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LAW AND ORDER TRUST FUND FOR AFGHANISTAN (LOTFA)

SUPPORT TO PAYROLL MANAGEMENT MOIA AND POLICE DEVELOPMENT

QUARTER PROGRESS REPORT
JULY – SEPTEMBER 2015



November, 2015

DONORS



Australia



Canada



Denmark



European Union



Finland



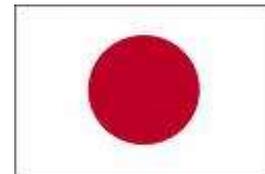
Germany



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Italy



Japan



Netherlands



New Zealand



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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
ANDS Component:	
Contributing to NPP:	NPP1 Afghan Peace and Reintegration NPP5 Law and Justice for All
CPAP Outcome:	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 Component:	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
Unfunded Amount:	US\$ 389,320,328
Implementing Partner:	Ministry of Interior Affairs (MOIA)
Responsible Parties:	United Nations Development Programme (UNDP)
Project Manager:	Mr. Sainey Ceesay, Support to Payroll Management Ms. Florida Perevertaylo, MOIA & Police Development (a.i)
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Responsible Programme Unit	Ms. Dawn Del Rio, Head Rule of Law Programme Unit
Responsible Senior Deputy Country Director:	Mr. Jocelyn Mason

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
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
GoIRA	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 Directorate
PFO	Provincial Financial Officer
PMU	Programme Management Unit
PPHQ	Provincial Police Headquarters
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

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.

To allow for more targeted and streamlined support, two complimentary projects were formed, namely, the Support to Payroll Management (SPM) project which focuses on supporting MOIA payroll management and transition by December 2016, and the Ministry of Interior Affairs (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.

During the reporting period (1 July - 30 September) the SPM and MPD projects made progress in implementing activities under Phase I of the 18-month work plan, which are summarized here below.

SUPPORT TO PAYROLL MANAGEMENT: KEY ACHIEVEMENTS AND PROGRESS

SPM project was designed essentially to develop the required capacity for MOIA to independently manage all payroll related operations and functions, including putting in place legislative, human resources, and finance policy frameworks, as well as information and communication technology for its pay budget for the Afghan National Police (ANP) and General Directorate of Prisons and Department of Corrections (GDPDC). To this extent, the project envisions to build payroll management capacity within the new MOIA Payroll Unit and full transition of all existing LOTFA payroll capabilities to the MOIA by December 2016. During the transition UNDP will work closely with CSTC-A and MOIA and support CSTC-A's development of the new Afghan Personnel and Pay System (APPS) that was launched in July 2015, following approval of the SPM project Annual Work Plan (AWP), and designed to replace WEPS/EPS. Thereby WEPS will remain the MOIA's back-up payroll system.

The following summarizes progress on results in the four main output areas:

MOIA policy development and implementation (Output 1):

The SPM project provides targeted technical support to ensure alignment of the payroll system with the MOIA legislative, human resource, and finance policies, and to strengthen

the legislative, policy and regulatory framework at both national and sub-national levels. Some of the work completed includes: the legal review and analysis of pay entitlements and deductions to the ANP recorded in the WEPS; review of human resources, payroll and reconciliation process; and the continuing support of the Monitoring Agent (Moore Stephens) to the MOIA in strengthening the internal control framework through the identification of findings, in order to enhance the precision of the payroll and payment system.

Capacity building for payroll management (Output 2):

Some limited progress has been made towards setting up a payroll unit for MOIA. To date, MOIA has assigned four initial payroll staff to work with SPM. LOTFA SPM staff are assessing their capacities. The Micro Capacity Assessment (MCA) of the MOIA's functional payroll capacity to begin in November is expected to inform the full range of existing capacities and capacity gaps of the MOIA to support the new Payroll Unit. MA findings are helping to reduce gaps within the system and to strengthen the MOIA's internal validation and reconciliation processes. These capacity development efforts are crucial for sustained transitioning of payroll management to MOIA.

Systems integration (Output 3):

Following the MOIA decision to introduce APPS, and maintain EPS as a back-up payroll system, the SPM project will no longer pursue systems integration between EPS and AHRIMS as originally approved. Despite this development, progress has been made. For example, the MOIA has granted LOTFA access to AHRIMS data, which enables LOTFA to conduct real time verifications of data. SPM has progressed in system documentation and identified findings and recommendations for systems improvement. The focus for the period October to December will be on implementing these recommendations.

Systems infrastructure development (Output 4):

Due to remaining uncertainty regarding the MOIA headquarters location, MOIA and SPM have been unable to proceed with the expansion of fiber. Furthermore, the site for WEPS/EPS Disaster Resilience and Recovery (DRR) remains undecided, thus affecting the intranet connectivity and disaster recovery capability.

Funds Transfer (Output 5):

The LOTFA SPM project has timely disbursed funds to the MOF, per the LOTFA 2015 Commitment Letter, to ensure payment of ANP and GDPDC salaries. The total LOTFA SPM advances transferred to MOF between July and September 2015 are AFN 6,422,883,077 (USD 102,888,748). The total expenditure recorded in AFMIS for this period is AFN 7,682,832,308 (USD 124,143,721). The delivery rate for the period is 119.62%. This, however, includes back-pays from the period January – June 2015. From January to September 2015; however, the delivery rate is 98.26%.

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 summarizes progress on results in the following output areas:

COMPONENT 1: INSTITUTIONAL DEVELOPMENT

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

For the first time, the MOIA has a unified M&E framework and reporting format aimed at facilitating result outcomes for all its departments. There are also plans to include the framework and templates for reporting in the MOIA Strategic Planning Directive (SPD). Importantly, capacity development assessments and plans have also been successfully formulated for five Directorates or Departments including Personnel, Facilities, Logistics, Finance and Procurement. Significant groundwork has also been done to compile and review human resources policies to ensure successful implementation of Government's policy on "civilianization".

MOIA administrative and police support services (output 2):

MPD and MOIA have agreed on the key business processes that need improvement. On issues of women participation in the police and gender-sensitive policing, technical support has been provided to formulate the MOIA Gender Strategy Implementation Plan and that preparations for "16 days of activism"¹ are underway to conduct information and outreach campaigns.

MOIA internal control and accountability (output 3):

In partnership with the Office of Inspector General (OIG) and in coordination with EUPOL, CSTC-A advisors and UNDP/LOTFA expert, analysis of existing complaints mechanisms has been conducted and presented to MOIA for consideration.

COMPONENT 2: POLICE PROFESSIONALIZATION

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

¹ The "16 Days of Activism" related to UN Resolution 1325 and Elimination of Violence against Women Day (25 November) and Human Rights Day (10 December). Campaigns and activities are organized to galvanize action to end violence against women and girls around the world between these two important dates. The international campaign originated from the first Women's Global Leadership Institute coordinated by the Center for Women's Global Leadership in 1991.

The MOIA internal Legal Review Commission has been set up to review gaps as well as overlaps and contradictions in Police and other relevant laws, taking into account the prevailing constitutional values, national human rights and legal obligations in relation to gender and the criminal justice system, as well as international treaty obligations to which Afghanistan is a signatory.

MOIA training and leadership development (output 2):

A standing MOIA Commission has been established to oversee the undertaking of the joint analysis and design of the Instructor Development Programme, and eventually take full ownership and budgetary processes of the activity. Preparations for the ANP female instructors to undertake the trainings for female officers are also underway. Under the leadership of the MOIA Commission, the joint analysis and design of the Future Leaders Program has also commenced. As part of a south-south cooperation, a regional collaboration with the Indonesian National Police (INP) is also established to enable direct engagement and network development between the ANP and INP senior leadership.

MOIA community partnership approaches (output 3):

Agreements have been reached with MOIA on expansion and strengthening of key initiatives to improve police oversight, accountability and transparency mechanisms, including the agreed expansion of Police e-Mardumi (community-oriented policing activities); new Information Desk Centers; and the development of an action plan and the needs assessment for Policewomen's councils. The District Safety and Security Survey (DSSS) has been completed and specific recommendations are to be used in identifying police priorities by the respective districts and the MOIA in general.

GENDER SPECIFIC PROGRESS:

Regarding LOTFA's work on gender, relevant progress can be observed within the MPD project. For the MPD project, gender and human rights are mainstreamed at the activity level in the results framework. Particularly for this reporting period, the gender lens has been an integral part of i) the review of legislative framework, ii) the review of MOIA follow-up of complaints, iii) outreach and awareness-raising activities, and iv) leadership roles in MOIA and ANP.

PARTNERSHIPS:

Regarding LOTFA partnerships, the SPM project is implemented through strong partnerships between MOIA, MOF, CSTC-A and UNDP. At the strategic level, the Donor Conditions Document provides the overarching partnership framework agreed between the partners for the full transition of all payroll management functions to MOIA. 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, educational institutions, law enforcement agencies in the region, and local authorities and communities.

ISSUES AND RISKS:

Project implementation during the period was met with some issues and risks. The main issues to have emerged are the identification of overpayment to reservists within the SPM budget, the difficulties around obtaining access to AHRIMS data for the MA, and the introduction of APPS requiring revisions to the AWP for 2016. Most of programmatic risks are being mitigated through TWG meetings.

The MPD project also faced with some issues and risks, including the unclear organizational structure in provision of police training and education, which presents challenges to ensure a sound approach for the future direction of police training and education activities; the weak legal and policy framework to provide authority and legitimacy for the ANP to perform its functions in light of its new roles and responsibilities; and the weak practical implementation to adopt gender friendly police service.

LESSONS LEARNED:

Some lessons emerging from this period point include recognition of government leadership and commitment as being crucial to steering the programme interventions as experienced by the MPD project during engagement with stakeholders during the M&E system development process. The appropriate MOIA leadership was supported with sound technical expertise and advice from the project, and the role of national staff in guiding and explaining to MOIA staff the different elements of M&E framework, which created stronger credibility and buy-in to the exercise.

Civilianization is a good investment and tangible gains are evident. UNDP and SPM project have witnessed improved collaboration and increased responsiveness and transparency. Examples of these include the development of the CBR mechanism and the AHRIMS data cleansing, the acceptance of ineligible expenditures and consequent deductions, the adoption of new M&E frameworks, and sharing NIM audits with the donors.

Demand driven needs and support leads to ownership and effective delivery of results. For example, the establishment of the Systems Development Office by MOIA has speeded up identification of issues in the system bring them to the attention of LOTFA and CSTC-A for rectification.

PROJECT MANAGEMENT SUPPORT FOR BOTH SPM AND MPD PROJECTS:

Following the approval of the 18-month work plan and in line with the restructuring, both SPM and MPD began the recruitment of key management and technical staff including international and national consultants. During the reporting period approximately 13 new staff were recruited for the SPM project and approximately 11 new staff for the MPD project. In total, 24 positions were advertised (including re-advertisements) and recruited. During

the reporting period, the Terms of Reference for all staff were reviewed for relevance and revised as needed to align with the new project requirements. Additionally, the procurement process for technical consultants including Terms of Reference design, advertising and various stages of assessment were underway for approximately 15 positions. By end of Q4, all recruitments will have been completed, including procurement and contracting of two large ICT and Management Information Systems (MIS) firms, to be rolled-out in Q1 2016.

Both SPM and MPD projects have continued to hold regular Technical Working Group (TWG) meetings during the reporting period, with 10 and 6 meetings held, respectively. In addition, the Country Office Rule of Law unit organized three all donor meetings to consult on various issues.

FINANCES:

The budget for SPM project, Phase I (July – December 2015) is US\$283,692,093. Financial execution reported for this period is US\$82,398,714. The delivery rate for SPM during the period stands at 29 per cent. The budget for MPD project, Phase I is US\$17,080,571. Financial execution reported for this period is US\$416,329. The delivery rate for MPD for this period stands at 2 per cent, although the financial delivery rate including staffing costs and GMS would stand at 11 percent. For both SPM and MPD projects, the financial execution does not reflect the staff costs for Q3, which were charged after the reporting period and will be reflected in the next reporting period. Further details on financial expenses and delivery rates are provided in the annexes.

II. BACKGROUND

LOTFA Successor: One Trust Fund, Two Projects

LOTFA is a Trust Fund of the United Nations Development Programme (UNDP) originally established in 2002. In December 2014, newly elected H.E. President Ashraf Ghani instructed UNDP to transform LOTFA to accelerate and make effective a transition of the payroll management functions to the Government of the Islamic Republic of Afghanistan (GIROA) and to develop national capacity for its efficient and accountable management. In April 2015, the GIROA, UNDP and the donors supporting 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 GIROA, donors and UNDP agreed on a three-phased, conditions-based transition period from July 2015 to December 2016, that at that the end should see the full handover of the payroll management functions to MOIA.

Under the new LOTFA, Support to Payroll Management (SPM) interventions, and MOIA and Police Development (MPD) interventions, are split into two separate Projects under one Trust Fund. The SPM project provides exclusively for capacity development support to facilitate the transition of payroll management from UNDP to MOIA by December 2016. The SPM Project was designed with the primary objective of developing the required capacity for MOIA to independently manage all functions related to payroll operations, including human resources, finance and information and communication technology for its pay budget for the Afghan National Police (ANP) and General Directorate of Prisons and Department of Corrections (GDPDC). The MPD Project is centered on developing national capacity for self-sustained reform and improvement of the MOIA as an institution, and the police services as instruments for citizen safety and maintenance of the rule of law. The MPD project is divided into two components. The Institutional Development component is intended to help the MOIA develop the capacity to conceptualize, lead and manage reform, while at the same time improving administrative and support services' performance and accountability, which are critical for police functioning and safety. The Police Professionalism Component seeks to support MOIA in strengthening its foundations and training infrastructure for police professionalization, while at the same time supporting immediate police service delivery and outreach activities to strengthen police and community engagement. The two new Projects have been jointly developed by GIROA, MOIA, UNDP, donors and other partners.

The splitting of the original Project into two Projects will allow better facilitation of the handover of payroll management over time with full handover of the UNDP-supported payroll management functions to GIROA by December 2016. Meanwhile, the longer-term development activities can be implemented at a more appropriate and flexible pace, respecting the GIROA's schedule for security sector reform and development agenda.

Furthermore, the functional and managerial restructuring of LOTFA has strengthened project management, streamlined support for effective delivery, quality assurance and oversight. Notably, the Projects are still united by an overarching Project Board and Trust Fund governance structure and procedures. This single structure acknowledges the necessity of results by both Projects to achieve GIROA's security sector objectives.

Strengthened UNDP oversight on LOTFA SPM and MPD projects:

LOTFA has invested significant efforts within the new project to strengthen oversight. As part of the restructuring process within the UNDP Country Office, UNDP has introduced a new functional demarcation between programme and project responsibilities with clear Standard Operating Procedures (SOP) on key business processes, which have further enhanced clarity on roles and responsibilities, and streamlined work flows. Within the new project structure, the Project Managers of both SPM and MPD report directly to the Head of the Rule of Law and Human Security Unit. The Country Office has created the Financial Fiduciary Fund Management Unit (FFFMU) within the Office for Financial Management and Oversight (OFMO) to oversee all financial and fiduciary aspects of SPM police pay.

The Monitoring Agent (MA) is one of the principal mechanisms at the disposal of UNDP to ensure oversight on the use of LOTFA funds. Significant improvements have been made to strengthen capacities within the SPM project to provide quality assurance and coordinate the work of the MA with MOIA counterparts. Under a new Terms of Reference the new MA (Moore Stephens) provides three levels of reconciliation series, namely expenditure verification, physical verification and systems analysis. The MA, MOIA and SPM staff meet on weekly/bi-weekly basis to discuss MA findings and finalize the MA reports (see also the feature story on the MA in section III.B. Output 2: Capacity building for payroll management).

UNDP/LOTFA has also made considerable progress on implementing LOTFA audit recommendations up to Q3 of 2015 as follows:

- **UK Due Diligence Assessment (DDA):** As part of strengthening management and internal control mechanisms within LOTFA, UNDP is taking appropriate actions to address the recommendations of the UK Due Diligence Assessment (DDA) completed in Q3 2014. As of September 2015, six of the 11 recommendations have been implemented and five remain under implementation. Responsibility for monitoring the Implementation Plan for the DDA remains under the Head of the ROLHS unit. Progress is reported in the quarterly and annual progress reports which are shared with the LOTFA project board and donors. The most recent update was provided in October 2015. One of the recommendations currently in progress is the setting up of the LOTFA Oversight sub-Committee, which is planned to hold its first meeting in December 2015. Donor members include the United Kingdom, United States and European Union. The Committee is

mandated with reviewing implementation progress for the remaining DDA recommendations among other audits and reviews.

- **Special Inspector General for Afghanistan Reconstruction (SIGAR):** LOTFA has provided frequent updates on implementation of recommendations from the SIGAR reports. LOTFA has not featured in the most recent SIGAR report, which may be perceived positively. LOTFA has also worked consistently on clarifying roles and responsibilities between all partners involved in support to MOIA payroll (which was one of the main misunderstandings underlying SIGAR's interpretation of LOTFA's mandate). With the donor conditions paper, this clarity has now been established more clearly among international partners and the donor community.
- **OAI Follow-up Audit on Management and Oversight of the MA (2015):** UNDP/LOTFA has had a recent OAI follow-up audit review on the 2014 OAI desk review on the management and oversight of the Monitoring Agent. Although still awaiting the draft report, based on discussions with OAI, UNDP expects all recommendations to be implemented.

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

In line with the requirements of H.E. the President of Afghanistan, the MOIA has introduced the civilianization process by recruiting senior civilian officials in key leadership positions. MOIA has the approval of H.E President to recruit 71 senior civilian officials at national and sub-national level, from which MOIA has until now recruited 14 positions that includes positions at the level of Deputy Minister, Director General and Directors. UNDP sees this as a positive step towards an effective institutional reform in MOIA, which will greatly help the payroll handover process, and provide needed technical expertise to support MOIA institutional reform and support services for effective police service delivery.

UNDP has supported this initiative by drafting and developing guidelines for Capacity Building for Results (CBR) Human Resources Planning, Recruitment and Management of Ministry of Interior Affairs (MOIA) Senior Civilians. These guidelines have been approved by UNDP and H.E Minister of Interior Affairs, and now form the basis for recruitment of these civilians. The guidelines have been endorsed by the World Bank, MOF, MOIA, all LOTFA donors. UNDP included a budget allocation within the SPM 2015 Annual Work Plan for the payment of civilians in line with CBR arrangement. LOTFA donors on 18 August 2015 approved CBR salary scale to be used for payment to 19 senior civilian recruited officials of MOIA.

The approved guidelines set a solid ground for the transparent recruitment and selection process based on international best practices, that will jointly be administered by the MOIA and UNDP, and which include: Human Resource planning and budgeting, TOR development, TOR classification, job advertisement, long listing, shortlisting, written test administration,

job interview, CV classification, job offer, performance management, and steps and increments.

UNDP has provided further support to the MOIA and CBR process by developing the following formats for the future management of the contracts, to be agreed upon between MOIA and UNDP: contract template, ToR template, interview report template, timesheet template, payroll template, developed and completed interview reports, classified ToRs into appropriate CBR grades, classified CVs into appropriate steps in CBR grades, approved CV and ToR classification by UNDP, MOIA and Afghanistan independent Civil Service Commission.

UNDP remains committed to further support the MOIA in its civilianization process through a continued budget allocation within the SPM 2016 Annual Work Plan. UNDP will also maintain its oversight role on behalf of donors to ensure the recruitment of civilians are in line with the CBR arrangements and follow the due process that has been established by UNDP and MOIA for this purpose.

Policy and Legislative review:

The ANP has numerically grown big. However, the legal and policy foundations of the institution have not adapted to provide the authority, legitimacy, and basis to perform its functions effectively. LOTFA is undertaking an extensive review of the Police Inherent Law, its bylaws, acts and other corresponding frameworks that regulate ANP and assessing the level of conformity with the prevailing constitutional values, national human rights and legal obligations in relation to gender and the criminal justice system, as well as international treaty obligations to which Afghanistan is a signatory. If the police is to be people friendly and function as an effective law enforcement institution in light of its new role and responsibilities, it needs to review its overall policing approach with robust efforts to build in basic policing foundations (applied universally across police institutions globally), but contextualized for the Afghan situation and reality.

Mainstreaming Gender within LOTFA:

LOTFA is making investments to strengthen its efforts to mainstream gender within the work of both SPM and MPD projects. The SPM project has initiated the review of MOIA human resource and payroll policies to identify gaps and opportunities for further strengthening gender mainstreaming. Both SPM and MPD projects are also working to improve working environment, protection, and career development for women within the police force. Specifically, the SPM project is working to enhance the gender aspect of the current administrative data collection and reporting. Currently, police registration forms do not identify officers by gender (including within time and attendance sheets), and the EPS cannot capture gender data as this information is not recorded at the provincial and district levels in the payroll stations by the provincial financial officers. Such gender-disaggregated

data and reporting would contribute to more informed policy responses in gender equality and empowerment of women by LOTFA and MOIA.

At the level of institutional capacity building, the MPD project takes a cross-cutting approach to actively promote gender and human rights in line with the Ten-Year Vision for the Afghan National Police 1392-1402. Gender specific progress of the MPD project includes technical support provided to operationalise the MOIA Gender Strategy Implementation Plan; a situation analysis of blockage and gaps of the complaints mechanism for female police officers completed with specific action plans agreed for short and medium terms; technical support provided to prepare an Action Plan for PWC to implement its mandate; and plans established to undertake a maturity assessment of the Family Response Unit (FRU) to improve its operational effectiveness and contribute to the justice for victims of SGBV.

Supporting Human Rights within MOIA and the Human Rights Due Diligence Assessment:

The prevention of human rights abuses and the protection of human rights victims is a core function of the MOIA and the ANP. Efforts to effectively mainstream human rights into the MOIA's policies, strategies, and planning are well under way with LOTFA's emphasis on formulating a human-rights based approach for implementing its support to the MOIA on strengthening payroll management, institutional development and police professionalization.

To this end, LOTFA is facilitating and providing available tools and means to strengthen MOIA's human rights mainstreaming capacities. A Human Rights Specialist position within the MPD project is underway to support the development of an overall human rights mainstreaming strategy. The Human Rights Specialist will provide policy advice and guidance on mainstreaming human rights in the institution and ensuring that human rights is integrated into the work of the MOIA. Specifically targeted human rights training will also be introduced. The specialist is expected to lead the development of normative standards and frameworks for human rights, with strong enforcement measures, including sensitization of police staff on human rights issues.

During the reporting period, the UNDP Country Office initiated a Human Rights Due Diligence Risk Assessment, which will be completed by an UNAMA human rights consultant between 15 October and 15 December, 2015. This will further inform UNDP about the organizational risks related to current support provided to the ANP as well as possible engagement with the Afghan Local Police (ALP) through LOTFA. The assessment is intended to identify potential risks as well as mitigation recommendations for UNDP and LOTFA donor consideration. Acceptation of the proposal would require consensual donor support, as demanded by the LOTFA governance structure.

Coordination with Deputy Minister of Support/LOTFA National Project Manager:

The UNDP Country Office Rule of Law and Human Security Unit, SPM and MPD projects meet with and interact with the Deputy Minister of Support, H.E. Mr. Rahimi as the LOTFA National Project Manager on a regular basis. The DM Support is appraised of all overall issues, risks and progress through regular meetings with the Head of ROLHS Unit where issues such as ineligibilities, NTAs, CBR, procurement, HACT/MCA, establishment of MOIA Payroll Unit, civilian recruitment, conditions, etc. were among the issues discussed during the reporting period. Additionally, both SPM and MPD project managers meet regularly to discuss in more detail progress on implementation. The DM Support has encouraged and supported this close working relationship with LOTFA and UNDP, which has led to more efficient and effective implementation. Through his leadership key issues have been supported, such as the release of the MOIA 2014 NIM audit, approval of the civilianization process, and resolving issues associated with ineligible expenses.

LOTFA/SPM donor conditions and progress:

The donor conditions paper has established clear roles and responsibilities for MOIA, UNDP and CSTC-A on the hand-over of payroll management to MOIA over a period of 18 months. The conditions are quite substantive and demanding. The capacity of all responsible parties to meet these conditions could risk the handover of payroll management responsibilities to the MOIA. Specific obligations for UNDP as outlined in the conditions are outlined below. All conditions are currently on-going and on-track:

- UNDP/SPM support MOIA in the development and implementation of HR and finance policies, conduct technical analyses (reports and studies) concerning existing legal and policy documents related to Payroll (HR and finance) and make recommendations for improvement.
- UNDP/SPM will provide independent Monitoring Agent services, and provide regular reports to donors and MOIA, with findings and recommendations. This is on-going and on-track. UNDP's continued efforts to strengthen our ability to provide quality third party monitoring services is critical given that H.E President Ghani indicated in his April 2015 letter to the LOTFA donors that UNDP should continue to provide third party independent monitoring agent post 2016.
- UNDP/SPM will build capacity of MOIA in payroll management in accordance with its approved Annual Work Plan. This is on-going and on-track. Achievement of this condition will also be determined by the MOIA's capacity to provide to the Payroll Unit the right staff with the required expertise to work alongside SPM staff. UNDP is developing a payroll unit concept note to approve by MOIA to further accelerate the standing up of the MOIA payroll unit by 2016.

- UNDP/SPM will contract an independent audit firm to conduct an assessment of MOIA's compliance with the donor conditions. This is on-going and on-track. The MCA on payroll will provide a baseline for the capacity development to be conducted within the new MOIA Payroll unit, as part of SPM's support to this end. This assessment will then be repeated at the end of each Phase II (July 2016) and III (December 2016) to assess progress on strengthening payroll capacities.

III. SUPPORT TO PAYROLL MANAGEMENT PROJECT

A. OUTPUT 1: MOIA Policy development and implementation



As part of the overall support the LOTFA SPM project is supporting the strengthening of the MOIA's capacity to independently manage the payroll system. The SPM project is providing targeted support to align the payroll system with GIROA pay policies, and providing technical support to MOIA to strengthen the legislative, policy and regulatory framework at both national and sub-national levels. The first step at the outset of the SPM

project has been to ensure full alignment of EPS payroll processes and procedures with national laws and regulatory frameworks. This will result in MOIA payroll only funding salaries and incentives legally supported by national law.

The initial policy reviews and analysis on GIROA human resource and finance regulations has resulted in the identification of policy gaps. The findings and recommendations were presented to MOIA in order to elaborate the required follow-up actions for implementation. The findings and recommendations will be shared in the Pay and Budget Sub-Technical Working Group (TWG) in October and subsequently to the office of the policy research director of MOIA for greater coordination with relevant directorates of MOIA. This will allow the project to take up a unified approach for policy review. SPM project is also closely coordinating with the ongoing legislative mapping and review work of LOTFA MPD project to address both the legislative and policy gaps for payroll and personnel management and other relevant crucial issues. By the end of this reporting period, SPM has accomplished the following critical implementation steps towards supporting MOIA policy development and implementation:

- SPM project completed a legal review and analysis of pay entitlements and deductions to the ANP recorded in the EPS. The findings and recommendations were presented to MOIA and the TWG on 27 July 2015. An important finding was that some of the policies and incentives were not mentioned in the Police Inherent Law, for example cadre incentives. There were also some incentives in the Police Inherent Law not reflected in the EPS, for example, incentive pay during appointment and employment, contract renewal incentive, and educational diploma Incentive. There were also some ambiguities

and inconsistencies within the relevant laws, rules and regulations, policies, and other official directives regarding pay entitlements. For example, ambiguities in the relevant provisions of the Labor Law and gaps within Police Inherent Law regarding working hours, night work, and shift work. There are inconsistencies between Police Inherent Law, the Payroll Payment Policy, and the Budget and Finance Policy of the General Directorate of Budget and Finance. For example, the Payroll Payment Policy has been the basis for the payment of a number of incentives, without the support of a legal instrument for execution in the form of either operational guidelines or regulation. Hence, the need for the MOIA to review and update the existing policies. This would also lead to a revision/updating of the pay entitlements recorded in the EPS. The recommended changes will be presented to a MOIA working group formed under the leadership of director of policy research of MOIA for further review and endorsement.

- SPM project completed a review of the existing human resources, payroll and reconciliation process. This involved mapping of human resources processes related to payroll and analyses of human resource (HR) processes in the ANP at the provincial and district levels and Mustofats. Findings of the report will be presented to the TWG and GIROA in October 2015. Preliminary findings point towards some limitations in HR and reporting processes, as well as differences in reconciling the EPS and the Afghan Financial Management Information System (AFMIS).
- The Terms of Reference for the Payroll Management Pay and Compensation Board (Pay Board) have been prepared and shared with donors and will be approved by the TWG in November. The Pay Board will function as a working-level review body to advise the Project Manager and Project Board concerning the basic rates, incentives, bonuses, awards, and deductions related to the ANP and the GDPDC pay.
- SPM project began preparations for a study on the current pay structure and sustainability to inform the work of the Pay Board. The Terms of Reference have been shared with partners through the TWG for comments and inputs. The study itself is planned for 2016.
- The Monitoring Agent (Moore Stephens) continues to support the MOIA in addressing monitoring findings and strengthen its internal control framework to improve the accuracy of the payroll and the payment system. The major improvement in the MA's work is the introduction of a third verification measure to analyze police pay. The Pandora Data Interrogation software has recently helped to identify the overpayment to reservists. It has further supported the identification of system findings (duplication of data within EPS/WEPS data sets), in addition to the expenditure and physical verification conducted during the period.

The policy review process is an important preparatory groundwork and a prerequisite for effectively supporting the MOIA in the development and implementation of human resource and finance policies. Implementation of output 1 is well on track to meet the Phase I milestones.

Table 1: Summary of Progress on Output 1 of SPM Project as of Q3

Indicator	Baseline (As per the AWP)	Phase I targets (Jul-Dec 2015) (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Extent of alignment between current applicable Government policy, legislation or regulation and payroll practices	Partial alignment (approx. 33%)	Partial alignment: mapping under way	Mapping is underway	Mapping is underway and recommendations have been formulated	In progress: The assessment on human resources, payroll and reconciliation processes is underway to provide baseline data.
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)	Document preparation in	Mapping is underway	Mapping is underway and recommendations have been formulated	In progress: The assessment on human resources, payroll and reconciliation process will provide the basis for development of this document.
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)	5%	5%	SPM project has not yet set up a system with MOIA OIG to measure this. Complaints received by the MA are shared with the MOIA.	SPM project through the Help Desk support to provincial payroll stations handles complaints and records the numbers of complaints received per month. However, there is need to work with the MA and MOIA Office of the Inspector General to follow-up on these complaints. Information on complaints received through the SPM help desks and the MA is shared with the MOIA to take immediate action to address these.
D: Percentage of MOIA personnel in receipt of monthly pay slips and current annual pension statement (disaggregated by gender)	Nil (0%)	Nil (0%)	Nil (0%)	Nil (0%)	Off-track. No progress has been made as yet. Even though WEPS/EPF allows the emission of individual and bulk pay slips for all payroll stations, the MOIA is facing difficulties to implement a regularized process for emitting pay slips. The MOIA has identified challenges relating to the costs of MOIA stationery for printing, equipment, as well as the logistics to distribute the salary pay slips.

B. OUTPUT 2: Capacity building for payroll management

Concrete steps have been taken toward standing up a payroll unit within the MOIA. LOTFA has secured MOIA commitment towards building up this payroll unit within this reporting period and the MOIA has assigned four payroll staff to work within SPM Payroll Capacity Building team together with LOTFA colleagues in October. This has also put in practice the concept of



'twinning' which places MOIA and LOTFA colleagues together to perform tasks on a routine basis, as part of the MOIA Payroll unit. LOTFA will work with the MOIA to set up and expand this Payroll Unit with additional MOIA staff and add capacities to the Payroll Unit during the next quarter.

The upcoming SPM project Micro Capacity Assessment (MCA), as outlined in the donor conditions, will provide a baseline for the capacity development to be conducted within the new MOIA Payroll Unit. This assessment will then be repeated at the end of each Phase II (July 2016) and III (December 2016) to assess progress on strengthening payroll capacities.

The following highlights some of the achievements under the output planned activity results:

- The MOIA has dedicated four staff to work with SPM full-time for on-job training. So far, these four staff have received a five-day EPS induction and have supported data cleansing between EPS and AHRIMS (initiating with matching personnel information in AHRIMS and EPS for Police Districts 7 and 10 and reporting findings to the MOIA AHRIMS section for rectification). MOIA has already expressed the possibility of providing two additional staff, who are expected to join in Q4. This is a very relevant achievement towards setting up with payroll unit.
- The MA has produced reports for the months of January, February, March and April. The remaining reports for May, June and July will be submitted as per the agreed timeline. The MA findings are being used to strengthen MOIA's internal validation and reconciliation processes. Some of the major findings include ineligible expenditures related to over payment of salaries to reserve forces. To a lesser extent, a few cases of police personnel

without proper documentation were identified but resolved, as well as incomplete HR records pertaining to transferred/terminated officers appearing in WEPS. The MA has also identified invalid IDs and officers with invalid bank account numbers within EPS and WEPS. The MA, MOIA and LOTFA/SPM continue to hold weekly joint meetings to resolve these findings by the provision of supporting documentation by the MOIA. The MA also shares field level information and issues which also help LOTFA and MOIA to identify gaps in processes and procedures, and further enhance internal control processes.

- The SPM project is supporting the MOIA in strengthening its capacities for data collection, analysis, development of payroll reports, sharing of information and taking corrective actions on the basis of this information. A workshop was held for MOIA staff on 5 August 2015 to improve on the reporting and information sharing with donors.

With the MCA, SPM staff together with Grant Thornton initiated the development of capacity assessment tools for the payroll unit functions and tasks that will be used for individual training plans for MOIA staff to be developed, and implemented from Q4 onwards.

Feature Story: Working towards increased Transparency and Capacity Development of the MOIA through Independent Third-Party Monitoring:

UNDP's LOTFA SPM project is continuing to strengthen oversight on the use of LOTFA funds through the Monitoring Agent (MA), as an independent third party monitoring mechanism. Since UNDP has taken over the responsibilities for management of the MA in 2013 from the MOIA, important improvements have been made, and visible progress has been achieved in developing capacity within the MOIA to address the MA findings.

The current MA now works under strengthened Terms of Reference, and the MA's work is conducted following an established timeline for the preparation and finalization of MA reports and ensuring a due process to the review of MA findings by the MOIA. Also, the UNDP Country Office and LOTFA funded SPM project have further specified roles and responsibilities for the management and oversight of the MA, which further increases accountability for all parties involved in this exercise.

Within the new SPM project, the new staffing structure includes a team dedicated to the MA, consisting of a Quality Assurance Specialist and Voucher Examiner, to oversee the MA's work under the guidance of the SPM Project Manager and to facilitate on-going coordination between the MOIA and the MA so as to ensure a close follow-up on the MA findings by the MOIA and the provision of required supporting documents from the MOIA to the MA, which serves as the basis for the review of the MA findings.

The new MA, the UK-based Moore Stephens, has also brought considerable qualitative improvements to the verification exercises conducted as part of the MA's work. In addition to *expenditure* (i.e. monthly verification in provincial/district payroll stations of M16, M41, Time and

attendance records, HR files) and *physical* verification (i.e. verification of 12% of police on Tashkeel on annual basis), the MA conducts systems analysis on the EPS/WEPS monthly dataset using data interrogation techniques, which have added qualitative new insights to their assurance work. MS data interrogation software permits the MA to detect duplications within and between these data sets. So far, this analysis of EPS data has highlighted duplications in bank accounts, ID-cards and personnel names. The MA has also identified the payment to reservists outside of Tashkeel through data analysis of EPS/WEPS. All these issues have been recorded in the MA reports and are being addressed by the MOIA.

Progress on the resolution of MA findings are shared monthly with donors within the Technical Working Group (TWG) on Monitoring and Reconciliation. Final MA reports are also shared with TWG members. The UNDP Country Office, through the Rule of Law and Human Security Unit, has also increased its oversight on the management of the MA, and maintains abreast of the issues and risks arising from the work of the MA, in order to keep UNDP Senior Management informed and facilitate management action and engagement with MOIA Leadership, where required.

UNDP and MOIA have already seen clear dividends from this closer cooperation and improvements made to the MA's work. Continued work through the MA exercise is increasing transparency and accountability on the use of LOTFA funds. UNDP uses the MA not only as a tool to ensure donor funding is spent in compliance with the approved budgets and agreements, but equally important as a capacity development tool for the MOIA. Through the identification of ineligible expenses, the MOIA, UNDP and the MA work together to identify weaknesses in the system and resolve them accordingly. As a result of this increased capacity development approach, the MOIA has been able to identify and resolve issues resulting in reduced ineligible expenditures consistently for two years running. For instance:

- In 2013: *1,314,473,418 AFS* originally identified as ineligible by the MA; following support to MOIA to resolve issues the final amount to be recovered reduced to: *364,992,066 AFS* (amount fully recovered)
- Similarly in 2014, *447,949,342 AFS* originally identified as ineligible by the MA but ultimately reduced to *211,060,409 AFS* (amount fully recovered)

UNDP/LOTFA SPM will continue to perform independent third-party monitoring as part of its oversight function on LOTFA funds, and will continue to work jointly with the MOIA and the MA in order to increase transparency and capacity development of the MOIA on this area.

Table 2: Summary of Progress on Output 2 of SPM Project as of Q3

Indicator	Baseline (As per the AWP)	Phase I targets (Jul- Dec 2015) (As per the AWP)	Q3 Planned	Q3 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%)	Assessment tool developed and applied to nominated payroll unit staff, with targeted training under implementation	Assessment tool designed	The assessment tool (questionnaire) has been developed.	The assessment tool will be implemented in Q4. However, important progress has been made towards this Indicator. For example, SPM has designed the questionnaire for the MCA which will be administrated by Grant Thornton as part of implementation of the MCA.
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%)	Assessment tool developed and applied to nominated payroll unit staff, with targeted training under implementation	Assessment tool designed	The assessment tool (questionnaire) has been developed	The assessment tool will be implemented in Q4. However, important progress has been made towards this Indicator. For example, SPM has designed the questionnaire for the MCA which will be administrated by Grant Thornton as part of implementation of the MCA.
C: Percentage of time and attendance processes that meet agreed standards, being applied at national and sub-national level	Nil (0%)	Time and attendance processes documented	Baseline study has been carried out	Baseline study has been carried out	SPM has documented existing processes and procedures for documenting time and attendance. Baseline for measuring further progress being established as capacity building plans are being implemented.
D: Percentage of relevant time and attendance processes with gender markers	Nil (0%)	Assessment process under way	Baseline study has been carried out	Baseline study has been carried out	The consultancy mentioned in indicator C has revealed current time and attendance processes and procedures do not include any gender segregated data. Therefore, this will be included as one of the main recommendations as LOTFA works with MOIA on strengthening these procedures.
E: Percentage of personnel in AHRIMS matching personnel in EPS (disaggregated by gender)	24%	24% of men and of women	24%	24%	No progress as yet. Data validation exercise by MOIA is still pending.
F: Percentage of provincial payroll reports including gender-disaggregated data	Nil (0%)	25%	10%	No information as yet	This could not yet be established at this stage. Work on this has not yet started Assessment on human resources, payroll and reconciliation process to provide baseline data and level of progress.

C. OUTPUT 3: Systems integration



The momentum to support systems interfacing between EPS and AHRIMS under the SPM project has been halted due to the development and future implementation of the Afghan Personnel and Payroll System (APPS), currently being developed by CSTC-A in collaboration with MOIA to fully replace EPS from 2017 onwards. Therefore, activity results (particularly activity results 3.2) to undertake system integration will be adjusted or removed

from the 2016 work plan and budget. LOTFA/SPM will provide targeted support towards systems integration, as to be defined between a future Memorandum of Understanding (MOU) to be developed between MOIA, UNDP and CSCT-A, which will outline the roles and responsibilities that LOTFA will have towards hand-over of EPS and capacity building support towards systems integration, within the framework of this output.

Meanwhile, the SPM project and CSTC-A will develop a “temporary” interface. The temporary interface will support the data cleansing process and will continue until the data in both systems is cleaned and validated. SPM project continues to conduct data verification and validation between EPS and AHRIMS to facilitate personnel and payroll data migration towards APPS.

The changes in role and responsibilities of the SPM project regarding systems integration need also to be duly reflected in the new Annual Work Plan for 2016, which will be designed in Q4. SPM support to building payroll capacities on EPS administration and data analysis within the MOIA Payroll unit will continue to a certain extent throughout 2016, in the eventuality of a delay in full roll-out of APPS. This will also prepare the MOIA to maintain use of EPS as a back-up system, and will adhere to His Excellency President Ghani’s directive that LOTFA hand-over all payroll responsibilities by December 2016.

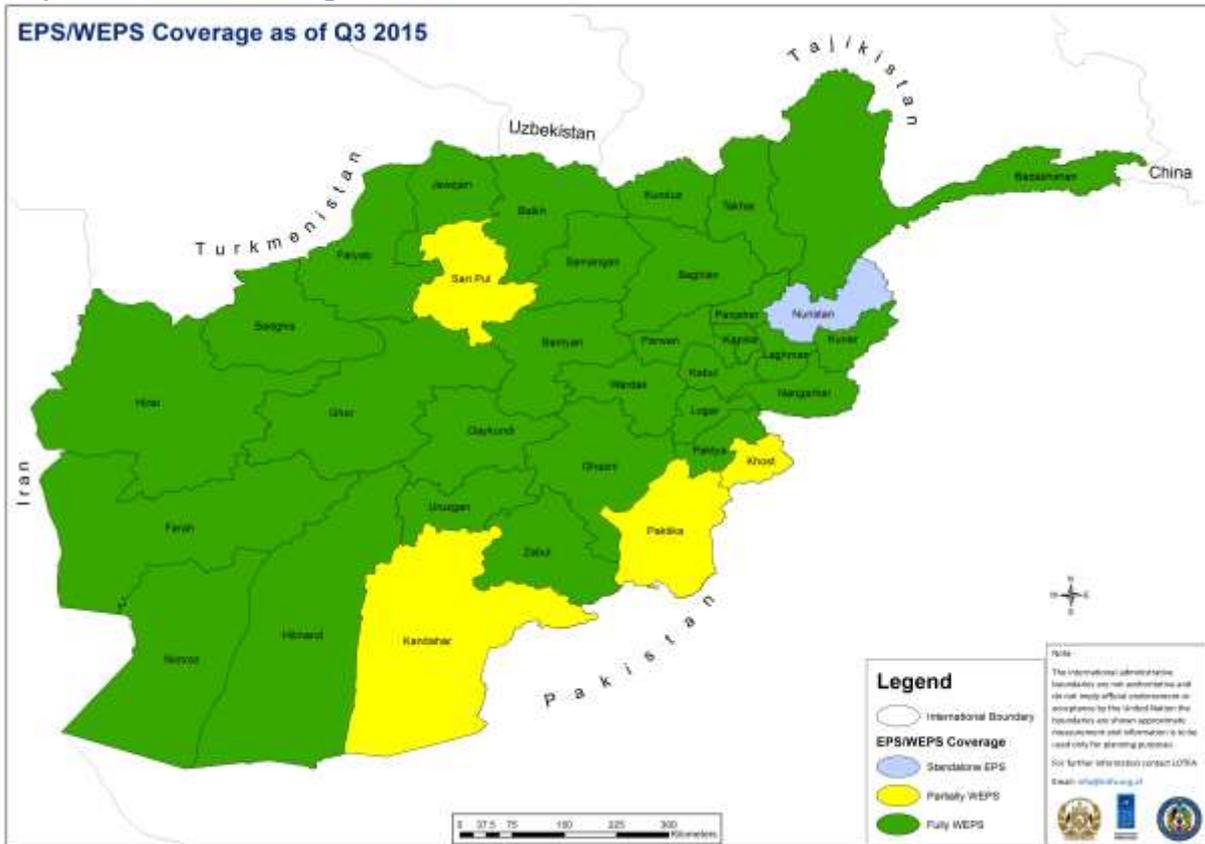
The following highlights progress made against the planned activity results under systems interface:

- The SPM project was granted partial (read-only) access to AHRIMS data by MOIA. This step is important because it allows real time verifications of data between AHRIMS and EPS, thus significantly improving the accuracy of data at any given time within the new Payroll Unit.

- The SPM project continued to develop system documentation² on EPS. Various findings and recommendations defined were shared with MOIA and donors through the TWG on System Integration on 21 September, 2015. The list of recommendations are meant to improve system and database performance, structure and maintainability following industry best practices and standards in system development.
- Some of the findings and recommendations are ensuring source code and version control, data file organization, database indexing, coding standards, and system security. In Q4, focus will be on implementing the recommendations. However, some of these recommendations should logically be taken over by the APPS. An implementation plan for the recommendations has been prepared.
- MOIA has established a Systems Development office within the MOIA ICT department to build capacity to ensure MOIA demand-driven system needs. The office identifies issues in the EPS system that requires attention and brings them to SPM staff and CSTC-A for rectifying. This is an important driver for continued improvements on the payroll systems.
- There is on-going work to ensure that the EPS is functional nationwide. This includes:
 - Migrating EPS stations to WEPS. To date 33 Police headquarters have migrated and Nuristan will be migrated once connected to MOIA Intranet. The map below shows the WEPS/EPS coverage for the ANP and GDPDC across the country as of 30 September, 2015. EFT expansion has marginally increased from a baseline of 85% to 86%;
 - The review and improvement of the payroll system (WEPS). There was a significant improvement in the percentage of police supported by WEPS from an estimated 65% to 84% by end of Q3, thus surpassing the Phase I target of 80%;
 - Conducting WEPS initial user, refresher and domain specific trainings. The SPM team conducted WEPS training for the GDPDC staff from Kabul, Baghlan, Badakhshan, Takhar, Samangan, Balkh, Panjsher, Kunduz, Faryab, and Sar-e-Pul provinces. The next training is scheduled for October for GDPDC staff from Ghazni, Jawzjan, Nangarhar, Kapisa, Khost, Farah, Badghis, Nimroz, Kunar, Kandahar, Parwan, Daikundi, Bamian, Paktia, Laghman, Helmand, Wardak, and Logar provinces;
 - Implementation of alternative connectivity solution (3g dongle). Up to 22 GDPDC payroll stations are using the WEPS through 3g dongle services. The remaining GDPDC payroll stations are still using the stand-alone EPS but will be connected to WEPS using 3g dongle by end of December 2015;
 - Implementing the Disaster Recovery Plan and identifying business continuity sites.
- LOTFA has fully facilitated the process of data reconciliation in three locations (PD7, PD10, Hisa-awal Kohistan)

² System Documentation is basically written information that explains what the system does, how it does it, how it is composed (designed), how it is developed, and a description of the technical components that make up the system including the database, the deployment environment, the tools and languages used to develop the system.

Map 1: WEPS/EPS coverage for the ANP:



Map 2: WEPS/EPS coverage for the GDPDC:

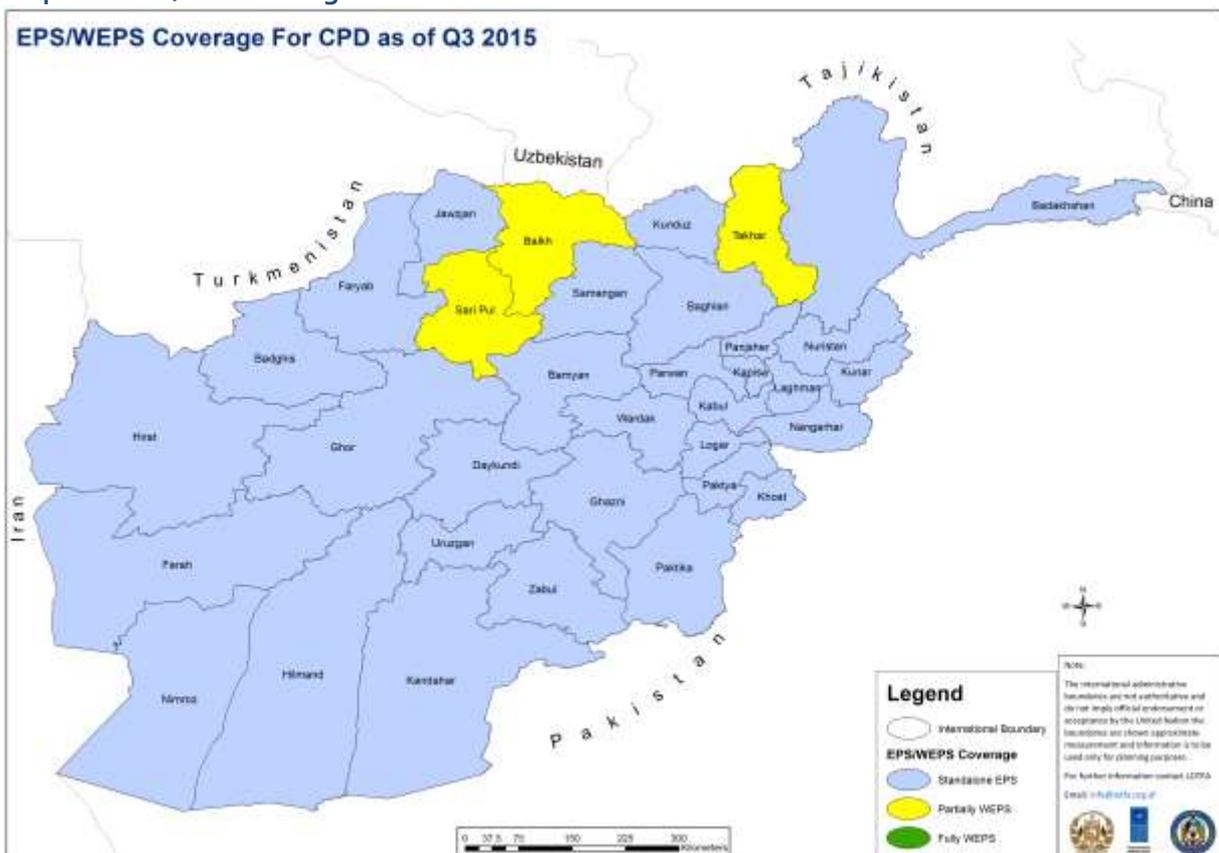


Table 3: Summary of Progress on Output 3 of SPM Project as of Q3

Indicator	Baseline (As per the AWP)	Phase I Targets (Jul-Dec 2015) (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A. Number of Provincial Headquarters with WEPS capability	32	33	33	33	The project has reached the Phase I target in Q3.
B: Percentage of data fields in EPS automatically fetched from AHRIMS data	Nil (0%)	Nil: MOU between MOIA, MOF, RS/CSTC-A established; MOIA, UNDP and RS/CSTC-A establish common data fields needed for sharing	MOU between MOIA, MOF, RS/ CSTC-A established	The MOU has not been prepared. 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.	The overall indicator is no longer valid for SPM as the CSTC-A will develop APPS to replace EPS. The Donor Conditions Document has defined that an MOU between MOIA, CSTC-A and for APPS should be established instead.
C: Number of data fields pushed by AHRIMS to EPS	None (0)	UNDP contract with Netlinks established; MOIA, UNDP and RS/CSTC-A establish common data fields needed for sharing	UNDP contract with Netlinks established	The contract with Netlinks has not been established. The SPM project will no longer secure that data fields are pushed by AHRIMS to EPS.	The overall indicator is no longer valid for SPM as the CSTC-A will develop APPS to replace EPS.
D: Percentage of WEPS users with updated user guides	Nil (0%)	User guides in the process of updating	User guides in the process of updating	The user manuals have been updated and are at printing stage	This is on track. User guides will be translated into Dari and printed in Q4.
E: Percentage of Sustainment Plan implemented	Nil (0%)	Sustainment Plan to establish help desk ticketing system, strengthened transaction auditing system, and coding configuration management developed for approval	Sustainment Plan to establish help desk ticketing system	Not achieved	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)	85% men and of women; MOIA and MOF plan for EFT expansion developed and approved	86%	86%	Target for Phase I has been reached.
G: Percentage of police supported by WEPS (disaggregated by gender)	65% (estimated equally applicable to men and women)	80% of men and of women	80%	84%	Target for Phase I has been reached.

D. OUTPUT 4: Systems infrastructure development

Progress under this Output for this reporting period has been hampered by two main factors. One is the change in location of the MOIA Headquarters, which will inevitably impact on the installation of fiber at the new MOIA Headquarters' site, including on the timeline to achieve this. Implementation of the Disaster Resilience and Recovery (DRR) Plan is still pending, awaiting MOIA guidance on the way forward. The other is the Disaster Resilience and Recovery site for the WEPS/EPs, which will also depend on the characteristics of the new location to install the back-up system. These have negatively impacted on intranet connectivity in the central and sub-national payroll and HR offices. Intranet connectivity also affects disaster recovery capability for web-enabled human resource and payroll systems.

Despite the constraints, work is in progress, especially the expansion of connectivity of payroll stations including implementation of alternate connectivity solutions for locations not yet connected to MOIA intranet. This includes the following:

- Virtual Private Network (VPN) connectivity has been established for the GDPDC's payroll stations and progress is at about 33 %. This ensures GDPDC payroll offices' access to centralized WEPS. Alternative connectivity solutions to connect Police PHOs and GDPDCs to MOIA through wireless bridges is underway (3G dongle); and
- At least two potential locations have been identified for the implementation of the Disaster Resilience and Recovery (DRR) plan for WEPS. However, confirmation awaits technical and administrative assessments by both LOTFA/SPM upon the guidance of MOIA.
- With regards to intranet connectivity to GDPDC payroll stations, MOIA has not yet extended connectivity, awaiting an assessment of the site and system requirements to allow bidding and contracting processes to be initiated. The Terms of Reference for a firm to conduct the assessment for the site and the systems requirements has been developed.

Strengthening the ICT Infrastructure for the MOIA at both the national and sub-national levels is crucial to support full functionality of MOIA payroll systems.

Table 4: Summary of Progress on Output 4 of SPM Project as of Q3

Indicator	Baseline (As per the AWP)	Phase I Targets (Jul-Dec 2015) (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of ANP payroll stations with MOIA intranet connectivity.	90%	90%	92%	99%	On track
B: Percentage of GDPDC payroll stations with fixed MOIA intranet connectivity.	Nil (0%)	25%	10%	Nil (0%)	MOIA intranet has not yet been extended to GDPDC payroll stations. With the EPS ICT Officer now working in LOTFA, progress should be seen in the Q4.
C: Number of monthly MOIA-NOC helpdesk calls due to inability to connect to the MOIA intranet	16	Monthly helpdesk call rate established	Monthly helpdesk call rate established	39 calls received by helpdesk for Q3	On-track
D: Percentage of DRR Plan under implementation	Nil (0%)	DRR Plan contracting follows MOIA-ICT guidance on building relocation plan	Approval of DRR Plan and confirmation of site location	5% (figure derived from the Implementation Plan for this activity)	Implementation of the DRR Plan awaits MOIA confirmation on identified locations

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

The LOTFA SPM project has timely disbursed funds to the MOF, per the LOTFA 2015 Commitment Letter, to ensure timely payment of ANP and GDPDC salaries. Following the established MOIA process for salary payment, ANP and CPD officers receive their salaries between the 25th and 30th of each month.

The table 5 below shows the advances paid by LOTFA and the expenditures recorded in AFMIS for payment of salaries for ANP and GDPDC up to Q3 of 2015. The total LOTFA SPM advances transferred to MOF between July and September 2015 are AFN **6,422,883,077** (USD 102,888,748). The total expenditure recorded in AFMIS for this period is AFN **7,682,832,308** (USD 124,143,721). This shows for this period a delivery rate of 119.62%. This however includes back-pays from the period January – June 2015. From January to September 2015; however, the delivery rate is 98.26%.

Pay for ANP and GDPDC during this period includes all Object Codes approved for MOIA as part of the 2015 LOTFA Commitment Letter and AWP for 2015: ANP salaries for Non-Commissioned Officers (21102), Patrolmen (21103), Temporary Pay Increase (21136), Hazard/Regional Pay (21132), Aviation Incentive (21610), ANP Elite Police Incentive (21620), ANP Medical Incentive (21630), ANP Engineering & Demining Incentive (21640), Special Duty and Other Incentives (21650), GDPDC Police Officers' salaries (21102-GDPDC), GDPDC Armed forces (patrolmen) salaries (21103-GDPDC), Hazard/Regional Pay for GDPDC (21132-GDPDC) and Temporary Pay Increase to GDPDC (21136-GDPDC).

Table 5: LOTFA SPM advances and expenditures (recorded in AFMIS):

Months	Advances (AFN)	Expenditure (AFN)
January	2,354,966,624	203,431,743
February	2,596,682,687	1,890,037,363
March	2,186,969,900	4,256,935,909
April	1,603,867,354	2,243,582,431
May	2,993,584,369	2,279,519,408
June	2,579,177,399	1,720,057,488
Sub-total (LOTFA Akheri)	14,315,248,332	12,593,564,342

Months	Advances (AFN)	Expenditure (AFN)
July	2,394,564,389	2,987,876,688
August	1,673,446,220	2,015,031,121
September	2,354,872,468	2,679,924,499
Sub-total (SPM)	6,422,883,077	7,682,832,308

Total	20,738,131,409	20,276,396,650
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SPM also prepared monthly reports of the EPS/WEPS versus AFMIS expenses for the months of July, August, and September, 2015. The July, August and September reports have already been presented and discussed at the TWG meetings of 14 September, 19 October and 16 November 2015, respectively. These reports have highlighted that discrepancies exist between the cumulative data reported within WEPS/EPS, on the one hand, and AFMIS, on the other hand. The MOIA has been requested by LOTFA SPM and TWG members to clarify these discrepancies, by preparing a detailed report for LOTFA SPM and donors.

Table 6: Summary of Progress on Output 5 of SPM Project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of financial reports finalized on time	90%	100%	95%	90%	Due to the difficulty in consolidating the September stand-alone EPS data from provincial payroll stations, there has been a delay in the presentation of the September analysis to the TWG, which is planned for 16 November.
B. Extent to which operations manual describing fund policies and procedures is implemented (3 point scale)	Zero (manual still to be developed)	One (manual drafted and coordinated with donors and Government)	Preparatory work underway	The manual has not been finalized	The Financial Fiduciary Fund Management Unit (FFFMU) is responsible for delivering on this target.
C. Percentage of police paid within 7 days of close of solar month	90%	90%	90%	90%	LOTFA SPM has not initiated activities to monitor this indicator in the provinces through the MA's work.

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

A significant investment of time went into human resource restructuring during the Q3 reporting period, to ensure the best new talent was identified and recruited. Some positions and consultancies were re-advertised due to unsuitable candidates. This process was led by the UNDP Rule of Law and Human Security Unit with support from the UNDP Country Office Human Resource department. The positions included replacement, new positions, and changes to previous structures.

Specifically, this has include the position of the Project Manager, Human Resources and Payroll specialist, Project Management Specialist, the Planning, Monitoring and Reporting specialist, the Quality Assurance Specialist, Systems Integrator, Human Resources officer, Finance Officer, Coding specialist, Coordination Officer, Administrative Officer and 2 Translator.

For the SPM project, an implementation plan was developed in Q3 to define specific responsibilities at project-team level for implementation of the activities detailed within the AWP. The project implementation rate for the SPM Project stands at 12% by the end of September 2015.

During the reporting period, a total of ten (10) Technical Working Group meetings were held. Sub-Technical Working Group meetings were held for Systems Integration (3 meetings), Monitoring and Reconciliation (3 meetings), and Pay and Budget (2 meetings). Two General TWG meetings were held to review overall progress of the SPM project, and analyze and discuss issues and risks affecting the realization of the planned activities. In addition, the UNDP Rule of Law and Human Security Unit organized 3 meetings (on 18 August, 2 September and 22 September) to facilitate donor discussions in relation to the NTA functional review, the CBR mechanism, MCA and HACT assessment, the LOTFA Oversight sub-Committee, the 2016 AWP planning process, as well as providing an introduction to LOTFA for new donors.

The SPM project developed and put in place new data collection tools and structure to strengthen the Project's monitoring indicators and establish pending baselines are ongoing, alongside the work to develop data collection methodologies for these indicators.

In addition to providing support to the SPM project, staff from the Project Management Support Unit has been engaged in data collection and documentation in preparation for the follow-up audit on the Desk Review of UNDP Afghanistan's Oversight of the Monitoring Agent, which was conducted during quarter 4. LOTFA SPM 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 2015, six of the 11 recommendations have been implemented and five remain under implementation. One of the recommendations

currently in progress is the setting up of the LOTFA Oversight sub- Committee, which is planned for December 2015.

Given the increased security threats for the UN and operating from the LOTFA building within the MOIA compound, a decision was taken by UNDP to recruit an international P3 security specialist. This position will be on board in Q1 2016. Furthermore, LOTFA has taken measures to improve transport arrangements and strengthen internal office security measures.

Table 7: Summary of Progress on Output 6 of the SPM Project status as of Q3

Indicator	Baseline (As per the AWP)	Phase I Targets (Jul-Dec 2015) (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of project implementation rate	Percentage of project implementation rate: 0%	100 % of phase 1 implemented (or 33% of the overall project implementation)	15-20% of the overall project implementation for each component	12% in relation to the overall project implementation	On-track.
B: Number of Project Board and SPM TWGs organized	Number of Project Board and SPM TWGs organized: Zero	6 TWGs	3 TWGs	10 TWGs	
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 7 and 10 on a 10 point scale	July-September donor report to be disseminated	July-September donor report disseminated	A donor survey will be developed for this purpose in quarter 4 of 2015. The survey will be administrated in Q1 2016 for both Q3 and Q4 reporting periods.
D: Number of UK Due Diligence recommendations implemented	Number of UK Due Diligence recommendations implemented: 6 out of 11	11 out of 11	6 recommendations implemented	6 recommendations implemented	Five 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 implemented)	6 out of 8 implemented	6 out of 8 implemented	
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 developed and implemented for phase 1.	Discussions to strengthen the Project's monitoring indicators and develop data collection methodology underway.	Discussions to strengthen the Project's monitoring indicators and develop data collection methodology underway.	Q3 report completed using new data collection methodology. Baselines to be completed in Q4.

IV. MINISTRY OF INTERIOR AFFAIRS AND POLICE DEVELOPMENT PROJECT

Component 1: Institutional Development

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

For the first time, the MOIA has a unified M&E framework and reporting format, aimed at facilitating result outcomes for all its departments. The proposed M&E framework has been adopted into the draft MOIA Strategic Planning Directive (SPD), and there are also plans to include recommended formats and templates for reporting in the SPD. When approved, the M&E policy and framework is to be used by the entire MOIA and into at least one province as a pilot to assist the MOIA in planning and managing the institutional reform and capacity development across different directorates/departments in a systematic fashion.

From the outset, the development of the M&E framework and capacity, with the technical assistance provided by UNDP, was an area of particularly strong leadership and ownership by the MOIA. Overall findings in May 2015 confirmed that there was a substantive capacity gap in the M&E. This has led to joint MOIA-UNDP activities to strengthen the M&E capacity and system during this reporting period, including i) workshops, continuous mentoring and on-the-job training, ii) awareness raising with the MOIA management, iii) development of the M&E policies and procedures, and iv) development of the M&E plans for seven directorates, and v) testing of M&E methodology. As a result, the M&E capacity has been enhanced and additional follow-up work is planned to be undertaken by MOIA, with support from UNDP, to establish fully functional M&E System.

M&E Standard Operating Procedures (SOPs) and formats were also completed and select staff trained in their use. Capacity to formulate measurable targets and indicators was developed in select staff of the Office of the Deputy Minister for Policy and Strategy, The Office of the Deputy Minister for Support, and focal points in seven pilot departments (Finance, Procurement, ICT, Personnel/Human Resources, Facilities, Logistics, and Communications). A presentation of the methodology and results of initial M&E assessment was made to the Sub-TWG on 29 July 2015, illustrating how change is to be monitored and evaluated.

Importantly, capacity development assessments and plans have also been successfully formulated for five Directorates or Departments including Personnel, Facilities, Logistics, Finance and Procurement. The LOTFA MPD project uses a three-pronged strategy to build the MOIA's current capacities toward desired future capacities, with particular attention paid to i) review of policies, ii) mapping, re-designing and digitization of work process, and iii) development of matching knowledge and skills among employees who have to implement the changed processes. The proposed plans ensure that capacity development interventions respond directly to the needs of the leadership of the MOIA and staff members, and take into account the results

of several capacity assessments carried out by different development partners/donors, including the UNDP Capacity Assessment of MOIA in 2012. The plans are aligned with the capacity development activities included in the LOTFA MPD AWP.

Discussions are also underway with MOIA to establish Change Management and Capacity Development Units to lead and manage reform and develop institutional capacity. For the Change Management Unit, a concept note has been developed, together with a best practice paper to give general guidance to MOIA leadership undertaking institutional change. Change management governance with appropriate roles, responsibilities has also been proposed, and international and national technical experts will be recruited to support the MOIA leadership in managing the change process. For the Capacity Development Unit, the MPD project members have conducted initial consultations with the DM Support and his staff. A "lead team" will be created with "focal points" in the respective directorates and departments to drive the process and achieve a "critical mass" of capacity development. The capacity assessment and capacity development plans identify five functional and technical capacities that are important to the MOIA's effective and efficient functioning. These include: Capacity to vision, formulate policies, plan strategically; Capacity to budget, manage, and implement (including procurement); Capacity to coordinate; Capacity to engage with stakeholders and create/manage partnerships; and Capacity to monitor and evaluate.

With the IPCB database transferred to MOIA, the MPD project is working with the General Directorate for International Cooperation and the Directorate of Aid Coordination of MOIA to provide technical services related to information technology needs. A Database Expert will be overseeing the transfer of the IPCB Secretariat's Donor Database from its current secure US server to a secure Afghan server, advising and assisting MOIA in defining further requirements for the International Assistance Database to ensure its transformation into a comprehensive information depository tailored to the requirements of the MOIA; training on-Tashkeel MOIA personnel in all aspects of database maintenance and development.

Table 8: Summary of Progress on Output 1 of the Institutional Development Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Rate of MOIA maturity	Institutional maturity ratings for Office of DM Policy and Strategy from 2015 MOIA Institutional Self-Assessment	Not further measured during this Phase	M&E plans for the MOI specified departments developed, in line with the framework	Unified M&E framework adopted and reporting format developed to facilitate result outcomes for all its departments	
B: Extent to which Change Management, Capacity Development, Aid Coordination units and M&E systems are established and functional	Approval for M&E systems in place	Policy approved for Change Management, Capacity Development and Aid Coordination, with ToR developed and staff assigned; M&E Procedures and Tools templates developed	Technical support provided to M&E Directorate General to develop mandate, functions, comprehensive policy, Tashkeel, ToRs, separate M&E indicators, aligned with MIS and MIPS, for measuring work performance of all departments throughout the Ministry	M&E Standard Operating Procedures and formats were completed and select staff trained in their use. Capacity developed for select staff of the Office of the Deputy Minister for Policy and Strategy and focal points in seven pilot departments	
C: Percentage of women personnel in Aid Coordination Directorate	0% women personnel in Aid Coordination Directorate	Not less than 25 per cent of transferred-in uniformed staff and new civilian recruits are female	Technical support provided to Director General for International Cooperation including development of consultant TORs	Coordination underway with new General Directorate for International Cooperation	

B. Output 2: MOIA administrative and police support services

Key business processes to be improved have been agreed with the MOIA. Capacity development will address not only capacity gaps in organizational structures, but also in business or work processes and capacity of MOIA/ANP personnel to apply more efficient business or work processes to improve institutional performance and provide both strategic and operational leadership. The key business processes which have been identified are in the following cross-cutting directorates and departments: Deputy Ministry Support - Finance and budget, Procurement, Logistics, Facilities, ICT, and Health; and Deputy Ministry Administration – Personnel. Business process mapping, redesign and codification as well as on-the-job training to perform improved business processes and digitization of selected business processes will start in Q4 2015/Q1 2016.

Groundwork has been done to compile and review human resources policies to ensure successful implementation of MOIA’s policy on “civilianization”. Initial work in this area has started and shown that the MOIA does not have a comprehensive collection and documentation of HR policies or analysis to ensure harmonization. Development of a unified Staff Manual based on the comprehensive collection and review of HR/personnel policies has been proposed. This work is critical to the success of “civilianization” policy since the MOIA is expected to increase the number of civilians in its Tashkil and the harmonization between conditions of service for uniformed and civilian personnel serving in similar posts will be required, and presents the challenge that civilian posts are governed by regulations and rules of the Civil Service Commission.



On issues of women participation in the ANP and gender-sensitive policing, technical support has been provided to formulate the MOIA Gender Strategy Implementation Plan and that preparations for “16 days of activism”³ are underway to conduct information and outreach campaigns. Past interviews and expert surveys issued in partnership with the MOIA indicate structural challenges – including, among other things, cultural restraints and views on the proper place of women - to achieving the gender-related vision and goals⁴. The “16 days of activism” campaign is designed to deliver messages that are linked to these structural issues and it will be supported by the MOIA so that maximum effect and visibility are achieved. International expertise and support has also

³ The “16 Days of Activism” related to UN Resolution 1325 and Elimination of Violence against Women Day (25 November) and Human Rights Day (10 December). Campaigns and activities are organized to galvanize action to end violence against women and girls around the world between these two important dates. The international campaign originated from the first Women’s Global Leadership Institute coordinated by the Center for Women’s Global Leadership in 1991.

⁴ The Ten-Year Vision for the Afghan National Police: 1392-1402 includes among its aims increasing female personnel in the Afghan National Police force (ANP) and the MoI, with the goal of having women comprise 10 per cent of both institutions by 2023. The Vision also aims to prevent gender-based harassment and violence of female staff.

been provided to develop the MOIA Gender Strategy Implementation Plan, with a particular focus on developing an action plan for the improvement of the existing MOIA complaints mechanism. Situation analysis of blockage and gaps of the complaints mechanism for female police officers as well as detailed analysis of existing categories and sub-categories for recording complaints and proposal of new categories and sub-categories have been completed.

Table 9: Summary of Progress on Output 2 of the Institutional Development Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of national and sub-national business processes requiring improvement that have been improved after review	Nil	10 per cent of reviewed business processes improved	Key business processes to be improved have been agreed with the MOIA. Terms of reference and Request for Proposals drafted	Key business processes to be improved have been agreed with the MOIA. Terms of reference and Request for Proposals drafted.	
B: Number of directorates participating in the improvement process	Nil	3	As above	As above	
C: Number of ANP personnel policies reviewed, developed, approved and under implementation at national and sub-national level	Nil	1	Collect and classify HR policies to prepare policy analysis	Groundwork has been done to compile and review human resources policies	
D: Degree of connectivity among Kabul deputy ministries	TBC from assessment findings (Estimated as limited)	Limited: assessment started	Terms of reference developed	Terms of reference developed	
E: Degree of preparation for Enterprise Resource Planning	None	None: assessment started	Terms of reference and Request for Proposals drafted.	Terms of reference and Request for Proposals drafted.	
F: Percentage of implementation of the Gender Strategy at national and sub-national level	TBC	10 percent increase over baseline	Review the Gender Implementation Plan to ensure alignment with MOIA three year Strategic Plan and the NAPWA and begin to identify specific priorities and actions for LOTFA assistance	Support provided to develop the MOIA Gender Strategy Implementation Plan, with a focus on existing MOIA complaints mechanism	
G: Percentage of deputy ministries applying Programme Budgeting	Nil	20 percent	Terms of reference developed	Terms of reference developed	
H: Percentage difference in budget execution between Programme Budgeted spending and non-Programme Budgeted spending	Nil	Nil	As above	As above	

C. Output 3: Internal control and accountability

In partnership with the Office of Inspector General (OIG) and the Office of the Chief of Staff, an analysis of existing complaints mechanisms has been conducted and presented to MOIA for consideration. The analysis takes an integrated approach and considers the whole system, taking into account the policy and legal framework as well as institutional arrangements for handling complaints; effectiveness of decision-making and enforcement, independence of oversight structures;



efficiency in procedures regarding case registration/categorisation, case management process and system; and budget and capacity issues, particularly the need to strengthen staff skills to match future functional requirements and to implement the improved complaints mechanism.

The existing policy and legal framework is incomplete and does not provide sufficient guidance for decision-making. For example, there is no complaints policy to describe the intent and principles by which the mechanism is to operate, and some legal definitions needed to guide decision-making are missing.

The way that complaints are handled is constrained by the highly fragmented nature of the mechanism which operates in silos. There are at least nine internal points of contact for receiving incoming complaints, the result is a mechanism that consists of overlapping parallel processes⁵. Different units are responsible for different functions (intake, reporting, classification, referral, analysis, investigation, sanctions, etc.). This effectively traps information, removes incentives for cooperation and has allowed process redundancy to go unnoticed.

The categorization of general complaints is not standardized and some units in MOIA that receive complaints do not use any categories at all. For example, 119 uses 27 different general complaints categories, the Police Prosecutor's office uses 18 categories, the FRUs use 15 categories, and the Women's Affairs, Human Rights and Child Rights Directorate (WAHRCR) uses 8 general categories. A careful assessment of the categorisation process will be needed to understand what data categories are in use across MOIA, and recommendations made for a new harmonised

⁵ Nine internal points of contact include: the Legal Affairs General Directorate, the 119 call-center, the Office of the Inspector General, the Family Response Units at Provincial level, the Women's Affairs, Human Rights and Child Rights Directorate both in the center and in the provinces where they are represented, the Criminal Investigation Directorate (CID), the Intelligence General Directorate (IGD), the Police Prosecutor, and the Provincial Chiefs of Police.

set of categories and sub-categories that are more useful for data analysis and the identification of trends.

It will take time to update the existing legal and policy framework to guide the operation of the complaints system, and an interim strategy will, thus, be required to provide the support needed as soon as possible. Recommended actions include: development of procedures for the complaints commission or other agreed internal oversight body with a clear definition of the role of the OIG; establishment of a *single point of entry* for all police complaints coming into MOIA in order to improve the efficiency of the system and make tracking and case management easier; elevation of the standard of professionalism in the response to complainants; development of training materials to raise awareness and understanding of the complaints process and legal and policy obligations; assessment of staff capacity by preparing a Training Assessment Matrix (TAM); administration of a users' feedback survey to understand why female police are reluctant to report complaints in order to recommend remedial steps, including staffing of women for the complaints process (i.e. development of job descriptions and required qualifications as well as training provision on complaint analysis).

MPD next steps also include technical assistance to the OIG in the areas of standards, policies, procedures, and capacities for internal audit and accountability mechanisms, which is to be conducted by an international expert and Accountability Officer under recruitment.

Table 10: Summary of Progress on Output 3 of the Institutional Development Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Number of internal control mechanisms reviewed, developed, approved and under implementation, at national and sub-national level	None	Assessment started	Terms of reference developed	Terms of reference developed	
B: Percentage of staff at national and sub-national level able to independently apply new and improved control mechanisms (disaggregated by sex)	Nil	To be determined from assessment	As above	As above	
C: Percentage of gender-related complaints addressed with the involvement of women OIG staff	Nil	Nil	Assess existing policies and procedures on complaints handling mechanism	Assess existing policies and procedures on complaints handling mechanism	

Component 2: Police Professionalization

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

The MOIA internal Legal Review Commission has been set up to review gaps as well as overlaps and contradictions in Police and other relevant laws. Past police development efforts, including the establishment of operational policy, force structure, and standardized training and professionalization, were modeled on military rather than civilian police institutions. DM Admin and LOTFA conducted an initial review and confirmed that the foundation for democratic policing requires strengthening. Building on the ownership and leadership of the MOIA, the Commission – with technical support from the MPD Project’s Legal and Policy Officer – will establish a review framework, identify gaps and discrepancies in police legislation, regulations and operational directive/standards, and propose recommendations and revisions needed. The aim is to provide a better enabling environment to take the ANP to the next level of professional competence, fulfilling the Ten-Year Vision for the ANP to which policing is referred as an essential public service.⁶ More importantly, the review will also assess the level of conformity of the Police and relevant laws, regulations, and standards with the prevailing constitutional values, national human rights and legal obligations in relation to gender and the criminal justice system, as well as international treaty obligations to which Afghanistan is a signatory.

To this end, extensive interactions with the commission’s focal points and the specialists on the review are ongoing to further define the process and key priorities. A series of consultation workshops is planned for key stakeholders to share ideas and best practices and to identify priority areas of amendment and crosscutting priorities. Furthermore, the Project aims also to provide relevant legal frameworks from other countries in the region and beyond for the commission to observe and corroborate applicable best practices. By the end of Phase 2 (June 2016), a comprehensive assessment of the existing legal provisions, its bylaws, acts and other corresponding frameworks that regulate Afghan Police and its functions will have been completed.

⁶ Ministry of Interior “Ten-Year Vision for the Afghan National Police: 1392-1402”

Table 11: Summary of Progress on Output 1 of the Police Professionalization Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Extent of completion of agreed legislative, regulatory and policy drafting (disaggregated by agreed gender and human rights related recommendations)	No review and re-drafting process of legislation, regulation, and policy in place	Consultation under way and review frameworks drafted and approved by MOIA	Recruitment of Legal and Policy Officer completed to initiate discussions with counterparts and follow-up on the activities.	Recruitment of Legal and Policy Officer completed to initiate discussions with counterparts and follow-up on the activities.	
B: Extent of completion of Afghanistan-applicable policing standards and approaches	Nil	Review under way.	As above	As above	
C: Percentage change in the number of women police officers at national and subnational level	2,200 women police officers at national and subnational level	Averaged 5 per cent increase: 2,500	Same as baseline	Same as baseline	Improvement expected in Phase 2 and 3

E. Output2: MOIA training and leadership development

A standing MOIA Commission has been established to oversee the undertaking of the joint analysis and design of the Instructor Development Programme, and eventually take full ownership and budgetary processes of the activity. The Commission is under the Head of the Advisory Committee of Minister of Interior with representatives from the Legal Department and the Policy Department. As part of the consultations in this reporting period, the design of the Programme was discussed and agreed that it would focus on the following key parameters: i) the character and quality of faculty members, ii) course contents, the methodology adopted, iii) identification of training needs for each category of police personnel – uniformed and civilian, iv) formulating of training objectives, v) design of training programmes, and vi) evaluation of training and follow up measures. An assessment of MOIA trainer capability, and the potential for them to play an expanded role in MOIA tasking will also be conducted in Q4 of 2015.



Preparations for the ANP female instructors to undertake the trainings for female officers are also underway. The Project is facilitating additional refresher skills courses and additional thematic specialization courses for the female graduates of the Sivas Police Training Centre for Afghanistan (SPTC-A) in Turkey. An assessment was conducted by the Project to identify training areas that need to be refreshed as well as additional areas to be included in this upcoming training. These

courses, tentatively scheduled toward the end of November 2015, will be MOIA-led training conducted at Kabul, Herat, and Mazar police training centers and will be exclusively run by the ANP female instructors with advice and support from the Project and other international technical advisers. This is to ensure that the national trainers will have the capacity to undertake the trainings for female officers inside the country itself.

Academic partnerships with Afghan Universities are also under discussion to ensure provision of higher education for police officers with appropriate academic credentials. The Project is assisting the Training and General Command (TGC) to solicit and assess proposals from in-country universities, such as American University of Afghanistan, Kabul University, Kardan University, and Duniya University, and to explore viable options for the higher education provision. Currently, TGC is reviewing the proposals made by the American University of Afghanistan (AUAF) and also exploring similar arrangements made by other stakeholders.

Under the leadership of the MOIA Commission with technical guidance from the Project, the joint analysis and design of the Future Leaders Program has also commenced. The issue of police

leadership is of vital importance, particularly given the radical change management strategy to transform the ANP into a dynamic police service that can meet complex police challenges. Re-institutionalizing of effective leadership is critically fundamental in the context of restructuring the entire police force. It must be based on the principles of professionalism, management skills, transparent and merit-based appointment and promotional process, as well as commitment to the public. A vast majority of the current ANP leadership will gradually be phasing out in the near future due to their retirement age, thus, it is imperative that the leadership issue is taken up and addressed.

A regional collaboration with the Indonesian National Police (INP) is also established to enable direct engagement and network development between the ANP and INP senior leadership. The INP has successfully transformed from a fully military style police to the civilian police. It has also successfully implemented several reform initiatives in relation to police staff welfare and support systems, training and capacity development, law and order maintenance and community partnerships. With similar policing histories and ideologies and a shared veneration of the religion of Islam and legal interpretations aligned with Sharia precepts, the Project - with assistance from the Indonesian Ambassador to Afghanistan, His Excellency Anshory Tadjudin - has supported a study visit to Indonesia from 17 to 25 October 2015. The visit follows the guidance outlined by His Excellency, President Ghani to develop regional links with an appropriate regional partner, and meets the parallel aims and ambitions of the MOIA Ten Year Vision.⁷ In consultation with the MOIA, seven senior officers including a female officer with decision-making and operational support responsibilities have been selected to participate. Post-visit activities have also been planned and will include organization of a workshop to analyse and propose recommendations from the visit to the MOIA senior leadership.

Follow-up actions will also be monitored and analysed with Project's close support for a twelve-month period following the visit. It is expected that the ANP will be able to compare, contrast, and potentially emulate or modify organisational practices, procedures, tactics and techniques, with an ultimate view towards organisational change. Equally important, the Project will also explore and facilitate the design and development of robust, ongoing collaborative programs in areas, such as police training and education, information sharing and police cooperation between the ANP and INP.

Planning for an assessment of current training provision and needs – including those for women and higher education - are underway. The assessment aims to provide a better understanding of the workforce's current capacities; enable effective identification of resource and capability requirements to deliver the MOIA Strategy and Implementation Plan; and where capacity is short of the operational requirement, it will reveal the need for training and learning. The work under this output will provide more informed business planning through a practical link of training and

⁷ See the President Ghani's letter to the donor's on 24 August 2014

learning provision to operational policing issues. It will begin to link training to performance measures and management as well as HR development path and promotion policies, where all promotions should be subject to successfully undergoing and passing the mandatory training programmes. This work is closely linked with the work on HR policy review under Output 2 of the Institutional Development component, and coordination has been established to maximize synergies.

Table 12: Summary of Progress on Output 2 of the Police Professionalisation Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Extent to which MOIA training and education provision and resources meet current and projected police priorities at national and subnational level (disaggregated by gender and human rights related recommendations)	Limited extent of MOIA training and education provision and resources meet current and projected police priorities at national and subnational level	Draft assessment of current provision and training needs completed	Recruitment of an International and national consultants completed to commence review in quarter 4	Recruitment process in progress, to be finalized in quarter 4	No suitable candidates found in first round of recruitment during quarter 3
B: Extent to which MOIA trainer capacity meets MOIA's expanded requirements at national and subnational level (disaggregated by gender and human rights related recommendations)	MOIA trainer capacity partially meets MOIA's expanded requirements at national and subnational level	Improvement in relation to current requirements	Successfully recruited officers to commence work on the Instructor Development/ Tertiary Teachers Programmes	Recruitment process in progress, to be finalized in quarter 4	No suitable candidates found in first round of recruitment during quarter 3
C: Extent to which middle-rank officers (male and female) have visible leadership development opportunities that are consistent with MOIA's needs	Middle-rank officers (male and female) marginally have visible leadership development opportunities that are consistent with MOIA's needs	Future Leaders Programme curriculum, standards and governance arrangements in place; potential candidates identified and vetted	MOIA Commission established to oversee the undertaking of the joint analysis and design of the Instructor Development Program and Future Leaders Programme	MOIA Commission established and plans are in place for workshop to define the modalities and the key considerations for undertaking the joint analysis and design of the Future Leaders Program	
D: Extent to which current and new training and evaluation approaches feed directly into Human Resources staff development and promotion policies and decisions	Current and new training and evaluation approaches marginally feed into Human Resources staff development and promotion policies and decisions	Assessment of requirements and policy mapping under implementation	Consultants and team staff to have gained a clear insight into current HRM practices	Consultants and staff members are not yet on board	
E: Percentage change in the representation of women police officers at all ranks, including analysis at provincial level	2,200 women police officers	Averaged 5 per cent increase across all ranks	Same as baseline	Same as baseline	Improvement expected in Phase 2 and 3

F. Output 3: ANP community partnership approaches

This output which focuses on activities that enhance the public trusts and confidence of public towards the police is on track. MOIA's intent to make the police more civil and function in accordance to the needs of the community and for the community is gradually gaining its momentum through several piloted activities, such as Community Safety and Security Councils (CSSC), targeted outreach programs and improvement in the services of 119 emergency call centers, and the setting up of proper information desks to guide the service seekers appropriately at the police units.



Agreements were also reached with MOIA regarding the expansion and strengthening of key initiatives to improve police oversight, accountability and transparency mechanisms. These key initiatives constitute external accountability mechanisms which are complementary to the development of internal control and complaints mechanisms (Output 3 of the Institutional Development component) and aim at providing stakeholder feedback for policy guidelines and operational procedures – see **Error! Reference source not found.** More specifically, a list of 17 provinces has been finalized and agreed with MOIA for expansion of Police e-Mardumi (community-oriented policing activities); consultations on establishing 40 new Information Desk Centers have been completed with an agreement also to train 390 Information Desk Police Officers; the development of action plan and the needs assessment for Policewomen's councils is underway; and the reactivation of 119 centres in Helmand and Kandahar has been requested by the MOIA.

Following an extensive discussions with the MOIA and the field operators working on community policing issues, a comprehensive training manual was developed during the inception phase and the training will be conducted to improve the skills and understanding of the Police e-Mardumi officers, trainers, and family response officers. The 10-day training program will be conducted in Kabul, Herat and Mazar-e Sharif with 40 participants in each training program, and 30% of which will be female officers. The training is expected to focus on practical issues of how the police could introduce community-oriented policing as its policing approach.

The District Safety and Security Survey (DSSS) has been completed and specific recommendations are to be used in identifying police priorities by the respective districts and the MoIA in general. The DSSS was initiated during LOTFA Akheri and has successfully been completed in 15 districts within eight provinces. The survey focuses on trends of crime, security concerns, and public perception on police service delivery. The report has also been submitted to

the MOIA, with the outcome of the survey highlighting some specific recommendations to be used in identifying police priorities by the respective districts and the MOIA in general. Taking some lessons from this exercise, the Project is working to further improve the survey framework for its upcoming survey exercise in more districts as identified by MOIA with the survey launching event planned for the last week of November 2015.

Table 13: Summary of Progress on Output 3 of the Police Professionalisation Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of 40 Police-e Mardumi (safety and security) committees (2 each in 20 provinces) that are fully functional (disaggregated by those that have female community member participation)	10%	Same as baseline	Strategic framework jointly developed by UNDP, UN Habitat, SSMI and EUPOL to mainstream Police-e Mardumi and list of provinces agreed for expansion programme Revision of the community security training manual planned	Concept note for development of Community-Oriented Policing Framework drafted and a list of 17 provinces agreed The revision of community security manual for District Safety and Security Committees (DSSC) completed.	
B: Percentage of established Policewomen’s Councils that are fully functional	10%	Same as baseline	Training workshop to be conducted for 31 PWCs for the development of action plan	Technical expert under recruitment to lead on training workshops.	
C: Percentage of 40 new information desks in 12 provinces that are fully functional (disaggregated by those that have female staff)	31 Information desks in 3 provinces are functional	Same as baseline	Identify and implement support requirements for MOIA-agreed expansion program following assessment and agreement on implementation modality	Consultation with MOIA conducted for the establishment of 40 new Information Desks. Terms of Reference for the establishment and training of 390 Information Desk Police Officers developed and at the review stage	Pending discussion on implementation modality
D: Percentage by which the national 119 service has been expanded through increased facilities and staff capacity (disaggregated by those that have female staff)	TBD (percentage of staff/hours providing a live call response)	Same as baseline	Identify support requirements for MOIA-agreed expansion program (including zone-based approach) and develop capacity of 119 call centers operators/agents. The reactivation of Helmand	MOIA requested the reactivation of Helmand and Kandahar in the first stage and terms of reference developed.	

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
			and Kandahar 119 centres to be fully functional during this quarter	Capacity development is yet to be started.	
E: Extent to which preparations for annual District Safety Security Surveys (DSSS) in 20 provinces (40 districts) are in place	No preparation for expansion of annual District Safety Security Surveys (DSSS) in place	Requirements identified, expansion programme and Action Plan agreed	Terms of reference and contracting modality identified and implemented	The concept and framework has been revisited and strengthened	Refining the concept of DSS taking into account the lessons from the previous initiatives and also from the feedbacks of the other implementing entities.
F: Extent to which DSSS findings are analyzed and visibly used to inform strategic planning, programming and service delivery	DSSS findings are not used to inform strategic planning, programming and service delivery	Training needs mapping and assessment of potential for expanded use of RoLIS indicators under way; 2014 survey data analysed for scope to inform strategic planning, policymaking, programming and service delivery	Police priorities by respective districts identified based on DSSS report and recommendations	DSSS completed and specific recommendations to be used in identifying police priorities by the respective districts and the MOIA in general	Delay in completing the DSSS

Component 3: Project Management Support

A. Output 1: MPD project implementation

A significant investment of time went into human resource restructuring during the Q3 reporting period to ensure new talents were identified and recruited. Some positions and consultancies were re-advertised due to unsuitable candidates. This process was led by UNDP Rule of Law and Human Security Unit with support from the UNDP Country Office Human Resource department. The positions included replacements, new positions, and changes to previous structures.

Specifically for MPD, this has included the positions of the new Project Manager (successfully recruited and commencing work in Q4), the Chief Technical Advisor for the Institutional Development Component (under recruitment), the Planning, Monitoring and Reporting specialist, Institutional Development specialist, Organizational Development specialist, Monitoring and Evaluation Officer, Construction Manager, Coordination Officer, Administrative Officer and two translators. All Terms of Reference were reviewed for relevance and revised as needed.

For the SPM project, an implementation plan was developed in Q3 to define specific responsibilities at project-team level for implementation of the activities detailed within the AWP. The project implementation rates for the Institutional Development and Police Professionalization components were at 12% and 5% respectively by the end of September 2015. Recruitment has become more challenging due to the deteriorating security situation. Therefore, UNDP is undertaking more targeted strategies and efforts to ensure that information on job openings and procurement notices are distributed through UNDP's professional networks in order to reach potential, interested candidates. In addition, the Project will more strongly rely on UNDP's global and regional rosters to avert further delays.

These challenges and information on the activities being implemented were regularly communicated to MOIA and partners through regular joint TWG and Sub-TWG meetings. In total, two Sub-TWG meetings were organized for the Institutional Development component, which took place on 29 July and 30 September 2015; and one Technical Working Group was jointly organized for both components on 26 August 2015.

Discussions to strengthen the MPD's monitoring indicators and establish pending baselines are ongoing, alongside the work to develop data collection methodologies for these indicators. The level of changes that MPD is introducing to MOIA is relatively largescale, and it is important that MOIA leadership communicates clear and consistent messages regarding the change process and be open to regular and open stakeholder consultations with feedback and learning mechanisms to enable adaptation during the course of the change process. The Project's indicators and targets should be realistic and reflect the extent of change that the MOIA and MPD Project have

agreed. The methodologies for data collection and means of verification form an important part of these discussions, and will be further rolled out in quarter 4.

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 2015, six of the 11 recommendations have been implemented and five remain under implementation. One of the recommendations currently in progress is the setting up of the LOTFA Oversight sub-Committee, which is planned for December 2015.

Given the increased security threats for the UN and operating from the LOTFA building within the MOIA compound, a decision was taken by UNDP to recruit an international P3 security specialist. This position will be on board in Q1 2016. Furthermore, LOTFA has taken measures to improve transport arrangements and strengthen internal office security measures.

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

An assessment of structural integrity concerns for the construction of DM Support building has been completed and the work is expected to resume in the fourth quarter of 2015. Due to some structural integrity concerns, the construction work was halted since the fourth quarter of 2014. Based on the assessment finalized by UNDP engineer in May 2015, the construction work is considered as "sound" and UNDP has recommended the construction work to resume as soon as possible. A no-cost extension request to continue implementation of the construction work and quality assurance & control activities has been submitted to the donor, i.e. the Embassy of Japan

Table 14: Summary of Progress on Output 1 of the Project Management Support Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
A: Percentage of project implementation rate	0%	30%	15-20%	5% Police Professionalisation 12% Institutional Development	
B: Number of Project Board and MPD TWGs organised	0	6 TWGs	3 TWGs	3 TWGs	
C: Rate of donor satisfaction with timeliness and quality of donor reports	To be established	Between 7 and 10 on a 10 point scale	First donor report to be disseminated	First donor report disseminated	A donor survey will be administered in January 2016
D: Number of UK Due Diligence recommendations implemented	6 out of 11	6 out of 11	Same as baseline	Same as baseline	Five remaining UK DDA recommendations are under implementation
E: Percentage of audit recommendations that is on schedule for implementation	6 out of 8 implemented	8 out of 8 implemented	Same as baseline	Same as baseline	
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 Q3 and Q4 reports	Discussions to strengthen the Project's monitoring indicators and develop data collection methodology underway	Discussions to strengthen the Project's monitoring indicators and develop data collection methodology underway	Q3 report completed using new data collection methodology. Baselines to be completed in Q4.

Table 15: Summary of Progress on Output 2 of the Project Management Support Component of MPD project as of Q3

Indicator	Baseline (As per the AWP)	Annual Targets (As per the AWP)	Q3 Planned	Q3 Actual	Comments
Percentage completion of contract on DM Support Building between the DM and the contractor	55%	85%	Same as baseline	Same as baseline	The construction work was halted, pending engineering assessment
Percentage completion of female police toilets and dressing rooms in 39 locations	5%	20%	Same as baseline	Same as baseline	

V. GENDER SPECIFIC PROGRESS

LOTFA is making investments to strengthen its efforts to mainstream gender within the work of both SPM and MPD projects. The SPM project has initiated the review of MOIA human resource and payroll policies to identify gaps and opportunities for further strengthening gender mainstreaming. Both SPM and MPD projects are also undertaking an extensive legislative, regulatory, and policy review to identify improvements for better working environment, protection, and career development for women within the police force.

Specifically, the SPM project is working to enhance the gender aspect of the current administrative data collection and reporting. Currently, police registration forms do not identify officers by gender (including within time and attendance sheets), and the EPS cannot capture gender data as this information is not recorded at the provincial and district levels in the payroll stations by the provincial financial officers. Such gender-disaggregated data and reporting would contribute to more informed policy responses in gender equality and empowerment of women by LOTFA and MOIA.

At the level of institutional capacity building, the MPD project takes a cross-cutting approach to actively promote gender and human rights in line with the Ten-Year Vision for the Afghan National Police 1392-1402. Gender specific progress of the MPD project includes:

The legislative framework in relation to gender and human rights obligations:

The MOIA internal Legal Review Commission has been set up to assess the level of conformity of the Police and relevant laws, regulations, and standards with the prevailing constitutional values, national human rights and legal obligations in relation to gender and the criminal justice system, as well as international treaty obligations to which Afghanistan is a signatory. Technical support has also been provided to operationalise the MOIA Gender Strategy Implementation Plan to increase women participation in the police and promote gender-sensitive policing.

Operationalising the Gender Strategy Implementation Plan

There are four main national/institutional policy documents that include gender tasks assigned to MOIA and have already been approved: i) the Strategy for the Management of the Affairs of Female Personnel (SMAFP); ii) the MOIA 3-Year Strategic Plan for 1394-1396: (2015-2017), which replaced the National Police Plan (NPP); iii) the National Action Plan for United Nations Security Council Resolution 1325 (UNSCR 1325); and iv) the National Action Plan for Women of Afghanistan (NAPWA). The current situation is that the simplified version of the SMAFP-IP has not yet been approved, and work on the implementation of most of the tasks in the approved SMAFP-IP has yet to be started.

Instead of working on a workplan for the SMAFP-IP, it was agreed that support from the MPD project was needed to develop a broader MOIA Gender workplan for 1395 to assist MOIA with

reporting on its existing and already approved gender obligations. The MPD recruited an international expert to review and prioritise tasks for implementation in 1395 in order to address the key constraints to gender mainstreaming. As a result, a total of 16 high priority activities have been suggested for inclusion in the Gender Workplan for 1395. The list of suggested priority activities and the list of additional supporting activities will be discussed at the round table meeting to be organized in Q4 2015 and if approved, responsibilities will be allocated to relevant MOIA directorates and departments for implementing and reporting on these activities.

MOIA follow-up of complaints related to women police personnel and gender complaints in policing:

An analysis of existing complaints mechanisms as related to women police and policing related to women has been conducted and presented to MOIA for consideration. A situation analysis of blockage and gaps of the complaints mechanism for female police officers as well as detailed analysis of existing categories and sub-categories for recording complaints and proposal of new categories and sub-categories have been completed. Substantiation of why female police are reluctant to report complaints will also be carried out and remedial steps will be recommended, including the staffing and training of women for the complaints process. Support will also be provided to the OIG and the Gender Directorate to develop job descriptions and qualifications for female personnel in the analysis and processing of complaints.

Strengthening the role of Police Women Councils (PWCs):

The Chair of Afghanistan's 70 PWCs was elected in August 2015. An international consultant will come on board in October to establish how the councils can be effectively used as a formal forum for female police to come together and raise their issues to the MOIA management. The consultant will also assist and advise MOIA to utilize PWC as a platform to engage the female police and maximize their potential. In addition, toolkits for PWCs will be developed to promote women's recruitment, retention, leadership and visibility, along with an Action Plan for PWC to implement its mandate.

MOIA's role in the fight against violence against women:

Plans established to undertake a maturity assessment of the FRU. Recognising the enormity of gender-based violence in the country and the lack of appropriate avenues for the victims of crimes to report and seek support, the international community has supported the establishment of the FRU. Today, FRUs are functional in 33 provinces, except Nuristan province which was closed down due to insecurity. Despite on-going support, FRU is not effective to undertake its basic tasks because of various policy and operational implements. In order to ensure a comprehensive support and improve its effective service delivery, UNDP is undertaking the maturity assessment, which will identify gaps and challenges as well as providing guidance on the short-term and long-term support that will be essential to improve the FRU's operational effectiveness and contribute to the justice for victims of SGBV. This support will contribute to the

achievement of National Action Plan of UNSCR 1325; Section A, Objective 2: Protecting women through access to effective, active, and accountable justice system.

Preparations for “16 days of activism”⁸ are underway to conduct information and outreach campaigns as well as to galvanize action to end violence against women and girls. Past interviews and expert surveys issued in partnership with the MOIA indicate structural challenges – including, among other things, cultural restraints and views on the proper place of women - to achieving the gender-related vision and goals. The “16 days of activism” campaign is designed to deliver messages that are linked to these structural issues and it will be supported by the MOIA so that maximum effect and visibility are achieved.

Female leadership roles in MOIA and ANP:

Preparations for the ANP female instructors to undertake the trainings for female officers are underway. These courses will be MOIA-led training conducted at Kabul, Herat, and Mazar police training centers and will be exclusively run by the ANP female instructors with advice and support from the Project and other international technical advisers. In consultation with the MOIA, seven senior officers including a female officer with decision-making and operational support responsibilities have been selected to participate in the study visit to the Indonesian National Police (ANP).

VI. PARTNERSHIPS

Partnerships are key for the SPM project, as many activities require the full support of MOIA and synergy with other partners’ activities in order to succeed. The Donor Conditions Document provides the overarching partnership framework for the current SPM project. It outlines the consensus reached by the MOIA, MOF, CSTC-A and UNDP responsibilities, and donors’ expectations to deliver an integrated human resources and payroll system. The SPM project works closely with CSTC-A to facilitate the integration of EPS data into the new APPS. This is done principally during Q₃ by supporting data cleansing between AHRIMS and EPS, conducted jointly by MOIA and SPM staff.

All LOTFA partners closely monitor the conditions that have been agreed upon between UNDP, MOIA, MOF and CSTC-A. Fulfilment of these conditions will be assessed at the end of each phase by an independent third party (Grant Thornton). The outcome of these assessments will be shared within the TWGs and Project Board, upon which decisions will be made to move towards a new phase. With the advent of the APPS, delineating clear roles and responsibilities between

⁸ The “16 Days of Activism” related to UN Resolution 1325 and Elimination of Violence Against Women Day (25 November) and Human Rights Day (10 December). Campaigns and activities are organised to galvanize action to end violence against women and girls around the world between these two important dates. The international campaign originated from the first Women's Global Leadership Institute coordinated by the Center for Women's Global Leadership in 1991.

UNDP, MOIA, MOF and CSTC-A becomes even more critical, as LOTFA prepares for hand-over at the end of 2016. To define and formalize the support that LOTFA will be providing to the MOF regarding the use of mobile money mechanism, LOTFA will sign a MoU with the MOF.

Partnerships with the international community:

Coordination with international partners has been done regularly on various topics to ensure coherence between MPD project activities and international community initiatives to strengthen MOIA and the Rule of Law in Afghanistan. These relevant bodies include, but 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 Project's capacity development tools and approaches include investing in MOIA trainers and educators through partnerships with academic institutions and South-South cooperation. The Project is assisting the Training and General Command (TGC) in their discussions to establish partnerships with in-country universities, such as American University of Afghanistan, Kabul University, Kardan University, and Duniya University, and to explore viable options for the higher education provision.

With assistance from the Indonesian Ambassador to Afghanistan, His Excellency Anshory Tadjudin, a regional collaboration with the Indonesian National Police (INP) is also established to enable direct engagement and network development between the ANP and INP senior leadership. The Project has also supported a study visit to Indonesia from 17 to 25 October 2015, and will also explore and facilitate the design and development of robust, ongoing collaborative programs in areas, such as police training and education, information sharing and police cooperation between the ANP and INP.

Partnership at the local level – communities and authorities:

The MPD project supports the MOIA Community Policing "Police-e-Mardumi" Directorate to build and strengthen the Community policing approach through several policy, training and programmatic interventions. To ensure that they represent Afghan reality and address local needs, field visits to and consultations with communities and district/local authorities including police have been conducted. The approach aims to help reinforce trust with community members and with police and other officials.

VII. ISSUES

ISSUES RELATED TO SPM:

- **Development and implementation of the Afghan Personnel and Pay System:** The roll-out of APPS will take over critical payroll functions currently largely performed by EPS and AHRIMS. This will have implications for LOTFA support activities towards hand-over of EPS by December 2016, as has been instructed by His Excellency President Ghani. This will provide a challenge for LOTFA to fulfil its commitment towards hand-over of a fully functioning system and strengthen MOIA capacity to manage EPS, as some LOTFA support activities will need to be revisited during the AWP 2016 planning process. The AWP for 2016 needs also to respond to new responsibilities and tasks requested by the MOIA to LOTFA, which will complement the roll-out of APPS by CSTC-A.
- **Access to AHRIMS data for the MA:** As already informed previously, the MOIA has granted LOTFA access to AHRIMS. This has been an important step for setting up the Payroll unit, as this allows for real time data verification and thereby greatly improve data accuracy for performing payroll tasks. LOTFA has requested AHRIMS access for the Monitoring Agent, as this will also greatly enhance their capacity in providing assurance services over payroll. Access to AHRIMS would allow the MA to verify EPS data against AHRIMS data and detect inconsistencies between both data sets. This access, however, has not yet been granted as the MOIA has shared with LOTFA concerns regarding sensitive data being contained within AHRIMS. MOIA sees risks in sharing this data with third outside parties. LOTFA will continue to look for solutions together with the MOIA, while fully acknowledging the data sensitivity concerns.
- **Inclusion of the Afghan Local Police (ALP) on payroll:** CSTC-A has requested the SPM project to process the ALP through EPS. Various meetings have taken place between UNDP and CSTC-A to discuss this proposal. Donors have been informed of this requests. UNDP, CSCT-A and donors continue to discuss within the TWG and through specific donor meetings on this issue. UNDP has commissioned an assessment of the risks related to engagement with the ALP through payroll support, in compliance with the UN Human Rights Due Diligence Policy (UN HRDDP).
- **MOIA capacity to plan and monitor its pay needs:** The work of the MA has revealed that the MOIA has overpaid reservists using of LOTFA funds. This overpayment is considered as ineligible according to the 2015 LOTFA Commitment Letter, and consequently, the MA has identified this amount as ineligible expenditure to be deducted from the monthly advances to MOIA. These findings have highlighted the challenge the MOIA faces to plan and monitor its pay needs against the available LOTFA budget and timely identification of other (GIROA and donor) funding sources to charge expenditures which fall outside of the LOTFA Commitment Letter. This poses a challenge for UNDP to adhere to established processes and

procedures in its role as fiduciary oversight over the use of LOTFA funds, while acknowledging the need of the MOIA to manage its force and budget to address imminent threats to national security, as has been recently evidenced in, for example, Kunduz and Helmand.

- **MOIA Relocation and DRR Plan:** The uncertainties surrounding the change of location of MOIA HQ inevitably impact on implementation of the plans to expand fiber within the MOIA compound and also on implementing the disaster risk reduction site for the WEPS/EP. In view of the future implementation of the APPS, it is important to ensure that the recommendations from the DRR plan are taken up in the roll-out of the APPS plan. The AWP on this activity area would then need to be adjusted accordingly. This should be further discussed within the TWG, as the AWP for 2016 will be developed in the next quarter.
- **Incentives and Bonuses:** The donors have requested MOIA to conduct a systematic review of the current incentives base and bonuses before discussing the addition of new incentives. The STWG on Pay Board is awaiting to be briefed by the MOIA on this.

ISSUES RELATED TO MPD:

- **Bribery, corruption, and human rights violations:** The ANP, as a law enforcement entity on behalf of the GOIRA, holds the duty to enforce laws, provide security, and protect rights of citizens. Frequent reports on bribery, corruption, and human rights violations are negatively impacting efforts to improve ANP's public image and address behavioral change within the ANP.
- **Unclear organisational structure and chain of command in provision of police training and education:** Over the years, the international community has provided support to the establishment of training sections in different departments. These sections are currently not well-linked to the Training General Command/Training Educational Command (TGC/TEC) or under the general management of Deputy Minister (DM) of Administration. The unclear organisational structure and reporting lines have rendered slow progress in Output 2 of the Police Professionalisation component of MPD project and presents challenges to ensure a sound approach for the future direction of police training and education activities.
- **Weak foundations to support current structure and establishment:** The Afghan police has numerically grown big. However, the foundations of the institution are still weak to effectively administer, manage and operate. Starting from its statutory base (i.e. the Police Inherent Law) which is supposed to define its functions and provide the authority and legitimacy, this policy framework needs to be amended in light of its new role and responsibilities. If the police is to be people friendly and function as an effective law enforcement institution, it needs to review its overall policing approach with robust efforts to build in basic policing foundations

(applied universally across police institutions globally), but contextualized for the Afghan situation and reality.

- **MOIA's ability to adopt gender friendly police service:** There has been numerous efforts to support the MOIA in creating gender friendly police services. It is extremely important to note the commitments shown by the leaderships through the endorsement of gender policies and outlining action plans. However, their practical implementation is still weak. With a fragile framework that cannot fully protect the rights of women within the police (e.g. female officers who are subject to workplace discriminations, sexual and other violence), these relevant instruments are not yet fully enabled to create the necessary conditions within the police.
- **Challenges in managing change:** Many well-intended reforms have been attempted in the past and failed. Constraints embedded in the bureaucratic systems, organizational culture and the structure of human interactions can be a real stumbling block to a successful change process. The mindsets of many MOIA staff could be that the LOTFA/MPD might be yet another failing attempt to bring about change. As a result, they might not be as enthusiastic and/or cooperative. Thus, the challenge is not to focus only on the implementation of MOIA's "hard" systems (such as ICT, MIS, M&E systems or digitization of business processes), but also on how well the MOIA can lead and manage the 'soft' systems (such as motivating staff, providing clear vision and leadership for change, and effective communications). Putting in place clear and consistent messages regarding the change process, regular and open consultations, airing of grievances, and putting in place feedback and learning mechanisms to enable adaptation during the course of the change process will be essential.

VIII. RISKS

RISKS RELATED TO SPM:

- **MOIA and third party commercial vendors are not able to support changes needed to implement approved process changes and expansion of AHRIMS:** This risk is being addressed, as the APPS will build on the current AHRIMS capabilities. As part of the donor conditions, there would be an MOU between CSTC-A and MOIA in which one of the requirements would be to allow direct link between MOIA and third party commercial vendors. However, to date, H.E. President Ghani has not yet approved the donor conditions. The MOIA, as outlined in the donor conditions document, should develop an action plan within 30 days of approval of the conditions. CSTC-A has not yet shared its action plan for implementation of APPS.
- **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 TWG. Within the framework of hand-over of responsibilities for payroll management, LOTFA has sustained frequent meetings with MOIA, CSTC-A and donors. Action plan to implement the conditions as

outlined in the donor conditions document are yet to be received. The SPM project continues to share with partners through the TWG progress on implementation of the AWP, which outlines the responsibilities of SPM as part of the donor conditions.

- **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, as only recently MOIA staff has joined the Payroll unit. To date MOIA has identified and dedicated four staff to SPM on payroll management on-the-job training. However, it is yet to be established whether the staff have appropriate qualifications and competencies for training and capacity transfer. This situation will be assessed as part of the MCA, to be conducted in Q4.
- **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:** LOTFA/SPM staff has been granted access to AHRIMS data.
- **MOIA does not expand AHRIMS, MOIA does not work with Netlinks to ensure expansion of AHRIMS capability, to include General Directorate of Prisons and Detention Centres (GDPDC):** This risk has decreased as it has become part of the donor conditions that the MOIA will establish an MOU between CSTC-A and MOIA in which one of the requirements would be to allow direct link between MOIA and third party commercial vendors.
- **MOIA, MOF, RS, and UNDP are not able to successfully conclude agreement for delivery of linked systems and capacity building activities:** This risk has decreased as it has become part of the donor conditions that the MOIA will establish an MOU between CSTC-A, MOIA, MOF and UNDP detailing the partnership modalities for delivery on systems and other capacity building matters.
- **MOIA is not able to expand fiber or other improved connectivity between the central and sub-national levels, where needed:** There has been no change to the status of this risk. Progress on expansion of fiber and intranet connectivity had been hampered by uncertainties surrounding change in MOIA HQ location and EPS, and electricity challenges.
- **MOIA building move is not completed in time for preparation and installation of DRR site:** There has been no change to the status of this risk. LOTFA is still awaiting notification on exact date for the move to the new MOIA HQ site.

RISKS RELATED TO MPD:

- **MOIA leadership is not fully supporting institutional reform, change management approach and capacity development, with cooperation among all Deputy Ministries:** This risk has decreased as the Project team members have been very effective in sharing their solid technical knowledge that has proven to be relevant and useful for the MOIA leadership to lead the change. However, the risk still remains due to talks of changes in the MOIA leadership and lack of coordination among international technical advisors.

- [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

In this first quarter of both SPM and MPD project implementation, the following lessons learned have emerged:

- Government leadership and commitment is critical to steering the whole process. For example, the civilianization process initiated by GOIRA, facilitating consensus on donor conditions, TWG increased involvement and resolving of issues coming up especially from MA and other reports, have all given confidence to the transition process.
- Civilianization is a good investment and tangible gains are evident. UNDP and SPM project have witnessed improved collaboration and increased responsiveness and transparency. Examples of these include the development of the CBR mechanism and the AHRIMS data cleansing, the acceptance of ineligible expenditures and consequent deductions, the adoption of new M&E frameworks, and sharing NIM audits with the donors.
- Demand driven needs and support leads to ownership and effective delivery of results. For example, the establishment of the Systems Development Office by MOIA has speeded up identification of issues in the system bring them to the attention of LOTFA and CSTC-A for rectification.
- Splitting the project into two, SPM and MPD allowed for more focused and streamlined support to MOIA which is expected to enhance overall delivery of results. In the same vein, the creation of Sub-Technical Working Groups has enhanced follow-up and resolving of technical issues and risk and enhanced progress of implementation of AWP.
- The development of the M&E system has proven to be an area of particularly strong leadership and ownership by the MOIA. They have demonstrated real commitment to the issue and staff could see the high level of engagement. Crucially, the appropriate leadership was supported with sound technical assistance and expertise by the Project's consultant, which created strong credibility to the exercise.

- Strengthening of gender baselines and gender-disaggregated data is a challenge that will require more technical and human resource investments on behalf of both SPM and MPD projects. This data is not readily available within MOIA database and reports.
- The role of Project national staff was also instrumental in facilitating as well as engaging in consistent follow-ups with their MOIA counterparts at the operational level. Initially, MOIA staff were concerned about the added burden related to data collection needs and fearful that the evaluation could be used to highlight weaknesses, not program accomplishments. Aware of such prospect, the Project national staff made great strides by guiding and explaining to MOIA staff the different elements of M&E framework; working with them to document activities that were required to create expected outputs and outcomes; and identifying timelines, targets, baselines, and indicators related to their work objectives. With such approach and the consistent engagement throughout the process, the staff felt a sense of ownership for their M&E plans, leading to strong buy-ins from both the MOIA Management and staff.

X. FUTURE PLAN

The SPM will build on the progress achieved in Q3 to ensure that Phase 1 targets are met by December, 2015. No significant changes to the work plan activities are envisaged, save for Output 3 (Systems integration) which focus may shift due to the development of the APPS to replace the WEPS.

With the APPS coming on board, the Memorandum of Understanding (MOU) to be developed between MOIA, UNDP and CSCT-A will define roles and responsibilities for the parties. Therefore, LOTFA/SPM will revise the AWP accordingly especially as it relates to Output 3 to provide targeted support towards systems integration.

In the following quarters, SPM has planned to come up with a document that will give indication of the kind of staffing required in a fully functioning payroll unit within the MOIA, through the development of a Payroll Unit Action Plan. To accomplish this task, a functional review of the current setups within the finance and human resources departments will be undertaken. This will allow the structuring of the new payroll unit to be in line with the rest of the units within the finance and human resources units in terms of both ranks and hierarchy. For this process to be effectively accomplished, MOIA would need be more proactive in determining its needs for both policy development and implementation, identifying and recruiting the appropriate staff to work within the unit, as well as holistic capacity building for effective payroll transition.

Urgent and concrete steps will be taken to with ensure implementation of the Disaster Resilience and Recovery Plan without further delay. An alternative back-up site is very critical given the security situation. In addition, mechanisms will be put in place to ensure that TWGs/Sub-TWGs

do thorough follow-ups and reviews to ensure that issues arising are well addressed, and monitoring the risks identified.

In addition to the progress and results achieved during this reporting period, many consultations took place with the MOIA counterparts to discuss and clarify details of activities stated in the Project Document; to understand their wants and needs; to determine and agree on strategies as well as processes and appropriate support from the Project to achieve them.

For the Institutional Development component, this has translated into fifteen different work requirements, scopes of work, and terms of references defined and developed for the related work, including the institutionalization of M&E system to support the implementation of MOIA Strategic Planning Directive as well as the Ten-Year Vision, the review of legal and policy documents, continuation of support to the Gender Directorate to implement and mainstream the Gender Strategy in MOIA policies, improvement of organizational structures and work processes in selected directorates/departments, the development of Enterprise Resource Planning system, the capacity building for programme budgeting, the review and harmonisation of HR policies, development of data-related capacity through the use of ICT and MIS, the review of internal controls and complaints mechanisms. Further groundwork, such as compilation and translation of related policy documents, will continue into the last quarter of 2015 and the work of the aforementioned areas will have begun by the end of Project's Phase 1 (i.e. the end of December 2015).

It is important to note that the business processes target (Indicator A) and ANP personnel policies target (Indicator C) in Output 2 of the Institutional Development component will reflect the likely time needed to effect change (i.e. they will reflect the number of policies and processes identified for review and improvements as well as time to have these recommendations approved for implementation). Thus, these particular targets may be amended upwards or downwards in Phases 2 and 3 of the Project in the light of experience.

For the Police Professionalization component, this has resulted in support requirements and terms of references defined and developed for the review of applicable legislation, regulations and policies, the training and education needs assessment, the development of Community Oriented Policing Framework, the expansion for Police *e-Mardumi* committees, the establishment and training of 390 Information Desk Police Officers, and the support for Policewomen's Council Action Plans. The implementation of these activities will have begun by the end of Project's Phase 1.

More importantly, the work of Output 3 of the Police Professionalization component (i.e. the initiatives to strengthen stakeholders' feedback and accountability mechanisms) will be coordinated and linked with the work of Output 3 of the Institutional Development component on internal controls and complaints mechanisms as well as that of Output 2 on the improvement and implementation related policies, guidelines and procedures, particularly those related to

gender and gender-sensitive policing. This is to ensure that established processes will be in place to incorporate stakeholders' feedback when revising police guidelines and operational procedures, helping to restore public trust and confidence as well as policing service standards.

