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Sida Decentralised Evaluation

Andrea Spear

Evaluation of the “Capacity Development of Municipal Associations” Programme in Bosnia and Herzegovina (CDMA)

Final Report

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**Final Report
January 2014**

Andrea Spear

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

AMC	Association of Municipalities and Cities (two in BiH: one in the Federation and one in the Republika Srpska)
BiH	Bosnia and Herzegovina ('State')
CDMA	'Capacity Development for Municipal Associations': Sida programme to assist BiH's 2 Associations of Municipalities and Cities
CED	Centre for Education and Dialogue, a framework for offering paid and free member services under one umbrella (in one of the 'strategic documents' produced for AMC FBH)
EDA	Economic Development Agency, Banja Luka, Republika Srpska
FBiH	Federation of Bosnia and Herzegovina ('Entity')
GAP	Governance Accountability Project (a 2-phase project to aid local authorities; funded by Sweden, USAID, Netherlands Government; implementation overseen by USAID (not to be confused with Good Agricultural Practices, value chain and <i>gap</i> analyses)
GIZ	German International Cooperation agency
IFC	International Finance Corporation (World Bank)
IPA	EU Instrument for Pre-Accession Assistance
ILDp	Integrated Local Development Project (UNDP/SDC) 2007-2011
ISO	International Standards Organisation
KM	Bosnia and Herzegovina convertible mark, <i>konvertibilna marka</i>
KS	Norwegian Association of Municipalities
MASCIP	Municipal Associations Capacity Improvement Program, Netherlands Government, implemented by VNG in 2003-05; 2006-08
M&E	Monitoring and Evaluation
MTS	Municipal Training Systems Project, funded by Sweden and implemented by UNDP in cooperation with the BiH Civil Service Agencies and the AMCs (2010-2012)
NERDA	Northeast Regional Development Association (based in Tuzla, FBH)
OECD	Organisation for Economic Cooperation and Development
OSCE	Organisation for Security and Cooperation in Europe (source of Beacon Scheme, Local First and AMC Support initiatives)
QC	Quality Control
REDAH	Regional Economic Development Association for Herzegovina (based in Mostar, FBH)
RS	Republika Srpska ('Entity')
SCTM	Standing Conference of Towns and Municipalities of Serbia
SDC	Swiss Development Cooperation
SEK	Swedish krona
Sida	Swedish International Development Cooperation Agency
SIPU Int'l	Consulting arm of ex-Swedish Institute of Public Administration (now part of FCC Group of Finland)
SLS	Strengthening Local Government project (GIZ): Nov 2010-Dec 2012 (strategies, urban planning/budgeting, participatory approach, gender equality, inter-municipal cooperation)
SMEs	Small and Medium Enterprises
SNV	Netherlands international aid agency: 'Localisation of European Union' project: 2010-2012. Training to prepare municipalities for EU obligations and standards.
SOG	BiH-languages abbreviation for AMC (SOG RS, SOG FED/FBH)
SWAp	Sector-Wide Approach: SWAp's key purpose is to overcome fragmentation and inefficiencies in the allocation and management of development assistance. They require internal alignment around a sector strategy and expenditure framework, and external alignment of donors. There is mixed experience in using this approach.
ToR	Terms of Reference
USAID	US Agency for International Development
VNG Int'l	International projects arm of the Association of Dutch Municipalities

Preface

This evaluation of Sweden's assistance to the two Associations of Municipalities and Cities (AMCs) in Bosnia and Herzegovina was commissioned by the Embassy of Sweden in Sarajevo, BiH, through Sida's framework agreement for reviews and evaluations.

The team was to evaluate progress toward the three-year programme's desired results, assess the efficiency and effectiveness of implementation, document lessons learned and provide recommendations for the next steps.

The Embassy will use the evaluation to follow up the programme and to draw lessons for future collaboration with the AMCs.

Indevelop (www.indevelop.se) undertook the evaluation in late 2013 and early 2014. The independent evaluation team consisted of Andrea Spear (Team Leader, also part of Indevelop's Core Team of professional evaluators) and Dejan Kavalec (national coordinator). At Indevelop, Jessica Rothman managed the evaluation process, and Ian Christoplos provided quality assurance to the reports.

This final evaluation report addresses the feedback provided on the draft report by the Embassy, the two AMCs and the implementer.

Executive Summary

Objectives of the CDMA Programme and of this Evaluation

In August 2010, Sweden initiated a SEK16m, 3+2-year programme entitled ‘Capacity Development for Municipal Associations’ (CDMA) in Bosnia and Herzegovina (BiH). The Programme aimed to assist BiH’s two Associations of Municipalities and Cities (AMCs)¹ to:

1. prepare to take over donor-funded services and products when the projects finished;
2. develop sustainable capacity to deliver services to their members and advocate their interests at higher levels of government. This in turn would underpin the broader objective of strengthening democratic processes and paving the way toward EU integration.

The First Phase of CDMA ended on 31 May 2012. A Midterm Review in June-July 2012 set the scene for Phase 2, which finished on 15 October 2013. This ‘Final Evaluation’ occurred in November 2013-January 2014. Its aim was to assess the overall results, highlight lessons learned, and provide guidance and suggestions for next steps.

Key Findings

CDMA has contributed significantly to the visible strengthening of the AMCs, mainly through recruiting and co-financing four financial and legal advisers, inculcating a strategic approach to key functions, and funding numerous highly relevant activities. This has led to greater influence and credibility at local and higher levels, creating a change in attitude that bodes well for the future if it can be sustained. However, the project’s impact was diluted by institutional, political and economic challenges, and by weak central project management, including the failure to focus strongly on AMC management support and other sustainability issues.

Results and Impacts

Both AMCs have progressed significantly in the past three years. The impetus and direction provided by CDMA, which has built on and complemented other donors’ capacity building, is recognised and appreciated by AMCs, their Presidencies, municipal officials and relevant Government officials. A frequent comment in interviews was “Without CDMA, the AMCs would not be where they are today”.

The 70+ stakeholders interviewed (mostly mayors and municipal officials) praised the AMCs’ change in mindset, their more strategic and professional approach, and their

¹ AMC Federation of BiH (AMC FBH) and AMC Republika Srpska (AMC RS).

improved visibility, credibility and ability to make members' collective voice heard at higher levels. They lauded the CDMA's contribution – particularly the legal and finance advisers, the participatory approach in preparing strategies, the capacity building, and the communications support.

It is too early to measure concrete **impacts**, but stakeholders noted some very important **improvements** that are relevant to all of the CDMA's objectives and its theory of change. While it is difficult to quantify the exact contribution of CDMA and other donor projects to these outcomes, it is clear that their combined efforts played a major role.

- Improved frequency and quality of AMC participation in high-level working groups on legislation, etc, leading to AMCs increasingly becoming an obligatory 'partner' at higher levels in policy- and law-making, not just on paper but in practice
- Stronger and broader ownership due to AMC outreach to municipal experts, focal points and councils, and municipal officers' growing role in AMC activities
- More positive attitude on the image and utility of AMCs, by municipalities, entity governments and donors
- The AMC Secretariats' increasingly professional approach to delivering member services, such as providing information and advice, organising Presidency meetings, and facilitating public hearings
- Continuing recognition by mayors that they need to assume more responsibility for proactively lobbying MPs and supporting AMC endeavours on their behalf
- Emerging sea change in mindset toward inter-municipal cooperation across political and entity boundaries.

The table below shows progress against the key results indicators. Because there were no baselines, assessment of improvements is qualitative, based on interviews and reports. While everything 'improved', the extent of the improvements varied considerably. The words in bold (*implemented, sustainability, management, staff, committees, donors, municipal finance, EU integration*) indicate areas that were insufficiently addressed and still require support.

Progress Against 'Desired Results' from CDMA Work Plan: 2010-2013		Achieved?		*Next Steps
*Note: key words to guide 'next steps' are in bold .		Yes	Partly	Priority **
1. AMCs' institutional and strategic capacity strengthened through				
A. Updated and implemented strategic documents and new services			√	√**
B. Increased resource mobilisation and self- sustainability			√	√**
C. Recruitment of appropriate officers to manage delivery of new services	√			
D. Improved AMC management capacity			√	√**
2. AMCs' capacity and influence to lobby and advocate members' interests improved through:				
A. Strengthened lobbying & advocacy skills of AMC staff and AMC committees			√	√
B. Enhanced relations between AMCs and key stakeholders (media, government, donors)	√			
C. Improved coordination between SOG RS and SOG FBH	√			

3. AMC's services portfolio aligned to current and emerging municipal needs through:			
A. Improved municipal finance -related services		√	√
B. Improved legal advisory services		√	√
C. Updated information & communication services	√		
D. Establishment of Units for EU Integration in each AMC		√	√

Challenges

The AMCs could well be further advanced today if the CDMA project design and implementation had been more strategic and professional. Poor sequencing, follow-up and quality control diminished the impact of key activities. The implementer's management weaknesses (highlighted in the Midterm Review) led to considerable instability and turnover in Phase 2, affecting not only the coherence and delivery of activities, but the image of the project as a whole. Luckily, much of the underpinning work had started in Phase 1, with key services and outputs being 'embedded' in the AMCs. They were therefore able to take core activities forward in Phase 2 with much less dependence on the Project Office.

The AMCs also encountered challenges that affected the timely implementation of the project – elections, delays in forming governments, other political and administration ineffectiveness, the economic and revenues crises, and their own management issues. General elections in October 2014 will pose challenges as well as opportunities.

Meanwhile, to their credit, the new CDMA project team from June 2013 has tried to make the best of a difficult situation and get things back on track. They are motivated and have good experience that should be channelled carefully in any extension phase.

Sustainability

Members, donors and higher levels emphasised that these are early days, and the AMCs will have to work systematically to consolidate gains, build on strengths, address challenges and eradicate weaknesses, in order to be effective and sustainable agents for change. A common comment was: "They still need to work on behaviour and mindset changes – to become more proactive and less fearful of change, and to avoid becoming bureaucratic."

Members said they would like to see their AMCs 'raise the barrier' in two 'core' areas:

1. to cultivate ever-stronger influence and respect at higher levels, securing 'not just a voice', but an 'equal voice'.
2. to engage more proactively at local levels, including further involving municipal experts in AMC activities and finding innovative ways to enhance support services and products to meet members' evolving needs and priorities.

As the AMCs themselves confirmed, sustainability is highly correlated with strengthening their influence on higher-government levels and proactively engaging with the membership base.

Next Steps: ...from Capacity Building to Institution Building

In 2010, when the CDMA Project was designed and work began on the AMCs' Strategic Development Plans, capacity development was the main focus. The situation has evolved and now, in early 2014, the pressing priorities are more about institution building:

1. consolidating gains to date
2. strengthening AMC's ability to get visible, tangible results
3. ensuring longer-term sustainability.

The AMC Secretariats and their members (and other stakeholders) agree they need to determine, in a well-structured fashion, how to develop viable, results-oriented services and sustainable revenue sources.

Because their current Strategic Development Plans were designed several years ago, and the situation has changed considerably since then, it is strongly recommended that each AMC start 2014 with a professionally facilitated 'strategic thinking' exercise aimed at producing an overall five-year Development Strategy for sustainability. This could be undertaken in a two- to three-month professionally facilitated programme consisting of comprehensive analysis and brainstorming/planning sessions leading to agreement on short-, medium- and longer-term roadmaps and realistic action plans, including the necessary structure, organisation and skills base for each stage of development.

One session would be dedicated to strategic thinking with donors on the role of the international community in local governance, the evolving AMC-donor relationship, performance management, donor coordination issues and donor exit strategies. The consultations and the Development Strategy emerging from the overall exercise would provide a valuable basis for donor partners' (including Sweden's) planning for the next 5-8 years. It would be particularly useful for donors interested in a joint, or even sector-wide, approach.

Options for Continuing Swedish Support to AMCs

The CDMA project included the possibility of two (2) one-year extensions beyond the initial three-year period. The Embassy was interested in examining options for a one- or a two-year extension; a new multi-donor programme; or a combination of these.

After considering various scenarios in consultations with the AMCs, the Embassy, the implementer and selected donors, the **most practical option** seemed to be a set of four complementary, simultaneous actions to be undertaken by the Embassy starting early in 2014:

1. extend CDMA for one-year, with the Project Office to redefine staff roles and focus on specific activities
2. extend co-financing support for the four legal/finance advisers (50%, declining to 0% over a period to be worked out in the Strategic Plan)
3. use the CDMA Project Fund to assist the AMCs in their respective Strategic Thinking and Planning exercises, including to contract the facilitator/follow-up 'mentor-driver' (other donors could be encouraged to contribute, since they would also benefit from the outcome)
4. together with AMCs and compatible donor partners, develop a new assistance Programme, with a view towards implementation from 1 April 2015.

The Embassy Programme Officer has many projects to manage, and this would require extra work in 2014. However, since the Embassy has the intention of preparing a new project anyway, it is best in this case to do so sooner rather than later.

BRIEF TECHNICAL DESCRIPTION OF THE CDMA PROJECT

Title	CDMA (Capacity Development for the Entity Associations of Municipalities and Cities (AMCs) in Bosnia and Herzegovina (BiH))
Contract number	C53072
Location	Bosnia and Herzegovina
Contractor	VNG International in consortium with SIPU International (Sweden) and EDA (Banja Luka)
Resource partner	Standing Conference of Towns and Municipalities of the Republic of Serbia (SCTM)
Contracting authority	Swedish International Development Cooperation Agency (Sida) Ferhadija 20, 71000 Sarajevo Programme Officer : Mario Vignjevic
Beneficiaries	The Association of Municipalities and Cities of Republika Srpska (AMC RS) The Association of Municipalities and Cities of the Federation of Bosnia and Herzegovina (AMC FBH)
Prog. starting date	16 August 2010
- Phase 0:	16 August - 15 November 2010
- Phase 1:	15 November 2010-31 May 2012
- Bridging period 1	1 June to 31 August 2012
- Phase 2:	1 September 2012-15 October 2013
- Bridging period 2	16 October 2013-28 February 2014
Final Reports Due	15 January 2014
Total Programme Budget, of which:	Ceiling amount: SEK16 million
Contractors	Contractual ceiling amounts, including fees and reimbursable expenses: Phase 1: SEK 4,936,000 (of which 4,110,340 fees) Phase 2: SEK 4,083,825 (no fee amount specified)
Project Fund	SEK 3.5m (for short-term experts and activities)
AMC FBH	SEK 1.5m (on-request facility)
AMC RS	SEK 1.5m (on-request facility)

Source: Various project documents

1 Introduction

1.1 PURPOSE OF THIS REPORT

This report constitutes the final evaluation of Sweden's 'Capacity Development for Municipal Associations' Programme (CDMA) in Bosnia and Herzegovina (BiH). This SEK16m, 3+2-year programme aimed to assist BiH's two Associations of Municipalities and Cities (AMCs)² to develop the capacity to deliver services to their members and advocate their interests at higher levels on a sustainable basis. This in turn was to support the broader objective of strengthening democratic processes in BiH and paving the way toward EU integration.

The evaluation was carried out during November 2013 - January 2014. (A Midterm Review took place in June 2012.)

1.1.1 Specific Objectives of the Evaluation

The ToR and further discussions with the Embassy established the following specific objectives:

1. Assess the extent to which the CDMA programme is "useful, efficient, sustainable, relevant, necessary and in line with the project Concept Note/Project Proposal and Contract"
2. Evaluate progress towards the CDMA's desired results, as per the Contract's Results Framework
3. Document lessons learned from the first two phases of the Project
4. Assess progress towards overall sector development and sector-wide coordination
5. Offer suggestions for a possible subsequent Phase and/or new project.

The evaluation was to document the extent to which the CDMA project achieved its original goals, as well as any additional goals set for Phase 2, following the Midterm Review. The team was to assess how the positive aspects and momentum from Phase 1 were enhanced in Phase 2, and how the weaknesses revealed in the Midterm Review were addressed. The evaluation took place at the end of the 36-month CDMA Programme, which was foreseen to be implemented as follows:

- Phase 0 (16 August-15 November 2010): mainly groundwork such as needs analyses, project organisation, staff recruitment and preparation of the inception report.

² Association of Municipalities and Cities of the Federation of Bosnia and Herzegovina (AMC FBH) and of the Republika Srpska (AMC RS), respectively.

- Phase 1 (15 November 2010-31 May 2012): launching of key activities and services, such as salary support for 4 AMC-based legal and finance advisers, numerous training and coaching activities, and development and implementation of strategies.
- Phase 2 (1 September 2012- 15 November 2013): refining of plan following mid-term review, implementation of strategies, phasing out of salary support, establishment of EU integration units, etc.
- Phase-Out Phase (16 November 2013-15 January 2014): end-of-programme administration, etc.
- The Programme included the option for two one-year extensions, to late 2015.

Apart from the co-financing arrangement for the AMC-based legal and finance advisers (paid directly to AMCs by Sida), CDMA was implemented by VNG International, the overseas projects arm of the Netherlands Association of Municipalities. It had been assisting the two AMCs since 2001 under various donor interventions.

1.2 EVALUATION SCOPE AND METHODOLOGY

1.2.1 Scope

Following Sida's evaluation guidelines and principles, the review team undertook desk analysis and field interviews to assess the following issues and progress toward the desired results set out in CDMA programme documents.

- Relevance of the CDMA assistance to Municipality Associations (AMCs)
- Quality of the CDMA programme design and implementation
- Efficiency of implementation
- Effectiveness of implementation
- Extent to which 'crosscutting issues' such as gender equality, environment sustainability and poverty reduction are reflected in the assistance programme and desired results
- Sustainability.

Please see the Evaluation Matrix at Annex 3 for a list of the key issues, questions, methods and sources that were used to evaluate each topic.

1.2.2 Evaluation Methodology

The Work Programme (Annex 6) involved approximately 10 days of pre-mission preparation (inception report, review of documents and mission organisation); 15 days of field interviews with more than 70 people around the country; briefing and debriefing sessions with the Embassy in Sarajevo, the AMCs and the contractor; and post-mission follow-up and report preparation.

The Evaluation consisted of four phases:

- I. Initial data collection, desk review, initial consultations with the Embassy Programme Officer, work programme organisation, Inception Report: Oct - Nov 2013
- II. Field work and continued data collection: Nov - Dec 2013
- III. Presentation of initial findings and recommendations to the Embassy: Dec 2013
- IV. Follow-up, further analysis and reporting: January 2014.

These four phases included the following steps and activities:

1. Data collection; analysis of CDMA documentation, financial and narrative reports, reviews, audits, and other sources of information; initial consultations with the Embassy and contractor
2. Methodology/work programme design
3. Preparation of questionnaires tailored to each group of people to be interviewed
4. Mission organisation
5. Meeting with the Embassy at the beginning of the first field mission to discuss the desk analysis, key issues, approach, questionnaires, draft report outline, etc.
6. Refinement of questionnaires as necessary following these discussions
7. Structured and semi-structured interviews (based on tailored questionnaires) with:

- Head of Development Cooperation and Programme Officer at the Embassy in Sarajevo
- CDMA Team Leader representing VNG and relevant staff, including the Project Managers based in the two AMC's
- CDMA partner organisations: Economic Development Agency (EDA, BiH), SIPU International (Sweden), and the Standing Conference of Towns and Municipalities of the Republic of Serbia (SCTM)
- AMC FBiH and AMC RS Heads and staff, including in-house legal and financial experts funded by CDMA
- A selection of representatives of municipalities and cities, including members of AMC Presidencies, Committees and key constituencies, plus some randomly selected mayors and municipal officers. These were prioritised by function (e.g., Member of Presidency or key Committee) and location (to achieve a geographic balance and critical mass for interviews given the distances to be travelled and the time available). The team also endeavoured to interview female mayors and municipal officers where possible.

These stakeholder interviews were particularly important to gauge how well AMC's are meeting their constituents' needs and expectations. They also helped to identify priority needs, areas for improvement, suggestions for next phase, etc.

- Experts contracted to deliver analyses, training, strategies, action plans, etc
 - Relevant FBiH and RS entity government officials, as well as relevant State (national) officials
 - Donor partners, particularly the officers involved directly with local governance and AMC projects, i.e.: USAID- Governance Accountability Project (GAP1, 2: Sweden/US/Holland), the UNDP/AMC Municipal Training Systems (MTS: Sweden/UNDP); the Swiss Development Cooperation (SDC) 'Integrated Local Development' project, OSCE's AMC Support (AMCS) programme, and GIZ's 'Strengthening Local Government'.
8. Checking and double-checking, with a variety of sources, project assumptions, facts, figures, findings, praise, complaints, recommendations, etc, to ensure accuracy, relevance and usefulness
 9. Formulation of initial findings, conclusions and recommendations

10. Discussion of these with the Embassy, the AMCs and the CDMA team
11. Post-mission follow-up, preparation of the Draft Report and submission to the Embassy (and any stakeholders it nominates) for comment
12. Finalisation of the Evaluation Report.

For further details, please see Annex 6: *Work Programme and Consultations List*; and Annex 7: *Questions to Guide Interviews*.

1.2.3 Review Challenges and Limitations

As foreseen in the Inception Report, the team encountered some significant challenges in securing information to assess the effectiveness, efficiency and sustainability issues:

1. *Access to overall project knowledge and historical memory, as well as to detailed information and accurate progress reports.* There was no one in the Project Team or VNG who had been involved in the project since the beginning. The new team took up duties at various stages in 2013. The Team Leader was replaced twice since June 2012, most recently in June 2013. The Office Manager was replaced in June 2013. The VNG Head Office Project Director was replaced in early 2013, as was the AMC FBH Project Manager. The longest-serving team member is the AMC RS Project Manager, who has been on board since October 2011.

Moreover, the Project Office computers had been ‘wiped clean’ prior to the new team’s arrival in June 2013 and only ‘necessary’ information was reinstalled by VNG. Team Leader 2 had used his own laptop for work during August 2012-May 2013, and he took it with him. The first AMC FBH Project Manager had kept the Project laptop, and only brought it back – also wiped clean – when the new Project Manager started in February 2013. No one knew where specific previous documentation was; they had not gone through the cupboard of binders (arranged by budget line).

That said, the new Project Director in The Hague did his best to provide as much background information and documentation as possible. He was responsive and helpful, as were the Project Office staff members.

2. *Availability for interviews of key stakeholders.* Many people were unavailable in December and into mid-January. Many members of the AMC Presidencies cancelled our confirmed meetings at the last minute – when we were on the way or when we arrived; this was a problem because we had to drive long distances to meet people specifically chosen because they were members of the Presidency or the Monitoring Board.
3. *Availability of final facts and figures for Phase 2.* According to the Sweden-VNG contract, the final reports were due in mid-January 2014. The periodic report for the last six months of the Project was given to the team in early January, along with the financial statements for the last year.

The lack of baselines for most of the results indicators, as well as inconsistencies in reporting due to CDMA staff turnover, complicated assessment of progress.

2 Programme Relevance and Harmonisation

2.1 RELEVANCE OF CDMA'S OBJECTIVES AND PRIORITIES

The CDMA programme was highly relevant; it addressed important issues and needs, and was aligned with national and local development priorities. It complemented other donor programmes by aiming to help the AMCs prepare to take over donor-funded services and products when the projects finished. And it underpinned democratic processes and the decentralisation agenda by helping AMCs strengthen their ability to represent local communities' interests at higher levels of government and ultimately serve as effective agents of change.

All donors consulted recognised the relevance of CDMA to the sustainability of their own efforts to support and strengthen local authorities and local democracy. They, along with local officials, said the AMCs were progressing in the right direction, but that it would take some time for them to institute the necessary management systems and financial and human capacity to deliver the services and products in a sustainable fashion.

Do CDMA objectives and priorities adequately address the problems to be solved?
The objectives and priorities from the Proposal and Inception Report (box below) cover many of the issues that were considered pressing at the time (2009-10).

Box 1: CDMA Programme Objectives and Desired Results

Overall objective: To strengthen democratic processes in BiH and to contribute to BiH's EU accession process.

Specific objectives:

1. To strengthen and further institutionalise AMCs in BiH, ensuring AMCs' independence, clear mandates and accountability to their constituencies: the municipalities and the citizens of BiH.
2. To facilitate the development of strategic documents and services, enhancing AMCs' capacity to act as democratic, legitimate, transparent, effective and sustainable institutions that provide services to their members and enhance municipalities' influence at higher levels of government.
3. To help AMCs bridge the current gap of in-house expertise, and achieve a higher level of organisational and functional development, with inspiration from AMCs in other transitional countries.

Expected Results

1. AMCs' institutional strategic capacity strengthened through:

- A. Updated and implemented strategic documents
- B. Increased resource mobilisation and self-sustainability
- C. Recruitment of AMC-based staff for new services portfolio
- D. Increased training and management capacity of AMCs

2. AMCs' lobby and advocacy position improved through:

- A. Strengthened lobbying & advocacy skills of AMC staff and AMC committees
- B. Enhanced relations between AMCs and key stakeholders (media, government, donors)
- C. Improved coordination between SOG RS and SOG FBH

3. AMCs' services portfolio tuned to current developments in municipal needs through:

- A. Improved municipal finance-related services

- B. Improved legal advisory services
- C. Updated information & communication services
- D. Establishment of Units for EU Integration in each AMC

Source: VNG Project Proposal and Inception Report

While the objectives remained equally valid in Phase 2, the priorities listed under the 'Desired Results' had evolved. For example, in Midterm Review interviews, stakeholders indicated that 1C, 2C and 3C were no longer priorities for CDMA, and that attention should be directed to management, implementation of strategies, and supporting the work of the legal and municipal finance advisers. While these three elements were covered in Phase 2 planning, in actual Phase 2 *delivery*, they were not prioritised. Interviews with AMCs, their members and government officials in December 2013 showed that these three areas remained top priority for any extension or new project – as part of a major focus on sustainability issues.

Does CDMA fill gaps/meet needs that other programmes do not address adequately? CDMA was originally conceived to fill a gap in donors' efforts to strengthen local authorities and local governance. Numerous donor projects targeting local authorities were being carried out in partnership with the AMCs - with the expectation that these would continue to deliver the products and services thereafter. To do so, however, the AMCs needed to considerably strengthen their management, communications, advocacy, finance and legal expertise; develop core services; and reinforce dialogue and cooperation mechanisms.

The Associations' priority capacity-building needs were largely defined by members and staff in the 2010 inception surveys. The needs emerging from the surveys related mainly to core services required by local governments, as well as institutional strengthening of the AMCs. However, the VNG inception report sum-up of priority needs (below) was not prioritised, and apart from the strategic plan, it did not mention institutional strengthening of the AMCs – a key *raison d'être* of the CDMA, as noted in the preceding paragraph.

Box 2: Priority Needs Listed in the VNG Inception Report, 2010

1. Assistance in legal issues, law drafting and adoption
2. Lobbying in the process of constitutional changes for an improved position and influence of local governments in power and revenue sharing
3. Establishing a special EU Integration Division within AMCs
4. Assistance in project development and applying for EU and international funds
5. Education on treasury system, municipal borrowing, budgeting, concessions, public procurement
6. Establishing a training centre for various types of education, including external experts for specific topics
7. Improved information exchange system, including regularly updated data base of public invitations for international funds, list of potential donors, citizen surveys, daily maintained web page
8. Assistance in cross/border cooperation and development of inter/municipal projects
9. Operational strategic plan.

Over the years, donors have been assisting local governments to address these and the other needs. A few donors have directly assisted the AMCs since 2001, including three projects implemented by VNG, but none have successfully addressed basic management and sustainability issues. CDMA is no exception, though it had the scope and opportunity to do so.

Because the needs had evolved, and stakeholders had requested that the project be updated to reflect this, the Midterm Review strongly recommended that VNG conduct a comprehensive needs assessment before designing Phase 2. This was not done. This evaluation finds that recommendation still valid.

2.2 HARMONISATION WITH OTHER PROJECTS

Coordination of CDMA with other donor projects and activities assisting AMCs

The VNG Proposal and Inception Report listed relevant donor projects and made a commitment to coordinate and collaborate with them. The CDMA programme planned six donor roundtables (RTs) involving both AMCs and the donors working on local governance issues. AMCs decided to take turns organising these RTs. In Phase 1, two were held. In Phase 2, no joint RTs were held, though four were planned. Rather, AMCs organised their own, as required for specific ends. In addition, AMCs attended regular donor coordination events organised by others. The following table shows the recent donor-financed programmes targeting the AMCs, local authorities and local communities. It is interesting to note how many projects involve the AMCs in implementation.

Table 1: Relevant Recent Donor-Financed Programmes

Donor-Financed Programmes	Objectives and Products	Time-frame
CDMA: Sweden , implemented by VNG with EDA and SIPU	Aims to (1) assist AMCs to develop capacity to assume full responsibility for donor-financed projects' products and services when donors exit; (2) support democratic processes and EU integration. <ul style="list-style-type: none"> • Develop in-house expertise and advisory services in law, finance, communications • Develop training products (trainers pool, modules) • Strengthen capacity of AMC staff, committees and member municipalities to advocate, lobby, prepare legislation, and generally participate constructively in democratic processes • Develop strategic approaches for specific functions (overall AMC development, lobbying/advocacy, communications, services development, HR development) 	2010-2013
Governance Accountability Project (GAP) 1 and 2: USAID/Sweden/NL Govt. GAP 1 implemented by EDA and others. GAP 2 implemented by Chemonics, Urban Institute, VNG, SIPU, Civil Society Promotion Centre	Aims to strengthen democratic local governance; improve local government ability to serve citizens; support policy/fiscal framework conducive to accountable democratic governance. <ul style="list-style-type: none"> • Codex for Inter-administrative Relations • Municipal Work Plan/Action Plan training • Capital Improvement Planning training • Performance-Based Monitoring planning • Municipal Capacity Index • Budget Guide • Revenue Profiles • Database of local consultants for local authorities • implementing Law on Local Self-Governance • property and asset management training 	2004-2007 2007-2012
Municipal Training System (MTS): Sweden/UNDP , implemented by UNDP, RA and FBH Ministries, Civil	Aims to facilitate competent, professional local administrations that can effectively manage development processes and deliver quality services to citizens. Strengthen client orientation and EU integration. Establish a high-quality municipal training system with common	2010-2012

Service Agencies (CSAs), AMCs (e.g., AMC FBH has special Training Unit managed by the Sweden-funded Legal Adviser; AMC is responsible for training <i>elected officials</i> under Training Strategy)	<p>standards applied by all programmes and providers.</p> <ul style="list-style-type: none"> • Education and training of civil service employees (CSAs) and elected officials (AMCs) • Human resource development and management functions • Capacity to conduct local training needs assessment and prepare training plans • Database of trainers and train-the-trainer programmes • Regional Training Centres (FBH: Bosanski Petrovac, Ilidža, Tomislavgrad, Tuzla, Vitez. RS: Banja Luka, Bijeljina, Istočna Ilidža, Trebinje. • Training Strategy for Local Governments (respective Entity Ministries, Civil Service Agencies, AMCs) • Training Coordination Body (respective Entity Ministries, Civil Service Agencies, AMCs) 	
Integrated Local Development Project (ILDLP): Swiss Development Cooperation/SECO/UNDP. Involves BiH Ministry of Human Rights & Refugees, FBH Min. of Justice, RS Min. of Admin & Local Self-Government, both AMCs. Implemented by UNDP, EDA, AMCs.	<p>Aims:</p> <ul style="list-style-type: none"> • Harmonisation, systematisation of local strategic planning • Social, economic, environment project implementation • Replicable local planning/management models in 23 municipalities. • Foresees eventual Helpdesk for Strategic Planning in AMCs (perhaps as early as 2014) 	2007-2011
Reinforcement of Local Democracy (LOD): EU (IPA)/UNDP. AMCs involved in delivery.	<p>Aims:</p> <ul style="list-style-type: none"> • To facilitate permanent partnerships between Civil Society Organisations (CSOs) and local authorities by building awareness of the benefits of mutual cooperation and encouraging sustainable dialogue • To generate unified and transparent mechanisms for disbursing future municipal funds for CSO project-based activities, in accordance with local service needs and identified priorities; and to ensure a sustainable source of funding through a municipal budget line for financing CSO projects • To encourage CSOs to specialise and professionalise their activities by adopting a longer-term planning perspective, by becoming more responsive to local needs and less dependent on current donor priorities. 	2012-2014 LOD III LOD I started in 2009
Strengthening Local Government (SLS): GIZ , in cooperation with RS Ministry of Admin & Local Self-Government and FBH Ministry of Justice. EDA & AMCs involved in implementation.	<p>Aims to support sustainable development at the local level.</p> <ul style="list-style-type: none"> • Needs analysis (EDA: interesting findings, but no recommendations) • Improve municipal management capacity • Improve ability to implement economic development strategies • Link development strategies to urban planning/budgeting • Support participatory democracy and gender equality • Promote inter-municipal cooperation. <p>In 2013, GIZ provided support to AMC RS (Presidency meeting organisation, capacity building for Trebinje Regional Office Project Officer and LSG/HR Committee, and Economic Development Committee Action Plan) and AMC FBH (support on local economic development matters).</p> <p>2014 assistance will focus on AMC RS and FBH Committees for Economic Development, dissemination of good practices in local economic development, and training curricula.</p> <p>GIZ is managing an Open Regional Fund in the field of municipal</p>	2010-2012

	development. Open Regional Fund projects support regional cooperation and regional peer-to-peer learning in South East Europe.	
AMC Support Programme (AMCS): OSCE. AMCs involved in implementation.	<p>Aim: To strengthen AMCs' cooperation with municipal assemblies and councils, and intensify inter-municipal and inter-institutional co-operation. To help AMCs secure unified input from municipalities.</p> <ul style="list-style-type: none"> • Training, networking and other support to local councils, AMC Focal Points, AMC Committees (ie<u>i.e.</u>, Local Self-Government and Constitutional/Legal Affairs Committees) 	2013, to continue
Local First: OSCE, with NGOs & Government	<ul style="list-style-type: none"> • Strengthen citizens' engagement with municipalities to ensure an equitable and accountable allocation of public goods and services. • Promote citizens' capacity to make requests to local governments, hold them to account, take action to benefit local communities • Assist local authorities to develop the accountability, political will, institutional capacity to address citizens' requests and needs in an efficient, fair and transparent manner. • Assembly/council support; management; media/communications; youth employment, project management 	2009- (no final date on OSCE website)
Beacon Scheme: ex-OSCE, Council of Europe; funding from UK, Switzerland. Now financed by RS Ministry of Admin & Local Self-Government and FBH Ministry of Justice; delivered by AMCs	<ul style="list-style-type: none"> • Award scheme to encourage innovation and excellence at local level • Annual awards for excellence in selected themes • Municipalities apply for awards (small grants) to share the good practices to other local authorities • Revised in 2013, more municipalities added. 	8/2005-present (ongoing grants scheme)
Localisation of the EU: SNV in cooperation with Directorate for EU Integration, BiH Council of Ministers. AMCs involved.	<ul style="list-style-type: none"> • Accelerate BiH EU integration, improve living standards • Direct support to AMCs and municipalities via training programme on providing public services in compliance with the EU standards and principles • Direct support to enhance capacity to absorb pre-accession funds for socioeconomic development • 2007-08: PPP at local level, peer review, EU Localisation Guide, Pilot EU Guide training with 8 municipalities from both entities • 2010-12: on-the-job training with selected municipalities on EU matters, media training and e-learning 	2007-2008 2010-2012
KS: Norwegian Association of Municipalities. AMCs involved.	<ul style="list-style-type: none"> • Municipal officers training • Numerous municipal projects with AMCs 	Many small projects
Municipality Development Programme (MDP): Suisse	<ul style="list-style-type: none"> • Phase 3: helped 8 municipalities in Dorboj Region 	2008-2011
Subnational Competitiveness Programme: IFC	<ul style="list-style-type: none"> • Regulatory reform and administrative streamlining • Business procedures and laws registries 	2009-2011
Local Environmental Action Plan (LEAP): Sweden	<ul style="list-style-type: none"> • Support for Local Environmental Action Plans • Overcome barriers in mgmt. & delivery of environmental services 	2007-2011 Phase 2
Solid Waste Management: Sweden, World Bank	<ul style="list-style-type: none"> • Helps municipalities improve the handling of solid waste. 	2010-2014
Waste Water Treatment: Sweden, World Bank	<ul style="list-style-type: none"> • Regional assistance 	2010-2012

Source: Interviews, CDMA project documents, <http://db.donormapping.ba/default.aspx>

3 Quality and Coherence of Design

3.1 QUALITY OF DESIGN

Did the design meet the real needs of the Associations and Member Municipalities? Did the implementation design prove to be realistic in delivering the desired results, meeting expectations and managing risks? Was it flexible enough to be refined to meet evolving needs and requirements?

The CDMA design met many of the real needs of AMCs and their members. It also focused on stated objectives and expected results. It targeted the right people and was tailored to them appropriately. It sought to ‘embed’ the most important services and products in the AMCs from the beginning. It contained many of the right things.

Nevertheless, it did not prove to be realistic. It was overly ambitious, underestimating the AMCs’ capacity to absorb and the Project Office’s capacity to deliver. It gave little fore-thought to Phase 2 and had no exit strategy.

The pre-design analysis (concept paper, preventative audits) brought out issues (such as target beneficiaries’ capacity to absorb) that Sida should have studied more in depth before proceeding to tender. While VNG’s tender Proposal was generally professional and covered most of the right issues, the company’s Inception Report was poorly crafted, incomplete, unfocused, in poor English, and did not reflect professional analysis and planning practices. It perpetuated aspects of VNG’s previous projects with the AMCs that had not produced sustainable results. The results indicators had no baseline information to facilitate evaluation, and had been watered down from the Proposal stage. (It is difficult to measure ‘improved’, ‘strengthened’, ‘enhanced’, when there is no starting base.) Neither the work plan nor the structure of the project office, nor the budgeting, was thought through in terms of actual implementation efficiency and effectiveness.

The designers did not reflect good practice in terms of prioritising and sequencing. For example, given that CDMA aimed to prepare AMCs to take on and continue supplying exiting donors’ products and services, the project preparatory documents should have analysed donor programmes in depth, including all the relevant dates. This information could have been used to sequence capacity-building activities to prepare the AMCs to take over the relevant products and services in good time.

In Phase 1, CDMA did not give due attention to the priority need of both AMCs for modern management systems and procedures - even in Component 1D: *Increased training and management capacity of AMCs*; instead, the activities focused on training the trainer pool and trips. One opportunity would have been to use the strategic planning exercises centred around the ‘strategic documents’ to address basic management weaknesses pointed out in each AMC’s Strategic Development plan.

Following the Midterm Review, VNG committed to give top priority to management issues, but the plan only included one relevant activity, of which only the first step (a

2-day seminar hosted by SCTM in Belgrade) was implemented. While SCTM follow-up was one of the indicators, it was not included in the list of activities.

The other new Phase 2 activity under the ‘management’ subcomponent was ‘development of capacity of AMCs to host self-sustaining fairs...’ through CDMA-supported attendance at regional fairs such as NEXPO. The contribution of this to core management is questionable.

In addition, given the clear awareness of members’ reluctance to pay for AMC services (documented in the Proposal, the needs assessment and the inception report) and the precariousness of municipal finances, the decision to focus strongly on developing paid services in the first phase was questionable. Following the Midterm Review, the issue was sidelined.

The Midterm Review recommended: “Given the well documented problems with the design and management, it is important to ...take stock and design a more realistic, efficient work plan for Phase 2”. VNG’s revised plan for September 2012–November 2013 says: “While maintaining the basic structure of the original project design, the Phase 2 Plan incorporates the change in emphasis recommended in the MTR.” However, the change in emphasis on paper did not lead to meaningful changes in practice.

In fact, a number of the activities added on paper were not related to the MTR recommendations at all (e.g., ‘develop capacity of AMCs to host self-sustaining fairs, assist AMCs to plan and conduct joint Board sessions’, etc), and a few ultimately proved to be of questionable value (e.g., expert database, SMS software). Some of the most successful activities (e.g., planning meetings for the AMC Committees, the funding support for PR campaign seeking the Forestry Law reversal, etc) were often added as the need arose. This indicates that the design was flexible enough to meet evolving requirements.

Logic: Were targets, activities and indicators linked to results?

The original Proposal and its logical framework linked activities to results. The log-frame listed the concrete outputs per activity in the ‘Indicators’ column and spelled out the Purpose (e.g., desired result), etc, in the ‘Explanation’ column. The Inception Report also linked activities to results but replaced the logical framework with a ‘Work Plan/Performance Monitoring Plan’, which replicated virtually all of the activities listed in the Proposal, but offered less concrete, less ambitious, less measurable targets and results in the Explanations and Indicators columns. The Work Plan for Phase 2 was more straightforward.

Were results easily attributable to CDMA?

For purposes of *attribution*, given that so many of the services and products were ‘embedded’ in the AMCs and simultaneously supported in a variety of ways by other donors, it was often difficult to determine exactly how CDMA contributed to a result. Sweden-funded staff (finance and legal advisers, even the Project Managers) often worked in close cooperation with other donor projects as part of their duties, and numerous activities and outputs were joint endeavours. In response to the Midterm Review, both AMCs’ reports focused more strictly on CDMA-funded activities and achievements. So did the Project Office; however, reports often included overall AMC achievements, without clarifying CDMA’s exact involvement.

Nevertheless, the list of ‘Specific Achievements’ on page 26 indicates which CDMA outputs and attainments were particularly recognised and appreciated by AMC’s and their Members.

Adequate budget allocations and disbursement schedule?

The allocations and disbursements were adequate. For the implementer, the fees and reimbursables (maximum SEK 4.9m in Phase 1 and SEK 4.1m in Phase 2) were payable based upon invoices sent in arrears. A SEK3.5m Project Fund was established to fund short-term external experts and project activities. For the AMC’s, the schedule of on-request disbursements set out in the MOUs appeared adequate (SEK1.5 million over 2010-2013 for each AMC). Some of it was for the salaries of the legal and finance advisers; Sweden funded 100% in Year 1, 75% in Year 2 and 50% in Year 3.

Clear responsibilities for execution and accountability?

None of the Work Plans spelled out responsibilities, nor did any of the core CDMA project team members have clear cut position descriptions, individual work plans, or performance and development plans. While they all had a clear sense of their respective responsibilities in Phase 1, the massive turnover during Phase 2 highlighted the shortcomings in HR management, as new staff had to find their way without proper parameters. The Midterm Review had recommended that performance management good practices be introduced, but this was not done in a sustainable fashion. At present, the team members clearly understand their responsibilities, but the two Project Managers based in the AMC’s agree that issues related to execution and responsibility need to be clearly delineated and agreed with the respective AMC Heads. This could help in managing mutual expectations.

Regarding the finance and legal advisers co-financed by the Project, the multi-tasking they faced since Phase 1 is gradually giving way to more focused responsibilities, as they carve out their niches. The AMC Human Resource frameworks developed in 2013 should lead to further improvements if they are implemented systematically and in line with strategic development plans.

Adequate risk assessment, compared with actual challenges encountered?

The Concept Paper listed a few risks. The VNG project proposal went into more detail, covering the main issues. However, a number of key issues that eventually affected project delivery were not covered. For example, one issue that should have been foreseeable given past experience was the FBH political situation which led to the lack of a government for part of Phase 1 and a variety of other problems in Phase 2. In addition, some of the challenges relating to the AMC RS in Phase 1 should have been foreseeable, given VNG’s long experience with it.

In Phase 2, the risks assessment and mitigation actions listed in the management response to the Embassy’s request for clarifications on the Nov. 2012-May 2013 report were not realistic, and no evidence was given to support the claims.

3.2 COHERENCE OF DESIGN WITH SWEDISH OBJECTIVES

How coherent are Sweden's country/regional strategies with the CDMA support?

The objective of Sweden's cooperation in Bosnia is to support democratic, fair and sustainable development, as well as progress towards EU accession. This objective is reflected in the overall objective of the CDMA project: to strengthen democratic processes in BiH and pave the way toward EU integration.

How does CDMA complement other Swedish support to human rights, democracy and freedom of expression, and add value to the overall Swedish effort to promote human rights and democracy?

CDMA underpins democratic processes and the decentralisation agenda by helping AMCs strengthen their ability to represent local communities' interests at higher levels of government and ultimately serve as effective agents of change. It complements several other Swedish-funded projects targeting local development and administrative reform.

To what extent have the interventions been designed and implemented with due attention to their ultimate impacts on poverty alleviation, gender equality, environmental sustainability?

See Crosscutting Issues, Section 5.6.

3.3 ACCURACY OF CDMA 'THEORY OF CHANGE'

CDMA's objective of strengthening the Associations and thereby enhancing the role of local communities in democratic processes is contingent on changes in mindset and behaviour of the main target groups: associations, local authorities and higher levels of government.

The underlying assumptions in this regard are that:

1. AMCs will embrace the opportunity offered by the CDMA to strengthen themselves, their services, their credibility and their value in the eyes of members and higher levels of government
2. Local authorities will increasingly channel their 'voice' through AMCs and support - including financially - the AMCs' efforts to defend and advocate the common interests of their members
3. Higher levels of government will increasingly involve AMCs in policy making, law making and other activities related to local government
4. Local authorities will use the CDMA-fostered services, products and training activities (advocacy, advisory services, knowledge, skills, funding, networks and collaborative approaches) to strengthen their own capacities and send initiatives to higher levels via the AMCs.

Have the CDMA programme's underlying assumptions proved relevant and accurate throughout implementation? How have the changes in behaviour contributed to achievement of the objectives?

Interviews indicated that the assumptions were relevant and accurate, and that behavioural and mindset changes were already occurring, as highlighted in the Executive Summary.

The President of the AMC FBH Presidency stated that one of the key roles of the AMC is to be an agent of change – to change way people think about local governance. He had received positive feedback from municipalities (mayors and staff) that they are ‘ready for change’. In fact, he said, mayors and local authorities have contributed most to change in the country in recent years. “Mayors have nowhere to hide; they are at the front line in tackling the real problems.”

Many mayors and municipal officials praised the AMCs’ evolving change in mindset, their more strategic and professional approach, and their improved visibility, credibility and ability to make members’ collective voice heard at higher levels. However, they noted that further changes are required in order to sustain the gains and achieve the objectives.

The following improvements listed by numerous stakeholders indicate that the assumptions are proving realistic:

- improved frequency and quality of AMC participation in high-level working groups on legislation, etc, leading to AMCs increasingly becoming an obligatory ‘partner’ at higher levels in policy- and law-making, not just on paper but in practice
- stronger and broader ownership due to AMC outreach to municipal experts, focal points and councils
- more positive attitude on the image and utility of AMCs, by municipalities, governments and donors
- continuing recognition by mayors that they need to assume more responsibility for proactively lobbying MPs and supporting the AMCs’ endeavours on their behalf
- emerging change in mindset toward inter-municipal cooperation across political and entity boundaries. Mayors and Committee members say they have to work together more to resolve common problems and achieve common goals, because they cannot necessarily count on support or action from higher levels.

4 Progress Toward Desired Results

4.1 EXTENT OF PROGRESS

The underlying purpose of CDMA was to help the AMCs:

1. prepare to take over donor-funded services and products when the projects finish; and
2. develop a sustainable capacity to deliver services to their members and advocate their interests at higher levels of government.

The Programme has made good progress toward many of the desired results, but achievement of the objectives will require additional strengthening of institutional and strategic capacity in particular.

The following table, reflecting the results of desk analysis and interviews with key stakeholders, shows that important progress has been achieved in four areas, and some progress has occurred in seven. Of these, three require top-priority attention in any new project, and four need additional support. (See Annex 4 for more details.)

Table 2

Progress Against 'Desired Results': CDMA Work Plan: 2010-2013	Achieved?		Next Steps*
	Yes	Partly	Priority**
<i>*Note:</i> key words to guide 'next steps' are in bold .			
1. AMCs' institutional and strategic capacity strengthened through			
A. Updated and implemented strategic documents and new services		√	√**
B. Increased resource mobilisation and self- sustainability		√	√**
C. Recruitment of appropriate officers to manage delivery of new services	√		
D. Improved AMC management capacity		√	√**
2. AMCs' capacity and influence to lobby and advocate members' interests improved through:			
A. Strengthened lobbying & advocacy skills of AMC staff and AMC committees		√	√
B. Enhanced relations between AMCs and key stakeholders (media, government, donors)	√		
C. Improved coordination between SOG RS and SOG FBH	√		
3. AMCs' services portfolio aligned to current and emerging municipal needs through:			
A. Improved municipal finance -related services		√	√
B. Improved legal advisory services		√	√
C. Updated information & communication services	√		
D. Establishment of Units for EU Integration in each AMC		√	√

4.1.1 Key Achievements

The progress reports and interviews with key stakeholders indicated that the AMCs were on the right track, thanks largely to the CDMA project.

Mayors and senior municipal officials who had accompanied the AMCs since their early years lauded the ‘significant progress’ and ‘growing professionalism’ of the AMCs in the last three years. AMC heads and staff, members of the respective Presidencies and Government officials lauded CDMA’s contribution to important outcomes: greater visibility and credibility; greater access to higher levels; better image for AMCs; clearer strategic direction; a welcome new focus on participatory planning; better information and communications; more professional meeting organisation; and a more practical orientation of training.

Stakeholders particularly praised the AMCs’ change in mindset, their more strategic approach, and their improved ability to make members’ collective voice heard at higher levels.

They also appreciated the AMC Secretariats’ enthusiastic and increasingly professional approach to delivering member services and facilitating public hearings.

Specific Achievements

When asked what they considered the most specific achievements of the CDMA project, AMC staff, mayors, committee members and government officials cited most frequently:

In June 2012 (at the end of Phase 1):

- recruitment of finance and legal advisers for each AMC, and their contribution to a legislative drafting and advocacy
- preparation of strategies/frameworks for priority functions
- training and skills-building activities for AMC and municipality staff
- the enhanced trainers pool and training modules
- improved websites and FAQ and financial databases.

In December 2013 (at the end of Phase 2)

- the finance and legal advisers’ growing contribution to legislative drafting and advocacy, and increasing links with local authorities through the Helpdesks (e.g., “90% of comments are being accepted in some legislative documents”)
- the Banja Luka office (the purchase of the AMC RS branch office in Banja Luka was partially underwritten by Sweden, under its CDMA funding package for AMCs)
- preparation of strategies/frameworks: mainly the usefulness of the process and its contribution to a more structured approach to AMC core functions
- efficient information and communications infrastructure and functions
- the joint committee planning sessions in 2013
- increasing professionalism of the AMCs
- the study tours (“intensive!”).

Local officials agreed that mayors now relied more on the AMCs to advocate their interests at higher levels, and that higher levels increasingly saw AMCs as the ‘partner of choice’ in dealing with local matters. MoUs signed with Entity Governments have further strengthened the AMCs’ position, and they are increasingly involved in law-drafting working groups and other bodies - a key achievement in terms of AMC credibility and influence. The growing confidence is producing more AMC initia-

tives, including drafting laws and amendments, and going on the attack when new laws or regulations threaten municipalities' bottom lines.

Ministry officials and Members of Parliament told the evaluation team that the AMCs are "increasingly well prepared, with high-quality suggestions based on good analysis, and they are increasingly contributing constructive comments which are being accepted". They suggested that the legal and finance advisers would benefit from (1) consulting outside experts more often, and (2) support to develop more professional documents, opinions and presentations. "Constructive, well argued, well presented input is essential", they said.

4.1.2 Areas Still Requiring Attention

While CDMA had some major accomplishments, it also had some major weaknesses. Among these was the lack of adequate attention to institutional and strategic issues (1.A, B, D): management, implementation of strategies and basic sustainability questions, including donor coordination.

The objectives of CDMA cannot be achieved without tackling these issues in a systematic, well planned way. They are not easy issues; they require experienced specialists who have actually implemented similar types of change-management and are therefore capable of designing a realistic, well sequenced programme.

For comparison, the key issues raised in the Midterm Review are contained in Annex 5.

4.2 REVIEW OF EACH COMPONENT

This subsection reviews each of the CDMA activities components. (Read in conjunction with Table 2 above and Annexes 4 and 5.)

1A: Updating and Implementing 'Strategic Documents'

While most of the strategic documents were drafted during Phase 1, the majority were not adopted by the relevant Assemblies until well into Phase 2. Most are framework documents; not strategic plans *per se*. Apart from the Strategic Development and Lobbying/Advocacy Plans, formal implementation Action Plans were not developed and adopted in Phase 2 as projected.

1. **The two AMCs' Strategic Development Plans** are now three years old. It is an opportune time to revisit them from the perspectives of an updated vision and roadmap to address longer-term sustainability, strengthening core services to members, management and organisation renewal, and income generation.
2. **Lobbying/Advocacy** strategies: These focus on specific priority issues and have been effective. As they tend to be linked to the annual legislative agenda, they are 'living documents'.
3. **Services Development**: The AMC FBH version, reconstructed from the old Centre for Education and Dialogue concept paper, is of poor quality (not a strategy) and should be discarded. A new Services Development analysis should be completed in conjunction with the overall Strategic Development

work. The AMC RS version is more strategic, but also needs additional analysis and forward thinking.

4. **Communications:** The Communications strategies were completed in 2013, but still need to be streamlined and actioned.
5. **Human Resources Development:** Similarly, the Human Resource frameworks were finished in 2013. As important sustainability tools, they can be further developed as part of any new Strategic Plan. This is because HR and structural/organisational planning are most valuable *after* the strategic direction and roadmaps have been agreed; that way, they can be designed to focus on achievement of the targets and objectives.

1B: Revenue Mobilisation and Self-Sustainability

These issues have not been adequately addressed during the Project. The plan to mobilise resources through fee-based services was premature and naïve. The issue of self-sustainability goes beyond revenue generation. It above all relates to the value that members place on the AMC and the service it provides. As one seasoned expert remarked, “AMCs can’t increase revenues from members unless they focus on getting revenues *for* members”. The more revenue-positive results that the AMCs deliver, the stronger the municipalities will be, and more likely to pay their membership fees. As the Midterm Review noted, many municipalities are willing to pay extra for value-added services. In interviews then and during the evaluation mission, mayors listed a number of good ideas that the AMCs could explore.

However, mayors also cautioned against seeking alternative income sources that would place heavy burdens on AMCs, raise dependence on donors, or compete unfairly with the private sector.

1C: Recruitment of New Officers (i.e., the Advisers; this relates to 2A, 3A, 3B.

The Finance and Legal Advisers and their Helpdesk functions have made their mark. They are considered an integral and valuable part of the AMCs’ set of services for members. However, the AMCs’ ability to finance the advisers on a sustainable basis remains delicate.

1D: AMC Management Capacity

Under this component, the CDMA project focused mainly on ‘train the trainers’, not on management issues. (Training of trainers was mainly done by other donor projects in Phase 2.) The Midterm Review recommended a strong focus on management issues in Phase 2. A promising start in December 2012-January 2013 petered out due to no concrete follow-up plan and a series of events, e.g., the change of Secretary-General in AMC RS, the shutdown of the Project Office in April-May, the new CDMA team leader and office manager, the summer holidays, the end of Phase 2 in October, etc. The AMCs would like to see, in any future programme, specific and achievable ‘desired results’ in this area.

2A: Lobbying and Advocacy Skills Building

(This applies in particular to the Finance and Legal Advisers, and the Committees.) The AMCs have improved their lobbying and advocacy skills enormously in the past 3-4 years, and have achieved a number of successes at higher levels. Some of these have translated into direct monetary gains for member municipalities.

Key challenges are to build on these gains, increase AMC and Presidency capacity to push key initiatives, persuade recalcitrant legislators, and garner support at both higher and local levels. In addition, the Advisers as well as stakeholders interviewed said they did not have the expertise to cover all the topics, and that they would benefit from greater access to specialist advice and analysis, as well as education to enhance their understanding of specific issues. This would enhance their effectiveness and ability to meet members' expectations and needs. The original and Phase 2 CDMA plans included numerous coaching activities aimed at precisely this; they were not implemented.

One common comment from Mayors, during both the Midterm Review and the Final Evaluation, was that they themselves and other local officials ought to get involved more seriously in advocacy work. They agreed it was their responsibility – especially the members of the Presidency – but said that day-to-day workloads and other priorities took precedence more often than not. Committee members also highlighted the potential to significantly enhance the role of committees in lobbying and advocacy.

Component 2A was originally aimed at supporting both AMC staff and Committees. Not much was done for Committees in Phases 1 or 2, apart from a couple workshops and seminars on laws, and joint committee planning sessions for each AMC in the second quarter of 2013.

2B: AMC Relations with Government, Media and Donors

Government: The biggest gain has been that the AMCs are now viewed as 'partners' at higher levels, and they are consulted and included regularly in matters of interest to local self-government. This is what matters most to members, and what they consider to be the AMCs' core *raison d'être*. Given the fluctuating political situation in BiH, especially in the Federation, it remains a major challenge to keep local self-government issues on the priority agenda. The AMCs have learned a lot in recent years, and seem to have a fairly realistic view of the pitfalls. As mayors said, they need to raise the barriers and become more proactive, while strengthening their capacity to offer constructive solutions.

Media: The AMCs are now quite visible in the media, and are also active in developing municipal information officers and their linkages with local and national media (CDMA activities). They are exploring more innovative ways and means of engaging the media.

Donors: During the evaluation, as during the Midterm Review, AMCs and their members emphasised the need for more effective donor coordination, as a sustainability factor. This links directly to one of the key objectives of the CDMA: to help the AMCs prepare to take over donor-funded services and products when the donors exit. The AMCs are considered to be overburdened by donor projects (which nevertheless support several positions and provide capacity development).

Sweden and UNDP have taken the initiative to convene a quarterly get-together of donors active in local governance. The AMCs would like to participate. The CDMA team leader said he would like to develop a network of 'implementers' to better coordinate activities. If these efforts can go beyond simple exchanges of information and

updates, and encourage joint donor planning, programming and division of labour, they will be useful. The AMCs would like to be key partners in these efforts.

However, the main sustainability issue for the AMCs (in line with the CDMA objective) is to graduate eventually from project-based staff positions to issues-based, member-oriented positions, and to more frequently target assistance strategically, presenting proposals for projects that will support AMCs' strategic development plans and meet specific needs.

2C: Coordination between AMC FBH and AMC RS

The two AMCs were already cooperating before the project, but CDMA has contributed to greater cooperation and coordination by bringing together Heads of AMCs and Presidencies, for example through a joint booth at NEXPO fairs, joint study tours, workshops and other activities. Both the head of the AMCs and the Presidents of the Presidencies are openly pleased with the personal rapport they have established, across ethnic and political boundaries. The idea of a joint EU Integration Unit in Sarajevo has arisen during Phase 2 and could be a very good step toward efficient provision of joint services for members. Committee members in both Entities said joint Committee work would add value.

3A, B: The Finance and Legal Advisers

Have matured and consolidated their positions and their value to members. They are the 'big win' of the CDMA project. They are appreciated by local levels and higher levels alike. Their services are essential for the AMCs' sustainability. See 2A, 6.2, 8.3 for more details.

3C: Information and Communications

The AMCs are using these strategic tools to make strong strides forward. For example, in 2013 the Project funded the AMC RS PR campaign to (successfully) reverse changes in the Forestry Law. The efforts to develop dynamic networks of Focal Points and municipal information officers are laudable and have considerably strengthened ownership of the AMCs locally.

The CDMA project had several relevant sub-components: information and communications management (e.g., website, databases, etc), communication and lobbying/advocacy strategies, media relations, training modules on communications and PR, and training/coaching events, including panel sessions with journalists on how to improve reporting on local issues. The project has assisted the AMCs to strengthen relations with municipal information offices, and to bring them together with the media. It has also supported new AMC 'visual identities' – logos and the accompanying standardised graphic design.

Both AMCs are exploring innovative approaches and new products such as position papers and policy briefs, and online fora/networks for Focal Points and Committees.

One challenge - though diminishing - is that many people at local levels are not accustomed to working with emails, and therefore do not respond in a timely fashion to requests for comments or to invitations to participate in events. It was suggested that AMC and regional municipal information officers could join forces to help small municipalities address this issue.

3D: EU Integration Units

This component was built on a preconceived notion that each AMC should have an EU Integration Unit staffed by a CDMA-funded officer. The Midterm Review suggested that rigorous analysis was needed to test this notion and determine what role the AMCs could play most effectively in the EU integration agenda. In 2013, studies were commissioned to analyse key issues and assess the feasibility of EU Units in each AMC. The AMC RS decided to set up a Unit in May 2013. The AMC FBH Presidency took note of the analysis, which suggested keeping its current system whereby one or two officers manage EU issues, with the option of setting up a unit in due course.

The East Sarajevo municipality has offered to provide space for a joint EU Integration Unit once the political situation is amenable to such a joint solution. The EU Delegation is based in Sarajevo and there would be clear efficiencies, especially if the EU could provide some support.

While accessing funds (IPA) is of great interest to municipalities, mayors and municipal officers are equally keen for the AMCs to focus on the accession process, to lobby for them at higher levels on these issues, and to educate them and citizens on what to expect and how to prepare for eventual accession, including how to meet EU requirements. There is a clear role in this process for the Committees on International Cooperation and EU Integration.

IPA funding is currently stalled, pending BiH action on EU coordination, human rights and democracy conditions. *“We have made it clear that...the national sector strategies and coordination mechanism with regard to EU issues will be essential for BiH to benefit from the IPA II Programme 2014 - 2020. We believe that BiH political leaders need to achieve cross-party consensus on issues related to the EU and to work on them,”* said the Spokesman for the EU Delegation in Sarajevo on 27 December (<http://ekapija.ba/en/Vijest/eu/>).

This will have an impact on ongoing AMC and other efforts to access IPA II funding for crossborder cooperation initiatives. However, it might also have a welcome impact of turning attention back to the equally – if not more – important issues of complying with EU laws and standards, as a major step toward accession and trade and investment development.

The latest status report (2013) from the EU states: *“The lack of genuine political support for the EU agenda is reflected in very limited progress also as regards **approximation to EU laws and standards**. This concerns in particular the fields of veterinary and food safety; competition; public procurement; energy; environment and climate change; transport; employment and social policies.”*

Many of these issues have implications for local authorities, and the AMCs need to enhance their capacity to provide information and education to their members. AMCs agree they should develop the capacity to assist local authorities in their role in integration – in analysis, education, training, checklists, strategic planning, inter-municipal cooperation, etc.

5 Management and Operational Efficiency

Has the project been implemented in a timely, streamlined and cost-effective manner?

Regarding the key contributions, the four finance and legal advisers were recruited on time, and work on the strategic documents began as scheduled. 65-70% of the planned outputs and activities were delivered in Phase 1. However, for a variety of reasons (capacity to absorb and deliver, political environment, etc), few were delivered during the originally planned timeframe. In Phase 2, no specific target dates were set – just the end of the project. About half of the proposed activities and outputs were delivered by 15 October 2013.

CDMA-Supported Activities in Phase 2 1 September 2012 - 15 October 2013	
First Half Phase 2 (Sept 2012-May 2013)	Second Half Phase 2: (June-Oct 2013)
<ul style="list-style-type: none"> • 1 trip to Local Governance Fair in Belgrade (November) • 1 study tour to SCTM, Belgrade (January) • 6 strategic documents finished and adopted by Assemblies: 5 in RS (February), 1 in FBH (February) • 2 EU analyses commissioned (April-May) • 2 joint Committee planning sessions funded (April-May) • 3 municipal visits FBH (April) • 4 municipal visits RS (April) • Production of logos and visibility materials/standards funded • SMS communications software funded (unused) • Experts database funded (needs further work to make it a reliable source of information) 	<ul style="list-style-type: none"> • 2 strategic documents finished and adopted by Presidency in FBH (Oct; pending Assembly adoption in 2014); 9 supporting documents prepared for AMC RS HR strategy • 3 action plans drafted by FBH PM, but still with Director (July) • 4 policy for a funded (21 June, 4 July, 19, 24 Sept: 2 in each entity) • 1 IPA project writing workshop (June) • 1 study tour to Croatia (June) • 1 study tour to Poland (October) • NEXPO Fair in Croatia (September) • 1 media event in FBH funded (July) • 5 regional workshops for municipal information officers funded (September-October) • FBH financial software commissioned for AMC FBH (to be operational in 2014)
Source: CDMA interim reports, interviews with CDMA staff, AMC staff	

A number of efficiency issues raised in the Midterm Review were addressed in Phase 2, e.g.:

- why a separate parallel approach was pursued in delivering activities in the Republika Srpska and the Federation, when there were many synergies
- why the Project Managers were not officially based in the respective AMCs, rather than in the Sarajevo Project Office since they spent most of their time in the AMCs in any case.

In Phase 2, efficiencies were gained by delivering more activities jointly, or at least by the same consultants, and by basing the Project Managers virtually full-time in the AMCs. It is possible that further efficiencies could have been gained by sending just one CDMA officer on study tours abroad. It was not entirely clear why the whole

team, including the office manager, went to Belgrade for the AMC management programme.

Has spending been carried out transparently, within budget and according to plan?
Auditors' reports showed the budgets were executed in a timely fashion.

Phase 0/1 (16 August 2010-31 May 2012): The Project Office spent 96% of the amount budgeted for fees (SEK3.96m of SEK4.11m) and 46% of the budget for reimbursables (SEK445,836 of SEK825,660). It also disbursed SEK1.65m (47%) of the SEK3.5m available in the Project Fund for short-term experts and activities in both Phases. In the bridging phase, 1 June-31 August 2012, it spent another SEK 239,237 from the Project Fund.

Phase 2 (1 September 2012-15 October 2013): the Project Office spent SEK 2,813,854, or 99% of the SEK 2,837,868 budgeted for fees to 15 January 2014. The Project Office reimbursables totalled SEK 585,183, or 91% of the SEK 640,297 budgeted. It also disbursed SEK 1,444,955 of the Project Fund - 89% of the SEK 1,616,085 left over from Phase 1, leaving SEK 177,130 in balance.

Have procurement processes delivered the best 'value for money'?

VNG was to follow good-practice guidelines from Sida. Feedback from international and local consultants indicates that the procurement process was professional and efficient. However, it is hard to tell if they were the 'best value for money' – particularly since evaluation forms and mission/activity reports were not available for most of the activities they performed. A review of the outputs (e.g., analyses, strategic documents) shows that some were very good and some were very poor.

One partner in the VNG 'consortium' (EDA, based on Banja Luka) delivered more than 40% of the activities – mostly on preparation of the strategic documents - as per its agreement with VNG. Feedback on its contribution was positive, as were interviews with the EDA Director and staff, and assessments of their outputs (though writing style needs QC).

The 'Resource Partner', the Standing Conference of the Serbian Association of Towns and Municipalities, was also due to provide experts under the project plan (and the AMCs were expecting this), but SCTM does not remember being approached more than once or twice during Phase 1, when its main activity was hosting a study tour for the legal and finance advisers in December 2010. In Phase 2, it was contracted to run a programme focusing on management issues (December 2012-January 2013). The feedback and the quality of the outputs were excellent.

Procurement of translation services was definitely *not* good value for money. During the Midterm Review, the Team Leader said the translations of several FBH strategies had been contracted to a professional translation agency. However, the quality of the English was so poor that the Midterm Review recommended investigating the procurement contract. During the Final evaluation, the translation issues reappeared in most Project public outputs (strategies, brochures, etc). Apparently the BiH-languages versions were poorly written as well. When the evaluation team went through procurement documentation to see how the translators were hired, they could only find two cases of fully documented procurement – in Republika Srpska. By contrast, there

were multiple cash receipts for ‘translation services’ (and other items), with no substantiating documentation.

Procurement of the SMS communications software and work on the experts database may not have delivered the best value for money because – at the time of the evaluation - the first product was not being used by either AMC, and the second one was considered ‘unreliable’ and in need of further work to establish the credentials of the ‘experts’ listed therein.

6 Management and Implementation Effectiveness

6.1 QUALITY OF CDMA MANAGEMENT AND OPERATIONS

Has CDMA been implemented in the most well managed, accountable and appropriate manner?

This Section follows on from Section 3: *Quality of Design*, where a number of management and operational issues were already covered.

6.1.1 Human Resources

As mentioned earlier, in three years CDMA has had three team leaders, four Project Managers, two project assistants and two office managers. The current team leader and office manager have been working since June 2013 and the FBH Project Manager since January 2013. The RS Project Manager, in place since October 2011, is the longest-standing member of the team. (See the Results Framework, Annex 4 for more details.)

From the beginning, the roles of the Project Managers and the legal and finance advisers were not adequately defined and agreed *a priori* with the respective AMC heads (although these were on the selection committees). The ToRs were cut and pasted, and were not the same for similar positions (e.g., Project Managers). The Midterm Review recommended that the Project Managers' position descriptions be aligned and that each PM have an agreement with the respective AMC Head, defining her role, etc. These recommendations remain valid.

Selection processes were not totally transparent and selection criteria were not always strictly observed (e.g., the ToR requirement of a university degree and the Sida agreements with the AMCs that the Project Managers would be 'recruited in BiH'). The first Project Manager for AMC RS resigned in June 2011 and was only replaced in October 2011 after an acrimonious selection process. The new Project Manager had to implement an accelerated action plan in order to catch up. The first Project Manager for AMC FBH was dismissed at the end of his contract in November 2012 and was replaced in February 2013, also after a discordant selection process. The new Project Manager said she had a steep learning curve with little orientation.

The Midterm Review mentioned that the Sida-funded finance and legal advisers had not necessarily been used to their full potential, due to multi-tasking and other management and communications issues. The MTR noted that in AMC FBH the advisers were well integrated into the team, but in AMC RS their location in Banja Luka required extra efforts in teambuilding and communications from the Bjeljina Head Office. At the time of the evaluation in late 2013, the advisers reported that most of the weaknesses had been overcome, and that the new Secretary-General of AMC RS had been making special efforts to integrate the Banja Luka and Bjeljina offices. The advisers all had useful ideas for enhancing the sustainability of their positions.

6.1.2 Quality Control

VNG's Project Proposal committed the implementer to high-quality management, planning, performance control, consultation, etc. This was not borne out by the results. Quality control was poor overall, starting with the inception report and continuing with reporting during Phase 1. The quality of some of the main project outputs – the strategic documents – left much to be desired, particularly in terms of design, content, writing, translating and follow-up.

In Phase 2, the format of reporting was streamlined and aligned to the work plan. It would have been even more useful if the reports had included CDMA's exact contribution to the activities, where this was not clear. At times, VNG management responses to the Embassy's questions were difficult to understand (e.g., for the May 2013 report).

Quality of procurement processes

Consultancies

In interviews, experts who were hired by the Project said tender information was easy to understand, the application process was straightforward, the staff members were responsive to questions, and procedures were completed in a timely and efficient fashion. However, the ToRs became less demanding as time went by. For example, the requirement for experts to produce a mission or activity report was barely enforced and eventually lapsed altogether, despite reminders from the Embassy.

Project Office Audits

The first procurement process (for the 16 August 2010-31 October 2011 reporting period) was in line with Sida requirements, with an approved ToR and a transparent selection process. The audit was thorough; the report queried the lack of internal control systems and procedures, lack of company registration, lack of work permit for the team leader, lack of fee payment to the team leader between January and October, cash payments to employees and experts, non-payment of local taxes, etc. It recommended that internal controls be strengthened, that cash payments to staff and consultants cease, that tax obligations be verified, and that VNG register as per BiH law. In a letter to the Embassy in February 2012, VNG undertook to act upon these recommendations forthwith.

The subsequent two procurement processes (for the 12 months to October 2012 and October 2013, respectively) did not fully follow the Sida-VNG contract's Article 9 (for example, there was no approved ToR). The resulting audits, conducted by another company under less strict conditions, were much less thorough than the first. The reports said that all the previous audit recommendations had been implemented except the one relating to company registration.

When problems were revealed in April 2013, VNG contracted the first auditor to do a thorough audit of the accounts from November 2012 to April 2013. In its report, in addition to reporting on the issues at hand, the auditor noted the lack of effective internal control systems and procedures, the large number of cash transactions, and the continuing non-registration issue. This indicates that the issues and risks highlighted in the first audit had not been addressed adequately, despite the audit report at end-2012 saying they had. VNG issued an updated set of internal procedures in June and registered VNG in September.

AMC Audits

The AMCs were obliged under their funding agreement with Sida to commission annual audits. At the time of the evaluation, the AMC audit reports for the latest period were not available. For the AMC RS, the ToR of the first audit did not specify the tasks; it eased the qualifications; and it did not attach the background documents for reference (e.g., the pre-audit, on which the auditor was supposed indicate how issues identified therein had been dealt with). The second RS audit reported that there were no outstanding issues. The ToR for the AMC FBH audit, by contrast, was quite clear on the tasks, and the following reports said the AMC was continuing to address the shortcomings identified in the pre-audit.

6.1.3 Financial Management

During the evaluation mission, the team went through numerous project files dating back to Phase 1, as part of the verification process. These files were arranged by activity line and included many invoices and receipts, but few contracts or activity reports, or evidence of the goods and services provided. The Office Manager, who was hired in June 2013, was not familiar with these files. She had started a new system when she arrived.

The *Financial Instructions* that VNG provided to the Project Office in June 2013 addressed the internal control procedure shortcomings listed in the audit reports of November 2011 and May 2013. However, the set of instructions did not seem to cover the issue of substantiation, i.e., proof that the person being paid had been contracted to produce a good or service and had actually done so in line with the ToR and contract.

6.2 QUALITY OF OUTPUTS AND ACTIVITIES

CDMA had four main sets of outputs:

1. the finance and legal advisers' activities and outputs
2. the 'strategic documents'
3. seminars, study tours, training activities, and their related outputs
4. consultancies

The activities were relevant and well targeted. The seminars and capacity-building activities were well organised. The participatory and strategic approach to developing the strategic documents was highly appreciated. VNG deserves credit for managing these aspects well.

Apart from the four legal and finance advisers (recruited early in Phase 1), few outputs and activities were delivered as per the original timeline. A number were merged with other activities; and some were postponed until Phase 2 and then mostly dropped. (See Annex 4.) Some were superfluous (e.g., other donors were tending to them, or they were no longer needed); some were postponed due to political and economic issues; some were simply too difficult.

6.2.1 Finance and Legal Advisers

The four finance and legal advisers were the most effective 'results' of the CDMA. Their activities and other outputs, such as advocacy, advice and analyses, contributed enormously to the AMCs' growing influence and credibility among members and at higher levels.

Stakeholders told the evaluation team that the advisers were performing well, and indeed in many cases had surpassed expectations. As mentioned earlier, they said the advisers had matured and grown in their jobs and were carving out their niches. However, they also said that the advisers could not be expected to do and know everything, and therefore needed extra support to seek outside expert advice and analysis, and extra education on emerging priority topics. The advisers confirmed these observations.

6.2.2 Strategic Documents

The AMC staff and the members (mayors, municipality officials) who developed the strategic documents from 2010 to 2013 lauded the participatory process and the strategic approach. They said one of the main impacts of CDMA was a visible shift in the AMCs' approach and mindset, towards a more strategic way of operating.

All except the 'Services Development' papers provided fairly good background analyses, approaches and ideas for roadmaps. None, however, was a comprehensive strategic plan. The indicators and milestones for measuring progress and results still needed work, and baseline data needed to be added. The RS Services Development strategy could use more rigorous analysis, and the FBH Services Development paper should be discarded and a whole new analysis commissioned, maybe jointly with the RS analysis.

6.2.3 Training and Capacity Building

Numerous activities took place in Phases 1 and 2 (Annex 4). In both Phases, the training and study tours (to Bulgaria, Croatia, Poland and Serbia) generally received high marks from the AMC staff, Presidency Members and municipal officials who participated in them. The Serbia (SCTM management programme) and the Poland (EU accession) study visits organised in Phase 2 were the most highly rated. Several participants noted: "We really had to work!"

Two important sources of information to assess quality of training activities are feedback forms and mission/activity reports. As evaluation forms had not been collected from participants in Phase 1, the Midterm Review recommended that they be collected systematically in Phase 2 for all CDMA-supported activities. Nevertheless, apart from a very few cases, this good practice was not observed. Similarly, external consultants were supposed to provide mission/activity reports as a standard practice, but this condition was not enforced.

A key indicator of capacity-building effectiveness is the follow-through. Training courses, for example, should not be an end unto themselves. Numerous activities designed or funded by CDMA did not include concrete follow-up action to ensure continued progress toward the desired results. A good example follows:

In December 2012-January 2013, CDMA contracted the Standing Conference of Towns and Municipalities of Serbia (SCTM) to assist the AMCs with management and planning issues. SCTM experts conducted a thorough needs analysis at each AMC and hosted an interactive 2-day programme in Belgrade in January. Each AMC worked out a plan of action, which – according to the Phase 2 plan – SCTM was meant to help them implement over the subsequent months. However, CDMA did not follow up, and at the end of Phase 2, the plans had not been implemented, except for the use of human resource management templates by AMC RS. While the AMCs said the lack of follow-up was their fault, as well, the ultimate responsibility lay with the Project Office.

6.2.4 Project Managers

While the Project Managers are ‘inputs’, their advice and hands-on assistance have, rather like consultancies, made an important contribution to the AMCs and to the achievement of CDMA objectives, including keeping the project going during unstable periods. In the RS, the Project Manager is a valued team member, according to Secretary-General, who took up his position in March 2013. His predecessor had also said he highly valued her input. She is at the point now, after more than two years, where she can foresee needs and offer solutions in line with project objectives. The project’s flexibility allows her to put funds to good use for tangible benefits (such as the successful RS advocacy campaign regarding the Forestry Law). In AMC FBH, the Project Manager has been in her post for almost a year, and after a few months of catching up, the Director said she has been adding value and managing the project.

6.2.5 Technical Consultancies

Communications is an area in which the Project has produced a number of good results through consultancies, equipment and hands-on assistance. Stakeholders consistently noted the improvement in both the quality and frequency of communications and information flows from the AMCs.

Hits have increased significantly since websites were improved with CDMA help. Stakeholders informed the evaluation team that AMC websites are now more complete and easier to use. Outside experts confirmed the websites were good. AMC Focal Points interviewed by the team were linked in, and they were openly enthusiastic about the online forum that AMC FBH was introducing.

The bilingual brochures produced for the AMC Strategies, and the ‘AMC RS at 13’ publication were pleasing to look at, but the English translations could have been much better. Staff reported that the original BiH-languages versions were not written in a very user-friendly way either. It is important to have good-quality content and correct translations for members, potential donors and twinning organisations.

The quality of the two AMCs’ new visual identities (supported by CDMA) is very good. This support started in Phase 1 and was completed in Phase 2.

6.3 STAKEHOLDER RELATIONS AND OWNERSHIP

The AMCs’ ownership of CDMA is quite strong, mainly because so many of the services, activities and outputs have become an integral part of their day-to-day work.

6.3.1 Effectiveness of Institutional Arrangements with AMCs

In Phase 1, the CDMA Project Office had very good relations with the AMC FBH and variable relations with the AMC RS. The outgoing team leader suggested that MOUs between VNG and each AMC would be necessary for Phase 2. The Midterm Review recommended that the AMC Heads and the two Project Managers (who spend most of their time in the AMCs) prepare a written agreement defining the PMs’ role, mutual expectations and key activities for Phase 2. This did not happen, and the issue re-emerged during the evaluation mission.

The Embassy's arrangements with the AMCs were based on the Sida-AMC agreements to disburse SEK 1.5m each over the three-year period to support the finance and legal advisers and a number of related expenses. The AMCs were to provide half-yearly and yearly reports, as well as annual audits. The links between the AMCs and the Embassy proved valuable while the Project Office was closed in April-May 2013.

6.3.2 Relations with the Advisory Board

The Advisory Board met only three times in the first 18 months, rather than the 3-4 times per year originally planned. Interviews with mayors who were members revealed little interest. The Midterm Review recommended that the Board either be recomposed and used well, or disbanded. Neither step occurred, but the Board did not meet at all in Phase 2.

6.3.3 CDMA's 'Partners in Delivery'

VNG had two 'implementing partners' and one 'resource partner'. None of the three felt real ownership of the project, as they were not involved in designing or refining it; two were involved in project activities much less than they had expected.

EDA of Banja Luka (RS) was VNG's main 'implementing partner'; it was to deliver more than 40% of the consultancy activities under their agreement. However, it did not feel that it was a true partner, nor used to its full potential (i.e., beyond consultancy activities).

The other implementing partner, SIPU of Sweden, barely participated in CDMA activities until mid-2012, when one of the candidates it presented was chosen as Team Leader 2.

The 'resource partner', SCTM of Serbia, was disappointed that its role was not clearly defined, and that it was not invited to participate in the design or planning of the project, did not receive project reports, and was only asked to deliver 3-4 activities in the three years. During the Midterm Review, the AMCs said they wanted more experts from SCTM, "because they come from municipalities and speak the same language". The Review recommended that SCTM be given a greater role in Phase 2. The Phase 2 plan accordingly included an activity under the management component and commissioned SCTM to deliver a 'programme on organisational development' at which individual action plans would be developed and SCTM would do the follow-up. As mentioned above, while a good management workshop took place, no follow-up ensued.

6.4 VISIBILITY

Sweden's logo should be placed as a matter of course in all CDMA materials. The Embassy brought this to the Project Office's attention in early 2012 and informed them of the new logo and visibility guidelines. The contractor agreed to improve visibility, but the logo was still missing from some of the CDMA-funded publications and activities, even in Phase 3. The Midterm Review suggested that the Embassy should also discuss this with the two AMCs. During evaluation interviews, AMC officers expressed interest in giving Sweden more visibility and wanted more information on how to do so. So did the Project Office.

6.5 CROSSCUTTING ISSUES

The CDMA programme does not specifically address gender, environment or poverty reduction issues. Many municipalities have both gender and environmental programmes, often supported by donors, including Sweden.

6.5.1 Gender Equality

Several local officials offered suggestions for how to address gender issues in the CDMA context. For example, they mentioned some issues that the AMC RS Social Policy Committee could take up, as well as aspects related to EU standards and good practices. They also suggested building awareness of the need for more women to be involved in local affairs, not just politics. This may not be a priority for AMCs, which need to focus on core services, but Sweden has been involved in gender work, and the OSCE has activities on women in local politics.

One mayor we interviewed, as well as the two CDMA Project Managers, had attended a Swedish training programme on gender issues in October 2013, and had returned with good ideas to follow up. The Chair of the RS Social Policy Committee suggested: “The AMC could incorporate gender equality issues in strategic documents, facilitate sharing of experiences and transfer of good practices, maybe have a seminar similar to the one for lobbying. The RS Gender Centre should be involved. I suggest taking the issue to the local level; lady MPs already strong enough”.

6.5.2 Environment

A common message from virtually all mayors and municipal officials interviewed in both 2012 and 2013 was that waste management is a priority issues (solid, liquid, disposal, treatment, recycling, etc), locally, regionally and across entity and country borders. They greatly appreciate Sweden’s assistance and would like to see it continue! Energy and environmental management are the other top priorities.

Regarding CDMA, several mayors suggested a component to support inter-municipal or regional (e.g., Cantonal, REDAH, NERDA, etc) projects on waste management. They thought the AMCs could be a useful forum to facilitate advice and action on these matters. Some mayors also suggested a component to help underdeveloped municipalities on environmental management.

6.5.3 Human rights and Poverty Reduction

Municipalities are increasingly responsible for implementing welfare and other social policy measures. Several mayors and municipal officers suggested that the AMCs could, perhaps through relevant Committee work (e.g., RS Social Policy Committee), raise awareness of EU policies, laws and standards, and facilitate sharing of experiences and good practices. The AMCs could also undertake lobbying and advocacy efforts to help municipalities secure more resources to manage such responsibilities. Decentralisation of responsibilities is not often accompanied by transfers of funds to manage them.

6.6 PERFORMANCE SUMMARY

The new VNG CDMA team is motivated and trying its best to overcome the problems left by predecessors. They managed to facilitate some good activities in 2013, and had constructive ideas for an extension phase.

Overall, VNG's team has been particularly adept at organising activities and events, commissioning experts, and providing hands-on and financial assistance where relevant. The AMCs and members appreciated their efforts to inculcate a strategic approach to developing the strategic documents, to build capacity on different levels, and to professionally help organise and fund numerous meetings, seminars, training activities, study tours, fair participation, communications, advocacy, etc.

These activities, combined with those of other donors and the work of the finance and legal advisers (funded under a separate CDMA arrangement between Sida and the AMCs), all led to a significant strengthening of the AMCs' capacity and influence.

However, much of the project – from August 2010 until June 2013 - was characterised by the following weaknesses, which cannot be ignored:

- VNG's generally careless attitude to management, along with poor quality and internal controls, led to documented irregularities in recruitment, procurement, finances and legal situation
- Insufficient analysis and investigation in pre-project phases (proposal and inception)
- Insufficient risk analysis and risk management strategies in the Concept paper, the Inception Report, and the response to Embassy queries in mid-2013. It is likely that more thorough pre-project consultations and risk analyses by the Embassy, VNG and the AMCs would have led to better ways of dealing with potential problems up front.
- Resistance to audit recommendations regarding internal controls and regularisation of legal situation of company and staff, and taking measures in 2013 only 'after the horse had bolted'
- Poor supervision and guidance of the Project Office by VNG Head Office (remedied from May 2013)
- Inadequate surveillance by the Embassy; inadequate attention to detail even after the Midterm Review
- Poor quality of many project outputs (content, grammar, spelling, translations, etc)
- Poor enforcement of ToRs
- Inadequate communications and transparency; mismanagement of people, personalities and expectations, leading to misunderstandings and deterioration of trust in both Phases

7 Main Findings and Conclusions

7.1 RESPONSES TO THE QUESTIONS IN THE TOR

1. *What is the impact of the specific CDMA assistance (finance/legal advisers, strategic documents)?* Mayors say the AMCs would not be where they are today without the CDMA. AMCs and Mayors/municipality officers say AMCs' improved visibility, credibility and access to higher levels; greater professionalism and confidence; and a more strategic mindset and approach are the most important impacts to date. CDMA and other donor support for the greater involvement of local experts in committees, for the focal point system has contributed to a broader base of ownership and unity of purpose – key sustainability factors. This, however, is embryonic.
2. *What is the general level of satisfaction of beneficiaries: both AMCs and mayors, with the project?* AMCs are generally very satisfied with the support they have received over the last three years. AMC RS specifically mentioned the crucial role of the CDMA Project Manager in the AMC's development in the past two years. Members of the Presidency lauded the programme's efforts and achievements, especially regarding the legal and finance advisers, and the contribution to the strategic documents, study tours, Presidency meetings, communications, etc. AMCs, however, stated that, in some instances, the implementer's performance was unsatisfactory.
3. *To what extent has CDMA influenced the AMCs' overall performance thus far?* The CDMA's aim was to help the AMCs: (1) prepare to take over donor-funded services and products when the donors exited; and (2) develop sustainable capacity to deliver services to their members and advocate their interests at higher levels of government. The CDMA, through the advisers and other support, has definitely contributed strongly to the growing capacity to advocate members' interests at higher levels, and to a degree, to deliver other services to member municipalities (see below). However, while the AMCs are stronger than they were three years ago, they are still not prepared to continue to deliver services and products after donor projects (including CDMA) have finished. Their management and financial situations need considerable attention. AMCs need to develop solid management systems and good practices, a much stronger institutional framework, a clear vision and roadmap of the way forward, etc. The Midterm Review recommended that Phase 2 focus heavily on these issues, but it did not. This recommendation remains for any continuing or future support.
4. *What is the overall assessment of the number, quality and efficiency of activities delivering concrete services to member municipalities?* Most of the CDMA activities have involved direct support to the AMCs, with the aim of enhancing their ability to service their members. A good example of this is the finance and legal helpdesk functions, which have been developing well and which municipalities say they appreciate and are using regularly. Some say they are adapting the Lobbying/Advocacy and Communications strategic documents to the local level. A few activities have directly targeted and benefitted the municipalities, eg, the trainer pool, workshops for municipal information officers, seminars for local media, The Midterm Review recommended that a comprehensive assessment of evolving

municipal needs be done before Phase 2, in order to refine the CDMA approach and better address real local needs and expectations. Such an assessment was not carried out. The Midterm Review made other suggestions relating to these issues, as well – eg, a strong focus on core services development – especially municipal finance services (not accomplished), a comprehensive municipal visits programme (not done – just 3 municipalities visited in FBH and 4 in RS – all in April), restructuring Committees to include more local experts (done), further engagement of Focal Points (done, with other donors). Good scope exists to address these issues in an extension phase, especially via a well structured municipal visits programme, support for Committee work, and support for the finance and legal advisers. See Section 8.

5. *To what extent have the risks identified in the Project document influenced the project results. How have these risks been managed by the contractor?* Inadequate risk and issues analysis and management strategies started with the Concept Paper and continued throughout the project, including in the June 2013 VNG management response to the Embassy's questions on risk management. It is quite likely that thorough pre-project consultations and risk analyses by the Embassy, VNG and the AMCs would have led to better ways of dealing with potential problems up front. The 'red flags' that popped up regularly should have been recognised and dealt with immediately.
6. *How has the assistance provided to AMCs improved their institutional capacity to analyse, lobby, support, inform, advocate, coach...?* As stated above, the assistance has definitely strengthened the capacity to do these things, and they are progressively improving. But until basic management systems and practices are in line with good practice and they are organised to pursue a clear roadmap forward, they will not be able to reach their potential.
7. *How sustainable are the invested efforts?* Until the AMCs get the basics, including core services, right, they will not be able to absorb the invested efforts and make good use of them in future. If Sweden's assistance were to stop today, the AMCs might face a struggle to keep the finance and legal advisers and to support an array of regular and ad hoc activities. As mentioned in the text, better donor coordination and exit strategies (and built into the AMCs' strategic plans) would help in terms of developing a realistic approach to sustainability.
8. *To what extent is interaction taking place between AMCs, mayors and policy makers to identify legislative improvements?* Most mayors and policy makers said interaction has improved significantly in the last three years, and that the AMCs are playing an increasingly constructive role in legislative and regulatory working and drafting groups. In FBH, the AMC now has a seat on the high-level Fiscal Coordination Body; this is considered a major accomplishment. The AMC RS successfully initiated a major lobbying effort last year to reverse proposed changes in the Forestry Law that would have had a negative impact on municipality revenues. These achievements are raising their credibility in the eyes of both members and higher levels, and facilitating greater interaction. However, a common message from virtually all mayors and municipality officers was that AMC staff - especially the advisers and technical experts – needed to visit them frequently and interact regularly and in person with counterparts in municipalities. This was a key message of the Midterm Review, as well, but it was not acted upon adequately. In any continuation or future project, support for a structured programme of municipality visits and for committee work should feature strongly.

9. *To what extent are the mayors an important part of the policy making process and are municipalities able to effectively advocate collectively through AMCs for necessary legislative and administrative changes?* See #8. Their feedback was that this has improved steadily over the past three years, and they are pleased with the increased visibility, credibility, access and involvement with higher levels of government. Nevertheless, they said the AMCs should make an effort to establish closer, more personal, more visible relations with the local authorities. And they all said that mayors should assume more responsibility for advocacy activities, including lobbying local MPs on key issues.
10. *Could the intervention have been implemented with fewer resources without reducing the quality and quantity of the results?* Yes. The Project Office role and structure could have been thought out more strategically from the beginning. Some activities could have delivered the same results with fewer resources, including the study tours which easily could have been managed by one project team member. Parallel tracks (i.e., separate approaches for each AMC) arguably yielded no better results than a more efficient, harmonised ‘single-track’ approach to a number of activities would have. For example, some of the strategic documents could have been produced together, since – as mostly framework documents - they largely covered the same topics and addressed the same needs and similar beneficiaries. The Strategic Action Plans (not yet developed) could then have been tailored to each AMC’s particular circumstances. Some of the training in Phase 1 could have been combined, instead of being delivered separately in the two Entities; with the added benefit of bringing together participants from both entities. In Phase 2, efficiencies were gained through more joint activities (e.g., training) and a more harmonised approach to strategic documents.
11. *Are there specific activities that are NOT currently being implemented that should be included in the Project in order to further strengthen the AMCs?* Yes. Both AMCs have room for improved planning and management systems and good management and administrative practices, including annual needs assessments and client satisfaction surveys. Mayors and municipal officers reiterated the need for more frequent visits by the legal and finance advisers, and other AMC specialists such as EU and information officers. Both the advisers and the committees would benefit from access to outside expert analysis and advice, as well as education on specific issues. Municipalities also suggested that the AMCs might provide more support on gender, environmental and social policy issues, as noted in Section 6.5.
12. *What, if any, are the gaps in CDMA approach?* Apart from the Project Office problems, CDMA would have achieved more if its design had been more realistic and coherent and if delivery had been better sequenced, bearing in mind the capacity of both the AMCs and the Project officers. One of the key weaknesses was the inadequate attention to AMC institutional and strategic issues: management, implementation of strategies, and other sustainability questions, including donor coordination. Another was insufficient support for the development and strengthening of core services, particularly relating to municipal finance issues.
13. *How these could be corrected in a possible next phase of the project?* It is important to tackle the institutional and strategic issues in a systematic and well planned way, and to involve experts who have extensive experience in similar types of change management.

It will be important to provide additional support to the legal and finance advisers, as well as other AMC officers involved in provision of core services.

It would also be useful to have written agreement, even an MoU, with each AMC, to clarify the role of the Project Managers.

Donor coordination is never easy, but it is important to address this in the interest of the AMCs' future sustainability. One key area where several donors are involved is support to the AMC Committees. Since the Committees are a pillar of the AMCs' sustainability agenda, it will be necessary to ensure that they get the necessary support in a well coordinated and sequenced fashion. See Section 8.3 for more suggestions.

14. *What recommendations do you have for the contractor in a possible next phase?* Assuming this question refers to the current CDMA project that can be extended for either one or two more years: The activity plan should: (1) focus on just a few activities that will take the project closer to realising the main objectives; and (2) prepare a strategy for exiting smoothly at the end of the year. (See Section 8.)
15. *What recommendations do you have for managing CDMA?* See above, Section 8.
16. *What additional actions does CDMA need to undertake to improve AMCs' work and service delivery?* These issues are covered in detail above and in the Recommendations section.

7.2 LESSONS LEARNED FROM MIDTERM REVIEW AND FINAL EVALUATION

This section provides the Embassy with a (non-exhaustive) list of lessons learned from this evaluation and the Midterm Review. They should not be viewed as criticisms, but rather as suggestions for good practices to be applied in future.

7.2.1 Lessons from the 2014 Evaluation

For the Embassy:

- *Recognise 'red flags' and act on them immediately.* These were evident in the concept paper, the proposal, the inception report, discussions, correspondence and contracts, auditor's reports, management responses, etc.
- *Practice decisive, hands-on management,* enforcing strict performance requirements, a strict code of conduct, and zero tolerance for poor quality.
- *Read carefully and critically all items sent by the Project Office to the Embassy for approval.* Ensure they meet the contractual requirements.
- *Don't give second chances after irregularities are revealed.* These can be a sign of deeper problems.
- *It would seem more appropriate for the Embassy (not Project Office or Beneficiaries) to commission independent audits.* The Embassy should also leave open the opportunity for unannounced audits. There is an inherent conflict of interest in organisations commissioning audits of their own accounts and systems: "he who pays the piper calls the tune".
- *Involve AMCs and partners in all aspects of project design,* starting in the pre-tender phase. This will increase chances for optimum ownership and a realistic programme.

- *Keep a close eye on progress reports and follow-up on Midterm Reviews.* Consistently leaving the hard issues for later can indicate that the implementer does not have the knowledge or capacity to handle them.

For the Implementer:

- *Practise strict quality control.*
- *Take auditors' recommendations seriously.*
- *Involve AMCs and partners in all aspects of project design, starting with the pre-tender phase.* This will increase the chances for optimum ownership and a realistic programme.
- *Carefully define the roles of project staff and partners, in consultation with beneficiaries. This should be done in the inception phase.*
- *Ensure that all project activities are focused on the end result and include follow-up as a performance requirement.* Activities like training should not be an end unto themselves.
- *Develop a realistic exit strategy.* Keep it in focus in all reporting and planning. Refine it as necessary (taking account of other donor activities, progress of capacity building), but do not let it slip from sight. This is important in terms of sustainability.

7.2.2 Lessons from the 2012 Midterm Review

For the Embassy:

1. *Study carefully Concept Papers and Preventative Audits, to ensure you have a full and objective picture of the situation, including complete baselines.* All pre-project documents raised concerns (e.g., about the beneficiaries' capacity to absorb); inadequate follow-up led to flaws in CDMA design and execution.
2. *Ensure that the process of choosing the contractor is based on objective criteria and identifies any conflicts of interest.* The Embassy said three candidates met the criteria. The AMCs said they had been lobbied hard by the successful candidate.
3. *Investigate shortlisted applicants' credentials by interviewing previous clients and beneficiaries.*
4. *Analyse the results of applicants' previous projects with target beneficiaries.* By most accounts, VNG projects 10 years ago did help strengthen AMCs at a critical moment; however, sustainable results were questionable. They also installed legal, financial and PR advisers, but these must not have produced the expected results because legal and financial experts were again recruited under the CDMA programme (VNG also wanted to recruit new PR and EU experts, but Sida resisted). The Inception Report said they would not repeat their previous MASCIP project's mistakes (being too ambitious and not managing risks well). Yet VNG proposed the same broad approach for the CDMA project as a continuation of its previous work.
5. *Exercise strict surveillance and immediately address and eliminate any irregularities or questionable practices.* The Embassy needs to be tough. It ceded to pressure and trusted people too much.
6. *Ensure that the ToRs for auditors meet the contractual obligations and that the auditors chosen are truly independent.*
7. *Treat both AMCs as equal partners.* Give them equal attention, and demand from both a high level of commitment and accountability.

8. *Choose a more proactive Advisory Board and use it well, or disband it.*
9. *Read carefully ToRs for experts, outputs and reports in order to stay in the loop on what is happening and to hold people accountable for the quality of outputs.*
10. *Speak frequently with the Project Managers and staff, and beneficiaries.* Pose substantive questions to assess progress; quickly identify and deal with problems. Before acting, seek advice and analyse all aspects of the problem and consequences.

8 Recommendations

The previous section dealt with the main findings and lessons learned. This section addresses another big question: “What Next?”

8.1 NEXT STEPS – FROM CAPACITY BUILDING TO INSTITUTION BUILDING

In 2010, when the CDMA programme was designed and work began on the AMC’s Strategic Development Plans, capacity development was the main focus. The situation has evolved and now, in early 2014, the pressing priorities are more about institution building:

1. consolidating gains to date
2. strengthening AMC’s ability to get visible, tangible results
3. ensuring longer-term sustainability.

This chapter provides suggestions for how Sweden might assist the AMC’s to address these priorities, while phasing out CDMA in an orderly fashion.

8.1.1 Options for Continuing Swedish Support to AMC’s

The CDMA project included the possibility of two (2) one-year extensions beyond the initial three-year period. The Embassy was interested in exploring a 1- or 2-year extension, a new project with other donors, or a combination of these.

After considering various scenarios in consultation with the Embassy, the AMC’s, donors and the implementer, the **most practical option** seemed to be a set of four complementary, simultaneous actions to be undertaken by the Embassy starting early in 2014:

1. Extend CDMA for one-year, with the Project Office to redefine staff roles and focus on specific activities
2. Extend co-financing support for the four legal/finance advisers (50%, declining to 0% over a period to be worked out in the Strategic Plan)
3. Use the balance in the Project Fund to assist the AMC’s to carry out a major Strategic Thinking and Planning programme in February-April, including contracting a facilitator/follow-up ‘mentor-driver’ (other donors may also wish to contribute, since they would benefit from the outcome)
4. Together with AMC’s and compatible donor partners, develop a new programme with a view towards implementation from 1 April 2015.

Each of these Action Points is set out in more detail under 8.1.2 below.

8.1.2 Setting the Scene for 2014 and Beyond

The AMC Secretariats and their members (and other stakeholders) agreed the time was right to revisit their Development Strategies and determine - in a well structured fashion - how to address the pressing priorities listed above.

The overall objective is clear: to develop viable, results-oriented member services; sustainable revenue sources; high-quality advocacy; and the institutional and support framework to maintain them.

Box 3: Strategic Thinking for Sustainability

Because their current Strategic Development Plans were designed several years ago, and the situation has changed considerably since then, it is strongly recommended that each AMC start 2014 with a professionally facilitated 'strategic thinking' exercise aimed at producing an overall five-year **Development Strategy** for sustainability.

This could be a two- to three-month programme consisting of comprehensive analysis and brainstorming/planning sessions, and leading to agreement on short-, medium- and longer-term roadmaps and realistic action plans, including the necessary structure, organisation and skills base for each stage of development.

One brainstorming session would be dedicated to 'strategic thinking', together with donors, on the role of the international community in AMCs and local governance, the evolving AMC-donor relationship, performance management, donor coordination issues and donor exit strategies. The underlying aim of this session would be to agree on how the AMCs could strategically link donor assistance to their development action plans, and progressively build capacity and credibility as partners in design and implementation.

The consultations and the Development Strategy emerging from the overall exercise would provide a valuable basis for donor partners' (including Sweden's) planning for the next 5-8 years. This could be particularly useful for donors interested in a joint, or even sector-wide, approach.

Action 1: Phase out CDMA

CDMA has provided enormous support to AMCs at a critical period in their history. AMCs and their members are the first to say that without it they would not be where they are today. However, the programme, in its present form, has run its course. The following approach would allow an orderly exit, while at the same time supporting a number of key activities in 2014.

The proposal is to give VNG a 1-year extension to 28 February 2015 to complete and exit from CDMA. During this period, CDMA would, in close cooperation with AMCs, focus on (starting in February 2014):

1. support for the '**Strategic Thinking**' programme, specifically:
 - a. in-depth analysis by CDMA Project Managers and team leader to guide the development of core and value-added (paid) services
 - b. analytical work by CDMA Project Managers and team leader on EU integration (e.g., identify gaps in current analysis and prepare working paper to guide strategic planning and Committee work)
 - c. other support, as requested by AMC Heads and the Embassy.

2. support to priority **Committees**: help organise 1 annual planning and 1 halfway-point monitoring meeting; allocate flexible budget for expert analysis, expert advice, targeted educational opportunities; help develop e-meeting solutions, networks; consider some limited logistical support for travel to Committee meetings for members from smaller municipalities. CDMA could provide a budget to be managed by the Project Managers in close coordination with the Committee Chairs and the relevant AMC Committee coordinators/secretaries.
3. support for extensive engagement with **Municipalities** (including local Councils): CDMA to work with AMC Heads and finance, legal, information and EU officers to develop an efficient plan with activities, milestones and budget to visit individually or collectively (e.g., at regional events, committee sessions) all member municipalities, using opportunities presented by other activities where possible (e.g., committee activities). CDMA would provide a budget to be managed by the AMCs, based on a one-year plan, with disbursements to be made quarterly upon achievement of pre-agreed milestones.
4. continued support for **advocacy efforts**, with a focus on some high-impact results. This should include a flexible budget for the legal and finance advisers to use for external expert analysis and advice, and targeted education on specific issues.
5. hands-on assistance to AMCs, upon request, for implementation of strategies in line with the new strategic framework and roadmaps.
6. to support all the above activities, assist the AMCs to prepare or contribute to policy briefs, position papers, opinion pieces (articles).

This intensive year would require careful work planning and redefining the roles of all CDMA staff, including the Team Leader, with a detailed work plan for each one. They would be expected to perform analytical work for the Strategic Thinking programme themselves, not contract outside experts. *For the purposes of the above, 'CDMA team' does not refer to the AMC finance and legal advisers.*

Action 2: Extend Salary Support for the Finance and Legal Advisers

It is recommended that the Embassy negotiate new agreements with the AMCs, including arrangements to continue co-funding the legal and finance advisers. One option is to continue the 50% for one more year, and then have it decline progressively to 0% under the new programme (the proposed Strategic Plan should address this as part of the sustainability agenda and development of additional revenue sources). In principle, the AMCs should develop an accelerated plan to assume the non-salary costs. The proposed CDMA support for Committees and Municipality Visits could cover the advisers' travel costs, and the proposed support for Advocacy work could cover their professional development. AMCs and the Embassy can negotiate on long-term support while developing the new programme of assistance (see #4 below).

Action 3: Support the AMCs' Strategic Thinking and Planning Programme

It is recommended that the Embassy (from CDMA Project Fund) - and possibly other donors - provide assistance to the AMCs to conduct the Strategic Thinking and Action Planning exercises during January-April. This would include contracting a facilitator to work with the AMCs to secure the desired outcome: i.e., a detailed, realistic five-year plan for each AMC, as mentioned above. The support should include fund-

ing for follow-on implementation work with the two AMCs, with a particular emphasis on management and organisational issues, in the lead-up to the new project.

The assistance should recognise the good work done by SCTM, the CDMA ‘resource partner’, in a smaller, similar exercise in December-January 2013, since that organisation has gone through a comparable experience in its own recent history. It would be able to add value in the Strategic Planning exercise and ongoing mentoring.

Action 4: Develop a Comprehensive New Assistance Programme

During May-October 2014, the Embassy could formulate – in cooperation with AMCs and compatible donor partners - a new programme of assistance to support implementation of the AMCs’ new five-year Development Plans. This could possibly take the form of a ‘simplified sector-wide’ programme to assist AMCs and local authorities to attain mutually beneficial objectives.

To ensure continuity of assistance following the phase-out of CDMA, the new programme could aim for a start-up date of 1 April 2015, after a very short inception period. To support this planning, it is recommended that the Embassy commission new pre-audits of the AMCs before April 2014.

Box 4: AMC Recommendations for Planning Next Steps

1. Clear division of roles should be set from the beginning of the process.
2. Information should be shared in a transparent way with all stakeholders.
3. No actions should be undertaken before ensuring a clear understanding of responsibilities of all partners.
4. Guidelines and quality standards for project outputs and reporting for all partners should be set from the beginning.

8.2 POSSIBLE TIMELINE LEADING TO A NEW PROGRAMME OF ASSISTANCE

8.2.1 February-May 2014: Strategic Planning Phase

Sweden and possibly other donors to assist each AMC to conduct an independent, comprehensive Strategic Planning exercise. As set out below, this would start out with needs assessments, core and value-added services analysis, and other comprehensive examinations of where the AMCs should go in the next five years and how to get there. The analysis would feed into brainstorming sessions and Plan drafting.

- **February:** AMCs with support of CDMA to conduct: Needs assessments among members, with analytical and follow-up support from CDMA Project Managers (PMs) and Team Leader (TL). (Also refer to other donors’ needs assessments; OSCE did one recently.)
- **February-March:** CDMA PMs and TL could do this in cooperation with AMCs:
 - Comprehensive analysis of both AMCs’ core and value-added (eg, paid) services, including case studies from other relevant associations

- Analytical work on EU integration (eg, identify gaps in current analysis and prepare working paper to guide strategic planning and Committee work)
- **February-April/May:** AMCs, including a Task Force of selected Presidency members and Committee Chairs, to conduct, with expert assistance:
 - Comprehensive expert analysis of where the AMCs should be in five years' time, including issues analysis, scenario planning and suggestions for roadmaps on how to attain objectives and achieve self-sustainability. The needs assessment and services analyses would feed into this.
 - The process would include professionally facilitated brainstorming sessions with each AMC, selected members of the Presidency, and Committee Chairs (and interested donor partners), as follows:
 1. one session after the initial analysis is completed to discuss issues and realistic ways forward
 2. one session with donors to discuss the role of the international community in AMCs and local governance, the evolving AMC-donor relationship, performance management, donor coordination issues and donor exit strategies
 3. another session towards the end of the process in April to finalise the roadmaps, agree on short-, medium- and longer-term action plans, and plot out the need for donor support at different stages along the way.
 - In between the brainstorming sessions, the AMCs and experts would compile the key elements of the Strategic Plan, finalising the draft for Member approval after the third brainstorming session.
- **March:** Sweden to commission **pre-audits of both AMCs** to document their capacity to absorb and manage increased funding and project management responsibility.
- **May** (possibly extending into June if necessary): The respective Presidencies and Assemblies to discuss and approve a five-year Strategic Plan for each AMC. This will form the basis for a comprehensive new programme of assistance.

8.2.2 May-October 2014: New Programme Design Phase

Sweden to design, with AMCs and other compatible donor partners, a new programme to support the AMCs and local authorities. A possible timeframe could be 1 April 2015- 31 December 2020, with reviews in September 2017 and September 2020, and a final evaluation in 2021. There would be no 'interim periods' during the reviews as these tend to disrupt projects unnecessarily and incur extra costs.

The design could feature:

1. progressively handing over responsibilities and funding to the AMCs based on their demonstrated ability to manage, and meet milestones; and
2. an exit strategy featuring progressive phasing out from March 2019.

The donors may wish to consider an option for a two-year extension if this fits within their funding cycles. However, to manage expectations, this option might best be left off the table until after the 2017 review.

8.2.3 October-December 2014: Finalise Programme Implementation Arrangements

Sweden and partners to settle agreements with AMCs stipulating the parts of the programme they will implement, the conditions, etc.

Sweden and partners to issue tender for Programme Implementer and shortlist candidates based on proven results in similar assignments and independent references. Select Implementer by December.

8.2.4 January-April 2015: Inception and Start-Up

The Contract to stipulate a very short inception phase (e.g., 15 January-15 March 2015) so that the service delivery can start by 1 April 2015.

8.3 OTHER RECOMMENDATIONS

Other relevant recommendations arising from the desk analysis and stakeholder interviews are set out below.

8.3.1 Donor Coordination

A key sustainability issue for the AMCs (in line with the CDMA objective) is to graduate eventually from donor-project-based staff positions to member-oriented issues-based positions, and to more frequently target assistance strategically, presenting proposals for projects that will support their strategic development plans and meet specific needs. The proposed ‘strategic thinking’ programme should underpin this longer-term goal. There is a very good case for combining the various pieces of assistance into one consolidated package, in the interest of coherent programming, management and delivery.

Sweden and UNDP have taken the initiative to convene a quarterly get-together of donors active in local governance. The CDMA team leader said he would like to develop a network of ‘implementers’ to better coordinate activities. If these efforts can go beyond simple exchanges of information and updates, and encourage joint donor planning, programming and division of labour, they will be useful.

In future, AMCs are likely to play an increasingly important role as a vehicle for coordinating and channelling donors’ assistance to local authorities. They thus should be more involved in donor coordination efforts (they would like to be invited to the regular quarterly meetings of the donors working on local self-government issues).

8.3.2 Capacity to Deliver

High-Level Expertise: The objectives of CDMA cannot be achieved without tackling difficult issues, such as management, implementation and donor coordination, in a systematic, well planned way. This requires experienced specialists who have actually implemented similar types of change-management themselves, and are capable of

designing and implementing a realistic, well sequenced programme. Such a combination of skills exists in the region and should henceforth be put to good use in assistance to the AMCs.

Legal and Finance Advisers: As suggested in 8.1 above, the Legal and Finance Advisers in the AMCs require additional support and preparation in order to manage an increasingly complex portfolio of services. The Finance and Legal Helpdesk functions need to focus more on issues that really matter at the local level. At the same time, the Advisers need to hone their capabilities to be increasingly effective and professional at higher levels. As one stakeholder said, “They have to be ahead of the game – identify issues before they become issues.”

Key challenges are to strengthen the ability of the AMCs and their Presidencies to push key initiatives, persuade recalcitrant legislators, and garner broad support at both higher and local levels. Doing so will require stronger analytical capacity (including use of outside experts), ability to develop and present convincing arguments and constructive solutions, legislative and other drafting skills, ability to motivate mayors to take action (e.g., at MP level), and stronger representational and advocacy skills.

As donor-financed salary support phases out, the AMCs will need to ensure that the advocacy and helpdesk functions meet members’ expectations over the long term. *This is a key sustainability issue.* The advisers, their colleagues and municipal officers all have ideas on how to make their roles more self-sustainable. These should be followed up in any next stage.

AMC Committees: The Committees’ strong potential to address key issues and interests at both higher and local levels should be fostered. Having been reformed to make them more representative and professional (utilising more local experts instead of mayors), a good opportunity exists to enhance their effectiveness through facilitation of good practices, teambuilding, education and exposure to higher levels, access to expert advice and analysis, opportunities to meet and network, including e-meetings, and opportunities to engage in advocacy.

The Strategic Thinking exercise offers an excellent opportunity to assess the whole committee structure and determine how it should be further reformed to underpin progress toward key objectives. ‘Pull-push’ factors need to be identified and acted upon (i.e., how to capture people’s attention and stimulate them to act). Opportunities for more joint RS/FBH Committee work should also be explored.

8.3.3 CDMA Project Management

Performance management: The Midterm Review had recommended that performance management good practices be introduced. These should not be seen as bureaucratic measures, but rather as productivity and management tools. Therefore, it is again recommended that the Project Managers’ position descriptions be harmonised and that individual agreements be signed with each AMC Head defining Project Managers’ specific roles within the AMCs, and clarifying mutual expectations. Performance plans should be agreed for the extension period.

In addition, it is recommended that the Team Leader's role also be refined for the interim and extension phases and that a position description and performance agreement be prepared for Embassy approval.

Substantiating documentation: It is recommended that systems be established to ensure that all invoices, payment transactions and receipts have a clear paper trail back to the original substantiating documents, including contracts, ToRs, outputs, timesheets and approvals for payment signed by the person responsible for the activity. At the very least, the timesheets and approvals of invoices for payment should be attached to the payment slip, with the exact activity reference (not just the budget line reference), so that the other substantiating evidence can be traced.

The requirement to produce a mission or activity report should be reincorporated into the template contract/ToR for all experts, as a condition for payment.

Advisory Board: The Midterm Review recommended that the Board either be re-composed and used well, or disbanded. Neither step occurred, but the Board did not meet at all in Phase 2. The recommendation now is to disband it, and not to form anything to replace it in the extension phase.

Partner relations: The extension phase and any new project should ensure that partners' roles are clearly defined. EDA and SCTM provided some good suggestions for doing so.

Translations: All translations should be done by a qualified, proven translator, preferably a native speaker. It is recommended that the Project Office identify and prequalify a shortlist of three such translators, duly tested and recommended.

8.3.4 Quality Control and Accountability

Quality assurance should be improved at all levels. Following are some suggestions:

- Implementer Head Office: ultimately responsible and accountable for:
 - quality of all reporting to Sida
 - strict compliance with Sida requirements in all areas
- Project Office team is responsible and accountable for:
 - quality of content and BiH and English languages of all Project outputs and services that the Project commissions or pays for
 - correct and consistent use of Sweden logo in line with visibility guidelines
 - collecting feedback/evaluation questionnaires from all participants in all Project-supported activities (eg, seminars, training workshops, study tours, etc)
 - ensuring that the Sida-Implementer Agreement and other Sida requirements are strictly implemented and that all new staff are made aware of them
 - quality (including correct English) of all CDMA reporting that ultimately goes to the Embassy
- Implementer Head Office: ultimately responsible and accountable for:
 - quality of all reporting to Sida
 - strict compliance with Sida requirements in all areas

- AMCs responsible and accountable for:
 - quality of content, grammar and spelling in both BiH languages and English of all outputs and services they commission or produce with Sweden/CDMA assistance
 - correct and consistent use of Sweden logo in line with visibility guidelines
 - quality of narrative and financial reporting to Embassy
 - strict compliance with Sida requirements as per Agreements, MoUs, instructions, etc
- Embassy: responsible for demanding high-quality outputs and reporting from all parties, as well as full compliance with agreements.

The respective agreements and MoUs should be revisited in early 2014, to be updated for the extension and to clarify expectations.

The Embassy should also provide Sweden's visibility guidelines to the Project Office and both AMCs.

8.3.5 Crosscutting Issues

As mentioned in Section 6.5, mayors and Committee members had a number of constructive ideas on how the CDMA and the AMCs could address the gender, environment and human rights/poverty reduction issues that are important in Sweden's cooperation strategy for BiH. The two Project Managers and one member of the FBH Presidency also came back from a three-week gender course in Sweden with ideas to take forward. These ideas should be followed up and integrated where appropriate into ongoing and future activities.

Annex 1 – Terms of Reference

Terms of Reference for the Final Evaluation of the project “Capacity Development of Municipal Associations in BiH” (CDMA)

Date: 03-09-2013 Case number: UF 2009-88680

1. Background

Current situation in the relevant sector

The current local governance system in BiH is predetermined by the political and administrative organization of the country defined by the Dayton Peace Agreement in 1995.

The country consists of two entities – the Federation BiH (FBiH) and the Republika Srpska (RS), and Brčko District as a separate unit of local self-government under state sovereignty. In FBiH there are 10 cantons and 80 local self-government units (78 municipalities and 2 cities). The RS consist of 63 local self-government units (57 municipalities and 6 cities) but with no regional level of government.

According to the BiH Constitution, the entities – not the state – are responsible for local government matters. In FBiH, this responsibility is shared between entity and cantons. The Republika Srpska has no intermediate level between the Entity and the local level.

Local government matters are differently regulated by the Law on local self-governance in the RS (2005), the Law on the Principles of Local Self-Governance in FBiH (2006) and cantonal laws on local self-governance, which are harmonized with the European Charter on Local Self-Governance, ratified on 12 July 2002.

The system of local self-government with directly elected municipals councils and mayors is less constrained by the ethno-political blockage than the higher tiers of government in BiH and shows more potential for accountability to citizens.

However, the recent Council of Europe (CoE) Report, issued in January 2010, shows that implementation of Resolution 1626³ by the authorities and resources in the FBiH, as well as in RS, remains weak.

In accordance with the Dayton Peace Agreement, Bosnia and Herzegovina has two geographical/political entities. As a consequence, there are also two Municipal Associations: The Association of Municipalities and Cities of the Federation of Bosnia And Herzegovina (AMCFED) and the Association of Municipalities and Cities of Republic Srpska (AMCRS). The AMC-FED was established in 2002. Out of 80 existing municipalities in the Federation, 79 are members of the Association. The AMC-FED is constituted of the following bodies: Association Assembly, Presidency of the Association Assembly, Association's Collegium of the Presidency, Supervisory Board, General Secretary of the Association and Association Boards. The office of AMC-FED is placed in Sarajevo.

³ Resolution 1626, chapter on Local Government reform, issued in 2008 calls the authorities in BiH to “implement a comprehensive local government reform with a view to harmonising local government legislation at entity level and in FED of BiH, between different cantons, with a view to effectively devolving sectorial competencies to local authorities, strengthening fiscal decentralisation, building up the capacity of local authorities and promoting cross-entity intermunicipal cooperation”

The AMC-RS was established in 1998 as an independent, non-political, non-party association of local authorities with the objective to support and promote local self-government. All 61 municipalities in RS are members of the Association. The General Assembly, consisting of all mayors in RS, is the highest body of the Association, while the Presidency which consists of 17 members, is an executive body. The seat of the AMC-RS is in Bijeljina and Banja Luka.

Each AMC has around 10 employees. The funding mainly comes from membership fees and from the participation in international projects. The membership fee collection rate is around 85% in both AMCs. There is no animosity between the two Associations, rather the opposite as they often cooperate and share information with each other.

The Embassy has recently, in collaboration with UNDP, initiated a Local Governance Coordination Group with representatives of donor and international agencies active in the sector. The Coordination Group is the forum for exchange of information to improve coordination of ongoing assistance as well as to ensure that forthcoming interventions, so as to avoid duplication at the programming stage and maximise financial investments by individual donors

2. Evaluation Purpose and Objective

Sweden, as financier of the Project, has undertaken to perform the Final Evaluation of the Project in order to identify results of the current intervention and to assess possibility for further extension of the Project. Sweden would like to ensure that the current assistance to the AMCs is useful, efficient, sustainable, relevant, necessary and in line with the project Concept Note, Project Proposal and Contract.

It is expected that the evaluation will:

- 1) evaluate the project progress against the planned activities/results according to the Result Framework in the Contract (internal efficiency)
- 2) evaluate the Project progress against overall sector development to assess the relevance of the activities and possibility for coordinated sector-wide approach (external efficiency)
- 3) make recommendations and share lessons learnt that will be used for further programming

3. Scope and Delimitations

Title	CDMA (Capacity Development for the Entity Associations of Municipalities and Cities (AMCs) in Bosnia and Herzegovina (BiH))
Contract number	C53072
Location	Bosnia and Herzegovina
Contractor	VNG International , in consortium with SIPU International (Sweden) and EDA (Banja Luka)
Resource partner	Standing Conference of Towns and Municipalities of the Republic of Serbia (SCTM)
Contracting authority	Swedish International Development Cooperation Agency (Sida) Ferhadija 20, 71000 Sarajevo Programme Officer : Mario Vignjevic
Beneficiaries	The Association of Municipalities and Cities of Republika Srpska (AMC RS) The Association of Municipalities and Cities of the Federation of Bosnia and Herzegovina (AMC FBH)
Prog. starting date	16 August 2010
- Phase 1:	16 August 2010-31 May 2012
- Phase 2:	1 September 2012- 15 October 2013
Total Programme Budget:	SEK16 million

PROJECT SUMMARY

Overall Objective: To strengthen democratic processes in BiH and to contribute to BiH's EU accession process

Project Goals

- To strengthen and further institutionalise the AMCs in BiH, ensuring AMCs' independency, clear mandates, and accountability to their constituencies – the municipalities and the citizens of BiH;
- To facilitate the development of strategic documents and services, enhancing the AMCs' capacities to act as democratic, legitimate, transparent, effective and sustainable institutions that are service providers to their members and strengthen the influence of municipalities on higher levels of government;
- To help the AMCs bridge the current gap of in-house expertise, and achieve a higher level of organisational and functional development, with inspiration from AMCs in other transitional countries

Project Results

1. Institutional strategic capacity of AMCs strengthened through

- Updated and implemented strategic documents
- Increased resource mobilisation & self-sustainability
- Recruitment of AMC-based staff for new services portfolio
- Increased training & management capacity of AMCs

2. Lobby & advocacy position of AMCs improved through

- Strengthened lobby & advocacy skills of AMC staff and AMC committees
- Enhanced relations between AMCs and key stakeholders (media, government, donors)
- Improved coordination between SOGRS and SOGFBiH

3. AMCs' services portfolio tuned to current developments in municipal needs through

- Updated services in the field of municipal finance
- Improved legal services
- Updated information & communication services
- Establishment of Units for EU Integration in each AMC

4. **Organisation, Management and Stakeholders**

The following institutions shall be interviewed in Bosnia and Herzegovina: AMC FED, AMC RS, CDMA Project staff, selected mayors, and members of the AMC's Presidency in both Associations, representatives from the RS Ministry for Administration and Local self-governance and Ministry of Justice in FED, donors involved in the LG issues in BiH(SDC,USAID,EU,UNDP..) and others proposed by the consultant.

5. **Evaluation Questions and Criteria**

The evaluator is asked to address the following general questions, not limited to: •Both the original technical proposal and subsequent work plans should be compared to annual progress reports and the observations of the evaluation team. A detailed assessment of project organisation, management, fieldwork, significant outputs, and the quality and quantity of overall performance should be evaluated.

Factors to be considered:

- a) effectiveness;
- b) relevance;
- c) sustainability (ownership);
- d) impact (both direct and indirect);
- e) efficiency and

f) flexibility

Moreover, the evaluator is asked to address the following questions, but is not limited to those listed below:

1. What is the general level of satisfaction of beneficiaries, both AMCs and municipal mayors, with the project?
2. What is the overall assessment of the number, quality and efficiency of activities in delivering concrete services to member municipalities
3. What effects to overall performance of AMCs has the CDMA had thus far?
4. To what extent the risks identified in the Project document influence on the project results. How these risks are managed by the contractor
5. How the assistance provided to AMCs improved their institutional capacity to analyse, lobby, support, inform, advocate, coach...
6. What is the level of sustainability of the invested efforts
7. What is the impact of the specific CDMA's assistance (e.g. development of Strategic documents, Legal/Financial services to municipalities...)
8. To what extent interaction is taking place between AMCs, municipal Mayors and policy makers to identify legislative improvements.
9. To what extent are the mayors an important part of the policy making process and are municipalities able to effectively advocate collectively through AMCs for necessary legislative and administrative changes
10. Could the intervention have been implemented with fewer resources without reducing the quality and quantity of the results
11. What are, if any, the gaps in CDMA approach
12. **How these could be corrected in the possible next phase of the project**
13. Are there specific activities that are NOT currently being implemented that should be included in the next phase in order to further strengthen the AMCs.
14. What recommendations do you have for the contractor in the possible next phase ?
15. What recommendations do you have for Sida in managing CDMA
16. What additional actions does CDMA need to undertake to improve AMCs work and service delivery

6. Conclusions, Recommendation and Lessons Learned

The evaluator is expected to provide Sida with suggestions for priority activities, targets & indicators in possible Phase 3 of the project

7. Approach and Methodology

Evaluation tasks: The international consultant will be responsible for conducting the evaluation and will be the principal contact with Sida. He/she will also be responsible for the writing of the final assessment report with an executive summary; major findings and conclusions; a description of the evaluation methodology; and specific program recommendations.

Task 1: Desk Review

This review shall include reading all relevant background materials (the consultant should read the background documentation before arriving in BiH). Upon arrival, the evaluator will meet with Sida in order to further elaborate the ToR.

Task 2: Develop a Written Fieldwork Plan

Using the information gained from the desk review together with information provided in this ToR, the evaluator will develop a plan for conducting the fieldwork.

Task 3: Conduct a Field Evaluation

The evaluator will spend **three weeks in-country** to conduct the evaluation. Fieldwork will commence beginning on/about beginning October 2013 and end on/about end October 2013.

Task 4: Debrief Sweden Embassy-Sida

Before departing the country, the evaluator will debrief Sida on the preliminary findings and recommendations.

Time Schedule

Tasks to be performed	Senior expert 1 person per day	[Senior Expert comment
<i>Desk review and mission preparation</i>	2 days	7 days
<i>Evaluation incl. field trips</i>	10days	15 days
<i>Mission follow-up</i>		3 days
<i>Draft evaluation report</i>	5 days	7 days
Finalisation of the report	3days	2 days
Total	20 days	34 days]

8. Reporting and Communication**Deliverables**

- A. Written Fieldwork Plan** as described in Task 2 due before fieldwork commences.
- B. Draft Evaluation Report** due within 14 calendar days following completion of fieldwork.
- C. Final Evaluation Report** due not more than 7 calendar days after receipt of Sida's comments on the draft evaluation report. The final evaluation report will include, at minimum, an executive summary; major findings and conclusions; a description of the evaluation methodology; a review of CDMA's key efforts and the overall impact of these efforts; and specific program recommendations. The final evaluation report will be submitted to Mario Vignjevic, Programme Officer responsible for Public Administration Reform and Local Governance Reform in electronic format within 5 business days after receiving Sida's final written comments and/or questions.

Deliverables must be in English.

9. Resources

The evaluation shall be paid from the Country Team's Programme Development Fund.

10. Evaluation Team Qualification

Senior Expert (international) or Expert (international)

The international consultant should:

- have at least 10 years of professional work experience in evaluation processes
- possess core evaluation competencies
- have relevant educational background, qualification and training in evaluation
- have technical knowledge related to local governance
- have excellent communication and writing skills in English language
- have excellent analytical skills
- should be familiar with the Balkans region (preferably BiH)
- be sensitive to customs and act with integrity and respect in relationships with stakeholders

11. References

- Sida's Template for Evaluation Reports (found at Inside under Support).
- Sida's Template for Management Response for Evaluation (found at Inside under Support).
- CDMA WP phase 2
- Contract between Sida and VNG
- Interim Report with supportive documents

Annex 2 – Inception Report

1. Executive Summary

The Swedish Embassy in Bosnia and Herzegovina has contracted Indevelop to conduct the final evaluation of the Programme: “Capacity Development for the Entity Associations of Municipalities and Cities in Bosnia and Herzegovina” (CDMA). The assignment will take place between October 2013 and January 2014, with the draft to be submitted by 15 January and the final report by 5 February.

The CDMA assignment has four objectives:

1. To identify the results (and to the extent possible, the impacts to date) of the CDMA programme
2. To assess how well VNG International has implemented the programme during the three years to October 2013
3. To document lessons learned
4. To provide guidance and recommendations for a possible extension or a new project.

This brief Inception Report sets out the methodology and work plan of the assignment and constitutes the basis for the Evaluation Framework. This Report is to be agreed and approved by the Embassy before the field work commences.

The assignment will be carried out in four stages, as follows:

- I. Inception work (data collection, analysis, methodology development) and preparation for field missions: October to mid-November 2013
- II. Field interviews and further data collection: mid-November to 24 December 2013
- III. Presentation to the Embassy in Sarajevo of initial findings and recommendations: date to be set in consultation with Embassy (the presentation will take place before Swedish holidays commence on 24 December 2013)
- IV. Further analysis and evaluation report writing (mid-December to mid-January).

The Evaluation Team will endeavour to expedite the Report preparation, bearing in mind the Embassy’s need to take the findings and recommendations into consideration for a possible subsequent phase, which would start in 2014.

2. Assessment of the scope and objectives of the evaluation

2.1 Background

In August 2010, Sweden initiated a three-year SEK16 million support programme to assist Bosnia and Herzegovina’s two Associations of Municipalities and Cities (AMCs) to improve their capacity to provide support services for local governments (see Annex 1: Technical Information). The ‘Capacity Development for Municipality Associations’ (CDMA) programme aimed to complement other donors’ efforts to strengthen local authorities and local governance, by ensuring that the Associations would be capable of carrying on support and advocacy activities when donors eventually exit. To do so, the AMCs needed to strengthen their expertise (management, planning, financial, legal, communications, training), and their dialogue, advocacy and cooperation mechanisms. This in turn would enhance their credibility, usefulness and financial sustainability.

The CDMA programme’s original objectives and desired results are listed below.

Objectives and Desired Results of CDMA Assistance Programme (Adapted from the original VNG CDMA Inception Report and Work Plan)

Overall objective: To strengthen democratic processes in BiH and to contribute to BiH's EU accession process.

Specific objectives:

1. To strengthen and further institutionalise AMCs in BiH, ensuring AMCs' independence, clear mandates, and accountability to their constituencies: the municipalities and the citizens of BiH.
2. To facilitate the development of strategic documents and services, enhancing the AMCs' capacity to act as democratic, legitimate, transparent, effective and sustainable institutions that provide services to their members and enhance municipalities' influence on higher levels of government.
3. To help AMCs bridge the current gap of in-house expertise, and achieve a higher level of organisational and functional development, with inspiration from AMCs in other transitional countries

Desired Results

1. AMCs' institutional and strategic capacity strengthened through
 - A. Updated strategic documents
 - B. Increased resource mobilisation and self-sustainability
 - C. Recruitment of appropriate officers to manage delivery of new services
 - D. Improved management capacity
2. AMCs' capacity and influence to lobby and advocate members' interests improved through
 - A. Strengthened lobbying & advocacy skills of AMC staff and AMC committees
 - B. Enhanced relations between AMCs and key stakeholders (media, government, donors)
 - C. Improved coordination between SOG RS and SOG FBH
3. AMCs' services portfolio aligned to current and emerging municipal needs through
 - A. Improved municipal finance-related services
 - B. Improved legal advisory services
 - C. Updated information & communication services
 - D. Establishment of Units for EU Integration in each AMC

2.2 The assignment

The First Phase of the CDMA programme ended on 1 June 2012. A Midterm Review carried out in June-July 2012 set the scene for Phase 2, which was completed on 15 October 2013. Scope exists to extend the programme for two additional one-year periods.

In order to assess the 2010-2013 overall results of the CDMA programme, highlight lessons learned, and provide guidance and recommendations for a possible extension, an Evaluation will be carried out during October 2013 - January 2014.

2.2.1 Specific objectives of the assignment

The assignment will focus on the following specific objectives, as set out in the ToR:

1. Assess the extent to which the CDMA programme is "useful, efficient, sustainable, relevant, necessary and in line with the project Concept Note/Project Proposal and Contract"
2. Evaluate progress towards the CDMA's desired results, as per the Contract's Results Framework
3. Assess progress toward overall sector development and sector-wide coordination
4. Document lessons learned from the first two phases of the Project

5. Offer suggestions for priority activities, targets and indicators for a possible subsequent Phase.

The Evaluation will document the extent to which the CDMA project has achieved its original goals, as well as any specific goals set for Phase 2. In this sense, it will build on the findings of the Midterm Review and ascertain the extent to which the lessons learned and recommendations were implemented in Phase 2. The team will particularly assess how the positive aspects and momentum from Phase 1 were enhanced in Phase 2, and how the weaknesses revealed in the Midterm Review were addressed.

3. Relevance and ability to evaluate the questions raised in the ToR

In the ToR for the Evaluation, the Embassy has posed a number of questions to guide the assignment. Based on the experience of the Midterm Review, most of the questions are relevant and ‘evaluate-able’.

3.1 Specific questions posed in the ToR

1. *What is the general level of satisfaction of beneficiaries, both AMCs and municipal mayors, with the project?*
2. *What is the overall assessment of the number, quality and efficiency of activities in delivering concrete services to member municipalities?*
3. *To what extent has the CDMA influenced the AMCs’ overall performance thus far?*
4. *To what extent have the risks identified in the Project document influenced the project results. How have these risks been managed by the contractor?*
5. *How has the assistance provided to the AMCs improved their institutional capacity to analyse, lobby, support, inform, advocate, coach...?*
6. *How sustainable are the invested efforts?*
7. *What is the impact of the specific CDMA assistance (e.g., Strategic documents, Legal/Financial Services to municipalities, etc)?*
8. *To what extent is interaction taking place between AMCs, municipal mayors and policymakers to identify legislative improvements?*
9. *To what extent are the mayors an important part of the policymaking process? Are municipalities able to effectively advocate collectively through AMCs for necessary legislative and administrative changes?*
10. *Could the intervention have been implemented with fewer resources without reducing the quality and quantity of the results?*
11. *Are there specific activities that are NOT currently being implemented that should be included in the next phase in order to further strengthen the AMCs?*
12. *What are, if any, the gaps in the CDMA approach?*
13. *How these could be corrected in the possible next phase of the project?*
14. *What recommendations do you have for the contractor in a possible next phase?*
15. *What recommendations do you have for managing CDMA?*
16. *What additional actions does CDMA need to undertake to improve the AMCs’ work and their service delivery?*

3.2 How the ToR questions will be addressed in the Evaluation

Most of the issues encompassed in the questions above will be addressed in the sections of the Report on relevance, quality, efficiency, effectiveness and sustainability. They will, to a great degree, be covered by the issues and questions listed under each topic in Section 4 below: Approach and Methodology and the Evaluation Matrix.

The questions pertaining to attribution of results to the CDMA and to the longer-term sustainability and impact of the project will be challenging to evaluate in an evidence-based manner (see Section 5 below). The Evaluation Team will pursue these issues to the best of their ability in the data analysis and the interviews. The Midterm Review showed some en-

couraging ‘initial outcomes’ which, if sustained, would have an important influence on the ultimate impact of the CDMA programme and the sustainability of the AMCs. The Team will follow up on these issues in particular.

During the presentation to the Embassy in Sarajevo at the end of the second mission, the Evaluation Team will go through the list of specific questions during the discussion on initial findings and recommendations.

4. Proposed approach and methodology

4.1 Issues to be assessed

In line with *Sida Evaluation Guidelines* (2010) and OECD-DAC principles, through desk analysis and field interviews the review team will assess the following issues and the CDMA’s progress toward the ‘desired results’ listed in the CDMA box above.

This section is not exhaustive; rather, it simply illustrates the typical questions one poses in exploring relevance, quality, effectiveness, etc. Section 5 describes challenges that could limit the Team’s ability to assess fully these issues and those raised in Section 3.

- **Relevance** of the CDMA assistance to Municipality Associations: Is it necessary and based on documented evidence and regular needs assessments? Is it useful? Does it fill gaps in other assistance programmes?
- **Quality** of the CDMA programme design: Does it meet the *real needs* of the Associations and member Municipalities? Is the implementation design *realistic* in terms of delivering the desired results, meeting expectations and managing risks? Has it been *flexible* enough to be refined to meet evolving needs and requirements? To what extent have the concept, assumptions, risks, strategies, baselines, indicators and results frameworks proved appropriate in terms of achieving the desired results?
- **Theory of Change**: Have the CDMA programme’s underlying assumptions proved relevant and accurate throughout implementation? To what extent have the expected changes in mindset and behaviour occurred among the main target groups (associations, local authorities and higher levels of government)? How have these changes contributed to achieving the CDMA’s objective of strengthening the Associations and thereby enhancing the role of local communities in democratic processes?
- **Coherence**: How coherent are Sweden’s country/regional strategies and the CDMA project? To what extent have the interventions been designed and implemented with due focus on their ultimate impacts on poverty alleviation, gender equality, environmental sustainability and human rights? Have designers and implementers sought complementarity and synergies as the projects have evolved?
- **Effectiveness** of implementation: To what extent has the Project attained the desired results? Has the Project been implemented in the most well managed, accountable and appropriate manner? Has risk management proved effective? Have outputs/services reached the right people, delivered the right products, and been followed up appropriately? How high was the quality of the services, activities and other outputs? Are the outcomes sustainable in terms of budgets and resources?
- **Efficiency** of implementation: Has the Project been carried out in a timely, streamlined and cost-effective manner: ie, Has spending been carried out transparently, within budget and according to plan? Were activities and outputs delivered on time and within budget? Has CDMA provided good value for money compared to benchmarks? Have programme officers, managers, implementers and AMCs diligently sought to avoid costly duplication and to enhance impact by reinforcing coordination and cooperation among donors, AMCs and local governments? To what extent have joint activities involving both entities’ AMCs led to efficiencies?
- **Sustainability and Impacts**: Did outputs contribute to desired outcomes (eg, AMC self-reliance, credibility and usefulness in terms of supporting local governance)? Is

AMCs' ongoing ability to deliver relevant outputs/services sustainable in terms of AMC budgets and resources? Are the outcomes sustainable and relevant enough to contribute visibly to the desired impacts (eg, local communities playing an effective role in democratic processes and sustainable development)? Is there sufficient ownership, commitment and capacity in the AMCs to sustain the aims and gains post-support? At the end of Phase 2 in October 2013, to what extent are the two Municipality Associations capable of providing – without further donor support - the services and support that their Members need in order to achieve their development priorities?

- **Outlook/Next Steps:** What additional efforts by donors might enhance AMCs' progress toward the goals of self-reliance, credibility and usefulness in terms of supporting local governance?

4.2 Evaluation methodology

The Evaluation Methodology will consist of four phases:

1. Initial data collection, desk review, initial consultations with the Embassy Programme Officer, work programme organisation, Inception Report
2. Field work and continued data collection
3. Presentation of initial findings and recommendations to the Embassy
4. Analysis and reporting.

These four phases will include the following steps and activities:

1. Data collection; analysis of CDMA documentation, financial and narrative reports, reviews, audits, and other sources of information; initial consultations with the Embassy and contractor
2. Methodology/work programme design
3. Preparation of questionnaires tailored to each group of people to be interviewed (for discussion with Embassy and refinement during the course of the field missions)
4. Mission organisation
5. Meeting with the Embassy at the beginning of the first field mission to discuss the desk analysis, key issues, approach, questionnaires, draft report outline, etc
6. Refinement of questionnaires as necessary following these discussions
7. Structured and semi-structured interviews (based on tailored questionnaires) with:
 - Head of Development Cooperation and Programme Officers at the Embassy
 - CDMA Team Leader representing VNG and relevant staff, including the Project Managers embedded in the two AMCs
 - CDMA partner organisations: Economic Development Agency (EDA), SIPU International (Sweden), and the Standing Conference of Towns and Municipalities of the Republic of Serbia (SCTM)
 - AMC FBiH and RS Directors and staff, including in-house legal and financial experts funded by CDMA
 - A selection of representatives of municipalities and cities, including members of AMC Presidencies, Committees and key constituencies, plus some randomly selected mayors and municipal officers. These will be prioritised by function (eg, Member of Presidency or key committee) and location (to achieve a geographic balance and critical mass for interviews given the distances to be travelled and the time available). We shall also endeavour to interview female municipal officers where possible (eg, include the few female mayors if logistics permit). These stakeholder interviews will be particularly important in determining how well AMCs understand and are meeting member/clients' needs and expectations. They will also serve to identify problems, gaps, areas for improvement, etc.
 - Experts contracted by the Embassy and CDMA to deliver analyses, training, strategies, action plans

- Relevant FBiH and RS entity government officials, as well as relevant State (national) officials
 - Donors and international organisations working at the local level in BiH, particularly the officers involved directly with the Governance Accountability Project (GAP: Sweden/US/Holland), the Municipal Training Systems (MTS: Sweden/UNDP); the Swiss Development Cooperation (SDC) 'Integrated Local Development' project, GIZ's 'Strengthening Local Government', and the SNV/EU 'EU Localisation Project'. Most of these assistance programmes were to finish in 2012. Sweden is considering further cooperation with donor partners from 2014, including a possible sector-wide programme, and these interviews will support those decision-making processes.
8. Checking and double-checking, with a variety of sources, project assumptions, facts, figures, findings, praise, complaints, recommendations, etc, to ensure accuracy, relevance and usefulness
 9. Formulation of findings, conclusions and recommendations
 10. Discussion of these with the Embassy at the end of the field missions
 11. Writing of the Draft Report and submission to the Embassy (and any stakeholders it nominates) for comment
 12. Finalisation of the Evaluation Report

4.3 Utility of the Evaluation Report

The Report will be written in a practical, user-friendly way so as to encourage readers to act on the findings, lessons learned and suggestions for improvements. As discussed in the Proposal and in initial consultations with the Embassy CDMA Programme Officer, the team will engage with key stakeholders to ensure that the Evaluation will be useful for the decisions they will be making for the subsequent phase and for support to local governance in general. The team will also discuss with the relevant stakeholders how the Evaluation can underpin their own programme design and M&E systems.

4.4 Work Programme

The proposed Work Programme, Timeline and List of Potential Interviews are in Annexes 2, 3 and 4, respectively. The exact dates and sequence of interviews outside Sarajevo will be advised as soon as possible. The Team is currently prioritising the updated lists for potential interviews, and will develop a programme of meetings in line with the availability of the priority interviewees.

5. Other issues and recommendations

5.1 Challenges and limitations

The main challenges and limitations will relate to:

- a. availability for interviews of key project staff and stakeholders (eg, the two Project Managers placed in the AMCs will both be in Sweden for gender training during 3-23 Nov)
- b. knowledge and historical memory, and ability to provide detailed information and progress reports of current VNG contractor/CDMA project office (since mid-2012, the VNG-BiH Team Leader has been replaced twice; the VNG-Holland Project Director has also been replaced, as have the CDM Accounts Manager and the AMC FBiH Project Manager)
- c. availability of final facts and figures for Phase 2, given that the final narrative and financial reports are not due until mid-January 2014, and the activities will continue to be conducted until 1 March 2014.

In fact, these limitations could pose **significant challenges** in terms of assessing the effectiveness, efficiency and sustainability issues listed in Sections 3 and 4 above and in the Evaluation Matrix. The Embassy Programme Officer has written to the main stakeholders, advising them of the upcoming evaluation and seeking their cooperation.

Annex 3 – Evaluation Matrix

Evaluation Questions	Evidence/Indicators	Sources and Methods
Relevance of CDMA Assistance to Municipality Associations		
<p>Is it necessary and based on documented evidence and regular needs assessments?</p> <p>Is it useful?</p> <p>Does it fill gaps in other assistance programmes?</p> <p>Does it meet the expectations of the AMCs and their members?</p> <p>To what degree are the organisations supported by CDMA drivers of change?</p>	<ul style="list-style-type: none"> Needs identified Coverage of other donor programmes Gaps filled by CDMA AMCs' ability to drive change 	<ul style="list-style-type: none"> Background documents, especially Project Concept Paper, needs assessments, proposals, surveys, previous projects with same beneficiaries, etc, from various sources Interviews with Embassy, contractor, partners; other donors, AMCs and municipality officials; entity and national government officials, external experts (henceforth 'stakeholders')
Quality of the CDMA Programme Design		
<p>Does the design meet the <u>real needs</u> of the Associations and member Municipalities?</p> <p>Has the implementation design proved to be <u>realistic</u> in terms of delivering the desired results, meeting expectations and managing risks?</p> <p>Has it been <u>flexible</u> enough to be refined to meet evolving needs and requirements?</p> <p>To what extent have the concept, assumptions, risks, strategies, baselines, indicators and results frameworks proved appropriate in terms of achieving the desired results?</p>	<ul style="list-style-type: none"> Needs: original and evolving Expectations: original and evolving Risks: original and evolving Extent to which the design targeted the right people and tailored the services/outputs appropriately Extent to which the programme design (eg, concept, assumptions and strategies) addressed evolving needs, expectations, situations Baselines established to underpin the results framework Suitability/measurability of results indicators and verification 	<ul style="list-style-type: none"> CDMA background and programme documents and results frameworks: original and revised versions Needs assessments and other baseline information: original and revised documentation and evidence (eg, surveys) Interviews with stakeholders

ANNEX 3 – EVALUATION MATRIX

	<ul style="list-style-type: none"> sources Extent to which results achieved satisfied the identified needs, expectations, and ‘desired results’ 	
<p>Theory of Change: Have the CDMA programme’s underlying assumptions proved relevant and accurate throughout implementation? To what extent have the expected changes in mindset and behaviour occurred among the main target groups (associations, local authorities and higher levels of government)? How have these changes contributed to the achievement of the CDMA’s objective of strengthening the Associations and thereby enhancing the role of local communities in democratic processes?</p>	<ul style="list-style-type: none"> Assumptions and underlying reasoning, evidence Extent to and direction in which mindset and behaviour have changed Extent to which Associations have proved to be effective change agents Extent to which local democratic processes have improved Extent to which Associations’ influence at local and higher levels has strengthened 	<ul style="list-style-type: none"> CDMA programme documentation (henceforth this means all documentation, including concept, results frameworks, plans, reports, correspondence, audits, all CDMA outputs, surveys, Midterm Review, feedback from training, etc) Surveys, statistics and other relevant documentation, as available Interviews with stakeholders
<p>Coherence: How coherent are the country/regional strategies and the CDMA support? How does the CDMA support <i>complement</i> other Swedish support to human rights, democracy and freedom of expression, and <i>add value</i> to the overall Swedish effort to promote human rights and democracy? To what extent have the interventions been designed and implemented with due focus on their ultimate impacts on poverty alleviation, gender equality, environmental sustainability and human rights?</p>	<ul style="list-style-type: none"> Coherence between Sweden’s country strategy and the CDMA programme. Extent to which ‘crosscutting issues’ such as gender equality, environmental sustainability, human rights and poverty reduction are reflected in the design, desired results, implementation plans. Complementarity between CDMA and other support in BiH Synergetic effects of such support 	<ul style="list-style-type: none"> CDMA programme documentation Sweden’s BiH and regional strategies and country programmes Interviews with stakeholders
Effectiveness of Implementation – Results		
<p>To what extent has the Programme attained the desired results? Has the Project been implemented in the most well managed, accountable and appropriate manner? Has risk management proved effective? Have outputs/services reached the right people, delivered the right products, and been followed up appropriately? How high was the quality of the services, activities and other outputs? At the end of the CDMA programme in October 2013, how</p>	<ul style="list-style-type: none"> Extent to which the overall objective has been achieved Results achieved vs ‘desired results’ Outputs/services delivered vs action plans Timeliness of delivery Quality of outputs and services Follow-up and responsiveness to customer needs (including follow-up to the Midterm Review) Customer satisfaction with outputs, services, implementation Extent to which outputs led to desired results and outcomes 	<ul style="list-style-type: none"> CDMA programme documentation, including analysis of the main outputs (‘strategic documents’, financial and legal advisory services) Interviews with stakeholders Interviews with auditors Surveys Needs assessments

successful has it been?	<ul style="list-style-type: none"> • Extent to which cooperation among AMCs, mayors and policymakers has (1) improved and (2) delivered results during the project • Effectiveness of risk management strategies and actions vs actual risks encountered • Effectiveness as viewed by other stakeholders, auditors 	<ul style="list-style-type: none"> • Legislative and regulatory action affecting local communities
Efficiency of Implementation		
<p>Has the Project been carried out in a timely, streamlined and cost-effective manner?</p> <p>Has spending been carried out transparently, within budget and according to plan?</p> <p>Were activities and outputs delivered on time and within budget?</p> <p>Has CDMA provided good value for money compared to benchmarks?</p>	<ul style="list-style-type: none"> • Timeliness of Swedish funding disbursements • Extent to which activities, outputs, services were delivered on time, as per Plan • Extent to which activities, outputs, services were delivered within budget, as per Plan • How CMDA implementation compared to similar projects' implementation in terms of cost-efficiency and value for money • Timeliness and ease of comprehension of financial reporting • Transparency and accountability of the contractor and the AMCs 	<ul style="list-style-type: none"> • CDMA programme documentation • Other donors' project documentation • Interviews with stakeholders • Interviews with auditors • Minutes of donor coordination sessions
<p>Coordination: In order to avoid costly duplication and to enhance the impact of everyone's efforts, how have the project officers/managers/ implementers:</p> <ol style="list-style-type: none"> 1. sought synergies in the two entity-level projects? 2. promoted cooperation between AMCs? 3. reinforced coordination among donors? 	<ul style="list-style-type: none"> • Extent to which CDMA activities for the two AMCs have been implemented jointly • Documented benefits of joint implementation • Extent to which cooperation between the two AMCs has increased in high-impact activities • Extent to which donor coordination has improved since the Midterm Review • Evolution of number and substance of coordinated donor activities affecting AMCs and local governments • Role of each level (Embassy, contractor, AMC, municipalities) 	

Sustainability		
<p>Did outputs lead to desired outcomes (eg, AMC self-reliance, credibility and usefulness in terms of supporting local governance)?</p> <p>Are the outcomes (AMCs' ongoing ability to deliver relevant outputs/services) sustainable in terms of AMC budgets and resources?</p> <p>Are the outcomes sustainable and relevant enough to lead to the desired impacts (eg, local communities playing an effective role in democratic processes and sustainable development)?</p> <p>Is there sufficient ownership, commitment and capacity in the AMCs to sustain the aims and gains post-support?</p>	<ul style="list-style-type: none"> • Identification and updating of the 'desired impacts' of the CDMA programme, and what is needed to achieve them • Extent to which CDMA outputs and outcomes matched what is needed to achieve the desired impacts • Challenges faced by AMCs • How CDMA programme has targeted AMCs' ability to manage such challenges • Extent to which the CDMA outputs and services – and the CDMA programme in general - have helped AMCs improve their resilience and ability to manage both challenges and day-to-day activities • Extent to which the two Municipality Associations are capable of providing – without further donor support - the services and support that their Members need in order to achieve their development priorities? • Which gains can be attributed to the CDMA programme 	<ul style="list-style-type: none"> • CDMA programme documentation • Interviews with stakeholders • Surveys • Needs assessments
Outlook/Next Steps		
<p>What additional efforts by donors might enhance AMCs' progress toward the goals of self-reliance, credibility and usefulness in terms of supporting local governance?</p>	<ul style="list-style-type: none"> • Sustainability issues above • Needs and Priorities • Complementarity of donor programmes • Extent to which donors might cooperate and coordinate in programme design, planning and implementation 	<ul style="list-style-type: none"> • Interviews with stakeholders • Needs assessments • Surveys

Annex 4 – CDMA Results Framework

Key Activities & Implementation Status at the end of Phases 1 and 2

Implementation Results in Phase 0/ Phase 1 (16 August 2010-31 May 2012); Interim Phase 1 June-31 August 2012; and Phase 2 (1 September 2012 – 15 October 2013)

Key Activity Milestones ¹	Original Target Dates	Activity/Dates	Status ⁴ end-Phase 1 31/5/2012	Status end-Phase 2 15/10/2013	Suggestions for Next Steps
Phase 0: Preparations/Inception	16 Aug-15 Nov 2010				
Project Office set up and staffed (1 Team Leader, 1 office manager, 2 Project Managers)	‘within 3 months after arrival in country’ (Contract)	Phase 0: <ul style="list-style-type: none"> •Project Office established 15 Nov 2010 •Team Leader (TL) 1 hired Aug 2010 •Office Manager (OM) 1 hired Oct 2010 •FBiH Project Manager (PM) 1 hired Oct 2010 •RS Project Manager (PM) 1 hired Nov 2010 Phase 1: <ul style="list-style-type: none"> • RS PM 1 resigned June 2011 • RS PM 2 hired Oct 2011 Phase 2:	Office in transition	3 of 4 Project team members replaced in 2013	

⁴ Source: Logframe, Timeline, Annual Plans Phase 0 and Phase 1 (comment: content virtually unchanged from Proposal), AMC RS and FBH Annual Progress Reports, CDMA Final Report Phase 1 (1 June 2012). Status column is a **best-efforts** attempt to document actual completion. Note: Phase 2 officially started in September 2012, but for the purposes of this matrix, it will include the whole period 1 June 2012-15 Oct 2013.

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		<ul style="list-style-type: none"> • FBiH PM 1 dismissed Aug 2012, effective end-Nov 2012 • FBiH PM 2 hired Feb 2013 • Team Leader (TL) 1 dismissed June/July 2012, effective Sept 2012 • TL2 hired 17 Aug 2012; dismissed 7 May 2013 • TL3 hired June 2013 • Office Manager 1 dismissed 1 May 2013 • Office Manager 2 hired June 2013 			
Needs assessments conducted for: 1. AMC capacity-development and personnel needs 2. Municipality service needs	Same as above	<p>Phase 0:</p> <ul style="list-style-type: none"> • Organise meetings with AMC Directors and other relevant staff to prioritise project activities and implementation. Adjust project plan accordingly. • Organise meetings among stakeholders (GAP2, OSCE, SNV, OHR, UNDP) to ensure synergy • Design questionnaire and implement survey of all AMC members • Analyse other donor and project reports • Collect responses to Questionnaires from over 50% of AMC members • Update activity plan and project approach to reflect current needs. <p>Phase 2: MTR recommended comprehensive needs assessment in mid-2012 (similar process to 2010) to guide design of Phase 2, and annual update thereafter</p>	Needs assessments completed October 2010 Phase 1 activity plan and project approach (ie, logframe) were not revised to reflect 2010 needs assessment.	No comprehensive needs assessment conducted to guide Phase 2. SCTM did a good assessment of the AMCs in Dec. 2012 & used for brainstorming/ planning session in Jan. 2013	During Interim Phase (15/10/2013-28/2/2014) conduct comprehensive needs assessment to guide extension phase, and to assist in developing a new Sida programme.
Inception Report completed (with work plan, performance monitoring plan, implementation plan, Project Fund allocation plan)	Same as above	15 November 2010 (performance monitoring plan unchanged from work plan)	done	n.a.	
Project Advisory Board constituted, approves inception report; agrees to meet every 4 months	Same as above	Members selected Nov/Dec 2010. 3 meetings in 18 months: Feb 2011; June 2011; April 2012. Poor attendance by mayors.	Met 3 times in 18 months	Was not convened during Phase 2	Disband

Kick-off conference	Within first 3 months (Contract); postponed to 31 March 2011 (Inception Report)	31 March 2011 ‘Developing Capacity of Entity AMCs’, organised by AMC FBH for both AMCs (presented new advisers; discussed Development Strategies of both AMCs).	done	n.a.	
Joint staff meetings of CDMA project team		8-10 Dec 2010 (during study tour), 28 Dec 2011, 24 May 2012 - mostly done during other events	3	1 formal team meeting July 2013, Banja Luka	Recommend weekly meeting of core 4 staff (using skype to include PM RS), with quick update of activities, plans, issues: 20-40 minutes.

‘Desired Results’ of the CDMA Project, 2010-2013
(as per the Proposal and Inception Report)

1. ***AMCs’ institutional and strategic capacity strengthened through***
 - A. Updating and implementing strategic documents and new services
 - B. Increased resource mobilisation and self-sustainability
 - C. Recruitment of appropriate officers to manage delivery of new services
 - D. Improved management capacity
2. ***AMCs’ capacity and influence to lobby and advocate members’ interests improved through:***
 - A. Strengthened lobbying & advocacy skills of AMC staff and AMC Committees
 - B. Enhanced relations between AMCs and key stakeholders (media, government, donors)
 - C. Improved coordination between SOG RS and SOG FBH
3. ***AMCs’ services portfolio aligned to current and emerging municipal needs through:***
 - A. Improved municipal finance-related services, including a finance helpdesk in each AMCs
 - B. Improved legal advisory services, including a legal helpdesk in each AMCs
 - C. Updated information & communication services
 - D. Establishment of units for EU Integration in each AMC

Key Activity Milestones Set Out in Plan	Original Target Dates	Date Activity Conducted	Status end-Phase 1 31/5/2012	Status end-Phase 2 15/10/2013	Suggestions for: Next Steps
		Phase 1: 16 Nov 2010-31 May 2012 Interim Period: 1 June-31 August 2012 Phase 2: 1 Sept 2012-15 Oct 2013 Bridging Period: 16 Oct 2013-28 Feb 2014			
Component 1: Institutional and Strategic Development					
Component 1.A Revise, update/develop and implement Strategic Documents					
1.A.1a Strategic Development and Annual Plans	Target Date		FBH: adopted by Assembly Oct 2011 RS: draft finished	RS: Plan adopted by Assembly in Feb. 2013. Action planning commenced. Some implementation undertaken by AMC. FBH: Project Manager drafted action plan, but it was not acted upon.	Sweden to assist AMCs to conduct analysis, brainstorming, planning with objective of developing a new 5-year Strategic Development/Sustainability Plan and annual action plans. CDMA team, during extension period, to assist as requested by AMCs, to develop/implement detailed action plans. CDMA to commission high-quality translations of ongoing Strategies, as revised in 2014. For all: ensure correct use of Sweden visibility guidelines..
Phase 1: <u>Develop and adopt</u>	Dec 2010 - April 2011 & Dec 2011	Phase 1: FBH: Dec 2010-Oct 2011: 4 workshops & participatory discussions produced draft 'Development Strategy of AMC FBH 2011-15. 6 Oct. 2011: 6th Annual Assembly adopted. RS: Dec. 2010-April 2011: 4 workshops & participatory discussions produced first Draft of 2011-15 Strategic Development Plan by 24 April 2011. Sent to members for comment Sept 2011; public hearings Nov-Dec. 2011. Presentation to Assembly delayed by 2012 elections.			
Phase 2: <u>Implement</u>	by Oct 2013	Phase 2: RS: Strategic Development Plan adopted by Annual Assembly in Feb. 2013. Annual plan? FBH: action plan drafted by CDMA Project Manager in mid-2013 not taken further. SCTM assessment and planning programme for both AMCs in Dec. 2013- Jan. 2013 led to very good action agenda, but it was not followed up.			
1.A.1 Lobbying/Advocacy Strategy	Target Date		FBH: adopted by Assembly Oct 2011 RS: draft	RS: Assembly adopted on 26-27 Feb 2013. Implementation based on annual	Revisit strategy. Develop, implement detailed action plans that will enable AMCs to take a more strategic, proactive approach. Commission high-quality transla-
Phase 1: <u>Develop and adopt</u>	Dec 2010 - April 2011 & Dec 2011	Phase 1: FBH: 11-15 July 2011 workshop; 6 Oct. 2011: 6 th Annual Assembly adopted Lobby Strategy RS: Workshop 26-27 Dec 2011. Draft finished			

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		early 2012.	finished	legislative agenda.	tions of Strategies and then reissue both hard and soft English versions
Phase 2: <u>Implement</u>	by Oct 2013	Phase 2: RS: Assembly adopted in February 2013. Action as per Parliamentary Agenda. CDMA supported a proactive initiative to halt Forestry Law changes; this was a 'big win' for the AMC. FBH: action plan drafted by CDMA Project Manager in mid-2013 not taken further. Action as per Parliamentary Agenda.		CDMA supported AMC advocacy initiatives.	
1.A.1 Communications Strategy	Target Date		FBH, RS: drafts finished.	RS: Assembly adopted 26-27 Feb. 2013 FBH: Presidency adopted 29 Oct 2013.	Revisit strategy. Develop, implement detailed action plans. Commission high-quality translations of Strategies and then reissue both hard and soft English versions
Phase 1: <u>Develop and adopt</u>	Dec 2010 - April 2011 & Dec 2011	Phase 1: FBH: 1-2 June 2011 workshop; draft finished, approved by Presidency 17 April 2012. RS: 3 workshops Feb-April 2012. Draft finished June 2012			
Phase 2: <u>Implement</u>	by Oct 2013	Phase 2: RS: Strategy adopted by the Assembly on 26-27 Feb 2013 FBH: Strategy adopted by Presidency on 29 th of Oct 2013			
1.A.1 Services Development Strategy	Target Date		FBH, RS: Drafting ongoing	RS: Assembly adopted 26-27 Feb 2013 FBH: Assembly adopted 7 Feb 2013	RS: Expand with detailed analysis (tied to proposed new Strategic Plan)/ Develop, implement detailed action plan. FBH: Redo as a proper strategic plan (use RS plan as a basis). Develop, implement detailed action plan, tied to new Strategic Plan. Commission high-quality translations of Strategies and then reissue both hard and soft English versions.
Phase 1: <u>Develop and adopt</u>	Dec 2010 - April 2011 & Dec 2011	Phase 1: FBH: April 2012 produced Centre for Education and Dialogue (CED) concept under title of Services Development Strategy RS: aiming to finish draft by Aug 2012			
Phase 2: <u>Implement</u>	by Oct 2013	Phase 2: FBH: Discarded CED and partially rewrote strategy paper in Sept 2012. Assembly adopted 7 Feb. 2013. Action plan drafted by CDMA Project Manager in mid-2013 not taken further. RS: Draft completed 2012. Assembly adopted 26-27 Feb 2013.			
1.A.1 Human Resources Strategy	Target Date		FBH: 0	RS: Assembly	Develop detailed, well sequenced

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Phase 1: <u>Develop and adopt</u>	Dec 2010 - April 2011 & Dec 2011	Phase 1: FBH: no action RS: draft to be finished by Aug 2012	RS: drafting	adopted 26-27 February 2013. 9 supporting doc's prepared in 2013.	implementation action plans, tied to proposed new Strategic Plan. Org/HR should be designed once the strategic direction and key (realistic) targets/milestones are agreed.
Phase 2: <u>Implement</u>	by Oct 2013	Phase 2: FBH: drafted; adopted by Presidency on 29 October 2013. RS: adopted by Presidency in Oct 2012, Assembly Feb 2013. Report printed Oct/Nov 2013. <u>9 supporting documents prepared in second half of 2013.</u>		FBIH: Presidency adopted 29 October 2013. Assembly to adopt in 2014.	Commission high-quality translations of Strategies and then reissue both hard and soft English versions
Component 1.B Resource mobilisation and self-sustainability					
1.B.1 2 assessments for revenue raising, incl sets of recommendations, scenarios, possible fee-based services pilots (1 for each AMC)	Target Date Sept 2011	Phase 1: FBH: 29 Sept 2011: held pilot fee-based conference on local borrowing. Assessment activity postponed to Aug. 2012. RS: Assessment presented to conference (70 people) 25 May 2012 (see 1.B.4).	FBH: 0 assessment, but 1 fee-based pilot activity RS: assessment completed	0	AMC sustainability remains top priority and needs a totally new focus.
The FBH assessment was postponed to Phase 2	August 2012	Phase 2: FBH: no assessment (as contemplated in plan)			
1.B.2 1 seminar on best practice in revenue-raising & self-sustainability for both SGs and 4 staff from each AMC	Target Date August 2011	Phase 1: "postponed"	0	Topic partially addressed in SCTM 16-18 Jan 2013 programme	
Phase 2: Incorporated into SCTM mgmt/planning programme	by Oct 2013	Phase 2: partially addressed in SCTM mgmt. planning programme in Jan 2013 (see 1D3)			
1.B.3 4 'coaching' sessions on multiyear financial planning, budget cycle procedures: 2 in Phase 1 (1 for each AMC)	Target Date March-May 2011	Phase 1: FBH: no date provided RS: Dec 2011, April 2012	FBH: 1 RS: 2	The CDMA-supported Financial Advisers performed this activity	
2 in Phase 2 (1 for each AMC) (to focus on operating and capital budget formats)	by Oct 2013	Phase 2: FBH: performed by financial adviser RS: performed by financial adviser			
1.B.4 4 seminars on fee-based services/designing financing mechanisms for service provision: 2 in Phase 1 (1 for each AMC)	Target Date April 2011	Phase 1: FBH: postponed RS: 25 May 2012 (70 participants)	FBH: 0 RS: 1	0	
2 in Phase 2 (1 for each AMC)	by Oct 2013	Phase 2: None			

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Component 1.C Recruitment of AMC-based staff for updated services portfolio					
1.C.1 Assist AMCs and Sida to recruit 1 municipal finance expert & 1 legal expert (to be based in each AMC)	Target Date Sept-Nov 2010	Phase 1: 1 legal and 1 finance adviser recruited for each AMC by Nov. 2010	FBH, RS: done	Finance and legal officers have developed their role and have helped to secure some important 'wins' for the AMCs.	Provide additional professional training for all Legal and Finance Advisers and a budget to access external expert advice and analysis
Component 1.D: Increased training & management capacity of AMCs					
1.D.1 8 Train-the-trainer sessions on municipal finance, legal issues, info & communications, EU integration, <i>as per needs assessment carried out in inception phase</i>					Coordinate with other donors on training and capacity building
- 6 in Phase 1 (3 for each AMC, to establish train-the-trainer pool)	Target Date Oct-Dec 2011	Phase 1: FBH: 13-14 Feb, 6-7 March 2012 ('content developed') RS: 14-15 March; 1 April 2012	FBH: 2 RS: 2	0	MTS (Sweden/UNDP) handling training matters in cooperation with AMCs
- 2 in Phase 2 (1 for each AMC)	by Oct 2013	Phase 2: none			
At least 4 on-demand training modules for municipalities	Target Date Dec 2011-May 2012	Phase 1: FBH: Feb-March 2012 (same as above): 5 modules RS: May 2012: 5 modules	FBH: 5 RS: 5	0	
Phase 2 Narrative Plan (Sept 2012-Nov 2013) added: <ul style="list-style-type: none"> Expert database for AMC websites EU integration training module Training of elected officials 	by Oct 2013	Phase 2: <ul style="list-style-type: none"> Expert databases on AMC websites: not considered reliable or useful in present form. EU integration module done in Phase 1 Training of elected officials: CDMA officers attended MTS, OSCE meetings (see 2B2) 		0 No desired results. Phase 2 was to focus heavily on AMC management issues. None of these activities meets that objective.	Mayors would like a database of reputable, <u>proven</u> experts on municipal issues (eg, from RS/FBH municipalities) & providers of services, products, equipment. Determining the best way of engaging Council members should be a priority in future.
1.D.2 4 one-on-one 'coaching' sessions on leadership and management (2 for each AMC Head): - 2 in Phase 1 (1 for each AMC)	Target Date May 2011 & March 2012	Phase 1: none	0	0 One-on-one coaching not	Strongly recommend engaging SCTM to deliver intensive strategic planning, organisation and management programme for AMCs in 2014, in line with pro-

ANNEX 4 – CDMA RESULTS FRAMEWORK

- 2 one-on-one coaching sessions in Phase 2 (1 for each AMC)	by Oct 2013	Phase 2: none (The SCTM programme did not provide one-on-one coaching.)		provided	posed new Strategic Plan.
Phase 2 Narrative Plan (Sept 2012-Nov 2013) added: SCTM 'coaching programme in organisation development and financial management...and ongoing involvement of SCTM in assisting AMCs in the uptake of improved procedures'	by Oct 2013	Phase 2: SCTM hosted management and planning programme 16-18 Jan 2013 for AMC & CDMA teams. Excellent outputs/action plans, but no follow-up except RS used models for HR supporting documents (1A1) and some form templates.		Excellent programme, but follow-up not implemented.	Mentoring for AMC Heads is top priority to work through key issues (brainstorm issues; strengthen leadership, planning, organisation, HRM, advocacy).
1.D.3 Study visit for trainer pool (1D1) and EU Integration Unit staff (3D1) to SCMT Serbia	Target Date March 2012	Phase 1: joint AMC 8-11 April 2012 study tour to Bulgaria (not for trainer pool or EU Units)	1 study tour to Bulgaria but not as per plan	n.a.	
1.D.4 Study visit for new legal, finance officers to SCMT Serbia	Target Date Dec. 2010	Phase 1: 8-10 Dec. 2010 to SCMT, Serbia	1 study tour to SCMT	Finance & Legal Advisers participated in SCTM mgmt. /planning prog.	
Component 2: Lobbying and Advocacy					
Component 2.A Skills building for AMCs and Committees					
2.A.1 Seminar for AMC staff & Committee members on lobbying and advocacy 'how to's'	Target Date June 2011	Phase 1: FBH: 5 July 2011: committee members discussed Law on Local Self-Government and Law on Concessions RS: 26-27 Dec 2011 seminar with committee members			Support for Committees should be expanded considerably, tied to Strategic Plan implementation, legislative agenda, committee action plans. Focus support on:
Phase 2 Narrative Plan set out no specific activities. However, CDMA provided advisory and logistical support for both AMCs' Committee planning sessions in April.		Phase 2: Both AMCs reformed Committee set-up to involve municipal experts rather than mayors. FBH: Joint 6-Committee Planning Workshop: May 2013 RS: Joint 9-Committee Planning Workshop in April 2013; RS EU Integration Committee meeting in July 2013		AMCs inaugurated annual planning sessions for Committees	<ul style="list-style-type: none"> • Strategic planning • Expert analysis • Expert advice • Teambuilding • IT solutions to facilitate communications (e-meetings, AMC website space, networking) • Joint RS/FBH committee meetings
2.A.2 2 training sessions for AMC Committee members on legislative drafting	Target Date June-July 2011	Phase 1: FBH: 29-30 June 2011 RS: 6-7 July 2011	2 of 2	n.a.	This is probably still needed.

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2.A.3 4 roundtables with mayors to define advocacy priorities (2 for each AMC)	Target Date July & October 2011	Phase 1: FBH: 28 June 2011; 22 Sept. 2011 RS: 26-27 Dec. 2011 (combined with 2.A.1):	FBH: 2 of 2 RS: 1 of 2	n.a.	
Component 2.B Enhanced relations with stakeholders					
2.B.1 8 Roundtables with Parliamentarians & government officials: - 6 in Phase 1 (3 for each AMC in Phase 1); - 2 in Phase 2 (1 in each AMC) Phase 2 Narrative Plan revised this to: 2 Policy Forums (Fora) for each AMC for mayors, council members	Target Date June, Nov. 2011, April 2012 by Oct 2013	Phase 1: FBH: 2 informal meetings: Oct 2011 (MOU signed with PM & MoJ); Dec 2011: meeting with 47 parliamentarians RS: 30 Jan 2012 (seminar on amending Law on Local Self-Government) Phase 2: FBH: 19 Sept 2013: Policy Forum /RT discussion with Presidency, Houses of Parliament, Ministries 24 Sept 2013: Briefing by Asst. Minister of Finance on new Budget Law; 2/3 of municipal finance officers attended RS: June 2013: RT on Forestry Law for mayors in Rogatića 4 July 2013: Policy Forum: Mayors met in Rogatića to discuss local authorities' financing	FBH: 2 of 3 RS: 1 of 3	FBH: 2 of 2 RS: 2 of 2	
2.B.2 6 joint RTs with donor agencies: - 3 in Phase 1 - 3 in Phase 2	Target Date May, Oct. 2011; April 2012 by Oct 2013	Phase 1: June 2011 25 May 2012 Phase 2: AMCs did not organise a joint AMC-Donor events as in previous Phase. However, AMCs organised individual meetings with CDMA support, and they participated in several events organised by others, including Sweden, eg: RS: 16 Oct 2012 AMC RS hosted a meeting with Sweden, UNDP, OSCE, GIZ, USAID, SDC to agree on each donor's support for MTS implementation in RS. 28 April 2013: FBIH and RS participated in a Local Governance coordination meeting hosted by Sweden and organised by UNDP. Other donor agencies were present too. This included: SDC, OSCE, GIZ, USAID, etc..	2 of 3	0 No joint AMC-donor coordination sessions in Phase 2; however, AMCs participated in donor events organised by others, incl. Sweden	Donor coordination/joint programming/delivery must be resolved asap. AMC sustainability depends on it.

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2. B.3 3 seminars for media on local self- government development: - 2 in Phase 1 - 1 in Phase 2: Narrative plan for Phase 2 adds: 'journalist familiarisation tour of AMCs and municipalities'	Target Date March, April 2011 by Oct 2013	Phase 1: FBH: 23 June 2011, 29 May 2012 RS: 15 Nov 2011 Phase 2: FBH: 17 July 2013: RT with journalists (not familiarisation tour)	3	1	
2.B.4 Assist AMCs on publicity (press releases, information products, communications software, etc) Phase 2 Narrative plan adds: 'design formats for press releases, newsletters, other printed products, social networking applications and SMS communications software'	Target Date Ongoing from Jan. 2011	Phase 1: NEXPO PR assistant hired under this section, 15 Feb-15 Mar 2011. Phase 2: Both AMCs: Project Managers and advisers helping on press releases, information dissemination, etc. CDMA Project paid for communications software: AMC RS installed but people don't tend to use; AMC FBH not interested.	Ongoing	Ongoing, but CDMA-supported communications software not being used.	
Component 2C: Improved relations between the 2 AMCs					
2.C.1 Joint AMC Board (Presidency?) meetings to discuss joint statements	Phase 2	AMCs decided meetings not necessary. Presidents did issue verbal agreement on EU Integration.	0	Continued strengthening of joint activities and relations	
2.C.2 2 joint sessions for EU Integration Units to discuss joint programming with EU Delegation Phase 2 Narrative plan adds: 'Assist AMCs to work together in joint sessions on EU integration'	Phase 2	Joint AMC activities facilitated by CDMA included: • Joint NEXPO stand Rijeka, Croatia, Sept 2013 • Joint study visits: - Serbia (16-18 Jan. 2013 SCTM mgmt. programme) - Croatia (10-14 June 2013, crossborder cooperation, EU accession) - Poland (30 Sept-4 Oct 2013, EU accession and funds utilisation) • MOU co-drafting with SCTM (stalled) • IPA proposal writing course, June 2013 • Local Governance Fair in Belgrade Nov 2012	Numerous joint activities facilitated by CDMA		Discussions to continue on a possible joint AMC RS/FBH EU Integration Unit to be hosted at East Sarajevo. Additional work on inter-municipal cooperation.
Component 3: Services Development					
Component 3.A: Financial advisory services					
3.A.1 Install financial helpdesks & start new fi-	November 2010	Phase 1:	Helpdesk	Helpdesks	Conduct a comprehensive needs

financial advisory services		FBH: Finance adviser Dzenita Kovacevic hired Nov 2010 RS: Finance Adviser Dijana Koric hired Nov 2010 Both hired under co-financing arrangement between Sweden and AMC: 100% 2011, 75% 2012, 50% 2013, 0% from 15 Oct 2013	function established in both AMCs in 2010-2011	functioning well and finance advisers quite productive. Initial municipal visits added value. Should have done more.	assessment to determine municipalities' current and longer-term needs, and their baseline level of satisfaction with AMC finance-related services. Then design a programme to address their needs, in cooperation with other donors. Monitor satisfaction annually. Continue co-financing support for Advisers. Provide additional professional training and a budget to access external expert advice and analysis. Develop a structured municipal visits/engagement programme covering all 80 FED & 63 RS municipalities in 2014 and 2015.
Phase 2: Financial advisory services and helpdesk functions fully operational Phase 2 Narrative Plan added: 'Municipal site visits'	By Oct 2013	Phase 2: Finance and legal officers have developed their role and been instrumental in securing some important 'wins'. For example, the FBH finance adviser secured a seat for the AMC in the FBH Fiscal Coordination Body, and pushed through Parliament measures to strengthen the AMC's role in policy- and law-making. In April 2013: FBH: Municipal visits to Zavidovići, Kreševo and Glamoč. RS: Municipal visits to Kozarska Dubica, Knežev, Gradiška and Srbac.			
Phase 1: Database design, maintenance	December 2010-February 2011	Phase 1: FBH: 20 April 2011: GAP expert coaching session for finance adviser on 2005 GAP Municipal Finance Profile Database, which AMC took over and expanded. RS: Similar process in AMC RS. 22 March 2011, 26 Oct 2011. 18-19 April 2012: database maintenance course.	Databases operational	FBH: Financial software developed. To be fully operational in 2014	
Phase 2: Database design, maintenance		Phase 2: FED decided to commission its own tailored software from Univ. Sarajevo.			
3.A.2 2 seminars on treasury-based municipal budgeting	February 2011	Phase 1: FBH: 16-17 Feb 2011: coaching seminar on fiscal policy, programme budgeting. 27 April 2011: seminar for municipalities RS: 14-15 July 2011 seminar on treasury-based budgeting and internal audit for 30 municipalities entering treasury system in 2012	FBH: 1 of 1 RS: 1 of 1	Finance advisers in FBH and RS managed these aspects internally in Phase 2	

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3.A.3	2 ‘coaching’ sessions with finance helpdesks to develop services on participatory municipal finance, treasury-based budgeting & performance; programme budgeting	February 2011	FBH: merged with 3.A.2 RS: ditto	Merged with previous line	n.a.	
3.A.4	2 ‘coaching’ sessions with finance helpdesks on municipal loans, capital improvement and strategic development planning	May 2012		0	No coaching provided to advisers to upgrade their skills.	
	Phase 2 Narrative plan added: ‘significant activities will include coaching of Advisers to upgrade their skills. The Advisers will conduct seminars for municipal officials.’		Phase 2: FBH: May 2013 Finance Adviser prepared report calculating 80 municipalities’ IMF debt repayment burdens. RS: 14 May 2013 seminar for 11 municipal finance officers from East RS.		Advisers conducted seminars, advisory sessions for municipal officials.	
3.A.5	2 ‘coaching’ sessions with financial helpdesks to develop services on revenue & tax collection, fee-based municipal services	May 2012		0	0	
	Phase 2 Narrative plan added: ‘significant activities will include the provision of advice on fee-based services for municipalities.’					
3.A.6	2 ‘coaching’ sessions with finance helpdesks to improve AMC response to financial requests through email, phone, FAQ database	February 2011	Phase 1: FBH: 2-3 February 2011: output: FAQ Manual. RS: established procedures in staff meetings; output: FAQ Manual. Both AMCs merged 3.A.6 and 3.B.3.	done	n.a.	
Component 3.B: Legal advisory services						
3.B.1	Improve & upgrade existing legal helpdesks & define new services	Jan 2011 onward	FBH: Legal adviser Selma Fisek hired Nov 2010 RS: Legal adviser Slavica Rokvic hired Nov. 2010 Both hired under co-financing arrangement between Sweden and AMC: 100% 2011, 75% 2012, 50% 2013, 0% from 15 Oct 2013.	Helpdesk function established in both AMCs	Helpdesks functioning well and legal advisers quite productive.	Conduct a comprehensive needs assessment to determine municipalities’ current and longer-term needs, and their baseline level of satisfaction with AMC legal services. Then design a programme to address their needs, in cooperation with other donors. Monitor satisfaction annually.
	Phase 2: Continue to improve and upgrade legal helpdesk services		In addition to helping municipalities directly, the legal advisers presented several initiatives to higher levels, participated in higher-level work-		Initial municipal visits added value. Should have done more.	

Phase 2 Narrative Plan added: 'Municipal site visits'		ing groups, conducted advocacy activities, did analysis, etc. Phase 2: April 2013: FBH: Municipal visits to Zavidovići, Kreševo and Glamoč. RS: Municipal visits to Kozarska Dubica, Kneževo, Gradiška, Srbac.			Continue co-financing support for Advisers. Provide additional professional training and a budget to access external expert advice and analysis. Develop a structured municipal visits/engagement programme covering all 80 FED & 63 RS municipalities in 2014 and 2015.
3.B.2 4 'coaching' sessions with legal helpdesks to develop new services	June 2011	Phase 1: FBH: December 2011 Output: Manual on Practical Application of Administrative Procedures RS: not done	FBH: 1 of 2 RS: 0 of 2	No coaching provided to legal advisers to upgrade their skills.	
Phase 2: combined with 3.B.1		Phase 2: combined with 3.B.1			
3.B.3 2 'coaching' sessions to improve AMC response to legal requests through email, phone, FAQ database	February 2011	FBH: combined with 3A6 RS: combined with 3.A.6	merged with 3.A.6	merged with 3.A.6	
Component 3C: Information and Communications					
3.C.1 Improve communications & promotion tools, including new website: new design & implementation	February-June 2011	Phase 1: FBH: June 2011:www.sogfbih.ba RS: October 2011:www.alvrs.com Work on new visual logos commenced.	Ongoing	Logos, websites and information services considered good by members.	Develop and implement action plans for Communications Strategies and share good practices, templates with municipalities.
Phase 2 Narrative plan adds: 'Revitalising AMCs' materials and upgrading websites'		Phase 2: FBH: Communications strategy, Oct 2013 RS: Communications strategy, Feb 2013 Both AMCs: new visual identities (logos) developed and implemented. See 2.B.4 re communications software provided by CDMA.			Support Focal Points network. Support implementation of the municipal information officers network.
3.C.2 4 workshops for municipal information officers on info exchange with citizens, AMCs, other municipalities	March 2012	Phase 1: FBH: 0 RS: 29 May 2012 (35 municipalities & 20 media reps participated)	FBH: 0 of 2 RS: 1 of 2	FBH: 5	Target information flows to municipalities, in order to avoid overload.
Phase 2 Narrative plan adds: assist AMCs to conduct (at least 2) regional workshops for municipal information officers together with activities to familiarise journalists with municipalities.		Phase 2: FBH: 5 regional workshops in Sarajevo (17 Sept 2013), Bihać (1 Oct 2013), Mostar (3 Oct 2013), Tuzla (8 Oct 2013) and Zenica (10 Oct 2013). Recommendations from workshops foresee a			Upgrade websites, social networks; develop correct- English content; train administrator on maintenance, etc

ANNEX 4 – CDMA RESULTS FRAMEWORK

		Municipal Information Officers network. To be developed in 2014.			
3.C.3 2 ‘coaching’ sessions to develop new services	January-February 2011	Phase 1: FBH: 1-2 June 2011: Workshop on ‘Development & improvement of information service of AMC FBH’ to enhance Secretariat-Member info exchange: outputs: draft rules of procedure; how-to guide for organising participatory public hearings. RS: 28 Feb-1 March 2012: workshop on improving external communications; outputs: new e-product ideas	FBH: 1 of 1 RS: 1 of 1	n.a.	
Component 3D: EU Integration (originally designed to be carried out in Phase 2)					
3.D.1 Establish Units & define new services	Phase 2	Phase 2: FBH: April-May 2013: Expert analysis commissioned; it recommended ways to strengthen existing services/approach; no special Unit required RS: April-May 2013: Expert analysis commissioned and completed. Unit established.	n.a.	Analysis completed. RS: Unit established. FBH: Presidency noted analysis and recommendations	Support work of Committees on Int’l Cooperation and EU Integration Support East Sarajevo offer to host a joint AMC RS-Fed EU Integration Unit office when the time is right (eg. 2015).
3.D.2 2 seminars for AMC staff on EU integration issues: institutional context & funding procedures	Phase 2	Phase 2: See 3.D.3	n.a.	see 3.D.3	Support AMC liaison/ advocacy efforts targeting EU Delegation, higher levels
3.D.3 2 ‘coaching’ sessions with Units to develop services on IPA ‘pipelining’ & Project Cycle Management	Phase 2	Phase 2: FBH and RS: 2 joint 2-day training sessions on IPA project proposal writing (4-5/17-18 June 2013, Jahorina)	n.a.	IPA proposal writing course provided for 3 AMC and 2 CDMA staff	
3.D.4 2 ‘coaching’ sessions with Units to develop services facilitating international partnerships for crossborder projects	Phase 2	Phase 2: Joint AMC study tour to Croatia: 10-14 June 2013	n.a.	1 study tour to Croatia	
3.D.5 Study visit to associations and municipalities in new EU members to see EU fund absorption & programming	Phase 2	Phase 2: Joint AMC study tour to Poland: 30 Sept - 4 Oct 2013	n.a.	1 study tour to Poland	

Annex 5 - Sum-Up of Phase 2 Priorities

The Midterm Review in June 2012 listed a number of priorities for Phase 2 and beyond. It is interesting to compare these to action in Phase 2, and to the current priorities documented in this report. (Many remain the same, but others have

“If priorities and approaches are adjusted during Phase 2 and sensitive management issues are resolved, good progress toward the desired results can be achieved.” (Midterm Review, 6/12)

Stakeholders and partners want the Associations to survive over the long term. They recognise that they need such bodies to coordinate the gathering and disseminating of information, analysis and good practices; represent and advocate their interests at higher levels; facilitate access to funding and training; and foster cooperation and interaction among members.

Mayors and others agreed that the management situation of both AMCs must be addressed as an urgent sustainability issue. The Presidents of both AMCs said the greatest achievement of the CDMA project was the ‘continued existence’ of the two AMCs. Numerous FBH mayors were quite concerned that their Association might overextend itself and move away from servicing members’ needs by its plan to offer a sophisticated array of paid services (CED proposal).

Each AMC needs a professional, experienced manager

The **AMC RS** could put to good use a full-time **professional manager**. RS members may well decide to renew the Secretary-General’s 4-year term again (he has been part-time S-G since 1998). If they do so, they will at the same time need to appoint an experienced manager to implement good practices in strategic planning, work organisation, systems and processes implementation, communications, and human resources, financial and client management.

The **AMC FBH’s** strategic plan highlighted many weaknesses in the capacity of the organisation and stressed the need for better management, more qualified staff and reallocation of responsibilities. The AMC would benefit from having a solid manager, leaving the Director freer to work on advocacy, legislative issues and public and client relations.

Both AMCs need to consider **restructuring**. This sort of analysis is a normal and necessary part of any strategic planning process. The strategic documents already hinted at this. With new strategic development plans, it is an opportune time for AMCs to commission an analysis of what structure and staff are needed to deliver the activities and objectives set by the Plans. The analysis should offer one or more option(s) based on reallocating current employees and resources, and new approaches with new employees to replace some old ones.

The lack of **clear division of labour** has a direct impact on AMCs’ ability to deliver results in an efficient manner. The CDMA capacity-building is vital in helping AMC staff meet their growing and increasingly complex responsibilities. If this capacity building is to achieve sustainable results, it has to be underpinned by modern human resource management practices and systems. No AMC employee had an individual work or performance/development plan. All AMC employees said they were ‘multitasked’. This included the Sweden-funded legal and finance advisers. Ad hoc tasking without proper delegation or information flows makes it difficult for employees to plan and implement their work, and gives rise to evident frustrations. The AMCs would benefit from defining roles clearly and helping staff to specialise in issues of importance to local authorities.

Committees

The AMCs also need to rethink their **Committee structures and composition**, to ensure that the right people are tackling the right issues. It was suggested in interviews that Committees comprised of working-level experts from municipalities would be more efficient and effective than the current high-level permanent Committees supplemented by working groups. It was also suggested that Committee members be selected through expressions of interest, and that they be conscious of and willing to assume the considerable responsibilities and time commitments required.

AMC Priority Needs

The key messages from municipalities, ministries, MPs, donors and the AMCs themselves, was that the AMCs needed to focus heavily on attaining:

1. good professional management and planning
2. healthy finances
3. a solid set of core services for members, that could be adapted to evolving needs
4. staff capable of fully implementing strategies, providing core services, delivering results
5. effective communications (internal and external)
6. credibility, visibility, influence (this will come from achieving 1-5)
7. value-added services they can facilitate for a fee or commission to supplement their revenue base and meet evolving member requirements.

Municipalities' Priorities for Phase 2

According to the local officials we interviewed, municipalities in the RS and FBH want their Associations to improve professional and service capacity and skills in the following areas, which are broadly the same as those in Phase 1, though the emphasis is slightly different:

1. Legislative analysis, tracking, drafting and related representational/lobbying/advocacy work aimed at enhancing influence at higher levels
2. Awareness-building and skills enhancement on municipal financial issues (treasury system, municipal borrowing, budgeting, procurement, concessions, etc)
3. Good practices in municipal management, communications (internal and external), technology, outreach, and other local governance issues - including through interactive events, study tours, twinning and other arrangements with successful local authorities in BiH and abroad
4. EU integration: legal obligations and other requirements (e.g., application of standards, good practices, etc) of EU accession
5. Assistance in developing EU project proposals and learning how to access funds
6. Good practices in business and investment climate improvement, youth unemployment, waste management, inter-municipal and crossborder issues, infrastructure management (including dealing with shared infrastructure and services, and PPPs), etc.

Major factors influencing the achievement/non-achievement of objectives

1. Efficient, effective management, communications
2. Political will
3. Ownership and shared mission
4. Trust and transparency
5. Partnership mindset/participatory approach
6. Keeping AMCs, Presidencies, Committees focused on concrete results
7. Managing expectations, motivation and accountability

Another big challenge - and success factor - will be to inculcate 'ownership' of AMC agendas, activities and results. Only when the municipal representatives (and Presidency) take full ownership of the agendas and assume accountability for the results, will the AMCs become more sustainable.

AMCs and members said that while ownership had improved measurably in recent years, members needed to be more conscientious of their roles, take their representation responsibilities seriously. For example, in the FBH, Presidency members represented all the municipalities in their Canton but they rarely got together before or after Presidency sessions. Also, it became evident in interviews that some Presidency members did not read documents before sessions, and sometimes took decisions on things they had not studied. The AMCs said that about half of the Presidency members were really active.

One mayor suggested: “The role of the Presidency needs to be strengthened – set clear goals, define a clear work plan to present to the Assembly. Then the Presidency members must be held accountable for achieving the goals. After elections in October, carefully consider election of new members of the Presidency. Need to choose people who are professional, serious and hardworking. Members must acknowledge that the Presidency is not a privilege, but rather a lot of hard work! The AMCs also need to find ways to encourage the Presidency members to engage actively and productively.

CDMA Advisory Board

Is it really necessary? If so, how should it be structured and what should be its role?

While it was meant to meet every 3-4 months and monitor and guide the CDMA, in fact it only met three times in 18 months (February and June 2011 and April 2012). Only half the mayors attended each meeting, which may not be surprising given the rather unsubstantial items on the agendas (apart from the first one). The minutes did not show substantial discussions. Interviews indicated that several Board members had limited knowledge of the CDMA programme or how it could help the AMCs achieve their potential. If an Advisory Board is required, then it should be used to ‘advise’ on key issues and tough decisions.

Recommendation: Decide if an Advisory Board is necessary. It may not be. If it is, then use the post-election period in October to reconstitute the CDMA Advisory Board with people who have time and interest to guide and monitor the Phase 2 focus on implementation and sustainability.

- Do not choose an Advisory Board on the basis of function (e.g., President, Vice President of AMCs, as is the current practice). Rather, invite expressions of interest from among all AMC members (assistant mayors with operational experience should also be considered). Consider inviting a representative of MPs or Ministries, as well. Prepare a ToR and performance criteria.
- Choose people who want to be involved with the AMC, have informed opinions on key issues, and have good ideas and suggestions for the CDMA project
- Schedule meetings at 6-month intervals, and get their commitment to attend well in advance. Offer them an attendance-based fee and travel expenses, and ensure that they sign an undertaking to attend 2 meetings per year, to read the background documents and to participate actively, offer ideas and take decisions. Set a quorum of at least five members among mayors, MPs, etc.
- The CDMA programme features a constant need for strategic and sensitive management of ‘make or break’ factors such as relationships, expectations and accountability. This should be a fixed agenda item at staff meetings and Advisory Board sessions.

Annex 6 – Work Plan & Consultations

Dates	Location	Work Programme & Consultations <i>Strikeouts = people who cancelled at very last minute</i>
October – November 2013	Home	<p>Mission preparations:</p> <ul style="list-style-type: none"> • Discuss project ToR, proposal, meetings, documentation, etc, with the Embassy Programme Officer • Review project documentation, country papers, donor reports, other relevant material • Prepare detailed Mission Work Plan and Report Outline • Prepare/translate tailored Questionnaires for meetings • Organise meetings and logistics
28-29 Nov	Sarajevo	<ul style="list-style-type: none"> • Swedish Embassy: Mario Vignovic, CDMA Programme Officer • CDMA Project Team: Slaven Lekić, Bojana Sekulić, Biserka Sarkanović, Dzemila Taljanović • AMC FBH: Vesna Travljanin, Dzenita Kovacević, Selma Fisek, Sejla Hasić, Elvira Imširović, Edin Demirović, Zlata Turkić,
30 Nov	Sarajevo	<ul style="list-style-type: none"> • Biserka Sarkanović, CDMA Project Manager AMC FBH
1 Dec		Drive to Bjeljina
2 Dec	Bjeljina, RS	<ul style="list-style-type: none"> • AMC RS: Aco Pantić, Bojana Sekulić, Goran Rakić, Branislav Misović, Predrag Pajić <p>Municipality Bjeljina:</p> <ul style="list-style-type: none"> • Milorad Sofrenić, Chair, Fin/Econ Cttee • Mico Micić, Mayor, President of AMC RS Presidency • Bojana Sekulic, CDMA Project Manager, AMC RS
3 Dec	Orasje (FBH) Domaljevać-Samas (FBH) Samas (RS)	<ul style="list-style-type: none"> • Djuro Topic, Mayor, Cttee member • Zeljko Josić, Mayor, Presidency member. • Miroslav Lucić, Chair, Cttee on Local Self-Govt • Savo Minić, Mayor, Monitoring Board member • Radenko Cupeljić, Chair, Cttee on Local Self-Govt
4 Dec	Banja Luka (RS)	<ul style="list-style-type: none"> • AMC RS Branch Office: Slavica, Rokvić, Legal Adviser, and Dijana Corić, Finance Adviser <p>Municipality Banja Luka:</p> <ul style="list-style-type: none"> • Slobodan Gavranović, Mayor, Dep. Pres, AMC RS • Vinko Djuragić, Sr Adviser to Govt on Local Self-Govt Issues <p>Ministry of Admin & Local Govt:</p> <ul style="list-style-type: none"> • Milanka Sopin, Assistant Minister • Miljana Dragojević, Head, Local Govt Division

5 Dec	Banja Luka (telephone) Laktasi (RS) Prijeđor (RS) Novi Grad (RS)	<ul style="list-style-type: none"> • EDA (CDMA implementing partner): -Goran Janković -Milos Sipragić • Milovan Topolović, Mayor, Presidency member • Ognjen Vullin, Deputy Mayor • Dragan Kelecević, Chair, Econ. Dev. Cttee • Milenko Djakovic, Delegate to Presidency since 2009 • Ljiljana Babic, Chair, Social Policy Cttee • Snjezana Rajlic, Mayor, Member of Presidency • Ranko Dabić, Deputy Mayor
6 Dec	Mrkonj Grad (RS) Travnik (FBH) Sarajevo	<ul style="list-style-type: none"> • Divna Anić, Mayor, Member of Presidency • Slobodan Rajković, Chair, Constitutional & Leg. Affairs Cttee • Admir Hadziemrić, Mayor, Monitoring Board member • Aida Daul, Sec'y City Council, AMC Focal Point • Slaven Lekić, Team Leader, CDMA
9-13 Decr	Home (Skype)	<ul style="list-style-type: none"> • Work on documents, notes • Interview with Tim te Pas, Project Director, VNG International, Den Hague
15 Dec		Return to Sarejevo
16 Dec	Sarajevo	<ul style="list-style-type: none"> • AMC FBH: Vesna Travljanin, Director • Swiss Dev Coop Office: Joseph Guntern, Director of Co-operation & Alma Zukorlić, Project Officer • USAID: Marinko Sakić, Project Director • UNDP: Adela Pozder-Cengi, Team Leader & Marina Dimova, Project Officer • UNDP MTS: Lilit Melikyan, Evaluator, MTR
17 Dec	Konjic (FBH) Citluk (FBH) Capljina (FBH)	<ul style="list-style-type: none"> • Emir Bubalo, Mayor, Presidency member, Committee for Local Self-Government • Ivo Jerkić, Mayor, Deputy President, Presidency • Smiljan Vidić, Mayor, Deputy President of AMC FBH Assembly • Dalibor Milinković, AMC Focal Pt & member, Committee for International Relations & EU
18 Dec	Trebinje (RS) Bileća (RS)	<p>Municipality:</p> <ul style="list-style-type: none"> • Slavko Vučurević, Mayor, Member of Presidency • Nedzo Cebedzija, Deputy Mayor • Dejan Janković, AMC Energy Efficiency Cttee; CDMA EU trainer • AMC RS Regional Office: Aleksandra Cuzulan, Project Officer • Javo Papić, President of Council
19 Dec	Sarajevo	Prepare for Embassy briefing, other meetings
20 Dec	Sarajevo East Sareje-	<ul style="list-style-type: none"> • Swedish Embassy: Pelle Persson, Director of Cooperation & Mario Vignević, Programme Officer

	vo (RS) Novo Sarajevo (FBH) Centar Sarajevo (FBH)	<ul style="list-style-type: none"> • Igor Golijanin, Chair, AMC RS Cttee on Intl Coop & EU Integ. • Miroslav Zivanović, Municipal Adviser, Council Member • Dzevad Becić, Mayor, President, AMC FBH Assembly • Muamar Hojić AMC Focal Point • Tarik Hajiomerović, AMC Focal Point
21 Dec	Sarajevo	<ul style="list-style-type: none"> • CDMA Project Office w/Dzemila Taljanović Review project documents all day
22 Dec	Sarajevo	Work on documents; prepare for upcoming meetings
23 Dec	Sarajevo	<ul style="list-style-type: none"> • MERFI Auditors: Azra Krajsek, Auditor • Ministry of Finance: Alija Alijević, Asst Min for Budget & Public Expenditure (<i>in end wasn't available but undertook to respond in writing to questions</i>) Parliament: <ul style="list-style-type: none"> • Jasminka Zubić, MP & Pres. Cttee for Econ & Fin Policy, House of Representatives, Parliament of FBiH • Semsudin Dedić, MP and Pres. Cttee for Local Self-Government, House of Representatives (<i>in end wasn't available but undertook to respond in writing</i>)
24 Dec	Visoko (FBH) Kakanj (FBH) Zenica (FBH)	<ul style="list-style-type: none"> • Amra Babić, Mayor, Member of AMC Presidency • Nermin Mandra, Mayor, Member Urban Planning Cttee • Enver ??, AMC Focal Point • Husein Smajlović, Mayor, President of FBH Presidency • Zijad Imamović, Chief of Protocol
25 Dec	En route Zvornik (RS) Kalesija (FBH)	<ul style="list-style-type: none"> • Zdravko Miovcic, Director, EDA • Mile Jović, Delegate to Presidency since 2000; AMC Focal Point • Rasim Omerović, Mayor, Member of Presidency
26 Dec	Sarajevo	<ul style="list-style-type: none"> • CDMA Project Office: debriefing and consultation • AMC FBH/AMC RS: debriefing and consultation
27 Dec	Sarajevo	<ul style="list-style-type: none"> • OSCE: Ljiljana Perkusić, National Programme Officer
January 2014	Home	<ul style="list-style-type: none"> • Additional follow-up consultations • Analysis of notes, documents, etc • Work on Draft Evaluation Report
3 January 8 January 6-8 January	Home	<ul style="list-style-type: none"> • Anna Jonsson, SIPU Project Officer • Michael Taylor, SIPU • Zorica Vukelić, Deputy Secretary-General, SCTM
17 January	Home	Draft Report to Embassy for comment
22 January	Home	<ul style="list-style-type: none"> • Michael Palmbach, former Team Leader
31 January		Deadline for comments on Draft Report
3 February		Finalise Report
5 February		Indevelop to submit Final Report to Sida

	Oct				Nov				Dec				Jan				
	W 41	W 42	W 43	W 44	W 45	W 46	W 47	W 48	W 49	W 50	W 51	W 52	W 1	W 2	W 3	W 4	W 5
Inception work and Mission preparations																	
Submit brief Inception report/proposed work programme																	
Inception report approved/no objection																	
Briefing with Embassy in Sarajevo																	
Field mission 1 BiH: 7 days of meetings																	
Field mission 2 BiH: 9 days of meetings																	
Compilation of Initial Findings																	
Presentation of Findings to Embassy in Sarajevo																	
Presentation initial Findings to AMCs, Project Office																	
Mission Follow-Up																	
Report writing																	
<i>Submission of Draft Report</i>																	
Feedback from stakeholders on draft report																	
Finalisation of Evaluation Report																	
<i>Submission of Final Report</i>																	

Annex 7 – Questions for Meetings

Discussion Topics for Interviews

AMC Directors/Staff, Mayors, Municipality Officers (esp Committee Members)

A. Regarding Sida's CDMA assistance programme for SOGFBiH and SOGRS in 2010-2013:

1. Did the CDMA 2010 needs assessment correctly prioritise your needs? (list provided) Has any new needs assessment been done since then?
2. Did the objectives and desired results adequately/realistically focus on the real problems to be solved? (list provided) Please comment on progress.
3. To what extent does CDMA complement other donors' activities and fill gaps that other donors are not addressing?
4. Is there any duplication? How well does donor coordination work?
5. Please comment on the quality and usefulness of CDMA services, reports, web products, expert advisory missions, training sessions, study tours, etc. Which have been the most useful, relevant and timely?
6. Please comment on CDMA's management and operational effectiveness.
7. Any suggestions for improvements?
8. What are your main priorities and needs for the coming 2-3 years?
9. How do you think donor assistance should evolve in coming years to support local development?

B. AMC, Committee and Municipal Needs and Priorities

1. What are the main achievements of the AMCs in the past three years?
2. What has been the contribution of the CDMA project?
3. What has been the extent of the improvement sought in each of the 'desired results' components?
4. How can committees best underpin AMC and Presidency efforts (advocacy, local services, etc)?
5. How can the AMC Secretariat and the CDMA Project help Committees to achieve their goals?
6. How are your priorities evolving? Which priorities now will cease to be priorities for assistance in the next 5 years? What new priorities are emerging?
7. Which of the AMC activities and outputs will be the most useful for member municipalities and citizens in the long term?
8. How can they be improved to meet evolving needs?
9. What progress are AMCs making on becoming self-sustaining?
10. For what services would Municipalities be prepared to pay on a fee-for-service basis?

Discussion with individual CDMA Project Officers

Name

Position

With CDMA since (date)

Education

Professional experience/technical expertise

Main work responsibilities

Supervisory responsibilities

1. Individual work plan and action plan (please bring these along to the discussion)
 - Ownership
 - Teamwork
 - Activities/outputs planning
 - Performance indicators
2. Have you achieved everything you planned to date?
3. What do you consider to be your main successes?
4. What have been the main challenges you have faced?
 - Were these unexpected?
 - How did you deal with them?
 - Looking back, would you have dealt with them differently?
 - How will you deal with such issues in future?
5. How do you work, what systems and processes do you use, and how are these evolving?
 - Work planning and budgeting
 - Work reporting
 - Internal communications with bosses and team members (type, frequency, objectives)
 - Teambuilding
 - External communications with stakeholders and clients (type, frequency, objectives)
 - Any public relations or marketing responsibilities associated with your activities?
 - How do you think the systems and processes can be improved?
6. Relationships with stakeholders
7. Looking forward, what do you expect to achieve over the next two years?
8. What factors will help you to achieve your goals?
9. What factors/risks may impede achievement of your goals?
10. Have you thought about how to make your activities sustainable?
11. What improvements would you suggest for your activities, CDMA and AMCs?

Questions for FBH Finance Ministry

1. Key issues affecting local authorities
 - Distribution
 - Revenue sharing
 - Imposing obligations without providing funding to meet them
 - Treasury System
 - Concessions issues
 - Municipal borrowing
 - Revenue generating
2. What is the Finance Ministry's role and position? Any surveillance role?
3. How does MoF's role fit with EU integration (e.g., EU Charter on Local Self Government)?
4. How are local authorities consulted on these and other issues affecting them?
5. What is the role of the AMC in your relations with local authorities?
6. How have you interacted with the AMC and the legal and finance advisers?
7. How has their role and performance evolved over the past two years?
8. How should AMC evolve in coming years? ie, what would be an optimum role for it in terms of representing the interests of its constituents?
9. What is your view of the capacity of local authorities to manage their own finances, concessions, procurement, debt, etc?
 - Strengths
 - Weaknesses
10. What do they need to do to overcome their weaknesses?

Questions for Members of Parliament

Name

Parliamentary activities/responsibilities:

Constituency:

1. Key issues affecting local authorities
 - Distribution of resources
 - Revenue sharing
 - Imposing obligations without providing funding to meet them
 - Concessions issues
 - Various laws and regulations affecting local authorities
 - What is on the table? Prospects?
 - What *should* be on the table?
2. What is the Parliament's role in these issues?
3. How does this fit with EU integration (e.g., EU Charter on Local Self Government)?
4. How are local authorities consulted on these and other issues affecting them?
5. What is the role of the SOG FBH in your relations with local authorities?
6. How has its role and capacity evolved over the past two years?
7. How do you interact with the AMC? Comments on the legal and finance advisers? Other staff?
8. How should AMC evolve in coming years? ie, what would be an optimum role for it in terms of representing the interests of its constituents?
9. What should it do to optimise this role and best serve its members in the long run?
- 10 What is your view on the capacity of local authorities to manage their own finances, concessions, procurement, debt, development, etc?
 - Strengths
 - Weaknesses
11. What do they need to do to overcome their weaknesses?

Questions for Local and International Experts

Person who managed the procurement/contracting process (person in CDMA project)?

Previous experience with VNG?

Previous experience with Sida?

Previous experience with Associations of Municipalities and Cities?

Questions on Contracting Process

1. Quality and transparency of procurement information, terms of reference, selection criteria
2. Selection process (efficiency, transparency)
3. Responsiveness of CDMA staff to questions on ToRs, applications, etc
4. Contracts (efficiency of process; clarity of defined activity and expectations; thoroughness of individual work/action plans; appropriateness of performance measures, milestones, outputs)
5. Suggestions for improving the procurement/contracting process during Phase 2
6. Please comment on any challenges encountered in meeting the objectives set out in your ToR

Annex 8 – Documents Reviewed

- Concept Paper commissioned by Sida in 2009-10
- Pre-audits of AMC RS and AMC FBH
- Background on previous assistance to AMCs under various programmes
- Donor documents and reports (Sida, USAID, UNDP, OSCE, SDC, IFC, GIZ,)
- Donor Mapping Reports from BiH Government
- CDMA Project Proposal submitted by VNG International and all annexes
- Tender Evaluation Report
- Minutes of pre-contract meetings between Sida and VNG, and correspondence
- VNG CDMA Contract and amendments
- Sida's MoUs with AMC FBH and AMC RS on the CDMA project and addenda
- Municipality needs assessment, 2010
- VNG Inception Report and all annexes (workplan, timetable, logframe, budget, etc)
- Position descriptions for Finance/Legal Advisers, CDMA Project & Office Managers
- Advertisements, reports and correspondence on selection of staff
- Contracts for staff
- Procurement documentation for goods and services
- Expert engagement lists, ToRs, activities, etc
- CDMA interim narrative and financial reports: November 2010, May 2011, November 2011, May 2012, November 2012, May 2013, October 2013
- VNG responses to questions on reports
- Auditors Reports, November 2011, November 2012 for AMC RS, AMC FBH, CDMA Project Office; Auditor's Report, December 2013, for CDMA Project Office
- Follow-up to Auditors Reports (management responses, etc)
- Annual Progress Reports from AMC FBH and AMC RS, November 2011, 2012; from AMC FBH Nov. 2013; + 6-monthly reports
- Mission reports: very few mission/activity reports available (CDMA reports on some activities; reports from EDA and VNG external experts, plus a couple of reports from local experts)
- Correspondence between Embassy and VNG
- Advisory Board Meeting minutes
- Strategic Documents produced under CDMA for/by AMC FBH and AMC RS:
 - Strategic Development Plans
 - Lobbying and Advocacy Strategy guides
 - Communications Strategies
 - Services Development Strategies
 - Human Resources Development Strategies
- Expert reports on Fee collection options, revenue raising report, financial planning report, GAP reports on treasury system
- Analyses (2) on EU Integration and potential role of AMCs
- CDMA Final Report Phase 1 – narrative and financial
- AMC RS and AMC FBH Final Reports Phase 1
- Numerous other documents n.e.s on project activities
- Background on each municipality where we had interviews (their websites, etc)
- Numerous documents on municipality activities provided by mayors and local officials during interviews

Annex 9 – Brief Description of AMCs

AMC FBH

The **Association of Municipalities and Cities of the Federation of Bosnia and Herzegovina** (also known as AMC FBH, AMC Fed and SOGFED), is an independent organisation established in 2002 and based in Sarajevo. Its members include all 80 of the Federation's municipalities and cities. Its main goal is to promote democratic and efficient local self-government in accordance with the European Charter on Local Self-Governance.

The Association, staffed by 10 employees, aims to provide professional services to local governments and to advocate for their common interests at the state and the Federation level. The Association conducts different activities in order to fulfil its mission, including:

- development of strategic documents/operative programs in areas of interest for members
- permanent monitoring/tracking of legislative, executive and judicial authorities' activities
- organisation of public hearings, analysis, comments on draft legislation, rules and regulations, and recommendations
- education and training activities
- project implementation in collaboration with government and non-government organisations, local and international
- analysis and data processing for member municipalities
- assistance in development of infrastructure projects.

The **Assembly** is the AMC FBH's highest decision-making body, bringing together 80 municipal or city representatives/mayors. The Assembly:

- adopts the Statute of the Association and its amendments
- adopts the Association's budget and decides on budget execution
- establishes the AMC's programmatic orientation
- passes decisions on membership fee and contribution for Association's services.

The **Presidency** of the Assembly is the executive body with 13 members. There is also a 3-member Monitoring Board, as well as Secretary/Director of the Association, appointed by the Presidency. The members of the Presidency operate under renewable 4-year terms.

Committees: Currently, SOGFBiH has six standing bodies, or committees on:

1. development of local self-government
2. constitutional and legislation issues
3. international relations and cooperation
4. urbanism, housing-utilities and environmental protection
5. economic development
6. nomination and selection.

SWOT Analysis of the AMC FBH, December 2010

Strengths

- Constitutional and legal position of the Association
- Common interests, politics and position of the Association's members
- Acceptance of the Association by its members and relevant organisations and institutions
- Membership of the Association in international and regional associations
- Association's important role in starting initiatives for legislative changes and participation in the drafting of the same
- High level of professional and technical capacities within the Association

Weaknesses

- Credibility of the Association is not at the appropriate level in the view of the key domestic and international partners
- Financial uncertainty
- Less than adequate structure of services offered to members
- Less than adequate participation of members in Association's activities
- Unsatisfactory level of communication/consulting, opinion exchange, etc. horizontally and vertically
- Governing the Association's administration and large member administration does not satisfy quality of management standards
- Influence of politics on the work of the Association
- Staff is not qualified enough for lobbying

Opportunities

- Further development of professional support to local self government and larger variety and scope of services to members and cooperation with relevant organisation to achieve that goal
- It is important to harmonise legislative framework for local self government through harmonising Cantonal laws with the Law on Principles of Local Self Government in Federation BiH
- Establishing a professional function within the Association for support to local self government regarding European Integrations and process of accession BiH to EU
- Support of international partners and donors

Threats

- Unsatisfactory level of communication/consulting, opinion exchange, etc. horizontally and vertically (with higher levels of government)
- Not implementing the Law on Principles of Local Self Government in FBiH and lack of harmonisation of Cantonal laws with this Law
- Transfer of competencies to local self government without transfer of finances for realisation of those competencies
- Disregard for propositions and suggestions of the Association by the higher levels of government
- Unsatisfactory membership fee for financing the Association which may lead to dependency of the Association on donor contributions
- Lack of interest of donors for financing Association's projects and work
- Uneven development of local self government
- Free services for local self government offered by the international donors
- Member's lack of trust toward the Association
- Lack of interest on the part of the higher levels of government for local self government

AMC RS

The **Association of Municipalities and Cities of the Republika Srpska** (AMC RS or SOGRS) has its head office in Bijeljina and a branch office in Banja Luka. The branch office was purchased with the help of Sweden and member funding, and was opened in April 2012.

AMC RS, with 8 employees, is an independent, non-partisan and non-profit organisation bringing together municipalities and cities on a voluntary basis for mutual cooperation, exchange of experiences, and joint action to achieve common goals.

Established on 10 February 1999 as a ‘socio-legal entity’ (ie, NGO), its main **goals** are:

- development, protection and improvement of local self-government
- networking and cooperation among municipalities and cities to achieve common interests
- establishment and development of cooperation between RS municipalities/cities and foreign municipalities/cities, and with international organisations of local authorities.

Scope of activities (Statute Article 8):

- Organise discussions of current issues related to protection, development and improvement of local government
- Organise exchanges of experiences and other forms of cooperation to encourage common positions on issues of shared concern, and to cooperate with bodies and organisations with the same interests
- Improve and develop public services in the utilities and communal housing areas, urban planning, health care, social protection, culture, environment protection
- Develop proposals for changes or for adoption of rules and regulations of the RS
- Disseminate information on developments and good practices in the RS and abroad in areas important for local self-government
- Cooperate with international and national organisations of local self-government and with municipalities and cities from abroad
- Develop and implement work programmes through Assembly and Presidency sessions; permanent and temporary working bodies; conferences, etc; cooperation with authorities, expert bodies, social and citizen organisations; cooperation with foreign organisations; direct technical assistance to members (expert advice, expertise, assistance in drafting local regulations, analysis, software development, information systems, etc); communications and public relations.

The **Assembly** is the highest body, representing all 63 members. The **Presidency** is the executive body. Its 19 members, including a President and three Vice-Presidents, represent RS member municipalities and cities, appoint the Secretary-General (responsible for the Secretariat), coordinate the work programme, and perform intersessional activities on behalf of the Assembly.

A three-member **Monitoring Board**, established by the Assembly, controls ‘material’ and financial operations and monitors the work of the Association and its working bodies.

Committees: The AMC RS has nine standing bodies, or committees:

1. self-government and human resources
2. finances and economic issues
3. international cooperation and European integration
4. constitutional and law issues
5. urbanism, utilities and protection of environment
6. energy
7. social policy
8. agricultural development
9. education, culture, youth and sport.

SWOT Analysis of AMC RS, 16 December 2010

Strengths:

- Status of the AMCRS as an association of public interest,
- Recognition of the Association among member municipalities,
- Continuity of the Association major bodies' work (regular sessions of the Presidency, Assembly),
- Membership in international associations and partnership with associations in region and in Europe,
- Implementation of projects of local self-governance (ISO standardisation, Beacon Scheme),
- Representation of priority of municipalities interest/unity of members regardless of political situation
- Strong influence of the Association towards customer oriented local administrations – different attitude towards citizens / customers,
- Association as an instrument of taking initiatives for legislation amendments and participation in legislation drafting,
- Association's significant role in decentralisation process / transfer of authorities from Republic to local level and in defining municipal assets.

Weaknesses:

- Unsatisfactory human resource, financial and technical capacities of the Association,
- Insufficient level of professional assistance / expertise to member municipalities,
- Unstable and insufficient financial sources,
- Geographic distance from the RS Government and other central government institutions;
- Inadequate structure and level of services provided to member municipalities,
- Insufficient activity of Association Committees,
- Low intensity / information exchange on all levels (Association, municipalities, government),
- Association staff untrained in lobbying / representation.

Opportunities:

- Process of fiscal and institutional decentralisation, in accordance with basic principles of the European Chart of Local Self-Governance,
- Local Self-Governance Development Strategy, adopted by the RS National Assembly,
- Training Strategy for Local Administrations Employees, adopted in the RS National Assembly in September, 2010,
- Establishment of the Association's office in Banja Luka - where Government is located
- EU integration and access to appropriate funds,
- International cooperation – interest of donors for implementation of projects aiming to strengthen the Association and its members,
- Involvement of all interested institutions / organisations in the lobbying process towards higher level of government (social welfare centers, NGOs, local chambers of commerce, trade unions, etc.),
- Development of paid services (not included in membership fee), and creation of conditions for sustainable Association.

Threats:

- Unequal development of municipalities,
- Small share of membership fees in total financing of the Association,
- Dependence on donors' funds,
- International organisations/donors provide certain services to member municipalities for free,
- Some RS ministries, RS Government and other central institutions disregard initiatives, suggestions and proposals of the Association,
- Inconsistency of central government institutions in implementation of already agreed activities – even successfully lobbied activities are not implemented in practice (for instance, Law on Rights in Rem),
- Lack of regular dialogue between the Association and the RS Government – central government does not fulfill its obligation to organise regular 6-month meetings with Association representatives (Memorandum on Cooperation between the RS Government and AMCRS),
- Image of the Association, members' distrust towards the Association.

Annex 10 – Principles of Evaluation

Principles Underpinning Evaluation

(Source: *Sida's Evaluation Guidelines and Evaluation Plan*)

The objective of Swedish development cooperation is to contribute to an environment supportive of people's own efforts to improve their quality of life. Development evaluation – defined as a systematic and objective assessment of a policy, strategy, theme, sector or an ongoing or completed project or programme – is a key tool for contributing to that objective.

- It is a source of evidence of *what is working and what is not* and elaborates *why* things are working or not. Hence it can play a credible role in supporting mutual accountability among stakeholders in development interventions. It also contributes to evidence-based decision making by development partners, including Sida.
- It is a prerequisite for accountability for development results by providing impartial, unbiased information, which is accessible to the public both in Sweden and in partner countries.
- It is crucial for generating general knowledge on development.
- It contributes to building a culture of learning among development partners.

Evaluation⁵ forms an integral and crucial part of Sida's system for results-based management since:

- Reviews of projects, programmes and strategies provide essential results information which complements and may provide a deeper analysis of regular monitoring data.
- Evaluations can go beyond the project or programme level and test general development hypotheses. Furthermore, they can generate general lessons about what works and what doesn't in terms of thematic areas, aid modalities etc.

Sida recognises that reviews should be integrated into programmes at the outset, and that lessons learned from evaluations should be taken into account into development of policies and strategies, as well as in project and programme planning.

Sida adheres to the internationally recognised evaluation quality principles of independence, credibility and utility. Evaluations are undertaken with the purpose of being useful to the intended users. If they are to be used, they need to be credible, and to be credible, they need to be sufficiently impartial and independent....This requires a participatory approach to the

⁵ *Evaluations* are evaluations which are included in Sida's central evaluation plan...Evaluations typically cover policies, strategies, sectors, thematic areas and aid modalities. On occasion they may also be employed in place of reviews for large programmes and for lesson learning from innovative programmes. All Sida-financed evaluations are coordinated and subjected to quality assurance by UTV (and) are published in the series *Sida Evaluations*. *Reviews* are evaluations commissioned or financed by Sida's teams and included in every team's annual operational plan. They are often of operational character, and feed into the decision-making processes of Sida financed projects, programmes or strategies. All reviews financed by Sida are electronically published in the series *Sida Reviews*.

Annex 11 – Map of BiH

The circles depict the municipalities visited by the Evaluation Team for interviews.





Evaluation of the “Capacity Development of Municipal Associations” Programme in Bosnia and Herzegovina (CDMA)

This Report assesses Sweden’s 2010-13 programme to support Bosnia and Herzegovina’s Municipality Associations (AMCs) develop sustainable capacity to provide services to members, advocate local interests at higher levels, and take over delivery of donor-funded services and products when donors exit.

The evaluation found that the assistance contributed to markedly stronger AMC visibility, influence and credibility at local and higher levels. It could have achieved more – notably in terms of sustainability – had it not been hampered by poor project design and management, among others.

The evaluation suggests an orderly phase-out of the current assistance and, simultaneously, the design of a new, preferably multi-donor, programme to start in 2015. Building on gains to date, this would emphasise the development of viable, results-oriented member services, sustainable revenue sources, high-quality advocacy, and the institutional and support framework to maintain them.

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