

AFGHANISTAN SUB-NATIONAL GOVERNANCE PROGRAMME II

THIRD QUARTER PROJECT PROGRESS REPORT 2012



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PROJECT INFORMATION

Award ID:	00058922
Duration:	2010-2014
Strategic Plan Component:	Democratic Governance
CPAP Component:	The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity
ANDS Component:	Governance, Rule of Law and Human Rights
Total Budget 2012:	USD 139,000,000
Responsible Agency:	Independent Directorate of Local Governance (IDLG)

Cover Photo: ASGP supported Provincial Council Monitoring Team in Bamyan Province facilitate the construction of school classrooms for a better educational environment for 680 girls and 120 boys, replacing outdoor all year around tents. (Photo Credit: ASGP/UNDP)

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I. EXECUTIVE SUMMARY

During July, August and September 2012 there were significant positive achievements in the UNDP's Afghanistan Subnational Governance Programme. These included implementation of new standard operating procedures to govern support to subnational entities in provinces and in Kabul. This new and robust SOP, negotiated with our government partner and in accordance with UNDP rules, supports capacity development and technical support to Provincial Governors' Offices, District Governors' Offices, Municipalities and Provincial Councils.

Another crucial agreement with the government partner the Independent Directorate of Local Governance, outlined direct financial and technical support, through the Letter of Agreement (LoA), and supports 87 national technical advisors who directly work on the National Priority Programme of Local Governance (NPPLG).

This support was foundational to the development of the NPPLG and to its implementation. ASGP would like to thank donors and its government partner for their support and technical contribution to these two crucial developments in the third quarter, which allow IDLG and ASGP to accelerate delivery during the fourth quarter.

ASGP's Component One directly supports the Independent Directorate of Local Governance (IDLG). During Q3 the component's technical support and achievements complemented the national team's pivotal role in the NPPLG, outlined above. The international technical support included several international ASGP staff embedded at IDLG, to support capacity development initiatives across IDLG's Directorates. This included assistance with monitoring and evaluation planning frameworks, communications, legal drafting, twinning arrangements to promote best practice among IDLG and subnational entities, Provincial Council conferences and assistance with drafting operating manuals and guidelines for Provincial Councils.

In addition, ASGP embedded two national technical specialists full time in the General Directorate of Municipal Affairs (GDMA) and two additional ones in the General Directorate of Local Council Affairs. The ASGP national technical specialists in GDMA supported the formulation of municipal public-private partnership guidelines for economic development activities, supported the GDMA technical working group among donors and stakeholders, and supported the establishment of a nationwide municipal network and National Mayoral Conference (finalised in October and November respectively). The specialists also supported GDMA and ASGP to develop and implement the new LoA and SOP.

Based on UNDP/ASGP mandate supporting the Provincial Councils and the General Directorate of Local Councils Affairs (GDCLCA), ASGP has embedded two national PC governance and development staff within the GDCLCA. In Q3, ASGP supported the recruitment process of effectively 29 Provincial Council Coordination Technical Specialists, through sharing in the interview and selection process enhancing the capacity of IDLG in its recruitment process. In Q4, these new staff are expected to take up their positions bringing each province's technical teams up to full capacity as technical assistance to the Provincial council. ASGP has also supported GDCLCA in preparation of activity technical proposal and budget proposal for establishment of regional PC forum.

ASGP's Component Two supports the Provincial Governors Offices, District Governors Offices, and Provincial Councils. ASGP's accelerated support for this component included the placement of several new international governance advisors in the provinces, to provide technical and capacity development support, and to guide and lead a greater team of nationals in the provinces.

Additional international staffing included governance advisor based in several locations across Afghanistan. One is based in Kandahar and responsible for the Southern Provinces (Nimroz, Hilmand, Zabul, Kandahar Provinces); another one is based in Kabul and responsible for the Central Region Provinces (Kapisa, Logar, Maydan Wardak, Parwan, Panjsher, and Kabul Provinces). Moreover, one advisor is being located in Kunduz (responsible for Badakhshan, Baghlan, Kunduz and Takhar Provinces), and one in Jalalabad (responsible for Kunar, Laghman, Nangarhar, Nuristan, Khost, Ghazni, Paktika and Paktya Provinces).

National staffing and financial support to these provinces also increased, paving the way for greater programme delivery during Q4, 2013 and 2014. Other key highlights for this component during the quarter included the completion of 34 individual Provincial Work Plans and budgets, endorsed and signed off by Provincial Governors, IDLG and UNDP. The new Letter of Agreement, signed with each Governor, and a revised Standard Operating Procedures, clarify the management and liquidation of LoA advances, HR and asset management, and eligible expenditures and governance and capacity development activities (a copy of this SOP is available on request, in English, Dari and Pashto).

ASGP's Component Three supports municipalities. Q3 highlights include technical support for public administration reform in the municipalities of Mazar-I-Sharif, Jalalabad, Herat and Bazarak (this included restructuring and implementation of pay and grading systems); support to municipal Capacity Development Plans in Aqcha, Charikar, Nili, Torkham, Gozara and Enjil Municipalities; and Municipal Development Plans in Bazarak municipality, Panjshir Province.

ASGP's component continued to support municipalities in activities such as revenue generation, public accountability forums, and neighbourhood and Goza elections and organisations. One of the public accountability sessions in Farah involved more than 300 people from different sectors of civil society, and municipal and provincial government. Another highlight included the preparation of a Nahia Development Plan, for the first time in history in Jalalabad. This participatory district municipal plan is enabling the implementation, and monitoring of demand driven public services deliveries based on local needs. It will serve as an example for elaboration additional Nahia Development Plans in Jalalabad, Nangarhar Province; and the construction of customer service centre in Mazar-I-Sharif.

The UNDP's Afghanistan Subnational Governance Programme thanks our central government partner the Independent Directorate of Local Governance, all Provincial and Municipal partners, and donors for their continued support for the Project. Q3 involved significant achievements in governance and development in Afghanistan, and greater delivery for the UNDP project.

These achievements ensured greater delivery in Q4, and greater governance outcomes across Afghanistan, contributing to a more inclusive and effective democracy, and increased service delivery at all local levels. We hope you enjoy reading the UNDP/ASGP Q3 report. Please do not hesitate to contact the team should you have any questions about this report.

I. RESULTS

A. OUTPUT 1: National systems, procedures, and legal frameworks to implement, coordinate, and monitor subnational governance policy are in place by 2014

ASGP continued to support the long-term capacity development of IDLG and the establishment of the appropriate enabling environment for subnational governance in Afghanistan. The development, approval and implementation of the National Priority Programme for Local Governance (NPPLG) is the most significant contribution to this enabling environment. The 87 positions of national technical assistance (NTA), supported by ASGP, play a foundational role in this policy. The NPPLG was approved in late June 2012, and its implementation framework developed in Q3 by the strategic coordination unit of IDLG, through positions supported by ASGP.

The implementation plan includes several objectives delivered by ASGP-supported NTA staff. These objectives are: the reorganization of IDLG organizational structure in alignment with the NPPLG deliverables; the establishment of a revised portfolio of externally funded programmes, to ensure their complete alignment with NPPLG. In addition, the establishment of a unified on budget mechanism for funding NTA support to IDLG; enhanced capacity in IDLG for financial management; and the establishment of mechanism for district level representation; a comprehensive approach to capacity development, and stronger sub national planning and improved coordination with line ministries.

The revised NPPLG implementation framework has been shared with donors and stakeholders, and a monitoring and evaluation framework for assessing the progress of NPPLG implementation has been prepared.

Several additional key policy, multilateral and legislative developments occurred in Q3 that contributed to an enabling environment that helps ensure IDLG and ASGP reach their shared subnational objectives around enhanced systems, procedures and legal frameworks by 2014.

The Ministry of Finance identified IDLG as the lead agency for implementation of the subnational governance recommendations arising from the Tokyo development conference of July 8. IDLG worked closely with the Ministry of Finance throughout Q3 to establish two indicators for these responsibilities, as they related to strengthening the legal framework, and financial devolution. The ASGP-supported NTA staff played a key role in this development, as they did with the overall NPPLG.

These aspects of IDLG complement another key IDLG function, which relates to finalization and implementation of laws for successful implementation of subnational governance in Afghanistan. The status of some of the most critical laws is below:

Name of the Law	Status
Local Government Law	Submitted to Cabinet Process: Two rounds of discussion conducted in the Cabinet Legislative Committee. After the first round, the law was discussed in a committee headed by the Minister of Justice. The legislative committee then passed the revised law in the second round. Next Step: Submission to Parliament after Cabinet approval
Provincial Council Law	Received Cabinet approval Process: Two rounds of discussion conducted in the Cabinet Legislative Committee. After the first round, the law was discussed in a committee headed by the Minister of Justice. The legislative committee then passed the revised law in the second round. Submitted to Parliament. Next Step: Approval of Parliament
Municipality Law	Pending with Ministry of Justice Process: Pending issues to be resolved with Kabul Municipality under the leadership of Ministry of Justice. Next Step: Submission to Cabinet Legislative Committee

ASGP support to IDLG during Q3 included NTA and international support to its policy directorate, as well as a range of capacity development support. IDLG’s policy directorate has been supporting the provincial governance entities, especially the Provincial Development Committees, in preparation of Provincial Development Plans (PDPs) and Provincial Strategic Plans (PSPs). IDLG closely coordinates with the Ministry of Economy, the lead agency for planning. In Q3, the PSPs for Helmand and Takhar were launched and the provincial profiles completed. In Nangarhar, the PDP was prepared based on the PSP finalized last year.

Capacity Development Support to IDLG

The National Priority Programme for Local Governance foregrounds the importance of capacity development. ASGP has integrated capacity development in all its outputs and deliverables, all of which aim to develop capacities at different levels in the government partners. Through Output One of



Figure 1: PSP preparation at Takhar Security Round Table. Photo Credit: IDLG



Figure 2: PTP2 participants at the IIPA library. Photo Credit: ASGP

ASGP, the programme aims to develop capacities in IDLG Center in Kabul and strengthen its Capacity and Institutional Development Directorate, which leads the capacity development initiatives for the governance entities at the sub national level.

ASGP's Capacity Development During Q 3 included

Capacity Building for Results: Q3 followed the orientation and awareness generation sessions conducted during Q2. IDLG's strategy to become an integral part of Capacity Results Framework (CBRF) was further developed.

Inclusion of IDLG under the CBRF umbrella is expected to contribute to IDLG meeting the planned staffing requirements in order to successfully deliver in accordance with IDLG's annual work plans.

ASGP continued to support the training of District Governors through twinning arrangements with India. The Indian Institute of Public Administration conducts the Provincial Training Programme, which is on track to train 258 Afghan civil servants. In Q3, the second batch of fourteen district governors and two IDLG employees underwent training in India for fifteen days as part of the second course under the series. The Provincial Training Programme includes sessions such as Norms of Good Governance, Leadership and its Role in the Administration, Effective Communications, Public Administration, Rural Development, Urban Governance and Solution for Challenges, and Risk Management.

In addition to ASGP's contribution to capacity development and the systems, processes and frameworks of subnational governance, the project also supported IDLG in Advocacy, Communication and Resource Mobilization. ASGP supported the preparation and publication of its monthly magazine, which outlines IDLG's activities and strategic direction. The publication is part of a broader attempt by IDLG to promote discussion and engagement on subnational governance in Afghanistan. IDLG has also developed (with inputs from ASGP), a donor communication strategy that identifies IDLG's focus and priority areas and promotes these to donors.

A summary of ASGP's status in relation to its annual targets by end of Q3 is presented in the table on the following page.



Figure 3: PTP2 participants at the Rural Technology Park, Hyderabad, India. Photo Credit: ASGP



Figure 4: Helmand Development Conference, chaired by the DG of IDLG. Photo Credit: IDLG

Table 1: Output 1: Q3 2012 Progress

2012 Baseline	2012 Annual Targets	Q2 Actual	Q3 Planned	Q3 Actual	Q4	Comments
(1) Legal and regulatory framework for Sub-national Governance (SNG) inadequate for purpose	(1) Provincial Council law, District Council law, Municipal law, law on local governance, Village Council law drafted	80%	100%	80%	90%	Delayed, though progress has been made during the quarter in the approval process of different laws, all of which have moved to the next stage of clearance. However, given the slow movement in the past few years, the Q4 target has been revised downwards to 90%.
(2) Baseline capacity is assessed to be 1.96 on a scale of 1 to 4.	(2) Capacity assessment score increased to 2.4	80% of a 2.4 score	90% of a 2.4 score	90% of a 2.4 score	90% of a 2.4 score	On track: Capacity Assessment of IDLG central was conducted in Q2. This was the second CA after 2011. Targets have also been established
(3) Subnational Governance policy approved. All Provincial Council (PC) members and about one-third of the key Provincial Governor Office (PGO) / District Governor Office's (DGO) officials have received introductory orientation	(3) SNG policy published and available in public domain; Introductory and advanced level of orientation / awareness created among all PC, PGO/DGO key officials	75%	100%	80%	90%	On track: IDLG has earlier (2011) developed a web site that is suitable for posting the SNG. Orientation sessions are conducted for provincial and district staff routinely and overview of SNGP is an integral part of these sessions.

1. FINANCIALS

By end of Q3, a total of USD2,589,441 was spent for this output out of a total annual budget allocation of USD 3,560,098, i.e. approximately 73 percent of the allocated annual budget. For additional details, please look at Annex 1 and Annex 2.

2. RISKS

Sustainability

Sustainability of long-term salary and resource support for IDLG remains unclear. Without international financial support, IDLG is currently unsustainable.

Mitigating measure

UNDP is working with donors and the Government of Afghanistan to address financial sustainability, which remains a problem in all Afghan ministries. UNDP has confirmed in principle its support to NTA for 2013. The Ministry of Finance-led unification of civil service salaries, due to be finalised by Dec 2013, should inform UNDP and donor support to IDLG in the long term.

3. ISSUES

The Central Letter of Agreement, which supports national technical assistance at IDLG central, has been extended until the end of 2012. UNDP has confirmed in principle its support to NTA for 2013. Several issues related to its implementation, as well as those related to the provincial LoAs (which support staff and capacity development activities in all 34 provinces) need further attention and follow-up during Q4 by UNDP and ASGP Kabul Office.

The prolonged negotiation on the central LoA adversely affected the payment of many LoA staff, and contributed to IDLG's loss of some skilled LoA staff. Non-payment of salaries for many months has created some personal distress for affected individuals. ASGP has worked closely with IDLG to limit the unpaid salary gap in Q3.

4. FUTURE PLAN

Component one includes several future plans for Q4, alongside the continued implementation of the National Priority Programme for Local Governance, and the activities outlined in this report. These plans include a series of training and exposure visits for Provincial Council Members to the Panchayats (counterpart organization to the Provincial Councils in India), following a proposal developed during the previous reporting period. This focuses on capacity development in areas of monitoring and out-reach, basic public administration and effective management, good governance, and ICT. ASGP will continue to support the development of IDLGs' gender mainstreaming initiative and encourage its adoption across Afghanistan. And ASGP will continue to work on mitigating strategies in relation to the risk outlined above, and continue to work with UNDP and partners (including key donors) to ensure support to IDLG is increasingly on budget and sustainable.

B. OUTPUT 2: Provincial and District Governors' Offices (PGO/DGO) have the capacity to develop and lead the implementation of strategies for improving security, governance, and development in accordance with the Afghanistan National Development Strategy by 2014.

In Q3, ASGP continued to regularize arrangements for the 34 provincial Letters of Agreement that support capacity development and provide technical support to Provincial Governors Offices, District Governors Offices, and Provincial Councils (Letter of Agreement support to municipalities is covered in this report's Municipal Output. These Letters of Agreement (LoA) were introduced in 2011 to promote fiscal de-concentration, and required far greater engagement with government and support partners. Key activities in this regard included finalization of the Standard Operating Procedure, in partnership with our government partner the Independent Directorate of Local Governance and in accordance with UNDP rules. The SOP helps guide the Provincial Governors Offices to spend and liquidate advances, and to prepare solid work plans and budgets for new advances. This quarter, all the Provincial Governors Offices, in collaboration with the respective Provincial Councils, produced quarterly budgets linked to ASGP results of activities for the first time. In some regions where ASGP presence has been weak or absent, this exercise was challenging but worthwhile. The staff member of one ASGP and LoA-supported Provincial Governors Office said, "We have struggled with preparing a coherent plan and budget this time but we will do much better next time."

Letter of Agreement staff embedded in the Provincial Governors Offices, District Governors Offices, and Provincial Councils will hold the key to capacity development support in the provinces and districts, as UNAMA operational support declines and if security deteriorates. A cascading training programme, conducted by UNDP ASGP staff, targeting the LoA staff, who will in turn train and coach taskeel staff and subnational stakeholders, is critical to sustainable capacity development among subnational entities. This cascading training programme was developed during Q3 and will be rolled out during Q4.

ASGP staff continued to guide LoA staff to support the Provincial Governors Offices, District Governors Offices, and Provincial Councils to execute their mandates and functions as required by the Afghanistan subnational governance policy documents. The PDCs have become indispensable bodies for coordination and consultation for public service delivery and development projects, following the Government's decision earlier this year to establish a single planning system at the subnational level. In the Western region, for example, ASGP worked with the UNDP's National Area Based Development Programme to coordinate planning between provincial and district levels in support of the PDC and district institutions in the Western Region. ASGP is also working with IDLG to refine guidelines, policy documents to include best practices that the provincial offices are using that can be replicated, and to ensure that it is realistic.

ASGP supported Provincial Development Committee (PDC) workshops and meetings throughout Afghanistan, as well as exercises and training among the Provincial Governors Offices and Provincial Councils to promote knowledge sharing and improve coordination, and promote public outreach and accountability.

Moreover, ASGP organized jointly with IDLG a three days training for District Governors and their staffs of Uruzgan Province, 9-11 September, 2012. The training contributed to the enhancement of staff knowledge on office procedure systems. Furthermore, it provided an opportunity to interact with PGO official, Line department directors, PRT/ NGOs addressing potential issues and problems.

During the closing remark of the training, the Provincial Governor H.E Mr. Amir Mohammad Akhundzada expressed *"high appreciation on the tools and approaches used in building the capacity of district governors and also linking these to the province"*

ASGP also continued to support the improvement of the administrative systems and management practices of the Provincial Governors Offices and District Governors Offices. For example, the Provincial Governors Office of Herat now includes a complete asset management system that tags and catalogues each asset tagged. The Governor of Herat calls this *"a revolutionary step forward"*, because the asset management system enables the PGO to efficiently and effectively track procured items.

Q3 Results Highlights

The Provincial Letter of Agreement has been strengthened in line with UNDP and Government best practices, linked to ASGP and Government partner work plans and results, and is providing crucial support to the technical staff and capacity development activities that underpin the subnational development and governance functions in the provinces. The Provincial Letter of Agreement (LoA) is part of ASGP's promotion of fiscal de-concentration at the provincial level, enabling the Provincial Governors Offices and Provincial Councils to plan, budget, implement, and account for the spending under the joint oversight of ASGP and IDLG.

The arrangement provides the national government and subnational government entities with the practical experience of de-concentrated decision-making, institutionalizing appropriate subnational systems in Afghanistan. During Q3, ASGP continued to regularize the 34 provincial LoAs in full observance of UNDP rules and regulations and in consultation with government partners. Key activities involved the allocation of available funds to the 34 provinces, finalization of the Standard Operating Procedure (SOP), and support to IDLG's identification and recruitment of appropriate LoA posts for Provincial Governors Offices (PGO) and Provincial Councils (PC).

ASGP's regional teams supported the PGOs and PCs to prepare LoA work plans and budgets. LoA specialists, who have experienced ASGP-organized training on identifying province-specific activities, determining inputs, and preparing a budget, led the work inside the PGOs and PCs. This subnational work plan preparation and leadership also provided significant learning opportunities to provincial LoA staff. LoA staff also continued to support the monitoring of development projects; PGO and PC monitoring and oversight roles will continue to be developed in partnership with IDLG.

ASGP's focus on capacity development continued at the institutional, organisational and individual level, support to Provincial Strategic and Development plans, policies, and a greater emphasis on public communication and civil society and citizen engagement. As part of a cascading training programme aiming at developing the capacity of Provincial and District Governors Offices' tashkeel staff and provincial stakeholders, ASGP designed a training programme concentrating on LoA staff in those provinces where ASGP staff presence has been intermittent or absent.

The training programme covers the principles of subnational governance and current policies in Afghanistan, ASGP objectives/focus areas/activities, provincial LoAs, activity planning/implementation, reporting, coaching and on-the-job training skills.

During Q3, provinces in the East, North East, and Uruzgan have been preparing Provincial Strategic Plan (PSPs) In parallel, Provincial Development Planning for 2013 is underway and is expected to be completed between Q4, 2012 and Q1 2013 in the mentioned regions. Recruitment of a Planning Specialist to support PSP formulation and PDP planning and review support was undertaken in Uruzgan. In the West, ASGP along with National Area Based Development Project (NABDP) facilitated the coordination of provincial level annual planning led by Provincial Development Committee (PDC) and district level planning led by Ministry of Rural Rehabilitation and Development (MRRD). ASGP and IDLG staff in the provinces as well as in Kabul have been jointly reviewing and improving guidelines and policies covering provincial planning, communications, and Provincial Council oversight through frequent conduct of consultations by ASGP staff with PCs and consultations with PGOs senior staff. The revised, coherent and user-friendly frameworks policies are expected to clarify and improve institutional and organisational systems and practices. A range of activities for public communication and citizen engagement continued, and PGOs and PCs across the country received support for preparing and issuing periodic publications.

ASGP continued to comprehensively support Provincial Councils, as democratically-elected entities that resolve disputes and oversee essential services at the local level. During Q3, ASGP increased its support to Provincial Councils' conflict resolution and mediation, and supported public outreach and monitoring visits that assessed government services and development issues. ASGP-supported training for Provincial Council members continued throughout this period, covering rules of procedure, citizen engagement, planning and budgeting, and gender. In the Eastern Region, for example, the ASGP team and LoA staff conducted a two-day training workshop for the Provincial Councils of Kunar and Laghman Provinces, focused on civil society, youth and women rights. ASGP also supported the Kunar PC conference on the Elimination of Violence against Women, which included two days of training on the role of PC, youth and women in development and security. Benefits of this training is enabling female PC committee members to better respond and deal with reported cases of Gender Based Violence, as they have been familiarized with this sensitive topic, and have been made acquainted with information on referral services for vulnerable persons, and the general provisions with the laws of Afghanistan.

In addition, four Provincial Councils (Bamyan, Daikundi, Herat and Jawzjan) received training on statutory justice systems, which broadened their ability to resolve disputes. Especially, a familiarization with principles from the Afghan Civil Law, Family Law and legal provisions as well as mechanisms for referral have strengthened their expertise to deal with disputes, based on the Official codified provisions within the relevant laws of Afghanistan as applicable.

Trainings for PC members on strategic and annual planning and budgeting was also conducted in several provinces, including Bamyan and Daikundi, enabling PCs to more effectively conduct public outreach, and promote effective oversight and accountability over the PGO, line departments, and other stakeholders in the provinces.

ASGP continued to address Provincial and District Governors' Offices civil service issues and vacancies, and improve staff recruitment and human resources at the ASGP project. For the Provincial and District Governors' Offices in the East, North, West and Central Highland regions,

human resources databases have been developed to track vacancies and more efficiently plan and contribute to the management of human staffing resources. In the North, a gender-disaggregated database on civil servants for the Provincial Governors Offices and line departments has been developed in cooperation with the regional office of the Afghan civil service commission. ASGP's gender initiatives commenced in Q3, in the offices of Provincial and District Governors are also to extend to the Southern provinces, where they will include the promotion of job fairs for female candidates and interns (e.g. in Nangarhar), as well as a partnership established between the Provincial Governors Office and the Department of Women's Affairs to promote female staff recruitment at provincial and district levels (e.g. Kandahar). Some provinces of the North and North East are planning to introduce female-only washrooms, which will dramatically improve work environment for female staff and will help attract more female candidates for tashkeel posts. It is expected that results will materialize in Q4, 2012 and Q1, 2013.

In staff recruitment for ASGP regional teams also continued during Q3. With the addition of three new international Regional Governance Advisors during the quarter, for the Southern, Eastern and Central regions, a total of six international Advisors and five national specialists lead technical assistance and capacity development teams across Afghanistan's 34 provinces. This is insufficient, but a notable improvement given the continuous staff shortages that the project experienced in 2011. The project, with the support of donors and stakeholders, intends to recruit several additional international governance advisors in Q4.



Figure 5: one-day public accountability forum in Kapisa Province

Bamyan Provincial Council's Oversight Ensures Safe Schooling for 800 Students

(see front page photos).

Provincial Councils are democratically-elected entities that oversee essential public services such as health and education at the local level, and mediate and resolve disputes.

ASGP supports Bamyan Provincial Council through technical and financial support and capacity development. The project also established the Provincial Council's Monitoring Team in the province in 2010, to oversee development activities, public services delivery, and line departments. The PMT in Bamyan consists of seven members, two male and female PC members, one PC Engineer and one administrative operations staff, as well as one PGO Tashkeel staff, who all jointly go out on monitoring missions in the districts.

Success Story PMT- Bamyan

In April 2011, the PMT visited the Sayed Abad Primary School, one of the largest schools in the Province, with more than 2000 students –three quarters of them female.

Yet the PMT discovered that the school lacked six additional classrooms to accommodate 800 students in the safe and secure environment conducive for education.

The school principal told the Provincial Council members that the dire shortage had persisted for year, affecting students' achievement.

"For three years many of the students were being taught in outdoor tents during the dusty and dry hot summer. They were often sick and they had low grades", the Headmistress told the PMT.

Bamyan's Provincial Council Chair, and also the Chair of the PMT, immediately realised the harm that such a lack of classrooms would have on children's education. The harm is compounded by Bamyan's harsh seasons, where the summer sun scorches the ground, and winter snow brings freezing temperatures, avalanches, and frostbite.

But there was another problem. Although, the school "was in dire need of additional classrooms that needed to be constructed immediately by expanding the school", a neighbour had claimed the adjacent vacant land, claiming customary title. "The neighbour refused to allow the school construction, as he claimed he wished to use it for a future family cemetery".

The PMT called a meeting, hoping to resolve the conflict through the Provincial Council's age-old approach of mediation. Yet the purported landowner refused to attend.

Undeterred, the PMT called a second meeting, and also invited district and local leaders, elders, and mullahs, as well as the landowner. The Provincial Council's PMT led hours of discussion and mediation among all parties, and Mr. Alam, the landowner, finally agreed to donate the land, enabling the construction of the classrooms.

One female student said that in the summer, "we were chasing the shadow (inside the tent); in the winter we were often sick, as it was cold. Now, in this classroom, it is much better".

The female Principal of Sayed Abad's School says that the Provincial Council and the ASGP support to the PMT was key to resolving the dispute and ensuring a safe and successful education for one of the Province's largest schools.

"With the help of the Provincial Council and other members in Bamyan Province", she said, "the issue of the land for the school was solved peacefully, and now the land is under the Education Department's property and we can use that for additional extra classes to expand the school buildings further".

The female principal encourages all Afghans to call on the Provincial Council to oversee vital social services and peacefully resolve disputes:

"I believe, and also advice others as well that for resolving of such similar conflicts and problems, they can approach the Provincial Council in the province and discuss the issue with them, as they are the only body capable of gathering people and convincing people on any type of conflicts, and finding the right solutions, and making things fair".

1. FINANCIALS

By end of Q3, a total of USD 5,297,236 was spent for this output out of an annual budget of USD 13,205,317, i.e. approximately 40 percent of the entire allocated budget. For additional details, please look at Annex 1 and Annex 2.

2. RISKS

Absence of adequate laws and regulations

The Provincial Governors Offices, District Governors Offices, and Provincial Councils engage in a range of activities to exercise their mandates as per the Subnational Governance Policy and National Priority Programme for Local Governance. However, there is an absence of adequate laws and regulations that clearly specify the Governors' coordination functions, and the PCs' oversight responsibilities vis-a-vis the line departments, and other subnational institutions. This limits the effectiveness and sustainability of the activities.

Mitigating measure

ASGP continues to work with IDLG central, and provincial partners, to accelerate the passage of legislation and regulations and to develop policy that will clarify the roles and responsibilities of subnational entities.

Reduced UNAMA Footprint

The scaling down of UNAMA operations and particularly the termination of some regular flights has made it more difficult for ASGP and UNDP staff to reach some of the provinces, reducing the effectiveness and quality of ASGP international technical assistance.

Mitigating measure

ASGP continues to have access to regular UNHAS flights, and can use other airlines on a case by case basis. ASGP is exploring greater use of road travel. ASGP has also engaged a Political Advisor, who leads UNAMA's transition policy, to provide operational and strategic advice. ASGP will also rely more on LoAstaff in the provinces. ASGP is also working with all international partners – who all face similar operational constraints ahead of transition- to forge a sustainable solution.

Earmarking

Certain donors' directives that aid be allocated to specific regions and provinces skews distribution of resources and technical support across the provinces, and creates what the UNDP globally refers to as "pockets of exclusion". Resource allocation to the provinces should be based on objective criteria which takes into account both equity and performance factors. Disregarding this fundamental tenet of development policy may contribute to instability in the country and undermine project and UNDP goals for Afghanistan.

Mitigating measure

UNDP and ASGP will continue to educate all stakeholders and partners about the value of support that is not earmarked. At the same time, ASGP will attempt to retain sufficient budget flexibility to ensure that the project can effectively deliver development and governance results across all provinces.

3. ISSUES

The detailed documentation required to satisfy the Standard Operating Procedures (SOP), the protracted (but ultimately successful) negotiations with IDLG over the SOP, and staff shortages in certain provinces, undermined the speedy and effective liquidation and provision of advances.

The recruitment and contracting of provincial LoA staff has involved some de-concentration, as IDLG involved subnational entities evaluation and identification of LoA staff. Ideally, the staff posts and their TORs should have been identified more thoroughly grounded in an assessment of the needs and capacity gaps of each of the provinces, and the recruitment should have followed consistent and systematic criteria and processes. This shortcoming may have compromised the calibre of some LoA staff. The Ministry of Finance is establishing guidelines that should inform recruitment and payment of staff supported by the international community, which the Government says should be operationalized by the end of the year. The UNDP Country Office is also developing new policies and guidelines on LoA staff, to be implemented from the close of 2012, which should address these issues.

4. LESSONS LEARNED

A degree of absence of ASGP staff and an historic lack of coordination between UNDP/ASGP and IDLG meant that some **LoA staff** in certain regions did not receive proper guidance on the SOP. The LoA staff, however, are highly motivated and willing to learn and implement new skills and knowledge. ASGP regional teams' continued promotion of structured trainings and on-the-job follow-ups and guidance will realize the potential of the LOA staff modality, and provide more effective capacity development support for the subnational entities.

5. FUTURE PLAN

ASGP will continue the Q3 activities and highlights outlined above. In particular, ASGP and IDLG will continue jointly developing guidelines and policy documents for improving the clarity and quality of provincial-level ASGP activities.

The SOP, completed in Q3, will allow ASGP during Q4 to accelerate LoA activities, for capacity development, technical support, and limited equipment purchases. ASGP will conduct a financial capacity assessment of the Provincial Governors Offices and Municipalities as per the UNDP global rules.

The TOR is due to be advertised during Q4, with the work beginning in early 2013. This assessment will help UNDP/ASGP and government partners to review the readiness of the subnational entities in managing LOA advances in compliance with government rules and procedures. The analysis may suggest additional risk mitigation measures and/or enhanced technical assistance.

Table 2: Output 2: Q3 2012 Progress

Note: The figures are cumulative numbers or percentages of products or achievements.

2012 Baseline	2012 Annual Targets	Q2 Actual	Q3 Planned	Q3 Actual	Q4 Planned	Comments
(1) Draft CD Plans for five provinces prepared;	(1) CD Plans for 17 provinces prepared and under implementation	8	10	8	10	On track: Systematic capacity development support based on the CDPs will contribute to strengthening of the PGOs and in their collaboration with relevant sub-national entities in implementing good governance at the sub-national level
(2) PSPs for two provinces prepared;	(2) PSPs for ten provinces prepared	4	6	6	8	On track: PSP and PDP modalities may change during the year because of on-going discussions between IDLG and MoEc, which will be assisted by ASGP. The targets will then be modified accordingly.
(3) PDPs for eight provinces prepared;	(3) PDPs for twenty provinces prepared	24	28	25	30	
(4) Number of provinces with Citizen Service Centres - 1;	(4) Number of provinces with Citizen Service Centres - 6;	1	1	1	3	1- Balkh CSC: completed. 2- Samangan CSC: completed by 80 %. Waiting for LOA funding for full completion. 3- Saripul CSC: completed by 80%. Waiting for LOA funding for full completion. 4- Jawzjan CSC: completed, but not with ASGP support. 5- Faryab CSC: waiting for LOA funding to be initiated.
(5) 23 PGOs and 25 DGOs have introduced administrative systems in accordance with IDLG operating manuals	(5) 30 PGOs and 175 DGOs introduce administrative systems in accordance with IDLG operating manuals	PGOs: 23 DGOs: 25	PGOs: 25 DGOs: 30	PGOs: 25 DGOs: 30	PGOs: 27 DGOs: 35	Largely on track for the PGOs: Completing the work for the DGOs hinges on the speed of ASGP regional staff recruitment and security situations.

C. OUTPUT 3: Democratically elected Municipal administrations are collecting revenues and delivering basic services under an improved organizational framework by 2014

During Q3 ASGP's municipal component continued to deliver across fields of capacity development, service delivery, and governance, accountability and public outreach. Capacity development activities focused on institutional, organizational and individual areas, including administrative and management practices, local level plans and strategies, and promotion of best practices, while service delivery included revenue enhancement and sustainable environment initiatives. Municipal governance, accountability, and public outreach initiatives included public forums and support to the development of Gozar organizations and Nahia councils, as per the subnational governance policies, a focus on municipal and citizen/ customer engagement, and coordination with stakeholders and partners.

Q 3 highlights include:

Capacity development involved needs assessment and capacity development plans and trainings at municipalities in provincial capitals and in districts, as well as at community Nahia and Gozar levels. A Municipal Development Plan is composed of Nahia Development plans, which in turn is composed of elected Gozar or informal neighborhood units.



Figure 1: Comparative views of municipal archive in Maimana

The Gozar prepare their respective profiles and developments plans, and a number of Gozar units comprise a Nahia, a formal municipal unit with government officials, who prepare Nahia Development plans, which contribute to the Municipal Development Plan.

A Municipal Development Plan was prepared for Panjshir (Bazarak) based on a community-based approach involving consultations with Gozars and line departments. The plan profiles the municipalities and identifies development objectives and – after receiving the endorsement of the provincial administration - directs all development actors in Panjshir municipal area.



Figure 2: View of PAR orientation workshop in Mazar-I-Sharif Municipality

In Jalalabad, Herat, Mazar-I-Sharif and Bamyan, building upon Gozar profiles and development plans, the ASGP municipal component supported preparation of a number of Nahia Development Plans, including several in Herat, and others in Mazar-I-Sharif, Jalalabad and Bamyan. At Gozar level, ASGP supported the preparation of 84 Gozar profiles and developments, especially Mazar-I-Sharif (25) and Herat (38), as well as Jalalabad, Kunduz, Panjshir and Mehtarlam.

Capacity Development Plans (2012-2015) were finalized for four municipalities (Aqcha, Charikar, Nili and Torkham) and drafted for two district municipalities in Herat (Gozara and Enjil). The Capacity Development Plans, endorsed by the General Directorate of Municipal Affairs (GDMA) of ASGP's

central government partner IDLG, are supposed to serve as national templates for capacity development throughout all tiers and types of municipal administrations.

ASGP supported the formation and capacity development of Gozar organizations and Nahia Councils during Q3 largely Gozar organizations in Mazar-I-Sharif and Herat (40 and 25 respectively) and in Jalalabad and Mehtarlam, and with Nahia councils in Herat and Mehtarlam, (two and one). Municipal community governance structures in Herat had been comprehensively supported with the establishment of the twelfth and final Nahia Council in Herat.



Figure 3: Views of public awareness campaign in Mehtarlam by volunteer school youths collaborating with the municipality

Capacity development focused, at the Gozar and Nahia levels, on profiling and planning, while ASGP-supported capacity development activities in more developed municipalities focused on broader activities such as the municipal office mandate and business practices.

During Q3, ASGP continued to support revenue enhancement and sustainable environment initiatives, and also support organizational restructuring and pay and grading reform (in line with IDLG-Afghan Civil Service Commission policy). Support to organizational reforms during Q3 focused on the municipalities of Mazar-I-Sharif, Jalalabad, Herat and Bazarak 'Panjshir', and included orientations on municipal personnel roles, realignments of TOR and office restructuring, and support to initiatives to increase youth and women employment and internships. Support to performance and revenue improvement action plans extended to the revenue departments of Bamyan and Nili.



Figure 4: View of Deputy Governor Speech in Farah public accountability programme

Sustainable environment initiatives include support to municipalities' management of solid waste, through technical assistance, orientation and training, and to support municipal construction and urban infrastructure strategic plans. This support largely consisted of technical assistance and capacity development, although it also included the initiation of construction of a municipal customer service centre in Mazar-I-Sharif, to promote a customer-oriented service culture and improve organizational effectiveness.

ASGP provided technical advice on engineering and project design and monitoring of development projects implemented by municipal stakeholders, particularly in Mazar-I-Sharif, Kunduz, Sheberghan, Saripul, Maimana, Faizabad, Bazarak, Bamyan, Nili, Jalalabad, and Farah. ASGP supported an Environmental Impact Assessment of Mazar, conducted jointly by Municipal staff, Balkh University, and the province's Environment Protection Agency. Policy support also included cleaning and greening action and performance plans for a number of municipalities; ASGP will support the implementation of these plans once they are approved (Mazar-I-Sharif, Farah, Asadabad, Mehtarlam, Bamyan, Bazarak and Mahmood Raqi municipalities).



Figure 5: Training provided to the municipal managers of Jalalabad

Municipal governance, accountability, and public outreach initiatives included public forums and support to the development of Gozar organizations and Nahia councils, as per the subnational governance policies. ASGP assisted IDLG in preparation for municipal elections, by preparing city maps and profiles in Bamyan, Bazarak, Kunduz and Mazar-I-Sharif municipalities (the assistance is provided by ASGP's Letter of Agreement-supported engineers in certain municipal offices).

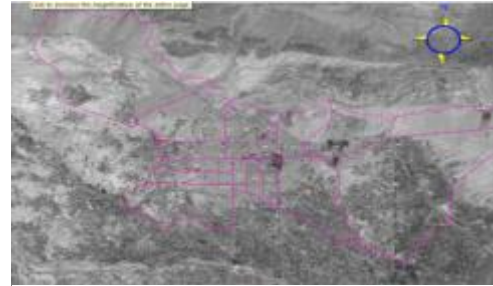


Figure 6: Delineated city map of Herat with its Nahias

ASGP continued to support municipal accountability and engagement with civil society, especially among youth, students, and women. In municipalities such as Farah, Asadabad, Mahmood Raqi, and Faizabad, accountability forums involved municipal officials, line department representatives, and community members, who assessed municipal services and results and contributed to municipal plans. ASGP supported municipalities to design and deliver trainings to youths, civil societies, women and Mullahs to promote awareness of municipal mandates, challenges, and responsibilities from Islamic and legal perspectives. In addition to public outreach and civil society engagement, ASGP also supports citizen and customer feedback surveys to provide inputs into capacity development plans and to assess municipalities' performance, and support to municipalities' monthly newsletters and magazines, and annual reports (Mazar, Asadabad, Nili, Faizabad, Maimana, Aqcha, Aybak). During Q3, this support expanded to Maimana, Mazar-I-Sharif, Bamyan, Jalalabad, Mehtarlam, Asadabad, Nili, Mahmood Raqi, MaidanShahr and Bazarak municipalities. ASGP supported junior municipal elections and municipal committees in schools where young students are elected mayors, deputy mayors and assistants and, mirroring local officials, work in municipal areas such as cleaning and greening, planning, and civic outreach. The children learn leadership and job skills, and about participatory governance. During Q3, ASGP supported the development of 14 additional school municipal committees (4 in Bamyan, 1 in Bazarak, 2 in Mahmood Raqi, 1 in Asadabad, 4 in Jalalabad and 2 in Maimana). In this period, the Education Department and District Governors' offices signed anMoU for rolling out School-Municipal Committees initiative throughout the district municipalities of Herat (Gozara and Enjil).



Figure 8: Views of Customer Satisfaction Survey in Gozaradistrict municipality in Herat Province



Figure 7: View of a Project briefing on the construction design for a Citizen Services Center contractor in Mazar-I-Sharif

The project continued to strengthen its partnership with IDLG's General Directorate of Municipal Affairs, by embedding ASGP technical experts in the Kabul office. In the provincial municipalities, ASGP and LoA municipal specialists regularly work with other stakeholders to maximise results, share work plans, and minimize duplication.

Table 3: Output 3: Q3 2012 Progress

2012 Baseline	2012 Annual Targets	Q1 Planned	Q1 Actual	Q2 Planned	Q2 Actual	Q3 Planned	Q3 Actual	Q4	Comments
(1) Improving capacity of municipalities to generate own source revenues	Revenue generation and management improved in 55% of municipalities; Additional 13 municipalities have revenue enhancement strategies	20%	15%	40%	35%	70%	45%	100%	Delay in release of fund due to amendment of LOA to current municipalities created a big obstacle in achieving the targets as it did in 2 nd quarter.
(2) Improving municipal capacities to apply minimum service standards	Minimum service standards prescribed; One stop shop built Performance management system in place Improved waste management system in additional 10 municipalities	25%	15%	30%	20%	70%	45%	100%	ASGP roll out to additional municipalities has not started yet, fund release to earlier ones is yet to happen, this delay was due to amendment of LOA which took almost more than 5 months. PSU did not accept the previous arrangement for municipality for LOA fund process.
(3). Organizational restructuring of municipalities to improve service delivery	Municipalities are restructured; Additional 12 capacity development plans prepared; Access to modern work facilities increased in additional 8	10%	5%	20%	15%	75%	40%	100%	The delay in ASGP roll out is affecting the access of additional municipalities to modern work facilities

	municipalities								
(4) Strengthen outreach programme	Public participation and communication programme or strategies developed for additional 10 municipalities; Additional 200 community-based governance structures established; Customer satisfaction surveys conducted Manuals and guidelines for planning and budgeting	25%	25%	50%	40 %	75%	65%	100%	ASGP roll out to additional has not started yet, fund release to earlier ones is yet to happen
(5) Strengthening modern office management systems	Operating Manual developed and introduced thru trainings; office management systems improved in additional 8 municipalities	20%	20%	35%	25%	75%	35%	100%	ASGP roll out to additional has not started yet, fund release to earlier ones is yet to happen Same as above.
(6) Creation and maintenance of a functional website and e-government applications	Website with e-applications designed and functional for additional 4 municipalities; email system in place for 5 municipalities; Additional 8 municipalities connected to internet	25%	35%	50%	50%	75%	65%	100%	ASGP roll out to additional has not started yet, fund release to earlier ones is yet to happen (same as above)

1. FINANCIALS

By end of Q3, a total of USD1,201,309 was spent for this output out of an annual budget of USD 3,933,852 i.e. approximately 31 percent of the entire annual allocated budget. For additional details, please see Annex 1 and Annex 2.

2. RISKS/ISSUES

Yes, delay in fund release was a serious issue for this output, however, it was solved late this year but we want any LOA amendment or any other requirement for fund release to municipality to take place as early as possible so that the component can send the fund on time to implement the program.

At present USAID's RAMP-UP Programme and ASGP are often duplicating each other in the delivery of capacity development programmes in provincial municipalities; Mitigation measures include joint regular technical working meetings led by GDMA in Kabul and coordination in the field between ASGP and RAMP-UP.

No significant donor is providing support to District Level municipalities;
IDLG's Municipal Directorate needs to expand its activities at District Level;
For additional information on other external risks, and potential remedial actions please see the Risk Log, Annex 4.

3. FUTURE PLANS

ASGP's Municipal Component will be expanding its direct support to eight additional municipalities (Faizabad, Taloqan, Saripul, Aybak, Charikar, Nili, Cheghcheran and Qala-e-Naw). Their activities will include:

Continued support to the development of E-governance systems for municipalities and IDLG

National Mayors conference (Kabul) is to be held in Q4;

Placement of ASGP staff in the Municipal Directorate at IDLG;

Continued support to development of municipal strategies and plans and outreach initiatives;

Support setting of service standards and key performance indicators;

A focus on supporting District Municipal structures, particularly those identified by the Afghan Government as strategically important and to be introduced in 2012; ASGP's Municipal Component will focus its expanded delivery at the district rather than provincial level. This new initiative will be discussed with IDLG and other providers like USAID's RAMP-UP programme.

II. ANNEXES

ANNEX 1: FINANCIAL TABLE

Donor	REVENUE					EXPENSES AND COMMITMENTS				BALANCE	Remarks
	Commitment (a)	Total Received (b)	Total Receivable c=(a-b)	Carry Over (d)	Total Resources e (b+d)	Cumulative Expenses as of June 2012 (f)	Total Expenses (July -Sep 2012) (g)	Commitments (h)	Total Expenses & Commitments i = (f + g+h)	Balance j=(e-i)	
AusAid	1,000,000	1,000,000	-		1,000,000	464,456	75,905	-	540,361	459,639	
SDC (Switzerland)	3,835,636	3,835,636	-		3,835,636	2,031,351	373,202	720	2,405,273	1,430,363	
Italy	1,965,924	1,965,924	-	600,000	2,565,924	1,607,255	337,044	-	1,944,299	621,625	
European Union	15,831,554	15,810,203	21,351		15,810,203	6,217,045	3,073,511	43,510	9,334,066	6,476,137	
Japan	4,989,196	4,989,196	-		4,989,196	-	411,513	-	411,513	4,577,683	
UNDP	5,020,680	5,020,680	-		5,020,680	76,299	1,839,958	766,734	2,682,991	2,337,689	
Grand Total	32,642,990	32,621,639	21,351	600,000	33,221,639	10,396,406	6,111,133	810,964	17,318,503	15,903,136	

- Note:
- i) Cumulative expenses as of march 2012 is actual (column f)
 - ii) Expenses reported for the accounting period of April to June 2012 is provisional.
 - iii) Income received in currency other than USD is approximated to USD based on UN- Operational Rate of Exchange applied.

ANNEX 2:EXPENSES BY OUTPUT

Project Output	2012 Budget (AWP)	Expenses (July-Sep. 2012)	Cumulative expenses (Jan-Sep. 2012)	Delivery Rate	Remarks
Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	3,518,521	1,491,149	2,511,500		
General Management Service (GMS) Fee (7%)	41,577	6,516	77,941		
Sub-total Output 1	3,560,098	1,497,665	2,589,441	73%	
Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	12,379,448	3,577,690	4,957,901		
General Management Service (GMS) Fee (7%)	825,869	242,721	339,335		
Sub-total Output 2	13,205,317	3,820,410	5,297,236	40%	
Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	3,731,056	533,966	1,140,226		
General Management Service (GMS) Fee (7%)	202,796	20,746	61,083		
Sub-total Output 3	3,933,852	554,712	1,201,309	31%	
Output 4: ASGP management and technical support cost	1,278,293	228,906	890,763		
General Management Service (GMS) Fee (7%)	38,549	9,440	52,530		
Sub-total Output 4	1,316,842	238,346	943,294	72%	
Grand Total	22,016,109	6,111,133	10,031,280	46%	

ANNEX 3: EXPENSES BY DONOR

Donor	Project Output	2012 Budget (AWP)	Expenses (July-Sep. 2012)	Cumulative expenses (Jan-Sep. 2012)	Balance	Delivery Rates
AusAid	Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	-	-	-	-	
	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	635,652	70,939	206,083	429,569	32%
	General Management Service (GMS) Fee (7%)	44,496	4,965.75	14,425.84	30,070	32%
Sub-Total		680,148	75,905	220,509	459,638	32%
European Union	Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	254,827	70,133	1,084,850	(830,023)	426%
	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	6,937,273	2,617,214	3,840,195	3,097,078	55%
	Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	688,074	61,204	554,512	133,562	81%
	Output 4: ASGP management and technical support cost	483,901	123,890	694,397	(210,497)	144%
	General Management Service (GMS) Fee (7%)	582,212	201,070.83	432,176.79	150,035	74%
Sub-Total		8,946,287	3,073,511	6,606,131	2,340,156	74%
Italy	Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	113,474	22,955	22,955	90,519	20%
	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	600,771	272,024	288,243	312,528	48%
	Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	197,926	20,015	20,015	177,911	10%
	General Management Service (GMS) Fee (7%)	63,852	22,049.63	23,184.91	40,667	36%
Sub-Total		976,023	337,044	354,398	621,625	36%
Japan	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	3,204,000	320,709	320,709	2,883,291	10%

Donor	Project Output	2012 Budget (AWP)	Expenses (July-Sep. 2012)	Cumulative expenses (Jan-Sep. 2012)	Balance	Delivery Rates
	Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	1,392,000	52,918	52,918	1,339,082	4%
	Output 4: ASGP management and technical support cost	66,800	10,965	10,965	55,835	16%
	General Management Service (GMS) Fee (7%)	326,396	26,921	26,921.40	299,475	8%
	Sub-Total	4,989,196	411,513	411,513	4,577,683	8%
SDC (Switzerland)	Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	225,662	-	5,634	220,028	2%
	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	467,187	186,553	192,419	274,768	41%
	Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	619,091	162,234	245,164	373,927	40%
	Output 4: ASGP management and technical support cost	-	-	45,073	(45,073)	
	General Management Service (GMS) Fee (7%)	91,835.45	24,415.06	34,180.41	57,655	37%
	Sub-Total	1,403,775	373,202	522,472	881,303	37%
UNDP	Output 1: National systems, procedures and legal frameworks to implement, coordinate and monitor the SNGP are in place	2,924,558	1,398,061	1,398,061	1,526,497	48%
	Output 2: PGO/DGO have capacity to lead and develop plan, programme and implement strategies for improving governance, development and security in accordance with ANDS	534,565	110,252	110,252	424,313	21%
	Output 3: Municipalities have improved institutional and organizational framework and capacity to collect increasing revenues and deliver basic public services by 2014	833,965	237,595	267,617	566,348	32%
	Output 4: ASGP management and technical support cost	727,592	94,051	140,328	587,264	19%
	General Management Service (GMS) Fee (7%)	-	-	-	-	
	Sub-Total	5,020,680	1,839,958	1,916,257	3,104,423	38%
	Grand Total	22,016,109	6,111,133	10,031,280	11,984,829	46%

ANNEX 4: ACTIVITY

Activity	Description of Result	Progress
<p>1.1 IDLG fiscal/financial management, budgeting and internal audit system strengthened SNG Fiscal Management</p>	<p>In Q3, ASGP provided advisory services through the embedded international staff as well as funding local specialist consultants working in IDLGs' Policy Directorate, engaged in SNG Fiscal Management issues as well as strengthening of the Policy Directorate itself. An indicator, no.12, was established by IDLG, as it was appointed the lead agency by the Ministry of Finance, to follow up on the implementation of sub-governance related recommendations endorsed under the Tokyo Conference, including financial devolution at the sub-national level. No stand-alone results achieved during this quarter.</p>	<p>Continuous support activity during 2012</p>
<p>1.2 IDLG critical institutional functions developed including audit, M/E, knowledge management, organisational performance management SNGP Legal Framework</p>	<p>ASGP also continued providing advisory services through embedded international staff at IDLG; as well as funding local specialist consultants working in IDLGs' Finance and Administration Directorate with issues inter alia pertaining to functions and skills linked to audit, M&E, knowledge management, organisational performance management. In Q3, an implementation framework for the National Priority Programme for Local Governance was developed in IDLG, supported by ASGP (by establishing recommendations for realigning IDLG Organizational structure to meet the NPPLG deliverables). An indicator, no.11, was established by IDLG, as it was appointed the lead agency by the Ministry of Finance, to follow up on the implementation of sub-governance related recommendations endorsed under the Tokyo Conference, for strengthening the Legal Framework at the sub-national level. ASGP is supporting this deliverable. There is an official published schedule when pending laws for revision to be finalized (The Office of the President of Islamic Republic of Afghanistan "Decree on the execution of content of the historical speech of June 21, 2012 in the special session of National Assembly": "8th-The Independent Directorate of Local Governance..."). Cabinet approval for the Provincial Council Law was granted, and the law was submitted to the Parliament. The Local Government Law was also submitted to the Parliament. The Municipality Law has, in the spirit of the Presidential Decree been shared with the Ministry of Justice. IDLG, expects that approval from the parliament on this three laws relating to sub-national governance will be granted before the end of 2012</p>	<p>Continuous support activity during 2012</p>
<p>1.3 IDLG establishes performance assessment and incentive mechanism for PGO/DGOs Human Resource Development PAR</p>	<p>Funding support was provided to the HR Directorate and the ALGFP Directorate of IDLG, as well as local specialist consultants continued assisting in strengthening IDLGs Public Administrative Reform initiatives in the PGO/DGOs based on merit based recruitment, as well as supporting the establishment of performance assessments of PGO/DGO staff. During Q3, inter alia, 14 district governors participated in a study tour to India during the quarter in the "Provincial Training Programme (PTP)".</p>	<p>Continuous support activity during 2012</p>

Activity	Description of Result	Progress
<p>1.4 IDLG units' capacity enhanced through needs based training and exposure visits (national and international)</p> <p>Institutional CD</p>	<p>Provision continued as planned of Capacity Advisory support, supporting the capacity development of IDLG units via funding of local specialists in developing and implementing Provincial Development Plans (see PGO/DGO outputs for details on additional plans produced). Added to that, ASGP supported the CIDD Directorate through funding of local specialists in capacity development, as well as the conduct of future study tours and exposure visits (national and international), seminars and workshops i.e. institutional capacity development. During Q3, several initiatives were continued undertaken, e.g. training of district governors through series of programmes of 17 "Provincial Training Programmes" at least 258 Afghan civil servants in 2012.</p>	<p>Continuous support activity during 2012</p>
<p>1.5: Support to IDLG</p>	<p>No new results, funding is on-going supporting 87 core technical staff at IDLG for delivering on IDLGs mandate, and contributing to the deliverables under the on-going IDLG realignment inline with the NPPLG.</p>	<p>Completed by the end of Q2, 2012.</p>
<p>2.1 Support to PGOs through technical staff</p> <p>Technical Support to PGOs</p>	<p>Funding agreement was reached with IDLG in Q2 (Provincial LoA Modality) on supporting technical specialists embedded and strengthening of the PGOs and the further implementation of provincial activities as per agreed quarterly work plans. Recruitments were undertaken in Q3.</p>	<p>Continuous support activity during 2012</p>
<p>2.3 Support to PGO/DGOs to enhance efficiency through equipment support</p> <p>Office Infrastructure of PGOs/DGOs</p>	<p>Provision of office infrastructure i.e. office equipment, communication and audio-visual equipment, furniture and supplies to the 34 PGOs; as well as office management support funding, created conducive institutional environment for more efficient public service delivery. Progress has not been as planned in the supply of office infrastructure, due to delays in the approval of the Annual Work Plan of ASGP for 2012. Hence, procurement activities are expected to increase during especially Q4</p>	<p>Office infrastructure items procurement delayed. Continuous office management support activity during 2012</p>
<p>2.4 Provincial Strategic plan, provincial profile and year book developed, printed and disseminated</p> <p>Provincial Databases</p>	<p>PGO/DGO Capacity Development for planning, advocacy and database development workshops to be conducted, as well production of audio-visual and printing of related items for capacity development initiatives have recorded significant progress in Q3 and will continue during the remaining of 2012.</p>	<p>Commenced in Q2, 2012.</p>
<p>2.5 Provincial level capacity development working group and governance group established and capacity development strategy established</p> <p>Provincial CD Groups</p>	<p>Capacity Development workshops, Training of Trainers conducted at provincial level which have occurred in Q2, 2012, will be continued in Q4. Additional, technical capacity support was provided via international and national specialists for strengthening provincial level capacity development and strategy formulation during the entire 2012.</p>	<p>Workshops, seminars and trainings to be continued in Q4, 2012. Continuous support activity during the entire 2012</p>
<p>2.6 Provincial level annual planning, budgeting, review meeting and workshops organised to strengthen sub-national planning and budgeting</p> <p>Provincial Planning</p>	<p>Provincial level planning and budgeting and performance measurements undertaken, as well as the provision of technical support to PGOs for strengthening local governance and implementation of SNGP via enhanced planning capacities of PGOs, supported by international technical specialists, and by issuing of individual contractual services for technical assistance specialists for strengthening local governance and implementation of SNGP.</p>	<p>Continuous support activity during the entire 2012</p>
<p>2.7 Establishment of Citizen Service Centres in select provincial governor office on a pilot basis</p> <p>Citizen Service Centre</p>	<p>Establishment of City Service Centres on a pilot basis to be continued in Q4 of 2012. A city service centre became operational in Q1 in Mazar-I-Sharif.</p>	<p>One CSC established in Q2 and to be continued in Q3, and Q4, 2012.</p>

Activity	Description of Result	Progress
2.8 Regional and Provincial Councils' fora established and their capacity built to act as knowledge sharing platform PC Forum	Capacity of Provincial Councils further developed for networking and knowledge management. PC Networks are being established and meetings occur on a recurrent basis. Additional progress has been recorded in the Q3, with several PC consultative meetings taking place.	Continuous support activity during 2012
2.9 Staff support to Provincial Council PC Staffing	Provincial Councils are supported through a dual approach at the central level by funding local technical consultants at the General Directorate of Local Councils (GDLC), as well as supporting institutional strengthening of the GDLC via support also to rental, and maintenance of premises and during the entire 2012. Added to that funding is being provided in Q3 and Q4 for technical resources linked to human resources management.	Continuous support activity during the entire 2012
2.10 NGOs/CSO/DDA representatives forum established by Provincial Council towards effective development communication & collaboration NGO CSO PC Forum	Civil society and community linkages through the conduct of workshops, seminars and trainings with participation of PC members, civil society representatives and provincial community representatives took place in Q3 and are to be continued in Q4, 2012.	Commenced as of Q3, and continued in Q4, 2012.
2.11 PCs supported with office equipment for effective M&E of service delivery Office Infrastructure PC	Institutional strengthening support was undertaken through development of office infrastructure. Including provision of equipment, furniture and various supplies to undertake M&E provincial oversight tasks as of Q3 and being continued in Q4, 2012	Commenced as of Q3, and continued in Q4, 2012.
2.12 Pilot M &E system for service delivery in provincial government entities M&E by PC	Establishing of Public Accountability Forums in additional provinces, as well as facilitation of the introduction and enhancing of existing M&E oversight capacities of public services delivery in those provinces. Continued progress recorded	To be commenced as of Q2, and continued in Q3 and Q4, 2012.
2.13 Provincial Councils trained on results-based management, M&E in the light of the SNG policy PC Training	Training programmes conducted on Results-Based Management, M&E linked to the capacity development objectives of the SNGP for all 34 provinces	Continued in Q3, and Q4, 2012.
2.14: Provincial Development Fund (PDF)	Local development initiative commenced in Uruzgan Province linked to a provincial development fund, with small scale grants as of Q3 and continued in Q4, 2012	Commenced as of Q3, and to be continued in Q4, 2012.
2.15: Support to Provincial Government Office (PGO) and District Government Office (DGO).	Transfer the 2011 due advances to the PGOs under the Letter of Agreement modality. Advances, are to mainly fund local specialist consultants within the PGOs, as well as the conduct of workshops office equipment and supplies to PGOS. Advances made in Q3	To be completed as of end of Q4, 2012.
2.16: Support to Provincial Councils (PC) and District Councils (DC).	Transfer process initiated of the 2011 advances to the PCs/DCs as per the Letter of Agreement. Funding process initiated supporting the conduct of workshops, purchase of office equipment and supplies to PCs/DCs, in addition to local specialist consultants within the PCs/DCs, as well. No advances made in Q2 due to the late AWP 2012 approval.	To be completed in Q4, 2012.
3.1: Capacity development needs assessment conducted and Capacity Development Plans developed and implemented for provincial and district municipalities	Municipal development planning exercises are progressing well. Funding assistance is a good support to capacity development through local technical experts embedded in municipalities. Furthermore, continued progress has been recorded in capacity development planning initiatives and needs assessment for the municipalities. Exposure visit of eastern municipalities to Mazar-I-Sharif was	Continuous support activity during 2012. Twinning arrangements to be

Activity	Description of Result	Progress
Municipal CD	organized and inter-municipal cooperation for peer-to-peer education was initiated. International exposure visits and twinning arrangements with foreign municipalities are to be established over the coming quarters. Additional human resource capacity needs assessments of municipalities for formulation of capacity development plan to be made during the coming months.	initiated as of Q3, 2012.
3.2: Reorganisation of municipalities; support PAR for municipalities for improved service delivery. Develop municipal systems and procedures such as citizen service evaluation, one-stop shops. Municipal PAR	Good progress in the introduction of organizational municipal analysis, and re-engineering of business processes, as well as the development of operating manuals, and customer satisfaction surveys supported by embedded local technical specialists in municipalities. Promotion of self-help initiatives are also advancing well in municipalities as within the IDLG Directorate of Municipal Affairs and institutional strengthening of the GDMA through rental support to physical premises. Customer Service Centres' establishments are supported as of Q2, 2012. The provision of equipment and furniture required municipal garbage collection supported in Q3, 2012.	Continuous support activity during 2012.
3.3: Support for information sharing and networking for municipal staff. Municipal E-Governance	Progress recorded in the provision of internet connectivity in the quarter. Progress has also been recorded in areas linked to the formulation of communication, development and management plans for enhanced partnership and aid coherence linked to workshops and contractual service arrangements. E-governance applications, software and databases inter alia, supported in the Q3, and rest of 2012. Advances recorded in Q3.	Continuous support activity during 2012.
3.4: Strengthen financial management of municipalities, and support revenue improvement action planning. Municipal Financial Management	Municipal Unit continued the support in developing Revenue Improvement Action Plan and budget related planning activities by progressive development while introduce revenue, safayi and aid coherence databases of databases, as well as the continued registration of properties linked to Safayi taxation collection. Workshops were organized on financial management and budgeting, as well as the promotion of transparency and accountability of financial practices through public accountability hearings. This was made possible through funding support to technical specialists producing and sharing financial management systems (databases), as well as sharing in the conduct of workshops and Public Accountability Hearings. Continued progress in Q3.	Continuous support activity during 2012.

A. ANNEX 5: RISK LOG

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
1	Low capacity and insufficient number of qualified staff in the PGO,DGO, PC's and Line Ministerial Departments in all 34 provinces of Afghanistan to efficiently implement ASGP deliverables	28 Feb 2011	Organizational	Impact=3 Probability=5	To train and mentor the sub-national government tashkeel staff via ASGP LoA embedded staff and develop special arrangements to attract qualified staff, particularly in lesser developed provinces, including civil servant relocation (eg civil service relocation grant). Assist IDLG, PGO/DGO in a better selection process of recruitment of competent LoA staff supporting the PGO,DGO, PC's and Line Ministerial	Regional Teams	Regional Teams	Decreasing
2	Weak coordination between the PGOs, DGOs, PCs and Line ministries adversely affecting the achievement of deliverables.	Jan 2012	Organizational	Impact=3 Probability=3	Strengthening coordination among the concerned stakeholders, through establishing integrated standing cross consultative/advisory mechanisms to deal with specific planning exercises. Support IDLG initiatives contributing to a better delimitation of roles, duties and responsibilities, inter alia PC Law consultations.	Regional Teams	Regional Teams	Decreasing

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
3	Inadequate monitoring and evaluation practices significantly reduce the positive effect of introduction of new management procedures and practices in provincial and district governors' offices	March 2011	Capacity/Organizational	Impact=3 Probability=3	Establish minimum performance standards in provincial and district governors' offices based on the operating manual and support IDLG in monitoring organizational and individual compliance. ASGP is working with IDLG to develop a consistent template for M&E, identifying appropriate indicators, and consistent methods for measuring success	ASGP Kabul/IDLG	Regional Teams	Improving
4	Development of provincial development plans may be delayed due to insufficient trained local sub-national entity technical capable staff in all 34 provinces across Afghanistan	Quarter 4, 2010	Organizational	Impact=3 Probability=3	Deliver training on provincial development planning to key provincial staff (UNDP/ASGP, IDLG). Support Training of Trainers (ToT) by continuing supporting the IDLG CIDD Department via workshops, ensuring that the IDLG maintains a pool of qualified staff	Regional Teams/IDLG/ ASGP Kabul	Regional Teams	Decreasing
5	Development of Provincial Strategic Plans may be hampered by insufficient number of available local staff	Quarter 4, 2010	Societal	Impact=5 Probability=3	Introducing PSP through introductory workshops with presentations in Dari and Pashtu, including follow-up monitoring visits to Provincial Development Committees, and District Development Committees as needed	IDLG	Regional Teams	Decreasing

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
6	Women may be prevented from joining civil service due to lack of qualification, local cultural traditions, harassment and inadequate accommodating working conditions	March 2011	Societal/Organizational	Impact=5 Probability=5	Expand the number of provincial internship programmes specifically for young women. Ensure that "gender" specific needs for women employees are met, and that women have similar quality of accommodation in the workplace to men. Added to that consultations made with e.g. Female Provincial Councillors' Network or the established female advisory groups at municipal level should be included in capacity assessments	Regional Teams	Regional Teams	ASGP will explore opportunities in 2012, leading to increasing recruitment and retention of women under the LoA modality, as well as encourage PGO/DGO and municipalities in improving accommodation and hiring conditions of female staff.
7	Regular unavailability of PC members for sessions, limiting the degree of representative, contributions made in meeting, policy making, planning and oversight of development programmes	15 Aug 2011	Organizational	Impact=3 Probability=4	Actively engage PC's in provincial strategic planning, provincial development plans, provincial recruitment committees and M&E efforts, such as GOFORGOLD. Furthermore, ensure that PC needs assessments, also include an assessment part, identifying constraints and opportunities to ensure higher degree of attendance and presence to PC events and mandated tasks	Regional Teams/ASGP Kabul	Regional Teams	Same

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
8	Stakeholder concerns/credibility issues may materialize in respect to timely meeting of ASGP's/UNDP's planned output deliverables, as per Project Document. This is a risk if insufficient immediate progress is not made (due to the long-term nature of ASGP's institutional capacity development process) to stakeholders	Feb 2011	Planning/Visibility/Societal	Impact=2 Probability=2	Develop local PGO/DGO and municipal stakeholder communication plans to keep stakeholders informed and abreast at all times on ASGP's/local counterparts joint progress toward achieving short-term and long-term results. Encourage, frequent public meetings, and their attendance, as per adopted rules of procedure, where ASGP inform local stakeholders on the nature of deliverables planned, their implementation status and challenges and way forward.	Regional Teams	Regional Teams	Decreasing Mitigating measure includes the establishment of the quarterly UNDP/ASGP Provincial Board Meetings across Afghanistan
9	Devolution of financial and procurement responsibilities to provincial governors' offices may result in a higher incidence of financial mismanagement and corruption	March 2011	Organizational/Planning	Impact=3 Probability=2	Despite the formal introduction of the SOP and trainings of the staff for the subnational entities, some of them may continue to face challenges in managing and accounting for LOA advances.	Regional Teams/ASGP Kabul/IDLG	Regional Teams	Same

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
10	Attempts to strengthen the actual role and the mandated oversight powers of provincial and district councils, by strengthening their de-facto M&E function, may cause resistance among provincial sub-national governance entities	Quarter 1, 2011	Political	Impact=2 Probability=4	Encourage sub-national government entities, especially PGOs, ministerial line departments, and DGOs, to collaborate with the PCs and DC within the regulatory framework; when Provincial Monitoring Teams are overseeing the performance delivered of sub-national government entities. Stress that oversight is not adversarial Develop Capacity Development Plans for PC members including a well-defined introduction to the mandate of the PCs and the	Regional Teams	Regional Teams	Improving (resistance decreasing) Joint outreach and monitoring mechanism are being established by PC and PGOs along with line ministries
11	Implementation of programme activities may be adversely affected by lack of international UNDP presence in the region as well as insufficient availability of qualified local staff	June/July 2011	Security	Probability=5 Impact=5	Hire qualified local staff and provide training in order to implement activities in NER.	Regional Team	July 2011	Improving; presence and staff calibre improving. ASGP is expanding its provincial presence, promoting greater coherence with other UNDP project and UN agencies and stakeholders, conducting

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
12	Political interference in LOA staff recruitment. from various sub-national level stakeholders at the provincial level in the recruitment process can adverse impact the quality and commitment of the recruited LoA staff	30 Aug 2011	Political	Probability=4 Impact=4	Recruitment of LOA staff should be closely monitored and strong oversight mechanism need to be put in place	RPM	North	Improving. ASGP is supporting the IDLG, the PGO and municipalities by sharing in LoA staff recruitment process across Afghanistan on a per needs basis
13	Popular legitimacy and effectiveness of provincial and district councils may suffer significantly, unless the Provincial Councils are empowered to make a meaningful contribution in policy making, planning and monitoring / evaluation of development programmes	Political	Second half of 2010	Impact=5 Probability=1	Encourage the government to implement oversight of the sub-national governance public services undertaken, and advocate for the voicing of the citizens Actively engage PC in provincial strategic planning and M&E efforts, such as "GOFORGOLD". Support a participatory consultation process on the	ASGP Kabul/IDLG	RPM/ASGP Kabul	Improving

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
14	Effectiveness of provincial and district councils is likely to be adversely affected by insufficient capacity of councillors' and inadequate internet access/ICT equipment, while the number of councils in need of capacity development will make capacity-Development a time- and effort consuming process	Organisational	Second half of 2010	Impact=5 Probability=5	Develop a training programme for district councils well as soon as possible and identify partners to expedite delivery of this programme once the councils are installed. Work on grant proposals in progress for solar internet stations for each PGO, funded by USG.	Regional Team and ASGP Kabul	RPM/ASGP Kabul	Improving
15	Provincial Board Meeting-Follow-Up requirements without adequate staff to follow-up on expected actions /pledges may adversely affect the credibility of UNDP programmes and projects in provinces among PGOs	Jan, Feb & March 2012	Organizational	Impact=5 Probability=3	Requesting support from adjacent provinces/regions, when possible in order to deliver on specific commitments given during board meetings	ASGP Eastern Region Team	RPM	Improving
16	LOA staff may not be able to optimally meet their deliverables according to terms of references if their offices will not be fully equipped with required equipment's due to delay on processing of LoA Work Plan.	12 Jan 2012	Management	Medium	Necessary support equipment to be provided, ensuring an adequate office environment is at disposal.	ASGP & IDLG	15 th Apr 2012	Improving
17	ASGP/Central Region Team may not regularly be able to visit and conduct its activities in Logar due to the security issues and lack of qualified LoA staff in provinces (except Budgeting and Finance Specialist)	10 Jan 2012	Social / Organizational	High	Recruitment of the new qualified staff and increase the number of LoA staff based on the provincial need is required. Refresher training is required for LoA staff to be conducted in	ASGP/PGO/IDLG	ASGP/Central Region 29 Mar 2012	Same, no changes

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management Response	Owner	Submitted by	Status
18	Delays in timely payment of LoA staff salaries.	12 Feb 2010	Management / Organizational	Impact=3 Probability=5	An appropriate mechanism should be provided upon based on Government regulation and UNDP/ASGP mandate to timely process the salaries on monthly bases.	IDLG & UNDP/ASGP	Regional Teams 1 April 2012	Improving. Greater operational processes instituted.
19	Lack of trainings and workshop on AWP, LOA fund utilization and SOP and other financial , procurement procedures and management	April ,May and June 2012	Organizational	Impact=3 Probability=3	Arranging of proper trainings and learning opportunities to staff to learn accordingly	Regional Teams/IDLG	Regional Teams	Same

B. ANNEX 6: ISSUE LOG

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
1	Shortage of staff	Jan, Feb & March 2012	ASGP Eastern Region (ER) Team could not effectively participate in all forums and technical coordination meetings within UNERT, PDC,CBWG ,UN coordination and other technical working groups due to shortage in staff (only one Provincial M&E specialist is available in the ASGP Eastern Region). New International staff has been recruited.	High	Solved in Q3	ASGP Eastern Region Team
2	Delay in operationalizing ASGP's Provincial LoA	Jan, Feb & March 2012	Delays in endorsement of the LoA Standard Operating Procedures (SOPs) crippled ASGP ER attempts to move forward with programme implementation. LoAs for all	High	Solved in Q3	ASGP Eastern Region Team
3	Delay in developing and endorsing LOA for PDF (Provincial Development Fund)	Jan, Feb & March 2012	No activities have been conducted, due to unavailability of approved Standard Operating Procedures for the utilization of LoA Funds	High	Same	ASGP Eastern Region Team
4	No training provided in respect to LoA modality and Standard Operating Procedures (SOPs) for ASGP ER team ,LoA staff and PGO representatives	Jan, Feb & March 2012	ASGP ER team, LoA staff and PGO representatives are not fully aware of all implications of the LOA and the related SOPs ensuring adequate understanding and the correct disbursement of LoA fund in the ER provinces.	High	Sop's for Load's have been developed and ASGP expect now to hold these in Q4, 2012.	ASGP Eastern Region Team

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
5	Programme/Communication/PCs	Jan, Feb & March 2012	Without internet access to the PC, the aim of enhancing the capacity of its members will be adversely affected.	Low	Same	ASGP Eastern Region Team
6	Operational/Induction of LoA Staff	Jan, Feb & March 2012	National LoA staff working for the respective sub-national governance entities in ER region areas are to be provided orientation and training for project implementation, especially concerning the LoA modality	medium	Same	ASGP Eastern Region Team
7	Management/reporting	April 2012	Majority of the LoA staff are not adequately qualified, not conducting activities based on their TOR and not regular reporting in Eastern Region Provinces, therefore ER recommendation is to provide orientation training for all LoA staff to strengthen their activities regional and countrywide.	High	N/A	IDLG and ASGP main office/ Location: ASGP ER
8	Management/reporting	Jan 2012	LoA staff are not regularly reporting in the Southern Provinces, the recommendation is to provide orientation training for all LoA concerning their duties, and to terminate those who do not follow standard office procedures.	High	Same	IDLG and ASGP main office
9	Operational/capacity Development LoA Staff	Jan 2012	National LoA staff working for the respective areas are to be provided with financial and procurement management training; Kandahar, Helmand, Nimroz and Zabul Provinces	High	Same	IDLG and ASGP main office
10	AWP 2012 Approval Process	3/2/2012	Extended and intricate approval process of Annual Work Plan may affect implementation of programme deliverables	High	Solved in Q3.	RPM
12	Procurement Plan Approval Process/Delayed	Jan 2012	Extended and intricate approval process of Annual Work Plan/Procurement Plan may affect implementation of procurement plan deliverables	High	Same	RPM
13	Payment of provincial staff	14 Dec 2011	Funds have not been allocated to the Logar and Maydan Wardak Provinces and Southeast provinces. Hence, the disbursement process of their salaries is very slow, distracting and not conducive, in motivating these in performing their tasks.	High	Solved in Q3	RGS (Central Region)
14	Budget not available to implement capacity development activities in Central Region	20 Feb 2012	Insufficient funding availability including LoA funding. The situation severely affects the conduct of provincial activities, including conducting training, workshops, and knowledge products and planning. Adequate funding needs to be provided via an approved AWP and procurement plan for 2012	High	Solved in Q3	RGS (Central Region)

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
15	Security Situation deterioration in the Central Region	03 Jan 2012	During the quarter, the security situation in the Central Region deteriorated. There was an attack on the Provincial Governor Office of Logar and Paktia and an incident in Kapisa Province in Mahmood Raqi.	High	Same	RGS (Central Region)
16	Implementation of LoA modality	30 Mar 2012	Funds still not transferred to Logar and MaydanWardak Provinces, LOA plan has not been implemented yet. The SOP has not been finalized yet.	Medium	Solved in Q3	RGS (central region)
17	Parwan PGO is lacking adequate space, equipment, and staff, especially in HR department (due to a complex attack, 17 PGO staff were killed and the premises were destroyed).	14 Aug 2011	The building required construction and PGO initiating discussion with IDLG and donors to find the resources for construction and refurbishment of the PGO of Parwan, and recruitment new ASGP LoA staff.	High	Same	IDLG, ASGP
18	Implementation of LoA modality	26 June 2012	LOA was signed in last November 2011, but a bank account was not opened for Nouristan for the LOA components and activities support. Moreover, the previous two staff (signatories) were terminated by IDLG but replacement mandated signatories were not introduced by the Governor of Kunar Province. Added to that the new ones eventually mandated have also experienced a delay in receiving their Bank ID therefore LOA plan has not been implemented yet, as well as the supporting SOP governing the use of LoA Funds has not been finalized yet.	Medium	Solved in Q3.	ASGP CO (operation)/Location Eastern Region
19	Budget not available to implement capacity development activities in Eastern Region	April, May and June 2012	Insufficient funding availability including LoA funding. The situation severely affects the conduct of provincial activities, including conducting training, workshops, and knowledge products and planning. Adequate funding needs to be provided via an approved AWP and procurement plan for 2012	High	Solved in Q3	RGS (Eastern Region)/ location: Eastern Region
20	Provincial Board Meeting	April, May and June 2012	Organizing Provincial Board meeting without adequate staff and funds to follow-up will have negative impact amongst the Provincial Governors and UNDP /ASGP	High	Same	ASGP Eastern Region Team Location: Eastern Region

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
21	Management	January 2011	Since January 2012, the North East Regional Office is facing lack of International staff and since mid-2011 facing lack of Programme staff, the immediate need for additional staff to support programme (PGO, PC, DGO) and international staff to head the office must be addressed.	High	Same	ASGP Regional Office Kunduz
22	Operational	Med 2011	Inadequate number of LoA staff to implement all activities in all four provinces of the North East Region	High	Same	ASGP Regional Office Kunduz
23	Operational	January 2012	Insufficient petty cash since beginning of the year is having significant negative impact on day to day office operations	High	Same	ASGP Regional Office Kunduz
24	LoA staff salaries	April 2012- up to date	All LoA Staff are sending their weekly and monthly reports on regular basis but NERLoA staff are not receiving their salaries at the end of each month.	High	Salary payments partially solved in Q3, but reporting issues unresolved, due to insufficient staffing.	Takhar PGO TO Staff
25	Management	1 st May 2012	ZabulLoA staff are not sending their province weekly, quarterly and annually reports to Kandahar regional office therefore the recommendation is to provide orientation training for all LoA staff to strength their activities at regional and country level or replace them with new staff who will follow their contracts	High	Same	IDLG and ASGP main office
26	Operational	1 st May 2012	National LoA staff working for the respective areas are to be provided with financial and procurement management training; Kandahar, Helmand, Nimroz and Zabul.	High	Solved in Q3	IDLG and ASGP main office
27	LOA staff cannot do their jobs if their office is not equipped with required equipment	12 Jan 2012: Update on 15 th Jun 2012	Management, due to delays in processing of LoA Work Plan.	Medium	All required support for fully functional project will be provided: Update: At the Central Region, LOA fund expenses in purchasing equipment and recruitment of new LOA staff was halted in March 2012. Only Kapisa	ASGP & IDLG

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
					Province has expended 90% of their received funding. Logar and MaydanWardak Provinces have not received their funding. This will have an adverse impact on ASGP project implementation and service delivery at the provincial level.	
28	Parwan PGO is suffering from lack of space and equipment (due to a complex attack, 17 PGO staff were killed and the building has been destroyed).	14 Aug 2011: Update on 30 th Apr 2012	Organizational / management	High	<p>New staff under the government Tashkeel were recruited but still they need capacity development and office space and equipment.</p> <p>Procurement of equipment under the LOA fund has not proceeded due to the IDLG management decision as well as pending final SOP guidelines to be established.</p> <p>Update: The building required construction. The PGO has initiated discussions with IDLG and donors to find the resources for construction and refurbishment of the PGO of Parwan, including recruitment of the new ASGP LOA staff</p>	IDLG, ASGP
29	Security in Logar and MaydanWardak provinces. ASGP/Central Region Team may	10 Jan 2012 Update on:	Social / Organizational	High	Recruitment of the new qualified staff and increase the number of LoA staff	ASGP/PGO/IDLG

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
	not regularly visit and conduct its activities in Logar due to the security issues and lack of LoA/TO staff in provinces.	10 Jul 2012			based on the provincial need is required. Refresher training is required for all LoA/TO staff in each province or all together in Kabul. Update: For the last two quarters, ASGP team could not succeed in implementing even one single activity in Logar Province except the activities initiated by resigned TO staff on financial management related issues with Logar PGOs	
30	Lack of sufficient staff in some provinces to implement all activities within the Central Region provinces	12 Jan 2012. Update on 07 Jul 2012	Organizational	High	Prioritize selected activities and focus on these activities Update: No staff in Logar Province, still additional staff are requested by Wardak, Kapisa and Parwan and Logar Provinces' Governors to be recruited in the PGOs, DGOs and PCs to assist ASGP in implementation of activities.	ASGP / IDLG
31	Salary payment of provincial staff	30 March 2011	Funds have not been allocated to the Logar and MaydanWardak Provinces. The payment process for their salaries is very slow. ASGP Operations is to speed-up this process.	High	1 Jun 2012. Same situation	RGS (Central Region)

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
32	Budget not available to implement CD activities	20 March 2012	Lack of operational LOA funding, is having a severe impact on implementation of provincial activities, including Capacity Development trainings, workshops, publications and knowledge products and planning.	High	Partially solved in Q3 (except for Logar and MaydanWardak)	RGS (Central Region)
33	Security in the Central Region	3 Jan 2012	In the last quarter, the security in the Central Region deteriorated. There was an attack on the Provincial Governor Office of Logar and MaydanWardak.	High	30 Apr 2012. Same	RGS (Central Region)
	Implementation of LoA	30 Mar 2012	Funds have not been transferred to Logar and MaydanWardak Provinces' LOA accounts. Kabul and Parwan Provinces have sufficient funds but guidance and IDLG halted the disbursement of LoA expenses, except salary payment. Panjsher province has expended their funding with limited permission, only on some workshops and salary payment.	Medium	2 June 2012. Same	RGS (Central Region)
34	Unpaid Salaries to the provincial specialists. This issue will adversely affect the ASGP and UNDP's credibility. It may also go to the media or Human Rights Commission	10 Mar 2012 Update on 30 Jun 2012	Social/organizational/management	High	Recently UNDP/ASGP and IDLG have agreed to process the provincial staff salaries through new modality to their individual bank account with the amendment of signed LOA. Resolved in Q3.	ASGP / IDLG
35	Weak coordination among PGOs ,DGOs, PCs and Line ministries	NA	Societal	High	Strengthening the coordination among the concerned stakeholders	Uruzgan/ Yugesh/April 2012
36	Low capacity and inadequate number of qualified staff in the PGO,DGO, PC and line ministerial departments in Uruzgan	NA	Societal	High	Train the staff and develop special arrangements to attract qualified staff, particularly in less developed districts, including a civil servant relocation	Uruzgan/ Yugesh/ April 2012

ID	Type	Date Identified	Description	Status/ Priority	Status Change Date	Author
37	UruzganPC does not have basic office equipment and furniture. They do not have budget for rent of the building and havenot been paying rent for the last three months.	NA	Political	High	Actively engage provincial and national stakeholder of PC to resolve these issues. Being resolved as of Q3.	Uruzgan/ Yugesh/ April 2012
38	Change in leadership in UruzganPGO	NA	Political	High	Actively orient and engage new Governor in the ASGP Programme promoting local ownership	Uruzgan/ Yugesh/ April 2012
39	Operational/Uruzgan	July 2011 March 2012	The office operates without staff and vehicle. The immediate need to support the operation of the office must be addressed.	High	None	Uruzgan/Yugesh
40	Staffing/Uruzgan	November 2011 March 2012	Lack of staff and long-intricate process of staff recruitment causes delay in programme delivery	High	None	Uruzgan/Yugesh
41	Operational/Bamyan/Daikundi	June 2012	UNDP Central Highland Regional Office has problems with office equipment/furniture. Requestsfor office supplies has been made many times to ASGP in Kabul, but not been provided. Staff at the regional office needs enabling environment of work including constant internet, a well-equipped office building, and safe compound	Very High	July 2012. Being resolved as of Q3	RPM
42	Delay in release of LoA fund	April, May, June 2012	Delays in release of LoA fundshave worried and caused concerns among the municipalstaff(no salary in the past sixmonths) andgovernment counterparts and have badly affected the programme delivery. It is increasing doubts on the sustainability of support to municipalities	High	Being resolved as of Q3	Municipal Team
43	Delays in responding to ASGP's commitments to municipalities	April, May, June 2012	Construction of "One Stop Shop" for Mazar-I-Sharif Municipality has been due for a long time. As per ASGP's concurrence, the municipality started the procurement process and is now at the contract awarding stage, but the municipality needs a green light from ASGP on fund availability to start the project	High	N/A	Municipal Team