electronic database, manual data collecting procedures, hardware, and computerized information processing programs, etc.

- **Information Collection:** Organizations use MIS to collect information systematically and on a regular basis in accordance with well-defined rules.

- **Planning and Control of Operations:** The information provided by MIS helps managers make decisions regarding the planning and control of operations. Every organization

needs to make a plan to perform certain operations and function properly. A car manufacturer, for instance, has to perform manufacturing activities; a wholesaler has to receive and dispatch goods; and a municipality has to provide water to its residents. To provide water, a municipality must decide how many and what types of pumping stations it needs to install in the next five years. Further, every organization has to measure whether its operations are taking place according to the plans and targets developed in the planning process. For example, a municipality needs to check the availability of financial means to execute the bidding process for installation of pumping stations and hire contractors who will install them.

Not all information systems are MIS:

- To assist operations, there are elaborate information systems. For example, a car manufacturer uses a system that provides information to the workers on what to do with a particular batch of material. Route sheets can register the materials and components used in various machines. This system provides supporting information on the operations, but does not involve any managerial decisions and therefore is not an MIS. If the system provided information on productivity or rejection rates, it would be an MIS.

- A municipality may have a computer system that sends out property tax bills to the citizens. This operation is merely supporting. If the system used its data to produce information about the economic profile of taxpayers and revenue, it would be an MIS.

5.0 Sustainable Development Approach to Urban Governance

The concept of sustainable development is derived from the need to ensure a good quality of life in the present and for future generations. Sustainable development promotes careful use of resources. For example, in an area that has a mineral mine, the owner may want to exploit the mine as quickly as possible. In his greed he may order the mine workers to dig out all the ore in one year, without keeping in mind that the capacity to extract the mineral from the ore may be slow or inefficient. Because of this greed and mismanagement, the ore that was dug out may be washed away and wasted. If this happens, the local people whose livelihood depends on this natural resource will lose their opportunity to earn a living from the mine. The area will also become heavily polluted. The wind will carry away the dust from the stacked ore, and the nearby river will become polluted with the ore being washed away by rain. Also, the area will become vulnerable to landslides, and such disasters will put local residents and workers in danger. So, in one year, along with their earning opportunity, the local people will have lost the river and the fresh air. They will have to move to a new area in search of income, food, safety, air, and water.

The situation might have been different if there had been strict rules in place, and the municipality had taken care to enforce the rules and law to protect the area from the greed of the mine owner. If the situation had been different, the local people would have been aware of the consequences of over-extraction; they would have protected their land and resources. The local population would have planned and made decisions along with the local government and the mine owner about the amount of ore to dig out and ways to protect their environment. The local population would have supported the municipality in ensuring that the mine owner followed the rules. The rules would have specified that the mine workers could dig out only as much ore as could be transported to an extraction facility, and the mining company would have had to ensure that the ore did not wash into the river or blow away, causing air pollution. The municipality would have ensured strict enforcement of the law and compliance with the regulations. Then the area could have provided the local people with a livelihood and a clean place to live for a longer time.

This example shows that the principles of good governance support the implementation of sustainable development. Good governance promotes accountability, transparency, efficiency, and rule of law in public institutions at all levels. In addition, good governance allows for sound and efficient management of human, natural, economic, and financial

resources for equitable and sustainable development. Armed with good governance, clear decision-making procedures of public authorities, civil society participation in decision-making processes, and the ability to enforce rights and obligations through legal mechanisms, municipalities can achieve sustainable development. The absence of the aspects of good governance severely limits implementation of good governance and sustainable development. Properly functioning institutions of governance promote social stability and legal certainty. This supports private sector investment and low economic risk, which form the basis of a market economy and support sustainable economic development as well.

Good governance provides mechanisms for effective enforcement and compliance, which in turn promote sustainable development. Sustainable development can only be achieved through a strengthening of democratic governance institutions and processes that provide the necessary framework for social and economic progress.

With rapid growth in urban areas, natural resources are becoming scarce. With good governance mechanisms in place it becomes easier to protect resources for the present and future. With appropriate laws in place and the intent to develop sustainably, urban areas can promote projects such as rainwater harvesting, water conservation, disaster management (see Chapter 26), and disaster prevention in the best interest of the present and future generations. The impact of good urban governance on economic, social, political, and environmental sectors is presented in Annex B.

6.0 Urban Governance Concepts in the New Economic Era

Traditionally, urban governance bodies were driven in principle by the ideal of providing public good at any cost. The success of initial reforms encouraged governments to seek concepts that would bring additional positive change. The private sector was flourishing, whereas government bodies were struggling with finances and limited resources. This prompted governments to look for approaches that they could adopt while keeping government functions intact.

The new economic era reflects this consciousness around finance and economy, in government bodies' focus on concepts of revenue, cost of service, cost effectiveness, cost of quality, value for money, and return on investment.

New public management (NPM) and corporatization of urban management in essence are concepts imported into governance in recent times with the aim of achieving good governance by adopting successful principles and mechanisms from the private sector. These concepts are briefly discussed below.

6.1 New Public Management

New public management (NPM) is a management philosophy that evolved in the 1980s. Its techniques and practices are drawn mainly from the private sector. NPM was initially used to modernize and reform the public sector.

Examples of tools adopted to implement an NPM approach are downsizing and levy of user fees, formation of autonomous agencies within the public sector, devolution of budgets and financial control, transforming the customs and income tax departments into executive agencies, performance-based contracting and contracting out, and granting managers of municipal agencies more operational freedom while holding them accountable for the performance of the agency.

The main components of NPM are as follows:

- **Disaggregation** is the reorganization of public organizations into smaller entities; for example, the division of an organization into individual units based on functions such as strategic planning, building inspection, and service delivery. This helps municipalities contract out services to private agencies to bring in the advantages of the private sector.

For example, in the solid waste management function, the entire task of solid waste collection can be contracted out. This will enable the service to be provided to the citizens while reducing the human resource requirement and avoiding the purchase and maintenance of equipment by the municipality.

- **Competition in Service Delivery** refers to the widespread substitution of contracts or contract-like relationships (such as service-level agreements or contracts with third parties) for in-house service delivery. The idea is that competition (i.e. having an alternative provider) promotes improved quality of service via innovation, greater efficiency, and enhanced responsiveness to the service user.

- **Incentivization** refers to the movement away from uniform, nationally determined pay and conditions of service, toward an element of local pay determination. In the Afghan context, it could mean a higher pay scale to promote employment with municipalities in certain provinces, or to offset the response to seasonality by promoting employment in the harsh winter months. Another approach is to empower local managers to award performance-based pay enhancements. Incentivization also refers to the process by which entire organizations are encouraged to generate additional income; for example, renting out a municipal property for a conference or as a work staging area on days or hours when the property is not generally used.

It is also important to understand that NPM implies a tradeoff between giving local managers more freedom to manage their own organizations and holding both them and their professional staff accountable for meeting performance targets.[6]

6.2 Corporatization of Urban Management

Corporatization is not to be confused with privatization. The guiding principle of corporatization is the intent to capture the advantages of a privately run company, including efficiency, productivity, and financial sustainability, while retaining government accountability.

A successfully corporatized municipality will be able to demonstrate positive or improved performance results in terms of enhanced efficiency and better governance. In order to capture the advantages of a private company, a corporatized municipality has to imitate the behavior of a private company. It does this by adopting key corporate characteristics:

- **Sound Corporate Governance:** Corporate governance is the core of corporatization. A fundamental goal of corporate governance is to protect and enhance the long-term value of the company for the shareholders. This means increasing sales, controlling costs, and increasing revenues.

- **Separate Legal Entity:** A corporatized public utility must be a separate legal entity or company at least partially owned by government (often local government). The legal transformation to a corporate entity changes the relationship of the government to the utility, giving government a clear role as owner. Under a corporatized legal structure, the corporate board has defined priorities in relation to the company. Typically, there is a greater degree of organizational autonomy.

- **Modern Financial Management and Accounting Practices:** A corporate entity has a documented and demonstrated commitment to achieving long-term financial sustainability. A corporate entity's planning process builds in projections of financial viability. It has defined goals to recover costs arising from operations and maintenance, investment costs, depreciation, and debt service. A corporatized utility establishes service goals with consideration of the financial resources available (e.g., customer revenue, loans, and government subsidies). For more about financial management and accounting practices, see chapters 13 and 14.

- **Financial Information:** Financial information is proactively collected, analyzed, and used through financial accounting systems (see box). There is no financing gap. Generally, corporate law prevailing in the country specifies the financial and accounting practices to be implemented and is regulated through auditing systems like internal financial controls through the board of directors and external, independent audit. Accurate management requires an adequate financial reporting system and trained staff. The financial information is publicly available and complies with international standards. This entails a willingness to evaluate financial results of the corporatized company in the same way a private company would be evaluated.

> **Gujarat Municipal Accounting Reform Project**
>
> An example of corporatization in a government body is the Gujarat Municipal Accounting Reform Project, which was introduced for implementing a computerized, accrual-based, double-entry accounting system in all 159 municipalities of Gujarat, India. The project was launched in November 2005 by the Gujarat state government. The objectives were to:
>
> - Implement the guidelines of the National Accounting Manual published by the Comptroller and Auditor General of India
> - Introduce elements of efficiency and accountability in municipal accounting
> - Make municipal accounting and budgeting as transparent as possible for citizens to ultimately participate in urban governance
> - Make municipalities globally competitive and assist them in future market borrowings for infrastructure upgrading.

- **Customer Orientation:** With corporatization, the core services provided to customers generate revenue and are a key source of financing. Hence, corporatized utilities are motivated to give greater attention to demands and needs of the consumers and customer accounts. A corporatized utility makes a commitment to customers through a statement of its service obligations with a contract document or charter. The utility develops mechanisms to encourage and facilitate bill payment and customer outreach, and to measure and evaluate customer satisfaction. Satisfaction is seen as important to maintaining a positive revenue stream even when there is limited competition. The basis for customer satisfaction rests on the recognition of the customer as a source of revenue.

- **Transparent Framework:** A transparent framework for setting and measuring achievement against government objectives establishes public credibility, confidence, and accountability. The information provided to oversight bodies allows for the board of directors and management to be held accountable for results. Information flows within a company allow better management and targeted activity.

- **Use of Data to Assess, Monitor, and Report Performance:** Data can be used effectively to create a system of incentives linking personal goals (salaries) and corporate performance. The reporting mechanism is typically in an understandable form that allows for sector comparisons, comparison with other companies, comparison with previous time periods, and external confirmation of results. Reporting includes financial and nonfinancial results. There is a linkage between internal incentives with publicly reported results. The performance monitoring processes integrate the collection and use of data into management processes.

7.0 Overview of Afghanistan's Millennium Development Goals

The Millennium Development Goals (MDGs) are eight international development goals that all 192 United Nations member states and at least twenty-three international organizations have agreed to achieve by the year 2015. The MDGs were developed out of the eight chapters of the United Nations Millennium Declaration, signed in September 2000. There are twenty-one targets for the eight goals, and a series of measurable indicators for each target. In September 2000, when the Millennium Summit was held at the United Nations General

Assembly in New York, Afghanistan was still suffering from war and hence could not participate in the formulation of the MDGs. The detailed MDGs are provided in Annex A.

The government of Afghanistan endorsed the Millennium Declaration as well as the MDGs in March 2004. However, having lost more than two decades to war, Afghanistan has had to modify the global timetable and benchmarks to fit local realities. The rest of the international community defined the MDGs, to be attained by 2015, against a baseline of 1990. Because of its lost decades and the lack of available information, Afghanistan has defined its MDG contribution as targets for 2020 from baselines of 2002 to 2005.

What did we learn about in this chapter?

- *The concept of and need for good urban governance*

- *The principles of good urban governance*

- *The approaches, mechanisms, and tools that promote implementation of the principles of good urban governance*

- *The influence of good urban governance on supporting sustainable development and its impact on other sectors.*

- *The efforts of Afghanistan to achieve the Millennium Development Goals.*

8.0 Annex A: Millennium Development Goals

Serial No.	Goal	Global Target	Afghan Target
Goal 1	Eradicate extreme poverty and hunger	**Target 1A:** Halve the proportion of people living on less than one U.S. dollar ($1) a day **Target 1B:** Achieve Employment for Women, Men, and Young People **Target 1C:** Halve the proportion of people who suffer from hunger	**Target 1**: The proportion of people whose income is less than US $1 a day decreases by 3% per annum until the year 2020 **Target 2:** The proportion of people who suffer from hunger decreases by 5% per annum until the year 2020
Goal 2	Achieve universal primary education	**Target 2A:** By 2015, all children can complete a full course of primary schooling, girls and boys	**Target 3:** Ensure that, by 2020, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling
Goal 3	Promote gender equality and empower women	**Target 3A:** Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015	**Target 4:** Eliminate gender disparity in all levels of education no later than 2020 **Target 5:** Reduce gender disparity in economic areas by 2020 **Target 6**: Increase female participation in elected and appointed bodies at all levels of governance to 30% by 2020 **Target 7:** Reduce gender disparity in access to justice by 50% by 2015 and completely (100%) by 2020
Goal 4	Reduce child mortality	**Target 4A:** Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	**Target 8:** Reduce by 50%, between 2003 and 2015, the under-5 mortality rate, and further reduce it to 1/3 of the 2003 level by 2020.
Goal 5	Improve maternal health	**Target 5A:** Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio **Target 5B:** Achieve, by 2015, universal access to reproductive health	**Target 9:** Reduce by 50% between 2002 and 2015 the maternal mortality ratio, and further reduce the maternal mortality ratio to 25% of the 2002 level by 2020
Goal 6	Combat HIV/AIDS, malaria, and other diseases	**Target 6A:** Have halted by 2015 and begun to reverse the spread of HIV/AIDS **Target 6B:** Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it **Target 6C:** Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	**Target 10:** Have halted by 2020 and begun to reverse the spread of HIV/AIDS **Target 11:** Have halted by 2020 and begun to reverse the incidence of malaria and other major diseases

Serial No.	Goal	Global Target	Afghan Target
Goal 7	Ensure environmental sustainability	**Target 7A:** Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources **Target 7B:** Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss **Target 7C:** Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation (for more information see the entry on water supply) **Target 7D:** By 2020, to have achieved a significant improvement in the lives of at least 100 million slum-dwellers	**Target 12:** Integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental resources **Target 13:** Halve, by 2020, the proportion of people without sustainable access to safe drinking water and sanitation **Target 14:** By 2020 to have achieved a significant improvement in the lives of all slum dwellers.
Goal 8	Develop a global partnership for development	**Target 8A:** Develop further an open, rule-based, predictable, non-discriminatory trading and financial system Includes a commitment to good governance, development, and poverty reduction – both nationally and internationally **Target 8B:** Address the Special Needs of the Least Developed Countries (LDC) Includes: tariff and quota free access for LDC exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA (Overseas Development Assistance) for countries committed to poverty reduction **Target 8C:** Address the special needs of landlocked developing countries and small island developing States Through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly **Target 8D:** Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term Indicators **Target 8E:** In co-operation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries **Target 8F:** In co-operation with	**Target 15:** Deal comprehensively and influence the provision of foreign aid through appropriate measures to enable Afghanistan develop sustainably in the long term **Target 16:** Develop an open, rule-based, predictable, non-discriminatory trading and financial system includes a commitment to good governance, development and poverty reduction **Target 17:** Develop and implement strategies for decent and productive work for Youth **Target 18:** In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries **Target 19:** In cooperation with the private sector, make available the benefits of new technologies, especially information and communication

Serial No.	Goal	Global Target	Afghan Target
		the private sector, make available the benefits of new technologies, especially information and communications	
Goal 9	Enhance Security		**Target 20:** Reform and professionalize the Afghan National Army by 2010 **Target 21:** Reduce the misuse of weapons, and reduce the proportion of illegally held weapons by 2010 **Target 22:** Reform, restructure and professionalize the Afghan National Police by 2010 **Target 23:** All emplaced antipersonnel mines destroyed by 2013. All other explosive contaminants destroyed by 2015 **Target 24:** All stockpiled antipersonnel mines destroyed by 2007. All other abandoned or unwanted explosive stocks destroyed by 2020 **Target 25:** To reduce the contribution of opium to the total (licit and illicit) GDP to less than 5% by 2015, and to less than 1% by 2020
		Source of Global Targets: http://www.undp.org/mdg/basics.shtml	**Source of Afghan targets:** http://www.undp.org.af/MDGs/index.htm

9.0 Annex B: Impact of Good Governance on Other Sectors

Sector	Type of Impact			
	Economic	**Political**	**Social**	**Environmental**
Delivering Urban Services	Reduces costs of corruption.	Increases public support for difficult choices.	Increases sense of fairness in distribution of benefits.	Reduces negative impacts through waste and misuse of resources.
Attracting Investment, Visitors	Generates more lasting employment.	Increases investor and visitor confidence.	Increases local benefits of investment and tourism.	Ensures compliance with environmental laws and regulations.
Managing Risks, Ensuring Safety	Reduces costs of lost production when disasters occur; reduces costs of crime.	Increases public engagement in managing risks and promoting neighborhood security.	Increases likelihood of all income groups surviving disasters; reduces crime rates.	Reduces environmental impacts of disasters caused by human actions; increases environmental security.
Budgeting, Financing	Increases effective collection of revenues; increases capacity to borrow at lower rates.	Increases public support for allocating resources to priorities.	Reduces efforts to evade taxes and fees.	Increases support for expenditure on environmental protection.

10.0 Annex C: Case Studies

10.1 Case Study 1: Jan Suvidha Kendra, Petlad Nagarpalika, Gujarat

Jan Suvidha Kendra or the Citizen Service Center represents the implementation of government-to-citizen service delivery driven by information and communications technology. The objective of the center is to bring all government services under one roof and provide a simple, hassle-free system to the public while managing with limited staff. A staff member enters each case after the citizen needing service fills out a simple bar-coded form. There is no need to log the name of the citizen when issuing the form or the bar code. This helps minimize time spent waiting in line and makes the process convenient to the applicants.

When the bar-coded application form is scanned, the system shows the relevant department. The system sorts out the forms received and generates a list for acknowledgement by the department concerned.

Every department can access the information on pending cases online, through SMS query or by requesting printouts. The system sends reminders and alerts to the municipal officials to ensure timely completion of the cases. The Chief Officer also monitors the pending cases using her own computer.

The establishment of a Citizen Service Center has achieved the following results:

- Significant time savings for the public in using services offered by the different departments involved. For example, the processing time for several issues has been reduced from several days to less than a few hours.

- A notable change in the attitude of government employees due to transparent systems, including systems to track the work in process.

- Transparency has helped increase the confidence of citizens in the administration. SMS helps citizens know the status of their paperwork at any time from any place.

- Complete accountability is maintained as papers are delivered to citizens within the promised time printed on the acknowledgement slips. Daily summary messages as well as anytime availability of pending cases to higher-level municipal officials has boosted the performance of the administrative staff.

- The efficiency of the administration has increased due to significant savings of the municipal officials' time, as they do not have to meet with people directly and as they receive applications already complete. In addition, citizens no longer have to go through the hassle of personally contacting relevant officials.

- Information and communications technology is applied and has gained widespread acceptance: bar codes for traceability; SMS text messages for alerts; and MIS software for continuous monitoring, tracking, and issue resolution.

- Minimization of corruption, through use of a single, systems-driven, computer-based front-end interface for the citizens. Incomplete applications cannot be accepted, processing is always in the order of receipt, applicant-to-official interface is significantly reduced, and time limits are observed in a highly transparent manner.

10.2 Case Study 2: Information Management in Navi Mumbai

Navi Mumbai is a planned city designed to attract residents away from overcrowded, neighboring Mumbai. In the municipal government of Navi Mumbai, every Monday the municipal commissioner and all department heads gather for a meeting. Each department provides one or more weekly reports in a prescribed format. These reports vary by department in terms of both number and the type of information provided. For example, the Medical Health Department generates around nineteen reports, which provide information ranging from the income and expenditure of hospitals and dispensaries, and the stock of

equipment, to the details of the causes of diseases or epidemics. The Department of Town Planning, the Property Tax Department, and the Department of Encroachment only generate one MIS report each. While the first two departments provide financial data only, the latter provides information related to its day-to-day operations.

The information flow within the city departments takes place according to the departments' organizational structure. For example, the ward officers send a monthly report to the Medical Officer of Health (MOH). If the municipal government requests any special report, the MOH asks the Family Welfare Officer to assemble the necessary information. The preparation of the report at the grassroots level is the responsibility of the Assistant Matron, who in turn passes it to the Assistant Health Officer (AHO). The Family Welfare Officer receives the report from the AHO and finally submits it to the MOH.

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Chapter 4: Citizen Participation in Local Governance

Summary: *This chapter defines citizen participation in local governance. It also explains the importance of citizen participation in local governance and various ways and methods that citizen participation can be introduced in municipalities.*

Objectives: *The objectives of this chapter are to answer the following questions:*

- *What do we mean by citizen participation in municipalities?*
- *Why is citizen participation important in good urban governance?*
- *What is the current state of citizen participation in Afghan municipalities?*
- *How can citizen participation be achieved in municipalities in Afghanistan?*

1.0 General Meaning of Citizen Participation in Municipalities

Citizen participation in local governance can be understood by comparing it to a family system. Each family has a head of the family who serves as a leader of the other family members. For the family to run smoothly, it is necessary that every member have an opportunity to share his/her views, ideas, and requirements with other family members as well as the head of the family. This sharing of views also helps the head of the family to better understand and manage the household. If everybody in the family is consulted and included in the discussion when the family has an important decision to make, it is more likely that most of the members will not only accept but also support the decision, which makes the head of the family's task simpler. Such an approach within a family helps in developing unity within the family and could be a great help in handling a family crisis or any difficult situation.

Similarly, if we see a city as a big family, the citizens can be involved along with the municipal staff in various city development projects. In municipalities, citizen participation is the process by which citizen's concerns, needs, values, expectations, and problems are taken into account into at various stages (i.e., project and priority identification, planning, implementation, and monitoring). Citizen participation is a two-way communication process between the government and citizens. The overall goal is to achieve better decisions that are supported by the public for inclusive and equitable development. Citizen participation includes the following three aspects:

- An open and transparent government that involves citizens in its activities and decision-making processes
- A consistent and persistent flow of information from the government to its citizens and vice versa
- Efficient ways of informing citizens about their roles and responsibilities to participate as equal partners.

Good citizen participation in civic matters is judged based on:

- How effectively the municipality has involved citizens in the projects that are serving the citizens
- Whether the citizens are involved at all stages of the projects
- How well staff members are supporting citizens' issues and how well the staff is motivated to do so
- Whether the leader and high-level municipal officials maintain good relations with the staff and citizens.

1.1 The Importance of Citizen Participation in Good Urban Governance

If we think of a community as a large family, the example of community development projects shows the importance of citizen participation. The community's problems, issues, and requirements are best understood by the community residents who are facing the actual situation, rather than by government officials. A municipality's job is to serve the community and meet as many of its requirements as possible. Most of the time, municipalities do not

have enough funds to meet community requirements. So in such circumstances, if the community members are consulted and involved right from the beginning of each community development project, not only will the municipality be able to serve the community better, but it will also be able to decide the priority of each project and can work and plan efficiently and effectively with a smaller budget. There are many examples that show how community involvement has helped in carrying out projects with a limited budget with the help of community participation (see box).

Maintenance of Roads and Stormwater Drainage with Community Participation: The Case of Chilaw Pradeshiya Sabha (Village Council), Sri Lanka

The Chilaw Pradeshiya Sabha (CPS) area has more than 1,000 kilometers of internal roads, of which almost 90 percent are gravel roads. The maintenance of these roads and stormwater drains is the responsibility of the CPS. Typically, the CPS was able to maintain only about 3-6 percent of the road length and a similar length of stormwater drains annually due to the limited fund allocation from the yearly budget. Typically, the CPS would have spent 150,000 Sri Lankan rupees in contracting out the resurfacing job, while with citizen participation, the cost incurred by the CPS was only 50,000 rupees.

After a series of community consultations, the CPS realized that road and stormwater drain maintenance was the highest-priority issue for the citizens. Hence, the CPS initiated a process to carry out the maintenance of roads and stormwater drainage with active participation of the citizens. The role of the community was to provide the labor required to carry out the work, such as loading, unloading, spreading, and compacting the gravel applied to the road surface; to clean the earth drains along the road; and to provide an adequate number of trucks and tractors with drivers to transport gravel.

Source: ICMA-UMC Best Practice Documentation, Transparent Accountable Local Governance Program (TALG), Sri Lanka.

Community involvement can be at various stages of the project; for example, in project identification, planning, implementation, and monitoring, and in evaluation of the project's impact. This way, the citizens, even if they are poor, can begin to feel like ―choosers" and ―users" of development projects. They can feel that these are their projects and their municipality is helping them.

1.2   Challenges in Involving Citizens

It is always a difficult job for the head of the family to keep the family tied together while meeting every one's demands, as each member of the family is an individual with different aspirations. The head of the family is responsible for encouraging everybody to participate in family matters. However, it is a challenging job for the head of the family to maintain interaction with the members of the family so that each member can grow, prosper, and live in harmony.

> The main challenges of citizen engagement usually come from the complexities of managing participation:
>
> - Determining who should participate and how
>
> - Deciding how to translate citizen inputs and feedback into policies and programs.

Just as the head of a family needs to interact with all family members so that s/he can meet everyone's needs, officials within the municipality need to interact with the people and communities that they are serving so that the municipality can provide good services to its citizens. However, it is much more difficult for a municipality to work in such harmony, as the number of citizens and staff involved is much bigger than in a small, individual family. Above all, the functions of a municipality are much more complex. Interacting with citizens and encouraging citizens to participate in the public service function require special efforts. For example, interacting with citizens requires a municipality to have accountable and transparent ways of working. The municipality needs to establish a system where citizens and municipal staff can work together closely, like a family. Working in this way requires that

the staff have an opportunity to develop appropriate skills and receive training. Such a system can increase citizens' faith in the municipality and its service provision functions.

In this regard, *well-defined rules* that specify who should participate and how citizens should get involved give a clear direction to the municipality. To achieve citizen participation, a *strong political commitment* is essential to overcoming problems that will inevitably arise from this enlargement of freedom, at least initially.

Citizen participation increases faith in development. However, success regarding empowerment and sustainability relies on use of the right method. A focus on ‑getting the techniques right" is the most important factor for achieving citizen participation.[1]

2.0 How To Achieve Citizen Participation in Municipalities

In a family, the head of the family generally decides how to initiate and use tactics to keep every member of the family together and encourage them to participate in family matters. Participation also depends on the individual family members deciding whether they want to participate or are interested in participating in family matters. So participation is a two-way process. It depends on both the head of the family who manages the family decision-making process (from the top) as well as on individual family members who are participating in the process (from the bottom). Similarly, in municipalities, it is mainly the responsibility of the leader or mayor to initiate citizen participation (from the top), and participation also depends on citizens (from the bottom) wanting to participate or being aware that they can participate in public service projects.

The following **key challenges** highlight the need for civic engagement, especially in Afghanistan, to:

- Generate awareness of citizens' rights and demand for services as well as civic participation
- Ensure proper data collection and recordkeeping, which leads to transparency and accountability
- Correctly assess society, people, and their culture in order to decide the right methods for getting people involved in civic matters
- Encourage more open and people-oriented delivery of public services
- Overcome corruption
- Stop the recent growth of inequity; for example, the poor cannot access information technology
- Decrease the difference between the income of poor and rich citizens
- Decrease environmental deterioration
- Increase freedom and democracy
- Increase political support and will as well as appropriate arrangements of governance necessary for attaining the internationally agreed development agenda, including the Millennium Development Goals (see Chapter 3, Good Urban Governance).

Sources: Government of the Islamic Republic of Afghanistan, ‑Afghanistan National Development Strategy: Urban Sector Strategy Report," March 2008, and World Bank, ‑Afghanistan: Building an Effective State: Priorities for Public Administration Reform," No. 46834, Poverty Reduction, Economic Management, Finance and Private Sector Development South Asia Region, 2007.

Every family has different methods of interacting with each other. Similarly, no single recipe exists for building citizen participation in municipalities, but some suggested guidelines can be useful:

- Benchmarking promising practices
- Supporting initiatives for citizen participation in the local municipality's activities
- Using tools, methodologies, and indicators to measure civic engagement (citizen involvement) processes
- Developing mechanisms for transforming citizens' inputs into public policy
- Specifying roles to be played by the international community, universities, and the media in promoting active citizenship.

In participatory governance, the government prioritizes projects according to community and local needs. Communities can play a more central role in prioritizing projects in two ways:

- Communities can fill gaps in service provision, especially in times of shrinking public budgets.
- Communities are not merely a cheaper alternative for service provision but can also be a better source of policy ideas and processes.[2]

Local communities are becoming increasingly important partners for municipalities, along with other organizations. Just as each family is different, local communities differ strongly from each other in regard to capacity and traditions for solving collective problems and in the way they organize themselves to carry out such tasks. Therefore, the municipalities' degree and form of flexibility is important for the municipal officials' success in making community councils their partners, and for the communities' success in implementing solutions.[3]

Within the family, the head of the family needs to have management skills in order to encourage family members to participate in family matters and, based on their collaborative talks, to decide what is to be done. Similarly, municipalities also need to have the following skills and capacities to achieve citizen participation:

- Managing participation
- Transforming participation into substance for policy inputs
- Training civil society for policy dialogue
- Developing official approval strategies for civil society.

To achieve the potential benefits of civic engagement, municipalities need to know how to initiate, sustain, and build capacities for it. Building institutions and skills to enhance civic engagement for good governance is very important. Municipalities should consider the following in setting out a framework for capacity building:

- Recognizing that civic engagement is a core value of good governance that grants a legal basis to participation
- Civic engagement from the national to the local level and also in the various administrative layers and at multiple entry points
- Establishing a balance in engagement linkages between vertical linkages (between government and citizens) and horizontal linkages (among citizen groups) applied to policy goals, accountability mechanisms, performance standards, and management systems
- Diverse models of participation depending on the community's cultural and social patterns with varying degrees of civic engagement
- Defining roles and responsibilities for government and nongovernment actors for specific tasks
- Establishing mechanisms, processes, practices, and two-way capacities that enable interaction between government and civil society
- Providing human, financial, and information resources.

The benefits of participation and their related framework in municipalities are shown below:

- Creating positive relationships among civic engagement, service delivery, and properly functioning anti-corruption mechanisms
- Building social capital through education, training, and awareness programs
- Establishing ―direct democracy‖ situations when a referendum is established
- Harnessing the potential of information and communications technology to increase participation, transparency, and accountability

- Sustaining development by properly involving citizens, who are beneficiaries, in the supply and management of resources, services, and facilities.

Citizen participation can be classified as political or administrative, and as passive or active, as follows:

- **Political participation** includes voting in elections or getting involved in political proceedings such as joining interest groups, joining political parties, and contacting municipal officials.

- **Administrative participation** includes requesting or suggesting administrative actions or keeping a close watch on administrative operations.

- **Passive participation** includes simple, one-way information delivery or requests for information.

- **Active participation** includes forming an agreement on specific issues, monitoring administrative activities, and monitoring administrative requests. In a family, active participation means that all the family members sit together to decide how to spend the family income or how to arrange the marriage celebration of a family member. Figure 1 describes a model that has been developed,[4] showing various participation activities at the local level. Citizens' right to information or to elect a mayor are good examples of passive participation, while citizens' involvement in a city development project or participatory budget are good examples of active participation.

• Information disclosure/accessibility (demand/provision) • Opinion polls	**Passive**	• Information delivery, information request/disclosure • Public (administrative service) • Opinion polls
Political Participation		**Administrative Participation**
• Citizen general assembly, public hearings • Voting, proposition	**Active**	• Opinion exchanges, public hearings • Monitor/control, citizen informant, opinion gathering • Request for administration

Source: Sam Young Suh, —Promoting Citizen Participation in e-Government: From the Korean Experience in e-Participation," National Computerization Agency, Seoul, Korea, http://unpan1.un.org/intradoc/groups/public/documents/un/unpan020076.pdf, p. 8 (accessed February 14, 2010).

Figure 1: Citizen Participation Model

A multi-faceted approach incorporating political and administrative as well as active and passive participation of various stakeholders is needed to promote participatory governance. Political participation is helpful in forming community councils and getting involved in local issues, while administrative participation is important for building a vision and goals at a broad level to work out strategies, set out implementation priorities, and monitor and evaluate projects. A citizen participation model can be implemented using different approaches[5]:

- The simplest is a short-term approach, where a city can choose and apply appropriate tools based on its own evaluation of citizen participation levels in its jurisdiction. Examples of tools include a city newsletter or media messages, if citizens are not well informed; contests among citizen groups, if that is needed to motivate citizens; or general public surveys, if there is a need to identify citizens' perceptions of the city's activities and services.

- A longer-term approach is to develop a comprehensive public participation plan, in which tools are selected based on careful analysis and determination of citizen participation goals; for example, establishing neighborhood councils through municipal legislation.

Tools for citizen participation include:

- Frequent **citizen meetings** with council members.

- **Media relations** (e.g., holding press conferences, issuing press releases, inviting the media to important events).

- **Feedback channels,** such as letters and telephone calls from citizens. Municipalities can encourage citizen feedback by establishing toll-free telephone lines, complaint/comment boxes in public places; and a special e-mail address for comments. It is important to properly manage the comments received from citizens: a return message or a card should acknowledge receipt of the comment. The municipality should report in the media or other public source on the type of comments received and actions undertaken to address the comments.

- A regular **municipal newsletter** (issued weekly, biweekly, or monthly), which contains most important information on

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Children's Movement for Civic Awareness in Hubli, India

The Children's Movement for Civic Awareness (CMCA) is a joint initiative of a government organization (Hubli-Dharwad Municipal Corporation) and a nongovernmental organization (the Public Affairs Centre of Bangalore). It was launched in the year 2000 to foster civic pride among children and adults through civic clubs in schools. The program is aimed at giving children an opportunity for learning, self-growth, and community service. Eighth and ninth-grade students were targeted as members of the civic clubs.

Field visits to parks, meetings with the mayor and the commissioner of Hubli-Dharwad Municipal Corporation, programs, rallies, street processions, and other activities were planned under the CMCA. The result was encouraging, and the program created increased awareness of civic issues among children. Children were not only aware of the problems, but they also had solutions to offer. The children brought the civic messages home, and hence parents participated indirectly in the learning process.

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activities within the municipality. Usually, this newsletter is free of charge. It can be distributed through schools or by placing copies in public buildings. To reach the illiterate majority of citizens, the newsletter could be in pictorial form or use many illustrations. The cost of printing would depend on volume, frequency, and print sophistication. For smaller municipalities, the newsletter could be just one or two photocopied pages.

- **Informational brochures,** such as a *City in Brief* document that contains general information on city authorities, telephone numbers, working hours, the organizational chart, the board, the council, committees, and advisory groups. Such a brochure can be distributed to citizens along with the municipal newsletter or placed in public buildings. Brochures on city services, explaining procedures and providing examples of application forms, have also proven useful as effective communication tools.

- **Talk shows and interviews** on local television or radio on important local topics, such as investment plans and the budget. If possible, there should be an opportunity for citizens to call in and directly ask questions of the municipal officials who appear on the television or radio show.

***Nagarik* – The Monthly City Magazine of Indore Municipal Corporation, India**

The Indore Municipal Corporation has been publishing *Nagarik,* a monthly city magazine in Hindi, to keep the citizens informed about the municipality's activities and provide a mechanism for obtaining citizens' feedback on important issues. The broad goal of *Nagarik* is to educate the citizens of Indore to know their city, to take pride in their city, and to act as good citizens.

Every issue of *Nagarik* has a theme that reflects some important problem or need of the city. Each issue of the magazine contains letters from readers to the mayor or to the people of Indore; a mayor's section where the mayor of Indore usually responds to specific questions from the citizens on development works and plans of the municipal corporation or citizens; and details of development works being undertaken throughout the city.

- **Public hearings** on different topics (e.g., budget planning). It is important to thoroughly prepare for the hearing by arranging for an appropriate facility, thoughtful presentations, rules for the meeting, and a good facilitator.

- **City festivals** are good tools to integrate citizens into the overall community, especially if they are involved in preparations for the event.

- **Task forces** in different areas, such as in economic development to prepare an economic development strategic plan.

- **Contests,** such as a *My Vision of the City* contest to support preparation of the community-based strategic plan preparation. This contest could be organized to draw young people's attention to city activities and collect their opinions for the future of the city.

> The Mumbai Festival, launched in 2005, was the first attempt to develop a community-based festival for the city of Mumbai. The event is a unique model of public-private partnership under which nongovernmental organizations, private parties, government, and related authorities work cohesively. The Mumbai Festival aims to keep the citizens of Mumbai feeling positive about the place where they live and tuned into their city's public life.

- Lists of **frequently asked questions (FAQs)** published in the media, on the Internet, or in a brochure, with answers to the questions most commonly asked by citizens.

- General **public surveys,** which can identify citizen priorities or gather more precise information on a particular subject. For example, ICMA carried out a citizens' survey in different cities of Afghanistan to identify priorities in public services and infrastructure requirements, including the existing levels of services that local residents are receiving. The survey was followed by a thorough analysis to make the survey responses meaningful. Such analysis should be conducted by an experienced specialist.

- A **system for financing civic initiatives**, which is a tool that provides more detailed rules for municipal cofinancing of civic initiatives.

- A **budget-in-brief**, which is a short version of the local budget written in clear language that is understandable to local citizens. Usually, this type of document consists of an introduction by the mayor in which s/he explains the city's priorities and the most important issues in the budget. This is followed by an explanation of the sources of revenues and expenditures, perhaps by program or department. The budget-in-brief devotes special attention to discussion of capital expenditures (an expenditure on long-term business assets (fixed assets) such as buildings). A budget-in-brief may also contain general information on the municipality, such as the members of the board and the council, the administrative structure, or other explanations of the budget document.

3.0 Framework for Citizen Participation in Afghanistan: An Overview

If the head of a family talks to each member of the family and knows which family member needs more attention or more money for some important purpose, s/he is more willing to give help or spare money from the family's income. In the same way, it has been stressed in this chapter that if local people participate, especially the poorest citizens, it will be easier for the municipality to clearly know what the local priorities are, so that it can give aid and funds to these areas first. This will also ensure that municipal development projects are demand driven and will meet the needs of the poorest and most marginalized people in society. The following overview of the legal and institutional framework lists the mechanisms that are in place for citizens to participate in local governance.

3.1 Legal and Institutional Framework

The Afghan Constitution establishes the responsibility of local governments to encourage citizen participation. Article 137 of the Afghan Constitution states: ―The government, in preserving the principles of centralism, shall transfer necessary powers, in accordance with the law, to local administrations in order to accelerate and improve economic, social as well as cultural matters, and foster peoples' participation in developing national life."[6]

The Constitution also calls for the creation of councils at the village level in order to bring about ―active participation of the people" in administration (Article 140).[7] The response to this constitutional mandate has been the widespread establishment of Community Development Councils (CDCs). These are elected consultative bodies that participate in development work at the grassroots level.

In addition to local CDCs, Provincial Councils have also been established. Article 2 of the General Provisions, Law on Provincial Councils,[8] states that Provincial Councils shall function as elective assemblies with the objectives of creating a structure for partnership and participation of people and civil society institutions in the provincial administration, and of counseling the provincial offices on related affairs.

The Independent Directorate of Local Governance (IDLG) is another government institution that has a mandate to encourage citizen participation. The vision statement[9] of the Independent Directorate of Local Governance mentions that IDLG and its subnational governing units are committed to ensuring that Afghanistan's women enjoy greater equity in education, political participation, and justice. Also, a key goal of the IDLG is to ―establish and strengthen government institutions at the subnational levels in order to ensure people's participation in governance and to achieve measurable improvements in the delivery of services and the protection of rights of all Afghans."[10]

3.2 Types of Civil Society Organizations

The four main types of civil society organizations (CSOs) currently observable in Afghanistan are CDCs, *shuras* (councils or associations), nongovernmental organizations (NGOs), and social and cultural organizations (SCOs). They are in their early stages.

CDCs, also known as Village Organizations, were created to implement the National Solidarity Program (NSP). Project funds up to $200 per family could be allocated to communities for infrastructure-related community projects, but applications for those funds had to come through CDCs, representing 25 to 30 families. Lacking the capacity to build CDCs, the Ministry of Reconstruction and Rural Development—the line ministry for the NSP—contracted 20 facilitating partners to take responsibility for creating CDCs in one or more provinces.

Shuras are seen, in most parts of the country, as functional local decision-making mechanisms. Their membership is comprised almost wholly of male village elders, who are not elected. S*huras* do not represent the younger cohorts in the population, alternative thinkers, or the less well-to-do. Because donors typically implement their projects through CSOs, any *shura* that wants to be eligible for a grant becomes registered as an NGO or SCO.

A large proportion of the 2,000 **NGOs** registered in the Ministry of Economy's Registration Department are (1) construction organizations not fitting any conventional definition of a CSO, (2) inactive storefronts, or (3) small NGOs. The number of real CSOs among these NGOs may be anywhere between 150 and 400. A smaller number of international NGOs (333) are also registered with the Ministry of Economy. SCOs may be political parties as well as associations, unions, and tribal *shuras*—in addition to a smaller number of project-based CSOs, of which 242 are registered with the Ministry of Justice.

3.3   Citizen Participation Initiatives

Some of the initiatives for citizen participation in Afghanistan include:

- Through the Afghanistan Municipal Strengthening Program (AMSP), the International City/County Management Association (ICMA) worked with Afghan municipalities to improve their infrastructure, service delivery, leadership, and management capacity. The National Research Center, Inc., worked with ICMA to measure the change in citizen perspectives about governance and services to assess the success of ASMP programs in these municipalities. Citizens are involved in various surveys conducted under the ASMP.

- The City Action Plan process is the result of stakeholder workshops conducted by the Ministry of Urban Development in seven cities – Herat, Kandahar, Mazar, Jalalabad, Khost, Farah, and Lashkargah – in which the citizen participants identified, agreed on, and costed projects that addressed their priority needs in six sectors. All the City Action Plans identify three priority projects in each sector. Cities were found to have very different priorities; for instance, Khost gave priority to water (67 percent of participants identified water as the top priority), Farah to roads (97 percent), and Mazar to sewers (81 percent).

- As part of the AMSP, ICMA assisted the city of Bazarak, Panjshir District in developing a Strategic Municipal Action Plan, with technical assistance from the Urban Management Centre and with citizen consultations. In the first stage, ICMA arranged a meeting and consultations with municipality members, the governor, and a few women's NGOs to discuss issues related to the municipality's local service delivery. The participants prepared a conceptual framework for a workshop involving 50 to 80 local citizens from different settlements of Panjshir, the Deputy Minister of Urban Development, and officials from the local municipality. In this workshop, the existing city plan was presented, and the workshop participants identified issues and discussed proposals for local services. In the workshop, the participants chose to join one of five different working groups on roads and transport, municipal administration, sanitation, power supply, and water supply services.

These examples show that in Afghanistan, the process of participatory governance has already started to take shape in overall strategies and documents. But citizen participation initiatives still need to be coordinated and networked.

What did we learn from this chapter?

- *The concept and need for citizen participation in civic matters*
- *The approaches, mechanisms, and tools that promote citizen participation*
- *The current state of citizen participation in Afghan municipalities*
- *How citizen participation can be achieved in municipalities.*

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Chapter 5: Human Resource Development

Summary: *This chapter explains human resource development in the context of municipalities and describes the challenges that municipalities face while improving their administration and human resources. The chapter showcases two cities in India (Kolkata and Surat) that undertook a systematic approach to staff development.*

Objectives: *The objectives of this chapter are as follows:*

- *To introduce the general concepts of human resource development, human relations, and staff development in municipalities*
- *To explain the importance of human resource development for achieving good urban governance*
- *To present the current situation in Afghan municipalities*
- *To explain, with various examples and cases, how Afghan municipalities can achieve good human relations and staff development.*

1.0   Introduction to Human Resource Development in Municipalities

Human resource development is a framework for helping employees develop their personal and organizational skills, knowledge, and abilities. Human resource development includes such opportunities as employee training, employee career development, performance management and development, coaching, mentoring, succession planning, key employee identification, tuition assistance, and development as a whole of an organization such as a municipality. The focus of human resource development is on developing the best workforce possible so that the municipal administration and individual employees can accomplish their work goals in service to their citizen customers.

The concept of human resource development can be compared to a family system. For example, in each family there is a head. So that the family runs smoothly, each member has specific tasks and responsibilities. The head of the family assigns tasks by assessing each member's capacity, talent, and interest for carrying out the work. Some family members are responsible for earning money; some are responsible for cooking and doing the household work. The children are given a chance to learn and develop their own skills so that they can sustain a family in the future. The responsibilities are arranged in such a way that the requirement and demand of each family member is met within the family income at its best.

Similarly, in the case of municipalities, all members of the staff are allocated work responsibilities, with a position and salary that correspond to their qualifications and work experience, to deliver services that meet citizens' needs. The quality and effectiveness of a municipality's organizational design, human relations, and staff development are judged based on:

- How effectively the municipal administration's structure is arranged so that the staff can provide good services to citizens
- How well the staff is motivated and how well the leader or high-level officials of the municipality maintain relations with the staff
- How many opportunities and how much appropriate training and encouragement the staff members receive for their good performance and good service.

1.1 Who Carries Out Human Resource Development in Municipalities?

Human resource development generally follows a top-down approach. The head or the mayor is usually responsible for carrying out human resource development within the municipality.

The role of the head or mayor of the municipality is similar to that of the head of a family. It is always a difficult job for the head of the family to keep the family bonded together while assigning work and meeting everyone's demands, as each member of the family is an individual with different goals. The head of the family is responsible for establishing values, ethics, and rules and for distributing the responsibility in the family to ensure discipline, order, and interaction among the family members. At the same time, the family is giving each member opportunities to grow, prosper, and live in harmony.

1.2 What Challenges Do Municipalities Face While Improving Their Administration and Human Resources?

Municipalities need to adapt to changes in cultural patterns, values of the society, quality of life, and technology. For this, municipalities need to restructure their staff, staff responsibilities, and ways of working. Technically, this is called "human resource management," for which municipalities need to create and keep data related to each staff member, his or her qualifications, professional skills, training completed, experience, hiring date, salary, and other benefits earned. Such data are useful in rearranging the work systems and appointing the right person for the right job. These data also help a municipality establish the necessary legal and regulatory framework and ensure that a fair system of recruiting and managing staff exists.

Most municipalities face problems of adequate staffing; the structure of the staff also needs to be clearly established for carrying out the required functions. Many municipalities also need to build staff capacity, motivation, and dedication to carry out their assigned public service functions.

Apart from individual capacities, many municipalities also need appropriate systems within departments for efficient and effective functioning. For example, to improve interaction with citizens, the municipality needs accountable and transparent ways of working and appropriate platforms for citizen participation (such as regular meetings with citizen representatives, citizen surveys, and information distributed through local media). Such systems can generate citizens' faith in the municipality and its service provision functions.

2.0 Establishment of Effective Human Resource Development

First, each municipality needs to formulate the vision, goals, and objectives it wants to achieve in the short, medium, and long term (see Chapter 9, Municipal Strategic Planning).

Accordingly, municipalities need to assess their workload, how much and what type of services they provide today and will be required to provide in the future, and hence how many and what type of staff they will need. Municipalities can then link this assessment to existing staff reforms, training, and staff development.

The following five-stage strategic planning process can be used for this assessment[1]:

- Stage 1: Organizing the effort
- Stage 2: Undertaking the human resource assessment
- Stage 3: Creating the human resource development strategy
- Stage 4: Implementing the human resource development strategy
- Stage 5: Reviewing the human resource development strategy.

2.1 Stage 1: Organizing the Effort

At the national level in Afghanistan, appropriately focused overall reforms are necessary in the present conditions. The success of human resource development in Afghan municipalities depends on the collective efforts of not only the municipal staff, but most importantly, on an overall restructuring of standard organizational design, internal hierarchy, and structure at the national level. This restructuring is very important because until the structure is clear, the municipal leaders will not be able to guide their municipalities in the proper direction. The following broad directions[2] can help municipalities organize efforts to build good governance:

- **Establish an overall direction for subnational reform** that builds on the current system but establishes clarity. This direction should be based on the broad allocation of roles and responsibilities. The subnational reform should reduce overlap of functions and power, and should strengthen and consolidate the role of the provincial government's office in the areas of coordination and planning, while limiting its functional, budget, and operational authority to deliver services. This responsibility falls instead under the provincial departments. The subnational reform should also enhance accountability by strengthening the oversight and supervisory role of the provincial councils to provide checks and balances on the activities of the delivery agencies.

- **Strengthen the performance of the main service delivery agencies** by improving their organizational structures. One key, cross-cutting activity in this area is for line ministries to ensure that roles and responsibilities are properly divided between their central offices and provincial departments. In many cases this is likely to involve the deconcentration of various powers and functions from the central to the provincial level. This activity is already underway in some ministries; for example, the Ministry of Education is currently deconcentrating teacher recruitment to the provincial level.

- **Provide sufficient resources for the key subnational governance organizations and service delivery agencies** to play their assigned roles. For example, organs such as the provincial councils need access to sufficient funds to conduct their operations as envisaged under the recently amended law. At the municipal level, there is a need to develop an overall fiscal framework that provides a rational, equitable, and affordable solution to the fiscal gap that municipalities face. There is also a need for a more equitable distribution of resources across the country.

- **Enhance the operational performance of all subnational organizations** by providing them with the systems and capacities they need. Some provincial government offices are making substantial progress in training, information technology (IT), offices, and communications; other subnational organizations (e.g., provincial councils) are just beginning to make progress. There is an urgent need for a clear policy framework for the desired institutional structure of the subnational system, and a strategy to guide actions to realize it.

Case Study 1 of Kolkata, India (see Annex A), shows how the overall administrative structure was made clear and implemented successfully. Once the overall structure is clear, each municipality can conduct an individual assessment (Stage 2).

2.2 Stage 2: Undertaking the Human Resource Assessment

Each municipality needs to assess its existing staff arrangement, capacity (in terms of number of staff members), and skills against:

- The population it needs to serve
- The type of work it needs to undertake to meet performance targets
- The existing staff members and their skills, salary, and responsibilities.

Based on this information, each municipality needs to assess how many staff members it will need to fully achieve its performance targets in delivering services to citizens.

To complete the assessment, municipalities need to generate proper data regarding all staff members in terms of their salary and benefits, qualification, position, and responsibilities. A preliminary staff assessment can use such available quantitative and qualitative knowledge to help identify the strategic direction for the staff redesign and development. This information will also point toward projects and programs that will strengthen the staff development of the municipality.

The local attributes of each Afghan municipality's staffing structure and development will form the basis for designing and implementing a human resource development strategy. To build an effective staff, each municipality can undertake a collaborative process to understand and act on its own strengths, weaknesses, opportunities, and threats (SWOT) in internal staff arrangement and performance in serving citizens. It will then make its local service more attractive to citizens, businesses, workers, and supporting institutions.

Data collection is a first step in an internal assessment of each municipality. The second step involves analyzing this data. Municipalities can use several tools to analyze the data, including the SWOT analysis mentioned above, benchmarking, and internal design and staff development indicators. For this review, it is important to include the staff development projects and programs that the municipality is already implementing. A particular municipality might identify, for example:

- **Strengths (local assets):** Competitive wage rates, skilled workforce, educational and research institutions, strong transportation network, safe locality

- **Weaknesses (obstacles to growth):** Worsening poverty, complex and corrupt employment procedures, inadequate infrastructure and education facilities, limited access to municipal jobs and training facilities, high corruption

- **Opportunities (favorable external conditions):** Technological change, emerging skilled workforce

- **Threats (unfavorable external trends):** Demographic changes, unstable local conditions, loss of educated population to other areas (outward migration).

Once municipalities have identified their current status, based on the analysis against their targeted achievement, they can prepare their human resource development strategy. Case Study 2 of Surat Municipal Corporation in India (see Annex A) shows how municipalities can assess their own structure and services and identify reforms based on the results of the self-assessment.

2.3 Stage 3: Creating the Human Resource Development Strategy

Municipal leaders first need to assess the human resource development strategy against the available budget and financing. After determining the possible financing, they can work out the essential staffing requirements. Municipal leaders can draft the redesign of internal staff arrangements based on these staffing requirements. After deciding on the redesign and assigning work, municipal leaders can create a human resource development strategy that is specific to their requirements. A human resource development strategy has the following elements:

- **Vision:** The vision describes stakeholders' consensus on the municipal services that are a priority to the community.

- **Goals:** The goals are based on the overall vision and specify desired outcomes of the organizational design and staff development planning processes.

- **Objectives:** The objectives establish the performance standards and target activities for development of each goal. They are time bound and measurable.

- **Programs:** The programs set out approaches to achieving realistic organizational design, reforms, and staff development goals. They are time bound and measurable.

- **Projects and Action Plans:** These implement specific program components. They must be prioritized, and their costs must be established. They are time bound and measurable.

- **Evaluation:** Periodically evaluating performance and outcome of each action plan and project must be part of the strategy.

Municipalities can tackle human resource development for each department and service separately. For example, for solid waste management, they can carry out the assessment of the existing structure and staffing against their service load. They can work out goals and objectives for this service, and based on these goals and objectives, they can hire new staff members who can handle the work. Even though building human resources is a difficult process, each municipality can do it by following a systematic approach.

As discussed in Chapter 2 of this manual, the municipalities will be given the authority to design their organizational structures based on guidelines established by the central government. While maintaining central power structure, the municipalities are given the power from the center. However, the reasonable flexibility to the municipalities to determine their own organizational structures is necessary. The municipalities, in general, function on the basis of the structure and practices inherited from the past. To be sure, some mayors have made innovations in their respective administrative operations. As shown in the case of Kolkata, India, each municipality should undertake a thorough review and reorganization of the municipal administrative apparatus.

The Independent Directorate for Local Governance (IDLG) proposes to introduce purposeful and systematic municipal capacity building. Along with this step, municipalities would take steps in line with IDLG guidelines to make municipal-level administrative changes, supplemented by human resource and organizational development and management efforts. This capacity building is essential for municipalities to fulfill local demand for services.

The following section identifies the ways that Afghan municipalities can acquire competent staff in line with the challenges previously discussed.

Through Education and Training

The Ministry of Education, with international assistance, is attempting to reform the quality and educational achievement of the basic education system. Additional projects are being launched to raise the standards of the University of Kabul and establish a new National Institute of Management targeting the development of the senior levels of the public service. The Civil Service Institute (CSI) is expected to continue playing a role in both pre-service training, such as awarding a pre-service certificate for readiness for public service employment, and post-employment professional training. Unfortunately, generating candidates from the education system and hiring them into the public service, while vital for the long-term stability of government functions, is at best only a long-term solution. This means that current practices for recruiting competence (technical assistance and the Management Capacity Program) and in-house training are likely to continue.

For the school and university system to be effective and efficient in providing a source of future public servants, important issues will have to resolved. For example, the respective roles of the university system's general courses in public administration, the role of specialized institutes, and the role of the CSI will need to be clarified to minimize duplication, particularly in Afghanistan's resource-scarce environment. Also, there is a need to set a benchmark or standard for entering the public service at different levels. The government cannot pay high salaries but can certainly manage its own recruitment better by improved management and wide advertisement of municipal job openings. The recruitment system in the local government should be extremely fair to avoid unfair hiring practices and to improve the performance of the staff.

Various efforts in human resource development are underway at different levels of government in Afghanistan. IDLG predicted in a World Bank report[3] that by March 20, 2011, the government will have built institutional and administrative capabilities in municipal, provincial, and district administrations to manage delivery of basic services by reforming organizational structures, streamlining management processes, developing essential skills and knowledge of public servants, and improving management of public service delivery. The report also specifies that by the end of 2013, the entire public sector workforce will have undergone specific training appropriate to their role and responsibility in the public sector to improve their performance.[4]

Through Public Servants' Incentives

As in the family, rewards from the head of the family increase the motivation of family members to perform their work well. Similarly, competent public servants employed in well-structured organizations do not constitute an effective public service unless their institutional environment motivates them to achieve a high level of performance and accountability. The laws and rules for managing Afghanistan's public service can induce behavior and performance consistent with the goals of a public service that is professional, politically neutral, and unified.

Through a Legal and Regulatory Framework for the Public Service

A legally defined public service with predictable terms and conditions, protection from political influence, and standardized fair application of recruitment procedures can motivate both employees and employers to perform according to agreed standards and for agreed purposes. Within the present system, specific standards of public service management are planned to be achieved by 2010, and the national government has turned its attention to accelerating the adoption of a more comprehensive reform of public service management.

Municipalities can enact a centralized service law through IDLG along with secondary legislation providing regulations on how to implement the law. The purpose of the law and regulations is to prevent arbitrary actions by the executive branch and to define the municipal public service and the qualifications, duties, and rights of their service as well as their working conditions. Municipalities can also prepare a code of conduct for municipal staff.

Through Merit Basis in Appointments

Merit can be defined as "the appointment of the best person for any given job." Thus, in a pure merit system, all public appointments, from top to bottom, are made following a competition based on merit rules that are publicly understood and can be challenged if a breach is suspected. The merit principle in appointments is important for effective public service management. It gives individuals an incentive to come forward and be considered for employment within the public service, regardless of any particular allegiance or affiliation. It also provides the institutional mechanism through which employers can recruit the best person for the job and make the best use of government resources. Selection criteria for individual positions are specified, widely communicated, and contestable: a failure to appoint a candidate can be appealed and reviewed against explicit specifications for the position and prescribed procedures (see box).

Through Grading Structure and Pay Scales

Another important aspect to be handled carefully is developing a pay policy to attract and retain talented employees. A pay strategy will generally involve the following:

- Bringing pay into line with government's overall policy objectives. This includes identifying any groups of staff (e.g., primary school teachers) who are currently under- or overpaid in areas to which the government wants to give priority.

- Determining the basis for pay scales and, in particular, the appropriate mix of the primary as well as secondary factors, such as affordability and cost of living, market-based pay, individual performance, and qualifications.

Previously in Afghanistan, employees could remain in the same post and receive a grade increase every three years until they reach "beyond grade" level. This "rank in person" grade and pay system, as distinct from the internationally more common "rank in post" systems, has resulted in severe distortions in the grading structure, with many staff in lower-level posts earning higher salaries than their supervisors.

The new grade and pay structure, approved by the Cabinet on June 18, 2007, is intended to end the practice of personal grades, make grades consistent with job content, reduce the need for ad hoc pay arrangements, and allow government to substantially raise salaries at the top end so as to recruit and retain experienced and effective staff. Municipalities can adopt this pay structure.

Through Sufficient Physical Infrastructure

Section 5.3 of IDLG[5] describes in detail the provision and improvement of physical infrastructure facilities for administrative staff including computerized work systems and networking facilities with other public institutions in Afghanistan for better information flow and communication. There is also a planned program to introduce e-governance in Afghan municipalities by 2011.

Through Performance Evaluation

Performance evaluation can be an aid to good management of municipal services and to human resource management and development. Based on periodic evaluation of staff performance for each service, municipal leaders can work out the arrangements of staff management and development that will help them provide the best possible services to local citizens. Leaders can plan such arrangements while creating human resource development strategies.

> A good appointment procedure will have the following elements:
>
> - A job analysis leading to a written statement of the duties of the job (the job description) and the competencies that the jobholder will need (the competency framework or skill specification)
>
> - An advertisement distributed to eligible groups, including a summary of the job description
>
> - A standard application form
>
> - A scoring scheme based on the skill specification
>
> - A short-listing procedure, if necessary, to reduce applications to a manageable number
>
> - A final selection procedure based, again, on the skill specification and including a panel interview
>
> - An appointment procedure based on the scoring scheme
>
> - Notification of results to both successful and unsuccessful candidates.
>
> The merit principle's success depends on public perception about the credibility of the recruitment process. There has been significant progress in this area, especially considering the wide acceptance of patronage as a basis of public service appointments.

2.4   Stage 4: Implementing the Human Resource Development Strategy

Once the appropriate human resource development strategies are prepared, each municipality can then work out an action plan that shows step-by-step how they can rearrange their internal structure and plan staff development accordingly. The strategy will allow municipalities to better distribute staff responsibilities according to individual qualifications and experience and to revise the pay structure accordingly. The municipalities can employ new staff members according to the requirements for the performance goals. The municipalities can also provide proper training to improve the performance of existing staff members.

The action plan lays out a hierarchy of tasks, responsible parties, realistic timetables, human resource and financial needs, sources of funding, expected impacts, results, performance measures, and systems for evaluating progress on each task (see Case Study 1 on Kolkata's capacity-building reforms in Annex A). The action plan acts as a mediator between projects to ensure that they do not inappropriately compete for resources during implementation. A

good action plan can result in more efficient and effective use of existing budgets within municipalities.

2.5   Stage 5: Reviewing the Human Resource Development Strategy

Periodic review of implemented strategies is essential for good monitoring and evaluation techniques for integrated organizational design, reforms, and staff development strategies. It is also important to quantify outcomes, justify expenditures, determine needed enhancements and adjustments, and develop good practices. Indicators can be developed to measure both process and impact.

3.0   Human Resource Development in Afghan Municipalities: Some Suggestions

Administrative reforms require sound political diagnosis before municipalities can work out strategies and design for the reforms. Reforms are tough to manage, whether they involve reducing or increasing the size of the public sector, redesigning staffing arrangements, or reshuffling staff according to their performance and tasks. Retaining skilled employees, maintaining their motivation, and finding ways to enhance their performance and curb the public sector wage bill require a balancing act. Staff costs represent a large portion of Afghan municipalities' budgets, and therefore it is very important that the funds for salaries, pensions, and allowances are spent effectively.

Relationship between Municipalities' Performance and Staffing

- The best municipality is one that can provide the best services to citizens that meet their requirements.

- For such high performance, it is essential that each municipality have appropriate staffing arrangements so that the municipal staff can work efficiently and effectively as a team.

- Such efforts of municipalities and their provision of high-quality services to people can have strong positive effects on the society and can improve their citizens' quality of life.

- To achieve these high standards, the municipality will need competent and dedicated staff members who think that their jobs are very important for the society and their role is to serve the citizens. They treat their city as their family.

- Municipal staff members may need training to carry out their work efficiently and with the best quality.

- The permanent nature of most municipal jobs requires a lot of motivation and training to maintain long-term commitment of the staff. It is worthwhile to invest money and time in providing appropriate and continuous training to staff.

- Municipalities need internal staffing arrangements and clear distribution of roles and responsibilities among all staff members according to their qualifications or expertise for public services. These require not only good leadership but also an enabling environment in terms of actions and rules.

IDLG and other organizations, including the World Bank and United Nations Development Programme, have already done substantial policy and strategy-level work in Afghanistan on organizational design and human resource development. In Afghanistan, the concern is not only capacity building, but a much wider concern of redesigning local government systems themselves from scratch. The case of Kolkata Municipal Corporation (see Case Study 1 in Annex A) provides a good example of this redesign. Most of Kolkata's problems have been identified and incorporated in the strategies. However, it remains challenging for local institutions to implement these strategies and carry forward the reforms.

The biggest issues identified in the literature and by stakeholders in Afghanistan's local governing systems are *disarmament* and *salaries/pay.* Disarmament is the top-priority issue. The administrative system cannot function as long as people are armed because the municipal staff members have to do what the armed people tell them to do, not what the rules tell them to do. Therefore, the first and foremost priority for municipalities is currently to tackle

this issue. Although disarmament and salaries are national-level issues, municipalities should make local efforts to generate public awareness, social movements, and support to fight terrorism and encourage disarmament. The media, international organizations, and nongovernmental and community organizations should be involved in this process. Increasing the general level of education of Afghan society will help people understand the value of civic society and enable people to relate to the global context.

Regarding the issue of salaries for municipal government jobs, salaries are still controlled by the central government. The central government should decentralize responsibility for determination of pay and benefit packages and for regular payment of salaries as soon as possible to generate ethical behavior, loyalty, effectiveness, and efficiency in municipal employees. Giving municipalities the responsibility for determining and paying salaries will also help in overcoming the problem of corruption in the public service.

In a country such as Afghanistan, which is in such a critical condition, it is difficult to decide where and how to begin administrative reforms. Until the municipalities can address overall reforms, they can select a single priority area to start with, in keeping with the notion of "starting from where you find yourself." For example, a municipal government may choose, after redefining the overall structure, to begin with performance management. In this way the municipality can make managers aware, for the first time, that they are responsible for the performance of staff. Or a municipality can begin by establishing a leader for a selected task and helping that person build up a team, provide physical infrastructure, prepare an implementation plan, delegate work, and monitor the task performance.

After reviewing the outcomes of the first task, the municipality can work out a revised or improved approach for other sectors, and their reform and performance can shape the final team for each project or sector. For this, municipalities need to:

- Identify priority sectors both within the municipal government system and within the public service (staff)
- Identify leaders through motivation and skill development programs
- Involve citizens and stakeholders in each task; identify strategic specialization for strategic team and private sector participation depending on the task or goal
- Create a team of motivated, trained, skilled staff members for each task
- Provide essential physical infrastructure to the team to carry out the task
- If required, make new merit-based appointments through proper channels (the central body of employment) based on specified selection criteria
- Set up targets and goals (performance standards) for each team
- Establish rules of ethics, transparency, accountability, and conduct
- Set up an transparent, accountable recordkeeping system for each sector
- Create a performance management and appraisal system to regularly monitor the performance of each team on each task
- Carry out reforms if necessary for the best possible performance.

In Afghanistan, human resource development and reforms are not straightforward. Implementing reforms requires a comprehensive approach, citizen and stakeholder support, political will, leadership, and motivation. Because the reform process is lengthy, it requires continuous efforts and will to achieve the goal. To maintain their motivation, municipalities can establish both short- and long-term goals within the identified sectors.

What did we learn about in this chapter?

- *The concept of and need for human resource development*
- *The approaches, mechanisms, and tools for human resource development*
- *Ways to achieve good human resource management and development in Afghan municipalities*

4.0 Annex A

4.1 Case Study 1: Operational Strategy for Kolkata's Capacity Building Program[6]

Due to a very high growth rate, cities in India are increasing in size, in terms of both population and area. Managing and delivering civic services in a large metropolis like Kolkata is difficult. Being the primary urban local body in Kolkata, Kolkata Municipal Corporation (KMC) understood the importance of governance systems in coping with the rapid urbanization. In 1980, the first step toward decentralization was achieved through the formation of boroughs under the KMC Act.

KMC later realized the need for an institutional capacity-building program to strengthen its governance systems and improve service delivery. In 2003, KMC embarked on reforming governance systems through well-structured, high-level reforms to build urban governance capacity. With the help of the British government's Department of International Development (DFID), KMC developed the Capacity Building Programme in 2006. In line with the program, the KMC Act provided a three-tiered structure for the organizational design and reforms as follows:

- The corporation at the top level
- The borough committees at the intermediate level
- The ward committees at the grassroots level.

This structure is also consistent with the 74th Amendment of the Indian Constitution. At the top level of this structure, KMC established three authorities:

- The corporation
- The mayor-in-council (the municipal council)
- The mayor.

The municipal commissioner is the chief executive officer of the Corporation. KMC maintained this broad responsibility-sharing arrangement within the organization while introducing organizational development strategies to streamline and refine the functioning of the organization. Under the general framework of the KMC Act, KMC systematically introduced further practices and procedures to fill gaps and introduce efficiency in various parts of the organization.

One major element of this organizational strategy was to combine delegation with decentralization. For this reform, KMC engaged the services of A F Ferguson, a renowned organizational development consultant, to implement organizational development reforms. Powers were delegated to improve efficiency, as follows:

- The top structure was revamped with the creation of a second tier of administration under the Municipal Commissioner (MC).
- The MC's span of control was substantially rationalized to allow him to focus more on inter-institutional coordination, planning, and strategizing.
- Activities were logically grouped under senior officials to improve efficiency.
- Administrative and financial powers were delegated across the organization.
- "Empowering the Limbs," a manual on Delegation of Power in KMC, was prepared and published.
- Several workshops on delegation and decentralization were organized; decisions were made through a consultative process and initiatives were further streamlined.

The organizational development reforms also considered certain other aspects in order to strengthen the institutional framework. The regulatory, enforcement-oriented functions (such

as tax collection) may not be suitable for efficient downward decentralization. Some engineering and administrative functions (e.g., maintenance of major roads) were kept in the central domain of KMC. On the other hand, development and welfare functions with direct citizen contact (e.g., delivery of birth certificates) were decentralized. For such functions, KMC transferred power to the boroughs or wards. KMC reviewed these decisions regularly. The corporation, the mayor-in-council, and the municipal commissioner have all since been comprehensively delegating their functions to the appropriate level, making decisions faster and execution more efficient. This decentralization also required development of an internal audit system and revamping of the Municipal Vigilance Authority, which supervises the code of conduct of all municipality-related activities. The following other changes were also made:

- Civic functions were transferred from other parastatal agencies to KMC. These included street lights from KMDA and drainage pumping stations in added areas from KMWSA.

- Several new departments such as Social Sector and Town Planning were created to give appropriate priority to certain focal areas.

- Several cells such as a public-private partnerships cell, local area services cell, and unit area assessment cell were created to give impetus to reform initiatives in specific areas.

- KMC encouraged lateral entry of experts in various fields to support them in rolling out several reform projects.

- Training needs for various groups of personnel in KMC departments were identified and documented.

- Different groups of personnel were trained in relevant fields such as management and IT. IT networks were updated, and a geographic information system (GIS) was created. Public-private partnerships were formed. Simultaneously public outreach campaigns were implemented.

4.2   Case Study 2: Training Needs Assessment of Surat Municipal Corporation, India[7]

Under the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), a massive city modernization scheme launched by the government of India, state and municipal governments and quasi-governmental agencies are undertaking a wide range of efforts in skill development, process reforms, and use of IT as well as other reforms related to human resource development. The focus of these efforts is to put in place the enabling structure and processes for good governance. These reforms will require training at all levels of government to expose urban managers to techniques for promoting vibrant institutions of local self-governance.

With active cooperation from the elected officials, dynamic leadership of the municipal commissioner, and support from SMC staff, the Surat Municipal Corporation (SMC) has prepared a vision for Surat as a "Global City with Global Standards and Values" under the JNNURM. The city has been strategizing its future since 1998, when the first set of city consultations took place.

With this vision in mind, SMC has given high priority to implementing managerial and administrative reforms. Hence, SMC has conducted a training needs assessment with technical assistance from the National Institute of Urban Affairs (NIUA) and the Ahmedabad-based Urban Management Centre (UMC), which has conducted similar exercises for sixteen organizations in Gujarat.

The goal of the assessment was to prepare a City Training Plan. The objectives were to:

- Identify training needs based on human resources currently available in SMC

- Identify specific training modules relevant to the responsibilities of the municipal officials

- Enhance professional knowledge and skills leading to performance improvement through assessment and analysis of training needs

- Facilitate preparation of a need-oriented training calendar for SMC.

The study methodology involved conducting meetings and interviews, as well as administering individual questionnaires. Meetings were conducted with key informants: the mayor, the municipal commissioner, and division heads. A separate SWOT analysis was conducted with elected officials, staff of engineering departments (roads, water supply, drainage, sewerage, urban planning, street lighting), staff of departments dealing with provision of social infrastructure (health, slum upgrading/rehabilitation, health and education), and administrative and financial sector officials. SWOT analysis is a useful tool to help organizations appreciate the strengths of a situation, define the weaknesses, make the most of the opportunities that present themselves, and recognize the possible threats and treat them in a planned and organized way.

5.0 Endnotes

[1] Theme developed based on World Bank, "Local Economic Development: A Primer on Developing and Implementing Local Economic Development Strategies and Action Plans," August 2003, A Knowledge Management Product of the Bertelsmann Foundation and World Bank Cities of Change Initiative.
[2] Ibid.
[3] World Bank, "Afghanistan - Building an Effective State: Priorities for Public Administration Reform," Report No. 46834, Poverty Reduction, Economic Management, Finance and Private Sector Development, South Asia Region, Washington DC, 2007, pp. 17-37.
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[5] Vijaya Samaraweera, *Municipal Governance in Afghanistan: A Handbook,* USAID-funded Afghanistan Municipal Strengthening Program, ICMA International, Kabul, Afghanistan, March 2009.
[6] Kolkata Municipal Corporation, "Capacity Building Programme: Vision & Strategy," Vol. 1 (2006), available at https://www.kmcgov.in/KMCPortal/downloads/CBP_Vision1.pdf.
[7] National Institute of Urban Affairs (NIUA) and Urban Management Centre (UMC), "Training Needs Assessment for Surat Municipal Corporation," August 2008.

Chapter 6: Leadership and Executive Management

Summary: This chapter explains that municipalities in Afghanistan need to undertake reforms. This chapter also explains why leadership and top-level management are important for local development as well as for the reforms. The chapter tells how municipalities can develop good leadership and executive management and use them for various purposes, such as citizen participation, economic development, strategic planning, and project implementation.

Objectives: The objectives of this chapter are to answer the following questions:

- *What do we mean by good leadership and executive management in municipalities?*

- *Why are leadership and executive management important in good urban governance and reform efforts?*

- *How can leadership and executive management be improved in municipalities?*

- *What is the current state of leadership and executive management in Afghan municipalities?*

1.0 Introduction to Good Leadership and Executive Management in Local Governance

In a family, the role of the head of the family is challenging. S/he may be responsible for:

- Setting family values and rules to maintain order in the family

- Keeping the whole family united

- Discussing, deciding, and letting every family member know how the family earnings will be spent on different purposes (e.g., food, household items, clothes) so that family members can retain faith in and unity with the family

- Arranging interactions and talks with all family members for deciding family matters and for learning about each member's requirements within the family

- Delegating work responsibilities to each member of the family

- Paying special attention to the education and training of junior family members and children so that they can sustain the family in the future

- Ensuring that the family runs smoothly.

Similarly, in a municipality, leaders or mayors have a huge responsibility to serve local communities as well as the whole city. Their responsibility includes fostering economic development to nurture the quality of life of disadvantaged groups within their jurisdiction. Other important responsibilities of the leader or mayor are:

- To bring order

- To formulate decisions

- To ensure that the municipal staff members work and interact well together

- To create a structure or process to implement the decisions

- To implement decisions that will help run the city smoothly and meet every citizen's requirements.

In short, the leaders or executive managers are like the heart of the body. The heart pumps blood to all parts of the body and keeps it working. Similarly, the leader provides ideas, direction, and strategy to the staff of all the public service departments and keeps the system working. Leaders are judged by their ability to motivate and bring out the best performance

from the staff; by how well they communicate the vision and mission of the organization; and also by their ability and effectiveness in creating partnerships, networking, and collaborating with other organizations. The complexities and challenges in the public sector require senior municipal officials to have strong leadership skills.

Leaders are important not only to keep the public institution but the whole city united, progressing, and generating citizens' faith in their municipality. Leaders are also essential to introducing or smoothly executing any reforms or change in the existing systems. The role of leadership is meant to fit into the following framework:

- A politically impartial, professional, and merit-based civil service
- A core "guardian" agency, exercising strategic leadership and monitoring a system of spread-out management rather than operating through bureaucratic controls
- A strong focus on results-oriented management in the public service through the use of effective performance standards and indicators as well as promotion criteria that give greater weight to relative efficiency (rather than relying only on seniority)
- Tough, objective anti-corruption rules and agencies
- Legislative provisions and professional norms that facilitate making the civil service open to external inspection
- Systems and skill sets that provide high levels of communication capacity through effectively networked information technology.

1.1 Importance of Leadership and Executive Management in Good Urban Governance

Just as it is essential for families to have a head who can manage the family, any administrative management reform in public administration likewise requires commitment from political as well as senior officials. Without political commitment and leadership, it is not possible to improve the existing municipal civil service system. The World Bank research shows that almost half (40 percent) of the failures of civil service reform projects are due to lack of political commitment and leadership.[1]

Because each family is different, its situation is different, and therefore the required commitment or efforts of the head of the family are different. But a head of the family is essential for all families. Similarly, in municipalities, the factors that require commitment are specific to every situation since they are embedded in the politics of a particular institution. But even where reform is feasible and where policy makers have decided to commit themselves to it, leadership is still needed to see it through. For example, no particular vision is generally needed to implement a simple policy such as a pay raise for civil servants, but a leader is still required.

To decide how much to spend and how to organize and implement tasks for each municipal function, good leadership is essential. Municipalities are key players in their local (and regional) economy in a number of ways:

- They spend money on developing infrastructure that facilitates business and community activity and sustains environmental quality (e.g., roads, drains, parks, and gardens).
- They provide important community services (e.g., child care, recreation services) that support economic activity and promote the health and well-being of the local population. These assist in developing social cohesion and a local identity.
- They are effective partners in the early stages of project development through their role in development approvals (e.g., planning, building, and health).
- They are often the point of contact for local businesses' and the community's day-to-day concerns that affect the immediate environment for business production and quality of life (e.g., local land use conflicts and their resolution, lobbying of other levels of government

for attention to problems outside the municipal council's responsibility, provision of information on changes to regulations or housing controls).

In undertaking these activities, which are part of their fundamental obligations, municipalities should recognize that they are directly influencing the way in which the local economy develops. In this aspect, municipalities themselves are considered to play a leadership role. To carry forward such responsibility, municipal institutions and departments need to perform and deliver the best possible services to the community, and for this they need a supportive and leading organizational culture and team. Municipal councilors and senior municipal officials have big responsibilities, and their attitude, management strategy, decisions, and performance will have a direct impact on the local community.[2]

1.2   Improvement of Leadership and Executive Management in Municipalities

The head of a family needs to consult every family member in all family matters and work out the best option for the well-being of the family. Successful leadership, in families and in governments, requires the capacity to make difficult decisions and implement them. Governments are realizing that managing staff in the public sector is one of the most powerful, yet so far least appreciated, ways to achieve their political and strategic objectives. In an administrative system, the leader should adopt policies that:

- Optimize conditions for staff to develop
- Preserve the dignity of employees, particularly their right to participate in decisions that affect them
- Effectively harness the talents of all groups from which the public workforce is drawn (both women and men, members of all ethnic groups, and so on).

As government leaders can do in their administrations, the head of the family can create friendly relations within the family if s/he chooses the best way to interact with each member and can keep the family talking together openly. Similarly, in the evolving management system "from government to governance," the accountability relationships in the public service will need to change in a major way, and the role and challenges of leaders will also change. Some likely implications may include the following:

- Accountability conflicts in the public service will increase
- Public officials and leaders will be required to exercise increasing judgment over the form of accountability to prioritize in a given circumstance
- Professional and personal accountability will become more important for public administrators—senior administrators will have new leadership roles to play
- Political accountability will become less dominant
- Political representatives will be required to monitor the "accountability system" for its overall results and integrity.

In the evolving management system, the municipality will have a more complex and demanding role to play in that multifaceted accountability will place new demands on the discretion and professionalism of senior officials. Their leadership is essential for preserving important values of fairness and honesty while furthering communication flows and consultative mechanisms for interaction with society. At the same time, senior officials are charged with ensuring the sound management of public service delivery in response to citizen needs and entitlement.

In creating an enabling environment for effective responses to the challenges facing the public sector today, leadership by dedicated professionals working in a civil service environment that provides them with both moral and material support is of critical importance. In developing countries, the role of leaders is even more challenging because they have to face up to organizational and institutional challenges through the choice of effective strategy

while working with limited resources. They also have to check that an effective governance structure is already in place.

In the newly emerging governance model, the role of leadership is seen as a facilitator of learning. It is understood that the process of transforming the public sector and its management will require action at every level of government, from leaders themselves, from politicians, from human resource managers, and from all those involved in public service delivery. While the concept of leadership may be understood differently in different cultures, it is generally seen as a process, consisting of a series of ongoing interactions between a leader and others. Leadership also involves influence because leaders motivate other people to do things and because leadership takes place in a group context, involving a number of individuals and a common purpose.[2] As a result, leadership skills are emerging as one of the most critical competencies of senior public servants.

Leaders can further facilitate organizational learning and reform in the public service by focusing their efforts on three important areas[3]:

- Encouraging participatory development of a vision for public sector reform

- Motivating and bringing out the best in staff

- Encouraging more direct involvement of stakeholders in the implementation of reform and thereby promoting greater responsiveness and accountability of public servants to the needs and concerns of citizens.

To have a vision or to know which direction to take is important in successful leadership of any reform or change. In public service, the vision is generally built after consultation with various key stakeholders and staff (see Chapter 9, Municipal Strategic Planning). A shared vision must build on the individual visions of municipal staff members. This requires that staff members have a clear view of the bigger picture both in terms of the challenges facing the organization and where it is heading. Thus, what characterizes a leader is the ability to facilitate the development of a common vision that expresses the objectives of both staff and key stakeholders regarding where the city wants to be in the future. To be effective, the vision needs to be persuasive, attractive, hopeful, and promising. It must also be both challenging and feasible. Such shared development of a vision can help build an environment of trust, faith, collaboration, equity, and democracy within the department or municipality. Such an environment can also help in undergoing any reforms or in changing the values and attitudes of the municipal staff, and that can help the positive development of the community, city, or country. This way, leaders can slowly motivate their staff or team to adopt new values, norms, and standards in their performance.

Further, the role of a leader in public service includes attracting and retaining talent, making merit-based appointments within the team, getting the best person for the job, supporting and developing the staff, setting the standard for performance, adjusting staffing levels according to needs, and promoting organizational learning and knowledge sharing. These topics are covered in Chapter 5, Human Resource Development; therefore, they are not explained again in this chapter.

2.0 Leadership and Executive Management in Afghanistan

The role of leaders in a conflict-torn country like Afghanistan is both critical and complex, as it involves not only developing and motivating the public sector staff, but also engaging communities and citizens while working with limited resources and especially difficult circumstances:

- Instability, corruption, and low and irregularly paid salaries for public staff are the biggest challenges to establishing staff motivation, positive involvement, and best performance.

- Lack of citizen involvement and awareness about the functioning of the municipality is another tough challenge. Without community support and private sector involvement, it is difficult to perform better.

To overcome such problems as those shown in Case Study 1, "Enhancing Public Accountability through Civic Engagement: the Case of Civic Leadership in the Republic of Korea" (see Annex A), Afghan municipalities can adapt the system used in South Korea to fight corruption and to achieve accountability. As shown in this case, not only has public participation increased, but people's awareness of their rights has also increased.

Afghanistan's challenges require a new concept of leadership within the public sector that differs significantly from the traditional model. The traditional model requires that the head of a hierarchical system, like the classical military leader, "lead from the front." In contrast, those whom the person "in charge" now leads are in several senses his or her superiors—whether they are the staff in a departmental hierarchy or the citizens they serve—who hold them to account through the principle of responsible government. In this new concept of leadership, the department staff are important, as the success or good performance depends on the quality and integrity of this core group of civil servants. In creating an enabling environment for effective responses to the challenges facing the public sector today, leadership by dedicated professionals working in a civil service environment that provides them with both moral and material support is highly important, and in accordance, the actions of all levels of staff are equally important.

In the present phase of Afghanistan, municipalities need leaders who are capable of "leading from where they are." The leaders need the capacity to build networks around common interests and functions from within and around. Leading within the network becomes a collective exercise. A leader in public administration must constantly bear in mind the terms "public" and "service" even as s/he works within an organization that must be, to at least some extent, hierarchically structured.

As mentioned in Chapter 5, Human Resource Development, municipalities may begin implementing administrative reforms by selecting a priority sector and introducing performance management as a way of making managers aware, for the first time, that they are responsible for the performance of staff. For example, in the case of Porto Alegre, Brazil, the mayor identified improvements in the budgeting system as a priority and developed a model involving citizens in the process. Case Study 2, "The Mayor's Initiative for Participatory Budgeting in Porto Alegre, Brazil" (see Annex A), illustrates this example in detail.

Afghan municipalities can begin implementing administrative reforms by establishing a leader for a selected task and helping him or her build up a team, provide physical infrastructure, prepare an implementation plan, delegate work, and monitor performance. For example, in Alandur Municipality in India (see Case Study 3 in Annex A), the chairman of the municipality initiated an innovative project of providing physical infrastructure with a very tight budget while involving the local community.

In another example, to overcome problems of transparency in paying expenditure bills, the municipal commissioner of Hubli-Dharwad in India initiated a project that first involved rearranging the expenditure payment system within the municipal department. Second, while interacting with contractors to explain this internal change in the system, the municipality corrected and improved the private investments in public works projects. See Case Study 4, "The Municipal Commissioner's Initiative for Transparency in Expenses in Hubli-Dharwad, India," in Annex A.

The various examples and concepts presented suggest that the next steps for leaders in Afghan municipalities, after creating public awareness and setting up mechanisms for anti-corruption, may involve developing a comprehensive strategy and yearly plan for capacity building (CB) for their selected priority sector or service. Within that sector the leader can

take the following steps in implementing the CB process and managing service delivery in a professional, responsive and accountable way:

- Identify key capacities in the identified priority sector.

- Plan programs and activities.

- Conduct a capacity needs assessment.

- Map existing support and resources for CB as well as physical infrastructure needed.

- Seek help from an international body or experts if necessary.

- Develop a CB policy, including ongoing training programs for staff.

- Establish a coordination or steering group involving key stakeholders, organizations, and communities.

- Involve the media for information sharing, building of awareness among citizens, and performance review.

- Review existing CB and support programs to identify gaps and unmet needs.

- Develop and discuss a comprehensive strategy for CB with senior officials, staff, other government officials, stakeholders, and partners.

- Use and plan resources efficiently.

- Develop a phased strategy and work plan for CB.

- Identify a team and core CB components in administrative skills, including basic office skills, information technology (IT) skills, and management skills.

- Work out roles and responsibilities of team members.

- Develop and motivate responsiveness and accountability for service delivery.

- Set standards of performance and targets.

- Introduce modes of appreciation and rewards for better performance (e.g., promotions, salary benefits, more responsibility).

- Set up a transparent, accountable recordkeeping system for each sector using IT. If possible, use existing records.

- Create a performance management and appraisal system (including use of media) to regularly monitor the performance of each team on each task.

As shown above, Afghan municipalities can establish a leader and team for each service sector and set up a system through consultation to carry out each public service professionally and responsively. The following section (Annex A) presents some examples in which leaders have identified and initiated public service projects and shows how they built up teams and identified partners to successfully carry out these projects.

What did we learn about in this chapter?

- *The concept and need for leadership and executive management*

- *The approaches and mechanisms that promote good leadership and executive management*

- *Ways to improve leadership and executive management in Afghan municipalities*

- *Examples of initiatives from other countries that municipal leaders in Afghanistan can adapt for their municipalities*

3.0 Annex A: Case Studies

3.1 Case Study 1: Enhancing Public Accountability through Civic Engagement: the Case of Civic Leadership in the Republic of Korea[4]

In 2001, public accountability procedures in the Republic of Korea underwent several radical reforms. The country initiated a number of measures to incorporate citizens and civil society organizations into the auditing processes of the state.

In 2001, the Bureau of Audit and Inspection (BAI), the supreme audit institution of the Republic of Korea, introduced the Citizen Audit Request System, backed by its Anti-Corruption Act, that empowered citizens to freely seek "audits in areas where they feel that the public entity entrusted with carrying out a certain function has not done so effectively or judiciously." A Citizen Audit Request Screening Committee, chaired by an eminent citizen, determines the validity of these requests, and grants or withholds approval for the audit.

To enhance transparency in auditing, the BAI is also implementing an Advanced Audit Notice System (AANS) to inform citizens of the direction and period of the audit of a particular enterprise or institution. AANS can also receive citizen complaints of malpractice related to the audit targets and factor these into the agenda of the particular audit. In addition, BAI operates a civil petition department to deal with public complaints about executive agencies. Considerable change has also taken place with regard to the disclosure of audit reports.

Several local governments have also introduced the Citizen Auditor System. At this level, civil society leaders rather than public officials serve as auditors for a period of time, review the grievances and other complaints submitted by citizens, and conduct audits. Given several cautions concerning possible misuse of these transparency measures, citizen participation in audit in Korea seems to have produced a number of benefits: public participation and people's awareness of their rights have increased, corruption rates have gone down, while service delivery equals that of many developed countries.

3.2 Case Study 2: The Mayor's Initiative for Participatory Budgeting in Porto Alegre, Brazil[5]

The most widely discussed and innovative model of engagement in municipal budgeting is that of the "people budgeting" system in Porto Alegre, Brazil. Though not wholly limited to this municipality, Porto Alegre's system is regarded as the most comprehensive citizen engagement initiative designed by the mayor at the municipal level, not only in Brazil, but the world.

The 1988 constitution of Brazil defined municipalities as federal entities and specified their share of the national income tax receipts. Dynamic mayors used their new constitutional and fiscal authority to reform and innovate in areas critical to sound municipal governance—primarily participatory planning and management, as well as developing partnerships with private enterprise and nongovernmental organizations for sustainable and equitable development of their cities.

Pursuing a bottom-up framework for participation, the city of Porto Alegre has been divided into 16 regions and, below the regional level, into neighborhoods, where the participatory budget process begins with public meetings at the outset of the annual budget cycle. Citizens debate the previous year's plan and its outcomes, determine priorities for the coming year, and elect delegates for the Participatory Budget Council, the regional meeting at which neighborhood proposals are prioritized and weighed. Citizens also debate issues and elect delegates to five "theme" or sectoral panels, covering areas such as transportation, education, health, environment, and taxation.

Given its complexity, the whole system requires a good deal of technical support from the municipal executive office so as to function properly. An array of technical offices (in

particular, the municipal planning and coordinating offices) has since been set up to provide this support. Through the participation of all sectors of society, the project achieved more equitable performance in various sectors.

Participatory budgeting has strong political appeal (giving a "voice to the poor") and positive developmental consequences (improved and pro-poor budget allocations and delivery). Seeing this, many jurisdictions, including several municipalities within Brazil, are experimenting with participatory budgeting.

3.3 Case Study 3: The Chairman's Initiative for Peoples' Participation in an Underground Sewerage Project, Alandur Municipality, India[6]

Alandur municipality is located in the Kanchipuram district of Tamil Nadu State. As a residential suburb of Chennai, Alandur required infrastructure facilities on a par with those of other cities. To deliver better utility services, Mr. R.S. Bharati, Chairman of Alandur municipality, in 1996 initiated a project based on a public-private partnership model. The project was carried out in two phases. The concession agreement signed between the municipality and private contractor was based on a Build Operate Transfer (BOT) model (see Chapter 21, Service Delivery, for more details on this model). The municipality conducted a willingness-to-pay survey to assess financial viability and social acceptability of the proposed project.

Strategies Adopted

- The municipality organized discussions with residents' and civic associations on weekends and holidays. During these sessions, municipal representatives motivated people and convinced them to participate in the implementation of the underground sewerage project.

- Municipal representatives explained the scheme in detail to the officers of the various residents' associations during the subsequent meetings. As a result of these meetings, people showed interest and started paying for the sewerage service voluntarily.

- The municipality motivated residents through advertisements on the local cable television network and in newspapers. People were also informed about the scheme through pamphlets and announcements.

- The municipality set up several collection centers to collect money from the citizens and also organized house-to-house collection of money.

Transferability

Development of an underground sewerage network is a conventional engineering practice, yet this initiative has a unique feature: the municipality, through its leader, succeeded in persuading the people to make a financial contribution for their own betterment. This is called a beneficiary participatory approach, which reduces the financial burden borne by the municipality on the one hand and gives a feeling of ownership to the citizens. Alandur's initiative is a perfect model of a participatory approach and can be replicated with effectiveness in other municipalities.

3.4 Case Study 4: The Municipal Commissioner's Initiative for Transparency in Expenses in Hubli-Dharwad, India[7]

This case provides an excellent example of good leadership. The idea of transparency in expenditures was initiated by the municipal commissioner, with the support of the mayor and council members. Apart from the political motivation, the municipal staff of both the Accounts and Revenue Departments worked hard to build the database and streamline the payment procedures. It was the team effort that made this reform possible in Hubli. Before the initiative, the Hubli-Dharwad Municipal Corporation (HDMC) found the following problems:

- Nonpayment of contractors' bills for their work had led to a financial crisis. As the contractors did not get their bills paid, they could not invest in further work. Slowly, both regular maintenance and developmental work came to a standstill. Contractors were not ready to take on new work because of their uncertainty with regard to payment of bills, and an air of mistrust crept in.

- The system of payment was subjective, depending upon the discretion of the commissioner. This was open criticism.

- The expenditures from revenue, capital, and suspense accounts were not disclosed to the public.

- Before the introduction of transparency, the information on major expenditures for separate functions such as public works, health, salary and pension benefits, and capital needed to be retrieved from files and were not clear.

Implementation Strategy

The best way to break the negative cycles, clear the atmosphere of uncertainty and mistrust, and overcome the shadow of the past was through administrative transparency. The target for the initial reform was the most important issue concerning the public: the finances of the Corporation. Transparency meant that the Corporation would share with the public the details of its monthly revenues and its expenditures. The Corporation attempted to disclose detailed information. Also, it gave equal treatment to each bill and initiated various actions to clear out the backlog of bills. An important first step was to create a database. Pending bills were categorized and entered into the database according to their submission date. The commissioner held meetings with contractors and elected officials of HDMC, during which he explained this new process to everyone, and they became convinced of the transparency in the activities.

Results Achieved

- The staff in the Accounts Department could not concentrate due to contractors coming to their office asking for payment. Under the new system, however, contractors' visits to the staff decreased because contractors are paid directly into their accounts.

- Displaying information on the notice board and website helped both the staff and contractors share information.

- No chance of corruption was left, as everything was systematic, following rules and fixed patterns. The air of mistrust slowly vanished.

- Reports generated from the database and analysis helped the staff to streamline and plan their expenditures according to the revenue generated.

- Payment of bills for various categories of work was kept current and was open for public opinion.

- The growing trust was palpable. Slowly, contractors showed interest in taking on new work.

4.0 Endnotes

[1] United Nations, "Unlocking the Human Potential for Public Sector Performance: World Public Sector Report 2005" (New York: United Nations, Department of Economic and Social Affairs, 2005), available at http://unpan1.un.org/intradoc/groups/public/documents/un/unpan021616.pdf.

[2] Guthrie, Diane, "Engaged Governance: An Institutional Approach to Government-Civil Society Engagement," background paper for the UNDESA Interregional Workshop on Engaged Governance for Pro-Poor Policies, Colombo, Sri Lanka, December 9-11, 2003.

[3] United Nations, "People Matter: Civic Engagement in Public Governance, World Public Sector Report" (New York: United Nations, Department of Economic and Social Affairs, 2008), available at http://unpan1.un.org/intradoc/groups/public/documents/un/unpan028608.pdf.

[4] Adapted from Pyun, Ho-Bum, "Audit and Civil Society," *Auditing for Social Change: A Strategy for Citizen Engagement in Public Sector Accountability* (2007)*,* as cited in United Nations, "People Matter: Civic Engagement in Public Governance, World Public Sector Report," p. 141.

[5] United Nations, "People Matter: Civic Engagement in Public Governance, World Public Sector Report," pp. 79-83.

[6] "Peoples' Participation in Underground Sewerage Project in Alandur Municipality," *India Best Practices Catalogue 2003, En Route to Urban Reforms,* 2003, documented by ICMA/UMC for USAID, available at http://124.30.164.71/jnnurm/MOA%20Best%20Practices/Optional%20reforms/PPP%20-%20010/PPP%20in%20Undergrnd%20Sewerage%20Project-Alandur.pdf, pp. 208-211.

[7] City Managers' Association Karnataka, "Initiatives in Urban Sector, Karnataka 2008," http://www.indiaurbanportal.in/bestpractice/national/BP-Cities/Karnataka/karn_transparency_exp_1.pdf (accessed July 2010).

Chapter 7: Ethics, Transparency, and Accountability

Summary: *This chapter examines the meaning and importance of ethics, transparency, and accountability in the municipal administration, among the municipal staff, and in interactions with partners or local businesses. This chapter also explains how Afghan municipalities can promote ethical behavior by municipal officials and staff, adopt practices that increase the transparency of municipal activities, and establish accountability for results.*

Objectives: *The objectives of this chapter are to answer the following questions:*

- *What are ethics, transparency, and accountability in municipalities?*

- *Why are these principles important in good urban governance?*

- *What is the current state of ethics, transparency, and accountability in Afghan municipalities?*

- *How can Afghan municipalities instill ethical behavior, transparency, and accountability in the municipal administration?*

1.0 Introduction to Ethics, Transparency, and Accountability in Local Governance

In a family, the elders always teach their children about right and wrong. They also teach children what they should and should not do. These teachings are generally based on social and cultural values; for example, one should always tell the truth, one should not steal, one should respect one‟s elders. These are rules of society and human ethical values, which are transferred from one generation to the next. In the same way, all family members should generally know what is happening in the family. If family matters are transparent to each family member, there is unity and confidence within the family, and the family can face all challenges with a united front. Also, it is the head of the family‟s responsibility to let all family members know how the family‟s income is spent (e.g., on food, household items, clothes) so that family members can retain faith in and unity with the family.

Similarly, in a municipality, there are set standards or rules, which unite the staff members with a common understanding of what is right (ethical) and wrong in their service to citizens. It is also the municipal staff‟s duty to let citizens know how the staff is serving them: all municipal services need to be transparent and accountable to the public. This transparency includes explaining how much of the citizens‟ money is spent on each task, how much work is pending, how much more money the municipality needs to do its work, and how the decisions are made.

In a municipality:

- **Ethics** refers to established standards of right and wrong that guide what people ought to do, usually in terms of rights, obligations, benefits to society, fairness, or specific virtues. Ethics, for example, refers to those standards that impose reasonable obligations to avoid engaging in corrupt practices, stealing or misusing public money, or showing favoritism in hiring employees or contracting work out. (*Source:* Santa Clara University, "What is Ethics?," http://www.scu.edu/ethics/practicing/decision/whatisethics.html, accessed April 2, 2010.)

- **Transparency** refers to access by the public to timely and reliable information on decisions and performance of public services.

- **Accountability** refers to public officials‟ obligation to let citizens know how the officials have used public resources and also to officials‟ answerability for their performance in public service. Where transparency and accountability are lacking, corruption thrives.

1.1 Effects of Corrupt, Unethical, and Unaccountable Government on Society

In a family, if the head of the family engages in corrupt practices, such as using family earnings for himself or herself only, and does not let other members of the family know how the family income is spent, the rest of the family will eventually start doubting this person and start losing faith in him or her as the head of the family. Other family members who are giving their earnings for family expenses might stop giving their earnings to the head of the family. In the long run, the family will not be able to sustain itself or run smoothly, and it might split up. Such practices of the head of the family can be disastrous for the existence of the family itself.

Similarly, corrupt, unethical, and unaccountable practices of a municipality can be very harmful to the society as a whole. Not only in Afghanistan, scandals involving public officials have captured worldwide attention. Corruption and unethical, unaccountable, and unprofessional behavior in the public sector and in government is visible, for example, in making deals with the private sector or in diverting or misusing funds where widespread or huge public and private sector investments are involved.

The effects of a lack of integrity, transparency, and accountability—leading to corruption and misconduct—are devastating. Unethical practices, bribery, and fraud have a very real human cost—for example, in the lives of people who are robbed of quality health care and medicines or of children who are not properly educated. The financial and even public safety costs of corruption are shocking. A lack of public trust undermines and even destroys political stability, and corruption remains the single most significant obstacle to development goals.[1]

> **Financial, Political, and Socio-Economic Effects of Corruption**
>
> - Corruption and lack of accountability among public officials—in collaboration with the private sector—poses a serious threat to democracy, human rights, and the rule of law.
> - Financially, public officials" diversion of funds into their own pockets means less money for the development of their nation and their people.
> - Politically, corruption reduces public confidence in and increases distrust toward government, which can break down peace and order in a society.
> - Economically, a lack of reliable public institutions and fair regulations discourages investment and trade. The poor are the general victims of corruption, who suffer from the lack or poor quality of essential public infrastructure and services.
> - Socially, all these factors generally reduce trust among citizens. They also increase the level of organized crime in a country, and such crime also affects other countries.
>
> *Source:* United Nations, "Professionalism and Ethics in the Public Service: Issues and Practices in Selected Regions" (New York: United Nations, Department of Economic and Social Affairs, 2000), unpan1.un.org/intradoc/groups/public/documents/un/unpan000112.pdf.

The costs of poor performance and corruption in the public service are too great to bear. This is true not only for the public service but also for the entire public sector, political leadership, and society at large. Corruption has large, negative effects on private investment and economic growth.[2]

1.2 Reasons for Higher Standards of Performance and Conduct for Public Officials

The head of a family is responsible for the welfare of the whole family; his or her decisions, conduct, and management affect the trust, happiness, and unity of the whole family. Managing a family is a balancing act. The head of the family has to make every member of the family happy and at the same time oversee family members" execution of all family functions.

Similarly, in municipalities, the officials are responsible for the welfare of the whole city. Their decisions, services, and work affect a large part of civil society. If they engage in corrupt

practices or unethical acts, they lose the confidence of the public whom they are serving. Managing a city government is a tough task and requires multitasking and balancing. Elected officials, advisory board members, and city managers may be required to make decisions that adversely affect some groups or individuals. City officials can win public trust by following basic rules of ethics and standards to achieve a level of conduct such that a failure to act would be wrong or shameful. With the introduction of the modern state, government officials have taken on the role of stewards or protectors of public resources and guardians of a special trust that citizens have placed in them. In return for this confidence, they are expected to put public interest above self-interest.[3]

1.3   Importance of Ethics, Transparency, and Accountability

As mentioned above, the role of the head of the family is challenging and involves a balancing act. The head of the family needs to set some guidelines for fair family conduct. Without such guidelines, s/he and the other family members cannot justify their acts.

In the same way, ethics in the public service are established values that explain how public servants should exercise their judgment and responsibility in carrying out their official duties. Municipalities that adopt codes of ethics and support them by providing incentives and penalties depending upon performance have strengthened these values to a great extent. Ethics, transparency, and accountability are inter-related and depend on each other in the way that they have been valued in municipalities and by their staff.

Where there are no established rules or values for ethical behavior, government staff often exploit or misuse public office or public resources for private gain or use, which is termed corruption in the public service system. Ethics and corruption can be considered as two sides of the same coin.

Where there is order in the administration, and all financial and operational records are kept in an open, clear, systematic way, there is transparency in public services and their conduct. Transparency makes public servants or municipal staff carry out their work ethically and makes them accountable to citizens or other stakeholders because there are higher chances of being caught for misconduct.

An ethical, transparent, accountable administration increases citizens" faith in the municipality and the service providers, helps increase citizen participation in various functions of public services, and helps the municipality achieve good urban governance.

2.0 Current State of Ethics, Transparency, and Accountability in Afghanistan

The Afghanistan National Development Strategy (ANDS) and other documents show that Afghanistan has made substantial efforts to integrate ethics, transparency, accountability, and anticorruption policies at the national level. The following policies and strategies provide examples.

The National Anticorruption Strategy in the ANDS is based on the following key goals:

- Enhancing government"s anticorruption commitment and leadership
- Raising awareness of corruption and evaluating the effectiveness of anticorruption measures
- Mainstreaming anticorruption into government reforms and national development strategies
- Strengthening the legal framework for fighting corruption and building institutional capacity for effective implementation of the United Nations Convention against Corruption (UNCAC).[4]

Articles 10, 12, and 13 of UNCAC specifically deal with these aspects. Article 10 clearly recognizes the need to combat corruption, while stressing the need to enhance transparency in local public administration with regard to its functioning and decision-making processes.

Article 12 further specifies how to deal with corruption while involving the private sector in various local government functions. The article also details how to make legal provisions and provide effective, proportionate, and dissuasive civil, administrative, or criminal penalties for failure to comply with anticorruption measures, which may include:

- Promoting cooperation between law enforcement agencies and relevant private entities

- Promoting the development of standards and procedures for private sector involvement, including codes of conduct for businesses and professional work with the public sector

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Results of ICMA's 2008 Survey Related to Corruption in Afghanistan

ICMA"s 2008 survey report studying levels of corruption and local people"s response at various levels of government institutions provides important evidence to consider for further building up a strategy and action plan for individual districts or provinces. The survey found that 83% of all respondents felt that corruption in Afghanistan as a whole was a "major" problem; 12% thought it was a "minor" problem, and 5% thought it was not a problem. Three-quarters of respondents said that corruption was a "major" problem in their provincial government and in local authorities (76% and 72%, respectively). Seven in 10 residents reported corruption in their neighborhood (69%) and in their daily lives (71%) as a "major" problem.

Few residents thought that progress had been made in decreasing corruption in the year prior to the survey. Six in 10 residents said that corruption in Afghanistan as a whole had "increased" in the last year. Half or slightly fewer residents said that corruption had "increased" in their provincial government, their local authorities, their neighborhood, and their daily lives relative to the last year.

Source: National Research Center, Inc., "Afghanistan ICMA City Survey, Report of Results" (Boulder, Colorado: National Research Center, August 2008).

- Simplifying administrative procedures and creating transparency and accountability by providing public access to decision-making authority and information

- Publishing relevant information to prevent opportunities for corruption.

It has also been specified that municipalities must maintain books and records, financial disclosure, and accounting and auditing standards to prevent corruption. There is also a mention in the document of using media and well-designed public information campaigns to discourage people from offering bribes to government staff and to discard bad or corrupt practices of government staff. Hubli-Dharwad Municipal Corporation in South India (see box) provides an example showing how transparency has been achieved in practice.

Also, Article 12 of provincial councils states how to prevent corruption when the private sector is involved with the public sector. This includes the development of standards and procedures designed to safeguard the integrity of relevant private entities and a code of conduct. Similarly, in Brazil, the Brazilian Council of State Reform, which is composed of twelve presidential appointees from business, academia, and the legal profession, recommended that a code of conduct be approved, covering ministers, vice-

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Hubli-Dharwad Municipal Corporation in the state of Karnataka, India, was facing a financial crisis in paying outstanding bills to contractors for their work. As a result, the corporation lost the faith and confidence of citizens, and contractors stopped taking on new contracts. The commissioner initiated this project to overcome problems with transparency in expenditures. The Corporation began disclosing the details of its revenues and expenditures. Also, it initiated various actions to clear out the backlog of bills, such as creating a database. This case shows that effective leadership and initiative, proper data and record storage, and team efforts can help in achieving transparency, accountability, and civic participation in municipalities.

For further details, see Case Study 4 in Chapter 6, Leadership and Executive Management.

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ministers, and other leaders at the highest level. In addition, a number of agencies, including the antitrust and petroleum regulatory agencies, introduced their own code of conduct, which was supported by the Council.

Attempts have already been made to promote transparent and accountable local government in Afghanistan. For example, there is a well-established tradition of using "social monitoring" techniques to inform the public of the costs and benefits of development projects by putting signs on public works projects. Further, there is also an opportunity to provide the public with information on core sector public activities in all public offices by prominently displaying their payroll amounts and quarterly budget allocations.

Article 13 prescribes provisions for society"s participation through various groups, such as civil society, nongovernmental organizations, and community-based organizations, in local public sector activities to prevent and fight against corruption and to raise public awareness regarding the threat of corruption. The article suggests that participation in anticorruption efforts should be strengthened by:

> **Report Card on Public Services in Bangalore, India**
>
> The primary purpose of the "report card" is to demand greater accountability and performance from service providers through systematic information on citizen satisfaction with public services. In the Bangalore context, the report card was initiated as a civil society initiative, triggered by growing public dissatisfaction with the city"s services. The report card was used by a nongovernmental organization, the Public Affairs Centre, both to create greater awareness and interest among citizens to initiate action to seek reforms, and to interact with public agencies (e.g., water, electricity, sanitation, healthcare, municipal services), in order to stimulate positive action to improve their services. Even individual initiatives, use of report cards, and media such as newspapers can help in generating civic participation, resulting in increased civic awareness, accountability. and transparency in municipal services.
>
> *For further details, see Case Study 6 in Chapter 21, Service Delivery.)*

- Enhancing transparency

- Ensuring that the public has effective access to information

- Undertaking public education programs

- Respecting, promoting, and protecting the freedom to seek, receive, publish, and disseminate information concerning corruption

- Forming and giving people access to anticorruption bodies.

Similarly, in line with the national-level articles, the principles of ethics, transparency, accountability, anticorruption policies, and citizen participation have also been transferred to local government levels in Afghanistan. These principles are highly visible in the Independent Directorate for Local Governance"s (IDLG"s) statements, policies, and work plans or strategies. The main evidence of these principles includes:

- A specific percentage reservation for women and younger people in elected bodies and the civil service to increase participation and generate transparency, ethics, accountability, and reduce corruption.

- The right of access to information from government offices in accordance with Article 50 of the Constitution to increase transparency and accountability. Public awareness can be generated using various methods. The Children"s Movement for Civic Awareness in Hubli, India (see box), demonstrates how a social movement and awareness of urban governance issues can be generated through children"s participation. The movement conveyed messages to families through training and various children"s activities.

- Publication of the national and provincial consolidated operating budgets, annual staffing limits by department and by province, and data on budget execution.

- For the development budget, improved public monitoring that allows expenditure tracking against commitments with studying its long-term effects on financing. Such monitoring would offer more discipline on donor activities, which may help in reducing regional inequities in distributing funds.

- For the development budget, a focus on "regional equity" for long-term goals, while capacity building for medium-term goals, using local data. This can be a very important step in planning budgets and enhancing transparency.

> **Children's Movement for Civic Awareness in Hubli, India**
>
> The Children"s Movement for Civic Awareness (CMCA) is a joint initiative of a government organization (Hubli-Dharwad Municipal Corporation) and a nongovernmental organization (the Public Affairs Centre of Bangalore). It was launched in the year 2000 to foster civic pride among children and adults through civic clubs in schools. The program is aimed at giving children an opportunity for learning, self-growth, and community service. Eighth- and ninth-grade students were targeted as members of the civic clubs.
>
> Field visits to parks, meetings with the mayor and the commissioner of Hubli-Dharwad Municipal Corpora-tion, programs, rallies, street processions, and other activities were planned under the CMCA. The result was encouraging, and the program created increased awareness of civic issues among children. Children were not only aware of the problems, but they also had solutions to offer. The children brought the civic messages home, and hence parents participated indirectly in the learning process.

Municipalities can build on existing municipal arrangements to instill the principles of ethics, transparency, and accountability. Because municipalities represent the only subnational level of more-or-less autonomous government in Afghanistan, there is still a need to maintain the autonomy of municipalities. For example, district municipalities should not report through provincial municipalities. Also, specifying different service expectations for municipalities with differing revenue-raising capacities could offer a promising rise in local services.

In conclusion:

- From various reports, it is evident that various policies for establishing ethics, transparency, accountability, and other anticorruption measures are already in place at the national and local government levels in Afghanistan.

- Systematic implementation of these policies is urgently required.

- It is very important that all local government institutions in Afghanistan adopt a comprehensive and integral approach while reforming the local governing system.

- Such reforms would require both a top-down and bottom-up approach to local policy implementation in line with the national law.

- The adopted strategy and reforms should be continuous in nature, with regular review and amendments.

3.0 How To Achieve Ethical Behavior, Transparency, and Accountability in Afghan Municipalities

In Afghanistan, ethics, transparency, and accountability need to be introduced simultaneously in municipal administrations and in the society, by creating awareness and enhancing civic participation in decision-making processes and in monitoring, reviewing, and reforming public services.

3.1 Establishment of Higher Standards of Conduct for Municipal Staff

The first and most important requirements are political will and social support for ethics, transparency, and accountability in municipalities. In addition to overall ethical guidelines,

municipalities need to establish some guidelines for day-to-day activities of municipal staff. Municipalities therefore need a comprehensive and detailed code of ethics, incorporating real-world case studies that can act as a guide for officials to carry out their duties fairly. Elected officials and staff need to follow this code of ethical standards to eliminate dishonesty, conflicts of interest, unfairness, or illegality.

Municipalities can reduce corruption by enforcing ethical standards and punishing illegal, criminal, and unethical behavior. Effective ethical guidelines and follow-up are essential for corruption-free, transparent, and accountable public sector performance. Social awareness and public demand can also help in overcoming corruption. The following overall factors are essential to achieving ethical behavior, transparency, and accountability in municipalities:

Municipal Administration

- Establishing a code of ethics and legislative standards.

- Restructuring institutions and administrative procedures to ensure that public servants will put the interest of the public above their own interests.

- Setting up effective management structures.

- Sharing information about government decisions and activities. Good records management and access to information are of interest to all segments of society: investors, the development community, the media, and citizens. To achieve transparency and make stakeholders aware of the public sector"s work, municipalities can use methods for public disclosure such as newsletters, reports, newspaper articles, and displays on municipal office walls.

Civil Service/Staff

- Enacting a clear civil service law that outlines the legal rights and responsibilities of public servants.

- Establishing a career system based on merit principles, which fairly and impartially recruits and promotes public servants.

- Making training more practical and effective.

- Making the civil service more attractive and competitive by improving salaries and benefits.

- Introducing a system of incentives and penalties that encourages public officials to carry out their duties professionally and engage in proper conduct.

- Implementing and enforcing well-articulated, fair human resource policies on appropriate pay, training opportunities, and disciplinary procedures.

- Developing, through the recognition of good work and correction of poor performance, a culture of professionalism and pride in giving good service to citizens. For this, leaders can set good examples.

Partnerships and Business Relationships

- Avoiding joint ventures with private sector companies that do not comply with anticorruption laws and regulations.

- Subjecting major projects to internal as well as external monitoring by civil society.

- Regularly reviewing and amending laws and mechanisms to ensure that actual behavior corresponds to what is expected.

- Involving citizens in both the diagnosis and remedy of corruption and punishment of major offenders. Citizen participation is crucial in the overall governance process.

In conclusion, municipalities must take a holistic approach to gaining and keeping public trust, as ethics, transparency, and accountability are related factors that can sustain reforms

of public administration and, ultimately, governance. Fighting corruption requires continuous monitoring and updating of ethical information-sharing procedures and incorporating them into the policy, legal, and administrative structures of municipalities.

3.2 Municipal Administrations

In addition to establishing higher standards of conduct for municipal staff, as described in Section 3.1, the following suggestions are important to consider in the case of Afghan municipalities:

- To tackle corruption, municipal administrations should handle unethical acts as an integral part of a comprehensive governance strategy at the national level. Local implementation should establish links with the existing legal framework; namely, the Procurement Law (1384/2005), Convention against Corruption (1386/2007), and Public Finance and Expenditure Management Law (1385/2006). Similarly, municipalities can develop and implement their own codes of ethics. ICMA‟s code of ethics is a good example (see Annex A).

- To instill moral responsibility among public servants, municipal administrations should make use of media, workshops, conferences, and training programs. Municipalities should use available materials, such as those developed by the United Nations Department of Economic and Social Affairs (UNDESA) on Public Service Professional Ethics, for their staff training and motivation.

- Civil society and the media should monitor public projects. For example, public meeting notices and other information for the public could be published in the press, broadcast on local cable television channels, and announced on the radio.

- Municipal administrations should motivate public service employees to adopt the reforms and become active in introducing the reforms.

- Municipal administrations should identify sectors and areas based on the priority of the region where such reforms are required most considering their socioeconomic effects. Municipal administrations should then work out strategies and work plans accordingly.

- To reduce opportunities for corruption, municipal administrations should resolve land disputes and clear land titles.

- To establish transparency and accountability, municipal institutions should establish a systematic budgeting system and proper double accounting system. For example, as described in the case of Hubli-Dharwad in India (see Case Study 4 in Chapter 6, Leadership and Executive Management), the recordkeeping system and accounting system were improved and made clear using double accounting, which helped the Accounts Department make payments to contractors on time.

Municipalities can use various tools to achieve transparency. For example, the Public Disclosure Law[5] has made transparency mandatory in India‟s administrative reform initiatives. The Public Disclosure Law essentially aims at two kinds of disclosures: financial and operational.

Financial disclosures include:

- Disclosure of audited financial statements (annual and quarterly)
- Disclosure of key financial indicators to assess financial performance.

Operational disclosures include:

- Disclosure of levels of service provided
- Disclosure of programs, strategies, rules, and procedures.

This law specifies the frequency and mode of disclosure to be used for each purpose.

3.3 Society

The following points are important for creating public awareness and enhancing civic participation in Afghanistan:

- Citizen awareness and social movements to overcome corruption and increase ethical behavior, not only in public servants but throughout the society, are very important in Afghanistan"s present context. Initiatives such as the Children"s Movement for Civic Awareness in Hubli, India (see previous box) can be helpful. Such programs have a grassroots effect on people"s perceptions and awareness and can provide a strong social base for drastic change.

- Coordinated use of media, communication, and information-sharing tools (see box) help increase citizens" awareness, motivate public service employees, and establish accountability and transparency. For example, India"s 2005 Right to Information Act has brought about significant changes in the governmental and administrative functioning within the country. The Act requires every public authority to provide information that it holds or controls in two ways: through annual updates and upon request by a citizen. For further details, see Annex B.[6]

- Each city or province should establish an efficient and effective central mechanism for public complaints. Many Indian cities, including Ahmedabad, Bangalore, and Hubli, have established such a system.

> **Tools for Information Sharing and Communication**
>
> - **Displays/Posters:** For display of ongoing and proposed programs, plans, maps, and other information relevant to beneficiaries. Displayed in prominent places such as municipal offices, public libraries, and community centers.
>
> - **Workshops and Public Information Meetings:** For sharing proposed plans and projects with a wide audience. Venues for these include town halls or open grounds. Information on these meetings is made available to the public through various channels well in advance.
>
> - **Distribution of Printed Information:** For information related to plans, proposals, meetings, new programs. Distributed as brochures, newspaper inserts, or other formats.
>
> - **Websites:** For posting information and regularly updating it.
>
> - **Media:** For public meeting notices and other information for the public. Could be published in the press, broadcast on local cable television channels, and announced on the radio.
>
> - **Public Hearings:** For formal presentation of the municipality"s activities to the general public and for inviting comments and suggestions.
>
> - **Public Festivals:** Making use of large gatherings during festivals for distributing information and gathering feedback regarding development projects.
>
> - **Student Forums:** Making students aware of programs through visits, competitions (essay, debate) so that they become agents to ignite community participation.
>
> - **Seminars:** For participation from citizens with expertise in areas such as the identification and formulation of plans.
>
> - **Stakeholder Meetings:** For all stakeholders concerned with a particular project to discuss the details and voice their choices.
>
> - **Citizen Report Cards:** Tools used for monitoring and evaluation so citizens know how the administration is performing in various areas.

- Citizens should participate in each process of public services.

- Overcoming poverty using international aid is an important step in establishing stability in Afghanistan. All citizens should have access to basic needs and employment opportunities.

- Municipalities should encourage job creation by enhancing and inviting private sector investment and fostering economic development. Employment opportunities and access to basic needs will have a magnifying effect on the problem of illegal harvesting and trading of banned drugs such as opium (narcotics) in the country.

Above all, each reform should be under continuous implementation, and should be closely monitored, reviewed, and revised.

What did we learn about in this chapter?

- *The concept of and need for ethics, transparency, and accountability in municipalities*

- *The current state of ethics, transparency, and accountability in Afghan municipalities*

- *How Afghan municipalities can instill ethical behavior, transparency, and accountability in the municipal administration.*

4.0 Annex A: ICMA Code of Ethics[7]

ICMA members adhere to the principles of the ICMA Code of Ethics, developed in 1924, as a condition of membership and agree to submit to a peer-to-peer review of their conduct under established enforcement procedures. ICMA"s Code of Ethics, most recently amended by the membership in 1998 to reflect changes in the profession, includes Guidelines to assist members in applying the principles outlined in the Code. The Guidelines were adopted by the ICMA Executive Board in 1972 and most recently revised in July 2004.

The mission of ICMA is to create excellence in local governance by developing and fostering professional local government management worldwide. To further this mission, certain principles, as enforced by the Rules of Procedure, shall govern the conduct of every member of ICMA, who shall:

Tenet 1

Be dedicated to the concepts of effective and democratic local government by responsible elected officials and believe that professional general management is essential to the achievement of this objective.

Tenet 2

Affirm the dignity and worth of the services rendered by government and maintain a constructive, creative, and practical attitude toward local government affairs and a deep sense of social responsibility as a trusted public servant.

Tenet 3

Be dedicated to the highest ideals of honor and integrity in all public and personal relationships in order that the member may merit the respect and confidence of the elected officials, of other officials and employees, and of the public.

Tenet 4

Recognize that the chief function of local government at all times is to serve the best interests of all people.

Tenet 5

Submit policy proposals to elected officials; provide them with facts and advice on matters of policy as a basis for making decisions and setting community goals; and uphold and implement local government policies adopted by elected officials.

Tenet 6

Recognize that elected representatives of the people are entitled to the credit for the establishment of local government policies; responsibility for policy execution rests with the members.

Tenet 7

Refrain from all political activities which undermine public confidence in professional administrators. Refrain from participation in the election of the members of the employing legislative body.

Tenet 8

Make it a duty continually to improve the member"s professional ability and to develop the competence of associates in the use of management techniques.

Tenet 9

Keep the community informed on local government affairs; encourage communication between the citizens and all local government officers; emphasize friendly and courteous service to the public; and seek to improve the quality and image of public service.

Tenet 10

Resist any encroachment on professional responsibilities, believing the member should be free to carry out official policies without interference, and handle each problem without discrimination on the basis of principle and justice.

Tenet 11

Handle all matters of personnel on the basis of merit so that fairness and impartiality govern a member"s decisions, pertaining to appointments, pay adjustments, promotions, and discipline.

Tenet 12

Seek no favor; believe that personal aggrandizement or profit secured by confidential information or by misuse of public time is dishonest.

5.0   Annex B: The 2005 Right to Information Act, India[8]

The Right to Information Act, 2005 (RTI) is a law enacted by the Parliament of India "to provide for setting out the practical regime of right to information for citizens." The Act applies to all States and Union Territories of India, except the State of Jammu and Kashmir - which is covered under a State-level law. Under the provisions of the Act, any citizen (excluding the citizens within J&K) may request information from a "public authority" (a body of Government or "instrumentality of State") which is required to reply expeditiously or within thirty days. The Act also requires every public authority to computerise their records for wide dissemination and to proactively publish certain categories of information so that the citizens need minimum recourse to request for information formally.

The Act covers the whole of India except Jammu and Kashmir, where J&K Right to Information Act is applicable. Referred Under Article 370 of the Indian constitution, laws passed by the Parliament are not automatically applicable to the state of Jammu and Kashmir unless endorsed by the state"s legislature. It is applicable to all constitutional authorities, including the executive, legislature and judiciary; any institution or body established or constituted by an act of Parliament or a state legislature. It is also defined in the Act that bodies or authorities established or constituted by order or notification of appropriate government including bodies "owned, controlled or substantially financed" by government, or non-Government organizations "substantially financed, directly or indirectly by funds" provided by the government are also covered in it.

Private bodies are not within the Act"s ambit directly. However, information that can be accessed under any other law in force by a public authority can also be requested for.

Information That Can Be Accessed

The Act specifies that citizens have a right to:

- request any information (as defined).
- take copies of documents.
- inspect documents, works and records.
- take certified samples of materials of work.
- obtain information in form of printouts, diskettes, floppies, tapes, video cassettes „or in any other electronic mode" or through printouts.

Procedure

Under the Act, all authorities covered must appoint their **Public Information Officer** (PIO). Any person may submit a request to the PIO for information in writing. It is the PIO"s obligation to provide information to citizens of India who request information under the Act. If the request pertains to another public authority (in whole or part) it is the PIO"s responsibility to transfer/forward the concerned portions of the request to a PIO of the other within 5 days.

In addition, every public authority is required to designate **Assistant Public Information Officers** (APIOs) to receive RTI requests and appeals for forwarding to the PIOs of their public authority. The citizen making the request is not obliged to disclose any information except his name and contact particulars.

Deadlines

The Act specifies time limits for replying to the request.

- If the request has been made to the PIO, the reply is to be given within **30 days** of receipt.
- If the request has been made to an APIO, the reply is to be given within **35 days** of receipt.
- If the PIO transfers the request to another public authority (better concerned with the information requested), the time allowed to reply is **30 days** but computed from the day after it is received by the PIO of the transferee authority.
- Information concerning corruption and Human Rights violations by scheduled Security agencies (those listed in the Second Schedule to the Act) is to be provided within **45 days** but with the prior approval of the Central Information Commission.
- However, if life or liberty of any person is involved, the PIO is expected to reply within **48 hours**.

Since the information is to be paid for, the reply of the PIO is necessarily limited to either denying the request (in whole or part) and/or providing a computation of "further fees." The time between the reply of the PIO and the time taken to deposit the further fees for information is excluded from the time allowed.

If information is not provided within this period, it is treated as deemed refusal. Refusal with or without reasons may be ground for appeal or complaint. Further, information not provided in the times prescribed is to be provided free of charge.

For Central Departments as of 2006, there is a fee of Rs. 10 for filing the request, Rs. 2 per page of information and Rs. 5 for each hour of inspection after the first hour. If the applicant is a Below Poverty Card holder, then no fee shall apply. Such BPL Card holders have to provide a copy of their BPL card along with their application to the Public Authority. States Government and High Courts fix their own rules.

Chief Information Commissioner (CIC) is the head of all the information officers. The State Information Commission will be selected by the State Government through a Gazette notification. It will have one State Chief Information Commissioner (SCIC) and not more than 10 State Information Commissioners (SIC) to be appointed by the Governor.

At the end of year CIC is required to present a report which contains: (a) the number of requests made to each public authority; (b) the number of decisions where applicants were not given permission to access to the documents which they request, the provisions of the Act under which these decisions were made and the number of times such provisions were filed; (c)details of disciplinary action taken against any officer in respect of the administration of the Act; (d) the amount of charges collected by each public authority under the Act

PIO shall deal with requests from persons seeking information and where the request cannot be made in writing, to render reasonable assistance to the person to reduce the same in writing.

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[8] "Right to Information Act."

Chapter 8: Public Relations, Media, and Communication Ethics

***Summary and Objectives:** This chapter explains:*

- *What are public relations, media, and communication ethics in public services?*

- *Why are they important in good urban governance?*

- *What is the current state of public relations, media, and communication ethics in Afghan municipalities?*

- *How can Afghan municipalities improve public relations, media, and communication ethics?*

1.0 Introduction to Public Relations, Media, and Communication Ethics

Public relations in public services generally means how the service providers maintain their relationship with the citizens that they are serving and what mechanisms they have established for receiving feedback about the quality of services that they are providing. Public service providers may have an established system that deals with public grievances. Public service providers may have a public relations officer or department, or may occasionally hold special events or community visits by officials to interact with community groups and learn from them about the level of services that they are receiving and about additional needs.

Media are various methods of communication or information, through which citizens and public institutions interact with each other or express their views. The increased access to various forms of information and communications technology (ICT) and spread of democracy throughout the world have generated remarkable growth in all forms of media and modes of communication. These include print media (newspapers, magazines, posters, leaflets, cartoons), broadcast (television and radio), various types of formal and street theater, movies, graffiti and sidewalk art, diverse multimedia participatory arts festivals, Internet blogs (online personal journals), cartoons, Websites, social networking, and other innovations as well as direct communication tools such as landline telephones and mobile phones.

> The status of public relations, media, and communication ethics in municipalities is judged based on:
>
> - How freely the citizens are able to express diverse viewpoints related to public services they are receiving
>
> - How many citizens express or participate in expressing their views on municipal functions
>
> - What modes of media and public relations are used and how ethical this communication is
>
> - How much importance is given to citizens' voice in public service functions and how this is reflected or incorporated in public services.

Communication ethics generally means how fairly the communications from public institutions as well as the views of the citizens are conveyed using media and public relations.

1.1 Importance of Public Relations, Media, and Communication Ethics in Good Urban Governance

The widespread and relevant use of public relations, media, and communication ethics can help in building up democratic and participatory governance. Today's new forms of media offer promising opportunities for inclusion, participation, and transparency in building good governance. However, access to accurate and objective information is more important than ever for a healthy democracy to flourish. This access is crucial to improve conditions for trust among citizens, media, and public institutions, and to implement and sustain the governance agenda.

Media are the parliament of the citizens, as they encourage citizen activism and the free expression of diverse viewpoints. Along with increasing use of various media, citizens must become aware and obtain the abilities and skill to participate actively and meaningfully in a democratic way in current affairs. Such media-literate citizens can play an active role in government reforms and strengthen the governance processes. Such involvement of citizens through media literacy and participation can strengthen public interest in improving sociopolitical conditions, enable citizens to participate actively in public discussions and thus affect reforms, and empower citizens to become aware of their rights and obligations. Thus, use of media can also help in building and demanding transparent, accountable, and ethical governance by identifying and exposing corruption in government.

For example, throughout the world, citizens are taking on an increasing role as watchdogs through citizen journalism. Even in state-controlled environments, such as in Vietnam, citizens are turning away from the state media and starting to use the Internet for information about political affairs. According to a recent article,[1] twenty-one activists in Vietnam have been quite active in discussing government activities such as corruption, especially after a few journalists were arrested in 2008 for uncovering a government corruption case.[2]

Communications and media are powerful tools in the process of development. Media are also strong instruments for helping citizens participate actively in society. If political and educational systems promoted in their citizens a critical understanding of the phenomena of communication, they would be a great tool in creating civic awareness and participation in public matters.[3]

The three potential functions of media in public governance are:

- As a civic forum – giving voice to all segments of society, especially the marginalized;
- As a mobilizing agent – strengthening civic engagement and facilitating public participation on issues of public importance; and
- As a watchdog – checking abuses and enhancing accountability and transparency in public governance.

In recent years, media watchdog groups and media monitoring projects have encouraged the news media to perform their role as the "true watchdogs of society" by monitoring news coverage and advocating news media that are responsive and responsible to citizens. Media monitoring empowers civil society, as it helps develop critical media literacy skills, promotes active citizenship, and encourages accountability in the media. Independent media have started to discuss and debate on the following range of issues concerning public governance:

- Developing economic policies
- Monitoring elections
- Exposing human rights abuses
- Exposing corruption
- Drawing attention to environmental issues
- Monitoring service delivery
- Highlighting conditions of human deprivation.

A free press is essential to facilitate civic engagement.[4] It is the duty of governments to inform their citizens about their efforts and the status of public services. Free press and media can bridge the information gap between government authorities and the public at large. Furthermore, the media can actively conduct campaigns in addition to disseminating the information required for informed active participation in public governance. In South Africa, for example, the press publishes budget information in an accessible form as a preliminary to the engagement process.

Public relations are also important in maintaining interaction between the service providers and the citizens. Media can be even helpful in strengthening these public relations.

1.2   Challenges to Improving Public Relations, Media, and Communication Ethics

In a family, the head of the family has the challenging job of interacting with every member of the family to learn about and to meet each one's needs. It is challenging because each member of the family is an individual with different aspirations. The head of the family is responsible for establishing discipline, order, and interaction among the family members. However, it is difficult to see that at the same time, the family gives each member the opportunity to grow, prosper, and live in harmony.

Similarly, municipalities need to establish effective and efficient use of public relations, media, and communication ethics. However, it is much more difficult for a municipality to work in harmony, as the number of staff members involved and number of citizens that they have to deal with is much larger than in an individual family. Above all, the main function of a municipality is much more complex. Interacting with citizens and encouraging citizen participation in public service functions require special efforts. For example, interaction with citizens requires the municipality to have accountable and transparent ways of working. An accountable, transparent system (see Chapter 7, Ethics, Transparency, and Accountability) can generate citizens' faith in the municipality and its service provision functions. The municipality needs to establish a system where citizens and staff can work closely, like a family. To carry out work in this way requires a special department (public relations), staff, and a system. The staff need an opportunity to develop appropriate skills and ways of working and to receive training in their assigned responsibilities.

Even though citizens' acceptance, awareness, and use of technology in using new forms of gathering information, using mobile technology, blogs, and social networking Websites is increasing, it is not sufficient for citizens to have physical access to information. It is equally or even more important to have access to quality content and the ability to analyze, evaluate, and apply it in a real-world context.

There are many challenges to public governance. Although the democratization movement is creating opportunities for better political participation, several of its shortcomings are keeping citizens away from politics. For example, the disadvantaged groups of society often lack access to basic services due to privatization of these services. They are either unable to pay for these services, or in some instances, the government has been unable to provide such basic services to them. Such a situation creates inequity and exclusion of the disadvantaged group from the society at various levels (see Chapter 17, Urban Poverty Alleviation). It is the biggest challenge of media to convey the voices of the poor and marginalized to governments and ensure that their views are addressed in policy decisions. These developments clearly underscore the importance of the role of civil society in public governance and of creating awareness about these issues. In such a situation, the role of public relations, media, and communication ethics needs to include the following aspects:

> The media play an important role in exposing wrong or corrupt practices in public governance. However, the media face many challenges, even in countries considered full-fledged democracies. The challenges include the following:
>
> - The government's withholding of vital information, often on grounds of "national security."
> - Self-censorship to avoid risking the dislike of powerful vested interests.
> - Circulation shrinkage when the public prefers reporting to discussion of true public interest issues.
> - In the case of many developing countries, a lack of professional training in journalism, which lowers the quality of reporting and analysis.
> - Media illiteracy of citizens. This is the biggest challenge to overcome in building up responsive governance.

- Promoting public sector accountability and transparency

- Building shared visions of national development and poverty reduction strategies

- Providing technical expertise and innovative and cost-efficient solutions to service delivery

- Providing social services in post-conflict or post-disaster settings.

Despite all the advantages of full media freedom, achieving it is difficult due to authoritarian laws and media ownership patterns (many media outlets are under family or corporate control or under government sponsorship). In addition to government control, various media also have to work under corporate and political pressures. Very often in such circumstances, media's voice is influenced by ratings and the levels of profit that the corporate or political sector can gain from media outlets. Slowly, many media interests seem to be shifting away from issues of public concern to subjects of entertainment.

In addition, journalism as a profession has become quite hazardous – with risks ranging from physical injury and kidnapping to job loss. That is why fewer good journalists are actively working.

2.0 Public Relations, Media, and Communication Ethics in Afghanistan: an Overview

The role of public relations, media, and communication ethics in building up good local governance in Afghanistan is still perceived as mainly at the policy level. The Articles (as shown in Article 10) envisage public reporting and sharing of information regarding the level of services and the creation of anticorruption awareness through publication of public reports.

The Afghanistan National Development Strategy has developed a detailed plan for enhancing cultural awareness and educating youth through the media. The ANDS strategic objective for this sector is:

- To create awareness and foster a sense of pride in the country's history, future, culture, and achievements

- To document and preserve cultural artifacts and heritage sites

- To ensure *independent and pluralistic media* that contribute to an *open and democratic society*

- To foster a sense of confidence among the young that they can contribute to and benefit from a stable and prosperous country.

An accessible and well-maintained cultural artifacts database and the cultural artifacts collection held by the Ministry of Culture and Arts will be expanded. In the longer term, museums will be established and or expanded and historical or heritage sites will be protected. Media legislation will be enacted to provide a stable and predictable environment in which a largely privately run and independent media can operate. *Media will be employed as an educational tool* in addition to entertainment. Key priorities include a country-wide coverage of public Afghan media (radio and television), an increased number of hours of public broadcasting, and improved quality of programming. At this stage in their post-war development, state-owned media will be used to promote and convey information on gender policies, public health, and national security. Extensive reforms have been introduced within the education strategy that is designed to assist youth. These include expansion of the education system; rehabilitation programs for young people whose education may have been limited because of the security situation; and reforms to vocational education to provide youth with marketable skills and better employment opportunities.[5]

Media legislation that will provide an environment in which *free, independent, and responsible media* can operate was drafted for Parliament approval in 2008. Despite some

setbacks, the Islamic Republic of Afghanistan is determined that the freedoms that have been introduced will remain and will be protected by appropriate legislation.

The ANDS suggests that the contribution of the media sub-sector to national development will be to ensure independent, pluralistic, and accessible media for Afghan men and women throughout the country, thereby promoting an open and democratic society.[6] The objectives with respect to media are:

- To establish legislation that will provide a stable and predictable environment in which largely private sector, independent media can operate
- Media will be employed as an educational tool in addition to entertainment.

Expected outcomes for the media sub-sector in the short term will include:

- New media legislation will have been passed, and government will successfully administer this legislation in an open manner.
- There will be country-wide coverage of public Afghan media (radio and television).
- The number of hours of public broadcasting will increase, and the quality of programming will improve.
- Press freedom has been declining drastically in Afghanistan over the past four years and so the need to promote and protect the independence of the media as well as ensure press freedom is extremely important.
- Press freedom is a fundamental aspect of a democratic society; therefore, the government will work to reverse setbacks and ensure that press freedom will be protected both in legislation and in practice.[7]

3.0 How To Improve Public Relations, Media, and Communication Ethics in Municipalities

In addition to serving as a platform for information sharing, information communications technology has presented new opportunities to connect citizens to businesses as well as to their governments at various levels. In some countries (most notably, in Bangladesh), even the rural poor are gaining access to ICT, either through cost-affordable electronic platforms or through the introduction of mobile phone services. In Bangladesh, the Grameen Bank ("Bank of the Poor," a nongovernmental micro-credit institution) has introduced mobile phone facilities in rural areas. The poorest women in the villages qualify to receive these phones on a rental basis and, in turn, can re-rent these phones to the villagers, enabling Bangladesh's poorest women to earn an income for themselves and giving the villagers opportunities to connect more directly to the market and obtain better prices for their produce. In the past, urban-based intermediaries monopolized market information, which they then used to exploit the farmers by offering them lower prices. This private sector initiative has helped to advance communication facilities in rural Bangladesh and thereby increase employment opportunities even when the people have less access to mobile phones.[8]

This example shows that even in the least developed countries, such technological revolutions are possible. For many governments, e-governance is a leading way to connect to people directly and effectively. Because of financial and technological deficiencies, the public applications of ICT and thus e-governance are evolving slowly in most developing countries. In most cases, rural people and the poor remain underserved by this technology revolution. Also, there is a need to make special provisions for ICT service delivery to the poor, as this sector of society generally lacks access to technological revolutions. But again in the case of Bangladesh, the government has tried to provide access to computers and other technologies even to the poor (see Case Study 1 in Annex A).

Currently in Afghanistan, there is awareness of and a movement toward using public relations, media, and communications in building urban governance, but the attempts are

limited to the policy level only. There is a need to apply them comprehensively in capacity building and in meeting citizens' basic needs. Media illiteracy is the biggest challenge in Afghanistan, which requires serious attention. There is still a big gap in using media to engage citizens in capacity-building initiatives. The civic awareness and media use need to address corruption, disarmament, narcotics, failure to meet the basic needs of citizens (quality of public services), human rights, accountability, and transparency at all levels. Therefore, in building responsive local governance in Afghanistan, both top-down and bottom-up (citizen) approaches in utilizing media and public relations are necessary.

Public relations, media, and communication ethics can be employed for three different objectives in the present context of Afghanistan's local governance:

- For civic awareness: use of media in creating a civic forum

- As a mobilizing agent to strengthen civic engagement and facilitate public participation through public relations activities

- As a watchdog to enhance accountability and transparency in public service functions and to improve communication ethics.

3.1 Civic Awareness

To increase civic awareness, municipalities can build media literacy skills and promote media literacy in media development programs.

Build Media Literacy Skills through Mobilization, Public Forums, and Debate

Municipalities should create and promote interactive spaces for citizens and other stakeholders to freely discuss current affairs, media practices, and citizen rights and obligations. This interaction will educate and motivate citizens to participate; spread awareness about ideal media roles; build support for free, pluralistic, and independent media systems; and promote a culture of openness and inquiry.

Possible action steps include:

- Establishing citizen feedback programs or sections in all forms of media including newspaper, television, and radio using local languages. These would help generate the public's interest in civic matters to a great extent and would encourage other actors in the public sphere, such as regulatory authorities and associations, to heighten public awareness about media literacy, laws, and regulations.

- Broadcasting special television programs run by the municipality to discuss local issues, solutions, and programs related to public complaint monitoring. These will be addressed by inviting public relations officers or representatives from different municipal departments to appear on the programs so that citizens can get to know them. Such programs will generate faith in the system, generate local governance participation processes, and promote public forums to encourage dialogue among different actors. These include regulatory authorities, associations, educators, citizens, and media professionals.

- Involve citizens in discussions about codes of conduct to raise awareness and to ensure that codes are followed. This will help in generating awareness of any corrupt practices in the local public services.

- Build the media literacy of civil society organizations and nongovernmental organizations.

- Encourage joint citizen/media projects, such as investigative reports, and provide citizens with training in delivering effective journalism relevant to the current Afghan context.

- Provide training and access to citizens on use of new modes of media and ICT; for example, in Bangladesh, access to ICT has been increased by government efforts (see box).

- Publish forum discussions and make them accessible to the public through newspapers, leaflets, and other print media.

Promote Media Literacy as an Essential Element in Media Development Programs

Media literacy encourages citizens to exercise their rights to information and freedom of expression. To fully support the development and sustainability of free, pluralistic, and independent media, citizens need to be aware of the benefits. Media literacy has recently emerged as a focus in the development field, and development practitioners have taken sporadic actions. For successful and sustainable outcomes, however, a more holistic approach is needed.

Possible action steps include:

- Heighten awareness about the crucial role that media literacy plays in development practice through seminars, other means of sharing knowledge, and other collaborative efforts among development practitioners.

- Support activities to educate citizens about laws and benefits of a free, pluralistic, and independent media system.

- Encourage knowledge sharing and cooperation among development practitioners on media literacy initiatives.

> **Household Income and Use of ICT in Bangladesh**
>
> The "Household Income and Expenditure Survey 2005" sought information on the use of ICT (e.g., use of computers, e-mail, Internet, telephones, and mobile phones) at the household and individual levels. The enumerators used laptop computers to collect and process field data. Preliminary survey results show a low level of use of computer facilities in Bangladesh, especially in rural areas. The use of ICT facilities is much higher in urban areas compared to rural areas. The most notable information from the survey is that there has been substantial growth of mobile phone use since mobile phone service was introduced in the country in the early 1990s. There was rapid growth in the use of mobile phones between 2000 and 2005. While only 1.50 percent of households used mobile phones in 2000, more than 11 percent of households were found to use them in 2005.
>
> Source: United Nations Conference on Trade and Development (UNCTAD), "Data Collection and Dissemination of ICT Statistics: The Bangladesh Experience," http://new.unctad.org/upload/Bangkok/ Bangladesh.PDF, retrieved March 2010.

3.2   Civic Engagement and Public Participation

Possible action steps include:

- Support research on linkages among media literacy, citizen action, and good governance.

- Sponsor competitions and award prizes for the best proposal of community development project, proposal or report.

- Conduct workshops for identifying priority public service projects.

- Use media, workshops, and ICT to generate funding for the identified projects and find partners to carry out community projects.

- Use ICT for economic development and job creation.

- Use media and ICT for social issues and developments in education, health, and transport.

- Use ICT for operating the public grievance mechanism regarding available public services.

3.3 Accountability and Transparency in Public Service Functions

To improve communication ethics, municipalities can support media watchdog groups or media observers and promote the role of news ombudspersons.

Support Media Watchdog Groups/Media Observers

Media monitoring is an effective tool to instill media literacy, transforming civil society and the public from passive receivers to activists and encouraging accountability in the media. Citizens who are aware of what makes news and how the media covers issues will become more critical consumers of information and more inclined to demand accuracy and transparency.

Possible action steps include:

- Promote media monitoring projects and networks to the larger development community through ongoing projects.
- Encourage monitoring and steer the focus toward issues on the governance reform agenda.
- Publish and promote media monitoring results to increase awareness and educate citizens about current media processes and practices.
- Create ICT networks and use them to expose corruption and bad practices of local government servants or other civilians.

Promote the Role of News Ombudspersons

A news ombudsperson serves as a news agency's internal watchdog, playing a critical role in strengthening reporting and media practices by monitoring accuracy and balance in news stories. Serving as an intermediary between citizens and the news agency, the news ombudsperson handles complaints from readers and helps the news agency become more accountable and accessible to readers.

Possible action steps include:

- Build awareness about the role of news ombudspersons and how they can help strengthen accountability
- Help create local ombudsperson positions involving respected local citizens and journalists or writers.
- Encourage citizens to utilize the news ombudsperson function by actively providing feedback and reviewing current development projects and services.

What did we learn about in this chapter?

- *The concept of and need for public relations, media, and communication ethics*
- *The approaches, mechanisms, and tools that promote use of public relations, media, and communication ethics*
- *The current state of public relations, media, and communication ethics in Afghan municipalities*
- *How to achieve efficient and effective public relations, media, and communication ethics in municipalities.*

4.0 Annex A: Case Study of Information and Communication Technology Initiatives in Bangladesh[9]

A good deal of enthusiasm prevails in Bangladesh in both the government and private sectors about ICT's potential to accelerate the rate of growth and poverty reduction in the country. A reflection of this view is found in the government's poverty reduction strategy for 2006–2008, titled "Unlocking the Potential: National Strategy for Accelerated Poverty Reduction," where ICT has been identified as one of the critical sectors for pro-poor economic growth. The government has undertaken a series of measures to promote rapid expansion of ICT. However, despite government's efforts, there has been only moderate progress in ICT in the country. More importantly, there exist some weaknesses in generation and dissemination of ICT statistics.

The government has undertaken a number of initiatives and enacted regulations to create a vibrant ICT sector and to ensure access of all citizens in all regions of the country to the new technology. For example, Bangladesh adopted the National Policy on Information and Communication Technology in 2002. The policy aims at building an ICT-driven nation to capture a share of the multibillion dollar software export market; facilitate e-governance and e-commerce; and promote application of ICT in health care, agriculture, disaster management, social welfare, transportation, and the judiciary system.

The Bangladesh Computer Council is the apex body under the Ministry of Science and Information & Communication Technology responsible for formulating and implementing ICT policies. In 2002 the government created the Bangladesh Telecommunications Regulatory Commission (BTRC), which has strong regulatory independence. BTRC now has full authority to grant licenses to all providers of telephony, data, network, and content services. The government-owned Bangladesh Telephone & Telegraph Board (BTTB) has set up digital telephone exchanges and Internet service providers in each district town of the country. The government of Bangladesh has abolished import and value-added taxes on computer hardware, software, and accessories. This action has brought down the cost of computers significantly at retail outlets. Now, even the low-income households in the country can afford personal computers.

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6.0 Endnotes

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[5] Islamic Republic of Afghanistan, "Afghanistan National Development Strategy, 1387-1391 (2008-2013)," www.ands.gov.af, p. 11.

[6] Islamic Republic of Afghanistan, "Afghanistan National Development Strategy," p. 120.

[7] Adapted from Islamic Republic of Afghanistan, "Afghanistan National Development Strategy," p. 122.

[8] United Nations, "People Matter," p. 35.

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