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LAW AND ORDER TRUST FUND FOR AFGHANISTAN (LOTFA)

SUPPORT TO PAYROLL MANAGEMENT (SPM) and MOIA AND POLICE DEVELOPMENT (MPD) Projects

**July – September 2016
QUARTERLY PROGRESS REPORT**



November, 2016

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PROJECT INFORMATION

Project ID:	SPM (95495, 95840, 95844, 95849, 95846, 95848) MPD (95736, 95850, 95854, 95853, 95856, 95857, 95858, 95859)
Duration:	1 July 2015 – 31 December 2016
Contributing to NPP:	NPP1 Afghan Peace and Reintegration NPP5 Law and Justice for All
CPD Outcome:	Outcome 2: Trust in and access to fair, effective and accountable rule of law services is increased in accordance with applicable international human rights standards and the government's legal obligations.
UNDP Strategic Plan Outcome:	Outcome 3: Countries have strengthened institutions to progressively deliver universal access to basic services (including rule of law (justice and security) services, health, education, water, sanitation, electricity, transport)
Total Budget:	US\$ 883,561,564
Annual Budget:	US\$ 594,780,631
Implementing Partner:	Ministry of Interior Affairs (MOIA)
Responsible Parties:	United Nations Development Programme (UNDP)
Project Manager:	Mr. Sainey Ceesay, Support to Payroll Management (SPM) Mr. Stephen Moore, MOIA and Police Development (MPD)
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Cover photo: Mural of female police officer with child, produced by Art Lords, Kabul (UNDP, September 2016)

ACRONYMS

ABP	Afghan Border Police
AFMIS	Afghan Financial Management Information System
AHRIMS	Afghanistan Human Resource Information Management System
ANP	Afghan National Police
APPS	Afghan Personnel and Pay System
AUP/AUCP	Afghan Uniform Police/Afghan Uniform Civilian Police
CEDAW	Convention to Eliminate All Forms Discrimination Against Women
CPD	Central Prisons Department
CSO	Civil Society Organization
CSTC-A	Combined Security Transition Command-Afghanistan
DM	Deputy Minister
DMPS	Deputy Minister for Policy & Strategy
DSSS	District Safety and Security Survey
EFT	Electronic Fund Transfer
EVAW	Elimination of Violence Against Women (EVAW)
EPS	Electronic Payroll System
ERP	Enterprise Resource Planning
EUPOL	European Police Mission in Afghanistan
FRU	Family Response Unit
GBV	Gender-based violence
GDPDC	General Directorate for Prison and Detention Centres
GIROA	Government of the Islamic Republic of Afghanistan
GPPT	German Police Project Team
HR	Human Resources
ISAF	International Security Assistance Force
LOTFA	Law and Order Trust Fund for Afghanistan
MA	Monitoring Agent
MIS	Management Information System
MOF	Ministry of Finance
MOIA	Ministry of Interior Affairs
MOU	Memorandum of Understanding
OD	Operational Directives
PeMD	Police e-Mardumi (Community Policing Units) Directorate
PFO	Provincial Financial Officer
PMU	Programme Management Unit
PPHQ	Provincial Police Headquarters
PWC	Police Women Councils
QA/QC	Quality Assurance/Quality Control
SOP	Standard Operating Procedures
SPTC-A	Sivas Police Training Center of Afghanistan
TWG	Technical Working Group
TOR	Terms of Reference
WEPS	Web-based Electronic Payroll System

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I. EXECUTIVE SUMMARY

BACKGROUND:

In April 2015, the Government of the Islamic Republic of Afghanistan (GIROA), UNDP and the donors supporting the Law and Order Trust Fund for Afghanistan (LOTFA) received H.E. President Ghani's approval to proceed with the restructuring of LOTFA and the development of a new programme document that included the design of a LOTFA Transition Plan to succeed the LOTFA *Akheri* beginning 1 July 2015. The LOTFA transition would ensure the full handover of the payroll functions to the GIROA and to develop national capacity for its effective, efficient and accountable management. They agreed on a three-phased, conditions-based transition period from July 2015 to December 2016, with clear targets and deliverables for each phase.

LOTFA finances two projects, namely, the Support to Payroll Management (SPM) project which focuses on supporting Ministry of Interior Affairs (MOIA) payroll management and transition by December 2016; and the MOIA and Police Development (MPD) project, which focuses on developing national capacity for self-sustained reform and improvement of the MOIA as an institution, as well as police professionalization.

After completion of Phase II (January-June 2016), LOTFA has initiated implementation of Phase III (July-September 2016) for the hand-over of payroll management responsibilities from LOTFA SPM to the MOIA.

SUPPORT TO PAYROLL MANAGEMENT: KEY ACHIEVEMENTS AND PROGRESS

The SPM project primarily focuses on developing the required capacity for MOIA to independently manage all payroll related operations and functions. This includes ensuring an enabling policy environment for the Afghan National Police (ANP) and General Directorate of Prisons and Detention Centers (GDPDC). The SPM project is developing capacity for independent payroll management within the MOIA, which will ensure the full transition of all existing LOTFA payroll capabilities to the MOIA by December 2016. Results at the end of Q3 2016 indicate that the SPM project is largely on track to achieve this goal.

The following summarizes progress towards results at the output level.

MOIA Policy development and implementation (Output 1)

Through UNDP support, the MOIA has printed and distributed the approved Human Resource/Personnel (Personnel and Cadre Policy) and Finance policies. The Internal Control Policy has been approved. MOIA indicated that implementation of the policies has already started. The SPM project has drafted Standard Operating Procedures (SOP) to standardize the WEPS and AFMIS reconciliation. These were successfully piloted in Bamyan province. This will now be rolled-out to other provinces as well. The full WEPS/AFMIS reconciliation report is expected by the end of November 2016. The study on the sustainability of the pay structure initiated in Q3. The work is expected to be completed by the end of November 2016. UNDP/SPM is also finalizing the recruitment of a consultant to develop the payroll operations

manual expected to start the development of the manual in November 2016. The draft manual is expected by mid-December 2016. The MA reports for 2015 were finalized, with 90% of the findings resolved. Emphasis is now on accelerating the review of the 2016 reports and resolution of its findings.

Capacity building for payroll management (Output 2)

The SPM project rolled-out the implementation of the MOIA Payroll Plan. The training plan has been prepared on human resources, finance, reconciliation and WEPS, to be implemented in Q4. All PFOs in all the 34 provinces have been fully trained to use the digital M16, hence all the payroll stations are fully implementing the new changes in the WEPS. The recruitment of staff for the Payroll Unit is in progress. 16 of the 19 SPM staff have confirmed their willingness to join the new MOIA Payroll Unit, while the recruitment process for the five additional staff to fill the vacant posts is expected to be completed by end of October 2016. The second Micro Capacity Assessment (MCA) for payroll was conducted and the report has been finalized. The report informs on the extent to which MOIA is able to assume full payroll management post 2016.

Systems integration /interface (Output 3)

By the end of Q3, the SPM project had progressed at rectifying incorrect identity card numbers within WEPS. Data cleansing now stands at 62%. The main challenge has been the lack of full data from AHRIMS to facilitate matching with WEPS. The Electronic Fund Transfer (EFT) modality coverage stands at 88% for the ANP and 99% for GDPDC. There has been some improvement on mobile banking registration. By September 2016, registration stood at 49% (2,882 ANP registered out of the total targeted number). Of this, the MOIA reported that 2,296 ANP had been paid through mobile money for the months of September 2016. MOIA has to achieve mobile registration and payment of at least 5,903 officers by end of October 2016 (conclusion of the mobile banking pilot program) in order to attain the 90% coverage of EFT, as set out in the donor conditions. Meanwhile, the project made further improvements to WEPS to improve data quality, auditability and accessibility. These improvements include, among others, the introduction of pay cycle management to ensure police salaries are processed on time, as well as the introduction of validation controls to accurately capture attendance days.

Systems infrastructure development (Output 4)

Progress has been made in the implementation of the Disaster Resilience and Recovery (DRR) plan. The MOIA formally approved and confirmed the Training and Education General Command (TGC) as the suitable site to host the WEPS DRR site. The SPM is currently preparing the bill of quantities, contracting and the procurement process, which should be completed by mid-November 2016. The SPM project procured and deployed solar winds software to enhance WEPS network performance management and monitor the performance and continuing availability of WEPS for users. All ANP payroll stations are now running well without any serious connectivity issues.

Funds transfer to MOF for police pay (Output 5)

As per the 2016 LOTFA Commitment Letter, the SPM project disbursed funds to MOF for the timely payment of ANP and GDPDC salaries and incentives. By September 2016, 98.8% (159 out

of 161) of payroll stations processed their salaries on time. Only two stations (Uruzgan and Kandahar PHQ) had delays in salary payments. The total LOTFA SPM cumulative advances (January- September 2016) disbursed to MOF by 30 September 2016 amounted to USD 299.2 million. Total expenditures for the same period amounted to USD 298.1 million, giving a financial delivery rate of 99.6%.

MOIA AND POLICE DEVELOPMENT: KEY ACHIEVEMENTS AND PROGRESS:

The MPD project is designed to provide capacity responses to address challenges at the enabling environment (policy frameworks), organizational (business processes and management systems) and individual (training, education, and learning) levels within the MOIA. These levels are inextricably linked to create a change in MOIA's and ANP's performances in order to fulfill their mandates. The following section summarizes progress on results on the respective output areas.

COMPONENT 1: INSTITUTIONAL DEVELOPMENT

MOIA's capacity to lead and manage reform (output 1):

On the change management, an international expert to assess the MOIA's change readiness has been recruited. The little progress made so far has prompted the need to understand practical factors at play within the MOIA before establishing a Change Management Unit (CMU). On civilianization, a workgroup - comprising the DG Planning and Policy, Deputy Chief of Personnel, Human Resources Director, Force Management Department, UNDP, RS, and SSML - has been established and has developed a draft roadmap for civilianization. To ensure uptake of re-engineered, digitized business processes as well as new management information systems (MIS), the Capacity Development Coordination Unit (CDCU) has rolled out basic computer and IT training to targeted MOIA staff and Directorates. Good progress has been achieved in strengthening the Monitoring and Evaluation (M&E) system, including submission of the M&E Framework for endorsement by the M&E Board, agreement on M&E governance and reporting arrangements, development of M&E capacity development curriculum, and expansion of M&E capacity to additional eight Directorates. On aid coordination, the database development for General Directorate for International Cooperation (GDIC) is finalized and in the test phase. The database is a fully integrated part of MOIA's Aid Effectiveness Strategy and supports the implementation of GDIC's partnership mandate.

MOIA administrative and police support services (output 2):

In order to strengthen streamlining and re-engineering of business processes, an assessment to understand core functions and underlined processes of 7 MOIA Directorates was conducted, resulting in an inventory of approximately 400 high-level processes and sub-processes as well as a shortlist of 17 end-to-end processes selected for mapping, redesigning and codification in the pilot and implementation phases. The MPD project and international experts conducted an assessment with 12 selected Directorates of MOIA to understand the Management Information Systems (MIS) requirements/needs and identified 95 high priority reports that can be prioritized for MIS design and development. With regard to the ICT/ERP development, UNDP and MOIA have initiated discussions to assess the feasibility of supporting an Enterprise

Architecture view towards ICT and MIS improvements. Regarding the work on human resources policies, 30% of the Staff Manual content has been developed. On the support to programme budgeting, technical backstopping to the Programming Analysis and Evaluation Department (PA&E) in reviewing and analyzing the budgetary requirements for FY 1396 and on-the-job training to MOIA budgetary units have been provided. The terms of reference for the Gender Working Committee has been approved by the Minister, serving as a mechanism to track the implementation of gender activities in order to strengthen gender mainstreaming. The MPD project – in partnership with the Gender Directorate – also conducted a 2-day workshop which brought together relevant staff in selected Departments and Directorates to discuss and develop Gender M&E and Implementation Plans based on the MOIA’s approved 1395 Gender Workplan.

MOIA internal control and accountability (output 3):

The MPD project has continued to improve the MOIA internal audit capacity. During Q3 2016, the project designed and organized training for all audit staff of the OIG in strategic and risk-based auditing, payroll internal audit checklist, and internal audit observation and report writing. To support the rollout of the Audit Manual, the MPD project completed an analysis of the Office of the Inspector General (OIG)’s existing organizational structure. The OIG has accepted this recommendations and efforts have been taken by the IG to initiate this reform. If fully implemented, this reform effort will provide the requisite structure and process flow to effectively rollout the Internal Audit Manual. By the end of this reporting period, the project team successfully completed the development of a set of Standard Operating Procedures (SOPs) to receive, classify, record and follow-up complaints including their submission to ministerial authorities. In addition, the project team has drafted Departmental Disciplinary Rules and Appeals process, which has been submitted to MOIA for their review.

COMPONENT 2: POLICE PROFESSIONALISATION

MOIA police legislative, regulatory and policy framework (output 1):

The MPD project has adopted a three-pronged approach towards assessment of the police legal framework. The assessment will take into consideration i) international policing standards, ii) a comparative perspective through a foreign law review, and iii) Afghan practitioners and sector experts through nationwide legal consultation workshops. The MPD project - in consultation with the Head of the Legal Reform Sub-Committee and Head of Legal General Directorate, Gen. Abdul Rahim Shuja –has completed an assessment of the police legal framework and proposed 160 recommendations across 16 key topics pertinent to the police.

MOIA training and leadership development (output 2):

The testing, selection and placement of forty instructors from the Police Academy and Staff College has been completed and the Preparatory programme for Master of Arts (MA) in Police Education and Law Enforcement has commenced. Following the agreement with the MOIA for UNDP to play a greater role in selecting and recruiting female cadets as well as designing and implementing the Sivas programme, the MPD project team has carried out a number of due-diligence activities to ensure a transparent selection process and proper induction sessions to

prepare the new 250 female cadets for their departure to the Sivas Police Training Academy (SPTA). The MPD project also organized workshops to discuss the findings and identify actions to address challenges in current MOIA promotional and leadership training. With approval from the DM for Administration, a committee has been established to follow up on the implementation of these actions.

MOIA community partnership approaches (output 3):

The establishment for Police-e-Mardumi (PeM) units in 12 provinces has been completed and provincial conferences to inaugurate PeM offices and sensitize local authorities and communities were organized in 5 of the targeted provinces. The MPD project team has completed assessments of the existing information desk infrastructure in 9 out of 12 targeted provinces. Provincial baseline assessments of existing FRUs, PWCs, and PeMs have been completed and the findings will be used to inform policy dialogues and discussions among key stakeholders in designing appropriate interventions to improve the functionality of these units. As part of the community and safety outreach campaigns, the MPD project is training and equipping PeM and FRU officers in 10 provinces with basic understanding of different safety issues as well as skills to plan and conduct outreach activities in schools and their communities. Preparations for 2016 District Security Monitoring Baseline Survey (DSMBS) are underway and the survey will be conducted in 40 districts of 20 target provinces. The MPD project team has completed an assessment of the 119 Emergency Call Centre in Kabul, informing the need for equipment upgrade/replacement to install in the Centre in the new MOIA compound.

PROJECT MANAGEMENT SUPPORT

Construction work carried over from LOTFA Akheri (output 2)

The MOIA has been working to address this administrative oversight and in July 2016 the MOIA informed UNDP that the amendment request had been submitted to the NPC. However, there has been no progress to date, and the contract amendments remain pending. The Embassy of Japan indicated that they would not accept any more extension requests beyond the current agreement's end date of 31 December 2016. Currently, the completion rate of the construction work stands at 75%.

The construction of female toilets and dressing rooms was originally planned in three selected provinces, namely Herat, Nanghahar, and Balkh. However, the original assessment had to be reviewed to ensure there was still a need for the facilities and available space. This revision, including site visits took place over the 2nd and 3rd quarters. It was identified during these verification missions that CSTC-A also had plans approved by the MOIA Facilities Directorate to construct the same facilities in Mazar-i-Sharif. In order to avoid duplicating CSTC-A's efforts, the MPD project will not continue the planned construction of these facilities in Balkh. Work on identifying replacement sites will not proceed at this stage given the lack of direction concerning a project extension and the available time to complete this exercise by end of 2016. It should be noted that due to the ongoing delays experienced with the construction of the DM Support Building under the National Implementation Modality (NIM), it was agreed with the MOIA to proceed with the female toilet and dressing room construction under the Direct

Implementation Modality (DIM). Given these changes in the construction sites and implementation modality, the tendering process could not be done in Q3 and will now be initiated in Q4 2016.

PHASE THREE: PROGRESS SUMMARY (as per September 2016)

This report provides a progress update (as per September 2016) for both SPM and MPD projects. The following table provides an executive overview of the status of implementation of Outputs:

Outputs:	On-track	Off-track
<i>Support to Payroll Management (SPM) Project</i>		
Output 1: MOIA policy development and implementation	✓	
Output 2: Capacity building for payroll management	✓	
Output 3: Systems integration	✓	
Output 4: Systems Infrastructure development		✓
Output 5: Funds transfer to MOF for police pay	✓	
Output 6: Project management support	✓	
<i>MOIA and Police Development (MPD) Project: Institutional Development component</i>		
Output 1: MOIA capacity to lead and manage reform	✓	
Output 2: MOIA administrative and police support services	✓	
Output 3: MOIA internal control and accountability	✓	
<i>MOIA and Police Development (MPD) Project: Police Professionalization component</i>		
Output 1: MOIA police legislative, regulatory and policy framework	✓	
Output 2: MOIA training and leadership development		✓
Output 3: MOIA community partnership approaches	✓	
<i>MOIA and Police Development (MPD) Project: Project Management Support</i>		
Output 1: Project management support	✓	
Output 2: Construction		✓

GENDER SPECIFIC PROGRESS:

The SPM project has further enhanced WEPS data collection to reflect gender aspects. The system can now generate gender-disaggregated reports by different types: WEPS can generate ad-hoc reports for female personnel by location/unit/province, rank, position or other aspects. The SPM project has shared this data with the MPD project for their programming purposes.

The SPM project revised the leave forms and attendance books for MOIA to include gender and all leave entitlements (including maternity leave). These have already been approved by MOIA for adoption, and the forms will be printed and distributed in October 2016. However, the revised attendance books will be used from March 2017 onwards (as this coincides with the new year 1396).

To support the implementation of MOIA's Ten-Year Vision for the ANP, UNDP has adopted a two-pronged strategy: Strategy 1) Advancement of enabling organizational culture and

capacity to change discriminatory attitudes of police personnel and to improve the organizational capacity of the MOIA/ANP to fulfill and perform its functions in light of its gender responsibilities and obligations; and Strategy 2) Advancement of effective gender-sensitive policing services through support for women's entry into police services and capacity building of female police officers to carry out their respective roles and responsibilities.

The gender specific results include: i) specific recommendations and proposed changes to the Police Law and related laws/policies in relation to the human rights of women in police, ii) technical and coordination support to ensure effective implementation of the MOIA's 1395 workplan, iii) successful facilitation of the selection process and departure preparations for 250 female Sivas cadets, iv) assistance in MOIA's female recruitment outreach campaigns, v) completion of provincial baseline assessments of FRUs and PWCs with insights into structural and capacity issues, vi) 15% female representation, on average, in the newly established police and community partnership committees in 5 of the 12 target provinces, vii) training of PeM and FRU policewomen in 10 target provinces on community and safety outreach campaigns, and viii) continued progress in the construction of female restroom and dressing room facilities in Herat, Nangahar, and other target provinces.

PARTNERSHIPS:

The President's Office appointed in September 2016 a focal point to liaise between the MOIA, UNDP, donors and the President's Office. UNDP and the MOIA hold bi-weekly coordination meetings to update on progress on the implementation of activities related to the payroll transition. The MPD project has continued to develop and strengthen the partnerships with the MOIA as well as with other key stakeholders, including international partners, donors, and academic institutions, law enforcement agencies in the region, and local authorities and communities.

ISSUES AND RISKS:

The SPM project identified various issues during Q3. The following are the major issues: i) the backlog of MA reports. By the end of September 2016, reports for January to December 2015 had been finalized, but delays in the finalization of the MA reports for 2016 have become a major concern to both UNDP and LOTFA donors; ii) Access to AHRIMS data has been granted by MOIA. However, the main challenge has been the lack of full data from AHRIMS to facilitate matching with WEPS; iii) LOTFA donors expressed concern at the continued recurrence of same or similar MA findings overtime. This issue is being addressed by using the MA findings as a basis for trainings of PFO's; vi) mobile banking registration has been slow in all the six pilot provinces, with only 2,882 (49%) out of an expected total of 5,903 ANP's registered by end of September 2016. MOIA is taking measures to enforce mobile banking registration, as this is critical for the MOIA in achieving 90% of EFT coverage by the end of 2016.

Security remains one of the high risks impacting on the overall implementation of the project. Though there were no major security issues experienced during the quarter, security has impacted on processing of salaries for a few provinces. Security was also cited as affecting progress in the piloting of mobile money, as well as the physical verification exercise by the

MA. Another risk is that, some of the SPM staff might decline to take pay cuts and to work under the MOIA corporate culture. This could create a greater capacity gap than is currently envisaged, further hampering the effective management of the payroll system by MOIA. However, the risk appears significantly reduced as 16 of the 19 SPM staff have already confirmed their willingness join the new MOIA Payroll Unit.

The MPD project also faced some issues and risks in this reporting period including i) PWC action plan awaiting MOIA leadership approval, and ii) delays in approval of contract amendments for the contractor of DM Support Building construction.

For the MPD project, key risks which are highlighted include the worsening security situation, which, similarly to the SPM project, has negatively impacted the project's operational capability and implementation rate. A critical risk is MOIA leadership not supporting the institutional reform, change management and capacity development efforts. This risk has increased as the MPD project has gained little traction from the MOIA leadership to establish a CMU. As mitigation measure, UNDP will assess the MOIA's organizational change readiness. Other risks include the inability of the MOIA to increase qualified staffing with female personnel in the OIG and the inability to identify appropriate local alternative/supplementary education providers (e.g. for graduate and postgraduate courses). This risk is being addressed as the MPD project is assisting the Training and General Command (TGC) in their discussions to establish partnerships with in-country universities.

LESSONS LEARNED:

From the implementation of the SPM and MPD projects during Q3, two main lessons emerge: i) efforts to put the MOIA in the driving seat has resulted in stronger engagement and ownership of the work. Both the SPM and MPD projects have seen an increased participation of MOIA staff in the TWGs and in key processes such as the development of the Payroll Unit plan. The MOIA has shown leadership and commitment to the payroll transition as seen in the incorporation of the President's Office in the meetings around transition, as well as MOIA leadership in the bi-weekly MOIA/UNDP transition coordination meetings. Furthermore, and specific to the MPD project: ii) the importance of building knowledge about conditions for improvement success of planned interventions; iii) the need to differentiate between capacity development and capacity substitution, and iv) reservations for relying on the national procurement systems, particularly with regard to construction work.

FUTURE PLANS:

Based on the progress made, the SPM project in Q4 will focus more on the following six areas: i) finalization of recruitment staff payroll for the unit; ii) implementation of the payroll training plan iii) development of the payroll operations manual; iv) conducting the pay review study; v) finalization of MA reports backlog; vi) and finalization of the post- 2016 management of the MA.

For the MPD project, under the Institutional Development component, the Output 1 units, by the end of Phase III, will continue and develop in their effectiveness to lead institutional

development from Kabul, with their links to directorates, departments, and including some functionality at provincial level in pilot initiatives. In Output 2, 50% of identified business processes will have been improved where needed, including codification and digitization. Furthermore, the gender implementation plan and M&E framework will be used to track implementation progress of MOIA's gender activities. Enterprise Resource Planning (ERP) preparation should also be evident. A substantial improvement in programme budgeting knowledge and capacity will be evident not only in Kabul but also in provinces. OIG personnel will be capable of undertaking a majority of functional internal audit tasks to an agreed standard. The standard operating procedures (SOPs) for complaints handling will be developed in accordance with the proposed complaint categorization and sub-categorization. The change readiness assessment will provide insights into the organizational capacity to change. The GDIC will be provided with continuous support to launch the Aid Coordination strategy and database. The M&E system will be expanded to 8 more directorates and some progress will also be made in establishing a pilot initiative at provincial level.

Under the Police Professionalization component, the results of legal framework assessments should be evident in the form of proposed legislative changes submitted for approval. The promotional and leadership training should be measurably strengthened. The MoU between the MOIA and AUAF will be signed and arrangements will be put in place to commence the Master's Programme in 2017 with a plan also to transfer its governance and management to MOIA. With regard to police accountability and voice mechanisms, various action plans will be implemented to establish new Police e-Mardumi units and lead to 100% of the target Police e-Mardumi committees and new information desks being established. Work to expand the functionality of FRUs, PeMs and PWCs and of 119 provision, as well as the completion of capacity building to allow for DSSS expansion will also be evident.

PROJECT MANAGEMENT SUPPORT FOR BOTH SPM AND MPD PROJECTS:

The SPM and MPD projects have efficiently and effectively implemented its activities. During the reporting period a total of 14 sub-TWGs (10 for SPM and 4 for MPD) and 3 combined TWG meetings were held.

FINANCES:

The budget for SPM project, 2016 AWP is US\$564,092,739.91. Financial execution reported for this period is US\$315,188,116.92. The budget for MPD project, 2016 AWP is US\$21,207,660.91. Financial execution reported for this period is US\$5,359,897.91. The delivery rates for SPM and MPD projects during the period stand at 56 per cent and 25 per cent, respectively.

II. INTRODUCTION

Supporting the MOIA civilianization process through the Capacity Building for Results (CBR) mechanism:

As part of the civilianization process, currently 50 out of 191 (66 Senior and 125 mid-level technical posts) approved positions have been recruited. This includes positions at the level of Deputy Ministers, Director Generals and Directors. Recruitment is currently ongoing for 31 Positions, including the 5 vacant positions related to the MOIA Payroll Unit. The Rule of Law and Human Security Unit and MPD project have supported the MOIA on the development of a proposal to include an additional 125 mid-level technical civilian positions on Tashkeel through the CBR-mechanism. This proposal has been approved by donors on 20 May 2016, and includes the 33 payroll unit functions considered critical to the successful transition of payroll functions to the MOIA. Maintaining medium-term financing of these civilian positions is critical to the long-term reform of the MOIA and should be considered in any post-2016 financing.

Strengthening oversight and accountability:

During Q3, the LOTFA Oversight sub-Committee could not resume its meetings due to the insufficiency of members in this period. Due to the resignation of the UK and US representatives, UNDP requested donors to put forward nominations for 2 new donor representatives on the Oversight sub-Committee. The UK and US Embassies presented their nominations, which subsequently UNDP presented to the LOTFA Project Board for approval. Meetings will resume in Q4. In the reporting period, the TORs for the LOTFA Risk Assessment, as requested by the Oversight sub-Committee, were also prepared and advertised. The international consultant will be on-board by end October 2016. UNDP is currently undertaking a procurement process to contract the new MA for 2017. Under the new arrangement, the MA contract will be split into two separate, but complementary assignments: one assignment will focus on expenditure verification (EV) and physical verification (PV) and the other assignment will focus on headcount verification. The two assignments will be performed by different firms. UNDP will ensure coordination between both. Both assignments will have an increased scope of work, with EV increasing from 60% to 75% of expenditures verified monthly, and headcount verification increasing from 12% to 75% of the police force on annual basis. UNDP is confident that this new approach will lead to increased assurance for UNDP, MOIA and donors on the use of LOTFA funds in 2017 and beyond.

Implementation of Phase III (July-December 2016):

After completion of Phase II (January-June 2016), LOTFA has initiated implementation of Phase III (July-December 2016) for the hand-over of payroll management responsibilities from LOTFA SPM to the MOIA. Progress on SPM targets for Q3 2016 are considered to be “on-track.”

Outputs	Progress Phase III (July – December 2016), as per 30 September 2016	Status
Support to Payroll Management (SPM) Project		
Output 1: MOIA policy development and implementation	<ul style="list-style-type: none"> ✓ Comprehensive review and mapping of the existing HR, payroll and reconciliation processes completed ✓ Legal analysis of pay entitlements and deductions and recommendations presented to MOIA ✓ Completion of review of the Finance, and HR and internal control policies, with support from SPM subject matter expertise ✓ Operationalization of the LOTFA Pay and Compensation Board (“Pay Board”), 3 meetings held up to Q3 2016 ✓ The pay structure and sustainability underway (final report expected by the end of November 2016). 	<i>On-track</i>
Output 2: Capacity building for payroll management	<ul style="list-style-type: none"> ✓ MOIA has dedicated staff to support SPM in data cleansing between EPS and AHRIMS ✓ Ongoing support to MOIA in strengthening capacities for data collection, analysis, development of payroll reports ✓ The second MCA on Payroll concluded in September 2016 (first MCA in December 2015) ✓ Payroll Unit Plan approved by MOIA on 6 June 2016; implementation ongoing ✓ Draft SOPs for WEPS/AFMIS reconciliation and payroll operation manual developed, and SOP piloted in Bamyan ✓ The recruitment of vacant positions for MOIA Payroll Unit ongoing. 	<i>On-track</i>
Output 3: Systems integration	<ul style="list-style-type: none"> ✓ Migrated 34 PHQs to WEPS, resulting in a 100% WEPS coverage, resulting in 100% of police supported by WEPS; ✓ Digital M16 implemented and rolled-out to all 34 provinces; ✓ Development of online ticketing system, improving management, traceability and auditability of complaints; ✓ Further WEPS improvements implemented to improve data quality, auditability and accessibility include; validation controls and pay cycle management ✓ 62% of invalid records have been rectified in WEPS by end September 2016 ✓ System documentation on EPS completed; findings and recommendations shared with MOIA & TWG ✓ EFT expansion increased from 87% to 88% for ANP; EFT expansion for GDPDC at 99% ✓ Initiation of the mobile banking pilot programme in six provinces, registering 2,882 police (49% of target group); 2,296 personnel paid through mobile banking in September 2016. 	<i>On-track</i>
Output 4: Systems Infrastructure development	<ul style="list-style-type: none"> ✓ All 34 GDPDC payroll stations migrated from EPS stand-alone system to WEPS centralized system ✓ 100% of ANP payroll stations connected to MOIA intranet ✓ Virtual Private Network (VPN) connectivity established for GDPDC payroll stations ✓ Deployment of solar winds software to monitor the WEPS network performance ✓ Disaster Recovery/Business Continuity Plan site identified; procurement initiated 	<i>Off-track</i>
Output 5: Funds transfer to MOF for police pay	<ul style="list-style-type: none"> ✓ SPM disbursed funds to the MOF ensuring timely payment of ANP and GDPDC pay ✓ 50 out of 191 approved civilian positions have been recruited under the CBR arrangement 	<i>On-track</i>
Output 6: Project management support	<ul style="list-style-type: none"> ✓ All project management staff recruited and the remaining technical positions are in progress ✓ A total of 13 TWGs meetings were held out of target of 12 ✓ 7 out of 11 Due Diligence Recommendations Implemented ✓ The new LOTFA Oversight sub-Committee meeting held 5 meetings up to Q3 2016 	<i>On-track</i>

	✓ New data collection & monitoring methods developed and implemented	
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Outputs	Progress Phase III (July – December 2016), as per 30 September 2016	Status
<i>MOIA and Police Development (MPD) Project: Institutional Development component</i>		
Output 1: MOIA capacity to lead and manage reform	<ul style="list-style-type: none"> ✓ M&E Framework finalized with extensive consultations among key stakeholders ✓ M&E system functionality assessment in Balkh PHQ completed as part of the future plan to expand the M&E capacity beyond Kabul ✓ Draft Aid Effectiveness Strategy finalized and submitted for MOIA review and approval. Development Assistance Database presented and received a positive response from MOIA and donors ✓ Original concept changed from establishing a Change Management unit to conducting an assessment to understand the organizational change readiness 	<i>On-track</i>
Output 2: MOIA administrative and police support services	<ul style="list-style-type: none"> ✓ Challenges in organization, functions, processes, reporting to implement the BPR and ICT/MIS development identified ✓ Work to develop comprehensive human resource policies and produce a Staff Manual for uniformed personnel has started ✓ Support provided Programming Analysis and Evaluation Department (PA&E) BC1 preparation and submission ✓ A terms of reference for a Gender Working Committee has been drafted and reviewed by the Office and Chief of Staff and the Gender Directorate 	<i>On-track</i>
Output 3: MOIA internal control and accountability	<ul style="list-style-type: none"> ✓ A comprehensive internal audit manual has been drafted and shared with the OIG for review and consideration ✓ The first training workshop on Internal Audit Standards of Institute of Internal Audit (IIA) and training plan (July-December 2016) approved. ✓ Recommendations provided to set up a departmental inquiry to handle internal complaints and to introduce comprehensive complains categorization and sub-categorization 	<i>On-track</i>
<i>MOIA and Police Development (MPD) Project: Police Professionalization component</i>		
Output 1: MOIA police legislative, regulatory and policy framework	<ul style="list-style-type: none"> ✓ A three-pronged approach towards the assessment of police legal framework adopted, taking into consideration i) international policing standards, ii) a comparative perspective through a foreign law review, and iii) Afghan practitioners and sector experts through nationwide legal consultation workshops ✓ A matrix prepared and mapping is underway to assess the Afghan Police legal framework against these international standards and principles ✓ As of the end of Q2 2016, three out of six planned workshops have been conducted – one in Q1 2016, and two during this reporting period which were in Kandahar and Mazar-i-Sharif 	<i>On-track</i>
Output 2: MOIA training and leadership development	<ul style="list-style-type: none"> ✓ Curriculum for Master of Arts (MA) in Police Education and Law Enforcement curriculum completed jointly between Police Academy senior instructors, AUAF curriculum designers and UNDP representatives ✓ The Minister has also signed an approval to proceed with a Memorandum of Understanding (MoU) between the MOIA, AUAF, and UNDP ✓ Assessments of ANAP's computer, current MOIA promotional trainings (Captain to Major and First to Second Lieutenant), and ANP leadership and management training completed 	<i>Off-track</i>

	<ul style="list-style-type: none"> ✓ preparations are underway to establish a regional collaboration through a study visit between the ANP and the Indian Police 	
Output 3: MOIA community partnership approaches	<ul style="list-style-type: none"> ✓ Preparations for the establishment of new PeM units as well as police and community partnership councils are finalized and ready for rollout ✓ Preparations for expansion and facility renovation of the other key initiatives are well underway, including 119 Emergency Call Centre in Kabul, 12 new information desks, 2016 District Safety and Security Survey and PeM and FRU outreach campaigns 	<i>On-track</i>
<i>MOIA and Police Development (MPD) Project: Project Management Support</i>		
Output 1: Project management support	<ul style="list-style-type: none"> ✓ Nearly all project management staff recruited and the remaining technical positions in progress ✓ 20% and 24% project implementation rates for the Institutional Development and Police Professionalization components, respectively ✓ A total of 9 TWGs were held out of target of 9 ✓ 7 out of 11 Due Diligence Recommendations Implemented ✓ New data collection & monitoring methods developed/implemented 	<i>On-track</i>
Output 2: Construction	<ul style="list-style-type: none"> ✓ The completion rate of the DM Support building construction stands at 75% by end June 2016 ✓ Delay by the MOIA Procurement Department to finalize the approval of the second contract amendment for the constructor ✓ Construction of female police toilets and dressing rooms: construction sites identified and assessed jointly with representatives from the Facilities Department and respective PPHQs. Site plans have been drawn and the tendering process is to be initiated in Q3 2016 	<i>Off-track</i>

Policy and legislative review:

The MPD project is providing technical support and advisory assistance to the Reform Commission undertaking the legal reviews, and coordinating, facilitating and providing solid guidance to relevant discussions. In this sense, in the period from July to September 2016, MPD finalized and shared with the MOIA legal department a review on the basis of human rights compliance and of democratic policing standards as well as a technical summary of international best practice by analyzing Police laws from countries of similar context. The MPD project assisted the MOIA legal department to establish a technical working group that is endorsed by the Minister. The aim of this working group is to analyze research documents and observations from provincial consultation meetings and to draft recommendations for legislative amendments in Police Law based on the findings. It is expected to ensure a proper legal statutory basis for the ANP. This reform exercise will allow the ANP to function as a law enforcement entity in accordance with relevant human rights and professional policing principles.

Simultaneously, both the SPM and MPD projects are providing technical support to the review of the Personnel, Finance and Internal Control policies, which process is led by the MOIA Policy Reform Commission. LOTFA is supporting this review with technical analysis and SPM and MPD subject matter expertise. Progress on this review process is further detailed in section III.A.

Mainstreaming Gender within LOTFA:

Based on the implementation of previous Sivas cohorts, UNDP identified a number of lessons learned and key issues, and has played a greater role in recruiting, designing and implementing the Sivas programme. During the reporting period, the MPD project team engaged in the candidate selection/vetting process, induction, and pre-departure preparations of 250 female cadets to the Sivas Police Training Academy (SPTA). As part of the quality assurance, the MPD project team also carried out a number of due diligence activities relating to reviews of training curricula, course contents, lesson plans, program oversight, monitoring and evaluation as well as considerations for safety, security and discipline issues. More details on the new cohort of the SIVAS programme can be found in Section IV.E.

III. SUPPORT TO PAYROLL MANAGEMENT PROJECT

A. OUTPUT 1: MOIA Policy development and implementation

The major progress recorded during Q3 under this Output includes initiating the implementation of the approved Human Resource/Personnel (Personnel and Cadre Policy) and Finance policies, the commencement of the pay structure and sustainability study, and the finalization of the MA reports for 2015.

The SPM and MPD projects have provided technical support towards the review of policies to ensure that MOIA relevant policies are updated, streamlined, harmonized and comprehensive to ensure a clear and solid legislative and policy framework to support sustainable payroll management. With the support of UNDP, MOIA printed 500 copies each for the approved Human Resource/Personnel and Finance policies. These have been distributed to all the relevant departments in Kabul and most of the provinces. Implementation of the approved policies has now started. The MOIA has planned workshops for Q4 to sensitize and train the relevant staff on the implementation of the policies. The Internal Control Policy has initially been approved, but the MOIA is still open to further comments and inputs from stakeholders.

The SPM project, through its Capacity Building team, has drafted Standard Operating Procedures (SOP) to standardize the reconciliation between WEPS and AFMIS. This SOP has been piloted in Bamyan province, where reconciliation between WEPS and AFMIS has been successfully performed for a five-month period (March to August 2016). The Bamyan reconciliation pilot was jointly carried out by the SPM and the MOIA Finance staff twined with the Capacity Building team. As the SPM Capacity Building team and MOIA perform the reconciliation process for other provinces, the guidebook for reconciliation (SOP) is also being prepared. One of the main focus is to resolve all the pending payroll business process challenges to the reconciliation process. It is envisaged that the full WEPS/AFMIS reconciliation report will be ready and presented by the end of November 2016. Reconciliation of WEPS and AFMIS brings transparency in the payroll process and adds to the reliability of reports from the WEPS system.

In addition, the SPM project has also initiated steps to recruit a consultant to develop the payroll Operations' Manual. The consultant is expected to start by mid-November 2016 with the initial draft manual expected by mid-December 2016. The payroll Operations Manual will serve as a reference guide for all payroll business processes and as a training document, particularly for new staff.

The Pay and Compensation Board continued its work in Q3. The board held another meeting on 3 August 2016 in which three petitions were presented for consideration. The MOIA presented the background information on their petition for increase of salary scales and incentives for the ANPs. Two new submissions were presented from the General Command Special Units (GCPUSU) and Joint Special Operations Cooperation Center (JSOCC). The GCPUSU requested an increase in professional pay incentives for the Police Special Units while JSOCC requested the Pay Board to allow the retaining of special incentive pay granted to the Afghan Special Security Forces (ASSF) personnel assigned to the new Joint Special Operations Coordination Centre, in accordance with the MOIA personnel policy. After the presentations, the Pay Board concluded that, due to

the volumes of the petitions, it required more time to digest the submissions before a decision could be made. The next meeting, scheduled for 2 October 2016, will further deliberate on the submissions.

The study on the sustainability of the pay structure also commenced in Q3. The study was initially delayed due to the difficulty in finding a suitable contractor but the recruitment process has now been finalized and the study is expected to start in the first week of October 2016. The duration of the study has been revised to 45 working days and the final report is expected by the end of November 2016. The study, among other issues, is meant to determine a more sustainable pay and incentive structure and identify the risks associated with future funding.

All the MA reports and statements of expenditures for 2015 were finalized in Q3. For 2016, the January and February reports have been finalized. The March and April draft reports have been received and coordination meetings were in process to resolve the findings. By end of September, 90% (350 findings out of 388) of the MA findings raised for 2015 were resolved. The remaining 10% (38 findings) had not been fully resolved. The majority of the physical verification findings relate to lack of documentation pertaining to police transfers, temporary duty assignments, leave and appointment or termination notices. The majority of system findings relate to officers with duplicate bank account numbers and differences between digital M16¹ and WEPS. To date, there has been no clear trend or pattern within the identification of findings to suggest any particular critical areas of payroll processing, which would guide the MOIA to strengthen particular areas in order to avoid the recurrence of those findings.

Overall, the SPM is well on-track towards putting in place the requisite policy framework and business processes for sustained payroll transition to MOIA.

¹ The digital M16 (Payment Voucher) is an output of WEPS, which is the input for AFMIS, as opposed to the previous practice where M16s would be prepared manually using M41 (Payroll detailed report) from WEPS and also M41s prepared manually outside of WEPS. This practice had the tendency of causing discrepancies between WEPS and AFMIS expenditure figures for the same periods. The new digital M16 is to reduce human error and bring transparency in reporting system. It is fully system generated, which is more appropriate and accurate than the manual M16 commonly used by PFOs.

Table 1: Summary of Progress on Output 1 Indicators as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q 3 Actual	Comments
A: Extent of alignment between current applicable Government policy, legislation or regulation and payroll practices	Partial alignment (approx. 33%)	100%	80% alignment	100%	SPM considers this target to be achieved. The three major policies (Human Resources, Finance Policies, and the Internal Control Policy) were reviewed and approved by MOIA. The Human Resources, Appointment and Recruitment, and Police Personal and Assignment policies have all been harmonized and consolidated into one policy called the Cadres and Personnel Policy.
B: Policies and procedures document developed and in use by applicable MOIA staff at national and sub-national level and made available to all personnel for reference	Nil (None are in place)	100%	Policies and Procedures Document approved by Government	MOIA approved the review of Human Resources (Cadres and Personnel Policy), Finance Policies, and the Internal Control Policy.	All necessary policies for payroll management have been reviewed/developed and approved for implementation.
C: Percentage of valid complaints handled in compliance with policies and procedures, including adherence to agreed timetables and follow-up and outcome reporting (disaggregated by complaints coming from male and female complainants)	5% (estimated)	30%	15%	No information. However, 100% the complaints received through the Help Desk Support were resolved.	At the moment, there is no mechanism to measure the indicator. However, all complaints received through the Help Desk Support were resolved. But there is no mechanism to record gender disaggregated data. The Help Desk Support has a record of a wide range of complaints. Other complaints are received through the 119 Call Centers.
D: Percentage of MOIA personnel in receipt of monthly pay slips and current annual pension statement (disaggregated by gender)	Nil (0%)	100%	60%	Nil (0%)	WEPS generates pay slips for all police. However, MOIA has no capacity to print and distribute the pay slips due to significant costs involved in printing and distribution. However, the SPM WEPS team is coordinating with MOIA and telecommunication companies to consider the possibility of delivering pay slips through bulk SMS (for ANP and GDPDC). PFOs can print pay slips based on police officers' request.

B. OUTPUT 2: Capacity building for payroll management

Following the approval of the Payroll Unit Plan in June 2016, the SPM project prepared a payroll training plan to implement the capacity development support activities for MOIA staff. The training plan builds on the training needs assessment for MOIA payroll staff conducted during Q2, as well as findings and recommendations from the first MCA, conducted in November 2015. For Q4, 6 training workshops have been planned for MOIA staff at central and sub-national level, covering HR and Finance policies, WEPS, finance and reconciliation. The training on human resources and finance is scheduled to run in different sessions commencing in October until December 2016, targeting PFOs, PHQs, computer operators in the provinces, as well as CSTC-A Subject Matter Experts (SMEs). These training will be given in coordination with other relevant WEPS trainings. The first training for provinces will take place from 1 to 5 October 2016 in Kabul.

The SOPs for reconciliation is being developed and is expected to be finalized by the end of October 2016. The training of MOIA counterparts on reconciliation is planned for December onwards. Training of MOIA staff on the use of the operations manual is expected to begin in November 2016. The training needs assessment for nine MOIA staff to join the Payroll Unit has been conducted and the training materials have been prepared. The training itself is scheduled for mid-November 2016. These trainings are critical for the effective and efficient management of the payroll functions for the MOIA.

The second MCA for MOIA payroll has been conducted by Grant Thornton in September 2016. The report was presented to the MOIA, UNDP and the donors in a dedicated meeting held on 27 September 2016. The outcome of the MCA for payroll is critical as it informs the extent to which MOIA is ready to assume full payroll management post 2016.

During Q3, the SPM conducted ad-hoc trainings on WEPS for the payroll stations (Asmai in Kabul, Paktiya PHQ and Balkh GDPDC) which missed the general trainings conducted in Q2. All payroll stations have now been trained and are fully implementing the new changes in the WEPS system. All the PFOs in all the 34 provinces are now using the digital M16, resulting in the full implementation of the digital M16 in all payroll stations countrywide effective August 2016. Since the trainings were conducted, significant improvements have been observed in the day to day work conduct of the PFOs. For example, there are now fewer calls received by SPM Help Desk from PFOs as compared to the past, especially regarding the preparation of the digital M16. This has also resulted in more efficient reporting by the PFOs.

The recruitment of staff for the new MOIA Payroll Unit is still on-going. Selection of the five additional payroll staff to fill the vacant positions is expected to be completed by the end of October 2016. They are expected to assume their positions at the beginning of November 2016. For the nine positions already within MOIA, five have already been confirmed, and the remaining four vacant posts will be advertised. Out of the 19 positions planned to transfer from SPM to the new payroll unit, 16 have already confirmed their willingness to transfer to the MOIA. The three vacant positions will be advertised with the four vacancies in the MOIA during Q4.

Against this progress on capacity development, UNDP is on track towards the successful hand-over all payroll management functions to the MOIA by December 2016.

Table 2: Summary of Progress on Output 2 Indicators as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q 3 Actual	Comments
A: Percentage of staff at national and sub-national level able to independently undertake assigned payroll management tasks (disaggregated by male and female staff)	Nil (0%)	100% of staff have full capability	90% of staff have full capability	90%	MOIA staff both at national and subnational level already do most of the payroll tasks outside WEPS. They already perform independently the tasks related to payroll initiation, payroll processing and payroll disbursement.
B: Percentage of staff at national and sub-national level able to independently conduct internal validation and reconciliation tasks (disaggregated by male / female staff)	Nil (0%)	100 % of staff have full capability	20 % of staff have full capability	12.5%	Training of MOIA staff (Control and Payroll Units) on reconciliation had not commenced by end of September 2016. 12.5% (2 out of 16) of MOIA staff have knowledge on reconciliation. Training on reconciliation is scheduled for end of October 2016. The SPM had conducted a training needs assessment with MOIA.
C: Percentage of time and attendance processes that meet agreed standards, being applied at national and sub-national level	Nil (0%)	100 %	100%	100%	The SPM has designed an attendance book capturing gender disaggregated data. The leave forms have also been modified to include maternity leave. Both have been approved by MOIA Personnel. The new leave forms are being printed for circulation and immediate use. However, MOIA Personnel advised that the new attendance book will be used starting March 2017 (1396 new year).
D: Percentage of relevant time and attendance processes with gender markers	Nil (0%)	100 %	100%	100%	The SPM has designed an attendance book capturing gender disaggregated data. The leave forms have also been modified to include maternity leave. These have already approved by MOIA. The new leave forms are being printed for circulation and immediate use. However, MOIA Personnel advised that the new attendance book will be used starting March 2017 (1396 new year).
E: Percentage of personnel in AHRIMS matching personnel in EPS (disaggregated by gender)	24%	100 %	50 %	36%	Matching AHRIMS and WEPS has been met with some challenges; 1) There is 38% invalid IDs in AHRIMS; 2) AHRIMS records are not complete. There are about 112,000 IDs in AHRIMS which is far lower than the 157,000 Tashkeel; 3) There are outdated records in AHRIMS.
F. Percentage of provincial payroll reports including gender-disaggregated data	Nil (0%)	100 %	N/A	N/A	Indicator is invalid. PFOs do not produce and payroll reports. All payroll reports are centrally generated

C. OUTPUT 3: Systems integration /interface

By 30 September 2016, the SPM project had cleansed 62% of the identity cards in WEPS. The project also made improvements to WEPS to improve data quality, auditability and accessibility. The Electronic Fund Transfer (EFT) modality coverage stands at 88% for the ANP and 99% for GDPDC. However, progress on mobile banking registration is still low.

By the end of Q3, the project had cleansed 62% (96,337) of the ANP identity cards in WEPS. 16% percent of the ANPs in WEPS have temporary IDs. Going at this rate, it is unlikely that the data cleansing exercise would be completed by the end of the year. The WEPS data cleansing process is being done using the MOIA ID card database to compare and reconcile the data. The main challenge has been the lack of full data from AHRIMS to facilitate matching with WEPS as only about 57,000 records in AHRIMS were matching. Though SPM now has access to AHRIMS data, the data itself is not complete and accurate. The current data shows only about 110,550 records against a police Tashkeel of 155,905. The difference is not clearly account for. The other constraint is lack of access to the ID card data.

The project has made further improvements to the overall functional capability and performance of WEPS. Validation controls have been introduced to accurately capture the attendance days. The SPM also introduced pay cycle management in July 2016 to ensure that all the payroll stations pay salary on time, flag payroll stations, and report those with delays in processing salary. These improvements have enhanced the system performance, data quality and auditability, and access to payroll data from anywhere in the country.

As of September 2016, 98.8% of the payroll stations (159 out of 161) processed their salaries on time. For the month of August only two payroll stations (Uruzgan and Kandahar PHQs) could not process salaries on time. It was recorded that payroll processing in these two stations was delayed by 8 days for the month of August.

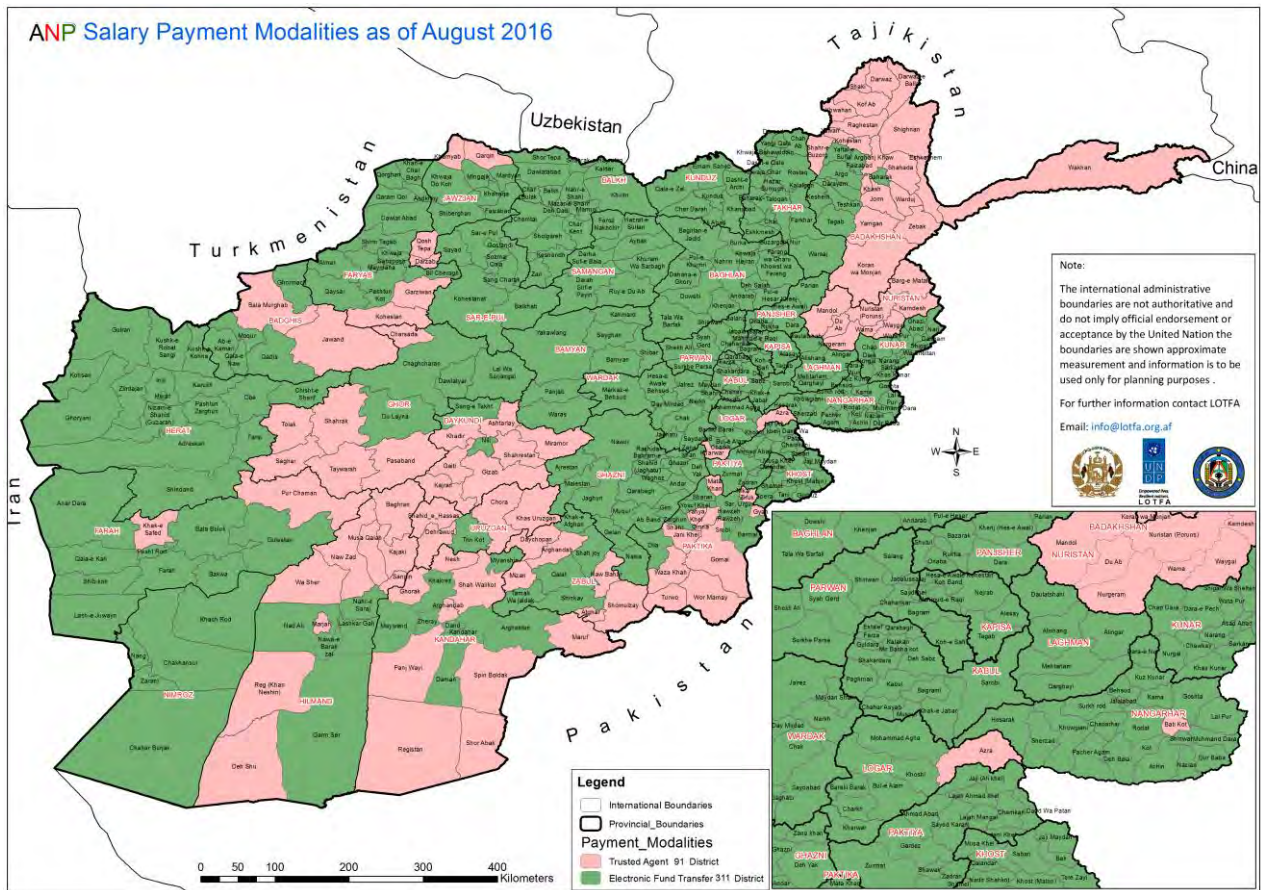
Another important development is that the SPM revised the pension calculation in WEPS based on the formal request from MOIA and MOF. The pension calculation was also amended to exclude danger pay and incentives. The net effect is a decrease in the pension contribution but an increase in net payable to the police by 1-2% per month. This was presented in the System Integration sub-Technical Working Group (TWG) meeting of 15 August 2016.

Updating of the gender data in WEPS is on-going. The SPM uses data from the MOIA Gender Department, data from ID card database, search algorithms with high accuracy, as well as manual search to identify male and female police in WEPS. The full gender disaggregated reports will be generated once the gender data is fully updated in WEPS.

As of September 2016, EFT coverage for the ANP stood at 88%, with 12% still using the Trusted Agent (TA) modality. The TA modality is still predominantly used in the provinces of Helmand, Paktika, Kandahar, Daikundi, Zabul, Badakhshan, Faryab, Jozjan, and Ghor, hence there is a need to enforce mobile banking registration. The EFT coverage by the end of September 2016 stood at 99% for the GDPDC. Only Nuristan province is using the TA modality. The SPM utilizes the WEPS Geographical Information Systems (GIS) facility to support EFT and mobile money

expansion by mapping and displaying locations of payroll stations, and payroll modalities (EFT, TA), bank locations, etc.

Map 1: ANP payment modality coverage of EFT (green) and Trusted Agent (pink)



Although mobile banking registration is still slow, there has been a slight improvement. By September 2016, the reports from MOIA and MOF show that 2,882 (49%) ANP and GDPDC personnel had registered for mobile money. Further to the registration, the MOIA reported 2,296 (about 80% of the registered) personnel paid through mobile money process for the month of September. An amendment would be made to the Letter of Exchange regarding mobile banking to cover the new provinces (Ghor, Badghis, Urozgan) to meet the initial target of 5903 personnel. The SPM through the Pay and Budget TWG continued to urge MOIA to address the issues derailing progress on mobile money registration. Table 5 below shows the status of registration in the six provinces.

Table 3: Status of Mobile Banking registration as at 30 September 2016

Province	ANP Planned for Registration	ANP Registered	Percentage registration	Paid via MM in Sept-16
Helmand	5903	850	49%	465
Kandahar		1160		1335
Paktika		202		175
Zabul		106		-

Daikondi		394		321
Farah		40		-
Ghor		0		-
Badghis		130		-
Urozgan		0		-
Total	5903	2882	49	2296

MOIA aims to achieve mobile registration and payment to at least 5,903 ANPs by 31 October 2016, to make it possible for it to attain at least the 90% EFT set out in the donor conditions. The mobile banking pilot aims to minimize the use of the TA payment modality, and eventually eliminate it in the long run.

The WEPS team conducted a monitoring mission to Kandahar from 8 to 11 August 2016. The team found that a number of the ANP's ID cards were expired, with some expiry dates exceeding two years. There were also some police personnel who had served in ANP for more than five years but did not have Police ID cards. A number of the police had difficulties in renewing their ID cards. They also found out that AHRIMS was not functional in Kandahar Province. With regards to mobile registration, they established that there was a lack of coordination between the commercial bank and the Afghan Wireless Communication Company (AWCC) on mobile money registrations. The SPM tabled the issues in the System Integration sub-TWG of 15 August 2016 for deliberation and to identify corrective action.

The SPM project is on-track to hand-over WEPS to MOIA by the end of December 2016.

Table 4: Summary of Progress on Output 3 Indicators as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q 3 Actual	Comments
A: Number of Provincial Headquarters with WEPS capability	32	34	34	34	The 2016 target has already been reached. All 34 PHQs are now connected to WEPS. EPS was discontinued effective January 2016.
B: Percentage of data fields in EPS automatically fetched from AHRIMS data	NIL (%)	100 %	N/A	This indicator is no longer valid.	The overall indicator is no longer valid for SPM as the CSTC-A will develop APPS to replace EPS. The SPM project will no longer secure an interface between EPS and AHRIMS. However, data cleansing between EPS and AHRIMS is ongoing, and is performed by MOIA and SPM staff jointly.
C: Number of data fields pushed by AHRIMS to EPS	None (no data fields)	100 %	N/A	This indicator is no longer valid.	The overall indicator is no longer valid for SPM as the CSTC-A will develop APPS to replace WEPS.
D: Percentage of WEPS users with updated user guides	NIL (0%)	100 %	100%	61%	This is on-track. The new user manuals have printed and distributed to 92 payroll stations (during training workshops). Some had already received in soft copy. The remainder 39% will be distributed to CPDs in the next training to be held in the 4 th quarter.
E: Percentage of Sustainment Plan implemented	NIL (0%)	100 %	75%	The Sustainment Plan has not been developed	This no longer falls under the direct responsibility of SPM, as this will largely need to conform to the timeline for full implementation of APPS.
F: Percentage of personnel paid by EFT (disaggregated by gender)	85 % (estimated as equally applicable to men and women)	100 %	90%	88%	Though it lags behind the target, the progress is on-track to be achieved by Q4. However, gender dimension for this aspect could not be captured in the system
G: Percentage of police supported by WEPS (disaggregated by gender)	65 % (estimated as equally applicable to men and women)	100 %	100%	100% (98% male, 2% female police)	The 2016 target has already been reached.

D. OUTPUT 4: Systems infrastructure development

The MOIA intranet connectivity has been completed and all ANP payroll stations are now connected to the intranet. No payroll station has any serious or long term connectivity issues, and no payroll station has faced payroll delay due to connectivity issues. In a few cases, some payroll stations have faced problems in payroll processing as a result of lack of power. However, to date, GDPDC payroll stations are not yet connected to MOIA intranet. Currently, the procurement process is at the final stage and in the next quarter, the contract will be awarded to a firm to implement this component of the project.

The 34 consultants contracted by UNDP/SPM to provide technical support to WEPS in GDPDC payroll stations across the provinces are effectively carrying out their duties. Their intervention has resulted in decreased number of calls to the Help Desk by the GDPDC WEPS users. Overall, the number of calls to the Help Desk dropped from 586 in Q1, 273 in Q2, to 154 in Q3. This has also improved the capacity and better understanding of LOTFA fund code and object codes by GDPDC finance officers in provinces, thus minimizing the risk of charging ineligible expenses. To enhance WEPS network performance management, the SPM procured and deployed solar winds software (now up and running) to monitor the performance and continuing availability of WEPS for users. Through this software, SPM is now able to keep track of the availability of WEPS and proactively address issues arising. This has resulted in better service delivery. To date, findings from the use of the software are that three regions (Kandahar, Balkh and Paktika) are the most affected by poor connectivity mainly due to lack of power. Going forward, in October 2016, the SPM in coordination with MOIA ICT, will go to the three affected provinces to assess the connectivity and electricity issues. The SPM also plans to conduct specialized training on network monitoring software (Solar winds) in December 2016, to ensure sustainability after system hand over to MOIA. SPM will procure power backup equipment in case of power outages.

Implementation of the DRR plan is making good progress. The MOIA formally approved and confirmed the Training and Education General Command as the suitable site to host WEPS DRR site. The SPM is currently at Phase II of the implementation schedule (i.e. drawing and contracting stage), finalizing the bill of quantities, contracting and the procurement process. By the end of September, the SPM had developed the Terms of Reference for the firm to implement the project. The Request for Proposal is expected to be released by mid-October 2016, and the whole process is expected to be finalized by mid-November 2016. Completion of this stage will translate to about 50% progress in establishing a DRR site. However, given the delays in identifying the suitable site, the main challenge is to complete the DRR site establishment within the limited timeframe of the project.

Outside the implementation of the DRR plan, all other deliverables under this Output are on track. The implementation of the DRR plan needs to be accelerated to meet the December 2016 timeline.

Table 5: Summary of Progress on Output 4 Indicators as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q3 Actual	Comments
A: Percentage of ANP payroll stations with MOIA intranet connectivity.	90 %	100 %	95%	100%	All payroll stations currently connected to MOIA intranet.
B: Percentage of GDPDC payroll stations with fixed MOIA intranet connectivity.	NIL (0%)	100 %	30%	Nil (0%)	A short-term alternative connectivity solution was used to connect all 34 GDPDC stations (100%) through VPN – 3G dongle. The TWG approved this alternative connectivity solution on 30 March. For a more permanent solution, the SPM project will install a wireless bridge to connect all 34 GDPDC payroll stations. UNDP put the RFP on tender and the tender was closed on July 12, 2016. UNDP is currently evaluating bids and will proceed with project implementation one the contract award is done. Tentatively, implementation is scheduled to start beginning of November 2016.
C: Number of monthly MOIA-NOC helpdesk calls due to inability to connect to the MOIA intranet	16	40% decrease	20% decrease	No calls related to intranet connectivity were received during the quarter	Total of 154 calls were received by helpdesk for Q3. All the issues were resolved immediately.
D: Percentage of DRR Plan under implementation	NIL (0%)	100 %	50%	40% (figure derived from the Implementation Plan for this activity) – It is now at Phase-II which is bidding process and contract formulation	UNDP and MOIA – ICT identified a location and currently are in the process of preparing bid documents and expectedly the tender will be advertised within by mid -October 2016.

E. OUTPUT 5: Funds transfer to MOF for police pay

As per the LOTFA 2016 Commitment Letter, the SPM project disbursed funds to MOF for the timely payment of ANP and GDPDC salaries and incentives. By the end of the quarter, 98.8% (159 out of 161) payroll stations processed their salaries on time. Only three stations (Uruzgan, Kandahar PHQs) had delays in salary payments. Challenges cited were the security situation in the provinces, delays in providing the time and attendance records by the provincial personnel department, as well as incomplete time and attendance or missing information (e.g. ID Cards, Bank account, National IDs).

The total LOTFA SPM cumulative advances (January- September 2016) disbursed to MOF by the end of September 2016 amounted AFN 20.4 billion (USD 299.2 million). The AFMIS recorded a total amount of expenditures of AFN 20.3 billion (USD 298.1 million). The overall financial delivery (advances against expenditure) up to the end of the third quarter was 99.6%. However, cumulatively, the delivery rate against total annual budget stands at 56%.

Table 6 below shows the cumulative advances paid by LOTFA and the expenditures recorded in AFMIS for payment of salaries and incentives for ANP and GDPDC for the period January-September 2016.

Table 6: LOTFA SPM advances and expenditures recorded in AFMIS Jan- Sep 2016

Month	Advances		Liquidations	
	AFN	USD	AFN	USD
Opening Balance	590,076,910	8,878,678	-	-
January	2,051,998,290	29,999,975	557,890,431	8,394,379
February	2,418,133,662	35,126,869	2,052,744,221	30,024,616
March	2,402,024,169	35,153,288	3,379,181,728	49,191,202
April	1,801,231,300	26,372,347	2,388,689,763	34,964,031
May	1,740,790,673	25,416,713	2,205,505,221	32,237,802
June	3,015,628,279	43,799,975	2,611,022,752	37,955,434
July	2,332,738,285	33,999,975	2,620,358,834	38,150,176
August	1,987,198,344	29,999,975	1,931,138,032	28,873,498
September	2,041,363,327	30,499,975	2,557,120,360	38,298,229
Total	20,381,183,239	299,247,770	20,303,651,342	298,089,367

With regards to ineligible, the total ineligible expenditure identified for 2015 amounted to USD 4.33 million, of which USD 3.93 million related to Reservist, and the remainder, USD 0.40 was non-reservist related ineligible. However, because of the over-deduction made for the Reservists (USD 4.48), the SPM will offset the over-deduction against future ineligible.

In terms of funding sufficiency for the year, as at the end of August 2016, the project shows that there will be sufficient funding until December 2016, with excess funds of about USD 18.8 million. An analysis of the AFMIS expenditure from 2015 to date, shows that the expenditure pattern by month for 2016 is very similar to that of 2015, with minor expenditure fluctuations. In addition, the HR statistics for ANP and CDP has remained fairly stable over the same period. Drawing from the expenditure trend since 2015, the expenditure projection for 2016 should be sufficiently accurate to assure funding stability.

The SPM has embarked on a reconciliation exercise to establish the actual causes of the variances between the WEPS and AFMIS expenditures figures. Bamyan province has been fully reconciled, meaning that there are no variances between AFMIS and WEPS expenditures for Bamyan province. So far, what is emerging is that major causes of the differences between the expenditure figures of the two systems are due to a timing difference which create a backlog of previous months' payments, and processing of payments outside of WEPS (manual M16s found in AFMIS, not generated from WEPS). Reconciliation for nine other provinces (Badakhshan, Badghis, Baghlan, Balkh, Daykundi, Farah, Faryab, Ghazni, and Herat) is in progress and is expected to be rolled to all the provinces with time. However, the main challenge is the lack of a common field (unique identifier) in both WEPS and AFMIS to match payment vouchers (M16s) for all payments. The SPM will also work with MOF to use a common identifier for vouchers generated in WEPS and paid through AFMIS to enable reconciliation.

Table 7: Summary of Progress on Output 5 of SPM Project as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q3 Actual	Comments
A: Percentage of financial reports finalized on time	90%	100%	95%	90%	
B. Extent to which operations manual describing fund policies and procedures is implemented (3-point scale)	Zero (manual still to be developed)	One manual	On track	Business process mapping completed. Consultant recruited to prepare and provide training in Q4.	
C. Percentage of police paid within 7 days of close of solar month	90%	100%	96%	98%	This is a proxy indication, as 98% the payroll stations have processed payroll on time in Q3 (except three payroll stations in Kandahar, Nuristan and Uruzgan).

F. OUTPUT 6: Effective and efficient implementation of SPM project

As the SPM project has now entered Phase III of implementation, there is ongoing close monitoring to ensure that implementation of the 2016 Annual Workplan is on course for the SPM to deliver on its mandate to hand-over the payroll management responsibilities to MOIA by December 2016.

The LOTFA Project Board meeting was held on 27 July 2016 and reviewed the progress made so far on the preparations of the payroll transition from SPM to MOIA. The President has since given his formal approval to extend the MPD project to 2020, as well as entrusting UNDP to continue the management of the trust fund, as well as manage the MA.

For the period July - September 2016, 13 TWG meetings (10 Sub TWG and 3 Combined TWG) were held. Combined TWG meetings were held on 25 July, 29 August, and 26 September 2016. The Monitoring and Reconciliation sub-TWG held four meetings on 4 July, 1 August, 31 August, and 5 September 2016. The Pay and Budget sub-TWG held three meetings on 11 July, 8 August, and 19 September 2016. The System Integration sub-TWG held three meetings on 18 July, 15 August, and 19 September 2016.

UNDP and MOIA Government continue to hold bi-weekly meetings to closely track progress on the transition milestones. The milestones include the recruitment of staff for the payroll unit, development of the payroll operations manual, conducting the pay review study, updates on the policy review processes, implementation of the payroll training plan, the post-2016 management of the MA, and the WEPS post-2016 sustainment plan. A LOTFA Donor consultation meeting was held on 22 September to outline the proposed revised trust fund management arrangements.

Furthermore, UNDP/SPM project supported the implementation of the recommendations of various ongoing audits, such as the 2015 NIM/DIM audits, the Office of Audit and Investigation (OAI) on UNDP's oversight on the Monitoring Agent (MA) and the UK Due Diligence Assessment.

Table 8: Summary of Progress on Output 6 of the SPM Project as of September 2016

Indicator	Baseline (As per the AWP)	2016 Target	Q 3 Planned	Q3 Actual	Comments
A: Percentage of project implementation rate	Percentage of project implementation rate: 0%	100 % of Phase III targets met	75%	62%	On-track.
B: Number of Project Board and SPM TWGs organized	Number of Project Board and SPM TWGs organized: Zero	B: 48 TWGs	36 TWGs (cumulative)	35 TWGs (cumulative)	TWGs being held according to schedule
C: Rate of donor satisfaction with timeliness and quality of donor reports	Rate of donor satisfaction with timeliness and quality of donor reports: To be established	Between 8 and 10 on a 10-point scale	Between 7 and 10 on a 10-point scale	Donor satisfaction survey was conducted in July 2016, with a 7 score on the timeliness and quality of donor reports.	A follow-up donor satisfaction survey will be held in Q4 2016.
D: Number of UK Due Diligence recommendations implemented	Number of UK Due Diligence recommendations implemented: 6 out of 11	100% (11 out of 11)	8 out of 11	7 recommendations implemented	Four remaining UK DDA recommendations are under implementation
E: Percentage of audit recommendations that is on schedule for implementation	Percentage of audit recommendations that is on schedule for implementation: 75% (6 out of 8 implemented)	100% (8 out of 8)	80%	7 out of 8 implemented (75%)	The implementation of the remaining recommendation is in progress.
F: Extent to which data collection methodologies for indicators are implemented	Extent to which data collection methodologies for indicators are implemented: Baselines and data collection methodology yet to be confirmed/developed for each indicator.	Data collection methodology applied for improved data collection and analysis for Q3 and Q4 reports	Data collection methodology developed and implemented	A data monitoring tool has been developed for the SPM and is being used to collect data on a monthly basis. The SPM has revised the M&E framework specifically the indicators. The revised framework is awaiting approval.	

IV. MOIA AND POLICE DEVELOPMENT PROJECT

Component 1: Institutional Development

A. Output 1: MOIA capacity to lead and manage reform

Interventions in the MPD project to build MOIA's capacity to lead and manage reform focus on the following areas: i) change management, ii) civilianization, iii) capacity development to improve functional performance, iv) strategic-level monitoring and evaluation; and v) aid coordination. However, the relevant MOIA units responsible for these work areas – namely the General Directorate of Monitoring & Evaluation (GD M&E), Aid Coordination Directorate, and Capacity Development Coordination Unit (CDCU) – are not adequately staffed. A new proposal to recruit additional 125 civilian staff within the MOIA has been endorsed by H.E. Minister and approved by donors. The recruitment is now underway and will provide mid-to-lower level civilian capacities in the key areas that the MPD Institutional Development team supports. Until this staffing situation is fully addressed, the MPD capacity building and development activities are going to be less than effective.

On the change management, the recruitment for an international expert to assess the MOIA's change readiness has been finalized. As discussed in the Q2 progress report, there was little traction within the MOIA leadership for the planned establishment of a Change Management Unit (CMU) to support the MOIA in its reform process. Thus, it was decided that a change readiness assessment would be needed to understand – among other things - political will and capacity for change, leadership styles and power distribution, middle management's predisposition toward the change, employee readiness for change, and risks and anticipated obstacles. In addition, the assessment will identify key reform priorities that are ripe or should be recommended for consideration under a change management approach.

On civilianization, a workgroup - comprising the DG Planning and Policy, Deputy Chief of Personnel, Human Resources Director, Force Management Department, UNDP, RS, and SSMI - has been established and has developed a draft roadmap for civilianization. The human resources gap severely obstructs the reform and development agenda of MOIA. Therefore, a core feature and priority of MOIA's reform strategy rests upon the concept of civilianization. In the past, attempts for civilianization were ad-hoc and lacked a comprehensive approach to support a long term strategy. Thus, the workgroup has been set up to develop a comprehensive roadmap for implementation and sustainment of civilianization. The draft roadmap outlines "end-to-end" processes, roles, responsibilities, timelines and resources required to implement the strategy. It will also help align national and international resources in line with the objectives of this roadmap and establish monitoring mechanisms to oversee implementation.

To ensure uptake of re-engineered, digitized business processes as well as new management information systems (MIS), the CDCU has rolled out basic computer and IT training to targeted MOIA staff and Directorates. Findings from a training needs assessment of the Health Directorate reveal that over 70 percent of staff require training on basic computer programs, including MS Word, MS Excel and MS Windows. A majority of staff

interviewed also stated that they lacked the knowledge and skills to use the internet and email. Without these basic IT and administrative skills, MOIA personnel would not be able to take full advantage of the new, digitized business processes and/or MIS. In collaboration with the Education and Training Unit of the MOIA's ICT Directorate, the CDCU has rolled out a computer and IT training to 125 staff of the Health Directorate and is in the process of expanding it to other Directorates, including Procurement, Facilities, and Logistics. The aim is to ensure MOIA staff in key functions will be able to use computers, internet and email in routine office work and communication.

Regarding the M&E system, good progress has been achieved on a number of fronts in the reporting, including endorsement of the M&E Framework by the M&E Board, agreement on M&E governance and reporting arrangements, development of M&E capacity development curriculum, expansion of M&E capacity to additional eight Directorates, and a workshop to develop an integrated gender workplan and M&E framework.

The MPD project took lead in developing the M&E Framework which explains the purposes, processes, and roles of M&E within the MOIA as well as standards and needs regarding data collection, management and reporting. The Framework has been finalized and will be submitted for endorsement by the M&E Board, chaired by the Minister in October 2016. The agreed governance and reporting arrangements are as depicted in Figure 1 below. The M&E Board is chaired by the Minister of Interior Affairs with six Deputy Ministers (DMs) and the Inspector General as members. The Board will meet on a quarterly basis to review the monitoring reports in order to assess implementation progress of the MOIA Strategic Plan and ensure that the required resources are committed for achievement of results. The General Directorate of Monitoring and Evaluation (GDM&E) will serve as the secretariat to the M&E Board and will be supported by the M&E Technical Working Group (M&E TWG) with representatives from DMs' Offices and independent Directorates as well as national and international partners. The M&E TWG will meet on a monthly basis to review and coordinate progress against the M&E Plan milestones and recommend actions to solve problems and/or mitigate risks.

The MPD project also organized a three-day training workshop on M&E Planning and Expansion. The workshop targeted a total of 16 Directorates including, the original eight Directorates, which developed M&E plans last year, as well as additional eight Directorates, which MOIA targeted for expansion.² Thirty-eight MOIA personnel including GDM&E staff and M&E focal points across all 16 Directorates participated in the workshop which covered training on M&E concepts, the M&E Framework, the M&E reporting database, and the MOIA 3-Year Strategic Plan.

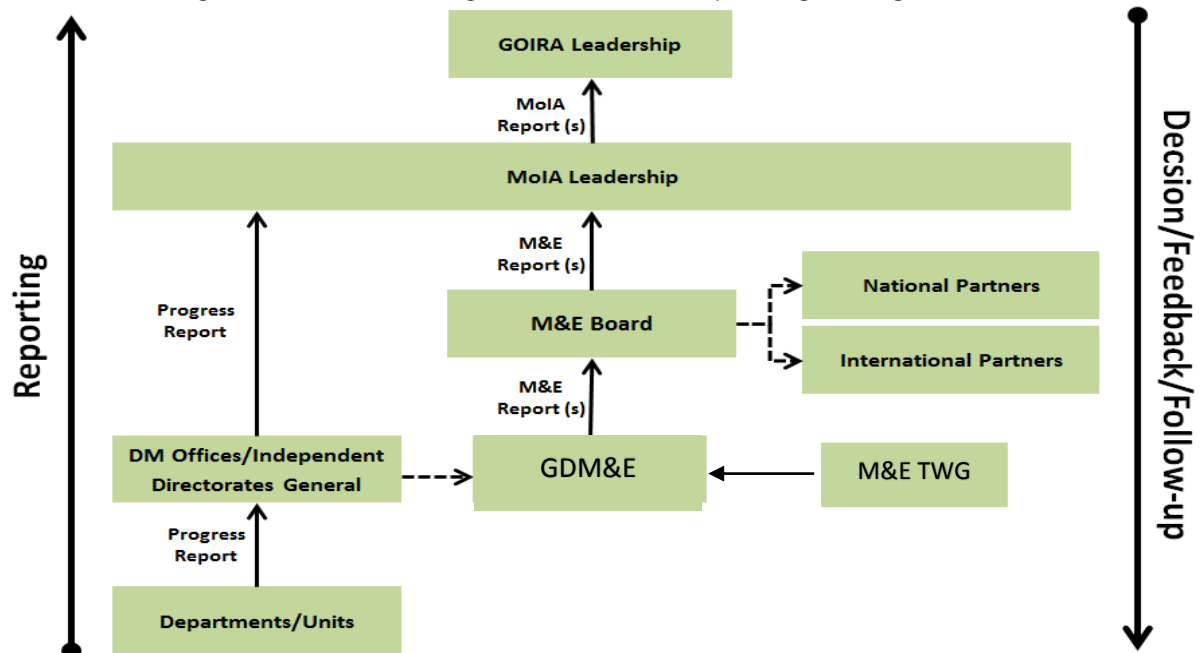
Furthermore, the MPD project has also developed a comprehensive M&E capacity development curriculum for the GDM&E personnel. All M&E related topics from the basic level to advanced level are divided into seven modules with detailed explanation of the

² The 16 directorates include: GD Finance & Budget, GD Logistics, GD Procurement, GD Information Communication & Technology, GD Personnel, GD Criminal Investigation, GD Recruitment, GD Policy & Plan, GD International Cooperation, Directorate of Health, Directorate of Facilities, Directorate of Media & Public Relation, Directorate of National Identity Card, Directorate of Programme Budgeting, and Directorate of Education.

subjects and examples. The new M&E curriculum will be used in future GDM&E's Training of Trainers (ToT).

In addition, the MPD project, in partnership with the Gender Directorate, conducted a 2-day workshop in August 2016 which brought together the relevant Departments' and Directorates' staff responsible for the activities in the MOIA's Gender Workplan to discuss and develop Gender M&E and Implementation Plans that can serve as practical tools to help track and report on the implementation progress of MOIA's gender activities and obligations.

Figure 1: MOIA's M&E governance and reporting arrangements



On aid coordination, the GDIC database development is finalized and is in the test phase. The database is a fully integrated part of MOIA's Aid Effectiveness Strategy and supports the implementation of GDIC's partnership mandate. The user manual has been developed and Dari and Pashto translations of the user interface have been completed. After several discussions, the ICT Directorate of MOIA has provided a separate server to host the database, which is now online and can be accessed from outside of the Ministry. Furthermore, donors have been notified to introduce their focal points to GDIC who will be trained and will be able to upload their data into the database.

The draft Aid Effectiveness Strategy has been developed, shared with donors for comments, finalized and submitted for MOIA review and approval. The Strategy has three main objectives/result areas, namely: i) MOIA capacities and institutional arrangements for managing development cooperation are strengthened, ii) All external support is aligned with MOIA priorities; and iii) Mechanisms for promoting effective partnering and delivering results are managed under the leadership of MOIA/GDIC.

Overall, the progress for Output 1 of the Institutional Development component is largely on track. However, the establishment of the Change Management unit is three quarters behind schedule.

Table 9: Summary of Progress on Output 1 of the Institutional Development Component of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
1.1 Extent to which Change Management Unit is functional	Not functional	Not functional	Not functional.	Not functional.	The proposed establishment of CMU needs to be revisited with a change readiness assessment. A qualified consultant has been recruited for the assessment.
1.2 Extent to which Capacity Development Coordination Unit (CDCU) is functional	Not functional	Partially functional	Not functional.	Not functional.	Currently, the unit has no MOIA Tashkil and no plan to request for Tashkil. Unit is staffed by 4 MPD consultants who initiated capacity needs assessments with concerned directorates. The CDCU has rolled out a computer and IT training to 125 staff of the Health Directorate and is in the process of expanding it to other Directorates.
1.3 Extent to which Aid Coordination Directorate is functional	Not functional	Partially functional	Between not functional and partially functional.	Between not functional and partially functional.	Currently, 2 Subject Matter Experts SME and 1 MPD consultant are supporting the Aid Coordination Directorate. 9 Tashkil positions were approved as part of the recent 125 civilian positions. The GDIC database development is finalized and is in the test phase. The user manual has been developed; the database is now online and can be accessed from outside of the Ministry. Donors have been notified to introduce their focal points to GDIC who will be trained and will be able to upload their data into the database.
1.4 Extent to which M&E system is functional	Partially functional	Moderately functional	Partially functional.	Partially functional.	Currently, 1 SME, 1 MPD consultant, and 1 MPD staff are supporting the GD of M&E. 8 positions approved as part of the recent 125 civilian positions. M&E Framework submitted for endorsement by the M&E Board, agreement on M&E governance and reporting arrangements, development of M&E curriculum, expansion of M&E capacity to additional eight Directorates, and development of gender workplan and M&E framework.

B. Output 2: MOIA administrative and police support services

In addition to the capacity to lead and manage reform, the MOIA has agreed to work with the MPD project to improve performance of the following administrative and support areas which are critical for the functioning of the police services and for the safety of police personnel: i) streamlining MOIA's organizational structure and business processes, ii) a comprehensive review and development, as needed, of human resources policies, iii) optimization of existing ICT assets and scoping for Enterprise Resource Planning (ERP); iv) implementation support for the MOIA Gender Strategy; and v) support to programme budgeting.

Regarding the work on streamlining and re-engineering of business processes, an assessment to understand core functions and underlying processes of 7 MOIA Directorates³ was conducted, resulting in an inventory of approximately 400 high-level processes and sub-processes as well as a shortlist of 17 end-to-end processes selected for mapping, redesigning and codification in the pilot and implementation phases. The MPD project has a vision to transform manual, paper based, time consuming and low efficient processes into efficient and transparent processes. This would further help in inculcating transparency, accountability and a sense of responsibility in executing processes of MOIA. During the scoping phase, the MPD project and BPR experts identified and developed the following inventory of key functions, high-level processes, and sub-processes in the 7 MOIA Directorates.

Table 10: Inventory of key functions and business processes in 7 MOIA Directorates

Directorates	No. of Departments/Units	No. Key Functions	No. High-level Processes	No. Sub Processes
Health	13	31	36	73
Facilities	6	14	23	44
Procurement	7	24	26	59
Personnel	7	13	20	38
Budget and Finance	7	32	29	22
Logistics	9	23	50	104
ICT	14	49	52	53

The processes were categorized into Government to Government (G2G), Government to Business (G2B) and Government to Citizens (G2C)⁴ and prioritized using methodology of Six Sigma Quality Function Deployment Tool. Accordingly, quality parameters critical to the end beneficiary were defined and ranked. As a result, the following 17 end-to-end processes were selected for mapping, redesigning and codification under the current contract with the international consulting firm – Ernst & Young India.

³ Seven Directorates include Personnel, Finance and Budget, Procurement, Logistics, Facilities, Health, and ICT

⁴ Note that Government to Donor (G2D) was also considered under G2G and G2B

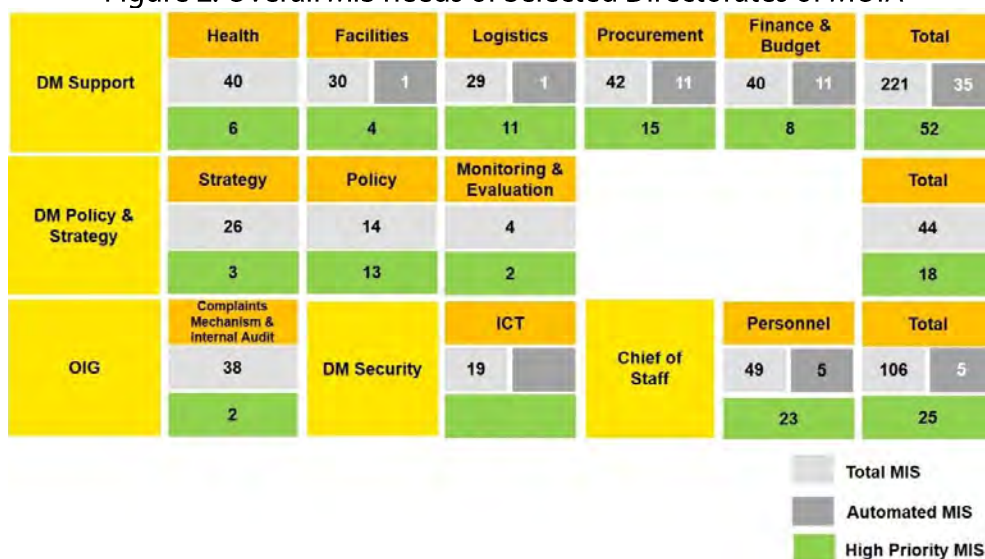
Table 11: A list of end-to-end processes selected for mapping, redesigning and codification

No.	Directorate	High-level Process	Sub process	Phase
1.	Directorate of Health	Handling the patient at polyclinic	Registration of patient at polyclinic	Pilot and implementation
2.	Directorate of Health	Handling the patient at polyclinic	Discharge of patient from polyclinic and referral to hospital	Pilot and implementation
3.	Directorate of Health	Handling the patient at hospital	Registration of patient at hospital	Pilot and implementation
4.	Directorate of Health	Handling the patient at hospital	Discharge of patient from hospital	Pilot and implementation
5.	Directorate of Health	Storage and Distribution	Store medical goods at store and dispatch to all clinics	Implementation
6.	Directorate of Facilities	Project monitoring	Inception of work and periodic monitoring of work progress	Implementation
7.	Directorate of Facilities	Project monitoring	Preparation of completion report for processing of payment	Implementation
8.	Directorate of Facilities	Maintenance	Conduct maintenance on receipt of request from MOIA/ Directorate of Facilities	Implementation
9.	Directorate of Personnel	Management of martyr and disabled	Collection and maintenance of information regarding martyr from province/ zones	Implementation
10.	Directorate of Personnel	Management of martyr and disabled	Allotment of shrouding and other funeral material	Implementation
11.	Directorate of Personnel	Compensation payments	Process for advance payments for release of compensation to Martyrs family	Implementation
12.	Directorate of Personnel	Compensation payments	Process to open bank account for martyrs and credit allowances to the bank account of beneficiary	Implementation
13.	Directorate of Personnel	Maintain logistics and monitor disbursements	Manage logistic arrangements to transfer martyr to hometown/ concerned province	Implementation

14.	Directorate of Personnel	Maintain logistics and monitor disbursements	Monitoring of disbursements of allowances to martyr family/ disabled police staff	Implementation
15.	Directorate of Personnel	Facilitate payment of allowances to disabled	Process for payments of allowances to disabled	Implementation
16.	Directorate of Personnel	Facilitate payment of allowances to disabled	Process to open a bank account for disbursement of allowance to disabled	Implementation
17.	Directorate of Personnel	Follow-ups on disappeared police staff	Follow-ups with provinces/ zones for disappeared police staff	Implementation

On the development of MIS, the MPD project and international experts conducted an assessment with 12 selected Directorates of MOIA to understand the MIS requirements/needs and identified 95 high priority reports that can be prioritized for MIS design and development. In addition to the work on BPR, the MPD project also intends to design and develop MIS for select, priority Directorates and Departments in order to redress the concerns of the current system which is tedious, error prone and time consuming. Based on discussion with officers of respective Directorates/Departments related to MIS/reports, it reveals that 401 reports are currently being prepared and out of which 95 are high priority with 40 reports already being automated (see Figure 2).

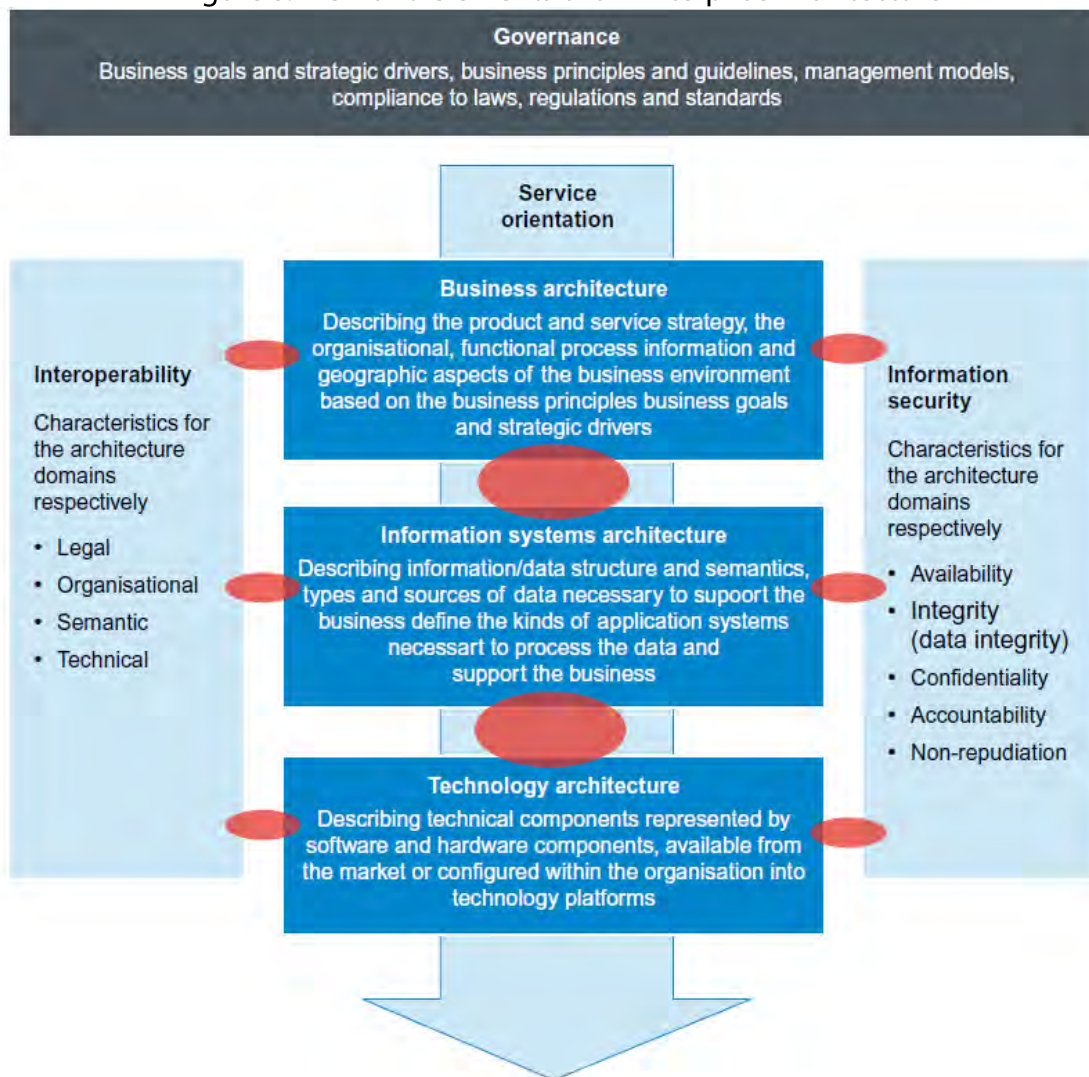
Figure 2: Overall MIS needs of Selected Directorates of MOIA



Based on the assessment findings, discussions are underway to agree on an appropriate approach which could involve selecting common MIS modules to cover the MIS/reports needs for identified Directorates as opposed to developing separate data entry forms to generate MIS reports. The proposed approach would provide flexibility in terms of generation of reports and allow for future integration with any ERP system.

With regard to the ICT/ERP development, UNDP and MOIA have initiated discussions to assess the feasibility of supporting an Enterprise Architecture view towards ICT and MIS improvements. Based on the findings in scoping phase, it was revealed that CSTC-A had already initiated substantial work on establishing the ICT infrastructure for MOIA. This includes the design and procurement all the necessary ICT assets. In addition, application development, such as APPS, is also under development by CSTC-A teams. Therefore, it was viewed that UNDP would be better situated to build on these efforts rather than duplicate efforts where advanced progress has already been achieved by other partners. Given the BPR work, UNDP and MOIA are now better equipped to offer Business Architecture view as to the ERP, MIS and application needs and requirements for MOIA. Through this approach, UNDP can offer a complete organizational perspective on needs of MOIA's Information Systems Architecture and Technology Architecture, which can inform UNDP's and other partners' efforts in ICT and MIS development.

Figure 3: View and elements of an Enterprise Architecture



Regarding the work on human resources policies, 30% of the Staff Manual content has been developed. In close consultation with the General Director for Planning and Policy, a total

of 22 policies were reviewed for their relevance to inclusion in the Staff Manual which intends to serve as a guide for the uniformed personnel of the ANP with information relating to the various conditions of employment, including rights, obligations, and benefits.

The MOIA with support from the MPD project has also initiated discussion on south-south cooperation and exchanges of visits of delegations and HR experts with the Government of India. A terms of reference for an Indian Police Service Expert to assist with the production of the Staff Manual by providing relevant experience of Indian Police sector and international practices has been developed.

During the reporting period, MPD's HR team provided technical inputs to the Office of the DM Policy & Strategy to develop and review terms of reference for the additional 125 civilian staff within the MOIA, particularly in key areas supported by the MPD Institutional Development team, namely M&E, internal audit, policy and strategy, aid coordination, and ICT.

On the support to programme budgeting, technical backstopping to the Programming Analysis and Evaluation Department (PA&E) in reviewing and analyzing the budgetary requirements for FY 1396 and on-the-job training to MOIA budgetary units have been provided. The MPD project supported PA&E in the aggregation of budgetary requirements as well as the management and facilitation of the Colonel's Committee meeting⁵, which resulted in the finalization and internally endorsement of Budget Circular 2 (BC2)⁶. The MPD project also provided on-the-job-training on newly developed budgetary requirements identification form, MOIA Programme Structure and Chart of Accounts to selected MOIA personnel to properly plan, prioritize and submit their budgetary requirements to PA&E in compliance with the requirements of the MOIA's Programming Directive and Ministry of Finance (MoF)'s Budget Calendar.

Furthermore, the MPD project has rolled out training on programme budgeting to provinces in 3 of the 8 regional zones, resulting in a 20% increase in the number of trainees who demonstrate the required knowledge. The plan is to roll out training in all eight regional zones of Afghanistan. During this reporting period, it has been conducted in the central (Kabul), West (Herat), and North (Bamyan) regions. The training content includes:

- An overview of Program Budgeting Approach
- Presentation and explanation of Requirements Identification Form
- Presentation and explanation of Programming Directive
- Presentation and explanation of Operations and Maintenance of Public Assets
- Presentation and explanation of BC1 and BC2
- Presentation and explanation of MOIA Program Structure
- Presentation and explanation of CSTC-A Commitment Letter
- Presentation and explanation of Costing Methodology of Budgetary Requirements

⁵ MOIA is required to conduct two consultation sessions with MOIA and CSTC-A officials - Colonels' Committee meeting and Generals' Committee meeting - to review, analyze and endorse the proposed requirements for the next fiscal year.

⁶ BC2 provides detailed costing of the approved program activities and ensures projects are well designed and fully developed.

Approximately 110 people of targeted 400 have been trained so far. In order to gauge the level of knowledge on programme budgeting, pre- and post-training assessments were also carried out, and a score of 70% is required to demonstrate the possession of required knowledge. On average, the pre-training assessment showed that only 40% of the trainees had the required knowledge prior to the training. However, after the training was completed, this number has increased to 60% as evident in the post-training assessment.

On gender mainstreaming, the MPD project – in partnership with the Gender Directorate - conducted a 2-day workshop which brought together relevant staff in selected Departments and Directorates to discuss and develop Gender M&E and Implementation Plans based on the MOIA's approved 1395 Gender Workplan. The workshop aimed to a) create awareness and understanding on national gender frameworks and policies and the linkages between these and MOIA policies; b) support alignment between national and institutional activities; c) develop an integrated gender plan and M&E framework, which serve as practical tools to track and report on the implementation progress of MOIA's gender activities and obligations. 25 MOIA personnel from different MOIA Departments and Directorates participated in the workshop and the drafting of a Gender Implementation Plan and M&E framework.

Furthermore, the MPD project is also supporting the Gender Directorate to set up a Gender Working Committee as a mechanism to track the implementation of gender activities. The terms of reference for the Committee has been approved in Q3 by the Minister. The Committee comprises relevant MOIA Directorates, international partners, and civil society representatives and will meet on a quarterly basis to ensure the effective and efficient implementation of gender activities as well as identifying and soliciting capacity development and budgetary support from the MOIA leadership and the international community.

In addition, the MPD project also supports the MOIA in its female recruitment campaigns which aim to sensitize communities on the need for women in the police and the importance of their role in providing security services. The project has developed appropriate outreach materials and messages and submitted them to the Recruitment Directorate for review. The campaigns will target secondary and high school female students as well as female university students in selected provinces.

Overall, the progress for this Output 2 of the Institutional Development component is slightly behind schedule due to the delay in the deployment of a firm for BPR and ICT/MIS/ERP development.

Table 12: Summary of Progress on Output 2 of the Institutional Development Component of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
2.1 Degree to which the Business Process Reengineering is successfully implemented in targeted Directorates/Departments	Very low	Low	Very low	Very low	400 high-level and sub-processes identified in 7 MOIA Directorates, and 17 end-to-end processes shortlisted for mapping, re-design, and codification.
2.2 Extent to which Personnel and HR departments are knowledgeable about new HR policies	Very low	Very low	Very low	Very low	22 HR-related policies reviewed for relevancy with gaps and areas for improvements identified. 30% of Staff Manual content developed. The indicator can only be measured once the new HR policies are developed and once an assessment has taken place.
2.3 Degree of involvement of Personnel and other relevant Departments in developing the Staff Manual	Very low	Very high	Moderate	Between low and moderate	Requires stronger buy-in from the Personnel Directorate.
2.4 Extent of ICT systems' interoperability across MOIA departments (1=isolated, 2=connected, 3=functional, 4=domain, 5=enterprise)	Connected	Functional	Connected	Connected	Discussions initiated for UNDP to assess the feasibility of supporting an Enterprise Architecture view towards ICT and MIS improvements.
2.5 Degree to which the development of MIS systems is successfully implemented in targeted Directorates/Departments	Very low	Low	Very low	Very low.	Assessment reveals that 401 reports are currently being prepared and 95 of which are identified as high priority. An appropriate approach for MIS development being discussed.
2.6 Extent to which the MIS systems are utilised by target directorates and departments	TBD (To be established once MIS developed)	TBD	-	-	To be established once MIS developed.
2.7 Percentage of targeted directorates/departments that have utilized budget for implementing the 1395 Gender Implementation Plan	Nil (1395 Gender Implementation Plan approved)	TBD	TBD	TBD	A 2-day workshop conducted with relevant MOIA staff. Draft Gender Implementation Plan and Gender M&E framework developed. ToR for Gender Working Committee approved by the Minister.
2.8 Degree of capacity of relevant MOIA personnel, both at national and sub-national levels, to effectively implement	Very low	Low	Very low	Very low	Technical backstopping provided to PA&E. 3 of the 8 regional zone training on programme budgeting rolled out.

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
the programme budget planning and formulation					

C. Output 3: Internal control and accountability

Following the assessment of the OIG's internal audit function, in Q3 the MPD project has continued to improve the internal audit capacity to ensure better transparency and accountability in the MOIA. In this regard, the project designed and organized training for all audit staff of the OIG in the following areas:

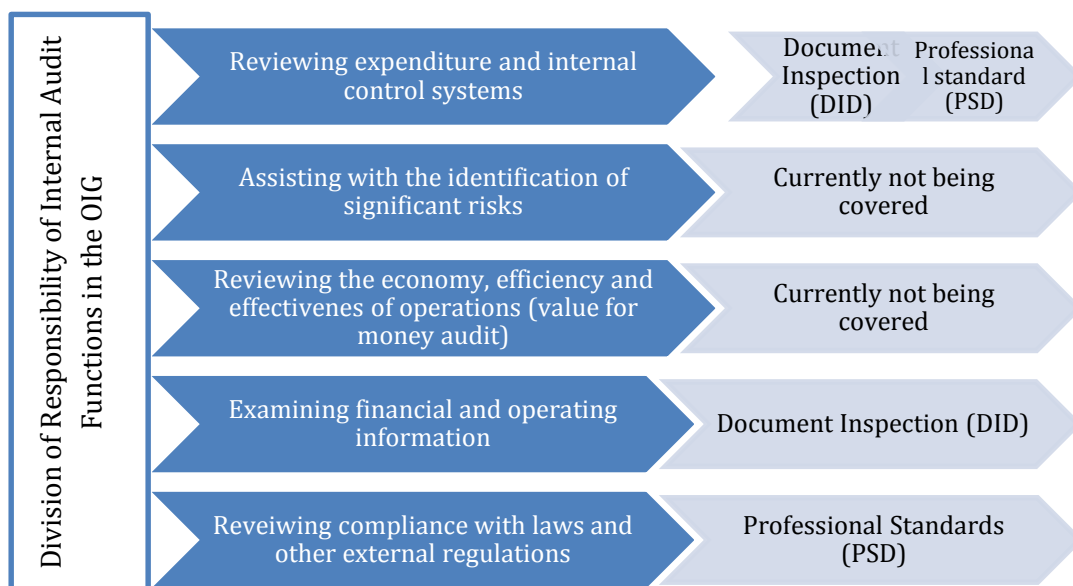
- **Strategic and risk-based audit planning:** MPD's audit team designed and conducted a three-day training on 11-13 July on "Strategic and Risk-based Audit Planning" for 25 MOIA audit staff. Presently, the MOIA audit teams conduct audits based on a 100% verification of all expenditures, without first accounting for a risk-based assessment of the internal controls. Conducting this sort of risk analysis is key towards identifying notable risks within the system, enabling the OIG to deploy audit teams with greater efficiency and effect. This training, therefore, was designed to assist OIG staff to mitigate this gap.
- **Payroll internal audit checklist:** Payroll remains one of the 'high-risk' areas within the MOIA. The OIG and its audit functions, therefore, have a key role to play in ensuring effective controls and accountability systems are in place, especially as MOIA, donors and UNDP prepare for the transition of the payroll system to MOIA. In this regard, the MPD project supported the OIG to develop an audit checklist in order to verify and validate payroll and payroll-related expenses. In order to support rollout and use of this tool, the project team organized a two-day training workshop from 19-20 September to train internal audit staff. The training covered key conceptual principles on payroll expenses, an overview of the MOIA payroll system and a series of practical exercises to get audit staff familiar with the audit checklist. As evidenced by the pre/post assessments conducted, audit staff improved their understanding of the subject areas by 24%.
- **Internal audit observation and report writing:** Upon request of the Chief of Document Inspection Department (DID), the MPD project also organized a one-day basic training on audit report writing. The training covered basic topics on documenting, substantiating and formatting audit findings in line with international standards and practices. These measures are intended to scale up the quality of MOIA's audit reports so that they can be useful management tools to inform decision-making and oversight of MOIA's internal control system. The pre/post training assessment revealed a 7% increase in knowledge, prompting a need for further training in this regard.

In addition to providing classroom trainings and workshops, the MPD project supplements these with on-site observation and mentorship. This helps in a) ensuring newly learnt skills for classroom exercises can be applied and nurtured in "live" working environments; and b) provide informal and need-based support. During this reporting period, MPD conducted two such visits. This resulted in a number of observations and recommendations, which were shared with the OIG, in order to improve several functional and competency areas including, liaising/coordinating audit execution with the Supreme Audit Office, handling of manual records and record keeping procedures and the use of audit sampling methods to improve audit efficiency and planning.

Furthermore, the MPD project has completed a draft of a comprehensive Internal Audit Manual, which has been shared with the OIG. The manual outlines key procedures, concepts and tools across the full audit cycle and is in line with the international standards.

To support the rollout of the Audit Manual, the MPD project completed an analysis of the OIG’s existing organizational structure, aimed at assessing the role/responsibilities of each of the sub-organizational units responsible for carrying out the audit cycle and the efficacy of this current setup. The analysis revealed that key parts of the audit cycle are fragmented across several sub units, which greatly limits the execution of audit cycle (see Figure 4). The MPD project presented recommendations to the OIG to reform this structure and ensure all audit related functions are integrated within a department of the OIG. The OIG has accepted this recommendations and efforts have been taken by the IG to initiate this reform. If fully implemented, this reform effort will provide the requisite structure and process flow to effectively rollout the Internal Audit Manual.

Figure 4: Division of responsibility of internal audit functions in the OIG



On the complaints mechanisms, the MPD project made substantial gains towards revising policies and procedures that govern the complaints system within MOIA. This follows on from key findings revealed from a rigorous diagnostic and analysis process of the complaint system concluded during the Q2 reporting period. By the end of this reporting period, the project team successfully completed the development of a set of SOPs to receive, classify, record and follow-up complaints including their submission to ministerial authorities. In addition, the project team has drafted a Departmental Disciplinary Rules and Appeals process, which has been submitted to MOIA for their review.

As part of UNDP’s work to reform the complaint system within MOIA, the following are the key recommendations and new features proposed through UNDP’s work to date:

- Discerning between major/minor breaches as well as breaches committed by low/mid ANP and those committed by senior officers, and providing dedicated channels to handle these categories;

- Channeling complaints between those that warrant criminal investigation versus those that warrant disciplinary violation and procedures to handle both sets of complaints;
- Recognizing the unique role of the Provincial Chiefs of Police in managing disputes and empowering them to take on a greater role in registering and resolving complaints that originate within their areas of command. This would also reduce the massive backlog of complaints at HQ that limits trust and confidence in the system as well as re-instate their commanding authority; and
- Providing recommendations to reconsider the role of CID and the Intelligence Directorate in handling of complaints as well as recommending to consolidate the various “anti-corruption” sub-units within MOIA into one centralized body.

The MPD project has also invested efforts to socialize these findings and recommendations to relevant complaint “touchpoints”. Of the 23 recommendations, 14 have been shared with various complaint touchpoints and have been acknowledged and generally accepted. The remaining recommendations will be put forth through a working group given they transcend several directorates/departments within MOIA.

Overall, the progress for this Output 3 of the Institutional Development component is on track. Clear progress will be demonstrated in reviewing, upgrading and applying improved functions and mechanisms, with improved staff capacity to be built in 2017.

Table 13: Summary of Progress on Output 3 of the Institutional Development Component of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
3.1 Extent to which the internal audit staff in OIG understand Internal Auditing work and procedures in line with international (IIA – Institute of Internal Auditors) standards	Very low	Very high	Very low	Very low	The MPD project has started the implementation of its recommendations to improve the internal audit capacity to ensure better transparency and accountability in the MOIA. The MPD project’s training plan to improve MOIA’s internal audit capacity covers a number of topics. Three training topics were covered during training in Q3 (Strategic and risk-based audit planning, Payroll audit checklist, Audit report writing). The extent of staff’s understanding remains very low, considering the number of training topics remaining. An overall assessment will be conducted after the completion of all topics.
3.2 Extent to which the internal audit staff in OIG have acquired competencies in internal audit key functional areas	Very low	Moderate	Very low	Very low	Internal audit staff will be conducting internal audits in accordance with the new procedures toward the end of Q4. Their audit reports will be reviewed and evaluated to measure the newly acquired competencies. Thus, Q3 Actual remains the same as the baseline – i.e. very low.
3.3 Extent to which the policy and legal framework supports a well-functioning complaints mechanism	Not adequate	Moderate	Not adequate.	Not adequate.	Draft complaint handling procedures (SOPs) and draft Departmental Disciplinary Rules and Appeals process have been prepared and submitted to MOIA for their review. 14 of 23 recommendations to reform the complaints system have been shared and accepted.
3.4 Level of confidence of surveyed ministerial staff in using the complaint mechanisms (disaggregated by gender)	TBD	TBD upon completion of baseline	Survey developed.	Survey developed.	Survey developed and approved by MOIA. Baseline to be established in Q4 2016.

Component 2: Police Professionalization

D. Output 1: Police legislative, regulatory and policy framework

The Output 1 of the Police Professionalization component provides technical support and advisory assistance to the MOIA to undertake legal reviews and conduct an in-depth assessment of the current legal and regulatory framework. The aim is to ensure a proper legal statutory basis for the ANP to function as a law enforcement entity in accordance with relevant human rights and professional policing principles.

The MPD project - in consultation with the Head of the Legal Reform Sub-Committee and Head of Legal General Directorate, Gen. Abdul Rahim Shuja –has completed an assessment of the police legal framework and proposed 160 recommendations across 16 key topics pertinent to police (see Table 14). The assessment adopted a three-pronged methodological approach which takes into consideration i) international policing standards, ii) a comparative perspective through a foreign law review (India, Jordan and Canada), and iii) Afghan practitioners and sector experts through nationwide legal consultation workshops. The analysis was developed by consulting a range of resource materials from the United Nations Office of the High Commissioner for Human Rights (UNOHCHR), contemporary/contextual research that was conducted in Afghanistan in the similar field and from international best practice notes. The MPD project team rigorously reviewed the legal framework for Afghan police, encompassing the Constitution of Afghanistan, Police law, Police Inherent Law, Code of Criminal Procedure, EVAW Law, Anti-corruption law, and Human Rights Commission Law. The recommendations point to the need for redrafting relevant articles of the Police Law as well as legal referencing of articles from other laws in the Police Law.

Table 14: Number of legal form recommendations by policing topics

Policing Topics	No. recommendations
General principles	2 recommendations
Ethical and legal conduct	6 recommendations
Policing in democracies	7 recommendations
Non-discrimination in law enforcement	6 recommendations
Police investigations	15 recommendations
Arrest	15 recommendations
Detention	16 recommendations
The use of force and firearms	18 recommendations
Civil disorder, states of emergency and armed conflict	27 recommendations
Protection of juveniles	14 recommendations
The human rights of women	9 recommendations
Refugees and non-nationals	4 recommendations
Victims	8 recommendations
Police command and management	13 recommendations
Community policing	2 recommendations

Police violations of human rights	Redrafting of articles in police law, cross-references to other laws and/or policies
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To this end, the Minister of Interior Affairs has established a technical working group to review the recommendations and propose legislative changes in the Police Law. The analyses conducted by the MPD project has provided the Legal Department with an evidence-based platform to draw legislative proposals in the Police Law. In order to ensure necessary MOIA-wide and high-level buy-in, the Legal General Directorate proposed the establishment of the working group.

Lastly, following the Human Rights Due Diligence Policy Risk Assessment (HRDDP), the MPD project has engaged with key stakeholders to establish a better understanding of the existing human rights arrangements in the operations of ANP in order to develop a risk mitigation strategy to improve the human rights situation in the ANP. The HRDDP was completed in Q1 2016 highlighting human rights violations by the ANP in a number of areas including torture and ill treatment of conflict-related detainees, recruitment of children by the ANP constituting a grave violation and sexual harassment and violence towards female police women. In order to develop mitigation measures, a thorough desk review has been conducted which includes an updated risk assessment framework, mapping of existing mitigation measures in the country, mapping of existing legal and policy framework, and data collection from key MOIA counterparts, international partners, and civil society representatives.

Overall, the progress of Output 1 of the Police Professionalization component is on track, with some delays in completing the in-depth assessment of the current legal and regulatory framework for police.

Table 15: Summary of Progress on Output 1 of the Police Professionalization Component of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
1.1 Extent to which draft changes to the Afghan National Police Law target improvements from international conventions and standards agreed by the GOIRA including human rights and gender obligations	Very low	Low	Very low	Very low	Assessment completed with 160 recommendations in 16 key policing topics. An MOIA working group established to review and draft legislative changes.
1.2 Extent to which proposed changes to the legal framework governing police target improvements in operational effectiveness and efficiency	Very low	Low	Very low	Very low	Assessment completed with 160 recommendations in 16 key policing topics. An MOIA working group established to review and draft legislative changes.
1.3 Improvement of police's knowledge on human rights issues relating to their operations	Very low	Low	Very low	Very low.	Desk review completed and provides a better understanding of existing human rights arrangements in the operations of ANP. The HRDDP mitigation measures will be reflected in the human rights knowledge distribution channel established by the MOIA for police and mitigation measures strategy will advise on the necessary improvements.

E. Output 2: MOIA training and leadership development

This Output seeks to strengthen national capacity for enhanced police training and education, while at the same time promote an environment where female and male police officers are supported in advancing their careers through training and education.

The testing, selection and placement of forty instructors from the Police Academy and Staff College has been completed and the Preparatory programme for Master of Arts (MA) in Police Education and Law Enforcement has commenced. 54 (51 males, 3 females) of the 60 candidates (55 males, 5 females) from the Afghan National Police Academy and Police Staff College recommended by MOIA to the Preparatory programme completed a writing assessment and interviews were conducted by American University of Afghanistan with observers from UNDP and the Ministry and the top 40 candidates were selected for the Preparatory Programme which began in September 2016. These candidates will complete their preparatory coursework at the end of Q4 and 25 of them will be invited to continue in the Master's in Police Education and Law Enforcement.⁷

Following the agreement with the MOIA for UNDP to play a greater role in selecting and recruiting female cadets as well as designing and implementing the Sivas programme, the MPD project team has carried out a number of due-diligence activities to ensure a transparent selection process and proper induction sessions to prepare the new 250 female cadets for their departure to the Sivas Police Training Academy (SPTA). To mitigate the risk of sending cadets with low literacy, the MPD project team was involved in monitoring the cadet-selection examinations as well as in grading them. During the process, the MPD project team observed that some current ANP female personnel were taking part in the examination and requested the MOIA to provide new candidates. To ensure that the cadets are fully prepared, the MPD conducted induction sessions which included a half-a-day session on prevention of sexual harassment and an experience-sharing session from with past Sivas graduates. An inaugural ceremony, chaired by the Minister of Interior Affairs, was organized at the Afghan National Police Academy on 3 September prior to the departure of the female cadets for a 4-month training at the SPTA in Turkey.

Table 16: A chronology of events and preparation of Sivas training programme

Date	Event
16 July 2016	Signing of Letter of Intent between the MOIA and Sivas SPTA
11 August 2016	Signing of financial agreement between the MOIA and SPTA
13 August 2016	Selection examination – for candidates in Kabul
16 August 2016	Selection examination – for candidates from provinces
17 August 2016	Selection examination – for additional candidates replacing those who failed the test
23 August 2016	An experience-sharing workshop with past Sivas graduates

⁷ The acquisition of Master's level postgraduate qualifications for these ANP instructors is important for two primary reasons. Firstly, the Afghan National Police Academy (ANPA)'s inaugural four-year Bachelor program for ANP Commissioned officers is not meeting a Ministry of Higher Education requirement, because the instructors of the Bachelor Program do not possess requisite postgraduate qualifications. Secondly, the ANPA instructors are relying on short-term "Train-the-Trainer" instructional skills activities, usually delivered by international specialists, and involving translation.

31 August 2016	Japanese government formally approved the proposal
3 September 2016	Induction workshop and the inauguration ceremony at ANPA
4 September 2016	Training on prevention of sexual harassment and sexual assault
4 September 2016	Departure of female cadets to SPTA (first group)
10 September 2016	Departure of female cadets to SPTA (second group)
22 September 2016	Inauguration ceremony in Sivas

Following the assessment of the current MOIA promotional training in Q2, the MPD project organized a 4-day workshop to discuss the findings and identify actions to address challenges. As stated in the MOIA's Ten-Year Vision, promotion of ANP officers should be merit-based, ethnically balanced and in accordance with Police Inherent Law, their job performance, and without any discrimination. The workshop was conducted from 23-26 July 2016 to strengthen the assessment's findings and agree on actions to address challenges identified in the ANP promotion process, Captain to Major promotion, 1st NCO to 2nd Lieutenant promotion, and Police Inherent Law – see Table 17 for a summary of the workshop discussions. With approval from the DM for Administration, a committee has been established to follow up on the implementation of these actions.

Table 17: Summary of workshop discussions to address challenges in promotional training

	Challenges	Actions
ANP Promotion Process	Prevent promotions that are in contrary with legal provisions	MOIA training institutes to come up with practical plans and strategies
	Hire professional and experienced teachers in accordance with the Military Higher Education Law.	MOIA to develop strategies for implementing the Law
	Take entrance exam which can help prevent interference of authorities in introducing cadets to the promotion courses	Develop a plan and conduct a pre training assessment each year to nominate the right people
	Attract attention of donors in building methodic classes for technical trainings	MOIA to conduct an assessment and develop a proposal to donors
	Develop separate curricula and separate classes of promotions for 12 graders, Academy graduates, and others with bachelor degrees	Form a committee from related training institutes' professionals and academic boards to develop the curricula
	Specialize promotion trainings in accordance with the police units such as security, intelligence, boarder, and criminal investigation	Form a committee from related training institutes' professionals and academic boards to develop the curricula
	Establish training evaluation system to ensure effectiveness of the	Develop training evaluation tools

	training in improving knowledge, skills, and attitude of cadets	
	Establish training for promotion other ranks	Develop new trainings for other ranks
	Track promotion training results and ensure the implementation of new knowledge after completion of the trainings	Conduct an assessment of behavioral change and observe cadets work
	Authorize Police Staff College in conducting all promotion related trainings	Develop a policy to authorize Staff College
	Register all training certificates with MOIA HR and consider them while promoting and re-assigning ANP	Add a provision in the law and training and education policy to link HR with training as required
	A comprehensive training and education policy needs to be developed that can specify each training institute duties and responsibilities and standardize training system	Conduct a preliminary assessment of training institutes and assess the problems and develop a committee consists of DM Policy, DM Admin, Training Institutes, UNDP
	Establish a training database that can record all training related data for TGC, Staff College and Kabul Training Center	Work on the database which is developed for Training General Command (TGC)
Captain to Major Promotion	Decrease number of subjects from 16 to 13 and add more practical and field-based exercises, simulations, group discussions, observations, and use of videography	Curriculum development committee to review and develop needs-based subjects
	Add more specialized subjects based on the current units of ANP such as CID, boarder police, security, and intelligence	Review 2 nd Lieutenant positions' job descriptions and add practical scenarios to the curriculum
	Separate captain to major promotion classes for 12 grade graduates and police academy graduates	Bring it under a provision of a policy to separate and specialize classes; and develop a curriculum that can match their needs and are easy to practice
1st NCO to 2nd	A comprehensive review of the curriculum for improvements that can match 2 nd lieutenants' needs	Committee to be established from training institutes professionals and academic boards

	Add more practical scenarios and hypotheticals that can provide practical knowledge to the 2 nd lieutenants	Practical exercises to be developed and added to the new curriculum
Legal (Amendments in the Inherent Law)	Appointment or recruitment of Academy graduates and a 12 th grade school certificate holders as 2 nd lieutenant should be amended. Academy graduates should be 2 nd Lt and 12 grade in a lower rank. (Police Inherent Law, Article 6)	Amend the inherent law
	There is no pre-condition of education while hiring or recruiting someone as 3 rd NCO. It should stipulate at least primary or secondary education. (Police Inherent Law, Article 7, Paragraph 1)	Amendments to Police inherent law
	There is no condition when hiring someone as 1 st NCO ((Police Inherent Law, Article 7)	Amendments to Police inherent law
	There should be mandatory trainings of promotions for all ranks from Colonel to Brigadier General promotion. There should be provision in the Law to require writing of a number of police related topics by high ranking officers (Generals) when being considered for promotion	Amendments to Police inherent law

In addition, a similar 3-day workshop was organized to consult with MOIA training institutes on adjusting the current leadership training, and recommendations have been submitted to the DM for Administration to re-formalize the current leadership and management training curriculum to meet ANP's needs. The workshop encompassed 30 participants from DM Administration Office, Training General Command (TGC), Police Staff College, Afghan National Police Academy (ANPA), and Central Training Center. Series of recommendations toward both short term and long-term leadership development programs were discussed and shared. As a brief, a number of recommendations were formulated toward adjusting current leadership training based on the needs of ANP and to add more practical, life-based scenarios. The participants from the above training institutes have also conceptualized a long term future leadership programmes for male and female police officers by establishing a 6th faculty of future leadership to ANPA and Staff College's four-year Bachelor's Programme.

Lastly, preparations for a study visit to the Indian Police (IP) are in final stages. The MPD has incorporated South-South cooperation between ANP and other police and law enforcement institutions within the region as part of its capacity development strategy. The visit is due to take place in October 2016 and through close consultations with the Embassy of India, a tentative list of institutions for the study visit has been identified. These institutions have been chosen for their relevance to current ANP areas of development focus (see Table 18 for more details).

Table 18: Areas of focus for visit south-south cooperation with Indian Police

Institution	Details
Central Reserve Police Force (CRPF), New Delhi	Showing in practical terms how a Central Armed Police Force is able to command, control and coordinate its operation and at the same time keep the force in high morale and fine condition
Central Bureau of Investigation (CBI), New Delhi	Demonstrating as a model for best practices in criminal investigation.
National Crime Record Bureau (NCRB), New Delhi	Functioning as a clearing house of information on crime and criminals so as to assist the investigators and others in linking crimes to their perpetrators. A visit to NCRB will assist MOIA/ANP in conceptualizing a suitable organization for Afghanistan.
Delhi Police Training Centre at Jaroda Kalan, New Delhi	Similar to the Afghan regional training centres, providing training to the lower ranking officers and constables. The delegation will also visit the National Police Academy in Hyderabad which is an excellent institution for training of directly recruited NCOs. The delegation will also visit Andhra Pradesh Forensic Science Laboratory for in-depth knowledge of forensics in aid of criminal investigation.

While each of these proposed areas provide potential for specific learning opportunities, there is also potential for overarching experiential learning benefits for all participants. The visit will provide an example to the ANP of a separation of powers between a Police Force and its government, as opposed to Afghanistan’s model of Police directly subordinate to and encapsulated within a government Ministry. The visit interactions will also provide an opportunity for ANP officials to learn and gain an understanding on the Indian Police’s own civilian policing ‘journey’ as it progressed from being part of a colony’s police force meant to subjugate a people to an independent democratic police institution.

Overall, the progress of this Output 2 of the Police Professionalization component is delayed due to postponements of commencement timeline for the Future Leaders Programme, Master of Police Education programme, and development of ANP operational and service standards.

Table 19: Summary of Progress on Output 2 of the Police Professionalization Component of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
2.1 An Institutional Manual with service standards for ANP developed and approved by the MOIA leadership	Not developed /not approved	Partially developed/ not approved	Not developed/not approved	Not developed/not approved	Activities postponed to 2017 due to the need for more in-depth assessments of ANP's training institutions.
2.2 A new training platform developed from the ANP service standards is adopted by PHQ Commanders and Police Training Institutions' Commanders	Not developed	Partially developed			
2.3 The extent to which the new training platform improves the professional knowledge of police personnel	TBD	TBD			
2.4 Number of eligible instructors enrolled in the ANP Master's programme (disaggregated by gender)	Nil	25	Nil.	Nil.	40 candidates selected for the preparatory programme. The programme commenced in September 2016 and is due for completion in December 2016. 25 successful candidates will be invited to continue in the Master's in Police Education and Law Enforcement.
2.5 Number of eligible police officers enrolled in the Future Leadership Programme	Nil	nil	Nil	Nil	Workshop organized to review leadership training and recommendations submitted to MOIA. Future Leadership Programme is postponed to 2017.
2.6 Percentage of female police cadets successfully deployed across ANP after attending the Sivas training	80%	100%	80%.	80%.	250 cadets selected; induction sessions conducted prior to their departure. The Training programme commenced and is due to be completed in December 2016.
2.7 Percentage of police officers in each category (constable, non-commissioned, and commissioned) complete required training programme for their current category	Nil	nil	Nil	Nil	Workshop organized to review promotional training. Actions proposed and submitted to address challenges. An MOIA committee set up to follow up on actions.
2.8 Percentage of police officers in each category (constable, non-commissioned, and commissioned) who pass the required training programme for their current category	Nil	Nil			

F. Output 3: ANP community partnership approaches

This output supports efforts that are already in place to enhance collaborative approaches on community safety and security with community stakeholders. It focuses on the expansion and strengthening of selected key initiatives, including expansion of Police-e-Mardumi (PeM), functionality improvement of Police Women Councils (PWCs), expansion of police information desks, renovation of 119 call centres, expansion of District Safety and Security Survey, and functionality improvement of Family Response Units (FRUs). Crucially, they serve as external accountability mechanisms which can provide stakeholder feedback to improve police accountability and enhance the public trust and confidence of the police.

Regarding PeM expansion, the office establishment for PeM units in 12 provinces has been completed in Q3 and provincial conferences to inaugurate PeM offices and sensitize local authorities and communities were organized in 5 of the targeted provinces. The MPD project is supporting the MOIA to establish 12 new PeM units, along with community partnership councils in the following provinces: Nanghahar, Khost, Badakhshan, Takhar, Samangan, Fara, Kandahar, Daikundy, Faryab, Saripul, Punjshir and Kapisa. The new units are fully staffed and equipped with office furniture and ICT equipment. The MPD project team has organized PeM inaugural conferences to sensitize the communities and established police-community partnership councils in five provinces – see Table 20. The newly selected council members also participated in a 3-day training workshop which covered the following areas:

- Introduction to democratic policing and community-oriented policing principles;
- Roles and responsibilities of police-community partnership councils;
- Society & Security;
- Communication, negotiation, and problem-solving skills;
- Dealing with conflict;
- Peace and Human rights; and
- Security plans

Table 20: List of PeM provincial inaugural conferences and training workshops

Provinces	Dates of inauguration and training workshop	District where council is situated	No. of council members	No. of council members
Badakhshan	17-21 July	Kisham	32	7 (Female 2 nd Deputy)
Takhar	24-28 July	Farkhar	35	4
Samangan	10-15 August	Khoram-wa-Sarbagh	42	8 (Female 2 nd Deputy)
Saripul	24-29 August	Sayad	46	6 (Female 2 nd Deputy)
Faryab	31 August – 4 September	Pashtoonkot	44	5 (Female 2 nd Deputy)

Regarding police information desks, the MPD project team has completed assessments of the existing information desk infrastructure in 9 out of 12 targeted provinces⁸. Construction and/or renovation work will take place in 12 Provincial Police Headquarters and when completed, the information desks will help police establish better contact with their citizens and provide them better access to services.

Provincial baseline assessments of existing FRUs, PWCs, and PeMs have been completed and the findings will be used to inform policy dialogues and discussions among key stakeholders in designing appropriate interventions aiming at improving the functionality of these units. The assessment was conducted in ten provinces, including Nanghahar, Laghman, Kuner, Panjsher, Parwan, Herat, Kandahar, Balkh, Bamyan, and Kabul. The findings from the FRU and PWC baseline assessment reports were presented at Police Professionalization component’s Sub-TWGs in August and September respectively and the conclusions are summarized as follows:

Table 21: Summary of conclusions from FRU and PWC baseline assessment reports

FRU baseline assessment	PWC baseline assessment
<ul style="list-style-type: none"> • Capacity development of FRUs, at this stage, will not necessarily translate into greater levels of service and protection for victims of family violence • Clear demarcation between the ANP FRU’s and CID and AGO’s EAW Units, Women’s Affairs offices, civil society and professional women NGOs needs to occur • Clearer roles and responsibilities of ANP/FRU and CID within the MOIA structure required • If literate women cannot be recruited, then investments are not going to yield significant benefits • The oversight role of the central FRU needs to be revisited, as there is little evidence of any quality control or oversight. Broader governance and socio-cultural issues which deserve greater attention: <ul style="list-style-type: none"> – “Rule of Law” approach to take into account the level of societal acceptance in how VAW matters are dealt with, particularly in light of informal justice systems which are still the cornerstone of accessing 	<ul style="list-style-type: none"> • The broader issues – leadership, access to funding, capacity, and unintended consequences from affirmative action to increase female participation in the ANP - which are critical to the viability and success of PWCs must be addressed before attempting to improve the PWC functionality • PWC Code of Conduct – too ambitious and inapplicable in the context of Afghanistan, particularly given the challenges identified in the assessment • The increases of female recruitment over the past ten years can be seen as a positive sign, but simply trying to meet the female hiring target has evidently proven to be counterproductive to the overall gender reform efforts • To advance the full integration of women into all levels of the MOIA/ANP, PWCs cannot function in isolation • The PWCs are only one mechanism and must be supported by well-thought-out strategies, policies, and practices in staffing, recruitment, pay, promotion and training as well as availability of appropriate female facilities

⁸ The same list of provinces targeted for PeM expansion which includes Nanghahar, Khost, Badakhshan, Takhar, Samangan, Fara, Kandahar, Daikundy, Faryab, Saripul, Punjshir and Kapisa.

<p>justice for the majority of the population;</p> <ul style="list-style-type: none"> – Future support to FRUs should not be done in isolation, but involve a broader set of relevant stakeholders with a victim-centred approach; and – Need to strike a better balance between mediation, victim safety and offender accountability. 	<ul style="list-style-type: none"> • Efforts to improve prevention and response to sexual harassment, sexual discrimination, and gender-based violence will require an institutional response that is equipped with effective complaints mechanism and complaints handling processes that can improve the accountability and reduce impunity.
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As part of community and safety outreach campaigns, the MPD project is training and equipping PeM and FRU officers in 10 provinces with basic understanding of different safety issues as well as skills to plan and conduct outreach activities in schools and their communities⁹. A series of 2-day training for PeM and FRU police officers was rolled out in 10 provinces during this reporting period, covering the role of the police in a community and providing basic instruction on traffic, fires, floods, earthquakes, mine risk awareness and first aid. The training’s aim is to allow the officer to teach young people and people in their communities about some of the most common and important safety issues. The PeM and FRU officers were also trained on how to plan and facilitate outreach events as well as on building partnerships with communities, local businesses as well as other government entities in their areas. The campaigns will include 40 school and university outreach sessions, 30 community and police sport events, and 10 TV and radio talk shows regarding community safety and the role of the police.

Preparations for 2016 District Security Monitoring Baseline Survey (DSMBS) are underway and the survey will be conducted in 2017 in 40 districts of 20 target provinces. The survey was piloted in 2015 covering 15 districts in 7 provinces. The survey will provide information about communities’ perceptions of the security level, perceptions toward policewomen, police performance and effectiveness in dealing with incidence of crime and violence, types of services police provide, and communal access to police stations.

Lastly, The MPD project team has completed an assessment of the 119 Emergency Call Centre in Kabul, informing the need for equipment upgrade/replacement to install the Centre in the new MOIA compound.

Overall, the progress of Output 3 of Police Professionalization component is slightly delayed with reductions in the number of PeM units and information desks targeted for expansion in 2016.

⁹ The 10 provinces include Kabul, Panjshir, Balkh, Kapisa, Samangan, Takhar, Faryab, Nangarhar, Daikundi and Badakhshan

Table 22: Summary of Progress on Output 3 of the Police Professionalization Component of MPD project as at the end of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
3.1 Percentage of 8 existing Police-e Mardumi units that are fully functional	Nil	Nil, but expect 25% of existing PeM units to be moderately functional	Nil	Nil	Baseline assessment completed for 4 of the 8 existing PeM units. One was found moderately functional; two partially functional; and 1 not functional.
3.2 Percentage of 12 new Police-e Mardumi units that are fully functional	Nil	Nil, but expect 25% of newly established PeM units to be moderately functional	Nil	Nil	Office establishment completed for PeM units in 12 target provinces and provincial inaugural conferences organized in 5 provinces.
3.3 Percentage of 12 new Police-e Mardumi committees that are fully functional	Nil	Nil, but expect 25% of newly established PeM units to be moderately functional	Nil	Nil	5 of 12 target committees established and a 3-day training conducted for committee members.
3.4 Percentage of 12 new Police-e Mardumi committees that have female community member participation	Nil	25%	Female committee members in all of the newly established committees	Female committee members in all of the newly established committees	All of the 5 newly established committees have female community members.
3.5 Percentage of established Policewomen’s Councils in 6 targeted provinces are fully functional	Nil	Nil, but expect 50% of targeted PWCs to be moderately functional	Nil	Nil	Baseline assessment completed. Of 12 PWCs that were assessed (i.e. 7 provinces, plus 5 Kabul PDs), 10 were found to be “not functional” and 2 “moderately functional.”
3.6 Extent to which agreed Expansion Plan for Information Desks is rolled out	Not implemented	Moderate	Not implemented	Not implemented	Assessment of existing infrastructure completed for 9 of the 12 target provinces.
3.7 Percentage of new information desks that have female staff	Nil	50%	Nil	Nil	Tashkil to be approved and allocation of female staff to be discussed with MOIA.

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
3.8 Degree to which the new case management system for targeted 119 ECCs is successfully implemented	Very low	Low	Very low	Very low	Assessment for 119 ECC in Kabul completed and 4 specific recommendations made for 119 which include a revised categorisation of complaints/reports for 119.
3.9 Percentage of callers who are satisfied with the 119 service (disaggregated by location and gender)	TBD	TBD	Callers' satisfaction survey to be completed.		Callers' satisfaction survey was completed, but suffers from a sample selection bias and it will be conducted again.
3.10 Number of districts included in the DSSS	15	15	15	40	Procurement process initiated and it was agreed that the survey will cover 40 districts in 20 target provinces.
3.11 Improvement of relevant staff's knowledge on data analysis and application of RoLIS	Nil	Moderate	Nil	Nil	A suitable Police Data expert identified, but due to personal situation, the consultant could not join the project. Position has been re-advertised.
3.12 Number of DSMBS survey indicators integrated into MOI's leadership M&E framework	Nil	3	-	-	Pending completion of 2016 survey
3.13 Percentage of the existing Family Response Units in 6 targeted provinces that are fully functional	Nil	Nil, but expect 25% of FRUs to be moderately functional	Nil	Nil	Baseline assessment completed. Of 17 assessed FRUs, 2 were between moderately and nearly-fully functional; 1 moderately functional; 1 between partially and moderately functional; 8 between partially and not functional; and 3 not functional.
3.14 Improvement of public's perceptions, especially among youth, toward police following outreach campaigns	TBD	50% improvement from baseline	Pre/post questionnaires designed.	Pre/post questionnaires designed.	Pre/post questionnaires designed

Project Management Support

A. Output 1: MPD project implementation

Human Resources

In this reporting period, the MPD project has recruited 2 national staff and 2 consultants, namely the Gender Coordinator, Communication Officer, International Consultants for Mainstreaming Human Rights in Policing and Change Readiness Assessment. Table 23 below shows the current MPD staffing and future plans.

Table 23: MPD project's staffing

Positions	As of Q3 2016	Recruited in Q3 2016	Future plan
National staff	45	2	4
International staff	9	0	4
National consultants	7	0	1
International consultants	5	2	1

Project relocation

Regarding the relocation to the new MOIA compound, a suitable location for the MPD project has been identified. The relocation was scheduled on 4 August 2016, but the approval process for security upgrading of the premises took much longer than anticipated – see Table 24 for details. Preparations are now underway and the office relocation is expected to take place in Q4 2016.

Table 24: Actions regarding relocation to new MOIA compound

Date	Action
6 January 2016	Letter sent to DM Support requesting for endorsement of a suitable location in the new MOIA compound
3 May 2016	Letter received from MOIA Facility Directorate with a relocation plan for UNDP LOTFA to commence on 4 August 2016
17 May 2016	Letter sent to DM Support to endorse security upgrading in the new UNDP LOTFA office
28 May 2016	Letter received from DM Support received advising UNDP LOTFA that the minister had not approved requests for building modification and changes MOIA compound. UNDP LOTFA sent another letter to the Minister explaining the situation and requesting his approval for the security upgrading work.
2 June 2016	The Minister endorsed the request and referred the matter to DM support to take action accordingly. The DM support referred the letter to the Facility Directorate to conduct an assessment for the changes and report back for approval.
19 June 2016	Facility Engineers and MPD construction Engineer conducted a site visit and completed the assessment. The assessment report was

	shared with the Facility Director to further send it DM support with a letter expressing their agreement with the suggested changes. Since then the assessment report was pending with the Facility Directorate. UNDP LOTFA made a number of follow-ups both with the Facility Directorate and DM Support office.
3 August 2016	Assessment report was sent to the DM support for endorsement
8 August 2016	Official approval from DM support office received for the security upgrading as requested.

Security

The month of July saw the blanket movement restrictions being lifted, but only to be imposed again on 24-25 July and again on 8-9 September in light of direct threats against the MOIA compound and the Masoud Day celebration protests respectively. The MPD staff continued to work in the wake of the attack on the American University of Afghanistan (24 August) and more recently, the attack on the CARE guesthouse (6 September) here in Kabul. There was a heightened state of alert around the capital and is also not reflected on the graph as project operational capability remained at around 92%.

In addition, as the MPD project continues to extend its operational reach out of Kabul and into provinces of Afghanistan, the project is constantly having to strike a balance between operational effectiveness and staff's security. During the reporting period, there were 11 missions to 16 provinces of Afghanistan, 1 of which was to a province with an extreme level security threat, 5 high level, 1 substantial, 4 moderate, and 5 low (see also Table 25 below).

Table 25: MPD Missions to provinces by security threat level

Total missions to provinces during Q3 2016	16
Average number of staff per mission	4
Number of missions to EXTREME threat provinces	1
Number of missions to HIGH threat provinces	5
Number of missions to SUBSTANTIAL threat provinces	1
Number of missions to MODERATE threat provinces	4
Number of missions to LOW threat provinces	5

TWG Coordination

The MPD project continued to regularly organize TWG and Sub-TWG meetings to communicate the progress of activities being implemented. In Q3 2016, 4 Sub-TWG and 3 TWG meetings were organized for the MPD project as well as one donor meeting and one Project Board meeting – see below for details:

- 2 Sub-TWG meetings for the Institutional Development component (19 July and 3 August 2016);
- 2 Sub-TWG meetings for the Police Professionalization component (12 July and 9 August 2016);
- 3 combined SPM/MPD Technical Working Group meetings (25 July, 29 August, and 26 September 2016);
- 1 donor meeting on 13 July 2016; and

- 1 Project Board meeting on 27 July 2016.

At the Project Board meeting, revisions to the 2016 Annual Workplan (AWP), budget, risk plan and the project's monitoring framework were presented and approved. The 2016 AWP budget revision was made based on a realistic assessment of what can be delivered in 2016. Major changes include:

- The overall MPD project Budget for 2016 reduced from \$30,687, 891 to \$21,207,660 (a reduction of \$9.48m).
 - Institutional Development Component
 - Original budget: USD 9,443,171, Revised budget: USD 6,704,604
 - The main savings was from Output 2 – approximately \$2m in BPR/ICT/MIS contract which will be spent in 2017
 - Professionalization Component
 - Original budget: USD12,065,366, Revised budget USD8,966,971
 - The main savings was from Output 2 - approximately \$2m in Masters programme which will be spent in 2017/18.
 - Construction of female bathroom/toilets – approximately \$1.6m which will be spent in 2017
- In institutional development component under Output-1. Activity Result 1.1, an extra activity to support MOIA in civilianization process has been included in the revised 2016 AWP.

LOTFA MPD has also been working to implement the remaining recommendations from the 2014 DIM audit, the Country Office Support Services to LOTFA audit and UK Due Diligence assessment. As of September 2016, eight of the 11 recommendations from the UK Due Diligence assessment have been implemented and three remain under implementation.

B. Output 2: Construction work carried over from LOTFA Akheri

Construction of DM Support Building

Limited progress is witnessed due to the delay by the MOIA Procurement Department to finalize the approval of the contract amendments for the constructor. The MPD project has arranged a number of follow-up meetings to discuss the issue with the MOIA. It was informed that both (first and second) contract amendments had not in fact been approved, and that the approval authority did not lie with the MOIA, but instead with the National Procurement Commission (NPC) which is chaired by H.E. the President. Given the contract value exceeding the MOIA's approval threshold, the original contract was approved by the NPC. As such, any amendments to the contract will also need to be approved by the NPC.

The MOIA has been working to address this administrative oversight and in July 2016 the MOIA informed UNDP that the amendment request had been submitted to the NPC. However, there has been no progress to date, and that the contract amendments remain pending. UNDP is in close communication with the Embassy of Japan regarding this issue. Given the number of extensions being granted in the past, the Embassy of Japan indicated that they would not accept any more extension requests beyond the current agreement's end date of 31 December 2016. Subsequently, UNDP communicated in writing the urgency to address these delays to representatives in the President Office on 29 August 2016 and

formally informed the Minister of Interior Affairs in writing. Currently, the completion rate of the construction work stands at 75%.

Construction of Female Police Toilets and Dressing Rooms

The construction of these female facilities is in line with the 10-Year Vision of the MOIA to increase female participation in the ANP and improve their working conditions. Due to the lack of proper facilities, female officers are forced to use toilets shared with men. This is considered unsafe and stigmatizing particularly in a culture where strict segregation of the sexes is the norm. Also, many female police officers cannot travel to work in their police uniforms due to security threats. Thus, there is an urgent need for separate, safe, and lockable restroom and dressing room facilities in police stations to prevent workplace sexual harassment of female police officers and create a non-discriminatory work atmosphere that respects their privacy and dignity.

The construction of female toilets and dressing rooms was originally planned in three selected provinces, namely Herat, Nangahar, and Balkh. However, the original assessment had to be reviewed to ensure there was still a need for the facilities and available space. This revision, including site visits took place over the 2nd and 3rd quarters. It was identified during these verification missions that CSTC-A also had plans approved by the MOIA Facilities Directorate to construct the same facilities in Mazar-i-Sharif. In order to avoid duplicating CSTC-A's efforts, the MPD project will not continue the planned construction of these facilities in Balkh. Work on identifying replacement sites will not proceed at this stage given the lack of direction concerning a project extension and the available time to complete this exercise by end of 2016. It should be noted that due to the ongoing delays experienced with the construction of the DM Support Building under the National Implementation Modality (NIM), it was agreed with the MOIA to proceed with the female toilet and dressing room construction under the Direct Implementation Modality (DIM). Given these changes in the construction sites and implementation modality, the tendering process could not be done in Q3 and will now be initiated in Q4 2016.

Table 26: Summary of Progress on Output 1 of the Project Management Support of MPD project as of September 2016

Indicator	Baseline	2016 Targets	Q3 Planned	Q3 Actual	Comments
A: Percentage of project implementation rate	0%	100%	35%	25%	
B: Number of Project Board and MPD TWGs organized	0	24 Sub-TWGs and 12 TWGs	6 Sub-TWGs, 3 TWGs	4 Sub-TWGs, and 3 TWGs	Two sub-TWG meetings were cancelled due to Eid holidays.
C: Rate of donor satisfaction with timeliness and quality of donor reports	To be established	Between 8 and 10 on a 10-point scale	Between 7 and 10 on a 10-point scale	Donor satisfaction survey was conducted in July 2016, with a 7 score on the timeliness and quality of donor reports.	A follow-up donor satisfaction survey will be held in Q4 2016.
D: Number of UK Due Diligence recommendations implemented	6 out of 11	100% (11 out of 11)	8 out of 11	7 recommendations implemented	Four remaining UK DDA recommendations are under implementation
E: Percentage of audit recommendations that is on schedule for implementation	6 out of 8 implemented	100% (8 out of 8)	80%	7 out of 8 implemented (75%)	The implementation of the remaining recommendation is in progress.
F: Extent to which data collection methodologies for indicators are implemented	Data collection methodology yet to be established	Data collection methodology developed and implemented for quarterly reports	Data collection methodology developed and finalized. Baseline completed.	The revised monitoring framework and methodological approved by Project Board. 95% baseline completed. Data collection ongoing for missing baselines.	

Table 27: Summary of Progress on Output 2 of the Project Management Support of MPD project as of June 2016

Indicator	Baselines	2016 Targets	Q2 Planned	Q2 Actual	Comments
Percentage completion of contract on DM Support Building between the DM and the contractor	55%	100%	80%	75%	The delay by the MOIA Procurement Department to finalize the approval of contract amendments for the constructor has contributed to the limited progress.
Percentage completion of female police toilets and dressing rooms in 39 locations	5%	100%	Same as baseline	Same as baseline	Changes in the construction sites and implementation modality means that the tendering process could not be done in Q3 and will now be initiated in Q4 2016.

V. GENDER SPECIFIC RESULTS

The SPM project explored opportunities to further support strengthening gender mainstreaming within the project. The SPM project is now capable of providing gender disaggregated data from WEPS. WEPS is now able to provide gender-disaggregated data. For example, the pay distribution by gender for the month of July 2016 shows that 2,318 female officers (2%) and 147,400 male officers (98%) were paid.

The system can now generate ad-hoc reports for female personnel by location/unit/province, rank, position or other aspect. The system will be able to generate full gender disaggregated reports once the gender data is fully updated in WEPS.

The SPM revised the leave form for MOIA to include gender and all leave entitlements (including maternity leave) based on the 2015 Personnel Policy. The MOIA Personnel has already approved the new leave forms. They will be printed and distributed in October 2016. The new attendance book format (revised by SPM to include gender) has also been approved by MOIA Personnel. However, this will be used starting 21 March 2017. This will help to collect and analyze attendance data by gender.

Though the SPM may not directly utilize such data in the project for gender mainstreaming, such data can be utilized by other parties for policy design and programming purposes. For example, so far, WEPS team has shared this data with the MPD project for their programming purposes.

The MPD project takes a cross-cutting approach to actively promote gender and human rights, and gender specific results for Q3 2016 are summarized as follows:

Gender mainstreaming in the MOIA legislative and policy framework

The comprehensive assessment of the police legal framework done by the MPD project in consultation with the Head of the Legal Reform Sub-Committee and Head of Legal General Directorate has looked into the gender aspects and proposed specific recommendations relating to the human rights of women in police. The legal documents were reviewed and evaluated against the international women's human right instruments, such as the International Covenant on Civil and Political Rights (ICCPR), Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), and the Principles on Detention or Imprisonment. The assessment covers 16 key policing topics, including ethical and legal conduct, arrest, detention, use of force and fire arms, policing in democracies, police investigations, the human rights of women, police command and management, community policing, and police violations of human rights. It has proposed 9 recommendations with respect to the human rights of women, and a number of other recommendations cutting across the 16 thematic areas. If the Police Law and related laws/policies are successfully amended, it will provide a statutory basis for applying these human rights standards in policing and the administration of justice as well as promoting non-discriminatory career and administrative matters of MOIA/ANP.

Implementation of MOIA’s gender obligations

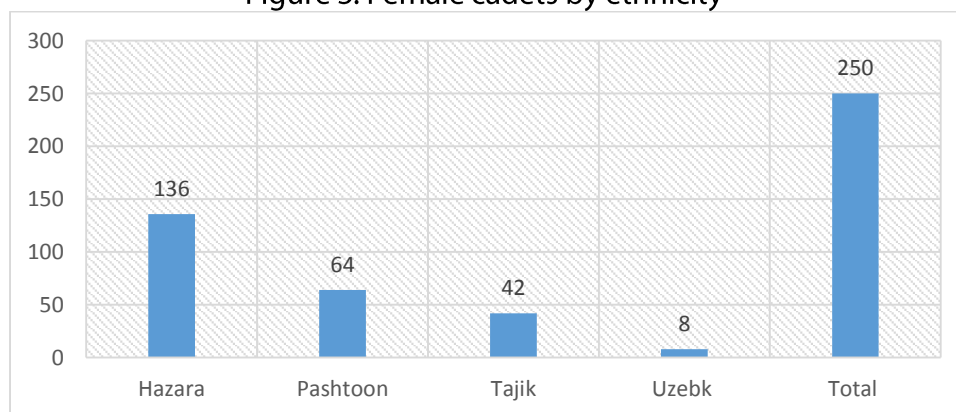
A two-day workshop was organized in partnership with the Gender Directorate to revisit the MOIA’s Gender Workplan 1395 with the aim of re-organizing the tasks, setting priorities and developing an M&E plan. The workshop was attended by representatives from different Directorates with much enthusiasm. The outcome was that the participants had a better appreciation of how their assigned lists of activities would contribute to goals and objectives set in the MOIA’s strategic documents. They also realized that the activity statements were vague, repetitive and needed to be re-organized. With support of the MPD project’s gender team, the activities were then re-grouped to align with the expected outcomes and the state of implementation of these activities was discussed along with availability/constraints of resources and capacity. Once finalized, the revised plans will be submitted to MOIA for endorsement and used as practical tools to monitor and evaluate the implementation of MOIA’s gender activities and obligations.

Furthermore, the MPD project is also working to ensure that a mechanism to track the implementation can be put in place. To this extent, the terms of reference for the Gender Working Committee has recently been approved by the Minister. The committee, comprising relevant MOIA Directorates, international partners, and civil society representatives, will meet on a quarterly basis to ensure effective and efficient implementation of gender activities to address constraints of gender mainstreaming in MOIA.

Training and leadership for police women

The MPD project successfully facilitated the process of selecting and sending 250 females from different ethnicities and provinces to the Sivas training programme. The project supports the MOIA to build their capacity and enable them to serve as women police more effectively. During this quarter, the MPD project took part in the candidate selection tests. This timely intervention ensured that the process was fair and transparent. To ensure that the minimum required literacy level and skills were met, the MPD project team was involved in the marking of the test papers and selection process. Given the fact that the majority of the woman police force constitutes women from the Hazara ethnic group, the composition of the new cohort is encouraging as it involves increased numbers of women from other ethnic groups (see Figure 5).

Figure 5: Female cadets by ethnicity



To ensure an improved environment and experience for the female trainees, the MPD team received support from former Sivas trainees to share their experiences, challenges and

issues. These issues were communicated to MOIA and lessons learnt were incorporated into the current Sivas programme for improvement. A pre-departure workshop was held for the selected candidates leaving for Turkey to give them basic orientation as well as do's and don'ts and safety measures focusing on sexual harassment issues. Furthermore, the MPD team together with MOIA have worked out a monitoring plan for the four-month training period and MPD and MOIA staff have been assigned to SPTA to implement this monitoring plan and provide needed support.

Female police recruitment campaigns

The MPD project continued to support the MOIA in its female recruitment campaigns which aim at sensitizing communities on the need for women in the police and the importance of their role in providing security services. The project assists the MOIA in developing appropriate outreach messages to inform target audience about career in policing, designing outreach materials, conducting campaign events and outcome evaluation in target provinces where the numbers of female police are low. The campaigns will target secondary and high school female students as well as female university students in selected provinces. Specific campaign materials, such as brochures and notebooks with key messages, have been designed in close coordination with MOIA and to be distributed among young educated women to encourage them to join the police force.

MOIA's efforts in eliminating violence against women and improving status and working conditions of female police

In line with the LOTFA's gender strategy to advance enabling organizational culture and capacity to change discriminatory attitudes of police personnel and promote effective gender-sensitive policing services, the MPD project is making investments to improve the functionality of PWCs and FRUs. The baseline assessments in ten provinces have been completed. The assessment findings provide insights into structural and capacity issues to be addressed in order to ensure that FRUs could contribute more effectively to elimination of VAW, and that PWCs could better represent and advocate female police's interests in the ANP. To improve police's engagement with the community, the MPD project has also established the police and community partnership committees in 5 of the 12 target provinces with - on average - 15% female representation in the committees and women serving as Second Deputies in 4 of the 5 newly established committees. The female representation will ensure that concerns of women in the communities can be addressed with gender-sensitive policing responses. In addition, as part of community and safety outreach campaigns, the PeM and FRU policewomen in 10 target provinces were trained on how to plan and facilitate outreach events as well as on building partnerships with communities, local businesses as well as other government entities in their areas. The female police will form part of the campaigns' core teams to conduct 40 school and university outreach sessions and 30 community and police sport events.

Furthermore, preparations for the construction of female restroom and dressing room facilities in Herat, Nangahar, and other target provinces are in their final stages and the tendering process will be initiated in Q4 2016. These separate and safe female facilities in police stations will help prevent workplace sexual harassment of female police officers and create a non-discriminatory work atmosphere that respects their privacy and dignity.

VI. PARTNERSHIPS

The Deputy Minister (DM) for Policy and Strategy, the National Director for LOTFA and focal point LOTFA project implementation and strategic guidance, led the partnership, collaboration and coordination between the UNDP and donors to ensure the project achieves the planned results, at both political and technical levels. The President's Office has also come in to support the payroll transition process.

During the quarter, the SPM project has collaborated with the MOIA especially with regards to implementation and monitoring progress on the transition process, as well as resolving the access to AHRIMS data, which has been an issue for quite since 2015. UNDP has also collaborated MOIA, CSTC-A and donors to review the second micro capacity assessment for Payroll on MOIA report.

Through the 13 TWG meetings held during the quarter, the project worked closely with LOTFA donors and MOIA to review progress and monitor risks, discuss and address issues emerging. The Combined TWG meetings organized did not only help to promote greater harmonization and participation from donors and MOIA, but also enhanced collaboration and synergy between the SPM and MPD projects.

The SPM has further partnered with MOF, MOIA, telecom and the New Kabul Bank to facilitate dissemination of pay slips through bulk SMS and the expansion of EFT through promoting mobile banking.

Partnerships with the international community

Coordination with international partners has been done regularly on various topics to ensure coherence between SPM and MPD project activities and international community initiatives to strengthen MOIA and the Rule of Law in Afghanistan. These relevant bodies include, but are not restricted to, the Secretariat of the International Police Coordination Board (IPCB-S), the European Union Police Mission in Afghanistan (EUPOL), the Combined Security Transition Command – Afghanistan (CSTC-A), the Strategic Support to the Ministry of Interior Programme (SSMI), the Resolute Support Mission (RSM), the German Police Project Team (GPPT), the United Nations Assistance Mission in Afghanistan (UNAMA), United Nations agencies and other multilateral organizations.

Partnerships with educational institutions and South-South Cooperation

The MPD project's capacity development tools and approaches include investing in MOIA trainers and educators through partnerships with academic institutions and South-South cooperation. With support from the MPD project, the Training and Education General Command (TGC) has successfully established partnerships with the American University of Afghanistan to provide services and expertise for the higher education provision.

A regional collaboration with the Indonesian National Police and Indian Police is also established to enable direct engagement and network development the ANP and these regional police institutions. Exchanges of visits for the delegations and subject matter experts will be arranged for the areas where gaps exist or where critical areas of expertise can be deployed.

Partnership at the local level – communities and authorities

The MPD project supports the MOI Community-Oriented Policing “Police-e-Mardumi” Directorate to build and strengthen the Police and Community Partnership Committees in 12 provinces. The approach aims to help reinforce trust with community members and with police and other officials.

VII. ISSUES

Issues related to SPM:

- **Backlog of MA Reports:** Though significant progress has been made in clearing the backlog in the submission and finalization of the MA reports for 2015 by the contracted MA (Moore Stephens), there is still a ripple effect on the 2016 reports. Eight monthly reports for February – September 2015 were finalized during the first half of the year 2016 and August 2016, all reports for 2015 had been finalized. To date, only the final reports for January and February 2016 have been received, and draft reports for March and April 2016 have just been received. However, assuming all was on-track, by the September 2016, the April report should have been finalized. This has become a major concern to both UNDP and LOTFA donors especially settling ineligible expenditures for pending reports which would spill over into 2017 when SPM would have ended in December, 2016 and the current MA contract ended as well.
- **Continued recurrence of MA findings:** In a number of TWGs, donors expressed concern at the continued recurrence of same MA findings overtime. The majority of these are related to lack of documentation for various cases and ineligible expenses on food items. Donors also called upon the MOIA to take concrete action to address recurrence of such the problems in future. This could have negative implications on the capacity of the MOIA internal control mechanism to address issues, thus also affecting donor confidence in the whole transition agenda. Most importantly, MOIA needs to come up with a more holistic approach to address the issue of recurring findings rather than the piece-meal approach of solving specific individual cases. This is especially important given that the MA findings are based on just 1% sample size. Donors through the TWG meetings, have also urged the MOIA to place responsibility on those staff who approve payments to make sure that they don't let ineligible payments get processed which could otherwise be easily avoided (strengthen internal control systems).
- **Quality of AHRIMS data:** Though access to AHRIMS data has been granted, the data itself is not complete and accurate. The current data shows only about 112,000 records against a police Tashkeel of 157,000. The other constraint is lack of access to the ID card data. This is negatively impacting on data cleansing exercise. By end of September 2016, only 62% of the data had been cleansed and at that rate, the risk is that the cleansing exercise may not be completed by December 2016. This will also impact on the APPS as it will also heavily depend on clean AHRIMS data.
- **Variations between WEPS and AFMIS monthly expenditures:** There continue to be variations between WEPS and AFMIS expenditure figures. The WEPS vs AFMIS

expenditure analysis for July 2016 shows AFN 2.310 billion and AFN 2.620 billion respectively, giving a variance of AFN 310 million. The SPM has started the reconciliation process. Bamyan provinces is already 100% reconciled for five months from March to August 2016. What is emerging is that major causes of the differences between the expenditures figures of the two system are the timing difference which create a backlog of previous months' payments, and payments that are manually entered in WEPS. The reconciliation process will be rolled out to other provinces. However, the main challenge is the lack of a common field (unique identifier) in both WEPS and AFMIS to match payment vouchers (M16s) for all payments. The SPM will also work with MOF to use a common identifier for vouchers generated in WEPS and paid through AFMIS to enable reconciliation.

- **Mobile banking registration:** The mobile banking registration process has been very slow in all the six pilot provinces. As of end September 2016 only 2,882 (49%) out of an expected total of 5,903 ANPs had registered in six provinces of Helmand, Paktika, Kandahar, Daikundi, Zabul and Farah. The main challenges cited were the security situation, inadequate cooperation from Provincial Police Headquarters (PPHQs). Partners expressed concern that, going at current rate of registration, the pilot project may not achieve its objectives of reaching at least 90% of EFT as agreed in the donor conditions. There were reports of uncooperative regional commanders frustrating the registration process. MOIA was strongly urged to address the matter.
- **Invalid IDs cards and ID card distribution:** The progress in the data cleansing process in WEPS is being affected by invalid IDs and slow ID card distribution. ID cards also serve as additional internal control for payment of salaries, particularly through Trusted Agents. However, there are reports of lack of IDs in many provinces and many ANPs hold expired IDs which have not been renewed. The SPM raised this issue in TWGs on a number of occasions. To ease, this problem, there could be need to have a dedicated team of biometric and ID cards in each province well equipped to speed up the process of issuing valid ID cards to affected police officers.

Issues related to MPD:

- **PWC action plan awaiting MOIA leadership approval:** The action plan was drafted based on the result of the national PWC conference in November 2015. Implementation of key activities 3.2 under the MPD Police Professionalization component is subject to the approval of this action plan. Correspondence has been sent to MOIA and the MPD is following up to discuss the issue.
- **Delays in accessing ICT inventory and assets:** The issue in accessing ICT assets and inventory is impacting on the implementation of the ICT/MIS/ERP contracts. The MPD project team has had continued discussions with GD ICT and CSTC-A as well as briefings with the DM for Support.
- **Approval of contract amendments for the contractor of DM Support Building construction:** The delays by the MOIA Procurement Department to finalize the approval of contract amendments for the constructor has caused the construction

company to suspend construction activities. UNDP is in close communication with the MOIA and Embassy of Japan regarding this issue.

VIII. RISKS

This section describes any substantial change in the status of already identified risks. The updated full risk log can be found in Annex 3.

Risks related to SPM:

- **Security:** Security has remained one of the high risks impacting on the overall implementation of the project. Though there were no major security issues experienced during the quarter. However, security has caused delays in salary process in Uruzgan and Helmand provinces. The security situation has also jeopardized the piloting of mobile money (e.g. Helmand). Furthermore, security has affected the work of the MA. The MA has only been able to visit 33 provinces to do physical verification. Nuristan could not be covered due to security risk. The mitigation of security risks falls largely outside the scope of control of UNDP. However, operationalization of the DRR site will ensure that payroll operations can resume quickly in situations of temporary disruption and that payroll data will not be lost due.
- **MOIA is not able to identify personnel with actual or potential knowledge, skills, and abilities for tailored payroll training:** There has been no significant change to this risk. Success of handover of payroll management responsibilities is dependent on effectively staffing the Payroll Unit with the right technical capacity in a limited period of time. To mitigate this, plans are to move current SPM staff moving to the MOIA Payroll Unit and under the CBR model. In principle all 19 SPM national staff have accepted to move to MOIA under CBR contracts. Recruitment of 5 new positions is currently underway.
- **All stakeholders do not proactively share planned activities:** The risk has decreased as UNDP has continued to share planned activities with stakeholders, particularly through the TWGs which are held weekly. In addition, MOIA and UNDP have continued to share information through the bi-weekly payroll transition meetings which have also provided a platform for the parties to share information especially with regards to progress in the implementation of the agreed donor conditions.
- **MOIA is not able to provide access for UNDP staff to all systems used for Tashkeel, ID cards, AHRIMS, others for HR and payroll management:** The risk is no longer there. The SPM been granted access to AHRIMS data which also be utilized by the MA.
- **MOIA building move is not completed in time for preparation and installation of DRR site:** The risk is no longer there. MOIA has already shifted to the new MOIA compound. LOTFA is still awaiting the finalization of a few logistical issues before moving to the new MOIA HQ site. The Training and Education General Command has recently been identified as the appropriate DRR site.

- **Some of the SPM staff might decline to take pay cuts and to work under the MOIA corporate culture.** Though the risk is there, it has reduced considerably. Out of the 19 positions planned to transfer to the new payroll unit, 16 have already confirmed their decision to join the new MOIA Payroll Unit. And for the nine positions already with MOIA, five have already confirmed, and the remaining four will be advertised

Risks related to MPD:

- **Travel restrictions on project staff in order to comply with Security advisories impacts on project delivery:** Restrictions on travel to MOIA work sites reduces ability to interact with counterparts, ultimately negatively impacting on project delivery. Meetings and events have consequently been prioritized. Where no direct interaction with MOIA counterparts is needed alternate work sites have been utilized. Exposure is reduced by only attending at sites subject to security restrictions for the maximum time required.
- **MOIA leadership is not fully supporting institutional reform, change management approach and capacity development, with cooperation among all Deputy Ministries:** The risk has occurred. Despite efforts to engage the MOIA leadership to set up a Change Management Unit (CMU) to support the reform process, the project has not gained much traction in this regard. The proposed establishment of CMU was based on an assumption that the MOIA and its leadership were ready to support the institutional reform. However, this assumption has to be re-visited with a lens to assess and understand the organizational change readiness.
- **Not sufficient support for reform, change management approaches, capacity development, aid coordination and M&E initiatives is forthcoming within directorates and departments, at leadership and rank-and-file levels.** The risk has occurred. The GDIC and GD M&E are not adequately staffed. Until this staffing situation is fully addressed, the MPD capacity building and development activities are going to be less than effective.
- **The MOIA is not able to increase qualified staffing with female personnel in the Office of the Inspector General (OIG):** Currently, the OIG has no female personnel to handle female-related complaints, no recruitment plan has been put in motion. The inability to recruit female personnel would present obstacles to implement some activities in the workplan, namely Activity Result 3.3, Activities 3.3.1 and 3.3.2 under the Institutional Development component. The MPD will continue to monitor progress with feedback and dialogue with senior leadership of the MOIA and seek to advocate with other stakeholders inside and outside the MOIA.
- **Appropriate local alternative/supplementary education providers do not exist (e.g., for graduate and postgraduate courses):** This risk is being addressed. The Project is assisting the Training and General Command (TGC) in their discussions to establish partnerships with in-country universities. Currently, TGC is reviewing the proposals made by the American University of Afghanistan (AUAF) and also exploring similar arrangements made by other stakeholders.

IX. LESSONS LEARNED

During Q3 2016 of the implementation of both the SPM and MPD projects, the following lessons learned emerged:

- **Building knowledge about conditions for improvement success is important:** It helps challenge an assumption that more capacity building activities will translate to better results. The MPD project has invested time and resources to conduct various baseline assessments to understand contexts and related issues affecting its planned interventions. As a result, many issues which are broader than capacity development needs have been identified as “conditions for improvement success”. Such knowledge and understanding has led the project to refine and/or re-strategize some interventions’ scopes and approaches as well as helping communicate and manage partners’ and key stakeholders’ expectations.
- **The extent and results of capacity development can only go as far as the MOIA’s absorptive capacity allows:** Given the lack of Tashkil in some of the Directorates that the MPD project is supporting, consultants had to be brought in to provide the needed capacity. Such capacity substitution is not the same as capacity development, and until the Tashkil positions are put in place, the project will need to either slow down the support or continue to formally provide capacity substitution.
- **It might be too early to rely on the national procurement systems:** As good as the intentions were to use the national and MOIA’s procurement systems, the lesson from the delays in approving contract amendments for DM Support building construction seems to be that it is still too early to rely too heavily on the national procurement systems.

X. FUTURE PLANS:

For the fourth quarter of 2016, the following future plans can be defined for both SPM and MPD projects.

SPM will focus on the following main areas from the transition plan which include: i) finalization of recruitment staff payroll for unit; ii) development of the payroll operations manual; iii) conducting the pay review study; iv) finalization of the policy review processes; v) implementation of the payroll training plan; vi) post- 2016 management of the MA, and the WEPS post-2016 sustainment plan; vii) finalization of MA reports backlog; viii) implementation of the DRR Plan remains a key and urgent priority. The DRR site has already been approved and the focus will be on speeding the implementation process within the limited timeframe left; and ix) making the final cleaning to the WEPS in preparation for the hand-over of the system to MOIA.

The MPD project will continue in Phase III to focus on the four core drivers of capacity: institutional arrangements, leadership, knowledge and training, and accountability and

voice mechanisms. Substantial progress has been made in Q3 2016 and it is expected to continue across all outputs.

Under the Institutional Development component, the Output 1 units, by the end of Phase III, will continue and develop in their effectiveness to lead institutional development from Kabul, with their links to directorates, departments, and including some functionality at provincial level in pilot initiatives. In Output 2, 50% of identified business processes will have been improved where needed, including codification and digitization. Furthermore, the gender implementation plan and M&E framework will be used to track implementation progress of MOIA's gender activities. Enterprise Resource Planning (ERP) preparation should also be evident. A substantial improvement in programme budgeting knowledge and capacity will be evident not only in Kabul but also in provinces. OIG personnel will be capable of undertaking a majority of functional internal audit tasks to an agreed standard. The standard operating procedures (SOPs) for complaints handling will be developed in accordance with the proposed complaint categorization and sub-categorization.

Joint SPM-MPD efforts will continue on the policy work, particularly on the development of HR Policy/Staff manual as well as the establishment of a South-South cooperation agreement. Also related to HR, and as per donor requests outlined in the approved proposal for the recruitment of an additional 125 civilian staff, the MPD Institutional Development component will support MOIA's efforts to develop a civilianization roadmap.

On the leadership capacity, it is expected that the change readiness assessment will provide insights into the organizational capacity to change and help inform a change management roadmap and strategy. The Capacity Development Coordination unit will continue to work closely with Ernst & Young (India) on the BPR and ICT/MIS/ERP development as well as working to fill capacity gaps which are identified during the process. The GDIC will be provided with continuous support to launch the Aid Coordination strategy and database. The M&E system will be expanded to 8 more directorates and some progress will also be made in establishing a pilot initiative at provincial level.

Under the Police Professionalization component, the results of legal framework assessments should be evident in the form of proposed legislative changes submitted for approval. The promotional and leadership training should be measurably strengthened. The MoU between the MOIA and AUAF will be signed and arrangements will be put in place to commence the Master's Programme in 2017 with a plan also to transfer its governance and management to MOIA. With regard to police accountability and voice mechanisms, various action plans will be implemented to establish new Police e-Mardumi units and lead to 100% of the target Police e-Mardumi committees and new information desks being established. Work to expand the functionality of FRUs, PeMs and PWCs and of 119 provision, as well as the completion of capacity building to allow for DSSS expansion will also be evident.

On the project management side, mechanisms will be put in place to ensure that TWGs/Sub-TWGs do thorough follow-ups and reviews of arising challenges/issues to ensure that they are effectively addressed. The new monitoring framework and indicators will be used effectively to improve data collection and monitor progress.

ANNEXES: Financial Reports, Issue and Risk Framework

