

1.0 FRAMEWORK FOR SUSTAINABLE OPERATIONS

The two key terms used in this Framework that require explanation are “Sustainability” and “Capacity Development”. The use and context of these terms is important to successful implementation.

1.1 SUSTAINABILITY

Sustainability or sustainable operations of the infrastructure projects completed under the USG funded reconstruction programs is the objective of all parties to this Framework. Sustainability simply means that the Afghans operate and maintain the new or refurbished facilities, systems, and equipment upon handover, without additional support from the USG or other coalition partners. Sustainability will be measured in terms of the Afghan’s success in operating and maintaining these facilities to meet the citizens’ needs over the long-term.

The reconstruction efforts of the Government of Afghanistan (GOA), the USG, and our coalition partners are focused on Sustainability. A reliable, functioning infrastructure is a prerequisite for a stable government. Sustainable operation is the planned end-state that must be achieved for each facility constructed and Sustainability is achievable only to the extent that specific, tailored actions are planned and carried out as part of the construction and handover process.

CD is one of the pre-requisites for Sustainability and encompasses a wide range of activities, from training on how to repair specific pieces of equipment to standing up the new GOA. Operations and maintenance (O&M), a follow-on activity to CD, is also a necessary component for Sustainability.

1.2 CAPACITY DEVELOPMENT

CD is defined as enabling individuals, organizations, or groups of organizations to perform functions efficiently and in a manner that leads to sustainable operations. This includes activities that range from the highest level of Afghan government structure and policy to training of operations and maintenance staff at a newly constructed facility. CD is one of the basic tools being used to transfer knowledge, skills, and abilities to the Afghan workers at the various infrastructure facilities.

The term CD is used extensively throughout this document as a key process to ensure that the necessary preparatory steps are taken to result in Sustainability of critical infrastructure facilities. CD is a process, whereas Sustainability is an end result.

Facility level CD activities will only be successful and sustainable when there are simultaneous and mutually supportive activities across all five levels of CD, as shown in Figure 1.

Figure 1. Five Levels of Capacity Development.

CD takes place at five levels and involves a number of different organizations. Successful CD interventions are based upon a tailored analysis of each of the levels to plan, synchronize and

coordinate mutually supportive activities. The five levels of CD are shown in Figure 1 and are described in more detail in the following text.

Five Levels of Capacity Development

Level 1 - Policy

Goal: Establish the strategic policy, vision and commitment at the highest levels of the GOA structure to enable, facilitate and promote sustainable CD framework and activities at the implementation levels.

Implementation: Level 1 activities include a variety of high-level processes that occur outside of the infrastructure reconstruction process. The Department of State, USAID, ISAF?, multilateral, and bilateral donors in collaboration with the GOA, are the primary organizations that are engaged in Level 1 CD.

Level 2 – Laws and Regulations

Goal: Establish drivers and requirements that support a sustainable environment.

Implementation: Organizations can function effectively only if the appropriate laws, regulations, and policies are in place at the appropriate level of government. Level 2 activities promote the necessary regulatory and policy environment, legal framework, training programs, incentive structures, and budgetary support for completion of short-term and long-term CD strategies and activities. Appropriate laws and regulations are also critical in fostering private sector development and foreign investment. The GOA, Department of State, and ISAF?, with the support of USAID, multilateral, and bilateral donors have the lead for Level 2 actions.

Level 3 – Inter-Organizational

Goal: Develop and institute the systems and processes by which all public and private sector Afghan stakeholder’s work toward the common goal of creating a sustainable infrastructure.

Implementation: Coordination between the various organizations is essential and the relationships must be clearly established for effective implementation of CD activities. Afghan ministries must also coordinate to ensure successful implementation of national strategies. Important linkages include government, non-government, educational and training institutions. The GOA and ISAF?, with the support of USAID, multilateral, and bilateral donors, and NGOs have the lead for Level 3 actions.

Level 4 – Afghan Ministries

Goal: Establish functional business and organizational systems within each ministry/sector necessary to support a sustainable infrastructure.

Implementation: All new and renovated facilities, systems, and equipment provided under the various reconstruction programs will be turned over to an Afghan Ministry. CD Level 4 activities are directed toward preparing the Ministry staff at the national and

provincial levels to provide the necessary planning, budgeting, and management of the facilities, systems and equipment on a long-term, sustainable basis.

USAID has the lead USG role in Level 4, since many of these activities are longer-term and fit best within the mission of those organizations. CSTC-A has a lead role for the Afghan Ministries of Interior and Defense. Multilateral and bilateral donors and NGOs may provide assistance at Level 4 in coordination with USG activities. Likewise, AED has a limited role in Level 4 and may be involved in Ministry-specific training in cases where they are in the best position to transfer the knowledge to Ministry staff. The interface between USG organizations and these other organizations is critical for Level 4 activities.

Level 5 - Infrastructure

Goal: Provide targeted training and mentoring to Afghans at the plant or facility level to enable the Afghans to operate and maintain new or renovated facilities, systems, and processes in accordance with design requirements.

Implementation: Newly constructed or renovated systems and facilities are being completed and turned over to the Afghans for operation. This turnover requires that the Afghans be trained, as necessary, in operations and maintenance of the constructed facilities, systems, and equipment on a sustainable basis. Facility or plant-level CD consists of training and delivery of technical documents to Ministry staff who are directly responsible for management, operations, and maintenance at a specific facility. The GOA and the lead USG Agency, with the support of AED, USAID, CSTC-A, NGOs, multilateral, and bilateral donors have the lead role in Level 5.