# NATIONAL STATE GOVERNANCE PROJECT

## Combined First and Second Quarterly Report

### 2014

# Donor



# PROJECT INFORMATION

| | |
|---|---|
| **Project ID:** | 00058936 |
| **Duration:** | Phase I (January 2010 – 30 June 2014) |
| **ANDS Component:** | Governance, Rule of Law and Human Rights: Strengthen democratic processes and institutions, human rights, the rule of law, delivery of public services and government accountability. |
| **Contributing to NPP:** | Governance: Strengthening responsive governing institution, |
| **CPAP Component:** | The state has improved ability to deliver services to foster human development and elected bodies have greater oversight capacity. |
| **Strategic Plan Component:** | Inclusive legislation, policies and programmes are in place and Government Institutions are strengthened to improve the quality of services delivery |
| **Total Budget:** | US$ 3,982,742 |
| **Implementing Partner:** | Office of the President of Afghanistan |
| **Key Responsible Parties:** | Office of the President of Afghanistan and UNDP |

# ACRONYMS

| | |
|---|---|
| ATRA | Afghanistan Telecom Regulatory Authority |
| AWP | Annual Work Plan |
| CoS | Chief of Staff of the President |
| CoSo | Chief of Staff's Office |
| CoMS | Council of Ministers' Secretariat |
| ICT | Information Communication Technology |
| M&E | Monitoring and Evaluation |
| NSGP | National State Governance Project |
| OAA | Office of Administrative Affairs |
| OoP | Office of the President of Afghanistan |
| OiC | Officer in Charge |
| SIGOB | Sistema de Gestionparala Gobernabilidad |
| UNDP | United Nations Development Programmes |
| VP1 | Office of the First Vice-President |
| VP2 | Office of the Second Vice-President |
| VPO | Vice Presidents' Offices |
| NGU | National Governance Unit |
| DTMS | Document Transparency and Management System |

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# 1. EXECUTIVE SUMMARY

The NSGP project was scheduled to come to an end at the end of December 2013. However, the project was extended till 30 June 2014 to enable completion of SIGOB and some other project activities as well as finalization of formulation of the next phase project document.

The reporting period was characterized with political uncertainties due the 5th April Presidential election and the run off in July. Additionally, considering the political context, most of the key staff of the project resigned from their positions and were not replaced. In light of these changes, the main activity implemented during this extension period, was installation of the SIGOB (Transdoc.) Module system in OAA and formulation of the new phase project. Therefore, this is a combined six months report for NSGP which documents the main progress on these two activities.

The SIGOB Transdoc. system as approved by OAA last year is being installed in OAA to enable the institution to carry out its duties with greater efficiency and effectiveness. Pursuant to training of the two OAA officials in Paraguay last year, the SIGOB experts visited Kabul to continue implementation of the SIGOB system and provide relevant training and coaching to OAA IT department as well as other concerned units. Although security ban on missions and consultants during the election period disrupted the original plan, overall the project succeeded to achieve its milestones and is on track and will be completed by December 2014.

Another important activity during this period was formulation of the next phase project document. Significant progress was achieved in finalization of the new project document and the Prodoc. was officially signed by UNDP, OAA and CoS. The new project titled "Strengthening National Policy Planning and Management Capacity" (SNPPMC) is a two and half year project with very clear focus on creating and strengthening substantive policy capacity within the centre of the government offices to make the process and procedures for policy planning and implementation more effective and streamlined.

# I.     RESULTS

## A.     OUTPUT 1:  An effective organisational and administrative capacity is in place to support the Office of the President (Chief of Staff's Office)

No major activity has been undertaken under this output during the extension phase. The project finances two staff in the IT department of the President who carry-out routine functions. The CoS Office has expressed desire for continuation of their support through the new phase. In addition, the project has continued to financially support 8 staff of the CoS to pursue their higher educations.

### EXPENSES FOR THE QUARTER

During the reporting period, a total of USD 42,590 was spent for this output. For more details, please look at Annex 2.

Below is a snapshot of where NSGP is in relation to its annual targets:

**Table 1: Output 1 1<sup>st</sup> and 2<sup>nd</sup> Quarter 2014**

| 2013 Baseline | 2013 Annual Targets | Q1&2 Planned | Q1 &2 Actual | Comments |
|---|---|---|---|---|
| 75 % of CoS staff using ICT tool and system. | 5 % of improvement in Staff capacity (tools and use) in using ICT tools and system | implementation of Management Informational System (FMIS) for CoS Office<br><br>Implement CoS Intranet Portal (document management system, event management system Etc.)<br><br>Provide ICT technical development assistance (Programmer) ICT short term National Specialist x 2 & Application Development (Developer) (2x CoS). | 1. ToR prepared and RFP issued<br><br>2. No progress | 1. Delayed due to receiving lack of responsive bids<br><br>Most of the activities were delayed or stalled due to departure of the project key staff |
| 80% leadership capacity in the selected five senior staff | 5% acquired leadership at CoS | 1. Work on the fellowship award for the number of CoS staff | 1. Payment of 8 candidates proposed by CoS | 1. This activity will be concluded under the current phase of NSGP. The new project aims to implement a holistic approach for leadership capacity building. |

## B. OUTPUT 2: The President's office has a functional and competent analytical policy, advisory and communicative capacity to support the office's constitutional mandate and to be accountable to the citizens.

Under the OAA component, the main activity implemented during the reporting time, was implementation of the SIGOB Transdoc system. The SIGOB team has shared a mid-term report which is annexed at the end of this report: Their report highlights progress in the following areas:

Structuring of the Transdoc. Module:

1. Installation and configuration of the Operating System and MS SQL Server in DELL Server
2. Installation of TRANSDOC system in DELL Server
3. Translation of the TRANSDOC system to Dari and review by OAA
4. Compilation of the Document Management Processes of Monitoring and Evaluation Department (M&E Dept.) and diagrams with the help of M&E focal point.
5. Elaboration of Document Management Processes through TRANSDOC
6. Presentation to the M&E Director of the TRANSDOC parameterization records, TRANSDOC procedure model and how TRANSDOC is applied.
7. Completed Parameterization Records of the M&E Department according to the selected work process, this was done with the participation of the Chief of Information and Public Relations, for the configuration setup in the administrator TRANSDOC module.
8. Approval of the Parameterization Records by M&E Department.
9. Adjustments and review of the Administration configuration of the system.
10. Virtual Server Machine configuration done, Server Name: OASR-SIGOB-02, configured with one Intel processor, 48 GB RAM, 1 TR Hard disk. Windows Server 2012 installed. MS SQL Server installed but pending to complete.

Application:

1. Training conducted for application of parameterization and public relations department.
2. Configuration setup of TRANSDOC system applying the Parameterization Records.
3. Training done to the administrative staff of M&E Department in charge of the Reception Desk about the work process that involves the documents reception and CORREX module.
4. Intensive training given to two (2) OAA officials about the functions and use of the TRANSDOC system with the purpose to them a valid support for end users during the document management process application or use by the users.

5. Elaboration of Training schedule for end users of Monitoring and Evaluation (M&E) Department and presentation of elaborated training schedule to M&E Director
6. M&E Director approval of the Training Schedule for end users of M&E Department.
7. Training on how to fill the TRANSDOC Parameterization Records to the SIGOB Local

Implementation:

1. Training sessions on the use of the TRANSDOC system for sixteen (16) users or officials (end users) of the M&E Department according to the work process using a training version database; this training sessions were implemented in close collaboration with M&E directorate at OAA.

Pending activities and the way forward:

1. Installation and configuration of the Operating System and MS SQL Server in DELL Server
2. Installation of TRANSDOC system in DELL Server
3. Translation of the TRANSDOC system to Dari and review by OAA SIGOB coordinator Sayed Jawad.
4. Compilation of the Document Management Processes of Monitoring and Evaluation Department (M&E Dept.) and diagrams with the help of M&E focal point Adeeb.
5. Elaboration of Document Management Processes through TRANSDOC
6. Presentation to the M&E Director of the TRANSDOC parameterization records, TRANSDOC procedure model and how TRANSDOC it is applied. Two (2) experts and the Focal Point of M&E Department were present in this process.
7. Completed Parameterization Records of the M&E Department according to the selected work process, this was done with the participation of the Chief of Information and Public Relations, for the configuration setup in the administrator TRANSDOC module.
8. Approval of the Parameterization Records by M&E Department.
9. Adjustments and review of the Administration configuration of the system.
10. Virtual Server Machine configuration done, Server Name: OASR-SIGOB-02, configured with one Intel processor, 48 GB RAM, 1 TR Hard disk. Windows Server 2012 installed. MS SQL Server installed but pending to complete.

Completion of documents delivery:

1. 20140219-Manual Install SIGOB Client STEP BY STEP Production DB

2. 20140219-Manual Install SIGOB Client STEP BY STEP

3. 20140221-Guidelines for Training Sessions SIGOB

4. 20140302-EN-ME DEPT-TRANSDOC-Management Control

5. 20140302-Start Operations Monitoring and Support Quick Guide

6. 20140303-EN-User Quick Guide-TRANSDOC

7. 20140305-Server Access - How to run sq. queries

8. 20140227-EN-ME Director Resolution for Operation Start TRANSDOC

9. 20140211-EN-Work Processes Over TRANSDOC ME Dept.

10. 20140202-SIGOB Implementation Coordinator Functions TRANSDOC

11. 20140125-EN-TRANSDOC_ME DIRECTORATE PROCEDURE-AFG

12. 20140119-Detailed Work Schedule-SIGOB-AFG

13. 20140118-OAA Work Plan TRANSDOC

14. 20140121-Detail Work Plan Level 2

For the rest of the year, SIGOB plans to train about 100 staff of OAA on different aspects of the SIGOB system. These staff will be using SIGOB system in their day to day functions and once fully installed and operational, the OAA will have a computer based system of documentation management and monitoring of key government decisions.

### EXPENSES FOR THE QUARTER

During the reporting period, a total of USD 51,138 was spent for this output. For more details, please look at Annex 2.

Below is a snapshot of where NSGP is in relation to its annual targets after Q1&2:

**Table 2. Output 2 in Q1&2 of 2014:**

| 2013 Baseline | 2013 Annual Targets | Q3 Planned | Q3 Actual | Comments |
|---|---|---|---|---|
| Insufficient policy coordination among CoMS, Vice Presidents' Offices, CoS and the National Assembly | Improvement of coordination mechanisms in policy making process chain | 1. Preparing the first draft of M&E Strategy<br>2. Network Setup for OAA. | 1. First draft of M&E strategy prepared and put forward for the recommendation of OAA's M&E Director<br>2. Network Setup done at OAA | On target |
| No governmental-wide information system for President's agenda is in place | Improvement of OAA ICT Directorate in using newly introduced system (SIGOB) | 1. Reviewing the SIGOB proposal, Letter of Agreement, and procurement of Database Server, Web Server Application and UPS for servers for the installation of SIGOB at OAA | 1. SIGOB proposal reviewed; LoA reviewed and comments provided on both documents for its enrichment; procurement of Database Server, Web Server Application and UPS for servers started<br>2. 2 Experts from OAA visited Paraguay to study and translate the Document Transparency and Management Module | On target |

## C.    OUTPUT 3: Capacity of First Vice President Office in planning and service delivery improved.

Under the VP1 Office, the project has continued to support operation of the Call Centre that was set up to be inaugurated during the first quarter of this year. However, due to the passing of H.E. the first VP, this activity was delayed. It is anticipated that the Call Centre will be inaugurated by his successor.

### EXPENSES FOR THE QUARTER

During the reporting period, a total of USD 19,609 was spent for this output. For more details, please look at Annex 2.

Below is a snapshot of where NSGP is in relation to its annual targets after Q1&2:

**Table 3. Output 3 in Q1&2 of 2014:**

| 2014 Baseline | 2014 Annual Targets | Q1&2 Planned | Q1&2 Actual | Comments |
|---|---|---|---|---|
| 90 % of ICT infrastructure in VP1 office in place | 5 % improvement in using ICT tool and web-based services | provide internet services, equipment, data - telecom services and implement the phase II of Call Center | The VP1 now has a full-fledged call centre staffed with six operators and one manager. The CC has been equipped with infrastructure and software system and the project has been provided internet services for it. | The call centre is equipped with micro-soft link system which was not compatible with local service providers and it discussion is underway to either replace the system or make necessary arrangements for operating the system |

| | | | | using the MS link. Discussion is underway with AWCC and Roshan for finding possible solution to this technical problem |
|---|---|---|---|---|
| 60 % of Staff capacity in quality control over the data transfer in call center in place | 5 % of staff capacity in quality control over the data transfer in call center in place | Develop VP1 Database (document management system, event management system Etc.) | No progress since last reporting period | Delayed due to departure of project staff |
| Set up of State Citizenry Centre in place for the VPOs to connect with people | 3: Operationalizing the state Citizenry Centre | Support the upgrader of the Call Centre established in VP1 and ICT equipment | No progress | Delayed due to political changes and passing away of the H.E the 1$^{st}$ VP |

## D. OUTPUT 4: Strengthen the human and institutional capacity of the Second Vice President to support the President in achieving his mandate

No activity has been implemented under this output.

## II.    GENDER SPECIFIC RESULTS

No major result to report.

## III.    PARTNERSHIPS

Not applicable.

## IV.    ISSUES

1. Lack of official contract for Mohammad Yonus Bakhshi (Advisor of Information and Public Relations) by UNDP with the purpose of ensure and guaranty his participation in the implementation phase of the system, it is important to remark that he is the only official of the OAA who has shown an enthusiastic attitude and commitment and he is the most capable user about the setup and settings of the system, and he also knows how to use the management end user module. He has all the skills and capacity required to accomplish the objective in the institution.
2. Weak participation and knowledge of the system requirements and setup (Database and Admin/Client application) by the ICT Department staff members.

## V.    RISKS

The main risk faced during the last six months was delays of project activities due to election. The SIGOB team had to postpone their planned visits at least two times due to ban on in country visits of external missions and consultants.

In addition, the project lost most of its personal during this period and due to time shortage, it was not possible to undertake new recruitments. Staff turnover posed serious risk to completion of most of the project activities as per the original plan.

## VI.    LESSONS LEARNED

There are important lessons learned during the extension phase. First of all, the project plans were over ambitious and ignored the changing political context. The Presidential election overshadowed most of the technical activities at the centre of government as a result the project was not able to implement its activities as per plan. Secondly, departure of the project manager last year, the OIC at the beginning of this year and governance specialist from VP1, posed serious challenges to the project implementation. There was no enough time to replace these personals either.

## VII.   FUTURE PLAN

This was the last quarterly reporting cycle and the project has ended at the end of June 2014.

# VIII.  ANNEXES

## ANNEX 1: FINANCIAL TABLE

**Interim Donor Report  January - June 2014 for the NSGP (00058936)**

**Annex 1. Financial Table**

| Donor Name | COMMITMENT/ PREVIOUS YEARS RECORD | | | | CURRENT YEAR - 2014 | | | | | FUTURE EXPENSES | | TOTAL RECEIVABLE | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | Commitment (a) | Revenue Collected 31/12/2013 (b) | Expenses 31/12/2013 (c) | IPSAS Adjustment (d) | Opening Balance E=(b-c+d) | Contribution Revenue (f) | Other Revenue (g) | Expenses (h) | Closing Balance I=(e+f+g - h) | Commitments (Unliquidated Obligations) (j) | Undepreciated of fixed Assets and Inventory (k) | (Future Due) L=(a-b-f) | (Past Due) (m) | Available Resources N=(i -j - k-m) |
| UNDP (Core fund) | 1,896,229 | 396,229 | 396,229 | - | - | 1,500,000 | - | 392,271 | 1,107,729 | 30,799 | - | - | - | 1,076,930 |
| **Grand Total** | **1,896,229** | **396,229** | **396,229** | **-** | **-** | **1,500,000** | **-** | **392,271** | **1,107,729** | **30,799** | **-** | **-** | **-** | **1,076,930** |

Note:

i)  Data contained in this report is an extract of UNDP financial records. All 2014 related expenses provided above is provisional.

ii)  Income received in currency other than USD is approximated to USD based on UN- Operational Rate of Exchange applied.

## ANNEX 2: EXPENSES BY OUTPUT

## Interim Donor Report January - June 2014 for the NSGP (00058936)

### Annex 2. Expenses by Output

| Project Output ID and Description | 2014 Budget (AWP) | Expenses (Jan-March-2014) | Expenses (April-June-2014) | Total Expenses | Delivery Rate |
|---|---|---|---|---|---|
| Output 1 (ID: **00081108**): An effective organizational and adminstrative capacity is in place to support Office of the President (chief of Staff Office) | 157,600 | 23,138 | 19,452 | 42,590 | 27% |
| Output 2 (ID: **00081109**): Capacity of First Vice-President (VP1) Office in planning and service deliver improved. | 157,200 | 16,557 | 34,581 | 51,138 | 33% |
| Output 3 (ID: **00081110**): Strengthened the human and institutional capacity of the second vice president to support the president in achieveing his mandate. | 104,600 | 9 | 19,600 | 19,609 | 19% |
| Output 4 (ID: **00081884**): The president's office (OAA) has a functional and competent analytical policy, advisory and communicative capacity to support the offiece's constitutional mandate and to be accountavle to the citizens. | 906,600 | 229,807 | 8,387 | 238,194 | 26% |
| Output 5 (ID: **00073445**): Technical Assistant and manegment cost is provide to manage and achieve outputs of the project. | 174,000 | 18,587 | 22,153 | 40,740 | 23% |
| **Grand Total** | 1,500,000 | 288,098 | 104,172 | 392,271 | 26% |

## ANNEX 4: ACTIVITY

Not applicable

| Activity | Description of Progress | Comments |
|---|---|---|
| 1.1 | | |
| 1.2 | | |
| 1.3 | | |
| 1.4 | | |

## ANNEX 5: ISSUE LOG

| # | DESCRIPTION | DATE IDENTIFIED | IMPACT/PRIORITY | COUNTERMEASURE/MNGT RESPONSE | OWNER | STATUS |
|---|---|---|---|---|---|---|
| 1 | Incompetency of Zip Tech Solution Company in setting up the 'Call Centre's' final phase particularly its failure to establish the connection between E1-Link and SANGOMA to render the centre functional. | July 2013 | Impact = 4<br><br>Priority =3 | The issue has been discussed with the project manager of NSGP and the later has been informed about | NSGP project manager | Resolved |
| 2 | Time consuming bureaucracy at UNDP | August 2013 | Impact = 4<br><br>Priority =3 | The issue has been discussed with the project OiC of NSGP and senior stuff of UNDP. | NSGP Project OiC | No Change |
| 3 | A main issue for VP1 and VP2 was their lack of capacity to identify and state their actual specific needs on time, which caused considerable delays in preparation of required documentation for certain ICT activities including ICT | Early third quarter | Impact = 3<br><br>Priority = 4 | To the extent possible, the project tried to seek assistance from UNDP technical expertise to help the counterpart relevant teams.  However, delays occurred.  But, action failure was avoided. In the future we should hire relevant technical experts | NSGP project Manger.<br><br>UNDP ICT team was contacted. They provided some assistance. | No Change |

| | | | | | |
|---|---|---|---|---|---|
| | trainings. | | | within the project team to address such issue timely. | | |
| 4 | Less number of operational staff at the project caused overload of work on staff, which resulted assignments to remain incomplete. | Early third quarter | Impact= 3

Priority =5 | Nothing concrete yet. However, economic advisor to the office of the second vice president has been appointed to take the charge as acting project manager. | Mir Abdul Rahim Yahya as the charge Mustafa Ahmadi to facilitate certain management responsibilities | No Change |
| 5 | Additionally, resignation of key project staff, the project manager and the admin/finance associate, both at the same time contributed to the above challenge even further. | Early third quarter | Impact= 3

Priority =3 | Nothing concrete yet. However, economic advisor to the office of the second vice president has been appointed to take the charge as acting project manager. | Mir Abdul Rahim Yahya as the charge Mustafa Ahmadi to facilitate certain management responsibilities | No Change |

## ANNEX 4: RISK LOG

| # | DESCRIPTION | DATE IDENTIFIED | TYPE | IMPACT & PROBABILITY | COUNTERMEASURES/MNGT. RESPONSE | OWNER | SUBMITTED/UPDATED BY | LAST UPDATE | STATUS |
|---|---|---|---|---|---|---|---|---|---|
| 1 | Capacity Development and ICT System Development | September, 2013 | Operational<br><br>Organizational | P = 2<br><br>I =1 | It is highly likely that no substantial measures can be taken for this risk. | NSGP project Officer in Charge | NSGP project Officer in Charge | Same | No change |
| 2 | Recruitment | August, 2013 | Operational and Organizational | P=3<br><br>I=3 | There cannot be done anything to avoid this risk | NSGP project Officer in Charge | NSGP project Officer in Charge | Same | No change |

**PLEASE NOTE THAT THESE ARE THE DESCRIPTIONS OF THE DIFFERENT RISK TYPES AS FOUND IN POPP**

| Environmental | Financial | Organizational | Political | Operational | Regulatory | Strategic | Other |
|---|---|---|---|---|---|---|---|
| Natural Disasters: storms, flooding, earthquakes | EXTERNAL economic factors: interest rates, exchange rate fluctuation, inflation | Institutional Arrangements | Corruption | Complex Design (size: larger/multi-country project; technical complexity; innovativeness, multiple funding sources) | New unexpected regulations, policies | Partnerships failing to deliver | Other risks that do not fit in an of the other categories |
| Pollution incidents | INTERNAL: | Institutional/ Execution Capacity | Government Commitment | Project Management | Critical policies or legislation fails to pass or progress in the legislative process | Strategic Vision, Planning and Communication | Might refer to socioeconomic factors such as: population pressures; encroachment – illegal invasions; poaching/illegal hunting or fishing |
| Social and Cultural | Co-financing difficulties | Implementation arrangements | Political Will | Human Error/Incompetence | | Leadership and Management | |
| Security/Safety | Use of financing mechanisms | Country Office Capacity (specific elements limiting CO capacity) | Political Instability | Infrastructure Failure | | Programme Alignment | |
| Economic | Funding (Financial Resources) | Governance | Change in Government | Safety being compromised | | Competition | |
| | Reserve Adequacy | Culture, Code of Conduct and Ethics | Armed Conflict and Instability | Poor monitoring and evaluation | | Stakeholder Relations | |
| | Currency | Accountability and Compensation | Adverse Public opinion/media | Delivery | | Reputation | |

| Environmental | Financial | Organizational | Political | Operational | Regulatory | Strategic | Other |
|---|---|---|---|---|---|---|---|
| | | | intervention | | | | |
| | Receivables | Succession Planning and Talent Management | | Programme Management | | UN Coordination | |
| | Accounting/Financial Reporting | Human resources Processes and Procedures | | Process Efficiency | | UN Reform | |
| | Budget Allocation and Management | | | Internal Controls | | | |
| | Cash Management/Reconciliation | | | Internal and External Fraud | | | |
| | Pricing/Cost Recovery | | | Compliance and Legal | | | |
| | | | | Procurement | | | |
| | | | | Technology | | | |