



ASSESSMENT OF DEVELOPMENT RESULTS

EVALUATION OF UNDP CONTRIBUTION

ISLAMIC REPUBLIC OF AFGHANISTAN



HUMAN DEVELOPMENT effectiveness COORDINATION AND PARTNERSHIP efficiency COORDINATION AND PARTNERSHIP sus NATIONAL OWNERSHIP relevance MANAGING FOR sustainability MANAGING FOR RESULTS responsiveness AN DEVELOPMENT responsiveness NATIONAL OWI NATIONAL OWNERSHIP effectiveness COORDINATION AND PARTNERSHIP efficiency COORDINATION AND PARTNERSHIP sus NATIONAL OWNERSHIP relevance MANAGING FOR sustainability MANAGING FOR RESULTS responsiveness HUMAN DEVELOPMENT effectiveness COORDINATION AND PARTNERSHIP



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EVALUATION OF UNDP CONTRIBUTION **AFGHANISTAN**

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ASSESSMENT OF DEVELOPMENT RESULTS: ISLAMIC REPUBLIC OF AFGHANISTAN

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FOREWORD

The Evaluation Office of the United Nations Development Programme (UNDP) conducts independent country-level evaluations called Assessments of Development Results (ADRs). They assess the relevance and strategic positioning of UNDP support and its contributions to a country's development over a period of time. The purpose of an ADR is to contribute to organizational accountability and learning and strengthen the programming and effectiveness of UNDP. This report presents the findings and recommendations of the ADR that was conducted in the Islamic Republic of Afghanistan, covering UNDP cooperation between 2002 and 2008. The UNDP programme in Afghanistan is among its largest in terms of financial volume, although most of the resources are provided by cost sharing with bilateral and multilateral donors.

Afghanistan's historical and contemporary conflict and security context is complex, with deeply ingrained divisions over ethnic, linguistic and sectarian bases, fuelled through external interventions. Since the Bonn Agreement of 2002, Afghanistan has gone through a period of hope and positive expectations, with a peak at the time of the Presidential and parliamentary elections in 2005. From 2006 to 2007, the scenario has changed with a deteriorating security situation and the return of the Taliban and other insurgents.

UNDP positioning in Afghanistan and space for manoeuvring has been, to a large extent, determined by the United Nations Assistance Mission in Afghanistan (UNAMA), established in 2002 by the United Nations Security Council resolution, which was established as an integrated mission in charge of coordinating all United Nations interventions. Given its high dependence on donor funding, UNDP was also

heavily influenced by the specific objectives and directives of donors and originally sought to fill a niche in 'early recovery'.

In Afghanistan, UNDP has defined for itself an important role in the early post-conflict period that is potentially beneficial to both the fledgling national authorities and the international community as a whole. However, this role should not have been performed at the expense of capacity building in key institutions essential for long-term peace-building. The tendency of the international community to adopt a phased approach to post-conflict situations created an institutional vacuum that subsequently became difficult to overcome.

From its initial focus on early recovery, the UNDP programme has evolved towards an increasingly substantive contribution to the cause of security and development in Afghanistan. Practically all areas of UNDP interventions are now at the heart of UNAMA goals of seeing the country through a period of conflict to stability, recovery and development.

In particular, UNDP has increasingly understood the importance of the institutions of democracy, state and rule of law in ensuring a smooth transition process with prospects of long-term peace and development. Yet, not enough attention was paid from an early stage to stimulating and creating conditions and opportunities for sustainable livelihoods and employment creation. This is an important area, because the absence of job opportunities and sustainable livelihoods is viewed as a factor in the rise of collaboration with insurgents.

Following the approach of some donors, UNDP has focused on insecure provinces. By doing so, it has not sufficiently demonstrated the

development dividend of the peace process in the more secure provinces, which received less attention and resources.

While broad national development and poverty reduction strategies have been developed for Afghanistan, no focused strategy on peace-building has been devised by the United Nations or the international cooperation. This could have been a major contribution of UNDP, particularly in an integrated mission setting. Key constraints at the country and corporate level have affected UNDP capacity to provide substantive knowledge and high-level strategy and policy advice.

The preparation of the evaluation benefited from the cooperation of the staff of the UNDP country office, led by former Country Director Anita Nirody and the present Country Director Manoj Basnyat. I wish to thank the Regional Bureau for Asia and the Pacific, particularly Assistant Administrator and Regional Bureau Director Ajay Chhibber and Fadzai Gwaradzimba, Division Chief, South and West Asia, for their engagement with the evaluation.

This report would not have been possible without the support of the Government of Afghanistan and the substantive contribution provided by representatives of donors and civil society who interacted with the evaluation team and provided their frank views.

Principal responsibility for preparation of this report rests with the evaluation team, composed of Team Leader Rajeev Pillay, Team Specialist Erin McCandless, National Consultant Mohammad Saeed Niazi and Fabrizio Felloni who served as the Evaluation Office Task Manager. I thank the external reviewers, Caroline Heider, Director of the Evaluation Office of the World Food Programme and John Telford, Consultant and International Humanitarian Assistance Specialist. I would also like to thank Cecilia Corpus, Gloria Alvir, Thuy Hang To and Anish Pradhan for their administrative support.

I hope that the findings and recommendations of this report will assist UNDP in responding to the country's development challenges in a complex post-conflict environment and provide broader lessons that may be of relevance to UNDP and its partners in other similar settings.



Saraswathi Menon
Director, Evaluation Office

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BASIC GEOGRAPHIC AND DEMOGRAPHIC DATA

Area:	647,500 sq km (250,000 sq miles)
Population:	26,813,057 (July 2001 est.)
Capital city:	Kabul (34 provinces)
People:	Pashtun 38%, Tajik 25%, Hazara 19%, minor ethnic groups (Aimaqs, Turkmen, Baloch, and others) 12%, Uzbek 6%
Language:	Afghan Persian (Dari) 50%, Pashtu 35%, Turkic languages (primarily Uzbek and Turkmen) 11%, 30 minor languages (primarily Balochi and Pashai) 4%, much bilingualism
Religion	Sunni Muslim 84%, Shi'a Muslim 15%, other 1%

Source: UNAMA

ACRONYMS AND ABBREVIATIONS

ACT	Accountability and Transparency
ADR	Assessment of Development Results
AIMS	Afghanistan Information Management Systems
ANBP	Afghanistan New Beginnings Programme
ANDS	Afghanistan National Development Strategy
ANP	Afghan National Police
ASGP	Afghanistan Sub-national Governance Programme
BCPR	Bureau for Conflict Prevention and Recovery
BDP	Bureau for Development Policy
CAP	Capacity for the Afghan Public Service
CDC	Community Development Council
CIDA	Canadian International Development Agency
CPAP	Country Programme Action Plan
CNTF	Counter Narcotics Trust Fund
DDA	District Development Assembly
DDR	Disarmament, Demobilization and Reintegration
DEX	Direct Execution
DFID	Department for International Development (UK)
DIAG	Disbandment of Illegally Armed Groups
DoWA	District-level Office of Women's Affairs
ELECT	Enhancing Legal and Electoral Capacity for Tomorrow
GDP	Gross Domestic Product
HDI	Human Development Index
IARCSC	Independent Administrative Reform and Civil Service Commission
IDLG	Independent Directorate for Local Governance
ILO	International Labour Organization
IMF	International Monetary Fund
ISAF	International Security Assistance Force
JCMB	Joint Coordination and Management Board
LOTFA	Law and Order Trust Fund for Afghanistan
MCN	Ministry of Counter Narcotics
MDG	Millennium Development Goal
MoWA	Ministry of Women's Affairs
MRRD	Ministry of Rural Rehabilitation and Development
NABDP	National Area Based Development Programme
NATO	North Atlantic Treaty Organization
NEX	National Execution

NDCS	National Drug Control Strategy
NGO	Non-governmental Organization
NSP	National Solidarity Programme
ODA	Official Development Assistance
PRSP	Poverty Reduction Strategy Paper
PRT	Provincial Reconstruction Team
RBAP	Regional Bureau for Asia and the Pacific
SCOG	Support to the Centre of Government
SEAL	Support to the Establishment of the Afghan Legislature
SRSG	Special Representative of the Secretary-General
TRAC	Target for Resources Against Core (UNDP Core Funds)
UN	United Nations
UNAMA	United Nations Assistance Mission in Afghanistan
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDPA	United Nations Department of Political Affairs
UNDPKO	United Nations Department of Peacekeeping Operations
UNIFEM	United Nations Development Fund for Women
UNODC	United Nations Office of Drug Control
UNOPS	United Nations Office of Project Services
USAID	United States Agency for International Development
UNV	United Nations Volunteer

EXECUTIVE SUMMARY

The United Nations Development Programme (UNDP) Country Programme in the Islamic Republic of Afghanistan is the largest UNDP programme in the Asia and Pacific Region and the third largest worldwide (including third-party cost sharing). UNDP has provided assistance in support of the international community's effort to build peace and foster recovery in Afghanistan since Operation Enduring Freedom in 2002, although the 2006-2008 Country Programme is the first formal country programme. This evaluation of UNDP was undertaken in the context of its participation in an integrated, United Nations (UN) Security Council mandated peace operation in Afghanistan, the United Nations Assistance Mission in Afghanistan (UNAMA).

This evaluation—defined by UNDP as an Assessment of Development Results (ADR)—examined UNDP contribution to Afghanistan's national development results in the context of post-conflict recovery since 2002. This presents an opportunity to evaluate programme results since 2002 and to feed findings and conclusions into the process of developing and implementing the new programme, which will be presented to the Executive Board in June 2009 (Executive Board decision 2007/24).

The ADR undertook a comprehensive review of the UNDP programme portfolio and activities during the period under review, specifically examining UNDP contribution to national development results and the overall efforts of the international community. It assessed key results, specifically outcomes, and covered UNDP assistance funded from both core and non-core resources. Overall, special efforts were made to examine UNDP contribution to the achievement of long-term peace and stability in Afghanistan.

UNDP IN AFGHANISTAN

Establishing a clear evaluative frame of reference proved a challenge, as the definition of programme objectives, thematic areas of focus and intended outcomes have been continuously redefined and repackaged over the period in question (2002 to 2008). In light of this, and because the country office had not been monitoring outcome data based on any of the various iterations of outcomes over the period, the evaluation team attempted to define the conceptual framework based on the objectives of the international community, UNAMA and the way in which UNDP programme officers defined their objectives and intended results.

Although there is no single overriding strategy for the international community in Afghanistan and the priorities of the international community have evolved over time, the team evaluated the relevance and strategy of the UNDP programme with reference to the conflict context and these broader aims. The following international agreements lay out elements of the international community's evolving objectives and, following the formation of an elected government, national objectives for the period in question:

- Bonn Agreement of 2001
- Afghanistan Compact¹ of 2006
- Paris Declaration of 2008 and the Afghanistan National Development Strategy (ANDS)
- Security Council Resolution 1806 of 20 March 2008

UNDP performance was assessed in terms of its contributions to the national objectives contained in these international agreements and

¹ 'Building on Success: The London Conference on Afghanistan; The Afghanistan Compact', January 2006.

strategic and programmatic levels and whether or not these contributions have both national legitimacy and international endorsement in a development environment that is dominated by official development assistance (ODA). Principal programming instruments used by UNDP—the United Nations Development Assistance Framework (UNDAF), Country Programme Document, Country Programme Action Plan (CPAP) and programme documents—were viewed within this context.

The creation of UNAMA and an integrated office setup with two Deputy Special Representatives of the Secretary-General (SRSGs)—one of whom is responsible for Development and Humanitarian Operations and is also the Resident Coordinator and Humanitarian Coordinator, and the other for Political Affairs and increasingly for governance programmes—implies an evolution of the UN peacekeeping model to one in which the developmental and humanitarian underpinnings of the quest for peace and security are viewed as an integral part of any major peacekeeping operation. This further reinforced the need to evaluate UNDP programme activities within the framework of the peace process and the instruments outlined above. UNDP assistance was therefore evaluated within a conceptual frame of reference that stressed the primacy of support to UNAMA and the broader objectives of the international community and the transition from armed conflict to peaceful development.

This frame of reference was used by the evaluation to assess UNDP strategic positioning, the design and priorities of UNDP programmes, and how the programmes are structured, operationalized and implemented. In addition to assessing the attainment of results within the framework of the programmes' stated plans, the evaluation also assessed more fundamental choices made in the design and deployment of UNDP assistance.

FINDINGS

The room for UNDP to operate and fully exercise its mandate has been heavily influenced

by the role and mandate of UNAMA, key donors and their specific objectives for Afghanistan, and the government. Despite this, UNDP has contributed to preparing and passing a new constitution; the holding of Presidential, parliamentary and provincial elections; establishing key institutions within the newly formed upper and lower houses of Parliament; demobilizing and disarming militias and illegally armed groups; strengthening capacity at the centre of government; creating capacity in state institutions at the central, provincial and district levels; and reforming the civil service.

UNDP has ensured the functioning of the Afghan police force by managing the payment of salaries and developing national capacity to make the payments over time. It has also paid the salaries of civil servants and effectively developed the capacity of the Ministry of Finance to prepare the national budget, track most foreign funding, and manage expenditures under the national budget.

More recently, UNDP has attempted to provide support to the justice sector and other areas related to the rule of law, including the fostering of accountability and transparency. It has also developed and launched a major effort to encourage gender equality and to strengthen the role of women in a wide range of areas. Since 2002, UNDP has moved from focusing on gap-filling—selecting niches that other agencies were unprepared to address—within the context of a larger international effort and activities geared early recovery, to a period focussed on building state institutions, to one that is increasingly adopting a more comprehensive approach to capacity building.

STRATEGIC POSITIONING

For at least the first three years following Bonn, UNDP was relegated to gap filling. As part of the international community's tendency to artificially adopt a phased approach, the failure to address institutional capacity issues and the strengthening of key institutions essential for

long-term peace created a dangerous vacuum that has only now begun to be filled. UNDP claimed a limited niche in ‘early recovery’ as the administrator of last resort for donor funds for sensitive tasks. This was at the expense of a more concerted effort to address key institutional changes required for lasting peace. It also risked branding UNDP as a non-substantive agency, a legacy that it has had to work hard to overcome, and to some extent has, since 2005.

After 2004, at the insistence of the Minister of Finance, UNDP was repositioned to strengthen the institutions of state. This mandate was interpreted strictly by UNDP at the expense of the broader aspects of governance including the role of civil society. In the past two years, UNDP has begun to reverse this by increasing its involvement with civil society.

UNAMA is an ‘integrated mission’.² UNDP programmes address virtually each of the key peace-building issues:

- **Democratization and participation**—Drafting the constitution; holding Presidential and parliamentary elections; creating capacity to hold Presidential and district elections; establishing parliamentary processes; strengthening parliamentary institutions, such as committees and secretariats; and strengthening civil society institutions, particularly at the sub-national level.
- **Reform of the justice sector and the rule of law**—Police reform; strengthening the Ministry of Justice, Supreme Court and Attorney General’s office; improving access to justice; strengthening justice institutions at the sub-national level; and strengthening of accountability and transparency and financial and management systems in each.
- **Strengthening of key institutions of state**—Professionalization and reform of

the civil service; capacity building within public administration; creating outreach capacity of the executive branch through the strengthening of sub-national governance; and creating capacity in the government to effectively manage the budget process and coordinate development assistance.

- **Sustainable livelihoods**—Delivery of essential services at the sub-national level; and strengthening community-based organizations for the management and delivery of programmes that can raise incomes and empower communities.
- **Support to coordination**—Support to the ANDS process; strengthening of government capacity to manage budgets, bringing a significant component of development assistance into the budget; and tracking the remaining development assistance in the Ministry of Finance.

The UNDP Country Director interacts closely with both Deputy SRSGs, but truly integrated mission planning based on a shared vision, shared objectives and a shared strategy does not exist. Although most UNDP projects have major political implications, political and conflict analysis is, with the possible exception of the level of senior management, held very closely within UNAMA and enough is not being done to ensure that UNDP projects are designed and implemented bearing such considerations in mind.

Coordination is a complex yet essential task and must be based on a clear substantive framework and strategy. To some extent, the Afghanistan Compact, the Paris Declaration and the ANDS provide the basis, but they need to be translated into a clearer and prioritized strategy for the attainment of lasting peace. UNDP is inappropriately organized to provide extensive substantive support.

² In an integrated mission, the UN Country Team is supposed to work as an integral part of the UN mission under the leadership of the SRSG. As such, the primary programme objectives of UNDP need to contribute directly to the achievement of UNAMA mandated objectives.

EFFECTIVENESS AND RESULTS

Despite all of the constraints and limitations on its operating space, UNDP has contributed to most of the major achievements of the peace process supported by the international community since 2002. UNDP facilitated the convening of the *Loya Jirga*³ and preparation of the constitution and provided comparative experience through consultants and advisers. The *Loya Jirga* and the constitution have set the foundation for all of the achievements since.

ELECTIONS AND PARLIAMENT

UNDP, through the United Nations Office of Project Services (UNOPS), administered and managed both the first Presidential election and the parliamentary and provincial council elections under a tight political deadline, thus achieving little by way of institution building. Recognizing this shortcoming, UNDP and UNAMA encouraged the establishment of an Independent Electoral Commission that is in charge of managing the ongoing voter registration and future Presidential and district elections with UNDP in an advisory role.

The UNDP was instrumental in getting the *Mishrano Jirga* (Upper House) and *Wolesi Jirga* (Lower House) operational in 2004. Members of Parliament and Senators have been provided with comparative exposure to the roles of the branches of the state and their variants in different countries, better equipping them to understand their constitutional role, rights and responsibilities as well as the elements of the legislative process. They have also been provided with leadership training and training in the principal functions of a legislature. Parliament has operated since shortly after its inception on the basis of Rules of Procedure prepared with the help of a UNDP adviser. UNDP also supported preparation of a Code of Conduct, which is still under review.

In the early recovery period, UNDP played an important role in rehabilitating essential facilities in the justice sector. Unlike any other actor in the justice sector, UNDP now has projects at the national, regional, provincial, and district levels. Operating in the sector, however is not easy for UNDP and it is not clear whether it can, under the circumstances, provide significant value despite the obvious developmental importance of having a multilateral agency in such a politically sensitive sector.

RULE OF LAW

The UNDP administered Law and Order Trust Fund for Afghanistan (LOTFA) is in its fifth phase. An external evaluation in 2005 noted significant improvements in the payment of police salaries. An Electronic Payroll System has been deployed in all 34 provinces and is operational in at least 106 out of 115 payroll stations. More than 60,000 police are on the Electronic Payroll System of the Ministry of Interior, while approximately 33,000 people are now receiving their salaries in their individual bank accounts. Yet a significant number of police are receiving payments in cash and leakages cannot be ruled out. Furthermore, a comprehensive headcount in 2006 cited significant anomalies between the salaries paid and actual numbers. It is not clear whether this has been rectified.

GOVERNANCE AND CIVIL SECTOR REFORM

As governance has become more complex and unwieldy, functions have been increasingly drawn into the purview of the Office of the President resulting in expansion of the responsibilities of the institutions directly under the President. Key bilateral donors have had a strong interest in supporting the effectiveness of the centre of government. The sensitivity of such a role brought UNDP into the picture as a relatively non-contentious vehicle. UNDP support has made progress in facilitating and delivering physical

³ *Loya Jirga* is a Pashto expression meaning 'grand council', a political meeting to decide important political matters and disputes.

infrastructure (covering facilities and information technology resources) and has strengthened day-to-day financial and human resource management. It has had less influence in helping clarify and institutionalize the roles and functions of the Office of Administrative Affairs and the Office of the Chief of Staff.

The Independent Administrative Reform and Civil Service Commission (IARCSC) has, through UNDP support, done a commendable job of addressing capacity from a broad systemic perspective, devising a comprehensive strategy for civil service reform. *Inter alia*, the following has been achieved: introduction of a merit based appointment and promotions system for civil servants geared to identifying and retaining the best civil servants; decompression of the salary scale with a view to creating performance incentives linked to promotion within grade and between grades; and an increase of salaries by approximately 25 percent to 40 percent twice since 2002 in the hope of retaining civil servants without recourse to externally funded positions and salary supplements.

The Deputy Minister of IARCSC has stated that the related UNDP interventions were “by far more effective than any other programme for capacity building to date” and that IARCSC would like to see it expanded to the sub-national level. They encouraged South-South cooperation and draws on sources ranging from civil services from within Asia, universities, private firms and local non-governmental organizations (NGOs). They entered into a partnership with the Government of India and the successful output of the project has led to an extension of this inter-governmental partnership. Similar partnerships are being sought within the South Asian region and an agreement with the Government of Sri Lanka is at its final stage.

Another major success of UNDP was its contribution to creating capacity in the Ministry

of Finance to prepare a policy-based, national budget on time and capacity in the Treasury Department of the Ministry of Finance to manage an annual budget of US\$2 billion (in 2008). It also contributed to transparency by enabling tracking of actual expenditures, helping establish internal audit systems and a database that enables tracking of an estimated 70 percent of all ODA to Afghanistan. In the same context, an exit strategy for UNDP was created that could serve as a model for other UNDP and donor projects.

It is too early to effectively evaluate the results achieved at the level of outcomes and impact of the Afghanistan Sub-National Governance Programme (ASGP). It is unlikely that results will be meaningfully measurable before 2009 or 2010. In its first full year of implementation, ASGP has assisted the Ministry of Interior in creating a comprehensive legal and institutional sub-national governance framework through on-the-job coaching and formal training and workshops on subjects such as reporting, monitoring progress and human resources. ASGP has worked with the relevant partners to develop a comprehensive policy on local governance, which was just issued in draft and is undergoing an internal government review.

The initial contribution of UNDP to addressing the growing problem of corruption has inevitably faced difficulties in implementation. To date, it has produced baseline studies that are intended to raise awareness and establish a basis for implementing programme activities aimed at reducing corruption and strengthening or establishing key institutions required to reduce current levels of impunity. A draft report titled ‘A Gap Analysis of National Legislation in Afghanistan’ and a survey on transparency and accountability in aid management covering five agencies has been prepared.⁴ UNDP has also recently begun working with civil society organizations casting them in an advocacy and watchdog role and is the only UNDP programme to have done so to date.

⁴ These agencies include the Canadian International Development Agency (CIDA), Department for International Development—UK (DFID), the Netherlands, Norway and UNDP.

SUSTAINABLE LIVELIHOODS

The absence of job opportunities and sustainable livelihoods is a major factor in the rise of sympathy and collaboration with insurgents and Taliban. UNDP has come to the issue of sustainable livelihoods relatively late. The National Area Based Development Programme (NABDP) was initially intended to create capacity for the Ministry of Rural Rehabilitation and Development (MRRD) to implement multisectoral development projects at the local level. Although called an ‘area development programme’, the NABDP does not focus on the development of programme planning, management and monitoring capacity at the community level, or on community organization and mobilization in local community based organizations for development purposes. However, the NABDP has created significant capacity in provincial government: NABDP now has a presence in all 34 provinces of Afghanistan. As many as 900 projects have either been completed or are currently under implementation. Most are in the form of small-scale infrastructure and physical facilities.

The outcome or impact of the NABDP is not currently monitored. The top three recipients are considered highly ‘insecure’ provinces and between them received in excess of 57 percent of funds expended for mini-projects. Based on interviews with project staff at the regional level, relatively little attention has been paid to the ‘software’ accompanying physical infrastructure. So-called ‘productive projects’ have focused on the development of small and medium enterprises. The approach has been top down. MRRD and project staff conduct general market research, identify potential projects and then undertake feasibility studies—mostly organized from MRRD in Kabul. It is too early to assess success.

The government is highly centralized and the will to decentralize is still limited. MRRD therefore operates in a highly centralized manner, and this is clearly reflected in the way the NABPD is run. In 2007, the ‘Kandahar Model’ was developed under NABDP as an exception for operations in

conditions of extreme insecurity. The model is based on a tripartite agreement between MRRD, the District Development Assemblies (DDAs) and Community Development Councils (CDCs) and has an implementation management structure that places the community leaders at the centre—a process similar to ‘community contracting’. It has prompted significant deconcentration of responsibility by MRRD on a pilot basis.

Since 2004, all donor funds to the Counter Narcotics Trust Fund (CNTF) have been channelled through UNDP due to the limited capacity of the Ministry of Counter Narcotics (MCN). Against the advice of the UNDP, which encouraged a first phase with direct execution (DEX) and at the insistence of some donors, the CNTF is managed under national execution (NEX) with the MCN as the implementing agency and the Ministry of Finance as the executing agency. CNTF funds are channelled through the national development budget, yet transparency, accountability and the issue of management capacity in the government have proven controversial, severely hampering progress. Of the current US\$900 million proposed budget, 18 bilateral donors and UNDP have committed US\$99.5 million so far.

The project received a negative evaluation in September 2007 under the supervision of its own Management Board that questioned the capacity of MCN to administer the complex procedures in place, the centralized nature of operations and donor influences on allocation. The Management Board decided to move to a comprehensive, programmatic, provincial approach where ownership of counter narcotics activities will be in the hands of provincial authorities and where the CNTF role is solely that of a funding mechanism. The MCN has commended the performance of UNDP, yet it is difficult to assess its effectiveness. The UNDP management role could have been stronger, but being an intermediary between donors and the government in such a politicized context has proved a thankless task. The project

has forced the government to put systems into place, and obliged donor coordination. The fund is now starting to work, at a time when donor dissatisfaction with NEX has almost resulted in a decision to close the trust fund. Donors are pulling out, salaries are not being paid, and staff are leaving.

GENDER

Initially, the Ministry of Women's Affairs (MoWA) was rehabilitated and equipped, its staff trained, and two sets of gender training manuals were developed. However, impact was found to be marginal because the activities were not buttressed with a training strategy or followed with monitoring and evaluation. More recent interventions have aimed at developing gender mainstreaming models and strengthening the capacity of government institutions. According to a recent evaluation (Outcome 5), all outcomes are likely to be achieved, although the evaluation critiques the rigour of the benchmarks, the overall project design, and what are described as "deeply inadequate human resource allocations". The latest initiatives in the gender mainstreaming project are not in a position to show results yet, but lack of coordination between the United Nations Development Fund for Women (UNIFEM) and UNDP has been an issue.

EFFICIENCY

UNDP Afghanistan has positioned itself as the administrator of the international community, managing large funds on behalf of donors and the government in an institutional environment of low capacity. Without UNDP involvement, it is clear that donor assistance to Afghanistan would have been less forthcoming.

Flexibility and rapidity of response are crucial in conflict-affected countries. Yet if there is one universal criticism of UNDP from stakeholders in Afghanistan, it is their devastating indictment

of the inefficiency of UNDP bureaucratic procedures. So much ill will has been created as a result of massive delays in procurement, payments and other basic administrative tasks, it threatens to overwhelm the substantive achievements of the programme.

Steps have been taken during the past two years to improve administration, but the fundamental problem of inefficiency and procedural complexity is systemic. There are no special financial, procurement and human resources guidelines for the needs of large post-conflict country offices. The introduction of new financial asset software⁵ has further added to the inflexibility, and the system appears to be getting more rigid and bureaucratic rather than less. If UNDP is to operate in conflict-affected countries, special procedures need to be considered that remove banal and time-consuming requirements while preserving transparency, accountability and quality.

The majority of UNDP personnel are submerged in bureaucratic procedures involved in the management of programmes and a proliferation of reporting requirements to Headquarters, to management, for missions visiting the country office, and to each of the donors contributing resources. Many donors require quarterly reports, and a few require bi-monthly reports. No two donor reports are alike and transaction costs are high.

The two principal forms of execution in Afghanistan are NEX and DEX. DEX has been entered into in an environment of low capacity when donors and UNDP were reluctant to entrust national counterpart agencies with fundamental fiduciary responsibilities in the absence of sufficient capacity. Several UNDP programmes have successfully made the difficult transition from DEX to NEX. Some counterpart agencies have complained bitterly about a minority of project managers under DEX

⁵ The UNDP Enterprise Resource Management System, ATLAS.

failing to consult them adequately on decisions pertaining to substantive outputs or activities, thereby undermining both national ownership and capacity building. It is clear that there is no standard induction or orientation course for prospective programme managers to ensure a consistency in approach.

Support costs charged by UNDP on large trust funds have proven controversial and, in the case of both trust funds, been partially responsible for holding up approval of new phases.

Without core UNDP personnel in the field, UNDP representation is delegated to regional programme managers of the largest UNDP programmes (Afghanistan New Beginnings Programme [ANBP], ASGP and NABDP in particular). These managers have no particular knowledge of UNDP corporate thinking and approach and they view their representational responsibilities a major added burden. More importantly, there is nobody at the regional level who can ensure coherence between the UNDP programmes or engage substantively with the UNAMA regional presence. As a result, there is little, if any, interaction. This is to the detriment of both UNDP and UNAMA.

Security is perhaps the most significant constraint to operations and drives up programme costs considerably. Figures of 12 percent or 13 percent expended on each programme for additional security costs are probably conservative.

SUSTAINABILITY

Almost total dependence on external funding for the development budget renders it very difficult to ensure that once infrastructure and other projects are completed their recurrent budget burden can be accommodated from domestic revenue. In the rush to maintain deadlines, donors have succumbed to paying salaries and salary supplements. Entire salaries of line and advisory staff in key positions are paid by donors and, while no comprehensive survey is available, are said to range from US\$650 to

US\$35,000 per month. Where entire salaries are not paid, donors pay supplements. This results in a skewing of priorities towards those of the largest donors, competition for staff between projects, and a loss of capacity once external assistance is ended.

Under its project with the Civil Service Commission, salaries of civil servants have been raised twice since 2002 with as much as a 30 percent increase in salaries under the last raise. Efforts have also been made to decompress the salary scale of the civil service to increase performance incentives. Key positions have also been identified in which civil servants can receive significantly higher pay that is beyond the normal scale based on clear justification and appropriate clearances. Yet these quantum leaps cannot match the pay provided under projects funded by the international community and will not stem the loss of capacity upon the completion of donor-funded projects.

To maintain effectiveness, UNDP projects have had to follow similar practices. But unlike most other donors, some UNDP projects—notably the Making Budgets and Aid Work project in the Ministry of Finance—have sought to address this problem by phasing out the payment of salaries and salary supplements with a clearly defined exit strategy. This strategy entails the systematic recruitment and training of new graduates who are to be paid regular civil service salaries to take the place of the better-qualified and more experienced staff who were paid higher salaries under the project. However, an exit strategy that does not undermine national capacity is almost impossible to implement in isolation, as capacity will inevitably be bought off by other donors agencies. This is an area crying out for substantive coordination between donors.

CONCLUSIONS

In Afghanistan, international cooperation, including that provided by UNDP, almost uniformly adopted a phased approach to reconstruction. This approach had an exclusive initial

focus on restoring security, early recovery and humanitarian activities. Institutional support and developmental activities were postponed, leading to a power and economic vacuum at the local level.

At first, UNDP institutional support was equated with support to governmental institutions in the capital. Focusing on ‘state building’ at the centre is essential but so is developing capacity of public institutions at the regional or provincial levels, particularly to ensure the rule of law and to promote local development initiatives. A broader notion is that of ‘nation building’. This includes the development of capacity of civil society organizations that can perform advocacy functions in key areas and contribute to the transparency, checks and balances that are essential for participatory democracy. Civil society has only just begun to be integrated into the UNDP approach to governance, and its advocacy and watchdog roles have not yet been sufficiently addressed.

Another common feature of international cooperation and UNDP in Afghanistan was the geographical focus on provinces with more pronounced security problems. For some bilateral agencies, this was also complementary to their peacekeeping operations. This type of prioritization may fail to create strong incentives to reduce armed conflict.

Broad national development and poverty reduction strategies with a very wide agenda have been developed for Afghanistan in the recent years. Yet, no comprehensive strategy with a strong focus on peace-building and conflict analysis has been devised by the United Nations or the international cooperation. Upon reflection, this could have been a major contribution of UNDP, particularly in an integrated mission setting. Key constraints at the country and corporate level have been identified that have affected UNDP capacity to provide substantive knowledge and high-level strategy and policy advice.

RECOMMENDATIONS

FOR THE EXECUTIVE BOARD AND UNDP

1. Where the United Nations is present under a Security Council mandate and the operation is integrated, UNDP should focus on supporting the objectives of the UN peace-keeping and peace-building operation: there should be no equivocation. UNDP should be more assertive in integrated UN Security Council mandated operations, requiring certain conditions to be met before taking on functions on behalf of the international community. While it has proved its ability to fill such a niche, UNDP should not accept a purely administrative role during early recovery at the expense of its longer term development functions.
2. UNDP should advocate strongly for the international community to drop the phased approach to post-conflict situations in favour of one that immediately addresses the capacity of key institutions necessary for lasting peace and development. In this context, UNDP should lobby for assessed contributions associated with UN missions to include predictable and reliable funding for capacity development and institutional change in specific areas common to all post-conflict settings: democracy and participation; security sector reform and reintegration; the rule of law; effective budget and fiscal management; reintegration of refugees and internally displaced persons; and support to sustainable livelihoods early in UN peace operations.
3. One of the functions of UNDP in integrated missions should be to substantively support the UN coordination mandate through the preparation of sectoral and thematic strategies (in consultation with UN organizations and stakeholders as appropriate). At the outset of a post-conflict transition, UNDP should set up a technical advisory unit to provide thematic leadership in areas of critical importance to peace-building. In-house capacity created at the country level should be supplemented in all cases by broader substantive

support from those parts of the house that are repositories of relevant expertise (such as Bureau for Conflict Prevention and Recovery [BCPR], Bureau for Development Policy [BDP], regional centres, Human Development Report Office and Bureau of Management). Capacity installed under UNDP NEX and DEX projects needs to be drawn upon as an important supplementary source of substantive capacity.

4. More systematic consideration should be given to the application of the inter-country programme of UNDP as a source of substantive capacity and to address cross-border dimensions of conflict that are important in Afghanistan and virtually all post-conflict settings.
5. UNDP Headquarters should review past evaluations and studies of UNDP experiences in post-conflict countries with a view to identifying and systematizing effective models of intervention so that they can be adapted and applied to countries such as Afghanistan without ‘reinventing the wheel’.

FOR UNDP HEADQUARTERS, THE UNDP RESIDENT REPRESENTATIVE AND THE UNDP COUNTRY OFFICE

1. **Geographic focus**—UNDP should reorient its principal focus to secure provinces, with a view to demonstrating a development dividend. It should encourage bilateral donors to do the same, even if these provinces are outside the purview of their Provincial Reconstruction Teams (PRTs). Such a focus has the added advantage of rendering it easier to effectively monitor implementation, raising the overall reputation of UNDP programmes.
2. The duration of future country programmes in Afghanistan as well as of capacity building programmes should be commensurate with

their longer term objectives. The current emphasis on two to three year programmes is insufficient to achieve the expected development outcomes. UNDP Afghanistan should also undertake a systematic review of its existing projects to eliminate or reorient those not focused on the achievement of UNAMA objectives.⁶

3. UNDP should widen its emphasis in governance from **‘state building’ to ‘nation building’**, developing the role of civil society organizations alongside those of the institutions of state. UNDP should focus more on creating a conducive environment for civil society organizations, with a view to: creating an additional voice for the general public between elections; providing a source of checks and balances; creating legal and institutional protection for advocacy NGOs; developing policy and advocacy capacity outside government; and developing greater professionalism in civil society organizations.
4. **Capitalizing on experience and generating value added**—Experience gained in other post-conflict settings and in nation building by UNDP and other organizations should be brought to bear through greater involvement of key parts of the organization in which substantive expertise resides. Drawing on its regional centres, BDP and BCPR, UNDP should urgently mount interdisciplinary missions to help the government and UNDP define comprehensive strategies and approaches in the following areas: economic growth, pro-poor development and sustainable livelihoods; and development of civil society as an integral part of a broader governance strategy for Afghanistan.
5. UNDP should create a technical advisory team within the country office that reports to the Country Director, providing regular support to the SRSG and Deputy SRSGs as appropriate. It should be composed of

⁶ This evaluation has made a cursory attempt to identify low priority projects.

highly experienced, qualified experts in the following disciplines: a macroeconomist with a strong background in pro-poor monetary and fiscal policy development; a governance specialist with strong experience in local governance and institutional change in a post-conflict environment; a peace-building and conflict adviser; a labour economist or specialist in sustainable livelihoods; a constitutional or human rights lawyer with strong comparative legal experience; and a rural development specialist with hand-on experience in the bottom-up management of multidisciplinary rural development programmes and the development of demand-oriented rural development policies.

6. Building on the Kandahar Model, UNDP should promote gradual decentralization of decision making, budget management and service delivery by all institutions of the government. Rather than the current emphasis of the application of this model as a modality for insecure provinces, the model should be replicated and applied to secure provinces to demonstrate a peace dividend.
7. If UNDP is to continue to perform an administrative role on behalf of bilateral donors in the immediate post-conflict period, it urgently needs to increase its flexibility, responsiveness and effectiveness. It is essential that the procedures for post-conflict settings and perhaps even low-income countries under stress be streamlined. At the global level, the UNDP Bureau of Management should streamline procedures for countries in conflict without compromising accountability and transparency.
8. **Towards more sustainable programmes**—There is an urgent need for a coordinated effort, led by Resident Representative, in his capacity as the Resident Coordinator and Deputy SRSG, to develop a coordinated policy to:

- Bring coherence to the donor practice of paying government salaries and salary supplements, with the goal of reducing current levels and ensuring harmonization.
- Move away from cash incentives to civil servants, to the creation of sustainable professional and material, non-cash incentives (such as official housing). A national endowment may be created under UNAMA and UNDP leadership for the purpose in order to finance such incentives.
- Ensure that donors and the UN system move away from the too common practice of creating project implementation units that are fully or largely externally funded.

9. **Strengthening partnerships**—Greater use should be made of UN specialized organization execution in the area of sustainable livelihoods. Collaboration based on past models in post-conflict settings should be considered with organizations such as the International Labour Organization (ILO) and the Food and Agriculture Organization. Cooperation should also be enhanced with UNV by identifying volunteers with appropriate skills from developing countries with relevant conditions and twinning them with institutions and functions in the Government of Afghanistan. Such twinning arrangements could be considered with rural development NGOs or government agencies in south or south-east Asia. Emphasis should be placed on governance programmes at the sub-national level, such as NABDP and ASGP, maximizing cost-effectiveness and relevance.
10. **Programme management and coordination**—UNDP should better integrate with, and support UNAMA in development coordination, governance and peace-building, in particular establishing at least one regional liaison officer in each region responsible for:

- Coordinating with UNAMA in terms of policies and priorities and supporting joint programming, and collaborating with other UN organizations, and bilateral and multilateral donors in the region.
 - At the provincial and district level, liaising and coordinating with the government, PRTs and other bilateral and multilateral agencies.
 - Facilitating and ensuring the effective work of UNDP programming and monitoring of programme activities and ensuring coherence between UNDP projects and programmes in the field.
11. UNDP should help establish a programme to build country-level monitoring and evaluation capacity geared to identifying credible outcome indicators for UNDP interventions. This programme should have sufficient resources to collect and analyse such data on an ongoing basis even beyond the scope of any individual project, ensuring a basis for *ex post* evaluation. Realistic indicators for each thematic area and outcome area should also be identified and a baseline for each established with a view to determining trends.

Areas of thematic focus

12. **Democracy and participation**—UNDP needs to ensure that the shortcomings of past elections are directly addressed by the Independent Electoral Commission and other bodies involved in implementation. UNDP needs to ensure support to the Independent Electoral Commission in an ongoing public information campaign to communicate the remedial measures taken and to raise general public confidence in the process. UNDP should consider strengthening the capacity of select independent, non-partisan, national NGOs and media organizations, with a direct line to the Independent Electoral Commission and other bodies tasked with ensuring the integrity of elections, to monitor polling and to ensure that their views are heard.
13. To fully develop democratic participation in Afghanistan, UNDP should consider: developing capacity of human rights organizations to analyse and provide an alternative opinion or viewpoint on bills that are submitted for consideration by the National Assembly, adequately representing women’s organizations; and professionalizing media outlets that are not affiliated with political parties or warlords.
14. **Rule of law and security sector reform**—Given the ‘crowding’ of the justice sector, UNDP may consider withdrawing from the sector if its value added is likely to be limited.
15. **Government institutions**—Because of its political implications, it is recommended that the Deputy SRSG should, with the support of UNDP and with the direct involvement of the SRSG as necessary, take up the issue of the appropriate policy roles and distribution of functions between the centre of government and other agencies within the government. This can only be done after a clear set of policy recommendations are laid out along the following lines:
- To the extent possible, key inter-ministerial functions should be serviced from the relevant line institution.
 - To the extent possible, the management of inter-ministerial, cross governmental processes should not be managed by project implementation units that will not be sustainable and undermine line capacities in the long run.
 - Adhere to the guidelines recommended in the section on sustainability regarding the payment of salaries or salary supplements to civil servants.
16. **Sustainable livelihoods**—UNDP urgently needs to leverage its involvement in both the Independent Directorate for Local Governance (IDLG) and MRRD under the ASGP and NABDP programmes and to systematically learn from experience gained

with the Kandahar Model to foster more decentralized approaches and ensure local ownership of programmes, greater efficiency and sustainability. Much can be learnt from the design of area development programmes operated by UNDP in other post-conflict settings.

17. **Aid coordination and management**
—Recognizing the lead role of UNAMA in coordination, UNDP and UNAMA need

to clarify their respective substantive roles in support of that coordination function under the ANDS and Joint Coordination and Management Board (JCMB) process at all levels. UNDP should position itself to provide substantive support for the preparation of strategy and policy papers and of UNAMA strategic positioning in this regard.

Chapter 1

THE EVALUATION

1.1 RATIONALE FOR THE EVALUATION

The purpose of this ADR⁷ is to: evaluate the results of the UNDP country programme in terms of its contributions to overall development outcomes in Afghanistan and to provide substantive support to the Administrator's accountability function in reporting to the Executive Board; support greater UNDP accountability to national stakeholders and partners; serve as a means of quality assurance for UNDP interventions at the country level; and contribute to learning at corporate, regional and country levels. The Afghanistan ADR was conducted in line with the Executive Board decision 2007/24.

In addition, the objectives of the Afghanistan ADR include providing the following: an independent assessment of progress in achieving the intended outcomes contained in relevant UNDP programming documents; an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context including the process of transition from conflict to lasting peace; and key findings, key lessons and a set of forward-looking options to take into account in the preparation of the next country programme.

1.2 METHODOLOGY

1.2.1 OVERVIEW

This evaluation covered the period 2006 to 2008⁸ and, for the sake of contextual and conceptual consistency, extended its review of UNDP activities to the entire period following 'Operation Enduring Freedom', spanning 2002 to 2008.

The principal focus of the evaluation was a results-based assessment of UNDP contributions to overall national development. Results were defined as 'outcomes', or the effects of one or multiple outputs on processes or development conditions in a sector or thematic area. Specifically, they were defined as followed: "actual or intended changes in development conditions that an intervention seeks to support. The contribution of several partners is usually required to achieve an outcome."⁹

Attribution, or precise causal linkage between UNDP outputs and perceived outcomes, may be difficult to determine, particularly in a complex environment. Throughout this evaluation, it was assumed that direct and indirect partnerships were essential to the achievement of outcomes. Evaluation of the contributions of partners was not within the mandate of the mission. However, efforts were made to consider the contextual setting and ways in which it influenced UNDP outcomes, strategic relevance and positioning.

⁷ See Annex I for the full terms of reference.

⁸ The evaluation was undertaken by Erin McCandless, Peace-building Specialist and Senior Consultant, Abacus International Management L.L.C.; Mohammad Seed Niazi, Head, Civil Society Advocacy Unit, Foundation for Culture and Civil Society; and Rajeev Pillay, General Partner and Governance Specialist, Abacus International Management L.L.C. (Team Leader). Fabrizio Felloni was the task manager within the evaluation office. The ADR benefited from an external review by Caroline Heider, Director of the Evaluation Office of the World Food Programme and John Telford, Consultant and International Humanitarian Assistance Specialist.

⁹ 'Evaluation Policy of UNDP, Executive Board of the United Nations Development Programme and of the United Nations Population Fund', DP/2006/28, June 2006.

As a part of its assessment of development results, this evaluation also covered the following dimensions of performance:

- **Relevance and strategic positioning**—In the context of an integrated UN mission based on a Security Council mandate, this was assessed within the framework of how the programme positioned UNDP to contribute to the achievement of the international community’s objectives represented in international declarations, national programmes and UN decisions or resolutions. The quality of integration with the UN mission was therefore considered.
- **Effectiveness**—The extent to which the UNDP programme achieved its intended results as stated in its programming documents.
- **Efficiency**—The cost effectiveness and timeliness of the programme.
- **Responsiveness**—The extent to which the UNDP programme sought and was able to, address changes in the development environment.
- **Equality**—The distributive aspects of the programme between geographical areas of significance, by gender, by ethnicity and by income level for effective vulnerability and poverty reduction.
- **Sustainability**—Whether or not the outputs and outcomes of UNDP programmes were sustainable beyond the lifetime of the UNDP assistance.

Management practices and modalities have a substantial effect on UNDP performance and are extremely important in a programme as large as the one in Afghanistan. Breaking with standard practice on ADRs, the evaluation team felt it was important to review key aspects of programme management and their effects on performance and stakeholder perceptions. The evaluation also broadly assessed aid coordination and the UNDP role in supporting the Deputy Special Representative of the Secretary-General (SRSG) of UNAMA and the government in their coordination functions.

Mindful of the peace-building dimensions of what the international community is attempting in Afghanistan, the evaluation team also considered how UNDP is integrating conflict and peace concerns into its work at both the programme and strategic levels. This dual approach included: generally assessing the ways in which UNDP programmes are taking conflict issues into account, and broadly identifying illustrative ways in which UNDP programme activities might be therefore contributing to conflict or peace by design or intended or unintended effects; and considering the ways in which UNDP is strategically contributing to broad peace-building aims and activities within the wider UNAMA efforts and identifying gaps where UNDP could become more strategically relevant in addressing factors fuelling conflict in Afghanistan.

1.2.2 FRAME OF REFERENCE FOR THE EVALUATION

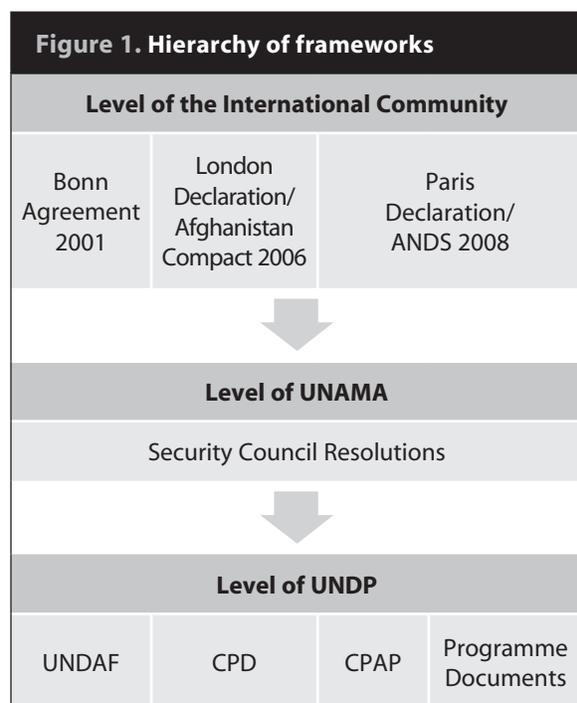
In keeping with UNDP guidelines for ADRs, this evaluation assessed development results in the areas targeted by UNDP based on the understanding that development results at the national level, or lack thereof, are the product of partnerships with other stakeholders and not solely attributable to UNDP. In the case of Afghanistan, the political dynamic and the importance of certain large players—national and international—render this a particularly important feature to bear in mind. Therefore, every effort was made in this evaluation to place UNDP interventions within the broader context of the international effort to support Afghanistan’s transition to peace and stability.

Establishing a clear evaluative frame of reference proved a challenge, as the definition of programme objectives, thematic areas of focus and intended outcomes have been continuously redefined and repackaged over the period in question (2002 to 2008).

In light of this and because the country office had not been monitoring outcome data based on any of the various iterations of outcomes over the period, the evaluation team attempted

to define the conceptual framework based on the objectives of the international community, UNAMA and the way in which UNDP programme officers defined their objectives and intended results.

Figure 1 outlines a logical hierarchy of frameworks. The UNDP programme in Afghanistan is operating within the framework of an overall effort by the international community and the UN system to move the country from a protracted period of armed conflict to stability, development and sustained peace.



Although there is no single overriding strategy for the international community in Afghanistan and the priorities of the international community

have evolved over time, the team evaluated the relevance and strategy of the UNDP programme with reference to the conflict context and these broader aims. The following international agreements lay out elements of the international community’s evolving objectives and, following the formation of an elected government, national objectives for the period in question.

The Bonn Agreement of 2001¹⁰—This agreement focused on short-term political measures including the establishment of an interim administration, convening of a *Loya Jirga*¹¹ and establishment of a court system. The *Loya Jirga* was to determine the nature and functions of transitional authority and oversee the establishment of a Constitutional Committee.

Afghanistan Compact¹² of 2006—This identified the three critical pillars of security—governance, rule of law and human rights, and economic and social development—and a fourth, cross-cutting objective of the elimination of the narcotics industry. It also identified more than 40 benchmarks. From a developmental standpoint, the benchmarks included counter narcotics, strengthening national and border police, disbandment of illegally armed groups, mine action and ammunition, public administration reform, anti-corruption, Parliament, elections, gender, rule of law, roads, energy, mining and natural resources, water resources, urban development, environment, primary and secondary education, higher education, skills development, health and nutrition, agriculture and livestock, comprehensive rural development, poverty reduction, humanitarian disaster response, employment of youth and demobilized soldiers, vulnerable groups, financial management, private sector development and trade, financial services and markets.

¹⁰ ‘Agreement on Provisional Arrangements in Afghanistan Pending the Re-Establishment of Permanent Government Institutions’, December 2001.

¹¹ *Loya Jirga* is a Pashto expression meaning ‘grand council’, a political meeting to decide important political matters and disputes.

¹² ‘Building on Success: The London Conference on Afghanistan; The Afghanistan Compact’, January 2006.

The Paris Declaration of 2008¹³—This forum endorsed the ANDS with the following three priorities: security; strengthening institutions; and strengthening economic growth, especially agriculture and energy. It also highlighted the importance of daunting challenges in the areas of law enforcement and rule of law, government capacity, development, private-sector growth and personal security for all citizens. It identified 11 key elements for security and prosperity:

- Strengthening democracy (especially the holding of elections)
- Support to ANDS
- Stimulation of investment in infrastructure (especially agriculture and energy)
- Opportunities through private sector growth
- Improved delivery of services
- Improved aid effectiveness and tangible benefits to all Afghans
- Combating of corruption
- Intensification of counter-narcotics efforts
- Ensuring civil society participation in nation-building
- Promotion of the respect for human rights
- Strengthening of regional cooperation

In this context, the ANDS highlighted three principal areas of focus: security; governance, rule of law and human rights; and economic and social development.

The Security Council Resolution 1806 of 20 March 2008—This extended the UNAMA mandate for one year and emphasized the following in addition to the functions identified in earlier resolutions:

- Promotion of more coherent support by the international community to the Government of Afghanistan

- Strengthened cooperation with the International Security Assistance Force (ISAF)
- Political outreach through a strengthened and expanded presence throughout the country
- Good offices in support of Afghan-led reconciliation programmes
- Improved governance and the rule of law and to combat corruption
- A central coordinating role for UNAMA to facilitate the delivery of humanitarian aid
- Monitoring of the human rights of civilians and coordination of human rights protection
- Support to the electoral process through the Afghan Independent Electoral Commission
- Support to regional cooperation in working for a more stable and prosperous Afghanistan

Ultimately, UNDP performance needs to be assessed in terms of its contributions to these national objectives at both the strategic and programmatic levels and whether or not these contributions have both national legitimacy and international endorsement in a development environment that is dominated by ODA. Principal programming instruments used by UNDP—the UNDAF, Country Programme Document, CPAP and programme documents—need to be viewed within this context.

The creation of UNAMA and an integrated office setup with two Deputy SRSGs—one of whom is responsible for Development and Humanitarian Operations and is also the Resident Coordinator and Humanitarian Coordinator, and the other for Political Affairs and increasingly for governance programmes—implies an evolution of the UN peacekeeping model to one in which the developmental and humanitarian underpinnings of the quest for peace and security are viewed as an integral part of any major peacekeeping

¹³ 'Declaration of the International Conference in Support of Afghanistan', Issued Under the Authority of the Three Co-Chairs: The President of the French Republic, The President of the Islamic Republic of Afghanistan and the Secretary-General of the United Nations, Paris, France, 12 June 2008.

operation. This further reinforces the need to evaluate UNDP programme activities within the framework of the peace process and the instruments outlined above. UNDP assistance must therefore be evaluated within a conceptual frame of reference that stresses the primacy of support to UNAMA and the broader objectives of the international community and the transition from armed conflict to peaceful development.

This frame of reference was used by the evaluation to assess UNDP strategic positioning, the design and priorities of UNDP programmes, and how the programmes are structured, operationalized and implemented. In addition to assessing the attainment of results within the framework of the programmes' stated plans, the evaluation also assessed more fundamental choices made in the design and deployment of UNDP assistance.

Because of the size and complexity of the Afghanistan programme, the team also evaluated management issues such as coordination, implementation modalities, decision-making processes, capacities and their deployment, partnerships and their nature, and processes established to ensure national ownership and sustainability.

The evaluation was also conducted bearing in mind the conflict dimensions of UNAMA work and the way in which they intersect with and define UNDP development priorities.

The ADR is intended to assess results at the outcome level. In addition to the Country Programme Document, there are various iterations of the programme structure in successive CPAPs, and several may even involve creative

Table 1. Programme outcomes¹⁴ (as of 2007)

Outcome	Intended outcome
Outcome 1	State capacity enhanced to promote responsive governance and democratization
Outcome 2	The democratic state and government institutions strengthened at national and sub-national levels to govern and ensure the delivery of quality public services including security, with special attention to marginalized groups
Outcome 3	Access to justice and human rights improved through capacity building of justice institutions and rights awareness campaigns for local communities and vulnerable groups (women and disabled)
Outcome 4	People (men and women) empowered to participate in democratic and policy making process through increased access to information and awareness on constitutional rights
Outcome 5	Greater government capacity for formulating gender sensitive, pro-poor policies and programmatic targeting taking into account human development concerns
Outcome 6	Structures, mechanisms and processes in place to impact practices and projects and to ensure that a gender perspective is brought to bear
Outcome 7	Strengthened domestic economic opportunities through area-based/community led initiative, private sector partnership, trans-boundary interaction and accession to relevant trade platforms
Outcome 8	Policy/strategic frameworks established and institutional capacity built to mainstream sustainable development issues and communities empowered to undertake environment and energy activities

¹⁴ Based on the Country Programme Action Plan 2006-2009.

retrofitting. The most recent version of programme outcomes is contained in the 2007 CPAP and summarized in Table 1.

Outcomes were stated in broad terms and did not reflect the full range of intended results of the programmes as contained in the project documents. Furthermore, the outcomes had gone through a number of different iterations in response to global and regional corporate imperatives and monitoring data was largely being collected on a different basis. Disaggregating the data, which was primarily activity and output data, to extrapolate outcome-level conclusions in accordance with the categories of outcomes proved virtually impossible and largely meaningless. The evaluation team therefore opted to cluster the outcomes into five categories that fit with the main pillars of the ANDS and conform to the way in which the UNDP country office is structured:

1. **Strengthening democracy and participation**—Including Outcome 1 and covering the flagship programmes strengthening capacity to implement elections and the capacity and functioning of Parliament.
2. **State building and strengthening the institutions of state**
 - a. *Strengthening institutions for the rule of law and security sector reform*—Including Outcome 3 and covering support to the National Police of Afghanistan, the Supreme Court, and the Ministry of Justice at national, provincial and district levels.
 - b. *Public administration reform and the strengthening of state outreach capacity*—Including Outcome 2 and covering civil service reform, capacity building in the institutions of state and strengthening sub-national government.
3. **Promoting sustainable livelihoods**—Including Outcome 7 and covering both the National Area Development Programme and the CNTF that is intended to create alternative livelihoods for poppy producers.
4. **Mainstreaming of gender concerns in development**—Including Outcome 6 and support to MoWA as well as the insertion of gender concerns into the work of seven line ministries.
5. **Development management and aid coordination**—Including Outcome 8 and support to Ministry of Finance, the preparation of the ANDS, and the development of key policy and advocacy tools such as the National Human Development Report.

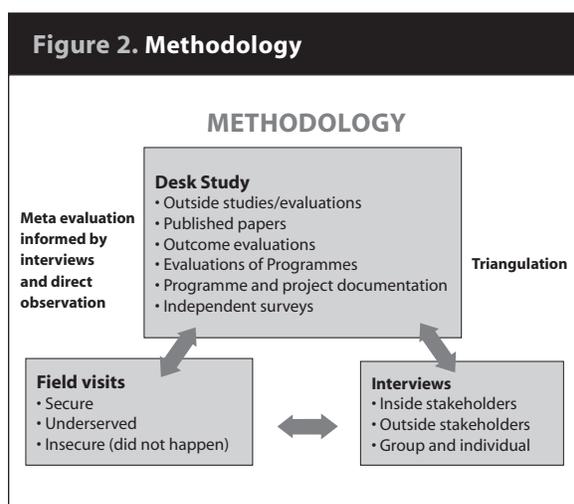
Given the limited time available for the evaluation, the mission opted not to review in depth the few programmes that were either not central to any of the above areas or had begun implementation so recently that they could not yet show results. The projects selected conformed to one or more of the following criteria:

- Important to the process of fostering peace and sustainable development in the country
- Significant in size or importance in promoting sound development policy
- Majority cost-sharing involving multiple donors
- Involved innovative modalities (at least in the context of Afghanistan)
- Involved a model or pattern of assistance that was potentially transferable

Projects reviewed in a general manner include the following: Accountability and Transparency (ACT) Programme, Afghanistan Information Management Systems (AIMS), Alice Ghan (an urban shelter for internally displaced persons), Comprehensive Disabled Afghan Programme, Greening Afghanistan Initiative, Disaster Management and Human Rights Treaty Reporting. These projects were reviewed for broad lessons learned in the topical areas and areas of effectiveness, efficiency, sustainability or equality that were relevant to the broader country programme.

1.2.3 THE PROCESS

In light of the limited time available—three weeks in country for the main mission—the ADR was based on a combination of meta-evaluation and direct evaluation techniques (see Figure 2). Using meta-evaluation, the team built on the findings and conclusions of evaluations and other studies undertaken in Afghanistan (that were primarily based on processes rather than outcomes) and sought to verify their conclusions through a process of triangulation.



1.2.3.1 Desk study

The evaluation team reviewed strategic documents that established the overall direction of development as well as the direction of UN and UNDP contributions in particular. This included Security Council resolutions, internal strategy documents produced in UNAMA, United Nations Department of Political Affairs (UNDPA) or United Nations Department of Peacekeeping Operations (UNDPKO), the International Compact, the ANDS, the Afghan national budget, the UNDAF, the country programme, the CPAP and the country programmes of other agencies. In order to assess UNDP strategic positioning, the team reviewed a range of political and development reports on Afghanistan, Economic Sector Reports of the World Bank, the reports of some of the key humanitarian agencies including the UN Office

for the Coordination of Humanitarian Affairs and UN High Commissioner for Refugees, strategy papers prepared by the UNDP office, and select articles in the media. The team reviewed relevant programme or project evaluations and sectoral and thematic evaluations that pertain to UN programmes, drawing on their analysis as well as data sets. The team also reviewed dedicated monitoring data collected by UNDP to assess performance under each of the outcomes identified in the country programme and in UNDP strategic work plans.

The meta-evaluation component drew on other thematic and programme level evaluations including the Afghanistan Case Study undertaken in connection with the ‘Evaluation of UNDP in Conflict Affected Countries’ under the aegis of the UNDP Evaluation Office and the recent evaluation of UNIFEM programme activities.

Not much monitoring data is currently being collected for the UNDP programme at the outcome level and, as a consequence, the direct evaluation was heavily based on interviews, time series monitoring data collected by UNDP on its programmes and projects, and information and data on the overall development progress of the country. With respect to information on the overall development of the country, the evaluation focused on trends in human development and human security indicators and key priorities for long-term and sustainable peace and stability. The desk study work—reviewing studies, surveys, evaluations of UNDP programmes and, more generally, development assistance to Afghanistan—was corroborated to the extent possible through an extensive interview process with stakeholders and field visits.

1.2.3.2 Interviews

The interview component covered the following:

- **Structured ‘outsider’ stakeholder meetings**—With the media, academic institutions, think tanks and civil society organizations not directly involved with UNDP programmes (but with views on the performance of UNDP, the United

Nations, the international community and the government)

- **Structured ‘insider’ stakeholder meetings**—With the UN Country Team, Senior UNAMA staff and civil affairs directors operating at the provincial level, representatives of key international organizations (European Commission, World bank) and bilateral donors, UNDP staff, project staff and counterparts
- **Semi-structured interviews**—With a range of key national actors, including government ministries, religious leaders, leading political figures; semi-structured interviews were also conducted with UNDP, UNDPA, UNDPKO, United Nations Department for Coordination, and a selection of UN funds and programme staff in New York. Similar interviews were also conducted with the Regional Bureau for Asia and the Pacific (RBAP), BCPR and BDP.

Where baseline data was not available, the team sought to establish trends at the broader national level. Where specific data did not exist, triangulation was used, asking similar questions of parties on different sides of the development partnership with a view to determining results.

1.2.3.3 Field visits

The field visit component could not, for reasons of time and security, be extensive. Each field visit was intended to last two days (with a maximum of three days). Criteria for the selection of provincial towns and surrounding district and villages to be visited were based on whether they:

- Enabled visits to multiple projects and an assessment of inter-outcome linkages
- Included programmes recognized as ‘models’ for replication, or problematic, or both
- Had transportation and communication facilities amenable to a timely turnaround

The intention was to sample at least two of the following:

- An area that was relatively peaceful and received significant volumes of assistance
- An area in which security was an overriding concern
- An area to which relatively little assistance was channelled

Field visits were undertaken to Mazar-I-Sharif, Bamiyan and their environs. A planned field visit to Kandahar was cancelled because of flight availability and security conditions that would have restricted travel to surrounding rural areas and would have required stakeholders to come to the city for interviews.

1.2.3.4 Factory in conflict

Considering conflict and peace-building at the strategic and programme level involved two steps:

- Generally assessing the ways in which UNDP programmes are taking conflict issues into account, and broadly identifying illustrative ways in which UNDP programme activities might be therefore contributing to conflict or peace by design or intended or unintended effects.
- Considering the ways in which UNDP is strategically contributing to broad peace-building aims and activities within the wider UNAMA efforts, and, in an illustrative manner, identifying possible gaps where UNDP could become more strategically relevant in addressing factors fuelling conflict in Afghanistan.

While the study did not allow time for a comprehensive conflict analysis to guide the assessment, a brief desk study was undertaken and discussed with various stakeholders working on conflict issues in Afghanistan. Indicators linked to concepts of peace-building, human security and human development were also infused into interview questions, and informed the evaluative analysis.

1.3 LIMITATIONS OF THE METHODOLOGY

The evaluation team had to compensate for several inherent limitations in the methodology adopted resulting both from process and design of monitoring and evaluation systems.

Time frame—The UNDP Programme in Afghanistan is the largest in the Asia and Pacific Region and has expended between US\$1 billion and about US\$600 million in any given triennial period since 2002. The types of issues that it addresses are complex and the conditions within which it operates are complicated and in continuous flux. Less than three weeks in-country for the main mission was too short to cover all the ground—even with sampling and meta-evaluation.

Lack of outcome evaluations—Although outcome evaluations were to have been conducted for the 2007 CPAP outcomes prior to the main mission, the country office only organized the evaluation of outcomes 2 and 5, both by the same consultant. Though the team met with the consultant, his report was not available in time to be quoted. The draft report also stopped short of a full outcome oriented, results-based evaluation. This required the team to pay greater attention to project data.

Team size and composition—The evaluation team, originally to be composed of three international consultants and a national consultant, was reduced to two international and one national consultant following security incidents that caused the sustainable livelihoods economist to withdraw.

Ramadan—The evaluation team was handicapped as the main mission had to be conducted during Ramadan, limiting the hours for national stakeholder interviews.

Failure to meet with some key stakeholders—While a large number of interviews were secured and conducted in the limited time available, the country office was unable to

set up meetings with several key people including: Justices and Clerks of the Supreme Court; the Attorney General; Speakers of the Upper and Lower Houses of Parliament; the Chief of Staff and other representatives of the Office of the President; Ambassadors or Heads of Development Sections of several key donors including the Department for International Development (DFID), India, Netherlands, United States Agency for International Development (USAID); Resident Representative of the World Bank; and Representative of the International Monetary Fund (IMF). A joint meeting requested with UN heads of agency was not organized. In addition, the SRSG was out of the country during both the scoping and main missions.

The field visit to Bamiyan was hampered by poor planning, as well as flight problems that resulted in the mission arriving in the afternoon (during Ramadan) rather than the morning. Furthermore, project staff had not effectively planned meetings with staff and beneficiaries, and the short time available was not optimally used.

Security—Security concerns and the tight schedule prevented extensive field visits at the district and village levels for more detailed verification of the evaluations and reports reviewed.

Lack of monitoring data—Perhaps most significant, although intended outcomes were clearly stipulated in the CPAP and in programme documents, the evaluation was hampered by the following:

- Absence of baseline data in any of the outcome or thematic areas
- Lack of consistent attempts to identify and collect data on outcome indicators by the country office or projects
- The programme period of the only formal country programme (2006-2008) during the period under review was too short to be reasonably expected to result in the

achievement of the expected outcomes, many of which were stated in institutional, capacity building terms

Evaluating change in a conflict context

—Programmes in conflict settings are challenged by complex, rapidly changing conditions that inhibit the setting of clear, measurable targets rooted in an agreed strategy for social

change. Evaluation presupposes this clarity in its attempts to assess the quality and effectiveness of programmes. At the strategic level, the problem of context and causality presented a particular challenge, given the range of actors with competing interests and the lack of a clear, agreed strategy for moving Afghanistan from conflict to stability, development and peace.

CONTEXT AND DEVELOPMENT RESULTS

2.1 POLITICAL TRENDS AND KEY MILESTONES

Since the Bonn Agreement of 2002, Afghanistan has gone through a period of hope and positive expectation that reached its peak following the Presidential and Parliamentary elections in 2005.¹⁵ The peace process can demonstrate numerous successes: the creation of a transitional government, the holding of Presidential and Parliamentary elections, the disarmament and reintegration of troops, the disbandment of many illegally armed groups, early elements of civil service reform, strengthening of key institutions of the justice sector, and reform of the police. UNDP has played an important part in each. Yet each has been flawed, albeit to varying degrees. Each has also been pursued by the international community as a practical checklist of accomplishments that fails to allow time and resources to ensure the substantive nature of these achievements. This has resulted in shortcomings.

Under President Hamid Karzai, the central government wrested a degree of control from the warlords and unelected leaders in the provinces by promising to allow them to participate fully in the running of the new Afghanistan within the official framework of its new institutions. This enabled the warlords and other tribal, ethnic and religious leaders to either enter the cabinet in key positions of power or to stand for election to the National Assembly with the unenforceable proviso that they should relinquish their arms and disband their militias and armed groups. Far from sidelining them, this arrangement has enabled these leaders to continue to exert control in the provinces while simultaneously exerting

their authority from within the institutions of state. In order to accommodate the more powerful players, they were allocated ministries, leading to the distribution of key line ministries to rival factions and to inevitable institutional rivalries within the government. These institutional rivalries have resulted in an increasing number of priority functions being retained at the centre of government in the Office of the President.

While expedient from a political standpoint, the accords have resulted in little state power beyond Kabul and negatively affected the legitimacy of government in the eyes of the public. The agreements were widely viewed as not only granting impunity to some of the worst perpetrators of war crimes and human rights violations but also preserving their influence. The imperative of consolidating the power of the central government in the wake of a protracted civil war and armed conflict (characterized by the fragmentation of power centres to the local provincial and sub-provincial levels) has resulted in a highly centralized mode of operation where virtually all resource allocation decisions, revenues remitted, and budgets and administrative process are managed in Kabul.

Key mistakes have been made, including not dealing decisively with the commanders and warlords in the short window of opportunity that presented itself following convening of the *Loya Jirga* in 2002. Responsibility for this has been largely placed upon the President, but the major power in Operation Enduring Freedom was also reluctant to bring to book allies in the war on the Taliban and involve itself in the complex tasks of long-term nation building. In addition, the

¹⁵ For a summary of key events in the recent political history of Afghanistan since the Bonn Agreement, see Annex 3.

international community's tendency to deal with post-conflict recovery phases based largely on the architecture of aid agencies and funding sources resulted in a failure to address institutional capacity and systemic weaknesses in key institutions of governance, the rule of law and justice sectors, and sustainable livelihoods in a coherent manner for the first three years following Bonn.

The resulting vacuum both at the centre and in the provinces has facilitated the return of the Taliban and other insurgents. Many provinces that were in the 'green belt' of security in 2005 are now either 'yellow' or 'red', and the situation continues to get more complex. Opportunities to demonstrate a peace dividend in the form of development benefits are being lost as those parts of the country that are peaceful, have eradicated poppy cultivation and have brought illegally armed groups under control are overlooked in terms of development and humanitarian assistance in favour of those parts of the country where the insurgency is rife.

Insurgent tactics and strategies are shifting. In 2006 and 2007, the principal approach appeared to be small-scale asymmetric tactics including improvised explosive devices, suicide bombings, assassinations, and kidnappings. There were 160 suicide attacks in 2007, with another 68 thwarted attempts, compared to 123 actual and 17 thwarted suicide attacks in 2006.¹⁶ In 2007, the level of insurgent and terrorist activity increased sharply from the previous year. An average of 566 incidents per month was recorded in 2007, compared to 425 per month in 2006. Of the more than 8,000 conflict-related fatalities in 2007, more than 1,600 were civilian. Incidents of this type have continued to increase in 2008 and many are now being registered in areas previously classified as secure including Herat, and the provinces immediately surrounding Kabul such as Wardak, Logar and Parwan. Some of these attacks were geared to demonstrate growing influence. The increase in the number of attacks against local and

international humanitarian workers has been of particular concern. More than 40 convoys delivering food aid for the World Food Programme were attacked and looted in 2007. In more than 130 attacks against humanitarian programmes, 40 humanitarian workers were killed and 89 abducted, 7 of whom were later killed by their captors.

The government and international community's control over access to key cities such as Kandahar and Jalalabad has declined. Conservative Islamic groups, including the Taliban, can be found in community-level institutions as well as local government in many districts. It can no longer be assumed that democracy and participation will lead to a decline in conservative Islamic ideology. Alienation through the protracted developmental and political vacuum at the local level could easily result in activist Islamic conservative groups being elected to power and increasing their influence over the lives of people, including the extension of essential economic opportunities.

It is clear that conflict has returned to Afghanistan. Development and humanitarian assistance needs to be more closely integrated and coordinated with political and military strategies than ever before if post-invasion stabilization and recovery are to be a success and if there is to be any hope of an eventual exit for ISAF, the coalition forces and UNAMA. Coordination must therefore be not merely within the framework of development of humanitarian cooperation, but within a broader context including political and military initiatives.

2.2 NATURE OF THE CONFLICT

In the sixth year following the Bonn Agreement, prospects for peace in Afghanistan are increasingly tenuous. Although the Afghan National Army, which currently has more than 49,000 troops, has received training, insurgents under the Taliban continue to make inroads and the peace process

¹⁶ 'The Situation in Afghanistan and its Implications for International Peace and Security: Report of the Secretary-General', A/62/722-S/2008/159, General Assembly and Security Council, 6 March 2008, pages 3-4.

has never, at least formally, included them. The Afghan National Police (ANP) have begun to establish a presence in areas previously controlled by insurgents, but an increasing number of the 376 districts—including most districts in the east, south-east and south—remain largely inaccessible to Afghan officials and aid workers. Afghanistan remains divided between the generally more stable west and north (where security problems are linked to factionalism and crime) and the south and east, which is characterized by an increasingly coordinated insurgency.

Afghanistan's historical and contemporary conflict and security context is complex, with deeply ingrained divisions that have metamorphosed over a period extending at least as far back as the fall of the monarchy in 1973. Originating in conflict over access to and control of resources and institutional power bases with a strong overlay of ethnic and language divisions, the conflict in Afghanistan has been exacerbated by external interventions during the past 30 years.¹⁷ Between the overthrow of the communist regime in 1992 and the installation of the Transitional Authority in 2002, the war afflicting the country was largely, although not exclusively, an ethnic one among Pashtuns (Hezb-i-Islami/Taliban), Tajiks (Jamiat-e Islami), Uzbeks (Junbish-I Milli-yi) and Hazaras (Hezb-i-Wahdat). Recent elections have witnessed some of the same ethnic divisions, with most people voting for candidates from their ethnic group,¹⁸ although this may be in large part due to the influence of local militia that continue to be established along ethnic lines.

Presently, there are several separate, but interrelated, conflicts underway:

- **Taliban-led insurgency**—Not integrated into the peace process, the Taliban are pursuing a strategy of destabilization

and subversion that has grown more confrontational and overt in the past couple of years with a view to exhausting the Coalition and returning the country to Taliban rule. The Taliban are conducting hit-and-run attacks on the government and ISAF forces and are supporting their operations by taxing opium production and controlling trade networks in territories that they and their allies are holding onto to fund the insurgency. The insurgency, backed by foreign and Al-Qaeda groups, is operating within Afghanistan and from the tribal areas of Pakistan and Eastern and Southern Afghanistan. While its stronghold has been in the south and the east, its reach is expanding and the insurgency is (in the view of several analysts) in the process of encircling important cities such as Kabul by cutting off all major road access.

The insurgency is believed to consist of four segments comprising people with different motives and orientation: *hardcore extremists*, who categorically reject the elected government and western presence and who are directing the campaign against Afghan security forces from Pakistan; *cross-border fighters*, recruited primarily from within the Afghan refugee community, who are joined by Pakistani and some foreign fighters linked to *madrassas*¹⁹ and have trained in Pakistan in combat and suicide operations; *other internal fighters*, including jobless and landless youth from Afghanistan's Pashtun belt, who would likely abandon insurgency in return for jobs and education; and *alienated tribal and religious groups*, who have been marginalized for various reasons in the post-Bonn era and are not opposed to the government in ideology or principle but have entered into a tactical alliance with the Taliban. All indications are that the Taliban continue to be supported financially and logistically from abroad.²⁰

¹⁷ Perhaps the strongest influences have come from the (former) Soviet Union, the United States, Pakistan, the Gulf States, Iran and India.

¹⁸ Economist Intelligence Unit, 'Afghanistan Country Profile', 2007.

¹⁹ *Madrassas* are Islamic schools.

²⁰ UNAMA, CFC-A, ISAF, 'Who is Fighting and Why?', Afghanistan, 4 July 2006.

- **Foreign fighters committed to creation of an Islamic State**—This group essentially consists of Al-Qaeda and its operatives, in a marriage of convenience with the Taliban since the 1990s, soon after the civil war broke out. This group shares a similar general ideology and objectives, and therefore can also be considered a factor fuelling the Taliban resistance. At the same time, it has been pointed out that the ‘home grown’ groups are much more concerned with national interests than the global *jibadi* of ‘foreign groups’.²¹ The structural and organizational roots of Al-Qaeda can be traced back to the Soviet invasion and are very much a product of Western and Arab government involvement, much like the *mujabideen* and the Taliban.
- **Baluchi separatist movement in the south-west, linked to drugs trade through Iran**—The Baluchi separatist movement originated in the Pakistani province of Baluchistan, which borders several provinces in the south-west of Afghanistan, including Nimruz, Helmand and Kandahar. The conflict in Baluchistan is deeply rooted in the rise of Baluch nationalism that erupted in a full-scale insurgency in the 1970s. Its porous borders facilitate the transportation of illicit drugs and arms. It has also been alleged that Baluchistan has been used as a sanctuary and recruiting ground for the Taliban in an attempt to undermine state building in Afghanistan. Pakistan has accused Afghanistan of harbouring Baluchi separatists and allowing cross-border raids.
- **Kuchi nomad and settler clashes**—This group predominantly consists of Sunni Kuchi nomads who place their homeland in Bamyan province. While they did not trek to this area for 30 years during Soviet and Taliban rule, they now come each summer from the east and the south to graze their cattle. In 2008, 40 to 50 people were killed

and 3,000 were displaced by clashes that ensued when Kuchis encroached on land now owned or settled by others.

In addition to the above, there are localized conflicts in several other areas of the country, many of which are linked to and cut across these larger conflicts, illustrating the very integrated nature of Afghanistan’s conflict-development challenges. Underlying and fuelling many of these conflicts is the criminalization of economic activities in a ‘war economy’, contributing to banditry and conflict over smuggling routes and drugs trade that is fuelling conflict and undermining the formal economies of neighbouring states. While there are still approximately 1,600 illegally armed groups, many of which are tied to warlords operating at different levels of government, it is believed that these are increasingly less factional and now primarily of a criminal nature. At the same time, if powerful actors remain involved in illicit economic activities and political decision-making and power-sharing governance mechanisms, this could undermine the legitimacy of the state and Afghanistan’s stability.

The environment creates a vicious cycle of insecurity where individuals and groups resort to armed conflict to settle disputes, preserve territory, and collect rents and illegal taxes. This, in turn, undermines the investment climate for economic growth. External influences continue to strengthen some groups and support their regional agendas by using them as proxies. Insecurity and poor infrastructure limits the physical access necessary to extend stability, strengthen institutions and foster development in rural areas.

Factors currently fuelling conflicts that are part of the development context are noted in Box 1. It is important to underscore that the complexity of conflict in Afghanistan, involving multiple overlapping and interacting levels and types of conflict, prevents ready categorization between

²¹ Cooperation for Peace Unity, ‘Working on Conflict: Discussion Paper for Working on Conflict in Afghanistan’, Carried out for Action Aid, Afghanistan, June 2008.

Box 1. Summary of factors fuelling violent conflict in Afghanistan

- Weak state institutions challenged by severe human, financial and institutional resource constraints, and widespread corruption undermining the credibility of state institutions.
- Militias and criminal networks led by warlords that serve as substitute forms of governance, undermine security and prevent development.
- Outside influences, interests, and safe havens (particularly in Pakistan and Iran) for anti-government elements in Afghanistan, and the use of Afghan territory as a base for those fighting wars in neighbouring countries (such as Uzbekistan, Tajikistan and Kashmir).
- Availability of small arms, with ready use of arms as a means of conflict resolution and related societal insecurity.
- Domination of illicit economic ventures including the drug trade to fund everything from militias to local services and social support networks.
- Absence of viable job opportunities, exacerbated by an economic environment that is not conducive to the creation and promotion of sustainable livelihoods.
- Scarcity and illegal or contested allocation or ownership of, or access to, resources. These are often particular to land and water and compounded by natural disasters or broken down traditional, statutory or community controls, often supplanted by influence of local warlords or power brokers.
- Exclusion along ethnic lines that manifests in imbalances in access to education, ownership of resources, access to power, and expression of culture.
- Regional and international interests that support their proxy groups inside Afghanistan, some ideologically aligned to the Taliban. This is despite the signing of the 'Good Neighbourly Relations Agreement' of December 2002.

'root' and 'proximate' causes of conflict. The concept of 'conflict factors' is a dynamic concept, recognizing the challenges of establishing causality and acknowledging the fact that the original causes of war may well be transformed in conflict and that consequences of conflict and war may continue to represent barriers to stability.²²

Despite global recognition of the need to pursue security and development objectives in an integrated and complementary manner, military assistance has vastly outweighed development assistance, at a ratio of 10:1 in Afghanistan. This asymmetry is also reflected in government strategies.²³ Moreover, great improvement is needed in

terms of integrating and coordinating efforts. As noted, Afghanistan's conflict factors cut across security, political, economic and social lines, interacting at different levels and reinforcing one another—underscoring why the need for integrated approaches to addressing them are so vital.

2.3 INSTITUTIONAL TRENDS AND KEY MILESTONES

A recent study of state weakness prepared by the Brookings Institution,²⁴ places Afghanistan second only to Somalia as the weakest of 141 developing countries in the world in an index of state

²² This notion has been adopted by the UN Mission in Liberia as well as the Government of Liberia, and is used by the World Bank (as of 2005).

²³ World Bank 2008:60.

²⁴ Rice Susan E. and Stewart Patrick, 'Index of State Weakness in the Developing World', Brookings Institution, Washington DC, 2008.

weakness (Afghanistan falls immediately below Iraq and the Democratic Republic of Congo on the index). The index ranks 141 developing countries according to their relative performance in four critical spheres: economic, political, security and social welfare. Weak states are defined as countries that lack the essential capacity or will to fulfill four sets of critical government responsibilities: fostering an environment conducive to sustainable and equitable economic growth; establishing and maintaining legitimate, transparent and accountable political institutions; securing their populations from violent conflict and controlling their territory; and meeting the basic human needs of their population. The study measured state weakness according to each state's effectiveness in delivering on these four critical dimensions.

Yet there have been important achievements in governance since 2002. The following are among the most significant, and as discussed in this evaluation, UNDP has contributed to each:²⁵

- **Democracy and participation**—In June 2002, the Emergency *Loya Jirga*, made up of 1,550 delegates from 381 districts, including 200 women, appointed the 35-member constitutional *Jirga*, which drafted the permanent constitution. The first Afghan Constitution in 30 years was ratified by the December 2003-January 2004 Constitutional *Loya Jirga*. Of all eligible voters, 75 percent participated in the first free and democratic Presidential elections that were held in October 2004 and elected President Hamid Karzai. The current Parliament was elected in September 2005 along with 34 Provincial Councils; 51 percent of registered voters participated in the 2005 Parliamentary and Provincial Council elections. There are now more than 100 political parties registered in the country, although none are particularly well developed.
- **Governance**—A total of 33 ministries and agencies have gone through the Priority

Reform and Restructuring process to date (19 ministries and 14 independent agencies). In the second quarter of 2008, the National Assembly approved a number of laws and agreements, including the labour law, the mines law and the cooperatives law. The execution rate of the national core development budget has almost doubled in two years, from US\$458 million in 2004-2005 to US\$980 million in 2007-2008. The government's Aid Policy has been finalized and a Harmonized Reporting Format introduced as the comprehensive reporting toll on external assistance. A national framework on capacity development of common functions has been implemented, with the Ministry of Finance leading on finance and procurement and the Civil Service Commission leading on human resources functions.

- **Budget**—Successful currency reform and strong budget management have resulted in a stable exchange rate and a progressive decline in the inflation rate. Total budgetary revenue has grown from US\$129 million in 2002-2003 to US\$573 million in 2007-2008, and the percentage of legal gross domestic product (GDP) is approaching the Afghanistan Compact benchmark of 8 percent and now stands at 7.5 percent. In fiscal year 2007-2008, the contribution of domestic revenue to the recurrent budget was 58 percent (excluding US\$100 million used for the development budget), while the 68.2 percent shortfall in the core development budget was covered by external assistance. Real GDP growth has averaged 14.8 percent in the last six years, with GDP reaching US\$6.3 billion in 2007-2008. The inflation rate was 4.8 percent in 2006-2007. Foreign debts and claims inherited from the pre-conflict and conflict periods were cleared through grants from bilateral donors in 2002 and early 2003, enabling resumed lending.

²⁵ UNAMA statement of key achievements delivered at the International Conference in Support of Afghanistan, Paris, France, 12 June, 2008.

- **Justice institutions**—In May 2007, the three Justice institutions (Attorney General, Ministry of Justice, Supreme Court) with the help of the ANDS, jointly developed the National Justice Sector Strategy and the National Justice Programme, which is being funded by donors. In August 2007, a new Supreme Court was approved by Parliament. On 21 July 2007, the Supreme Court adopted a new Code of Judicial Conduct based on the internationally recognized Principles of Judicial Conduct and establishing ethical standards. In parallel, the Peace, Reconciliation and Justice Action Plan—known as the ‘transitional justice action plan’—was launched in December 2005 to address cases of human rights violations and war crimes.
- **Human rights**—The new Constitution guarantees basic human rights that had been systematically violated under the Taliban regime and earlier. The Afghan Independent Human Rights Commission was established in 2002 to promote, protect and monitor human rights. In 2007, 30 hospitals in 30 provinces were monitored for violence against women, and 48 orphanages and 28 child correction centres across the nation were monitored for cases of abuse and unsuitable living conditions. The Afghan Independent Human Rights Commission also established a team of special investigators to monitor the situation of Afghan civilians affected by the armed conflict, calling on all parties to fully comply with international humanitarian law. Among the 1,079 complaints received by the Afghan Independent Human Rights Commission during 2007, involving 1,561 violations, 904 complaints were investigated and 458 interventions led to resolution.

However, despite the introduction of results-based performance appraisal and selective recruitment, the performance of ministries has had to improve through the creation of parallel structures, staffed with trusted officials and international advisers, both generally funded through aid programmes rather than deep and lasting institutional reforms.

Political and security concerns have affected trends in governance and institutional development. Immediately following the *Loya Jirga* in 2002, and in the absence of strong military backup from the United States who had secured the allegiance of many key warlords during Operation Enduring Freedom, the interim Karzai Government sought to secure its role by pursuing the political allegiance of key warlords and playing off sub-warlords against major warlords through creative alliances in order to wrest authority from the provincial level (where the warlords were in control) to the centre, where his government stood a chance of establishing the authority of the state. Part of the arrangement from an early stage was the divvying up of ministries and other key positions to secure acquiescence. This has had several lasting effects:

- The ‘embedding’ of conflict as part of the stabilization and reconstruction process²⁶
- The creation of fiefdoms within government, with ministries split between competing warlords or their political parties and the few ministries in the hands of technocrats
- The resurgence of the power of certain warlords through a combination of formal authority within the government and a continuation of their local influence through their standing militia and clan and tribal networks
- Reduced legitimacy of the cabinet in the eyes of the general public

²⁶ See for instance, Giustozzi, Antonio, “‘Good’ State vs. ‘Bad’ Warlords? A Critique of State-Building Strategies in Afghanistan, Working Paper No. 51,” Crisis States Programme, Crisis States Research Centre, London School of Economics, London, England, October 2004.

In the wake of the Parliamentary elections of 2004, this policy was further reinforced with the active support of the international community, which supported a patently symbolic disarmament of militia geared to providing political cover and justification for allowing warlords to stand for election to Parliament. The disillusionment of the general public, which watched the election of notoriously oppressive warlords to Parliament, was palpable in 2005. Based on a cursory review of the local Afghan press and interviews with civil society organizations—including members of the media, academia and NGOs—public sentiment has clearly deteriorated into deep-seated pessimism. During the past two years, the Karzai Government has sought to use the influence of supportive former warlords to extend the influence of the state over the provinces through their appointment as Governors. The latter are unelected posts that are subject to nomination by the President and are therefore, at least theoretically, beholden to him.

These political compromises have rendered it more difficult to instill a professional work ethic in government institutions where corruption has become ingrained, according to press accounts and interviews conducted by the evaluation team. They have also resulted in a number of Islamic figures with roots in the Jihad and the *madrassas* holding positions in Parliament and even in the cabinet. This is reflected in an increasingly conservative agenda in Parliament.

2.4 HUMAN SECURITY AND HUMAN DEVELOPMENT TRENDS

According to UNAMA, there have been important achievements since the fall of the Taliban. Approximately 20,502 CDCs have been established by the National Solidarity Programme (NSP) through MRRD and are implementing community-led development projects in more than 80 percent of the Afghan settlements.

Approximately 10,800 km of rural access roads (which are all weather, village-to-village and village-to-district centre roads) have been constructed, repaired or prepared for winterization, increasing access to markets, employment and social services. More than 500,000 households (36 percent of villages) have benefited from small-scale irrigation projects, and more than 336,000 households have benefited from improved access to financial services through microfinance schemes. More than 10,119 water points have been created since 2002. In 2008, 32.5 percent of the rural population had access to safe drinking water and 4,285 improved sanitation facilities had been provided.

However, few could argue that physical human security is on the decline again and that the Taliban, or a Taliban-led alliance of insurgents, is on the rise (see Annex 4). Areas that as recently as three years ago were considered safe, such as the Province of Herat, are now considered unsafe and the 'red' zone of secure provinces is gradually shifting out of the Pashtun belt. Reliable data on civilian casualties is hard to come by, but from 2002 to 2006, insurgent-initiated attacks increased by 400 percent and deaths resulting from these attacks increased by 800 percent.²⁷

Despite the commitment of the international community to assist Afghanistan since 2002 and the clear achievements, human development in the country remains dire. A review of human security indicators and consultations with civil society and donors would suggest that the situation has deteriorated during the past two years and that Afghanistan is now at a critical turning point. While reliable opinion surveys are not available, consultations with civil society and a review of the independent press suggest a decline in public confidence in the peace process, elections, the motivation of the international community, and the government—particularly in regards to corruption and its ability to provide physical and income security and prospects for

²⁷ Jones, Seth G, 'The Rise of Afghanistan's Insurgency: State Failure and Jihad', in *International Security*, Volume 32, No. 4 (Spring), 2008, pages 7–40.

a peaceful and stable future for Afghanistan. There is now a general feeling of powerlessness among even the intellectual elite in the capital that has spawned a vibrant rumour mill where preposterous conspiracy theories can attain the status of immutable truth. This cannot bode well for the peace process or for the attainment of the objectives of the international community (see Box 2).

Box 2. Afghanistan at a crossroads

"Afghanistan stands today at a crossroads. The progress achieved after six years of international engagement is under serious threat from resurgent violence, weakening international resolve, mounting regional challenges and a growing lack of confidence on the part of the Afghan people about the future direction of their country. The United States and the international community have tried to win the struggle in Afghanistan with too few military forces and insufficient economic aid, and without a clear and consistent comprehensive strategy to fill the power vacuum outside Kabul and to counter the combined challenges of reconstituted Taliban and al-Qaeda forces in Afghanistan and Pakistan, a runaway opium economy, and the stark poverty faced by most Afghans."—**Jones James L. USMSC (Ret.) and Amb. Thomas R. Pickering (Co-Chairs), Afghanistan Study Group Report: Revitalizing our Efforts, Rethinking our Strategies, The Center For the Study of the Presidency, Second Edition, 30 January 2008.**

There is a growing crisis in rural areas due to the harshest winter in memory and a drought across much of the country. This is also fuelled by

deteriorating security, the pressure of returning refugees and rising world food prices. The limited success of the Afghan government and foreign donors in developing the country's economy has compounded the malaise. The mood in the country is darkening amid increasing economic hardship, worsening disorder and a growing disaffection with the government and its foreign backers, particularly over government corruption. Returning refugees are converging on the cities, including Kabul, because they cannot survive in the countryside, and they are easy recruits for groups bent on creating instability.²⁸

Globally, Afghanistan ranked 174 out of 178 countries in the 2007 Human Development Report (see Table 2). The human development index²⁹ (HDI) for Afghanistan for 2007 has a value of 0.345, slightly less than that of 2004 (0.346). Excluding the first two years following Operation Enduring Freedom, where GDP growth was skewed by the absence of reliable prior data and a relatively low starting point, according to IMF figures, GDP growth has averaged in excess of 10 percent for the period 2004 to 2007. Annual GDP per capita in 2005 was estimated at US\$253 by the IMF and had risen to US\$344 by 2007. Since the publication of the first Afghanistan National Human Development Report in 2004, GDP per capita has risen from US\$683 in 2002 (in purchasing power parity terms) to US\$964 in 2005. An additional 132,000 square kilometres of land was cleared of landmines in 2006. The prevalence of malaria and tuberculosis has dropped dramatically. School enrolment has grown in the past five years from approximately 900,000 to nearly 5.4 million.

Yet standard indicators of poverty show a very different picture, suggesting severe problems of distribution. Two cost of basic needs surveys

²⁸ For a recent report on this, see 'War and Drought Threaten Afghan Food Supply', *New York Times*, 19 September 2008.

²⁹ HDI is a composite index that contains three variables: life expectancy at birth, educational attainment (measured by adult literacy and the combined gross primary, secondary and tertiary enrolment ratios), and GDP per capita (measured by using purchasing power parity formula).

Table 2. Trend of HDI indicators for Afghanistan (2004-2007)

Indicators	AFG HDR 2004	AFG HDR 2007
	Value	Value
HDI	0.346	0.345
GDI	0.3	0.31
HPI	59.3	62.3

Notes: HDR indicates Human Development Report; GDI, Gender Development Index; HPI, Human Poverty Index. The Afghanistan Human Development Report of 2004 quoted HDI based on 2002 data; the Afghanistan Human Development Report of 2007 quoted HDI based on 2005 data.

conducted under the aegis of the World Bank³⁰ show that while 33 percent of the population lived under the cost of basic needs poverty line in 2005, by 2007 that figure had increased to 42 percent. Other health and nutrition indicators, such as infant mortality of 165 per 1,000 and a 39 percent prevalence of underweight children less than five years of age, reflect the extent of poverty.³¹ Approximately 6.6 million Afghans do not meet their minimum food requirements. The percentage of girls attending school has increased dramatically, but remains well below that of boys. Similarly, while levels of malaria and tuberculosis have dropped markedly, health indicators for both women and children remain exceptionally low. Female mortality rates also reflect the dire conditions. In addition, both life expectancy and adult literacy have fallen. Life expectancy at birth is estimated at 43.1 years for 2005, compared with 44.5 in 2003. Adult literacy fell from 28.7 percent in 2003 to 23.5 percent in 2005.

At 62.3, Afghanistan's Human Poverty Index rating,³² which measures the extent to which people are not benefiting from development,

is one of the worst in the world. Notably, approximately 68 percent of the population in Afghanistan lack sustainable access to clean water, and 50 percent of Afghan children under five are classified as underweight.³³

Although rural poverty is serious among settled populations and Kuchi nomads, the incidence of poverty and food insecurity is increasing most rapidly in urban areas and large city suburbs. Many informal settlements around major cities have been built to accommodate migrant workers, returnees and others. A number of recent studies have concluded that due to poor daily wages many urban workers fall into the category of the 'working poor'. Insecurity of employment leads to income irregularities and to a chronic shortage of money. Many urban poor households lack finance and are forced to take short-term loans to purchase basic needs. Income fluctuation, job insecurity and high indebtedness are characteristic of a typical 'poverty trap' for the urban poor.³⁴

The Gender Development Index, which tracks inequalities between men and women in the

³⁰ World Bank, 'Afghanistan Poverty, Vulnerability and Social Protection: An Initial Assessment', Human Development Unit, South Asia Region, World Bank, 2005.

³¹ Sources: UNDP Human Development Report, 2007; Economist Intelligence Unit, 2008; and World Bank Online Database 2008.

³² In contrast to the HDI, which portrays average achievements, the Human Poverty Index focuses on deprivations, specifically those that limit a long and healthy life, a decent standard of living, and lack of knowledge or exclusion from the world of reading and communication.

³³ For a list of key human development-related indicators see Annex 4.

³⁴ Islamic Republic of Afghanistan, 'Afghanistan National Development Strategy', Kabul, Afghanistan, 2008, pages 31-33.

same dimensions—longevity, health, education and a decent standard of living—is 0.310 in Afghanistan. This reflects inequality of opportunity for women. Afghan women face obstacles to receiving an education, holding gainful employment, and accessing health care. This index does not take into consideration the lack of access to justice, as well as the limited role of women in governance and decision making.

Despite a slight increase in its Gender Development Index since the 2004 National Human Development Report, Afghanistan still ranks below all other countries except Niger (0.292). Between June and August of 2005, a national survey³⁵ carried out with a sample of 30,822 households in 34 provinces (1,735 Kuchi, 23,220 rural and 5,867 urban) shows that the female-to-male ratio starts to decline after 24 years of age. There are higher mortality rates for women older than 24 years of age compared to those rates of men in the same age group. This appears to be related to the cumulative effect of disadvantageous conditions for women, such as lack of health facilities, poor nutrition and the frequency of marriages of girls less than 15 years of age. In contrast to its neighbours, Afghanistan presents a gender gap that favours male survival. This situation prevails, even after years of war in which male mortality would typically be higher than female mortality (see Annex 3).

The same survey found that 73 percent of the households in Afghanistan perceive that they are in a comparable or worse situation with respect to one year prior to the survey, 24 percent perceive their situation as slightly better, and only 2 percent perceive a clear improvement. The urban households had 5 percent to 6 percent more optimistic perceptions compared to rural and Kuchi households, respectively. Of Afghan households, 44 percent perceive themselves as food insecure to different degrees—28 percent of urban households perceive themselves to be food insecure, 40 percent of the Kuchi households

and 48 percent of the rural households. These perceptions tally with other findings. Out of the largest loans granted to households during the year prior to the survey, 45 percent of the urban households used them to purchase food, and approximately 65 percent of both Kuchi and rural households used them to address long-term risks of food insecurity.

Despite progress in many areas, the country is not progressing fast enough to achieve the Afghanistan Millennium Development Goals (MDGs) by 2020. The status chart in Annex 3 indicates key areas of progress and remaining challenges. As stated in the 2005 government report, 'Afghanistan's 2020 Vision', the country's prospects of achieving the MDGs hinge on successfully navigating the transition from post-conflict recovery to sustainable development and requires an investment focus that: enhances national and personal security; builds an accountable state capable of providing law and order; creates an enabling environment for the formal taxable private sector; and improves service delivery coverage through the national budget framework.

2.5 SECURITY COUNCIL MANDATE AND THE ESTABLISHMENT OF AN INTEGRATED MISSION

There are several factors that set the case of Afghanistan apart from most other post-conflict countries in which the Security Council has mandated UN missions:

- Peace in Afghanistan was not attained through a war of attrition followed by negotiation among parties to the conflict. Rather, the UN mission came in the wake of an external invasion that tipped the internal balance and left in place militarily and politically powerful groups, some of which had been co-opted into supporting the intervention of the international community. These parties do not see it in their interest to abandon their

³⁵ Islamic Republic of Afghanistan, 'National Risk and Vulnerability Assessment 2005', MRRD, Kabul, Afghanistan, 2007.

wartime sources of power and influence in favour of strong democratic institutions. In this respect, this evaluation draws parallels with Iraq and Bosnia Herzegovina rather than Cambodia, Mozambique or Namibia. As a result, the various warring parties need additional incentives to be created for them to join the peace. Past evaluations of UN peacekeeping operations have stressed the importance of the pre-existence of a peace agreement between warring factions and the importance of a perceived need on the part of the warring factions to compromise and resolve differences through peaceful means.

- External intervention has enabled some parties in the peace process to ‘box above their weight’ through the external application of influence (military, political and economic) that has tended to level an inherently uneven playing field. This reduces the number of strategic options available to the government. Under the circumstances that have existed since 2002, the government has felt compelled to compromise politically to preserve stability and influence. It has been argued that this compromise has undermined the government’s legitimacy in the eyes of the Afghan public.
- The peace process in Afghanistan is being undertaken in the context of the ‘War on Terror’ and, as a result, the willingness to engage in the building of long term institutions—true nation building—is at times perceived by some key bilateral players as a lower priority than the arrest and elimination of terrorist groups, a process that is viewed largely through a military prism.
- The UN presence in Afghanistan was, from its creation, mandated by the Security Council to be an **integrated** mission. As such, it is one of the first of its kind and a bold experiment intended to deliver political, humanitarian and development

components of UN system capacity in support of a massive international effort to stabilize, rehabilitate and reconstruct Afghanistan.³⁶ This requires members of the UN Country Team, in particular the funds and programmes that fall under the direct authority of the Secretary-General, to prioritize activities in support of the overall UN mission in the country rather than the broader array of programmes normally within their mandate.

The programme period under evaluation begins immediately following ‘Operation Enduring Freedom’ in 2001 and the establishment of a UN political mission in Afghanistan under a Security Council mandate in March 2002. Since then, the mandate of UNAMA has been adjusted and extended periodically—usually annually, but more recently for longer periods—through successive Security Council Resolutions. For a summary of the key resolutions, see Annex 2. Perhaps most significantly, while the various Security Council Resolutions establish key political milestones including elections, Disarmament Demobilization and Reintegration (DDR), and the Disbandment of Illegally Armed Groups (DIAG), they do not outline any of the key institutional capacities that are required to achieve stability and long-term peace and development. No funding for the development component of the UN system’s work in support of the UNAMA mandate was provided for in the assessed contributions for UNAMA.

It appears to be assumed that the individual agencies that form the UN Country Team will develop their own programmes and strategies and secure voluntary funding. All UNDP development work—even when it has been in support of core elements of UNAMA work—has had to be funded either from UNDP core resources (TRAC), or third party cost-sharing, including in the form of dedicated trust funds. There

³⁶ The UNAMA mandate and structure are laid out in the report of the Secretary-General of 18 March 2002 (S/2002/278) and adopted in SCR/1401 of March 2008.

has also been no work done by UNAMA to help establish a coherent strategy addressing the political, humanitarian and developmental dimensions of peace-building. The UNDAF, which was jointly developed by the UN Country Team, involves a packaging of ongoing individual agency activities rather than a coherent programme. The UNDAF is rarely—if ever—referred to by the agencies.

The structure of key agencies involved in managing the transition in Afghanistan is complex and fragmented. In addition to UNAMA, which is under the oversight of the Under-Secretary-General for Peacekeeping (even though no blue helmeted UN troops are present in the country), there is the ISAF for Afghanistan, which falls under the Allied Command Operations of the North Atlantic Treaty Organization (NATO) based at Supreme Headquarters Allied Powers in Europe in Mons, Belgium, which has principal responsibility for military peacekeeping functions. The ISAF mandate states the following:

“ISAF Headquarters interacts with all levels of the Government of the Islamic Republic of Afghanistan, its security agencies and the international bodies, governmental and non governmental organizations present in the country to support the Government and assist with reconstruction. In particular, ISAF liaises with and assists in the work of the United Nations Assistance Mission in Afghanistan (UNAMA).”

The U.S. troops fall partly under ISAF and NATO Command, taking the lead for the regional command in the east of the country. It also has troops under U.S. Central Command, and others (primarily special forces) under U.S. Special Operations Command. The overall architecture of the international community’s involvement in Afghanistan is therefore not readily conducive to coherence, harmonization

or substantive coordination of policies, strategies or programmes, and even the Security Council mandated, integrated UN mission in Afghanistan is faced with a daunting uphill task in its coordination function.

2.6 THE RESOURCE ENVIRONMENT

There is no paucity of official pledges of development assistance to Afghanistan. According to the Deputy Minister of Finance, new pledges at the Paris Conference amounted to US\$21.4 billion, supplementing already existing pledges of US\$6.8 billion and adding up to a total of US\$28.208 billion that has been pledged to Afghanistan since the Bonn Conference in 2002. With the possible exception of Iraq, this level of commitment on the part of the international community is unprecedented in its magnitude. The donor resource picture is also exceptional in that the total amount is heavily dominated by the United States and significant levels of resources have also been provided by non-traditional donors, notably India, Iran, Saudi Arabia, China and Turkey (listed in order of magnitude).

The challenge is one of prioritizing overseas development assistance, coordinating its delivery and ensuring its effective use. So far, less than 40 percent of the amount pledged has been spent. According to Afghan government figures, Spain has disbursed only 10 percent of the aid it has pledged for 2002–2011, and the United States and India have disbursed only 22 percent of their respective pledges of US\$22.8 billion and US\$940 million. Turkey, China, the Asian Development Bank and World Bank and Saudi Arabia have so far delivered less than 40 percent of their aid pledges for this period.³⁷ For a chart on pledged and disbursed funds by donor, please see Annex 4. While UNDP core resources are not particularly significant in this context, it has delivered between US\$150 million and

³⁷ Waldbaum Matt, ‘Falling Short: Aid Effectiveness in Afghanistan’, Agency Coordinating Body for Afghan Relief Advocacy Series, March 2008.

US\$350 million per year during the period 2002-2011, making it a significant player in resource management terms.

There is a real danger that this heavy reliance on overseas development assistance could lead to dependency. Only approximately 30 percent

of current revenue in the national budget is derived from domestic taxation.³⁸ Approximately 23 percent of the Core Budget (US\$650 million) is funded through direct budget support from donors in the present budget year 1387 of the Islamic Calendar (2008-2009).³⁹

³⁸ Available online at the Ministry of Finance website: <http://www.mof.gov.af/?lang=en&p=Revenue>.

³⁹ Source: UNDP Making Budgets and Aid Work Project.

Chapter 3

EVALUATION OF THE UNDP CONTRIBUTION

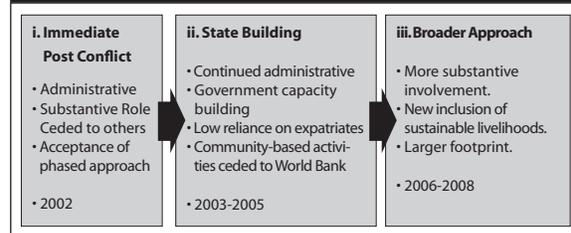
3.1 DESCRIPTION OF THE PROGRAMME

UNDP presence in Afghanistan was re-established in 2002 following a decade of operations based in Pakistan. Current activities in Afghanistan are rooted in the establishment of the UN Security Council Mandate and the creation of UNAMA as an integrated UN mission in 2002. Its current mandate is to promote peace and stability in Afghanistan, including disbanding illegally armed groups, supporting elections, strengthening the emerging institutions of state, promoting human rights, and managing all UN humanitarian relief, recovery, reconstruction and development activities.

Since 2002, the UNDP programme has gone through an evolution dictated largely by external pressures and interests that have oriented and restricted the development space available to it (see Figure 3). With the dominant role accorded to the World Bank in the management of the Afghan Reconstruction Trust Fund and a strong position adopted by the first SRSG of UNAMA, UNDP was initially limited both in the number of expatriate staff that it could deploy and programmatically restricted to the role of an administrator of funds channelled by donors to pay for civil service salaries and the police force (that is, LOTFA).⁴⁰

Implicit in this was UNDP acceptance of its niche in ‘early recovery’ and, by extension, a tacit acceptance of a phased approach to the reconstruction of Afghanistan, postponing attention

Figure 3. Evolution of the UNDP programme in Afghanistan (2002-2008)



to the development of key institutions essential for long-term stability and development. The UNDP programme therefore reflects at least three fairly distinct phases.

- **The first phase**—Began in 2002, in which the UNDP focused on ensuring that salaries of the civil service and police were paid and undertook extensive physical rehabilitation of the facilities of government agencies essential for ensuring a transition to peace and development.
- **The second phase**—Began in 2003 and saw UNDP being required by the government (in particular the Ministry of Finance) to avoid all community-based activities that had been the mainstay of its programme prior to 2001 in favour of an almost exclusive emphasis on state building. The latter was interpreted as building capacity in the formal institutions of state—executive, legislative and judicial branches of government. Work with civil society and community based organizations was ceded to the World Bank and

⁴⁰ Interview with David E. Lockwood, former Deputy Regional Director and Deputy Assistant Administrator, RBAP/UNDP. Also interviews with Ameerah Haq, former Deputy SRSG (Development) and Ms. Julia Taft, former Assistant Administrator, BCPR/UNDP during the thematic evaluation of UNDP activities in conflict affected countries.

other bilateral and multilateral organizations. At the insistence of the government, UNDP was required to limit the expatriate presence on its programme, despite the relatively limited capacities available in national institutions.

- **The third and current phase**—Began after the Parliamentary elections in 2005 and the Afghanistan Compact of January 2006 and has seen wider acceptance of development as a key element in the stabilization of Afghanistan and a return for UNDP to broad-based development. This has included a shift away from a narrow interpretation of capacity building to encompass civil society as well as formal institutions of state and added attention to the creation of jobs and sustainable livelihoods. It is also accepted generally that a larger footprint is required to bolster capacity and to ensure efficient delivery of programmes. This is a change in modality that is reflected across the board with all bilateral and multilateral programmes of assistance, although the way in which it is deployed varies.

In formal terms, the 2006-2008 Country Programme⁴¹ constitutes the first comprehensive and formal country programme for UNDP in Afghanistan since 1984. All activities between 1984 and 2005 were approved based on an authorization by the Governing Council and later the Executive Board for the Administrator of UNDP to provide support to Afghanistan on a project-by-project basis. The short duration of the current country programme underlines the tentative nature of the programme and the close scrutiny still applied to it in a rapidly changing environment. Any outcome-based evaluation such as this one needs to take into account the relatively short time-frame of the country programme, the absence of a coherent country programme with intended outcomes prior to 2006, and the complexity of the planned programmes.

The country programme outlines three priority areas:

1. Improved governance
2. Creation of sustainable livelihoods
3. Environment and natural resources

As a member of an integrated UN mission, the UNDP programme ought to prioritize its contribution to the overall UNAMA goals of seeing the country through a period of conflict to stability, recovery and development.

In this respect, it can be argued that, with the exception of a small proportion of its programme that pertains to the environment and natural resources, the UNDP programme is clearly positioned at the centre of this effort. The country programme also highlights six cross-cutting principles: development of national capacities; enhancing national ownership; advocating and fostering an enabling policy environment; seeking South-South solutions; promoting gender equality; and forging partnerships.

These priority areas and cross-cutting issues have been translated into intended outcomes that have gone through several iterations, the most recent of which is the CPAP of 2007, which was summarized in Table 1. In practice, the UNDP programme has been divided into the following thematic areas that also correspond to the priorities in the ANDS (see Annex 5):

- Democracy and Participation
- Strengthening the Institutions of State
 - Key Institutions for the Rule of Law and Security Sector Reform
 - Key Institutions for Public Administration
- Sustainable Livelihoods
- Policy Dialogue and Aid Coordination
- Gender in Development

⁴¹ UNDP, 'UNDP Country Programme for the Islamic Republic of Afghanistan (2006-2008)'.

Table 3. Annual budgets and expenditures (US\$, thousands)

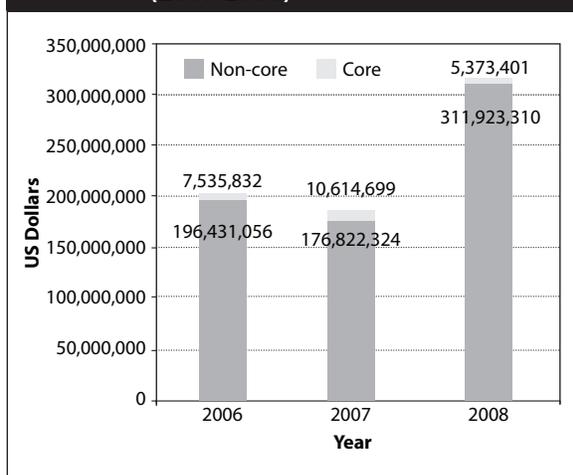
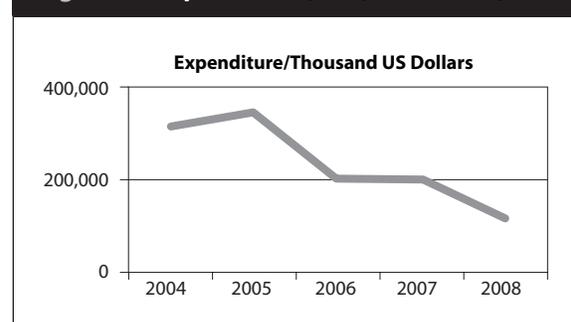
Category	2004	2005	2006	2007	2008
TRAC	5,961	7,367	7,940	11,471	2,014
Cost-sharing	322,604	350,763	204,814	194,107	119,060
Total budget	317,367	376,313	259,642	271,951	261,856
Expenditure	318,133	348,407	202,617	197,228	118,707

Resources available to UNDP for programming have remained consistently high from 2002 to the present (see Figure 4). Dependence on third-party cost sharing is absolute, with approximately 96 percent to 99 percent derived from non-core sources on an annual basis. Since 2004, annual expenditures by UNDP on the Afghanistan programme have ranged between US\$320 million and US\$119 million, and as the UNDP has sought to make its programme more substantive and less focused on the administration and management of donor funds, its annual expenditures have declined since 2004.

The volume of annual expenditures has declined steadily from its peak in 2005 largely reflecting a decline in cost sharing (see Figure 5). The reasons for this decline are discussed in the section on management, but include the following: the strengthening of government capacity

to manage donor funds directly; dissatisfaction among donors with the capacity of government institutions to manage the funds allocated in NEX programmes; and disputes concerning UNDP support costs that have delayed signature of cost-sharing agreements and the remittance of funds.

In theory, the UNDP programme is spread across all 34 provinces of Afghanistan as a result of such programmes as NABDP and the support to provincial development councils. Yet in practice, due to security constraints, activities are limited in many of the provinces—particularly in the south. Any systematic attempt to map relative distribution in terms of expenditures or allocations will be deceptive since the weighting of activities in Kabul is skewed by the large international donor trust funds (LOTFA and CNTF) that are administered by UNDP in the capital.

Figure 4. Programmable Resources (2006-2008)**Figure 5. Expenditure (US\$, thousands)**

3.2 ANALYSIS OF FLAGSHIP PROGRAMMES

3.2.1 DEMOCRACY AND PARTICIPATION

A return to participatory democracy based on modern institutions adapted to Afghan traditional and cultural norms has been a key objective of the international community and central to the UNAMA mandate. UNDP has positioned itself in support of this objective and has played a crucial role from the outset of the transition. Although its substantive role in the process was limited, the lead role in this regard correctly being taken by UNAMA and the UNDPA, UNDP supported the UNAMA effort by facilitating the *Loya Jirga* and preparation of the constitution, principally by administering the process and providing comparative expertise from consultants and advisers.

The *Loya Jirga* and the Constitution have laid the foundation for all subsequent achievements. If there is any criticism of the UNDP role in this process, it is that the timetable for the peace process that resulted was principally politically driven and underestimated the challenge of establishing institutional capacity for management of the transition to democracy. UNDP did not, or was not able to, influence the timetable with substantive arguments.⁴² As a result—at least in the first rounds of the Presidential, Parliamentary and Provincial Elections—the deadlines established required far more direct support and implementation by UNDP and the UNOPS than desirable from a developmental standpoint. The institutional arrangements were generally *ad hoc* and had to be repeatedly adjusted (at times quite dramatically in midstream) and, although never openly acknowledged, probably compromised national ownership. Interviews with former national observers and members of civil society suggest that the political nature of the elections process also resulted in complaints of irregularities in the implementation of

the elections being ‘brushed under the carpet’. Although the results were universally hailed at the time, memories of the actual experience at polling stations and subsequent rumours might negatively affect the credibility and turnout of the coming elections. Whether or not there will be lasting effects will only be evident in the next round of elections.

UNDP involvement is heavily centred on creating and strengthening the **institutions of state** associated with democracy. These institutions are responsible for management of elections and the National Assembly. Yet true democratic participation requires further growth of civil society and civil society institutions can serve as another source of checks and balances, ensure that the voices and opinions of people are heard, and ensure that development is undertaken based on needs and priorities as viewed at the grassroots level. While more disorganized and difficult to control, the creation of such institutions can only add to the legitimacy of elected governments and legislative bodies. UNDP has begun work in this regard through the creation of DDAs as a mechanism for consulting with the public for the preparation of the ANDS (discussed in more detail under the NABDP programme and support to the ANDS). There is also a need for vibrant and professional advocacy national NGOs, media institutions and academic think tanks that are able to speak out and hold the institutions of state accountable.

3.2.1.1 Elections

Under Enhancing Legal and Electoral Capacity for Tomorrow (ELECT) I, UNDP, through UNOPS, administered and managed the first Presidential election and the subsequent Parliamentary and Provincial Council Elections. This was for the most part successful from an administrative standpoint. The involvement of UNDP and UNOPS enabled the elections to be held in a timely manner and with standards of

⁴² Given the dramatic nature of the events and the international political and media attention on the process as well as the involvement of the United States and other players, it is doubtful whether UNDP would have been in a position to sufficiently influence the timetable, even if a concerted effort had been made at the seniormost levels.

transparency and accountably that were accepted by the international community.

The enormity of the challenge presented during the elections of 2004 and 2005 bears a brief summary to place UNDP support in context. The Presidential campaign in 2004 initially involved 23 candidates and a final roster of 17 candidates. Candidates for President also nominated two Vice-Presidential candidates each. Some candidates used this to balance their ticket with regard to Afghanistan's three main ethnic communities. The candidates held political rallies throughout the country that were covered by television and radio. Domestic security was still relatively good, and international monitors and embassy staff were able to attend rallies and monitor polling sites. The interim President, Hamid Karzai, garnered 55.4 percent of the votes cast to become the first democratically elected head of state in Afghanistan. No other candidate received more than 16.3 percent of the votes tallied.

Nevertheless, as a result of the tight political deadlines, the first round of elections were largely handled outside government and led to limited institution building. They also resulted in changes to the institutional arrangements in mid-stream prior to the Presidential elections, further hampering effective institutionalization. Since then, an Independent Electoral Commission has been established and the ongoing implementation of voter registration and future Presidential and District Elections are to be managed by the Independent Electoral Commission with the UNDP ELECT II project acting principally in an advisory capacity. Capacity development under the latter part of ELECT I and during the course of ELECT II has been intensive, but the outcome will only be evident following the ongoing voter registration.⁴³

The Presidential election was not without controversy. The elections were twice postponed, first until September 2004, and then until October. During the campaign, there were rumours that the election would be decided by negotiation, as candidates bargained with other candidates for promises of political position in return for dropping out of the race. On election day, there were widespread claims that multiple voting had resulted, as well as isolated reports of intimidation and campaigning at the polling centres. Some international journalists noted that many people in Afghanistan were in possession of three or four photographic ID cards⁴⁴ and that multiple voting by individuals was commonplace. In interviews with civil society and with academics from Kabul and Mazar universities, the evaluators found that without sufficient assurances that provisions were being made to guard against similar irregularities, turnout in the forthcoming elections is likely to be lower.

After accusations of fraud circulated on the day of the election, at least 15 candidates declared that they were boycotting the ballot. The boycott dissolved when UNAMA announced it would set up a three-person independent panel to investigate the charges of irregularities. The panel included a former Canadian diplomat, a Swedish electoral expert, and a member named by the European Union. The date was originally set for 5 July. The election was declared valid despite allegations by independent international journalists and some national NGOs of voting irregularities.

The Parliamentary and Provincial Council elections in September 2005 were an even greater challenge, as it was the first Parliamentary election since 1969. Although there were a number of casualties during the campaign period, the actual polling day saw minimal violence, and foreign observers were able to travel throughout much

⁴³ UNV volunteers are cooperating with ELECT II and playing a skills transfer and capacity building role in support of Independent Electoral Commission staff at the provincial level.

⁴⁴ In his article 'Christian Parenti in Afghanistan: Saturday's Elections Were a Farce', the journalist Christian Parenti stated that he himself, not an Afghan citizen, could have easily voted. "One of the parties gave me two valid voting cards," he said "that I could add my photograph to and I could have voted if I wanted to."

of the country and feel welcome at the polling stations. The election logistics, managed with UNOPS and UNDP support, were complex, with a large degree of international support, numerous foreign observers and monitors, and well-orchestrated administration by the United Nations, the Afghan Joint Electoral Management Body, and international and domestic security forces. The process began months in advance, with 130 international trainers teaching thousands of Afghans the intricacies of modern elections. These Afghans passed on their training in turn to others, and eventually 160,000 polling staff were selected to man 26,500 polling stations established in 8,300 locations throughout Afghanistan. Candidates were offered training as well, studying the Constitution, democratic election concepts, public speaking and electioneering in NGO-led seminars held throughout the country. The timely distribution and collection of election materials and ballots in all 34 provinces eventually required 18 cargo planes, 9 helicopters, 1,200 cargo truck deliveries, 1,247 donkeys, 306 horses and even 26 camels. All in all, it was a massive and very successful logistics, public education and political effort.

The UNDP role under ELECT I was largely administrative and it was not involved in the more controversial aspects such as the preparation of the Electoral Law itself or the decision to operate on the basis of a single non-transferable vote. The latter, which was selected because of the absence of well-established political parties, has since been criticized on the grounds that it favoured individual candidates with significant means to campaign rather than groups in the form of nascent political parties, placing them in a position to challenge the status quo and the dominance of warlords who were the only individuals with private the means to run for election. This negative effect was in part offset by the reservation of a limited number of seats in Parliament for Presidential appointments. For the most part, this proved the only way for greater

equality to be introduced ensuring the presence of minority (disadvantaged and vulnerable) groups and women.

In the Lower House, members are elected by direct vote to serve five-year terms. The total number of seats may vary, but it cannot be more than 249 seats. In the Upper House, 34 members are elected from provincial councils for four-year terms, 34 from local district councils for three-year terms, and 34 are appointed by the President to serve five-year terms. The Presidential appointees include two representatives of Kuchis and two representatives of the disabled. Half of the Presidential appointees must be women.

UNDP support to elections in Afghanistan included a voter registration project in 2003, the Afghan Elections Project 2004-2005, and ELECT October 2006-2010. The first two projects were subject to a terminal evaluation conducted in May 2006.⁴⁵ The evaluation found that the election timetable established in Bonn was unrealistic given the weakness of the institutional environment and the enormity of the data collection, registration and polling processes:

“In Afghanistan, the process started from scratch...In essence, there were no working institutions, no effective government or government instrumentalities; no electoral law; no viable economy and no census or reliable civil register. Security was absent. Experience in electoral administration was nil. Creating and focusing on long-term capacity building via dedicated training programmes, work experience, study opportunities and the examination of comparative experiences was not an option.”

The rushed and highly politicized environment in which first the Presidential, Parliamentary and Provincial Council Elections were held, resulted

⁴⁵ Evaluation Mission Report, ‘Afghan Voter Registration 2003 and Elections Projects 2004/2005, Main Report’, by Margie Cook and Dan Finn, 14 May 2006.

in the contribution of national institutions and institution building being largely overlooked. It also resulted in management problems and cost overruns on the part of UNOPS as it scrambled to meet deadlines. The limited sustainability of outcomes is also a product of the different cultures and strengths of the managing and implementing agencies. UNDP has a mandate⁴⁶ for long-term capacity building, alongside a lead role in the provision of policy advice and programmes to strengthen sustainable democratic institutions and processes, and coordination of electoral assistance among donors, national and international actors. UNOPS is a logistic and operational body and has no inherent capacity building mandate.

There were also numerous technical shortcomings in the process. For instance, the registration process did not involve ID cards and was not linked to polling places, rendering verification of identity considerably more difficult. There is no existing record of who does or does not have voter registration cards. There were competing institutional claims for the lead role between the Ministry of Interior and the Independent Electoral Commission. In 2004 and 2005, the lack of harmonization between these competing mandates and between those of the UNDP and UNOPS was seriously problematic.

While the choices made in 2004-2005 in delivering on the Bonn Agreement were driven by pragmatism, long-term commitment has been recognized as essential. As the OSCE mission found in 2004:

“There is a danger inherent in the success of the Presidential elections. Afghan voters had high expectations—some would say unrealistic expectations—that holding successful elections would make a difference in

their lives. Elections alone will not make such a difference. The international community has a responsibility to stay the course in providing assistance and the security to make reconstruction possible.”⁴⁷

The situation did not fundamentally alter in 2005, and it remains a challenge for the international community with regard to on-going electoral development.

Breaking with the approach adopted in the previous elections, the next elections (scheduled for 2009 and 2010) are to be the first to be administered directly by the Afghan Authorities since the Bonn Agreement. While donor funding is again being channelled through UNDP, UNDP is supposed to act in an advisory role and strengthen the capacity of the Afghan Independent Electoral Commission for managing elections and voter registration. Both an electoral law and a draft regulation establishing the structure, duties and responsibilities of Afghan Independent Electoral Commission urgently need to be adopted for elections to be held as scheduled. UNDP could have made these both a prerequisite for approval of its programme of assistance, but it has not, and implementation has begun without such regulations in place. The new phase of assistance (ELECT II) is managed through three bodies: a Donor Group, consisting of all of the donors to the process, UNDP and the Political Affairs pillar of UNAMA; a Steering Committee, consisting of UNAMA, the Independent Electoral Commission and UNDP; and a Project Board consisting of the Independent Electoral Commission, UNDP and the UNDP Project Manager.

Some donors (notably DFID) have moved to exclude UNDP from the Donor Group. Consultants appointed by DFID to flesh out

⁴⁶ Note of Guidance for UNDP and UNOPS on Electoral Assistance. See Section 1 discussion on Management Structures which raises the point that within UNDP, there is a view that the ‘capacity development mandate’ was not tabled as a priority given the overriding political agenda.

⁴⁷ OSCE Election Support Mission, ‘Final Report, Presidential Elections’, p. 5

the working arrangements have not consulted with UNDP according to the UNDP Project Manager. This position adopted by the local DFID office is not necessarily shared by other donors and, given the urgent need to get activities on track, UNDP needs to address any controversies and outstanding issues as soon as possible. The evaluation of ELECT I highlighted the lessons learned and the opportunity now exists to avoid past mistakes.

Voter registration began in October 2008. However, preparation by the key national institutions has been minimal and UNDP project personnel are being drawn into a more hands-on management role than was originally intended. Logistical and administrative arrangements, including the importation of the voter registration cards, are being handled directly by the UNDP project personnel. The UNDP project is also plagued by delays in the recruitment of personnel due to cumbersome procedures (see section 3.4.2 on Efficiency), placing a massive burden on the shoulders of the programme manager who is being overworked. The challenge under ELECT II remains that of creating enough space to drop direct support functions in favour of capacity-building efforts such as institutionalization of systems, procedures, standards and training of personnel. In general, project personnel are professional and working with similarly professional partners from the International Foundation for Electoral Systems. Yet given the political pressures and uncertainties of timing, it is likely that project personnel will play multiple roles: serving as advisers to UNAMA and the Independent Electoral Commission, building capacity and establishing systems within the Commission and other relevant bodies, and continuing direct support in the management of the elections.

3.2.1.2 Support to the Establishment of the Afghan Legislature (SEAL)

Both elected houses of Parliament—the Upper House, or the *Mesbrano Jirga*, and the Lower House, or the *Wolesi Jirga*—are active and functioning with UNDP support. Since the

beginning of 2008, the Lower House has submitted a number of laws for the approval to the Upper House including the labour law, the mines law, the cooperatives law and the Framework Convention on Tobacco Control. The Lower House has also confirmed a series of Presidential appointees for the positions of Minister of Refugees, Head of the Central Bank and Justice of the Supreme Court.

Beginning in 2004, UNDP was instrumental in getting the *Mesbrano Jirga* and *Wolesi Jirga* operational at a time when no other support was available. Donors were willing to channel funds for the purpose through UNDP when capacity in national institutions was low. Under SEAL I, a UNOPS executed project, UNDP managed the rehabilitation of the Parliament building and the two Secretariats, including everything from construction to the installation of essential equipment and furniture, to the establishment of essential systems such as an electronic payroll for staff.

UNDP has built capacity of both Secretariats through basic management and computer training. Approximately 350 staff of the following departments and committees were trained: finance and administration; information and communications technology; and human resources and legal departments. An additional 68 committee assistants, 300 security staff and 12 information and public relations staff were also trained. SEAL also provided training to newly elected Members of Parliament and Senators; 80 percent of the delegates have received training, as have the staff of the Secretariats. The Members of Parliament and Senators have been provided with information to better understand the three branches of the state and their variations in different countries; their constitutional role, rights and responsibilities; and main elements of the legislative process. They have also been provided with leadership training. No follow up monitoring has been undertaken to assess the effectiveness of the training. The study tours have likely had varying degrees of effectiveness given the

limited training or prior exposure of many of the trainees. It has been suggested that in-country training and hands-on training have proven more successful.

SEAL has suffered from the loss of trained staff to donor projects that pay larger salaries. The exit strategy for UNDP is poorly defined and dependence on external funding remains high, even though staff are now on the government payroll.

Under the SEAL programme, UNDP successfully supported the preparation of the Rules of Procedure for both the Upper and Lower Houses (with the help of a UNDP adviser recruited from India) and has also prepared a Code of Conduct, which is still under review. Parliament has operated since shortly after its inception on the basis of the Rules of Procedure. Faced the imminent need to bring order to deliberations in the National Assembly, the Rules of Procedure were largely transplanted from the Indian context

Box 3. Main findings: Democracy and participation

UNDP administratively facilitated the convening of the *Loya Jirga* and preparation of the constitution and provided comparative experience through consultants and advisers. The *Loya Jirga* and the constitution have set the foundation for all of the achievements since.

Under ELECT I, the UNDP, through UNOPS, administered and managed both the first Presidential election and the parliamentary and provincial council elections under a tight political deadline. As a result, the first round of elections were to largely handled outside the government and led to limited institution building. Recognizing this shortcoming, the UNDP and UNAMA encouraged the establishment of an Independent Electoral Commission and designed ELECT II to ensure that the ongoing voter registration and future Presidential and district elections are to be managed by the Independent Electoral Commission with the UNDP project in an advisory role. Capacity development has begun in earnest under ELECT II. The outcome will be evident later.

The UNDP was instrumental in getting the *Mishrano Jirga* (Upper House) and *Wolesi Jirga* (Lower House) operational at a time when no other support was available in 2004. Donors were willing to channel funds for the purpose through UNDP when capacity in national institutions was low and when the institutional arrangements were *ad hoc*. Under SEAL I, a UNOPS executed project, UNDP managed the complete rehabilitation of the National Assembly premises as well as the two Secretariats including basic rehabilitation and construction, the installation of equipment and furniture and the establishment of essential systems such as an electronic payroll for staff. Parliament has operated since shortly after its inception on the basis of Rules of Procedure prepared with the help of a UNDP adviser. UNDP also supported preparation of a Code of Conduct, which is still under review.

UNDP has built capacity of both Secretariats through basic management and computer training. SEAL also trained 80 percent of the newly elected Members of Parliament and staffs of the Secretariats who were provided with comparative exposure equipping them to understand their constitutional role, rights and responsibilities as well as the elements of the legislative process. They have also been provided with leadership training and training in the principal functions of a legislature. Women delegates have received training under the SEAL programme, and SEAL itself has recently begun recruiting a number of women staff. No follow-up monitoring has been undertaken to assess the effectiveness of the training. It has been suggested that in-country training has proven more successful as have hands-on training initiatives. SEAL has suffered the loss of trained staff to donor projects that pay better. The exit strategy for UNDP remains ill-defined and dependence on external funding remains high even though staff are now on the government payroll.

UNDP support improved connectivity within Parliament and outreach capacity through a regular flow of public information managed by a public information unit.

with limited adaptation. SEAL II will support the revision and expansion of the Rules of Procedure and also strengthen the capacity of the substantive committees of both houses, as their weakness is one of the principal obstacles to the effectiveness of Parliamentary proceedings.

UNDP support has also improved connectivity within the Parliament and outreach capacity through a more regular flow of public information managed through a public information unit.

Women constitute 68 of the 249 members of the *Wolesi Jirga* and 23 of 102 members of the *Misbrano Jirga*; 3 of 18 committee chairs in the *Wolesi Jirga* were women in June 2007. Women delegates have received training under the SEAL programme. The SEAL project itself is recruiting a number of women staff.

3.2.2 RULE OF LAW AND SECURITY SECTOR REFORM

The security situation in Afghanistan has deteriorated since August 2005. As measured by a September 2007 public opinion poll, the number of people who believe the security

situation in their village is ‘good’ has decreased significantly since 2005. Regional breakdowns illustrate expected differences and sources of insecurity also vary by region, with concerns about criminals cited most in Kabul, and the Taliban and Pakistan cited most in the east. The majority of the sources of insecurity are not insurgency related. There has been a shift from economic development as the main contributor to improving security to more Afghan National Security Forces and disarmament—ANP at the local level and the Afghan National Army at the national level. Many of those surveyed consider the ANP to be primarily responsible for security, although their image is somewhat tainted: 46 percent of respondents reported seeing the ANP doing something improper. Only one in three persons surveyed felt strongly about the ability of the ANP to protect them.⁴⁸

Public apprehension is well founded. According to a recent defense assessment, ANP capacity remains very weak (see Table 4).⁴⁹

In addition to the security sector deficit, there are more than 100 illegally armed groups and many sources of violent conflict remain unaddressed.

Type of units (number of units)	CM1	CM2	CM3	CM4	N/A
Uniformed police districts (365)	0	6	6	296	57
Border police battalions (33)	0	0	0	33	0
Civil order police battalions (20)	0	6	2	2	10
Counter narcotics police units (15)	0	0	10	3	2
Total (percentage)	0	12 (3%)	18 (4%)	334 (77%)	69 (16%)

Notes: Data as of April 2008. CM 1 indicates capable of operating independently; CM 2, capable of planning, executing, and sustaining counterinsurgency operations at the battalion level with international support; CM 3, partially capable of conducting counterinsurgency operations at the company level with support from international forces; CM 4, formed but not yet capable of conducting primary operational missions; N/A, not yet formed or not reporting.

⁴⁸ ‘Afghanistan National Development Poll 5.0, Security and ANSF Perceptions’, 16 September 2007.

⁴⁹ Government Accountability Office, ‘GAO Defense Assessment of Afghan National Police Capabilities, GAO-08-661: Afghanistan Security: Further Congressional Action May Be Needed to Ensure Completion of a Detailed Plan to Develop and Sustain Capable Afghan National Security Forces’, June 2008, p 32. Available online at: <http://www.gao.gov/new.items/d08661.pdf>.

The failure to demonstrate a peace dividend to the more peaceful and poppy-free provinces in the north is widely perceived by Afghans—a situation that will only undermine the fragile fragments of Afghanistan’s peace. The deteriorating security situation in the country has directly affected the justice sector. A weak justice sector in turn, undermines efforts to address sources of insecurity, including counter-narcotics, anti-corruption, anti-poverty and development efforts. Judges have been killed, which makes it increasingly difficult to recruit, deploy and retain justice officials. Intimidation in some areas prevents judges from rendering fair judgments and court orders are not enforced by police if they are against the interests of local and regional strongmen. Salaries are not enticing. Prosecutors earn US\$60 per month and judges earn US\$100. This, in turn, contributes to corruption that undermines public trust in the justice system. UNAMA reports chronic judiciary understaffing, corruption and abuse of power leading to the violation of due process, and abuses including arbitrary detention, the breaching of pre-trial detention timelines, and lack of defense council. Denial of justice occurs with respect to housing, land and property rights, and there is little possibility for redress of grievances. This situation is even more acute for women.⁵⁰

Reform initiatives in both sectors are not as effective as they could be. Security sector efforts have been slow. While reform efforts in both sectors suffer from ineffective coordination and inconsistency in support strategies, the problem has been particularly acute in the justice sector. Government has placed high priority on ensuring that coordination mechanisms are put in place and focused around a national strategy. Yet, despite recognition of the importance of the justice sector, reform initiatives account for less than 1 percent of Afghanistan’s development budget, compounded by very limited coordination with related activities. To date, the vast majority of efforts have been supply driven and

top down—focusing on formal justice, legal reform, physical rehabilitation and training—while in practice, justice is heavily dependent on traditional justice mechanisms.

3.2.2.1 Disarmament, demobilization and reintegration (DDR)

UNDP security sector efforts fall under the ANBP, running from 2003 to March 2009. This comprises three inter-related projects: DDR, DIAG, and the Anti-Personnel Mines & Ammunition Stockpile Destruction Project. This evaluation focused primarily on the DIAG and the unattached but clearly related Reintegration Support to Ex-Combatants Project, based on findings and recommendations that stemmed from a 2006 DDR evaluation.

ANBP projects address specific benchmarks of the ANDS, focusing on increasing employment opportunities for youth and demobilized soldiers by the end of 2010, disbanding all illegally armed groups by the end of 2011, and significantly reducing weapons by the end of 2010, including reducing the land area contaminated by mines and unexploded ordnance by 70 percent.

UNDP has been efficient and successful to the extent that they have successfully disarmed groups in line with the agreed targets. The principal problem lies in the political will of the government, international community and the militia themselves to ensure meaningful disarmament. All parties realize that the targets are artificially low and that groups remain heavily armed in most instances. From 2003 to 2006, UNDP and UNAMA assisted the Government of Afghanistan in downsizing and disarming the Afghan Military Forces and in reducing the number of small arms and light weapons in circulation. The budget for the project was US\$140,930,315 from Japan, the United Kingdom, Canada, the United States, Netherlands, European Union, Norway, Switzerland, and the European Community. The DDR programme achieved its planned

⁵⁰ ‘Accelerating Access to Justice for All 2007-2011’, Draft Strategic Framework.

outputs—disarming, demobilizing and providing reintegration support to approximately 63,000 ex-combatants. It also collected more than 106,000 weapons. While most ordinary soldiers left the service willingly and experienced DDR as a bonus, some of the older soldiers and long-serving *jihadis* left embittered, feeling that they had been forgotten and had no career opportunities. A 2006 evaluation found DDR to be the most successful aspect to security sector reform in Afghanistan, but that the three-year mandate of ANBP was too short. Specifically, evaluators felt that its work was incomplete due to insufficient attention to reintegration needs and the transition to civilian life. Thus while certain aspects of the project were applauded, such as the innovative Mobile Disarmament Unit, and the nature of UNAMA and UNDP collaboration, overall it was felt that the ANBP had missed opportunities. In addition, illegally armed groups persisted. The analysis was considered useful and helped for further funding towards the development of a new three-year project.

Seeking to pick up where DDR left off, the DIAG is focused on identifying and disarming 1,800 illegally armed groups that are involved in drug smuggling, human trafficking and human rights violations, and threaten communities in an environment with weak rule of law. The US\$22,309,678 DIAG project, now extended through March 2009, aims to support the government in improving human security through disarmament and disbandment of illegally armed groups and reducing the level of armed violence in communities. DIAG is being undertaken in conjunction with the Disarmament and Reintegration Commission, the National Directorate of Security, National Security Adviser, Ministry of Defence, Ministry of Interior, MRRD, Ministry of Agriculture and Ministry of Labour and Social Affairs, and is funded by Japan, Canada, the United Kingdom, Switzerland, Netherlands, Denmark, UNDP, Italy, Norway, and the United States. In the first phase, which took place in 2005, DIAG targeted Commanders, and 4,857 weapons were handed over by 124 candidates. The project

then took a strategic shift aiming to clear districts of weapons. This strategy, now in its third phase, has targeted 70 districts, of which 40 have complied, achieving the status ‘Peace Districts’, enabling them to access development funds. Since its inception, 3,804 weapons (2,800 operational) have been deposited under the DIAG District Implementation process. Senior clerics in Kabul have also been targeted through public information campaigns and training, so that they can further disseminate the DIAG message. This positive experience will be replicated in other regions. Other media and public outreach activities are underway to publicize DIAG.

In late 2007, UNDP reported that the low number of disarmed illegally armed groups was a result of government inability to enforce disbandment. However by the end of the second quarter of 2008, 338 illegally armed group commanders signed a DIAG Declaration stating that they disbanded their groups and handed over all weapons.

There are clear indicators of government interest—witnessed by its chairing of meetings, efforts to follow through with decisions, and the creation of a DIAG cell within the Ministry of Interior—to facilitate coordination with cells such as counter-narcotics and police reform. Private security company registration was announced and 36 have registered. The project has created temporary posts for mentors under the Capacity for the Afghan Public Service (CAP) Programme to build capacity of government counterparts to enable government to fully assume the project in 2009.

The Deputy SRSG for Political Affairs has underscored that voluntary disarmament under DIAG is critically important because, “it provides a vision of what stability will look like.” However, it is problematic that weapons lists are not being verified and there is no enforcement. Moreover, there is a seemingly common perception amongst Afghans that the project is merely symbolic, as arms remain

readily available, and many members of illegally armed groups are unwilling to surrender arms for both security and economic reasons. Yet, many stakeholders expressed support for the project, highlighting the extreme nature of the challenges the project is seeking to address.

On the development side, 46 districts have projects underway, selected through the DDAs from the NABDP project. However, this is considered a weak aspect of the project, as the 'development dividend' is considered too little, too late—threatening to jeopardize the overall effort. This is reportedly due to MRRD's lack of implementation capacity, as well as LOTFA funding delays.

While the effective disarmament and disbandment of illegally armed groups is vital for stability and development, its achievement is intimately intertwined with the state's ability to address sources of conflict and the realized capacity of the Afghan security sector, in particular the ANP, to provide security—a still distant goal.

The Anti-Personnel Mine & Ammunition Stockpile Destruction project, occurring between December 2004 and March 2009, was developed in recognition of the logistical and security risk of surplus ammunition and anti-personnel mines in military and civil communities. The project supports government collection and destruction of the most dangerous stockpiles, towards the meeting of stockpile destruction obligations as party to the Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction, the Ottawa Convention. The budget of US\$22,744,136 has come from Canada, the United Kingdom, Ministry of Finance, UNDP, the European Community, Norway, and the Netherlands. The project has, to date recovered 2,229 caches of ammunition and mines and is ensuring that all known stockpiles of anti-personnel mines are destroyed. The ammunition survey teams and implementing partners are deployed in eight regions.

In late 2007, the government began a village-specific exercise whereby teams worked with local leaders to locate ordnance in coordination with other stakeholders. Several hundred villages have so far been surveyed and the database was transferred to ANBP in March 2008 so it can coordinate the deployment of its Ammunition Survey Teams as circumstances demand. Future priorities for the project focus on the increased destruction of stockpiled ammunition and mines. This will reduce the threat of explosive ordnance to communities and also enhance the capacity of the Ministry of Defence.

While somewhat disconnected from the ANBP, the Reintegration Support Project for Ex-Combatants is helping address the missing component of reintegration from earlier DDR efforts. With 13 offices country-wide (although one was recently closed after Taliban encircled the city), the project is presently benefiting 2,043 ex-combatants through training and 40,000 through employment centres run by the ILO. Training programmes focus on literacy and technical training, with different skill opportunities for men and women available. Employment service centres try to match registered ex-combatants with jobs and training opportunities; 70 people are doing on-the-job apprenticeships at an average cost of US\$70 per month. Since the beginning of the project, more than 40,000 people have registered, with increasing numbers each year and female registrants totalling 25 percent. As of June 2008, nearly 6,000 of these job seekers had been placed.

The project's ability to place people in jobs is directly connected to the ability of the economy to absorb them. Unfortunately, the project is not connected to or supported by other employment and livelihood creating projects within UNDP or with other partners.

While not its normal area of competence, UNDP engagement in the security sector has illustrated a willingness to take risks

and be creative, and the projects have highly committed staff. Yet it is not clear whether the findings of the 2006 DDR evaluation have been addressed. The evaluators of the DDR project underscored insufficiency of the reintegration component, pointing to the need for reinsertion activities including health checks and treatment, training in civic education and human rights, literacy and numeracy, as well as the need for efforts to encourage returning fighters to respect village hierarchy, eschew domestic violence, protect women and children and understand the rule of law. While the Reintegration Support Project for Ex-Combatants is focused on jobs and literacy training, engaging ex-combatants in the above areas cannot be underestimated.

Cross-programme collaboration remains a challenge. ANBP staff in Mazar had never heard of the Reintegration Support Project for Ex-Combatants, despite Mazar being a major hub of the programme. Conversely, Reintegration Support Project for Ex-Combatants staff were concerned that increased recognition would result in more interest in the programme than they could address, and more importantly, more job-seekers than the economy could absorb. However, this does not reverse the fact that greater integration of security and development efforts would likely serve peace.

3.2.2.2 Support to the Afghanistan National Police (ANP)

As stated in the Afghanistan Study Group Report, “The ANP are severely underfunded, poorly trained and poorly equipped. Many go months without pay because of corruption and problems with the payroll system. In parts of the country the police are seen as a greater cause of insecurity than the Taliban, undermining the authority and legitimacy of the central government.”⁵¹ Afghan stakeholders and internationals

frequently expressed these sentiments to the evaluation team. Strengthening and reforming the ANP continues to be a major priority.

UNDP contribution to police reform has been principally through its management of LOTFA, an international trust fund set up in 2002 that has been used to channel funds from donors to pay the recurrent costs of the ANP. LOTFA funds are expended through a project mechanism titled ‘Support to Law and Order in Afghanistan’, which is implemented by the Afghanistan Ministry of the Interior. The project focuses on payment of police, procurement, operations and maintenance of non-lethal equipment, rehabilitation, reconstruction, operations and maintenance of police facilities, institutional development, and encouraging gender orientation. The expected outcome of the project is a better trained and sufficiently resourced ANP contributing to the return of law and order across the country, in turn promoting national, regional and global security. It is expected that a fully constituted, professional, functional and ethnically balanced ANP and Afghan Border Police with a combined force of 62,000 will be strengthened and able to meet the security needs of the country.

The project is managed under NEX. While a Steering Committee is responsible for making executive management decisions, the project has grown in complexity, size and scale, demanding significant engagement from senior management at the UNDP country office to ensure the effectiveness of the project. While the LOTFA project is delivering on its stated objectives, there remain challenges in attracting and retaining police and in building public confidence in the ANP—which is undermined by problems with their capacity to tackle security challenges, their overall effectiveness, persistent corruption, and a general lack of oversight. These contextual issues are integral to the project achieving its intended outcome of a better trained and appropriately

⁵¹ Jones, James L. USMSC (Ret.) and Amb. Thomas R. Pickering (Co-Chairs), ‘Afghanistan Study Group Report: Revitalizing our Efforts, Rethinking our Strategies’, The Center For the Study of the Presidency, Second Edition, 30 January 2008, page 24.

resourced ANP. The project outcome is logically linked to UNDAF and CPAP outcomes focused on strengthening a democratic state and government institutions at national and sub-national levels.

LOTFA is now in its fifth phase and progressing in line with its work plan. An external evaluation in 2005 noted that progress in ANP reform was only occurring on the payment of police salaries, which is the direct responsibility of the UNDP project. Efforts have since increased in other areas, but the technical training and reform of the police, which are the responsibility of other donors,⁵² have progressed less rapidly. With UNDP support, an Electronic Payroll System has been deployed in all 34 provinces and is operational in at least 106 out of 115 payroll stations. More than 60,000 police are on the Electronic Payroll System of the Ministry of Interior, while approximately 33,000 people are now receiving their salaries in their individual bank accounts. More than 480 female police have been recruited and the recruitment campaign is still underway. The Ministry of Interior's commitment to gender-sensitive management appears to be further demonstrated by the establishment of a gender unit with UNDP support and open discussion within the Ministry on steps to bring women into the centre of its work. In phase four, agreements were reached for the recruitment of additional Afghan National Auxiliary Police forces within the JCMB approved ceiling of 82,000 to support police operations in the insecure regions of the country and to maintain security and community order. The computerized payroll management software produced under the project is reportedly in demand from other agencies of government.

LOTFA is ensuring that police officers are receiving regular monthly salaries. Yet

beyond those receiving electronic transfers and achievements in raising transparency and accountability and building reliable systems, a significant number of police are still receiving payments in cash and leakages cannot be ruled out. A headcount of ANP conducted in August and September 2007 uncovered discrepancies between the actual number of personnel and the payroll lists. As a result, in October 2007 the JCMB called for a review of the quality and structures of ANP as well as for a report on actions taken to harmonize the payroll with actual police numbers. At its next meeting, the JCMB called on the International Police Coordination Board, which coordinates all international efforts to support the reform of the Ministry of the Interior and ANP, to develop an overarching reform strategy for the police, balancing the needs of law enforcement and counter-insurgency. At the heart of issue of actual police numbers is their presence and ability on the ground to enforce security. A recent UNAMA study of the northern region suggests that the most significant problem lies in the lack of police on the ground (a shortfall of one-third per the new *Tashkil*⁵³), in the quality of the police, and in poor infrastructure and equipment. Their effectiveness is further undermined by corruption within the force, which persists at all levels, and enforcement measures to address it are lax to non-existent. The trust in public services at central and local levels is much more difficult to measure and is intertwined with the overall sense of security that Afghans feel, which is clearly declining due to the pervasive security threats growing nationally.

A continuing problem hampering LOTFA effectiveness highlighted by the Ministry of Interior relates to donor contributions not arriving on time, which has delayed projects and undermined efforts to reward those districts and provinces making progress towards peace. The

⁵² German and Italian bilateral assistance were to take a lead in the sector. The U.S. government has since stepped in, but conceptual differences still exist between bilateral donors over the role and functions of the police and therefore the corresponding reforms are still to be implemented.

⁵³ *Tashkil* is an organizational document that dictates force structure, personnel end strength, command relationships, and unit/staff functions and mission descriptions for the ANP.

debate over support costs retained by UNDP was a major cause for delay. It is unclear why UNDP could not create a separate technical cooperation project under LOTFA for capacity building that would charge regular project support costs and budget a number of the other costs directly associated with LOTFA, while taking a lower, more standard fee associated with pass-through funding. Such an arrangement would raise the level of transparency and confidence levels among stakeholders.

In previous phases, partners expressed some concern about UNDP ability to provide ‘oversight and diligence’ needed to ensure that the contributions were used as expected, particularly in the field. This led to some donors, such as the European Community, imposing conditions upon their contributions to ensure accountability and transparency (particularly in the salary management systems) and hiring an independent monitoring agent for LOTFA phase five to account for the fund’s disbursements. One key donor expressed interest in seeing UNDP focus efforts on supporting the Ministry of Interior, the Ministry of Finance, and the monitoring agent to ensure that donor requirements for transparency and accountability are met, and make recommendations on how institutional capacity in the Ministry of Interior can be enhanced and improved. Similar observations and recommendations were also made in the 2005 external evaluation of LOTFA, suggesting that UNDP has not yet implemented necessary changes.

3.2.2.3 Support to the judiciary

From 2002 to 2005, UNDP jointly with UNAMA sought to support the development of the justice system—the foundations of which had been destroyed in the Taliban era. The Rebuilding of the Justice Sector Project partnered with the Justice Reform Commission and focused on the development of the permanent justice institutions of the Government of Afghanistan and the Faculty of Law at Kabul University, as well as for the reform initiatives of the Justice Reform Commission.

Key accomplishments outlined by the evaluation of the Rebuilding of the Justice Sector Project conducted by the country office in 2006 include the following:

- Support to national justice institutions in developing a 10-year National Justice Strategy (including the consultative process that led to it)
- Support for the Judicial Reform Commission, enabling it to establish its Secretariat, recruit key staff, develop its work programme, and successfully transition its work to the permanent justice institutions
- Support for law reform—key legislation passed relating to a variety of topics

The project also supported the public administration and institutional reform of justice institutions, the capacity development of justice sector professionals, and legal education reform. It also provided for reconstruction of Ministry of Justice buildings in Kabul and five other provinces and facilitated improved communication and coordination within the justice sector and amongst national justice institutions—in particular through the revival of the Justice Consultative Group Mechanism. Project results were hampered by security challenges, and coordination was rendered difficult by ‘crowding’ of the justice sector by different international actors who are not keen to be coordinated. The evaluation underscored the need for attention to how UNDP and UNAMA can work together in a more integrated manner, supporting each other in achieving shared goals. The evaluation recommended that UNDP play a stronger role in building government capacity to rebuild the justice sector and developing, coordinating and implementing a strategic approach through the ANDS and the Justice for All Strategy—tasks for which UNDP would need additional human resources.

UNDP justice-related work at the national level has had to adapt to a changing context with multiple players vying for the same pie,

and a consequent decline in donor interest to support its project. In the absence of significant TRAC resources allocated to the sector and its heavy dependence on third-party cost sharing, UNDP's continuing role is precarious, despite the need to have the United Nations involved as a neutral party in a sector rife with bilateral donor interests. After the Bonn Agreement (from 2002 to 2005), support to the justice sector was fragmented. However, the 2006-2008 Strengthening the Justice System of Afghanistan Programme sought to build upon the accomplishments of the Rebuilding of the Justice Sector Project and to respond to government priorities as articulated in the 10-year National Strategic Framework, Justice for All Strategy, and the momentum for better coordination through the Consultative Group. National priorities were focused around the development of a functional, affordable and sustainable justice system that is accessible to all Afghans and that conforms to international minimally acceptable standards.

The US\$21,319,914 Strengthening the Justice System of Afghanistan Programme, partnering with the three justice institutions and the University of Kabul, strengthened their capacity as well as that of the legal education institutions, and rehabilitated the physical facilities for the justice sector. However, national political commitment shifted toward the drafting of a Justice Strategy within the ANDS framework. This process culminated at the Rome Conference in 2007 with the commitment to draft a consolidated National Justice Systemic Strategy and a National Justice Programme. Lacking funds, the project was scaled down to focus on a basic legal-rights public awareness campaign with the Ministry of Justice, establishing a translation and publication unit at the Supreme Court, and supporting the drafting process of the National Justice Systemic Strategy and development of the National Justice Programme. While originally intended to move from DEX to NEX, this did not materialize following the downsizing.

The draft consolidated National Justice Systemic Strategy is now being edited and finalized. UNDP's primary added value in this process was ensuring the process and product were nationally owned and objective. UNDP also participated in the Justice Sector Working Group and sub-working groups linked to the ANDS process. Aims and expectations related to physical rehabilitation and institutional capacity building have not been fully realized due to downsizing. UNDP had to leave its office located within the Ministry of Justice. Nevertheless, a Technical Advisor provides some support to the Ministry of Justice, Attorney General's Office and the Supreme Court, although there is disappointment within the Ministry of Justice over a lack of UNDP presence and reporting on its work.

Despite the politicization of the justice sector at the national level, with advisors from many bilaterals working in an uncoordinated manner, UNDP has sought to retain a role as a neutral party, although it is not clear what is being achieved. Both UNAMA and UNDP acknowledged that coordination at this level has not been effective, in part due to insufficient staff in both organizations.

Support to the Provincial Justice Coordination Mechanism (January to December 2008) aims to improve the delivery of justice assistance in the provinces consistent with the National Justice Sector Strategy and the National Justice Programme. This US\$2,972,734 project is being implemented in partnership with UNAMA, and focuses on coordinating donor support to reform of the Afghan justice system at provincial and regional levels, to ensure regional assessments of formal and informal justice systems, and to expand programming by identifying and targeting future assistance to the district level and more remote provinces. Nine regional offices are to be set up: six will be staffed through UNDP and report to UNDP on administrative and programme support matters and UNAMA on substantive matters; three will be staffed entirely through UNAMA. The Kabul UNAMA Rule of Law Unit reports to the

International Coordination Group for Justice Reform and ANDS secretariat. The project is under DEX.

At the provincial level, the project offers a promising mechanism for promoting better integration in the justice sector both horizontally (between UNDP, UNAMA and other stakeholders in the justice sector) and vertically (between UNDP projects at all levels), to ensure coherence between strategies and activities. However, it is too early to evaluate achievements of the project because Provincial Rule of Law Coordinators, who will spearhead work at the provincial level, are new to their positions and have not even been hired in two provinces.

With the recognition that a supply-driven approach to reform of the justice sector was not resulting in improved access to justice on the ground, UNDP developed the Access to Justice at the District Level Project in collaboration with the Ministry of Justice. This 2005-2008 Project with a US\$7,200,000 budget aims to improve access to justice, focusing on refurbishing district judicial centres, training justice officials and their communities in human rights, and raising public awareness on issues of law and fundamental rights. A Project Implementation Team comprising international and national staff coordinates the overall implementation of the project, reporting to the UNDP country office. Government and partners participate in a steering committee. Despite its slow start (as the project changed its strategy from DEX to one with local NGOs implementing locally), activities have been launched in 16 districts of Balkh and Herat as pilots. While it is still early to assess many of the project results, as a number of the activities are due to be implemented in August 2008 to December 2008, those familiar with the project's achievements to date have positive impressions.

Seventeen justice facilities have been rehabilitated in relevant provinces and justice sector officials are being trained (with NGO partners) on protection of women and

children, land law, family and personal status, and disadvantaged groups in criminal law. Community leaders were trained on basic rights issues, land law, and family and personal status law. Religious leaders have also been trained in human rights law and on issues relating to women, children and disadvantaged groups. The project developed a curriculum and trained 320 teachers (42.5 percent female). The project is expected to impact 32,000 students. Media campaigns have also been undertaken at district levels including radio broadcasts, presentations, panel discussions, interviews, dramas, debates, opinion surveys, songs, stories, documentaries and other methods to raise public awareness on human rights and administration of justice issues. The project has monitored follow up missions to discuss the results of training and awareness sessions for justice sector officials, community leaders, religious leaders, school teachers and school children, and to incorporate lessons learned.

The Access to Justice at the District Level Project is in an important niche. Yet the project is not known or understood by partners working in the justice sector, such as UNAMA staff working in political and humanitarian sectors in the Mazar province. The Deputy Minister of Justice was also unaware of the project, rendering the effectiveness of the project questionable. Given the lack of time for comprehensive project-level assessment, the evaluation team could not conduct deeper investigation into the reasons.

3.2.3 STATE BUILDING

3.2.3.1 Support to the Centre of Government (SCOG)

The Government of Afghanistan is highly centralized (see Annex 9). For political reasons, the central government has felt compelled to reinforce its authority since 2002 as part of an overall effort to reduce the centrifugal forces that existed prior to 2001 and were in danger of being reinforced in the immediate aftermath of the ousting of the Taliban regime.

Box 4. Main findings: Rule of law and security sector reform

In the early recovery period, UNDP played an important role in rehabilitating essential facilities in the justice sector. Unlike other actors in the sector, UNDP now has projects at the national, regional, provincial and district levels. However, operating in the sector is not easy for UNDP and it is not clear whether it can, under the circumstances, provide significant value despite the obvious developmental importance of having a multilateral agency in such a politically sensitive sector.

At the national level, UNDP justice-related work has had to adapt to a changing context with multiple players vying for the same slice of pie and a consequent decline in donor interest to support its project. The Strengthening the Justice System of Afghanistan Project (2006-2008) has thus scaled down over time and UNDP has sought to retain a role as a neutral party in a highly politicized and crowded sector of crucial importance to peace-building.

At the provincial level, support to the Provincial Justice Coordination Mechanism is a promising mechanism for promoting better integration in the sector to ensure coherence between strategies and activities. It is too early to evaluate achievements. Access to Justice at the District Level is now operational in Balkh and Herat as pilots. Stakeholder perceptions are positive, but it is too early to assess results.

The UNDP administered LOTFA is in its fifth phase. Significant improvements had been registered in the payment of police salaries. An Electronic Payroll System has been deployed in all 34 provinces, is operational in at least 106 out of 115 payroll stations and is in demand from other government agencies. Yet a significant number of police are receiving payments in cash and leakages cannot be ruled out. There may still be a number of 'ghost' police as it is not clear whether this problem has been tackled. A significant number of women police have been recruited and the recruitment campaign is still underway. A gender unit has been established and the role of women in the police is being developed.

A continuing problem highlighted by the Ministry of Interior is delays in donor contributions, with controversy over support costs retained by UNDP being a major cause for delay. Perceptions of corruption still remain and cannot be tackled as long as it is widespread and enforcement lax to non-existent. UNAMA staff in regional offices appear unaware of LOTFA and the central role of UNDP in it.

As governance of the country has become more complex and unwieldy, functions have been increasingly drawn within the purview of the Office of the President. This has resulted in a continuous expansion of the role and functions of the institutions at the centre of government that directly support the President. This shift has been reactive and haphazard. Inevitably, implementation and the development of capacity in the immediate environs of the President's office reflect this. Yet, for obvious reasons of strategic positioning, key bilateral donors have had a strong interest in supporting the effectiveness of the centre of government. UNDP was brought into the picture as a less contentious vehicle for delivering assistance.

As discussed in the limitations of the methodology, the evaluation team did not meet many of the key figures in the SCOG Project. The following analysis is largely based on a review of the latest annual review undertaken by DFID,⁵⁴ the UNDP response to the review, and basic project documentation.

SCOG Phase II is a US\$16.3 million joint initiative funded by the DFID in conjunction with USAID and is intended to build capacity of the centre of government institutions that provide policy-related and administrative support to the Cabinet, and build capacity of the President as head of government and as head of state. Managed by UNDP, the project is implemented

⁵⁴ Atos Consulting, 'Support to the Centre of Government: Annual Review', 26 August 2008.

through the Asia Foundation. The project began implementation in July 2006 and has a duration of three years. SCOG aims to assist the government in implementing a coherent restructuring programme for the centre of government institutions including the streamlining of systems; delivery of a comprehensive programme of capacity building in all centre of government institutions; implementing the agreed functions, roles, responsibilities and reporting lines between the centre of government institutions; and establishing processes and procedures for linking government and the legislature. The programme is also intended to facilitate the interaction between two crucial branches of government and to support the process of democratization.

The project has made progress in facilitating and delivering physical infrastructure, including facilities and information technology resources. It has also, to varying degrees:

- Established a framework and methodology for appraising and redesigning administrative processes and redesigned core processes such as procurement, correspondence management, human resources management, and financial management
- Provided basic skills training in English and information and communications technology for a large number of staff across both organizations
- Assisted the organizations in putting in place human resource management systems, developing financial management systems focused on budgeting processes, and monitoring budget execution
- Started to deliver a framework for effective management of human resources in both organizations

The project has had less influence in clarifying and institutionalizing the roles and functions of the Office of Administrative Affairs and the Office of the Chief of Staff. According to the review, there is no single unified vision among stakeholders of what roles the Office of

Administrative Affairs and Office of the Chief of Staff should play in supporting the President. This clearly renders a systematic management reform process difficult as an overall contextual, strategic framework is lacking. At the centre, there is a proliferation of units that have been accorded the lead on cross-government policy and strategy issues relating to development and reform of public services in Afghanistan.

UNDP has been a party to some of this proliferation of functions and institutions, for example:

- ANDS provides a framework for development and institutional reforms, and has a Secretariat as well as a dedicated Oversight Committee
- Public administration reform and building of related service capacity is led by the Civil Service Commission that reports to the President, under supervision of a Cabinet sub-committee on public administration reform
- An Inter-ministerial Commission for Capacity Development has been established that is to lead on capacity development and provide a mechanism for aid coordination—a function also carried out by the Aid Coordination Unit in the Ministry of Finance

In addition to its support for SCOG, UNDP is supporting each of the above institutions under separate, standalone programmes. These institutions are all externally funded, often with very high salaries paid to staff who are under outside contracts and, in many cases, undermine the role and responsibility of government line agencies. This centralization also increases the potential for jurisdictional overlap and confusion. Yet, because of the way in which the line ministries have been distributed among disparate groups and parties, the overriding incentive is for the President to draw oversight and functions close to his office. Indeed, the President chairs most of the inter-ministerial committees.

It is not clear to what extent UNDP can directly influence this trend. It has, in the case of the

ANDS, sought to bring the management process more closely into the Ministry of Finance and to disband the ANDS Secretariat that reported to the President. Yet the new Economic Adviser to the President now has oversight responsibility for the ANDS implementation process.

Perhaps ironically, this trend runs the risk of landing both significant successes and significant failures of policy at the doorstep of the President.

3.2.3.2 Support to the Civil Service Commission

Systemic reform of the civil service is difficult to achieve in a post-conflict transition, as it is inherently destabilizing and can be a potential source of conflict. Nevertheless, UNDP has agreed to work with the government on the issue, as it is essential for the creation of effective government capacity. Success of the programme to date is impressive from a policy standpoint.

IARCSC was established as the apex body reporting directly to the President. Its job was to spearhead the administrative and civil service reforms essential to creating a modern public administration and to revamping a civil service that lacked capacity and was poorly trained and equipped. It also had the mandate to streamline the civil service, which had ballooned with the proliferation of agencies created as part of the political negotiations and to camouflage severe redundancies and ghost workers. IARCSC had extremely low salaries that resulted in moonlighting, low commitment and rapid turnover of staff as opportunities began to proliferate for the best staff with the influx of ODA.

In addition to the funds directly channelled to IARCSC to strengthen its capacity and support its work, IARCSC has also benefited from funds channelled through UNDP CAP and ASGP programmes. IARCSC estimates that US\$1.5 billion has been spent on capacity building since 2002, and the results are patchy. Therefore, IARCSC has attempted, with UNDP support, to address capacity from a broad systemic

perspective, devising a comprehensive strategy for the reform of the civil service. Under the project, IARCSC was equipped with the usual physical facilities, equipment and furniture. It was also provided with coaches under the CAP and international experts in civil service reform to develop its capacity and implement the programme. Seventeen training centres were established around the country and another three to four are to be established at the sub-national level. A total of 240 civil servants have been provided with leadership training at these facilities, and a further 240 are to be trained prior to completion of the project. Human resource databases have been established in six regions to support human resource management at the provincial level. UNDP has supported public information campaigns concerning the work of IARCSC and helped establish procedures and policies for communication to the public to boost transparency. Staff in key positions have been selected to receive resident coaches under the CAP programme at the national level and had, as of September 2008, received nine months of on-the-job training. The Deputy Minister of IARCSC indicated that the CAP programme was “by far more effective than any other programme for capacity building sent to date” and that IARCSC would like to see it expanded to the sub-national level. The IARCSC project has had several results:

- Introduced a merit-based appointment and promotions system for civil servants geared to identifying and retaining the best civil servants.
- Introduced a results-based annual performance appraisal system
- Increased the number of steps within the each grade from two to five and decompressed the salary scale with a view to creating performance incentives linked to promotion within grade and between grades
- Twice raised salaries by 25 percent to 40 percent since 2002 in the hope of retaining civil servants without recourse to externally funded positions and salary supplements

Central to the reforms is that promotions are no longer automatic and are subject to performance appraisal and competition between staff. However, reforms are difficult to implement—all the more so in an environment in which ministries have been created as political incentives as part of the peace process and in which results-based appraisal is an alien notion.

The results of the introduction of these reforms will only be visible following a period of 5 to 10 years and once external project implementation units, salary supplements and externally funded positions have been phased out.

3.2.3.3 Capacity for the Afghan Public Service (CAP) Programme

With an initial target budget of US\$7.7 million, funded primarily by the Government of India and the Canadian International Development Agency (CIDA), CAP is considered by the government to be one of the most successful and cost-effective programmes for the development of national capacity. All but about US\$300,000 of the target budget has been received to date. The principal counterpart of the CAP is the Independent Afghanistan Civil Service Commission, which falls under the Office of the President and has been accorded principal responsibility for the implementation of the civil service and public administration reforms. More recently, CAP has also been working closely with IDLG, which also reports to the President and has been accorded responsibility for reforming and strengthening local governance.

CAP has focused on three service components: providing coaching and advisory services to senior civil servants and other line functionaries; providing basic management and administration services at the provincial and district levels; and developing a national market of capacity builders through the provision of international, regional and Afghan national coaching and advisory services on a large scale and at reduced cost. In the longer term, the aim is to demonstrate the capacity development effectiveness of CAP and to internalize it as a permanent instrument of the government.

CAP encourages South-South cooperation and draws on sources ranging from civil services within Asia, universities, private firms and local NGOs. CAP has partnered with the Government of India and the successful output of the project has led to an extension of this inter-governmental partnership. Similar partnerships are being sought within the South Asian region and an agreement with the Government of Sri Lanka is at its final stage.

The fundamental approach of CAP is to provide on-the-job training, coaching and mentoring to Afghan officials through the assignment of staff with experience and qualifications from well-established civil service systems in the region. To further extend its effectiveness, the international coaches have, in some instances, been paired with national coaches who, once they have received exposure to the coaching and mentoring process, can go on to replicate the function elsewhere. This will serve as a cost-effective multiplier for the project, raising its overall efficiency. CAP has recruited 29 international coaches from the Indian Civil Services under a Memorandum of Understanding signed between the Government of India, the Government of Afghanistan and UNDP. Two international coaches have been recruited as United Nations Volunteers (UNVs) to work at the sub-national level. The project has also recruited 33 Afghan national coaches, who are working in close collaboration with the international coaches. All the successfully recruited international and national coaches have been assigned to government ministries and institutions.

In line with the overall priorities of the government and UNAMA, CAP is increasing its focus on sub-national level interventions. The first step has been the recruitment of international coaches for the sub-national level from the open market and from UNV. The project will concentrate on capacity development for general administration and office management to strengthen Government service delivery functions at the sub-national level.

A collaborative partnership has been initiated between CAP and UNDP's ASGP to deliver coaching services at the sub-national level in support of ASGP priorities.

The first assessment of the effectiveness of the CAP took place March 2008, after 11 coaches in 9 government ministries and agencies had completed six months of assignment (see Annex 10). CAP undertook a rapid impact assessment, seeking feedback from the beneficiaries on the performance of the project in their ministry or agency and their satisfaction with the project approach, methodology and impact. The results showed high satisfaction among stakeholders. A noticeable outcome of the rapid impact assessment was affirmation of coaching as an effective tool for capacity development. The impact of coaching on team performance, application of acquired skills and knowledge, and personal development was reported as significant. The satisfaction level in all ministries and agencies ranged between 60 and 80 percent and confirmed that coaching and mentoring enables better retention of learning than classroom training, especially when starting capacity is low. The effects of coaching and mentoring on the overall institutional performance has not been tracked systematically.

An orientation and training programme in coaching and mentoring techniques was envisaged when designing the CAP project by the German consultancy partnership InWEnt/ILTIS/APPLICATIO. The consortium visited Afghanistan for the inception mission in August 2007 to plan the design and delivery of the training programmes. The Inception Mission Report proposed a curriculum for classroom training of international coaches, a curriculum for classroom training of national coaches, a coaching manual and a web-based instrument. The consortium delivered the first one-week pilot orientation programme for

15 international coaches and advisors from the Government of India in November 2007 at the Afghanistan Civil Service Institute of the Independent Administrative Reform Civil Service Commission. The consortium also delivered the first one-week pilot training for national coaches and trainers in November 2007 at the Afghanistan Civil Service Institute of IARCSC. The second round of training for international coaches and national coaches took place in June 2008.

3.2.3.4 Support to the Ministry of Finance

One of the most successful projects that UNDP has in Afghanistan, the Making Budgets and Aid Work Project in the Ministry of Finance, has its origins in UNDP assistance during the period of early recovery when UNDP was responsible for managing direct budget support provided by donors for paying civil service salaries. Designed as direct support at a time when the government's treasury was in disarray, it involved the payment of salaries in the form of cash. By the second year, the project shifted gears to developing capacity in the Ministry of Finance to manage the payment of salaries through the national budget. The project has:

- Created capacity in the Ministry of Finance to prepare the national budget in time
- Made the budget policy-based
- Created capacity in the Treasury Department of the Ministry of Finance to manage an annual budget of US\$2 billion (in 2008)
- Created capacity to track actual expenditure and to accurately carry forward the unspent component creating a 'supplemental development budget' as a part of the annual budget
- The first supplemental development budget was approved on 9 June 2008⁵⁵

⁵⁵ For the 2008 supplemental development budget, the total expenditure is planned to be Afs 39,428 million (US\$788.56 million). The supplemental budget provides appropriations for all the sectors, thereby increasing the total core development budget for 1387 to Afs 108,836 million (US\$2,176.72 million).

- Established a degree of transparency of the budget whereby the budget is published and distributed to all budgetary units and is posted on the Ministry of Finance website
- Established customs and revenue services, able to manage the collection of revenue (that is now currently supported by the Baring Group)
- Helped establish internal audit systems to ensure a degree of accountability and transparency that has enabled an increasing volume of donor funds to be channeled through the government budget instead of being operated as independent funds outside the budget
- Helped establish a database that enables tracking of approximately 70 percent of all development assistance to Afghanistan

Considerable progress has been made in establishing a comprehensive fiscal database. All data is extracted directly using an Afghanistan Financial Management Information System terminal set up in the unit—a Microsoft Access database that allows for time series and detailed revenue and expenditure analysis down to the object code level. The database is to be used for financial programming and economic analysis, including revenue and expenditure analysis. The database automatically generates output tables for all key fiscal publications produced by the project.

Through its Fiscal Policy Unit, the project is working on developing a Financial Programming Model for Afghanistan that links the four sectors of the economy—real, monetary, external and fiscal. The model will help the Ministry of Finance monitor macroeconomic developments while also allowing it to make its own projections for all sectors of the economy. A first version of the Financial Programming templates, incorporating historic data from 2006 to 2007, has been completed. This exercise involved close liaison with other key agencies such as the Central Statistical Office, Central Bank of Afghanistan and the Ministry of

Agriculture. Some sectoral inconsistencies were found between the information provided by the respective agencies, which the Fiscal Policy Unit is trying to reconcile. Once a consistent template has been constructed, the Fiscal Policy Unit will work on projections for revenue, expenditures and other macro-economic indicators. The vision is to set up a macroeconomic committee that will meet on a periodic basis to discuss the economic outlook using the Financial Programming Model as a basis for discussion.

Actual revenues and expenditures figures were incorporated for 2008 in the Medium-term Fiscal Framework, which contains fiscal policy objectives and a set of integrated medium-term macroeconomic and fiscal targets and projections. The updated Medium-term Fiscal Framework will form the basis for future national budget preparations.

Different analyses of the fiscal implications of the pay and grading system over the medium term were prepared and presented to senior management of the Ministry of Finance. This analysis was used as a basis for discussion and consultation with the Civil Service Commission regarding the implementation plan of the pay and grading scheme. The implementation plan is yet to be finalized and approved by the government.

There are several factors responsible for the success of the Making Budgets and Aid Work Programme:

- Clarity of objectives
- A motivated, team of national staff in the Ministry
- A comprehensive approach to capacity building—including human resource development, systems development, creation of an environment conducive to the retention and promotion of staff
- A Ministry that is philosophically attuned to the importance of independence and the development of national capacity

Government staff on the project had their salaries entirely funded by UNDP at levels well above those received at the most senior grades in government. The project has, however, developed a clear exit strategy for UNDP. Current project staff are working as mentors with understudies who have been recruited based on their competence and academic qualifications and are paid at government rates from the Ministry's own budget. The idea is that as the project ends and the national project staff salaries are phased out, the understudies will take on the line functions of budget preparation and the like. It is assumed that the highly qualified and trained national personnel already leading project implementation and servings as mentors and coaches are going to leave for lucrative positions elsewhere. It is yet to be seen whether the Ministry will be able to retain these staff once they are fully trained and are faced with the lure of possible recruitment by other donor projects and project implementation units within the Ministry of Finance or other government agencies.

3.2.3.5 Afghanistan Sub-National Governance Programme (ASGP)

Strengthening government outreach capacity at the local level for the effective delivery of services and bringing a degree of stability and development to smaller urban and rural areas of Afghanistan is currently viewed by the government, UNAMA and UNDP as one of the highest priorities in the process of building long-term peace. As UNDP's flagship programme in the high priority area of local governance, ASGP has a total budget of US\$43.2 million.

ASGP has had several of the main government agencies that work on sub national governance at the provincial level as its implementing partners: the Ministry of Interior Civil Administration Branch, IARCSC and the Office of Administrative Affairs. Several of these units were merged into the new IDLG⁵⁶ during the first year of programme implementation with a view to: bring the process of strengthening local governance under the direct authority of the President, to whom IDLG reports; ensure a more coherent approach; and gain momentum in extending benefits of the peace process witnessed at the centre to the provincial level and below. Capacity development work began with the individual institutions and has continued with IDLG. No doubt the restructuring—at least initially—also slowed programme implementation.

As with many of the other programmes reviewed, it is too early to effectively evaluate the results achieved under ASGP at the level of outcomes and impact. Results at the outcome level are dependent on the effects systems development and training have had on budget and revenue management as well as service delivery. It is unlikely that results will be meaningfully measurable before 2009 or 2010. The following is a summary of outputs and activities undertaken to date.

In its first full year of implementation, ASGP established a close relationship with IDLG and other key entities including signing Letters of Agreement stipulating the implementation guidelines and primary role of the government in the programme. These have been

⁵⁶ The IDLG was established through a Presidential Decree signed on 30 August 2007. The directorate is mandated to improve governance and achieve stability and security through improved governance. The Deputy Minister of Administration of the Ministry of Interior and the Deputy Director of the Provincial Council Support of Office of Administrative Affairs along with their staff, have become part of the IDLG. The Presidential Decree accords the IDLG responsibility for the supervision of Provincial Governors, District Governors, Provincial Councils, and Municipalities (except Kabul Municipality). The President has expressed his expectation that IDLG will “connect the people with the government and achieves significant improvements in service delivery” at the sub-national level. The IDLG mission is to “consolidate peace and stability, achieve development and equitable economic growth; and to achieve improvements in service delivery through just and democratic processes and institutions of good governance at the sub-national level, thus improving the quality of life of Afghan citizens.” The Ministry of Interior Civil Affairs Branch was subsumed into the IDLG in September 2007, along with the Office of Administrative Affairs Provincial Councils Resource and Coordination Department and the Afghanistan Stabilization Programme.

supported by the development of sub-projects or task orders that define the different activities to be run. The intention was to establish a foundation for stakeholder participation in the programme. Sub-projects are currently under implementation.

Capacity development is the primary focus of ASGP assistance. This was particularly the case during its first year of operation, as most of the ASGP implementing partners had minimal experience with programming overseas development assistance. In its first major capacity development initiative, ASGP assisted the Ministry of Interior Civil Affairs Branch in drafting a civil administration strategy for ANDS that included an implementation programme and a comprehensive capacity development plan. The plan included initiatives to develop their capacity to design, develop and implement a strategic legal and institutional framework for sub-national governance for Afghanistan. Five specific activities were developed in line with the objectives of the civil administration strategy, and as a result, IDLG has initiated organizational restructuring, development of human resources, merit-based recruitment, development of systems for reporting, and development of a system to monitor progress in order to improve the institutional framework for sub-national governance, including completion of the third phase of implementation of Priority Reform and Restructuring under the overall aegis of IARCSC.

ASGP has held training sessions on reporting lines, management information systems, office procedures, public administration reform and policy formulation. Mentoring of IDLG officials was also undertaken by ASGP for the design, development and implementation of a comprehensive legal and institutional sub-national governance framework.

Within the Ministry of Interior, ASGP assisted in developing a civil administration strategy that spurred organizational restructuring and merit-based appointment of personnel. ASGP also assisted the Ministry of Interior in creating

a comprehensive legal and institutional sub-national governance framework. This was done through on-the-job coaching (in collaboration with the CAP project) and formal training and workshops on subjects such as reporting, monitoring progress and human resources. Training material was also developed for provincial and district governors on office procedures, gender mainstreaming and human resources processes.

Similar capacity development programmes have been carried out with the Provincial Councils Resource and Coordination Department of the Office of Administrative Affairs and IARCSC, and capacity development strategies have been developed for both.

In consultation with senior officials of IDLG, ASGP drafted a comprehensive Manual of Office Procedures for Afghanistan, based on a review of existing procedures. A Reporting and Management Information System was also drafted and Management Information System officers were trained. ASGP assisted IDLG in designing their organizational structure and drafting staff terms of reference and job descriptions. In addition, model Rules of Procedure were prepared for Provincial and District Governors' offices. ASGP provided technical and logistic support to IDLG in formulating the IDLG Strategic Framework. ASGP supported IDLG in developing its strategic work plan.

As a member of the IDLG Strategic Work Plan Development Team (which comprised the Asia Foundation, USAID Capacity Development Programme and ASGP), ASGP helped design mechanisms for collaborating with IARCSC to facilitate its direct engagement in project activity design and implementation. Through the development and implementation of task orders, which are distinct sub-projects of the programme components, ASGP worked with IARCSC to standardize procedures planning, developing a 'Work Breakdown Structure', process flow analysis, the preparation of procurement and recruitment documentation, budget preparation and the harmonization of

monitoring standards and practices to enable joint work using funding under ASGP. With IARCSC and Norwegian funding, ASGP is supporting the Faryab Training Centre. During two semesters, 165 civil servants, including 40 women, were trained in basic programme management at this provincial training centre. The results of this training have not been tracked.

ASGP also developed training materials for provincial and district officials in Faryab on several topics: roles and relationships between provincial institutions, provincial recruitment committees, communication, development and planning orientation for the Provincial Development Council, monitoring and evaluation for the Provincial Council, and gender mainstreaming. During the reporting period, ASGP conducted 22 formal workshops and training sessions in addition to continuous on-the-job mentoring provided by the resident CAP advisor to all local governance institutions in the province. Municipal and revenue officials were trained in revenue projection and management techniques. In previous years, revenue projections, which are included in the annual budgets, were determined arbitrarily and prepared merely to justify expenditure budgets. As a result, municipalities became notorious for under-achieving their revenue targets. Municipal and provincial government officials, elected Provincial Councils and representatives of business and community groups were trained in revenue improvement action planning workshops.

Awareness of the problems associated with solid waste management has been increased among households and establishments that participated in a waste assessment exercise. This is intended to pave the way for better public participation in subsequent solid waste management improvement activities. Rules of Procedures for Provincial Councilors were drafted in consultation with the regional coordinators of the

Provincial Councils Resource and Coordination Department of IDLG. Support was given to Provincial Councilors of Zabul, Badakhshan, Daykundi, Nangarhar, Laghman, Kunar, Takhar, Kunduz and Baghlan provinces on amendment of the Provincial Council Law and the new associated rules.

Since the second quarter of 2008, ASGP has assisted IDLG in preparing the first draft of local governance policy for the government.

IDLG has identified the following as the principal constraints at the provincial level:⁵⁷

- Weak mechanisms of participation of the public in decision making
- Lack of democratic representation at district, municipal and village level
- Meager revenues of local governance entities
- Absence of mechanisms for private-sector participation
- Poor quality of services
- Fragmentation of governance at sub-national level into different entities, which are not unified and coherent
- Inadequate public-sector transparency and accountability
- Lack of efficiency
- Rapid changes in the institutional framework for management of local governance since 2002 with the election of provincial councils, the establishment of PRTs, CDCs, DDAs and provincial development committees
- Unclear delineation of responsibilities due to confusing and vague legislation and multiple players (donors and government)
- Inter-ministerial rivalry
- Low capacity at all levels of sub-national governance and in all the relevant

⁵⁷ Summarized from interviews with the Director, IDLG and national staff of the ASGP programme.

entities— government, private sector and civil society

- Proliferation of coordinating mechanisms at the provincial level that lead to weak coordination
- Plethora of extra-constitutional power centers in the provinces and districts, such as warlords and commanders

One of the principal ASGP concerns is the potential for competition and a lack of coherence between institutions supported by the principal partner of the NABDP programme (MRRD), such as the CDCs and the DDAs. The tendency is to try to systematize all organizations at the sub-national level and to attempt to bring them under the oversight of the government. Drawing inspiration from the *Panchayati Raj* system⁵⁸ in India, IDLG and ASGP have indicated that one strategy might be to insist that CDCs become legal entities within the government budget. IDLG also argues that once District Development Councils are elected (elections are scheduled for 2010), their role is going to overlap with some of the functions currently being performed by the DDAs that were created under the NABDP/MRRD programme during the ANDS process.

Rationalization of the status of institutions at the local level is already a source of friction between MRRD and IDLG and may have spill-over effects at the local level if it is not resolved soon. The role of the DDAs is likely to be the most problematic and it will eventually be difficult to justify their existence if District Development Council elections are held successfully. However, it is unlikely that the formal institutions of government will be able to extend down to the village level. The CDCs should continue to be encouraged but should remain as civil society

organizations and not be funded by government resources, except for the implementation of community-level projects. This recommendation is at odds with the current draft policy that is based on an assumption that village council elections will eventually be held. It is difficult to see how the state can entertain such a notion without its apparatus becoming unwieldy.

During the past nine months, ASGP has worked with IDLG and other partners to develop a comprehensive policy on local governance.⁵⁹ This policy has been issued in draft form and is currently undergoing an internal review within the government. While the draft does not have official status yet, it is important in that it has sought to rationalize the roles of the numerous institutions operating at the local level—most of which have been created or significantly restructured since 2002, often in a haphazard manner. Specifically, the draft policy attempts to rationalize the role, responsibilities and jurisdictions of the following institutions *vis-à-vis* each other and with respect to the public:

- Provincial and District Governors
- Provincial Deputy Governors
- Provincial and District Councils
- Ministry and Line Departments and District Offices
- Provincial Development Councils, Provincial Administrative Assemblies, District Development Authorities, District Administrative Assemblies
- Village Councils and CDCs

The draft also outlines issues such as a code of conduct for civil servants, the role of local institutions in the allocation and management of funds, the level of delegation involved and the overall

⁵⁸ The *Panchayat* is a South Asian political system. 'Panchayat' literally means assembly (*yat*) of five (*panch*) wise and respected elders chosen and accepted by the village community. 'Raj' literally means governance or government. Traditionally, these assemblies settled disputes between individuals and villages. Modern Indian government has decentralised several administrative functions to the village level, empowering elected gram panchayats.

⁵⁹ Islamic Republic of Afghanistan, 'Draft Sub-National Governance Policy', 10 September 2008.

sub-national planning process. The draft even attempts to outline the role of transitional actors such as the PRTs. While it is not clear how much of the draft will survive with respect to DDAs and CDCs, it states the following:⁶⁰

“District Development Assemblies (DDAs) will maintain their current roles and responsibilities until the constitutionally mandated district councils are elected in 2010 and constitutionally mandated village councils are elected in 2011. DDAs will perform the planning function of District Councils till constitutionally-mandated District Councils come into existence. DDAs will prepare district development plan based on local needs and priorities of people in the district.... Constitutionally-mandated Village Councils shall be elected in 2011. Village Councils will be responsible for oversight, monitoring and evaluation, quality assurance, performance management over the government service delivery; administration, financial management of the grants received, co-production of development goods and services; regulation such as construction regulations, security regulations and zoning; and liaison with communities, civil society and media. The Village Councils will help maintain peace, security, public order and stability; help maintain rule of law, human rights, and good governance; help reduce poverty; help attain MDGs; eliminate customs contrary to the law and sharia. Village Councils will have role in counter narcotics, disaster management, social protection; dispute resolution; management of village commons; natural resources management; environmental protection; land registration; determination of village boundaries; population

registration and vital statistics; and coordination with governance entities at higher level. Village Councils will plan and coordinate with district offices of line ministries, which are present at the district level, District Governors, District Councils and entities at higher level governance. The Village Council will submit village development plans to District Governor for approval and consolidation. The Village Council will encourage and facilitate citizen participation in planning and identification of village priorities.

Until 2011, the CDCs, under the overall guidance of Provincial Governor and in consultation with District Governor, will carry out the above mentioned future roles and responsibilities of village councils. When the Constitutionally-mandated Village Councils are elected, CDCs may cease to exist. They will be at liberty to continue as Civil Society based organizations engaged in community-driven development (CDD). CDCs are presently accountable to the people who elect them. CDCs are also accountable to the Ministry of Rural Rehabilitation and Development who provides them block grant. CDCs will be accountable to people while they perform the future role of Village Councils.”

While the policy describes the relationship between the institutions of government and the people, as well their role in implementation, there is no real fiscal decentralization. With respect to implementation, the Executive Summary of the draft policy states that: “Provincial and District Governors will be substantially enhanced. The Ministries will scale down deciding and procuring on behalf of the Provinces. The Centre will trust the Provinces

⁶⁰ Islamic Republic of Afghanistan, ‘Draft Sub-National Governance Policy: Executive Summary’, 10 September 2008, pages 9-10.

and, the central ministries will trust the provincial line departments to make right decisions based on local preferences.” Yet, revenue collected locally is generally expected to be remitted to Kabul, where it is then reallocated through fiscal transfers back to the local level. The level of delegation involved is left up to the discretion of individual line ministries, inviting what significant confusion:

“Each ministry will develop an appropriate policy for delegation. Line departments will be reorganized and different powers and functions will be divided between provincial and central offices to enhance efficiency. Each ministry will allocate the function to a level that has a comparative advantage in the carrying out that function and is closest to the citizens. Delegating powers to the provincial directorates and district offices is one of the most important actions that the ministries will take to improve service delivery.”⁶¹

One important feature of ASGP is that it has sought to consult widely with stakeholders in defining priorities, scheduling activities, and the delivery of outputs. The approach of ASGP was to work with the national entities, build their capacity in the process, consult them, and let them define their priorities, scheduling, targeting and delivery. More specifically, ASGP closely involved all Director Generals and Deputy Ministers of the Ministry of Interior and IDLG, ANDS, the Office of Administrative Affairs, and IARCSC on the civil administration strategy to ensure national ownership.

ASGP also worked closely with the staff of Ministry of Interior and IDLG in the design of project activities, manuals, training programmes, and job descriptions, as well as in scheduling action plans to ensure that the capacity was developed in Ministry of Interior and IDLG to

carry out these tasks independently. National as well as international counterparts in Faryab were involved in planning and preparing specific interventions and projects through a participatory consultative mechanism. In the first stage of the project, the capacity development needs of all local key stakeholders were assessed with the help of a field assessment programme, which included field visits, interviews and discussions. During the second stage, specific measures addressing the capacity development needs were worked out in a dialogue with stakeholders. The key stakeholders then participated in the implementation of the proposed interventions as co-organisers, implementers and trainees.

3.2.3.6 Accountability and transparency

Corruption has become one of the principal threats to the legitimacy of state institutions in the eyes of the public. Realizing this, UNDP has developed a programme to address the issue. The ACT programme is a tentative entry into the area of anti-corruption. The US\$2.3 million project is funded by Norway, Italy and the TRAC and was signed in January 2007. During the design phase there were extensive consultations with government counterparts, the international community and other relevant stakeholders. In particular, the project was developed in close consultation with the Asian Development Bank and the World Bank in order to ensure close coordination and synergies.

ACT is housed in the Ministry of Finance in order to benefit from the Ministry’s political leadership, strong relationship with other public entities, and interest in promoting a broad-based approach to the development of anti-corruption policies and programmes. Other key partners include the Ministry of Justice and other government institutions, the ANDS Secretariat, United Nations Office of Drug Control (UNODC), the World Bank and Afghan civil society organizations.

⁶¹ Islamic Republic of Afghanistan, ‘Draft Sub-National Governance Policy: Executive Summary’, 10 September 2008, page 7.

Addressing a sensitive area, the project has inevitably faced difficulties. To date, it has focused on baseline studies to raise awareness and establish a basis for implementing programme activities aimed at reducing corruption and strengthening or establishing key institutions required to reduce current levels of impunity. In addition to several workshops that have addressed accountability and corruption and compared experiences, the principal products of the project have been:

- The draft report ‘A Gap Analysis of National Legislation in Afghanistan’
- A survey on transparency and accountability in aid management covering five agencies—CIDA, DFID, the Netherlands, Norway and UNDP (meetings were also held with Denmark, GTZ and the World Bank)

The project has also developed training modules and anti-corruption guides for use in conjunction with civil service training programmes for high-level officials being developed and implemented under IARCSC. ACT has also entered into a dialogue with IARCSC and the UNDP ASGP to extend the training modules to civil servants at the sub-national level.

While a number of steps have been taken by the government, including launching a report by the Inter-Institutional Commission on Corruption and drafting a new anti-corruption law that includes the establishment of a new anti-corruption body, it is not yet clear whether these initiatives will translate into concrete action and to what extent the report and the new anti-corruption body will have political and financial support. The role and continued existence of the General Independent Administration Against Corruption is unclear, although it is expected that the passing of the new law on anti-corruption will lead to its abolishment. This lack of clarity creates challenges for the project in terms of identifying and building

long-term sustainable relationships with government counterparts. It also compromises the project’s ability to identify ‘champions’ within the government, which is essential to mitigating the above-mentioned risk. It is too early to review outcome level results under this project.

The UNDP ACT programme recently established a grant facility⁶² through which three civil society organizations are scheduled to receive grants of up to US\$50,000 to implement advocacy and awareness raising activities in the fight against corruption. An important aspect of the project is to support civil society and media in promoting accountability and transparency, facilitate public awareness and education initiatives on corruption, and engage more civil society actors and local think tanks in these processes. The facility also intends to establish contacts between national civil society organizations and international NGOs in order to improve capacity and facilitate international exchanges of experience and strategies. UNDP’s Accountability and Transparency Grants Facility aims to complement the anti-corruption activities undertaken by the Afghan public sector by strengthening the engagement of civil society in pro-transparency and integrity activities, specifically supporting projects that focus on strengthening accountability and transparency and go beyond pure awareness-raising. This initiative constitutes the first effort to strengthen the advocacy and watchdog functions of Afghan civil society organizations. It should be strongly supported in light of UNDP’s emphasis on strengthening the institutions of state as it can, over time, create another essential source of checks and balances. It is difficult to see how UNDP can make substantial inroads into the problem of corruption without significantly strengthening the capacity of civil society to perform such functions.

⁶² Accountability and Transparency Project, Accountability and Transparency Grants Facility, Concept Note.

Box 5. Main findings: State building

Key bilateral donors have had a strong interest in supporting the effectiveness of the centre of government. The sensitivity of such a role brought UNDP into the picture as a relatively non-contentious vehicle. UNDP support has made progress in facilitating and delivering physical infrastructure (covering facilities and information technology resources) and has strengthened day-to-day financial and human resource management. The project has had less influence in helping to clarify and institutionalize roles and functions. In addition to its support for SCOG, UNDP is supporting several related units under standalone projects. This is contributing to centralization, increasing the potential for jurisdictional overlap and, in many cases, undermining the role of line agencies. These institutions are externally funded and staff have high salaries.

IARCSC was established to spearhead administrative and civil service reforms. IARCSC has, through the UNDP CAP and ASGP programmes, done a commendable job of addressing capacity from a broad systemic perspective, devising a comprehensive strategy for civil service reform. UNDP equipped IARCSC with physical facilities, equipment and furniture. It also provided it, under CAP, with coaches and international experts in civil service reform to develop its capacity. Seventeen training centres have been established around the country and another three to four are to be established sub-nationally. A significant number of civil servants have been trained in leadership at these facilities and an equal number are to be trained prior to completion. Human resource databases have been established at the regional level for provincial human resource management. UNDP has also supported public information campaigns concerning the work of IARCSC and helped establish procedures and policies for communicating with the public to raise transparency. Staff in key positions have received resident coaches under the CAP programme at the national level and, as of September 2008, had received nine months of on-the-job training.

The IARCSC project has laid the foundation for improved performance through the introduction of a merit-based appointment and promotions system, a results-based performance appraisal system, decompression of the salary scale, the creation of promotion incentives and two major increases in civil service salaries. The Deputy Minister of IARCSC stated that the CAP programme was “by far more effective than any other programme for capacity building to date.” CAP encourages South-South cooperation and has entered into a partnership with the Government of India. The successful output of the project has led to an extension of this inter-governmental partnership. Similar partnerships are being sought within the South Asian region and an agreement with the Government of Sri Lanka is at its final stage. The fundamental approach adopted under the project is to provide on-the-job training, coaching and mentoring to Afghan officials through the assignment of dedicated staff with extensive experience and qualifications from well-established civil service systems of the region. International coaches have been paired with national coaches who, once they have received exposure to the coaching and mentoring process, can go on to replicate the function, serving as a cost-effective multiplier. CAP is increasing its focus on sub-national level interventions. It will concentrate on capacity development for general administration and office management for the service delivery functions of local government. A collaborative partnership has been initiated between CAP and ASGP to deliver coaching services at the sub-national level in support of ASGP priorities.

Making Budgets and Aid Work in the Ministry of Finance managed direct budget support for civil service salaries. By the second year of the first phase, the project shifted gears to develop capacity to manage the payments through the national budget. The UNDP project has created capacity in the Ministry of Finance to: prepare timely, policy-based, national budgets; manage an annual budget of US\$2 billion (in 2008) through the Treasury; and track actual expenditure and accurately carry forward unspent funds in a

(cont'd) ►

'supplemental development budget' as a part of the annual budget. The budget is now transparent and distributed to all budgetary units and posted on the Internet. The project has established customs and revenue services and helped establish internal audit systems resulting in a manifold increase in donor funds channelled through the budget. A database now also tracks an estimated 70 percent of ODA. Progress has been made in establishing a fiscal database for financial programming and economic analysis. The project is developing a financial programming model that will help monitor macroeconomic developments and make economic projections. The project has developed an exit strategy that could serve as a model—current staff serve as mentors to understudies who are paid national government salaries from the Ministry's own budget and will replace the project staff. Whether this will ensure retention will be known after the project ends.

It is too early to effectively evaluate the results achieved under the ASGP at the level of outcomes and impact. ASGP has assisted the Ministry of Interior's Civil Affairs Branch in drafting a civil administration strategy for ANDS. ASGP has trained IDLG staff on reporting lines, management information systems, office procedures, public administration reform and policy formulation. ASGP has also assisted the Ministry of Interior in creating a comprehensive legal and institutional sub-national governance framework through on-the-job coaching (with the CAP project) and formal training and workshops on subjects such as reporting, monitoring progress and human resources. Training material was also developed for provincial and district governors on office procedures, gender mainstreaming and human resources processes. Similar programmes of capacity development have been carried out with the Provincial Councils Resource and Coordination Department of the Office of Administrative Affairs and IARCSC and capacity development strategies have been developed for both. The ASGP drafted a comprehensive Manual of Office Procedures for Afghanistan based on a review of existing procedures. A Reporting and Management Information System was drafted and training of Management Information System officers was undertaken. ASGP assisted IDLG in designing its organizational structure and in drafting staff terms of references and job descriptions. In addition, model Rules of Procedure were prepared for provincial and district governors' offices. Jointly with IARCSC and with Norwegian funding, ASGP is providing support to the Faryab Training Centre for civil servants. Thus far, it has trained 165 civil servants, including 40 women, in basic programme management. ASGP has developed training materials for provincial and district officials from Faryab on roles and relationships between provincial institutions, provincial recruitment committees, communication, development and planning orientation for the Provincial Development Council, monitoring and evaluation for the Provincial Council, and gender mainstreaming. ASGP has worked with IDLG and other partners to develop a comprehensive policy on local governance that seeks to rationalize the roles of local institutions—most of which have been created or significantly restructured since 2002, often haphazardly. The policy is undergoing internal government review. The draft outlines a code of conduct for civil servants, the role of local institutions in the allocation and management of funds, the level of 'delegation' involved and the overall sub-national planning process. The draft even attempts to outline the role of transitional actors such as the PRTs. There is no real fiscal decentralization involved.

ACT has faced difficulties in implementation. It has focused on baseline studies. In addition to several workshops on accountability and corruption, the principal substantive products of the project have been a draft report titled 'A Gap Analysis of National Legislation in Afghanistan' and a survey on transparency and accountability in aid management covering five agencies. ACT has recently begun working with civil society organizations, casting them in an advocacy and watchdog role and is the only UNDP programme to have done so to date.

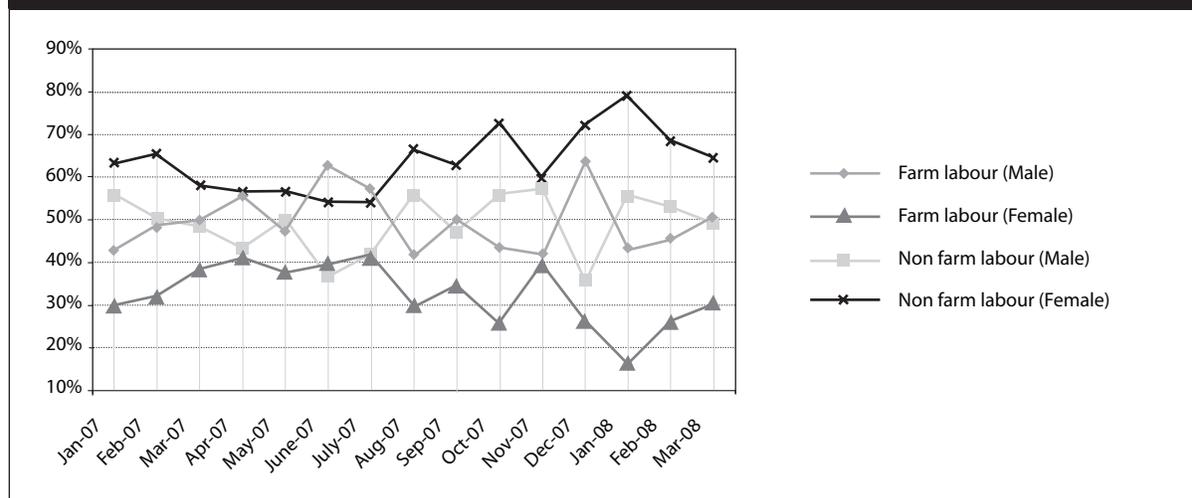
3.2.4 SUSTAINABLE LIVELIHOODS

It is difficult to measure development results in this area since 2002 because statistics are unreliable. The rise in labour supply has been dramatic. According to the ILO, the labour force has increased 19 percent from approximately 7.5 million in 2002 to approximately 9 million in 2006. Yet in a country where livelihoods are precarious and the definition of the informal sector, employment and under-employment are murky at best, the official statistics are misleading as they are no longer systematically collected or particularly accurate. Official statistics would suggest that the labour force participation rate⁶³, for a post-conflict country, was a respectable 64.6 percent in 2006. Unemployment was also officially relatively low, at approximately 9.6 percent in 2006⁶⁴, lower than several European countries. More commonly used statistics place unemployment between 32 percent and 40 percent. Official statistics of the Ministry of Labour, Social Affairs, Martyrs and Disabled suggest that Afghanistan's unemployment rate is 33 percent. Human Rights Field Monitoring data suggests a much lower

unemployment rate of 24 percent among both urban and rural males. The unemployment rate for females is stated as 54 percent in urban areas and 62 percent in rural areas.

The work patterns of vulnerable urban residents show the need to strengthen small and medium enterprises in line with priorities identified under the ANDS. Work among urban males shows very few seasonal changes and focuses around three main industries: self-employment, stable employment and daily-wage workers. The first major source of income is 'stable self-employment' (44 percent of working males), which includes various workshops, bakeries, shops and other types of businesses. The second is 'daily unskilled labour' (34 percent), which refers to those working in construction or odd jobs. The third source of income is 'stable employment', which includes government and other types of office work. A small minority of urban males reported owning a plot of land in rural areas. This group divides their time between urban and rural labour.

Figure 6. Farm and non-farm labour in Afghanistan



⁶³ The proportion of the country's working age population that engages actively in the labour market either by working or looking for work.

⁶⁴ ILO, 'Key Indicators of the Labour Market', Geneva, Switzerland, 2007.

Nearly half of urban females (45 percent) reported being employed. Their employment patterns closely match those of urban males: 37 percent are stably self-employed; 23 percent perform daily unskilled labour; and 22 percent have stable employment. These numbers show a relative emancipation of women in towns; 25 percent more urban females reported being engaged in economic activity outside of housework than did rural females.

Whatever the statistics, development practitioners in the country state that unemployment and the creation of sustainable livelihoods is the greatest challenge to the attainment of stability and long-term development in Afghanistan. The absence of job opportunities and sustainable livelihoods is widely considered not just the principal cause of low levels of human development, but a major factor in the rise of sympathy and collaboration with insurgents, in particular the Taliban (see Box 6). Armed groups, while collecting rents from rural producers, are also in a position to guarantee security

and access to markets and trade routes and are therefore able to gain the allegiance of local populations beyond the reach of the government and international community.

Although sustainable livelihoods is one of its principal areas of intervention, UNDP has addressed the issue of sustainable livelihoods relatively late and too indirectly through two flagship programmes:

- NABDP
- Support to the CNTF, which includes a window to promote alternative livelihoods (i.e. to support agriculture that is not geared to the production of opium poppies)

3.2.4.1 The National Area Based Development Programme (NABDP)

The NABDP was initially established as a vehicle for strengthening the outreach capacity of MRRD by strengthening of its provincial offices. Phase I, which spanned the period 2002 to 2005, supported the rehabilitation of MRRD offices in Kabul and at the provincial level. As with most other UNDP projects in the immediate post-conflict stage, the project involved the rehabilitation of offices, purchase of equipment and furniture, and recruitment of provincial advisers. Centred at the provincial and district levels, the programme was intended to create capacity for MRRD to implement multisectoral development projects at the local level.

Although called an ‘area development programme’, the NABDP differs significantly from area development schemes designed and implemented in post-conflict conditions by UNDP in Sudan, Central America, Cambodia, Mozambique, Somalia and even in Afghanistan during the *mujahideen* and Taliban periods, which in general have been highly successful and have served as a model for other post-conflict settings.⁶⁵ Yet most of the lessons learned from

Box 6. Reflections on jobs in Afghanistan

“If there were jobs, there would be no Taliban.

The Taliban are the same as us.

How is a dream born?

It is born of peace.

How is a dream born?

It is born of total unity.

How is a dream born?

It is born of a full stomach.

How is a dream born?

It is born of justice.

All this in itself has become a dream.”

—**Abdul Ghaffur, Street Photographer,
Old Market, Kabul**

⁶⁵ The lessons learned in other countries have been analyzed and written up in UNDP/MDGD, ‘Governance Foundations for Post-Conflict Situations: UNDP’s Experience’, by Rajeev Pillay, Management Development and Governance Division, Bureau for Development Policy, UNDP, November 1999.

these programmes were not taken into account in the design and focus of the NABDP.

The NABDP does not focus on the development of programme planning, management and monitoring capacity at the community level, nor does it focus on community organization and mobilization into local community based organizations for development purposes. This task has been largely left to the NSP, which is also funded through the World Bank and implemented by MRRD. Rather, NABDP has focused on the development of government (state) capacity to manage and implement programmes on behalf of local communities. As such, it has set aside one of UNDP's most successful patterns of assistance in developing countries in favour of model that more closely resembles integrated rural development projects championed by the World Bank in the 1970s that were abandoned for being too top down, not sufficiently representative of the needs as perceived by the beneficiaries, heavily based on the construction of infrastructure and facilities, lacking in local ownership, and developmentally unsustainable as a result. The risk of unsustainability is further compounded by the centralized management employed by MRRD, which is also reflected in the management procedures that the NABDP has had to apply.

Evolution of project activities—NABDP was launched in April 2002 and is now in its second phase. It emphasizes the creation and strengthening of systems and processes for the identification, formulation, planning, management and implementation of projects in MRRD. Phase I focused on building MRRD infrastructure and staff skills. It included urgent recovery and longer-term development in priority areas while building the government's capacity to lead and coordinate participatory approaches to development in all provinces. Phase II, taking place between 2006 and 2008, shifted focus to developing the organizational and management capabilities of MRRD. Immediate recovery projects were continued from Phase I into Phase II, which has increasingly focused on economic regeneration of local communities,

demonstrating a shift in attention that has now placed the NABDP at the centre of UNDP support to economic stimulation at the local level and sustainable livelihoods. NABDP activities are divided into three categories:

1. *Immediate recovery* achievements include:

- Distribution of urea fertilizer to 70,000 vulnerable families
- Completion of 528 small-scale infrastructure projects in Phase I and II, including school and hospital construction, water supply, roads and irrigation; 358 additional projects are ongoing
- Approximately 3,300 shelters were completed in three districts of the Shomali Plains, which was one of the areas worst hit by fighting in 2002
- Approximately 500 earthquake-resistant shelters were completed in Nahreen in response to the earthquake of March 2003

2. *Capacity development* achievements include:

- Hands-on capacity building has taken place through the preparation of 32 provincial plans with project-funded Provincial Management Advisers and Capacity Development Advisers working closely with MRRD staff on each of the plans to build their capacity
- 15 MRRD provincial offices have been rehabilitated and furnished and 43 MRRD provincial directors attended a five-month training programme organized by BRAC, a Bangladeshi NGO
- 100 MRRD staff received English language training in Kabul.
- A Senior Women in Management programme has enabled 19 women from different ministries to receive a six-month training programme in management, computers, English and accounting; the results of this training have not been systematically monitored

3. *Regional economic regeneration* achievements include:

- Preparation of feasibility studies for small and medium enterprises such as the Spinzar cotton gin in Kunduz
- Preparation of studies on the textile, food stuff, livestock and horticulture sectors
- Development of a niche industry for rose oil

Project structure—The NABDP now has a presence in all 34 provinces of Afghanistan. As such, it is an important potential mechanism for delivery of development assistance at the local level for the government and the international community. In order to ensure economies of scale, the NABDP has adopted a regionalized project structure, with regional offices in five provinces. Each regional office supervises between four and eight provincial offices. Phase I

also focused on the training of MRRD staff at all levels and the quick implementation of projects to gain the confidence of local communities.

Development of local state capacity—In terms of design, the focus of NABDP has been on creating local government capacity in the offices of the Department of Rural Reconstruction and Development (the local branch of MRRD) to manage finances with transparency and accountability; to report accurately and regularly on financial and physical implementation; to identify, formulate and manage the implementation of the projects; and to monitor and assess implementation effectively. The local Department of Rural Reconstruction and Development offices are now generally equipped with project managers, engineers and accountants to identify, formulate, appraise and monitor projects. The emphasis on engineering staff is an illustration of the emphasis placed on the small-scale infrastructure projects.

Box 7. Example of an NABDP infrastructure project

Canals cleaned to benefit 19,000 families in Helmand

Through NABDP, three canal cleaning projects were completed between April and June 2008 in Helmand Province. This project benefited and estimated 19,000 families. Two of the canals cleaned were in Nawar District and the other was in Marja District, with a total cost of US\$114,520. Through these projects, 94,520 cubic meters of irrigation canal were cleaned, creating 4,315 work days for local people.

These projects were implemented through a tripartite agreement among MRRD, CDCs and DDAs. According to the contract, the CDCs implemented the projects, the DDAs monitored them and the MRRD secured the funding from international donors. In addition to the community in-kind contribution of US\$11,450 (primarily in the form of labor), almost all the remaining funding for project implementation was provided by DFID.

Many of the previously irrigated fields of Helmand had become infertile because irrigation canals had been blocked. Farmers had to rely on small patches of land that were difficult to water. As there was so little irrigated land remaining, poor farmers had to grow poppies on their fields to earn enough money for their basic needs.

Now that the irrigation canals are cleaned and the water flow is ensured, the MRRD claim that the farmers of Nawar and Marja districts of Helmand have returned to planting licit crops on their fields. It is difficult to ascertain whether this is true, as the planting season would have been in full swing at the time of the evaluation.

No provisions were made in the mini-projects to ensure sustainability through cost recovery for continued maintenance or for the monitoring crop productivity, total yield data or income trends among the target farmers.

Collaboration with other projects—The NABDP was designed to be a delivery mechanism for a wide array of activities and a flexible outreach mechanism for the government. In an effort to improve hands-on collaboration between projects, the NABDP was responsible for overseeing the implementation of the development project component of DIAG—identifying, subcontracting and monitoring the implementation of projects identified for implementation once communities have been declared weapons-free. In addition, the NABDP was also used as the mechanism for creating and using the DDAs as the consultative mechanism with stakeholders at the local level in the preparation of the ANDS.

The physical works delivered under NABDP are impressive. Almost 900 projects have either been completed or are currently under implementation (for an example, see Box 7 or Annex 11 for a larger list by region). This is an impressive total by any measure. Yet the outcome or impact of the programme is not currently monitored. For instance, although approximately 30 percent of physical infrastructure is estimated to be in support of economic production, no records are kept of their outcome in terms of increasing production or productivity. Kandahar has been the largest recipient of mini-projects, with 32 percent of total expenditures for such projects being expended there. The top three largest recipients are considered highly ‘insecure’ provinces and between them received in excess of 57 percent of funds expended for mini-projects.

The monitoring of mini-projects is infrequent, even where physical access is not the principal constraint. Project beneficiaries have reported problems with design as well as quality of materials and construction. Based on interviews with project staff at the regional level, relatively little attention has been paid to the ‘software’ accompanying physical infrastructure. For instance, where irrigation canals have been built, cleaned or rehabilitated, no attention has been paid to

the organization of user groups for ongoing maintenance. The charging or collection of user fees has not been considered as a mechanism for cost recovery or the maintenance and sustainability of the infrastructure. An external audit conducted by KPMG in November 2007⁶⁶ observed that meetings of the Project Steering Committee were not convened prior to 2006 and that minutes of subsequent meetings were not documented.

The ‘productive projects’ have focused on the development of small and medium enterprises. The approach has been very top down, with MRRD and project staff doing some general market research, identifying potential projects and then undertaking feasibility studies—mostly organized from MRRD in Kabul. Such enterprises are viewed principally as a source of employment at the local level and a money-making venture for shareholders. None are yet underway and it is unclear how the shareholders are identified. Both ownership and equality are important concerns that have not yet been satisfactorily answered. It is doubtful whether private-sector ventures identified, designed and established by the government will be successful. A more bottom-up approach with strong ownership by local entrepreneurs, accompanied by business advice and mentoring is clearly preferable.

Most projects are standalone and are not conceived as part of an integrated programme of assistance. Irrigation canals, for instance, are not generally rehabilitated in conjunction with the provision of agricultural inputs, microfinance and extension services. Rather, the approach has been to allocate block grants and to require community projects to conform to the grants provided. This has also contributed to compromises on standards and specifications in order to stay within budget—reducing the overall quality of outputs and compromising durability and utility. While the total number of projects appears large, the vast majority of village communities

⁶⁶ KPMG Afghanistan Limited, UNDP Country Office for Afghanistan, Recovery Support Project 2002, NABDP, Management Letter for the period from 1 January 2004 to 31 December 2006.

have been trained under the NABDP or parallel projects such as the NSP, but have not received funding for projects identified by their *Shuras*⁶⁷ or CDCs.

Community organization—Under NSP Phase I, MRRD contracted 24 international and Afghan NGOs as facilitating partners to support the creation, training, and project implementation of CDCs in villages throughout the country. Since 2003, the NSP has, primarily with World Bank funding, created more than 18,000 CDCs in more than 20,000 communities and villages throughout Afghanistan. MRRD rolled out the establishment of the CDCs over three years in annual cycles, whereby approximately 5,000 CDCs were formed each year. CDCs that began the mobilization process in 2003 were guaranteed three years of facilitation and support. MRRD reduced the facilitation period to two years for those CDCs that began mobilization in 2004 and 2005. CDCs have not been standardized in structure and vary in terms of size as well as the number of villages they represent. The evaluation team was informed that the term CDC is now used interchangeably with *Shura*, although the composition of CDCs differ in that they usually include younger, more educated members of the community. Most male CDCs are mirrored with female CDCs. The distribution of responsibilities between the two varies. In some instances the evaluation team was informed that both vote on similar issues. The women’s CDCs in Mazar-i-Sharif were found to be outspoken and assertive, although it is not clear how representative this is. In general, the assignment of resources through CDCs resulted in them becoming a stronger force at the community level than traditional *Shuras*. It is not clear to what extent this has been at the expense of communal harmony at the local level, nor is it clear whether CDCs are more effective than *Shuras* in the adjudication of disputed resources or the resolution of local disagreements and conflicts. The inclusion of women’s CDCs is a

positive development. Some of the CDCs and DDAs that the evaluation team met with were ethnically mixed and presented a united front.

NABDP’s principal contribution to the mobilization and organization of civil society has been to organize DDAs, with CDC members who have been elected to the DDAs by their peers. The DDAs served as the principal mechanism for identifying development priorities and for consultations on the preparation of the provincial and some sectoral plans in the context of the ANDS. The considerable work done by the NABDP in the creation of the DDAs was of critical importance to the consultative nature and transparency of the ANDS.

A proliferation of institutions and the potential for conflict—A number of efforts are underway to create institutions at the community level. In addition to NABDP-encouraged DDAs, these include Japan International Cooperation Agency’s Inter-Communal Rural Development Programme and efforts by individual NGOs to adapt CDCs to serve as delivery mechanisms. The creation of local institutions has heightened expectations of resources being channeled to the local level. Failure to materialize results is likely to result in further disenchantment with the process.

The creation of IDLG, with its strong mandate for local governance, has resulted in some competition and friction between it and MRRD, both of which have UNDP as a major partner. IDLG is highly critical of the MRRD *modus operandi* and views some of the local-level institutions as illegitimate and competition for official government institutions and resources. In an environment in which most official institutions are nascent, such conflicts can cause delays. Greater substantive collaboration is required between the UNDP ASGP and NABPD programmes. The UNDP objective should be to foster collegial

⁶⁷ *Shura* is an Arabic word for ‘consultation’.

collaboration between civil society organizations and the local government in planning, identifying, formulating, implementing and monitoring development activities.

Decentralization—Current systems in Afghanistan are highly centralized. While the government has recognized the importance of addressing the absence of development support and services at the local level, it is reluctant to decentralize. MRRD therefore operates in a highly centralized manner and this is reflected in the way the NABDP is run. Based on experiences in other countries, it is also likely to be the reason for the lack of sustainability or impact of the NABDP programme. There is an urgent need for UNDP to enter into a substantive policy dialogue with the key institutions involved, such as MRRD and IDLG, to decentralize responsibilities, resources and decision-making authority if local development is to be successful.

Implementation in conditions of insecurity—It is counter-intuitive that project implementation rates and delegation are higher in insecure areas. The reason is the ‘Kandahar Model’ for operation of the NABDP under conditions of extreme insecurity that was developed in 2007 and implemented on a pilot basis in Kandahar and its surrounding districts.

The model, which could offer lessons for UNDP activities under similar conditions, is based on a tripartite agreement between the MRRD, DDAs and CDCs in which the latter two take on a lead role in the management of jointly agreed project priorities. The DDA forms a project management committee responsible for fund management, project implementation and monitoring. A procurement committee is established for the sub-contracting and procurement of materials and equipment. CDCs (the local *Shuras*) implement projects in close coordination with DDA representatives. Each CDC forms a project implementation committee to oversee all aspects of project implementation. DDA is then responsible for submitting physical and financial implementation progress reports to MRRD

and its NABDP project staff at the district, regional and national levels in Kabul. This process is similar to ‘community contracting’ and the inherent assumption is that broad community responsibility is likely to lead to greater transparency and accountability than working through private-sector firms. It is also intended as a means of demonstrating a development dividend and focusing the attention of districts that are highly insecure away from the insurgency with a view to creating a degree of stability. It is also argued that community leadership is likely to increase the chances of sustainability through broad-based local ownership and commitment. The replicability of this model can only be assessed once an independent outcome evaluation is undertaken with an objective assessment of implementation, management and monitoring mechanisms. If the model is efficient, it should provide lessons for operations in countries that have large areas in conditions of conflict (such as Iraq) where a negotiated peace agreement has not been a prior condition for UN involvement.

A special decree was secured from the Office of the President to decentralize procurement to the Department of Rural Reconstruction and Development in Kandahar following a streamlined procurement process for larger infrastructure projects contracting with local construction companies from the region. A team of qualified procurement staff was locally hired in Kandahar and placed under the technical guidance of an International Procurement Adviser who visits the regional office on a monthly basis. The decree has enabled the shortening of the bid announcement time from 40 days to 14 days. Again breaking with the highly centralized system in MRRD and the rest of the government, the establishment of a local bank account in Kandahar was sanctioned under the decree to process payments for both companies and communities in order to circumvent cumbersome centralized procedures and to reduce delays in payment. It has also encouraged the creation of local construction companies in the region. There are currently more than 300 local private companies from the region

registered with the NABPD and Department of Rural Reconstruction and Development office in Kandahar.

3.2.4.2 Counter Narcotics Trust Fund (CNTF)

Afghanistan's largest cash crop is opium, and its production fuels violent conflict and criminality. While historically a major global producer, Afghanistan's share of world illicit opium production increased from 70 percent in 2000 to 92 percent in 2006, according to UNODC. The opium economy is a source of corruption and undercuts public institutions, particularly those in the security and justice sectors. Opium profits are also used to fund the Taliban insurgency. Reversing these trends lies at the heart of establishing a secure environment for development and peace-building.

Some progress is now becoming visible. The UNODC Afghanistan Opium Survey, which came out in August 2008, shows a 19 percent decrease in opium cultivation to 157,000 hectares, compared to the record harvest of 193,000 hectares in 2007. UNODC attributes the decrease in cultivation to strong local leadership by some governors who have actively discouraged farmers from planting opium and drought, which has contributed to crop failure, particularly in the north and north-west where most of the opium is rain-fed; 98 percent of the opium is grown in just seven provinces in the south-west where there are permanent Taliban settlements and organized crime groups profit from insecurity. The inextricable links between drugs and conflict are illustrated by this distinct geographical overlap between regions of opium production and zones of insurgency.⁶⁸

Campaigns to eradicate the industry have met with limited success, partly owing to patchy support from regional authorities within the country, many of whom are former warlords dependent on the drug trade for income. Helmand is the

main centre of production, accounting for nearly 42 percent of national opium production in 2006. Efforts to curtail the opium trade will achieve little progress in the absence of a comprehensive programme for creating alternative livelihoods.

In 2002, the Counter Narcotics Directorate was established under the National Security Council, and transformed into the MCN in December 2004. Counter-narcotics was made a cross-cutting issue in the ANDS, where it was recognized that the drug industry constitutes a serious threat to the success of the entire development strategy. The National Drug Control Strategy (NDCS), established in 2003 and revised in 2007, puts forward a comprehensive, multi-faceted approach aimed at eliminating the production, trafficking and consumption of illicit drugs in Afghanistan through the following approaches: law enforcement and interdiction, judicial and legislative reform, alternative livelihoods, drug demand reduction, and raised awareness. A Counter Narcotics Implementation Plan was developed in 2005, and the CNTF was developed in the same year as a tool to ring fence donor assistance in support of projects related to these mechanisms.

In view of the limited capacity of the MCN, the international community agreed to channel all funds to the CNTF through the UNDP. Under its current programme (June 2005 to December 2008), UNDP has sought to mobilize additional resources needed by the Government of Afghanistan to implement the NDCS. The CNTF also supports the MCN in delivering on its responsibilities of developing and coordinating counter narcotics policy. Key principles guiding operations have included transparency and accountability in the allocation of resources, promoting greater coherence in the funding of counter narcotics related activities, and enabling the government to have greater ownership over implementation of its counter narcotics strategy.

⁶⁸ UNODC, 'Afghanistan Opium Survey 2008 Executive Summary', UNODC and Government of Afghanistan, Afghanistan, 2008.

At the insistence of some donors and against advice from UNDP, which encouraged a first phase with DEX in light of the limited capacity of the national counterpart institution, the CNTF has been managed under NEX with the MCN as the implementing agency and the Ministry of Finance as the executing agency. CNTF funds are channelled through the national development budget, enabling the government to continue to strengthen its ability to manage and oversee the expenditures made under the programme.

Of the current US\$900 million proposed budget, approximately US\$99.5 million has so far been committed by 18 bilateral donors and UNDP, with the United Kingdom and the European Community committing approximately 75 percent of the funds. UNDP as the Trust Fund administrator receives a 3 percent general management support fee. The latter has been an issue of much controversy and negotiation of the fee has caused considerable delay in the start-up of the CNTF.

The CNTF builds upon the NDCS, which identifies eight pillars for intervention: alternative livelihoods; building institutions; public awareness; law enforcement; criminal justice; eradication; drug demand reduction and treatment of drug addicts; and international and regional co-operation. Project eligibility criteria are based on these eight pillars, alongside consideration of geographical location, absorption capacity of the line ministries and agencies, and whether or not counter narcotics is mainstreamed into the project.

Until a recent strategic shift, following a major multi-stakeholder review of the CNTF, relevant line ministries were tapped for implementing specific components and planned activities under the Trust Fund. They then worked closely with the MCN to identify, develop and propose counter narcotics related projects within their mandated area.

At the heart of CNTF work is the Good Performers Initiative, which seeks to provide a development dividend of US\$150,000 to each province that achieves sustained progress towards poppy elimination or remains poppy free for its agreed priority development projects. Projects are agreed upon by the Provincial Governor and the Provincial Development Council in conjunction with the Provincial Development Plans. A primary goal for Good Performers Initiative projects is that they are delivered in a timely, cost effective and visible manner.

The intended outcome of the project is a substantive reduction in the illicit drugs industry with strengthened institutions, legal frameworks, regional cooperation and improved drug demand reduction activities. To date, the results and views about the results have been mixed. Approximately 31 projects have been approved by the CNTF Management Board (US\$46.78 million), although many of these are yet to be implemented. As of September 2007, several of the thematic pillars had yet to incur expenditures. Those that had expenditures amounted to US\$2.5 million. There are currently projects that address all pillars, but in several cases they amount to isolated project interventions. Expenditures have increased to US\$11.45 million as of June 2008.

The Good Performers Initiative as an incentive-focused initiative has had more success. In 2006, there were six poppy-free provinces; in 2007, 13; and in 2008, 18. This is an increase of almost 50 percent in the last year. Approximately US\$18.6 million has been allocated to 17 provinces, out of which US\$15 million is in ongoing projects at different stages of implementation.

Nonetheless, the project received a hard-hitting evaluation in September 2007⁶⁹ under the supervision of its own management board. The following observations were made:

⁶⁹ Middlebrook and Miller LLC, 'Review of the Afghanistan Counter Narcotics Trust Fund (CNTF)', Submitted for Consideration of to the CNTF Management Board, September 2007.

- While the CNTF and the MCN are positioned as pivotal functions within the NDCS, capacity to implement and administer the NDCS remains weak.
- The current administrative set-up weakens rather than strengthens national political ownership and accountability.
- Existing management arrangements are weakened by the lack of prior fund management experience within the funds administrative team and lack of direct counter narcotics and economic policy experience within the CNTF National Directorate, the fact that UNDP, the MCN and CNTF National Directorate are in different offices, and donor commitment preferences for selective themes and provinces. UNDP capacity to support the development of provincial programmes was considered weak.
- The current strategy compliance, budget formulation, procurement, implementation and monitoring arrangements for the CNTF are complex and convoluted and unlikely to meet the challenges of the NDCS.
- Despite an envisaged emphasis on province-based planning for CNTF projects, the approach is centralized and bureaucratic, and the planning and budget process centred on isolated sub-projects rather than comprehensive programmes.
- National budget and procurement procedures are almost destined to failure, particularly when implemented by a weak administration operating well beyond its capacity.
- Undue expectations were thrust upon the CNTF from the start, and there has been extreme underperformance on the expenditure side.
- Of the original commitments totalling US\$82 million, only US\$3.4 million had been disbursed, US\$2.5 million for CNTF projects.

The evaluators acknowledged the leadership role played by the CNTF Directorate in an extremely complex environment, the fact that CNTF has raised the visibility of the government and international community counter narcotics activities, and the existence of key elements of an effective counter narcotics strategy in place. The evaluation recommended the following phased set of actions:

- **Phase I**—Immediate actions, including strengthening national leadership, strengthening international support for the NDCS, recasting and re-phrasing CNTF aims and objectives, and strengthening trust fund administration and MB arrangements
- **Phase II**—Secondary actions, including strengthening provincial prioritization, strengthening counter narcotics thematic prioritization, developing comprehensive provincial strategy and implementation plans, strengthening the economic incentive framework, and strengthening community ownership
- **Phase III**—CNTF mainstreaming and phase out involving the full integration of CNTF into regular government business plans by 2010

On the basis of the review and internal recognition of challenges, the Management Board made the decision in October 2007 to move from the project-by-project approach to a comprehensive programmatic provincial approach where ownership of counter narcotics activities will be in the hands of provincial authorities and where the CNTF role will be solely as a funding mechanism. The government meanwhile developed a proposal for CNTF reform and restructuring, with greater government ownership and focus on provincial planning. Provincial Governors will now design counter narcotics plans with provincial stakeholders, the MCN and the line ministries, with attention to the involvement of traditional institutions. Counter narcotics priorities will be clearly defined in line with the Provincial Development Plans, and the Good

Performers Initiative will continue. There will also be attention to the assessment and development of the capacities of line ministries to implement requirements of CNS.

It is difficult to assess UNDP effectiveness in a project that most agree was destined to fail. One partner in CNTF (UNODC) underscored how, despite concern that national institutions and mechanisms were not in place at the beginning to be able to handle the NEX modality, the donors went ahead with the arrangement. The government wanted this, but they too knew it was bound fail. Donors have therefore been increasingly hesitant to meet their commitments. The UNDP management role could have been stronger and effectiveness could have been improved. It was recognized that being an intermediary between donors and the government in such a politicized context was a thankless job. MCN, in fact commended UNDP performance, highlighting the dependence of the results on the Ministry of Interior's enforcement: if police are weak, the CNTF cannot be effective. The project has forced government to put systems into place and obliged donor coordination. Somewhat ironically, partners and the government pointed out that the fund is now starting to work, at a time when donor dissatisfaction with the NEX has almost resulted in a decision to close the trust fund. MCN expressed some frustration over this. Now that things are starting to work, donors are pulling out, salaries are not being paid and staff are leaving. The Deputy Minister underscored that in the recently held JCMB, counter narcotics was not even on the agenda.

UNDP has recently pointed to insufficient capacity in government structures continuing to cause delays in the delivery of CNTF resources and the implementation of individual projects. A stronger focus on capacity building at the MCN and other ministries is a priority. Furthermore, the declining security situation in the country continues to be a challenge in implementation of some of the projects. Donor coordination also continues to challenge the effectiveness of the project.

3.2.5 COORDINATION AND DEVELOPMENT MANAGEMENT

With the large volume of aid flowing to Afghanistan, substantive coordination has been a controversial, high priority endeavour. The highly politicized nature of assistance to Afghanistan and the role of some very large external stakeholders on the Security Council have rendered this one of the most complex and challenging countries for effective coordination of ODA. In practice, the leadership role in this regard is spread among several players. The UNDP role in coordination is principally in the form of a substantive resource for the Deputy SRSG (Development) who is also the UN Resident Coordinator and Humanitarian Coordinator. The overall coordination framework derives from the Afghanistan Compact, which identified three central pillars to structure policies and programming towards contributing to national, regional and global peace: security; governance, rule of law and human rights; and economic and social development. The Afghanistan Compact and the Interim ANDS were both approved at the London Conference in January 2006, and the international commitment to the Compact and ANDS have been reaffirmed in the successive Paris Declaration of 2008 and in Security Council resolutions. Given UNAMA's central role in policy coordination cutting across all areas, UNDP support to the achievement of the UNAMA mandate is crucial to the overall success of the UN mission, as well as to the strategic positioning of UNDP and the effectiveness and sustainability of its results.

UNDP support in the area of policy development and aid coordination has been through Support to the Preparation of the ANDS and the National Human Development Reports, which are potential policy analysis and advocacy tools.

The Interim ANDS was conceived as the first stage in the development of a medium-term, five-year national strategy to contribute to the longer-term achievement of the Afghan MDGs. The compact, subsequently endorsed by the UN Security Council, provides a set of outcomes, benchmarks, indicators and timelines, as well

Box 8. Main findings: Sustainable livelihoods

Unemployment and the creation of sustainable livelihoods is the single most significant challenge to the attainment of stability and long-term development in Afghanistan. UNDP has begun addressing the issue of sustainable livelihoods relatively late. NABDP differs significantly from other UNDP area development schemes for post-conflict conditions. It does not focus on the development of programme planning, management and monitoring capacity at the community level, or on community organization and mobilization. The exception was the creation of DDAs as an instrument for consulting with the public in preparation of the ANDS. Instead, NABDP has focused on government capacity to manage and implement programmes. As such, it has set aside one of most successful patterns of UNDP assistance in conflict-affected countries in favour of a model that more closely resembles integrated rural development projects of the 1970s abandoned for being too top down and developmentally unsustainable. However, NABDP has created significant capacity in provincial government. NABDP now has a presence in all 34 provinces of Afghanistan. Regional offices in five provinces supervise between four and eight provincial offices each. The focus of NABDP has been on creating capacity in local offices of the MRRD to: manage finances with transparency and accountability; report accurately and regularly on financial and physical implementation; identify, formulate and manage the implementation of projects; and monitor and assess implementation effectively. The local DRRD offices are now equipped with project managers, engineers and accountants to identify, formulate, appraise and monitor projects.

NABDP was designed to be a delivery and flexible outreach mechanism. In an effort to improve hands-on collaboration between projects, NABDP was given responsibility for overseeing the implementation of the development project component of DIAG. It was responsible for identifying, subcontracting and monitoring the implementation of projects once communities were declared weapons-free. As many as 900 projects have either been completed or are currently under implementation. Most are in the form of small-scale infrastructure and physical facilities. The outcome or impact of the programme has not been monitored. The top three recipients, highly 'insecure' provinces, received more than 57 percent of funds expended for mini-projects. The monitoring of mini-projects is infrequent, even where physical access is not the principal constraint. Project beneficiaries have reported problems with design as well as quality of materials and construction. Based on interviews with project staff at the regional level, relatively little attention has been paid to the 'software' accompanying physical infrastructure. So-called 'productive projects' have focused on developing small and medium enterprises. The approach has been top down. MRRD and project staff do general market research, identify potential projects and then undertake feasibility studies. Most of this is organized by MRRD in Kabul. It is too early to assess success. Most NABDP projects are standalone and not part of an integrated programme of assistance. The approach has been to allocate block grants and to require community projects to conform to the grants provided. This has contributed to compromises on standards and specifications in order to stay within budget, reducing overall quality and compromising durability and utility. The majority of village communities that have been trained under NABDP or NSP have not received funding for projects identified.

The creation of IDLG with its strong mandate for local governance has resulted in some competition and friction between it and the MRRD, both of which have UNDP as a major partner. IDLG is highly critical of the modus operandi of MRRD and views some of the institutions created at the local level as illegitimate. The government is highly centralized and the will to decentralize limited. The highly centralized approach of MRRD is reflected in NABDP. Based on experience in other countries, it is likely to reduce sustainability and impact. The 'Kandahar Model' was developed in 2007 as an exception under NABDP for operations in conditions of extreme insecurity. The inherent assumption is that broad community responsibility is likely

(cont'd) ►

to raise transparency and accountability more than working through private firms. It is also intended to demonstrate a development dividend in insecure districts and divert support from the insurgency. It is argued that community leadership is likely to raise the chances of sustainability through broad-based local ownership and commitment. Success has been measured in the larger number of projects completed in Kandahar, the number of local private contractors created, and the establishment of viable systems for management at the community level. There is no independent verification of the monitoring undertaken by communities because of insecurity. This is likely to prove problematic in the future.

In view of the limited capacity of MCN, the international community channelled all funds to CNTF through UNDP. UNDP has sought to mobilize additional resources needed to implement the NDCS. Key guiding principles have included transparency and accountability in resource allocation, promoting coherence in the funding of counter narcotics related activities, and enabling the government to have greater ownership over implementation of its counter narcotics strategy.

Against UNDP advice and at the insistence of some donors, CNTF is managed under NEX. CNTF funds are channelled through the national development budget, yet transparency and accountability and the issue of management capacity in the government have proven controversial, severely hampering progress. Of the current US\$900 million proposed budget, 18 bilateral donors and UNDP have committed US\$99.5 million so far. Progress has been mixed. Approximately 31 projects have been approved (US\$46.78 million), although many are yet to be implemented. Expenditures stood at US\$11.45 million by end June 2008. Conversely, the Good Performers Initiative, an incentive-focused initiative, has had more success. In 2006, there were six poppy-free provinces, 13 in 2007 and 18 in 2008. This was an increase of almost 50 percent in the last year. Approximately US\$18.6 million has been allocated to 17 provinces, out of which US\$15 million is being used in projects at different stages of implementation. The project received a negative evaluation in September 2007, under the supervision of its own management board, that questioned MCN capacity to administer the complex procedures in place, the centralized nature of operations and donor influences on allocation. Significant reform and restructuring has taken place with UNDP support. The MCN has commended UNDP performance, yet is difficult to assess UNDP effectiveness. The management role of UNDP could have been stronger, but being an intermediary between donors and government in such a politicized context has been a thankless task. The fund is now starting to work, at a time when donor dissatisfaction with NEX has almost resulted in a decision to close the trust fund. Donors are pulling out, salaries are not being paid and staff are leaving. UNDP recently pointed to insufficient capacity in government structures continuing to cause delays in delivery under the CNTF.

as actions necessary for improving aid effectiveness, to which the Afghan Government and the international community have committed themselves to during the 2006 to 2010 period. The now operational ANDS covers the 2008 to 2013 period. It is the strategic mechanism for implementing Compact obligations. It is also the country's Poverty Reduction Strategy Paper (PRSP).

A JCMB has been established as the mechanism for overall strategic coordination in the

operationalizing and monitoring of the Compact in Afghanistan. There are 28 working groups across security, governance, rule of law and human rights, and social and economic development pillars of the ANDS, which report to eight consultative groups. In turn, these groups monitor and report progress on achieving ANDS and Compact benchmarks to the oversight committee of the ANDS. This body, according to the ANDS and like the JCMB, also has a coordination function for the overall implementation of the ANDS.

UNDP Headquarters have recognized the strategic importance of the PRSP process globally, and the role of UNDP as one of the core priorities for UNDP global practices—poverty reduction for human development. A 2003 evaluation of the UNDP role in PRSPs argued that UNDP should engage more fully as a partner and develop consistency in country office approaches linking MDGs to the PRSPs. It suggested more poverty analysis, with links to poverty reduction policies that go beyond growth, and more conscious alignment between UN instruments and the PRSP, noting that the greatest strength that the United Nations has is synergies between UN agencies. UNDP and the UN Country Team can assume a more active role in influencing the PRSP to be more pro-poor and more participatory, so that MDGs are nationally owned, but also that UNDP staff would need to gain greater expertise in human development thinking.⁷⁰

UNDP work at national levels in the area of development policy has always been buttressed by the process and outputs of its National Human Development Reports. The development of National Human Development Reports have been part of an overall UNDP approach to building capacity to develop and sustain the notion of human development in policy development and coordination. In Afghanistan, the first National Human Development Report was developed during the critical first years of the new Karzai administration and laid a foundation for a commitment by the government to a broader, human development based notion of development to address Afghanistan's fragile situation.

The first version of the UNDP project, *Developing the ANDS and Monitoring the Implementation of the ANDS and the Afghanistan Compact (2006-2008)*, aimed to enhance the government's institutional capacity to plan, implement and monitor MDG-based national development strategies for poverty

reduction. During what is now considered the 'preparatory' phase of the project, which occurred during the second half of 2006, a number of key issues were identified and addressed in consultation with the donors. These included the institutional relationship between the ANDS Directorate and the line ministries, the overall costed sustainability of efforts, national ownership, operating costs, and the ratio of international consultants employed either directly through the project or via parallel mechanisms. In 2007, the original project document was refined and adjusted in the preparatory phase to incorporate these concerns.

A new project document created in partnership with the Office of the President, the ANDS and JCMB Secretariat, and the Ministry of Finance (February 2007 to January 2009) with a budget of US\$8,773,141, focuses on essential support for: preparing a costed and prioritized ANDS through a nationwide consultative process; and the creating and operating a JCMB Secretariat, as envisioned in the Afghanistan Compact. A key objective has been the development and implementation of a pro-poor strategy that will be costed, prioritized, sequenced and budgeted and that reflects a broad consensus on national and provincial priorities in order to fight poverty. Capacity development support to line ministries and other government agencies—part of the original project conception—along with support to the central statistics office, were eliminated from the project. It was felt they could be pursued through other channels. Donors included CIDA, DFID, Italy, UN Resident Coordinator, Norway, Netherlands and UNDP core costs. The programme was expected to be government led with direct implementation support from UNDP.

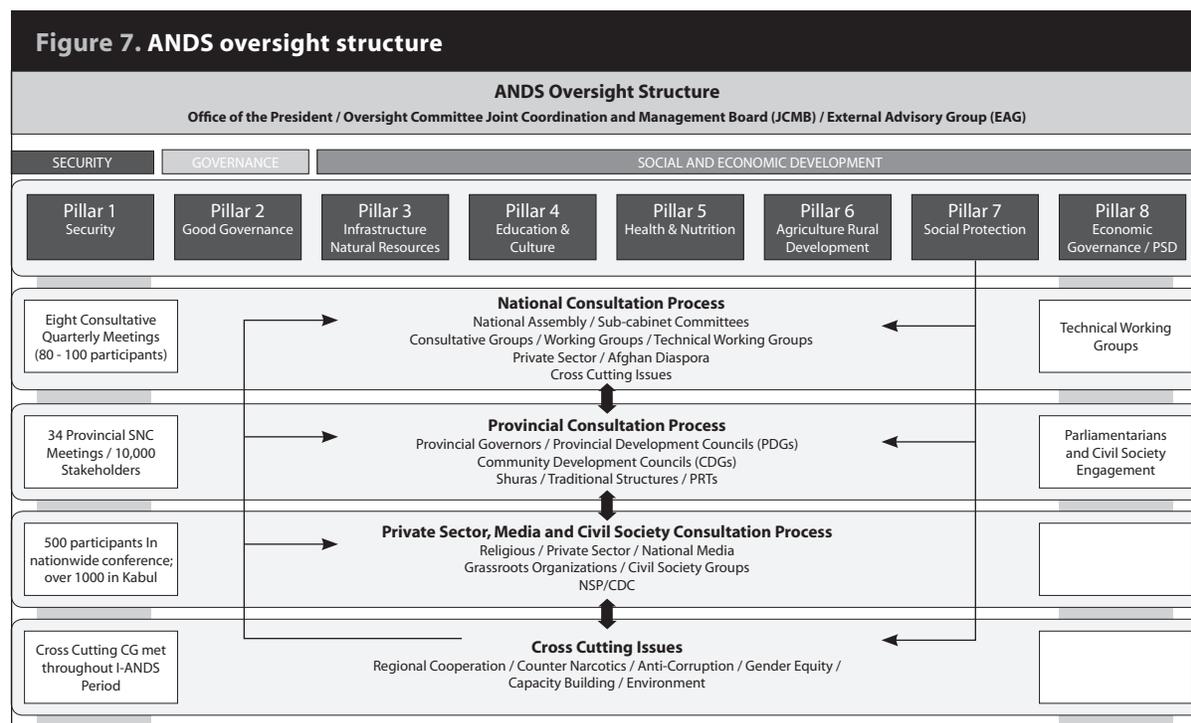
The reconceptualized project has sought to enhance the government's capacity to plan, implement and monitor its poverty reduction strategy, contributing to CPAP Outcome 5

⁷⁰ UNDP/Evaluation Office, 'Evaluation of UNDP's Role in the PRSP Process', September 2003.

aimed at enhancing government capacity to formulate gender-sensitive, pro-poor policies and programming targeting taking into account human development concerns. The UNDP role in the ANDS cut across administrative, coordination, and substantive areas. At the most basic level, UNDP was responsible for establishing, managing and administering project funds received per the rules and regulations of DEX. In terms of coordination, UNDP was active at two levels: sub-nationally and *vis-à-vis* the donor community. At the sub-national level, UNDP recruited 91 national staff for the consultative process who facilitated the process through MRRD, coordinated through and supported by the UNDP NABDP project. UNDP set up a communications office and supported a comprehensive awareness campaign (accompanied by media packages and large billboards in all main cities) in parallel to the launch of the sub-national consultations. The sub-national consultative process was attended by an estimated 13,000 participants, approximately 40 percent of which were female. The substantive process was largely coordinated by UNAMA, resulting in the production of 34 provincial development

plans. These were infused within the ANDS, along with a comprehensive set of sector and ministry-based strategies.

At the national level, the ANDS Secretariat requested that UNDP facilitate a dialogue process with donors and representatives of international organizations on sector strategies, as was done in some other PRSP processes. UNDP facilitated more than 20 consultative meetings with donors to coordinate international community inputs at the national level, across the 28 working groups and more than 50 ministerial and agency sector strategies, and provided the ANDS Secretariat with consolidated participant inputs. In the second quarter of 2008, the ANDS was finalized and submitted to the World Bank and IMF Executive Board. The product was considered a “reasonable basis for moving forward” with planning in Afghanistan. A series of donor conferences were organized to launch the ANDS and support the fund raising effort, and donors pledged contributions in excess of US\$20 billion to finance the implementation of the ANDS. The JCMB Secretariat was established and is running. It held its eighth meeting in June 2008,



and a mid-term review of the JCMB and Afghan Compact was completed and presented at the Paris Conference.

UNDP hired many international consultants to support the process, although it was exceedingly difficult to keep them on board in such a contentious and politicized environment. The UNDP lead consultant went to work for Bearing Point (which is a consulting subsidiary of KPMG) half way through the process, and a significant amount of substantive UNDP work went with him.

To date, results are clear in both areas of project focus, though the quality and sustainability of results may be more contentious. The recent Outcome 5 evaluation found that while most or all of the project outcomes will be achieved by 2009, the lack of rigour in establishing results-oriented project frameworks undermines the value of the results. The Outcome 5 evaluation found the UNDP role to be primarily operational, and despite a highly participatory process, policy dialogue has not improved as a result of this project. Despite efforts to substantively engage in the process, UNDP's substantive role in the ANDS is deeply questioned. While short-term consultants were provided to the process a strong institutional capacity to contribute to substantive issues at the core of the ANDS was not effectively realized, which has challenged and will continue to challenge a coherent and consistent, sustained and meaningful role by UNDP in the development policy process. Other participants to the process noted that the government had invited UNDP to play a stronger role (above and beyond the World Bank), which is different than in other PRSP developing countries.

This evaluation believes the problem is more structural, residing within UNDP globally. There does not appear to be a clear position on what the role of UNDP in the PRSP process should be. There is also a lack of in-house economists with pro-poor and human development training placed at the country office level to support such processes. While some work has been done in

terms of practice notes by the BDP, more needs to be done to develop the UNDP approach on the issues of economic policy as they relate to poverty reduction and the conceptual and practical linkages with human development, MDGs and pro-poor strategies. This has contributed to UNDP being increasingly identified as simply an administrative body.

Further clarity is needed with respect to UNDP's substantive role with respect to coordination. Specifically, its role in the JCMB process appears to be marginal despite the importance of this body in overseeing ANDS implementation. While the Deputy SRSG/Resident Coordinator/Humanitarian Coordinator chairs the development standing committee of the JCMB, the UNDP Country Director is not a standing member and only invited on an *ad hoc* basis. While it is clear that UNAMA has the mandate for policy coordination, the precise role of UNAMA and UNDP in the area of development policy may become more confused if care is not taken to clarify the relationship and limits of new UNAMA staff being hired under a 'Special Advisor on Development' with three support staff, as well as new staff within a ANDS Support Unit. This might confuse UNAMA's policy coordination role with a substantive, technical role—which some UNAMA staff suggested is an important demarcation to ensure effective coordination. This is destined to be perceived as 'mission creep' and will not bode well for integration and coordination between UNAMA and UNDP if there is not clear demarcation and recognition along the lines of traditional mission and UNDP mandate in development related functions, so that UNDP does not continue to be crowded out into an ever-increasing administrative role.

Coordination of international actors throughout the ANDS process has been viewed as poor, which has undermined government ownership at different stages in the process. While consultative processes within Poverty Reduction Strategy efforts are often challenged by the ability reach communities country-wide and

gather meaningful inputs and the simultaneous and often highly unreasonable time and production demands, the overall ANDS process was long and drawn out, with struggles for ownership that undermined a coherent, government-driven process. The ANDS Secretariat in particular was highly controversial, as it was established outside existing government structures, managed through Bearing Point (a subsidiary of KPMG) and expatriate Afghan staff were paid exorbitant rates. Little capacity was left behind, stunting implementation efforts. The government has recently produced a document asking donors to cover 45 staff to support the ANDS process, while donors thought this was already covered in the budget. This illustrates what some view as the budget being delinked from the ANDS process and heavily dependent upon donor resources. At the same time, sector strategies are costed within the budget—not a common achievement for a PRSP process.

Despite the extensive process of consultation, some viewed the process as ultimately top down, and the Outcome 5 Evaluation added that it was a ‘one-off’ effort rather than a process capable of having longer-term added value for bringing the sub-national level into the development policy process. These observations may be cynical. Consultative efforts in such settings, and as a first attempt, are never ideal and inevitably top-down—particularly where there is not a culture of bottom-up policy making. The consultation efforts did take place within UNDP NABDP, and there is still scope for building upon and consolidating gains for sub-national participation in development decision making based on this process.

Despite consensus about the comprehensiveness of the document, few disagree that the ANDS is lacking in prioritization, given the absence of sector strategies, the preparation of which is ongoing. Some believe that there is no overarching

strategic framework but rather an *ad hoc* collection of inputs. The IMF has pointed to an excessive and unmanageable number of indicators within the monitoring and evaluation framework.

Beyond the lack of a peace-building framework, there is insufficient attention paid to the issue of violent conflict and its causes in the document. There is increasing recognition that PRSPs should adopt a conflict sensitive approach, and there are even specialists within the World Bank working to realize this aim.⁷¹ While some efforts were made to bring in an expert to undertake this work, the infusion of a conflict lens was not effectively realized—likely due to the very challenging and political nature of this work, requiring commitment at the highest levels to ensure its effective inclusion in the analysis.

Ultimately, the value of the ANDS rests on its implementation, which depends on absorptive capacity, the feasibility of individual projects that still need to be verified, security concerns and the ability of government to garner enough resources to address the activities contained within. The IMF underscores the importance of “more effective and coherent economic policymaking, with simpler and clear institutional arrangements,” amongst the factors that will be important for implementation. Given the challenges with respect to coordination so far, two potential obstacles to enhanced coordination include: the fact that participatory processes inevitably bring greater complexity and confusion rather than simplicity; and the current set up with two bodies responsible for coordination of the implementation of the ANDS (the JCMB with the international community and the ANDS Oversight Committee, as solely government). UNDP’s traditional mandate and strengths working to ensure government capacity to lead on development will be challenged by both of these in a highly politicized environment.

⁷¹ World Bank, ‘Towards a Conflict Sensitive Poverty Reduction Strategy’, World Bank, Washington DC, 30 June 2005. For a discussion on this in the case of Liberia, see McCandless, Erin, ‘Lessons from Liberia: Integrated Approaches in Transitional Settings’, ISS Paper 161, April 2008.

3.2.6 GENDER MAINSTREAMING

As highlighted in the 2005 UNDP Evaluation of UNDP Assistance to Conflict-affected Countries⁷², the condition of women could not fail to improve in comparison to the Taliban era, when women could not leave their home without wearing a *burqa* or being accompanied by men, and girls were not allowed to attend school. Attendance in schools has increased dramatically. The number of women Parliamentarians is the highest in South Asia (with more than 30 Members of Parliament) due to the establishment of seats in the National Assembly that are subject to appointment by the President and a mandated quota. Still, progress is slow and in some cases, reversing. The challenge in addressing

the gap in education for women is severe. Female illiteracy is estimated at 85 percent.⁷³ While girls are now attending school, their attendance is much lower than boys: at primary school level, there is one girl student for every two boys, and at secondary level, one girl for every three or four boys.⁷⁴ The disparities are much worse outside of Kabul, in rural areas. The shortage of female teachers continues to be a main obstacle to girls acquiring an education.

As UNAMA has reported, violence against women and discriminatory traditional practices continue to infringe upon women's rights. There has been an increase in the reporting of violence against women across the country,

Box 9. Main findings: Coordination and development management

Coordination is a complex yet essential task for implementation of the international community's objectives in Afghanistan. Effective coordination must be based on a clear substantive framework and strategy. The Afghanistan Compact, Paris Declaration and ANDS provide a general frame of reference for coordination, but they need to be translated into a clearer and prioritized strategy for the attainment of lasting peace. UNAMA needs to take the lead in developing such a strategy in close cooperation with UNDP. Ideally, the process should involve both pillars of UNAMA.

As noted in the Afghanistan case study during the Evaluation Office evaluation of UNDP activities in conflict-affected countries and by the UNDP Management Consulting Team mission, with the exception of senior-most management in the country office, UNDP is inappropriately organized to provide extensive substantive support. It is also questionable whether current staff expansion plans of UNAMA will serve the desired objective.

The role of UNDP in managing key trust funds and in key ministries and government agencies, has presented it with opportunities to take a lead in substantive coordination by supporting the government and UNAMA in preparing thematic strategies. Yet the strong focus on its administrative and financial role resulted in lost opportunities early on, although efforts have been made to overcome this. Substantive programme managers have been used principally in the management of their programmes and with few exceptions—such as the ELECT and ASGP—are only now being tapped to represent UNDP in substantive discussions on mission policy in areas of strategic importance. As programme managers bring substantive technical expertise linked with government capacity and a first-hand feel for implementation, this resource is sorely needed in preparing and monitoring substantive implementation strategies.

⁷² UNDP/Evaluation Office, 'Evaluation of UNDP Assistance to Conflict-Affected Countries: Case Study, Afghanistan', by Carrol Faubert, Mary Kaldor, Saeed Niazi, Rajeev Pillay, Evaluation Office, New York, NY, 2005. (Accessed 2 November 2008.)

⁷³ UNAMA, Available online at: http://www.unama-afg.org/about/_gender/Gender.htm. Accessed 2 November 2008.

⁷⁴ UNIFEM, Available online at: <http://afghanistan.unifem.org/media/pubs/08/factsheet.html>.

including cases of self-immolation in the west and south and violence related to child and forced marriages. In 2007, UNAMA received more than 2,000 complaints of gender-based violence. Female activist, teachers, students and government officials are targeted, and honour-related killings are on the rise as authorities fail to investigate and prosecute such cases.⁷⁵ Although women hold 28.5 percent of the seats in Parliament, participation in the justice and security sectors is insufficient: women represent 4.2 percent of judges, and less than 1 percent in police and military services.⁷⁶ They earn approximately 22.5 percent of the income that men earn. The gender development index is 0.310—the second lowest in the world.

In recent years, the government has made significant efforts to develop and strengthen policy and programmatic instruments to address the situation of women and to reverse their historical disadvantage. MoWA and District-level Offices of Women's Affairs (DoWAs) are ensuring that women have a measure of representation in the Cabinet and provincial government. The ANDS addresses gender equality as a cross-cutting issue, which serves as a basis, with the ultimate aim of gender equality. Specifically, the government is seeking to mainstream gender and eliminate "...discrimination against women, to develop their human capital and promote their leadership in order to guarantee their full and equal participation in all aspects of life in Afghanistan."⁷⁷ The ANDS provides an overarching framework that synthesizes critical measures to be pursued in all sectors in order to fulfil international commitments and a roadmap for various sectors to advance changes in women's societal positioning, their socio-economic conditions and access to development opportunities. Benchmarks were set in

the Afghanistan Compact to develop a National Action Plan for the Women of Afghanistan, which has been met, and new benchmarks created around its implementation reside within the ANDS.

Despite efforts by the government and international community, gender equality goals are far from full realized. Numerous obstacles to achieving results have been identified by UNIFEM. There are the obvious security related challenges, and the fact that conflict undermines economic development and women's economic opportunities. A conservative and patriarchal culture coupled with low education levels also presents challenges for the achievement of women's equality and participation in all forms of decision making. In addition to generally low capacity of institutions, there are few strong advocates for women's rights within the government and civil society. Each time the government has sought to reduce the number of ministries, MoWA is one of the first to be threatened. There is also a lack of unity amongst women. It has also been noted that while a number of strong women leaders are emerging who are able to advocate for women's rights due to family ties, NGOs, or media or government platforms, there is no women's movement.⁷⁸

The Institutional Capacity Building Support for MoWA Programme of UNDP (taking place September 2002 to December 2006) sought to provide technical assistance to MoWA for promoting gender mainstreaming throughout the government. The US\$1,243,782 programme sought to enhance capacity of MoWA to deliver on its mandate, including assisting other ministries in institutionalizing the mainstreaming of gender and strengthening inter-ministerial collaboration for the promotion of gender

⁷⁵ 'Report of the Secretary-General on the Situation in Afghanistan and its Implications for International Peace and Security', A/62/345-S/2007/555, 21 September 2007.

⁷⁶ UNIFEM factsheet, Available online at: <http://afghanistan.unifem.org/media/pubs/08/factsheet.html>.

⁷⁷ ANDS Summary Report, p.21.

⁷⁸ Saltmarsh Douglas and Sari Kouvo, 'Evaluation of UNIFEM's Programme: Supporting Women's Leadership in Rebuilding Afghanistan 2002-2006', September 2007.

equality. It targeted institutions at the national level (ministries and commissions) and sub-national level (DoWAs and departments of other line ministries), in partnership with UNIFEM and MoWA. UNDP was tasked to provide technical assistance and capacity building support to the Training and Advocacy Department of MoWA. The Training and Advocacy Department would undertake MoWA's training and advocacy work, seek to bridge MoWA and the key line ministries to build internal and inter-ministerial capacity for gender mainstreaming in the government, and support the efficient institutional functioning of MoWA's key departments in management and administration.

In the project's three-year duration, UNDP provided a diverse range of material, financial, and human resources as well as training support to MoWA under the UNDP-Institutional Capacity Building Programme. In addition to staff (UNDP programme managers and Institutional Capacity Building Programme staff) support included refurbishing the MoWA building and installing communication equipment, and constructing and equipping the Training and Advocacy Department. Financial assistance included topping up MoWA government staff salaries, incentives to advisors to the Minister, and payments related to campaigns, conferences and seminars. The project facilitated training workshops in development planning, computer training and English language, as well as the organization of advocacy campaigns, preparation of conferences, workshops and presentations and organizing exhibitions. Two sets of gender training manuals were developed.

A 2006 external evaluation of the programme⁷⁹ found:

- While 600 persons were trained in gender issues, the impact was marginal because it was neither buttressed with a training

strategy nor followed with monitoring and evaluation. While one set of training manuals was developed for use by Training and Advocacy Department, there was a need for another expert to develop new manuals for the Gender Training Institute.

- While all planned activities were delivered, they were not based on a well-conceived plan and strategy. The evaluators believed that UNDP and MoWA should have developed a relevant capacity building programme and a strategy for mainstreaming gender into other ministries, rather than implement programmes directly.
- Activities amongst the (at least) eight international stakeholders supporting MoWA were all undertaken in isolation from each other, without synergy between programmes. UNIFEM and UNDP should have been working closely with other agencies/partners.
- UNDP personnel for the programme were not of adequate quality for the responsibilities shouldered, and there was insufficient back-stopping and supervision from the UNDP to rectify weaknesses in programme design, monitoring and administration. Notably, UNDP-Afghanistan itself had no gender strategy for its programmes or activities.

The evaluators argued for the need for results-based training as a means to change attitudes, policies and practices. The Institutional Capacity Building programme trainings needed supporting follow-up activities, collaborative efforts and synergy between the government and civil society organizations to effect lasting changes towards sustainable and gender-just development. A vision and strategy was needed that would identify how the different policy-making and implementing institutions in Afghanistan can be supported to operationalize policies, set priorities and identify obstacles to women, to identify

⁷⁹ UNDP, 'From Gender Paragraph to Gender Mainstreaming: Evaluation of the Institutional Capacity Building Support for Mainstreaming of Gender in Afghanistan by UNDP during 2002-2006'.

how mainstreaming is understood by men and women and opportunities for change. Clarity of vision and strategy was also required with respect to the role of MoWA as a policy-making, rather than implementing, ministry. Moreover, the Institutional Capacity Building programme, should be redefined in line with the strategic position and goals of the Interim ANDS, Interim National Action Plan for Women in Afghanistan and Afghanistan Compact.

With the 2006 evaluation findings in mind, a new project was developed aimed at promoting gender equality and women's rights in Afghanistan. Gender Equality, a US\$10,628,500 project that began in 2007 and runs until February 2010, seeks to develop effective gender mainstreaming models and to strengthen the capacity of government ministries and institutions. The project has three components: modelling gender mainstreaming through selected ministries; sustainable knowledge building and management on gender; and conflict resolution, justice, security and peace at the sub-national level towards women's empowerment. MoWA and the Ministry of Economy are the main technical counterparts for this multi-stakeholder DEX project, and a host of ministries, UN organizations and UNDP projects—such as Making Budgets Work, Access to Justice, CAPS, NABDP, ANBP, Civil Service Leadership Development, SEAL, Centre for Policy and Human Development, and others—are involved.

The project is focused on producing results aimed at meeting CPAP Outcome 6, where structures, mechanisms and processes are in place to impact practices and projects to ensure that a gender perspective is brought to bear on policymaking and planning. Towards this end, the project has reported providing a considerable range of support—technical, physical facilities and administrative, and human resources. Technical support has focused on strengthening the role of MoWA in mainstreaming gender in the ANDS and developing the Gender Sector Strategy, while providing its own inputs, focused

on equitable development and participation of women in the public sphere in general and governance in particular. Support was also provided for women's participation in the ANDS sub-national consultations—considered a milestone by many observers. Amongst other technical support activities, they had also conducted training of trainers of TAD and a range of other capacity building workshops, gender management training for MoWA and DOWA staff, translating the training manuals, training strategy and advocacy strategy, and supported MoWA in the preparation of the five-year development budget of MoWA for the implementation of the priority projects for the Gender Equality sector strategy. The project has helped operationalize the Gender Studies Institute. According to a recent Outcome Evaluation (Outcome 5), all outputs related to the Gender Equality project are likely to be achieved. However, the evaluation critiqued: the rigor of the benchmarks (11 outputs is impossible to achieve, and they are not results focused or sufficiently measurable); the project design overall; and inadequate human resource allocation. While early to establish results, the evaluator considered them to be 'superficial', and gender issues have not yet been introduced in six ministries.

Only MoWA and DoWA representatives were interviewed in conjunction with this ADR. Their perspectives varied considerably on the value of UNDP work. The Deputy Minister underscored that there has been much promised and little delivered in the way of support. She expressed particular dissatisfaction with the physical rehabilitation aspect of the project, including Internet and website support and in the area of human resources, where they have been waiting too long for a gender budget advisor. The United Nations Population Fund and UNIFEM were considered to be assisting more with mainstreaming. The Ministry did not appear to be sufficiently in the driver's seat of the project, and seemed unable to articulate the project's strategy. Gender Equality project staff underscored the severely limited capacity within the Ministry to run the Ministry from a management and strategic planning

perspective, that MoWA requests from UNDP were often more for equipment than substance. They highlighted the importance of their work on the ANDS, the fact that the Gender Equality project fulfils many of the National Action Plan for Women in Afghanistan concerns, and the value of their work in the region.

This value was reflected in Mazar, where DoWA spoke highly of the project, despite its having begun just three months earlier. The head of DoWA was pleased with the project design and satisfied with the building constructed by UNDP for DoWA and the support for staff. UNDP facilitated the development of a Gender Coordination Group that is effectively bringing together stakeholders and DoWA is increasingly assuming ownership over this process. There is an effective Provincial Advisory Committee with seven ministries participating. Coordination between the project and DoWA is good, and the provincial coordinator was attuned to designing an effective capacity building strategy to ensure UNDP's timely exit on the issues. A big part of provincial work is aimed at awareness raising, as women are very unaware of their rights, and ensuring greater participation for women. This is much more difficult in provinces where the Taliban is actively engaged and in rural settings, where values tend to be more conservative.

Efforts have been made to address the 2006 evaluation recommendations. In particular, more efforts have been geared towards working with the government to develop a capacity building programme and a strategy for mainstreaming gender into other ministries—rather than implement programmes itself. Progress is generally on schedule, and if the ambitious 2008 work plan activities are undertaken and outputs met, the project should have made significant headway in achieving its goals. At the same time, it is clear that the project needs to address its relationship with MoWA.

Despite the significance of this issue in the 2006 evaluation, it is not clear whether or not coordination amongst stakeholders on gender issues has

sufficiently improved. In particular, UNIFEM and UNDP still do not appear to be working effectively together. Other evaluators agree. A 2007 evaluation of UNIFEM work spoke of “strained relationships with other ministries providing technical assistance,” despite some agreement on MoWA capacity deficits and needs. They further recommended that UNIFEM increase support to DoWAs, which, if undertaken, will demand even greater commitment to deepen coordination efforts within the United Nations on gender issues. The UNIFEM evaluation also highlighted problems with UNAMA coordination on gender that reflect coordination problems within the United Nations as a whole. Despite UNAMA's Inter-Agency Gender Coordination mandate, this is not appreciated by others within the UN system working on gender—in particular given UNIFEM expertise in gender issues and informal leadership of the sector and UNDP's normal coordination role *vis-à-vis* UN organizations. UNIFEM evaluators felt that coordination in the UN system was hindered by a lack of commitment by UNAMA and competition and sub-optimal communication between UN organizations with a direct mandates to address the needs of women. It is not clear whether or not these issues are being effectively addressed.

UNDP is aware that many of its projects in Afghanistan are missing opportunities to support equal development and participation for women and men. Specifically, UNDP has identified that it has yet to clearly integrate the principle of gender equality in staff recruitment, orientation, guidance and job performance assessment. Without full gender mainstreaming in its own work, the question arises as to how UNDP can effectively work to mainstream gender within the government. UNDP is not the only international body facing this challenge. ANDS encourages all international organizations to adopt gender equality in their development cooperation and technical assistance, alongside direct support to ministries in implementing gender equality strategies. The US\$1,328,240 Gender Mainstreaming project (running from October 2007 to December 2009), seeks to support

national development goals and strategies on gender equality in two ways: through gender-focused projects that help build national capacity to address gender inequality and promote women's human rights; and by ensuring that related issues of gender inequality are considered in all of UNDP Afghanistan programme and projects in the three pillars and operations. These two approaches have to be linked for better results and effectiveness. Additionally, the project is also expected build the capacity of UNDP Afghanistan so that it can effectively contribute to the national goal on gender equality as contained in the Interim ANDS and MDGs.

While initially expected to run from March 2007 to February 2010, the project did not officially launch until November 2007 and thus it is too early to discern many results. The strategy of a capacity development approach is expected to facilitate changes in the enabling environment, as

well as in the organizational and individual levels, both within programme and operations. It will do so in three phases, and six projects, mostly governance oriented, were selected to model gender mainstreaming: ASGP, ELECT, Comprehensive Disaster Risk Reduction Programme, CAP, SEAL, and the Joint National Youth Project. Initial expected results were for the participating units and projects to include in their 2008 annual work plans gender related activities in line with ANDS and CPAP benchmarks related to gender equality and gender mainstreaming. Advice was also given to the pilot projects in terms of their work plans for 2008. For example, ELECT was advised to improve outreach by the Independent Election Commission to female voters in line with voter registration, and SEAL was advised on integrating the gender equality agenda in the capacity building programme for Parliamentary staff. There has also been training of trainers for UNDP staff from different programmes, who

Box 10. Main findings: Gender mainstreaming

The Institutional Capacity Building Support for MoWA Programme of UNDP (September 2002-December 2006) sought to enhance the capacity of MoWA to deliver its mandate, including assisting other ministries in mainstreaming gender and strengthening inter-ministerial collaboration for the promotion of gender equality. It targeted institutions at the national level (ministries and commissions) and sub-national level (DoWAs and departments of other line ministries) in partnership with UNIFEM and MoWA. The project rehabilitated and equipped MoWA and trained its staff in development planning, computers, English, organizing advocacy campaigns, and preparing conferences, workshops and presentations. Two sets of gender training manuals were developed. Impact was considered marginal because it was not buttressed with a training strategy or followed with monitoring and evaluation. Planning and execution have been poor. UNDP staff recruited for the programme did not have the capacity to handle the responsibilities and there was insufficient backstopping and supervision from UNDP to rectify weaknesses. UNDP Afghanistan itself had no gender strategy.

The Gender Equality Project began in 2007 and seeks to develop gender mainstreaming models and strengthen the capacity of government institutions. Technical support has focused on strengthening MoWA's role and inputs for mainstreaming gender in the ANDS and developing the Gender Sector Strategy, while providing its own inputs focused on equitable development and participation of women in the public sphere and governance. Support was also provided for women's participation in the ANDS sub-national consultations. This was considered a milestone by many observers. According to a recent Outcome Evaluation (Outcome 5), all of outputs related to the Gender Equality project are likely to be achieved, although the evaluation critiques the rigour of the benchmarks, the project design, and "deeply inadequate human resource allocations." Gender issues have been introduced in six ministries, but it is too early to assess results. Coordination between partners remains poor. UNIFEM and UNDP still do not appear to be working effectively together, despite the fact that both are focused on issues of gender mainstreaming with MoWA.

now comprise a Gender Group that will carry out training and advocacy on gender.

The Outcome 5 Evaluation, noting that it was too early to determine results, found the project well designed with a measurable results framework and so far highly successful in leveraging UNDP projects to examine gender and mainstreaming key issues. It is considered to be coordinating and cross-fertilizing well with other projects.

3.3 STRATEGIC POSITIONING, RELEVANCE AND SUBSTANTIVE VALUE ADDED

3.3.1 RELEVANCE

Since 2002, UNDP has sought to ensure that its programmes are relevant to the priorities facing the Afghan people and the international community in the search for peace, stability and long-term development in Afghanistan. UNDP has been largely successful in this endeavour and should be commended. It has been involved in most of the key sectors and thematic areas that are central to the transition process and has provided support in the following areas:

- **DDR**—Disarmament and demobilization of armed forces and militia; disarmament of armed groups; collection and destruction of weapons including heavy weapons; some reintegration of former armed forces and militia; support to host communities for reintegration; creation of institutional capacity for mine action including clearance, awareness raising and training; support to those disabled by war
- **Support to reconciliation**—Support to the *Loya Jirga* and the constitutional committee
- **Democratic governance**—Creation of institutions for democratic governance at the centre and at the local levels including for the management of elections, Parliament, provincial councils, and district councils
- **State building**—Strengthening capacity to deliver services at the centre and increasingly

at the local level; public sector and security sector reform; capacity building and initial support to the creation of a professional civil service

- **Economic management**—Strengthening of budget management and treasury systems
- **Rule of law and security sector reform**—Strengthening of the key institutions in the justice sector (the Court, Ministry of Justice and the Attorney General’s Office); ensuring the functioning of the police force and some degree of reform
- **Economic diversification and the creation of sustainable livelihoods**—Area-based development; some support to small business development
- **Support to unemployed youth**—Limited support to youth through the Ministry of Youth and Culture

It is debatable whether prevailing conditions would have allowed UNDP to pursue a more substantive role in each of the above areas. The specific nature of UNDP involvement in each has been a function of three principal constraints:

- **The room accorded to it by key stakeholders**—In the early recovery stage, the UNDP role was largely dependent on the degree of elbow room it could obtain or was accorded.
- **The availability of cost-sharing resources**—With limited availability of TRAC funds, the nature of UNDP involvement in each area was further determined by what donors were prepared to contribute in the form of cost-sharing.
- **Political will**—Political will on the part of senior most management of UNDP to secure a substantive, developmental role for UNDP in an environment with large bilateral donors, limited support from the first SRSG and ascendancy of the World Bank as the central player in the post-invasion period.

In the first few years following Operation Enduring Freedom, UNDP strategy was not particularly substantive and was dominated by an effort to claim a role in early recovery (strongly championed by the UNDP Administrator in an effort to differentiate UNDP from the World Bank) and to create a niche through ‘gap-filling.’⁸⁰ This effort resolved the above constraints, but also resulted in the UNDP adopting a role that was:

- Largely limited to the administration of non-core, earmarked donor resources, a relatively high-risk task in a country with such weak institutional capacity (at least during the first three years following 2002).
- Limited to involvement in policy definition and development.
- Had a heavy emphasis on the rehabilitation of infrastructure and physical facilities under what have been called ‘Quick Implementation Projects’ in other post-conflict settings.
- Had an initial role in capacity building that was seemingly limited to the creation of capacity for the management of resources in a transparent and accountable manner. A more detailed review of the UNDP role in capacity building, whether with the Ministry of Finance, Ministry of Interior or Ministry of Justice, was always centred on management of the project cycle, finances, procurement, human resources and other aspects of basic administration.
- Resulted in the proliferation of projects, including into areas that were either peripheral to peace-building or designed in a manner that limited their contribution to the peace-building effort. For instance, projects were approved for environmental management using Global Environment Facility funds, but focused on biodiversity and environmental

reporting rather than inter-community conflicts over the ownership and management of natural resources. Similarly, support to the Ministry of Youth and Culture was focused more on demonstrating collaboration between UN organizations rather than emphasising the creation of employment opportunities for youth in a country where unemployment is high, fertility rates are climbing and the demographic profile skewed accordingly.

Because of the architecture of the international system and the nature of the resources available in immediate post-conflict settings (for humanitarian rather than developmental purposes), the entire international community was slow to address the need for long-term institution and capacity building, instead supporting a phased approach to peace-building. It could be argued that a dangerous vacuum was created that is only belatedly being filled.

UNDP also failed to seriously address the institutional shortcomings in Afghanistan at an early stage. The UNDP capacity building programme did not come online until 2005, and under its other ongoing flagship programmes, substantive capacity building in non-administrative areas did not begin in earnest until late 2004.

Dependence on third-party funding and the strong political role of some key donors also resulted in UNDP being relatively passive in the definition of programme direction, feeling forced to accept policy directives at the project level from key donors and the government rather than taking a more principled, substantive position. UNDP has tended to keep a low profile while the donors involved have negotiated policy direction with government, even on

⁸⁰ In its case study of Afghanistan, during the evaluation of UNDP activities in conflict-affected countries, the Evaluation Office’s evaluation team noted that in its interviews with senior management of BCPR, the corporate strategy of UNDP in Afghanistan was explicitly stated to be one of ‘gap-filling’. (Interview with the Deputy Director, John Ohiorenhuan). See UNDP/Evaluation Office, ‘Evaluation of UNDP Assistance to Conflict-Affected Countries: Case Study, Afghanistan’, by Carrol Faubert, Mary Kaldor, Saeed Niazi, Rajeev Pillay, Evaluation Office, New York, NY, 2005.

its flagship programmes. As noted elsewhere in this report, in some cases, this resulted in the acceptance of unrealistic, politically driven deadlines that negatively affected sustainability and in some instances, the perceived legitimacy of the outcomes (for example, in the case of the elections), and in other cases, this resulted in the adoption of policies and approaches that UNDP's comparative experience would have demonstrated to be ineffective.⁸¹

Interviews with donors suggest that the principal reasons for channelling funds through UNDP were:

- Its perceived neutrality
- The inability to channel funds through the donor's own bilateral agency for sensitive purposes (for example, payment of the police)
- The relative nimbleness with which UNDP could approve projects and launch implementation
- The need for accountability and transparency in the management of donor resources
- Reliability in reporting the use of inputs and production of outputs
- The control afforded donors over the use of funds
- A desire to strengthen the role of the United Nations in a post-conflict environment

Since 2005, UNDP has worked hard to focus its programme and to make the transition to more substantive involvement. The total number of projects has dropped from approximately 70 in 2003 to less than 40. UNDP has gradually increased its involvement in the preparation of key government policies as a substantive partner rather than merely a convenor-administrator-facilitator (for example, the draft sub-national

governance policy and the rules of procedure for the National Assembly).

Despite the streamlining of its project portfolio over the past four years, a few programmes have also been added that do not explicitly support or are not of high priority in the overall search for peace and development. In an attempt to assist the country office in establishing an approach to determine which programmes should continue to be supported, the evaluation team scored programmes based on three sets of criteria:

- **Political**—Does the programme address a key aspect of the overall political effort to achieve a lasting peace through support to one or more key objective contained in the Afghanistan Compact or Paris Declaration of central importance to UNAMA goals? Does the programme support UNAMA in the achievement of any of the key political milestones established by the international community (for example, institutionalization of the constitution, the holding of elections, the establishment of Parliament or local legislatures)?
- **Peace-building**—Does the programme seek to strengthen national capacity and institutions in any of the following areas of critical importance to long-term conflict management and peace-building: institutions for democracy and participation at the national or local levels; institutions for equitable justice or the rule of law; reform or strengthening of security sector institutions of importance to the domestic rule of law; reform or capacity building of state institutions; building the capacity of the state or other institutions of governance to manage development, conflict and service delivery beyond the confines of Kabul and its environs including at the provincial level and below. Does the programme address any key bottlenecks that undermine the effectiveness, credibility or perceived

⁸¹ Examples include: a highly centralized approach to assistance in rural development under the NABDP; the haphazard introduction of project implementation units in most key agencies of the government; and the absence of a clear integrated economic stimulus package in support of downstream efforts to boost sustainable livelihoods.

legitimacy of any or all of the key institutions required for a return to stability and development? Does the programme create alternative opportunities including sustainable livelihoods for sections of the population that are either under the control of insurgent groups or militia or at risk of joining such groups as a result of the lack of other options or alienation. Does the programme seek to mitigate conflict through the creation of effective, non-violent systems and institutions for conflict management at the national or local level?

- **Developmental**—Does the programme address development issues of central importance to the political and peace-building objectives of the international community and Afghanistan? Are these programmes relevant to long-term development priorities and are they sustainable and designed to create long-term national capacity?

Each of the above criteria were used to rate the main programmes of UNDP Afghanistan on a scale of 1 to 5, where 1 indicates that the criterion in question is least important to the objectives of the programme and 5 indicates that it is most important to the programme's objectives (see Table 5). An average of the three ratings was then applied to each programme. This approach helped prioritize the programmes that are most central to stabilization and peace-building and is a reflection not only of the thematic area in which they operate, but also the design and focus of each specific programme. A redesign of the programme, could make it more relevant and raise its level of priority. For instance, the Youth Programme, while interesting in that it involves collaboration between all 10 UN organizations, could be made more relevant if it addressed youth employment directly or conflict resolution at the community level. Similarly, UNDP support to human rights would have more relevance if it addressed the creation of capacity to reduce

Table 5. Rating of main UNDP programmes in Afghanistan in terms of relevance

			Score: 1-5 1= least important, 5= most important			
Programme	ID & Description	Duration	Political	Peace-building	Developmental	Average
ACT	53687 - Accountability and Transparency	2006 - 2008	5	5	3	4.33
Elections	50324 - Enhancing Legal and Electoral Capacity for Tomorrow	2006 - 2008	5	5	3	4.33
Gender	58415 - Gender Mainstreaming	2007 - 2009	3	4	5	4
HRTR	43526 - Human Rights Treaty Reporting	2005 - 2006	2	2	1	1.67
ICB	54320 - Institutional Capacity Building for Gender Equality	2007 - 2010	3	4	5	4
Justice	47012 - Access to Justice at the District Level	2005 - 2008	5	5	5	5
	47952 - Strengthening the Justice System of Afghanistan	2006 - 2008	5	5	5	5

(cont'd) ►

◀ (cont'd)

			Score: 1-5 1= least important, 5= most important			
Programme	ID & Description	Duration	Political	Peace-building	Developmental	Average
Justice	60050 - Support to Justice Coordination Mechanism	2008 - 2009	5	4	2	3.67
SEAL	43513 - Support to the Establishment of the Afghan Legislature (SEAL)	2004 - 2008	5	5	2	4
	59607 - SEAL II	2004 - 2008	5	5	4	4.67
Youth	54434 - Joint National Youth Programme	2007 - 2008	1	1	2	1.33
ANBP	43536 - Anti-Personnel Mine & Ammunition Stockpile Destruction	2004 - 2007	4	5	4	4.33
	43604 - Disbandment of Illegal Armed Groups	2006 - 2007	5	5	4	4.67
	52259 - Reintegration Support Project for Ex-combatants	2007 - 2008	5	5	5	5
ANDS	51821 - Afghanistan National Development Strategy	2007 - 2009	4	3	5	4
CPHD	50008 - Center for Policy and Human Development	2006 - 2007	1	2	3	2
Disaster	52355 - Comprehensive Disaster Risk Reduction	2006 - 2011	1	1	4	2
Environment	53514 - PA Development of Sustainable Land & Management	2007 - 2008	1	3	4	2.67
GAIN	47565 - Greening Afghanistan Initiative	2005 - 2008	1	1	2	1.33
NABDP	11012 - NABDP DEX	2006 - 2008	5	5	5	5
	11020 - NABDP NEX	2006 - 2008	5	5	5	5
Private Sector	56958 - Trade and Private Sector Development		2	3	4	3
TCDC	53780 - Technical Cooperation among Developing Countries	2006 - 2007	4	2	3	3
UDG	51619 - Alice Ghan	2006 - 2008	3	4	3	3.33

(cont'd) ▶

◀ (cont'd)

			Score: 1-5 1= least important, 5= most important			
Programme	ID & Description	Duration	Political	Peace-building	Developmental	Average
UDG	57895 - Upgrading Nine Vocational Training Centres	2007 - 2008	2	4	4	3.33
UNAMA	54587 - Support to UNAMA for Humanitarian Co-ordination	2007 - 2008	4	3	0	2.33
AIMS	37482 - Building Information Management Capacity	2004 - 2008	1	3	4	2.67
ASGP	51486 - Afghanistan Sub-National Governance	2006 - 2011	5	5	5	5
CAP	52210 - Capacity for Afghan Public Service	2007 - 2008	4	4	5	4.33
Civil Service	43388 - Civil Service Leadership Development	2005 - 2009	4	4	5	4.33
CNTF	45781 - Counter Narcotics Trust Fund	2005 - 2008	5	5	4	4.67
ICT	42210 - Cisco Development Academy	2004 - 2008	1	1	3	1.67
LOTFA	52084 - Law and Order Trust Fund for Afghanistan	2006 - 2008	5	5	4	4.67
MBAW	11018 - Making Budgets Work	2004 - 2007	5	4	5	4.67
	56407 - Making Budgets and Aid Work	2007 - 2012	5	4	5	4.67
SCoG	46407 - Support to the Centre of Government	2005 - 2009	5	5	3	4.33
SSBSGC	59207 - Strengthening State Building through Strategic Government Communication	2008 - 2010	4	4	2	3.33

impunity in a more comprehensive manner rather than merely fulfilling an international reporting function.

Overall, the UNDP programmes in Afghanistan are of high priority to the objectives of UNAMA and the international community. Those programmes that scored an average of less than 3.0 and may benefit from a reconsideration of

their place within the UNDP country programme or a substantive redesign are highlighted in grey in Table 5.

The UNDP country office is already seeking to spin off the project unit for AIMS as a freestanding, self-financing non-governmental entity. Success will depend on its ability to secure contracts from government entities, the United

Nations, and bilateral or other multilateral agencies. UNDP support is currently being used to develop marketable software programmes that may be used as a basis for securing initial contracts and the project is currently in its final six months of life.

It is important to note that the UNDP shift to state-building has been interpreted in its most narrow sense—the strengthening of **government** as opposed to **governance** institutions. Although during the Mujahideen and Taliban periods, the UNDP had a programme almost entirely based on work through NGOs, post 2002 and at the insistence of the first Minister of Finance, UNDP almost completely abandoned its support for civil society institutions and focused on the institutional capacity of government institutions at the centre and provincial levels. Yet for the effective functioning of a democracy, civil society institutions need to be vibrant, independent and strong. It is essential that UNDP turn its attention in the next country programme to strengthening civil society institutions, at least initially for:

- Independent monitoring of human rights and legal advocacy
- Advocacy of women’s rights and needs
- Monitoring the implementation of justice
- Development monitoring and policy advocacy in the areas of equality and sustainable livelihoods
- Professionalization and self-regulation of the media
- Creation of professional and business associations with a view to laying the foundations for cooperative work and industry self-regulation

In addition to support for individual civil society organizations, such assistance should also review and strengthen policies that affect the overall environment in which civil society organizations work, including issues such as the definition of civil society organizations in the Afghan context,

preservation of their independence, their privileges and immunities, their rights, and rules and regulations governing their registration.

3.3.2 THE CHALLENGE OF PROVIDING SUBSTANTIVE VALUE-ADDED

Starting as it did as the ‘administrator of last resort’ for funds channelled to sensitive activities in Afghanistan at the very outset of the post-Taliban period, UNDP has had a hard time having its voice heard in substantive policy discussions—even on programmes to which UNDP contributes. In some of the major programmes, some of the key bilateral agencies prefer to keep other stakeholders out of the most sensitive policy discussions. Asserting the substantive role of UNDP is all the more difficult as several bilateral and multilateral donors have extremely large programmes of assistance in the country, and while the sources of national capacity are not very varied, several of the other donors have the resources to access short-term or medium-term capacity relatively easily.

In the context of a post-conflict setting, UNDP is further weakened in policy discussions as the Resident Coordinator and broader policy leadership function for the UN system is accorded to the UN peacekeeping or peace-building mission, a function reinforced and legitimized by its Security Council mandate.

UNDP influence in such settings is therefore largely dependent on its role in supporting the UNAMA Security Council derived mandate and that of the relevant Deputy SRSG concerned. The volume of assistance that is channelled through UNDP also provides an opportunity for leverage that, to date, has perhaps been under-used. Although it has been more active since 2005, UNDP has generally preferred to maintain a low policy profile, ensuring that it continues to receive cost sharing.

Despite its staff size, the UNDP country office as presently structured is not equipped to provide credible substantive value added and support. UNDP staff are generally recruited to serve as

administrators and managers and rarely selected for their specialized technical competencies. The majority of UNDP personnel are also submerged in bureaucratic procedures involved in the management of programmes and a proliferation of reporting requirements to Headquarters, management, for missions visiting the country office and to each of the donors contributing resources. Many donors require quarterly and sometimes bi-monthly reporting. No two donor report formats are alike. All this *de facto* prevents UNDP programme personnel from contributing substantively to policy discussions in their thematic areas or developing substantive policy frameworks that can engage all stakeholders. There is a need for a small multi-disciplinary team of highly experienced, senior technical personnel to work in close conjunction with the Country Director to undertake strategic analysis and provide advisory services to the Country Director, both Deputy SRSGs and SRSG as necessary. They should also be tapped to provide support to the Deputy SRSG and Country Director in the management and coordination of sectoral and thematic groups of strategic importance. The same team should also be used to appraise programme proposals and technical products of key importance prepared by UNDP projects.

There is significant capacity in UNDP NEX and DEX projects that has, over the past three years, been increasingly tapped by the Country Director and the Deputy SRSGs (especially in the case of the ELECT programme and the ASGP). This capacity is particularly valuable because it is also linked to implementation and can provide practical feedback on what is happening on the ground. Such capacity could be used more systematically and effectively. Programme managers

could also be brought together for strategy and policy meetings under the leadership of the Country Director. It should, however, be recognized that time spent providing advisory services to senior management in UNDP and UNAMA is also time taken away from the management responsibilities that the programme managers are required to deliver on and an appropriate balance needs to be found.

UNDP has been slow to mobilize the full array of capacity potentially available to a programme as important as that in Afghanistan. While capacity at the regional and global levels is thinly stretched across a large number of countries, strategically prioritized and carefully timed interventions drawing on the capacity that exists beyond the UNDP country office could have a significant impact. BCPR stated that Afghanistan was a low priority for it, as the country office was in receipt of significant resources. Similarly, relevant units in the BDP such as the Democratic Governance Group and the Poverty Reduction Group were not involved with the regular support of UNDP in Afghanistan, despite its high profile.

Capacity in the UNDP Regional Centre in Colombo⁸² and Bangkok⁸³ has been used for specific issues such as the preparation of the National Human Development Report, but systematic use has not been made in the development of policy dialogue. For instance, the Regional Centre of UNDP in Colombo has significant capacity to support policy development and dialogue in the areas of macroeconomic management and economic stimuli in support of poverty reduction.⁸⁴ This could have been used to help UNDP, UNAMA and the government develop a strategy for sustainable livelihoods, which is

⁸² Regional Centre Colombo technical experts in the fields of macroeconomic policy, trade and investment, MDGs, gender and human development.

⁸³ Regional Centre Bangkok has technical experts in the fields of democratic governance (including civil society and local governance), crisis prevention and recovery (including conflict prevention and peace-building), capacity development, public-private partnerships, South-South cooperation in the Asia region, gender, HIV/AIDS, information communication and technology, and the environment and natural resources.

⁸⁴ UNDP/RBAP, 'UNDP Regional Cooperation Framework for the Asia and Pacific Region—Poverty Cluster: An Independent Evaluation', by Rajeev Pillay and Shalini Soni-Bhagat, Abacus International Management L.L.C., May/June 2006.

urgently needed from both a developmental and a peace-building perspective.

UNDP has to have sufficient substantive resident capacity in the country office to be able to have a credible presence at the policy table and to promote a substantive policy dialogue. It also needs to better tap into additional capacities available within its structure at the regional and global levels for specific, timely interventions. The latter requires clarity of vision and excellent organization, both of which are more easily achieved if a dedicated technical team is in place to support the Country Director with strategic analysis and planning.

The Evaluation of UNDP in Conflict Affected Countries' Case Study for Afghanistan conducted in 2005 also highlighted the need for

a technical team of advisers to support both UNDP and UNAMA in their overall development policy and coordination functions. No such capacity has yet been created in UNDP and, in the absence of an initiative on the part of UNDP, UNAMA has announced plans to recruit its own in-house capacity in the areas of governance, rule of law, police, elections, general development policy, donor coordination and aid effectiveness, and coordination of the UN Country Team (see Annex 12). Irrespective of whether or not UNAMA proceeds with its plan for expansion, UNDP urgently needs to develop its own substantive capacity to add substance to its current programme engagement and to outgrow the legacy of its niche in early recovery and further its ongoing transition from an administrative body to substantive partner.

Box 11. Main findings: Relevance and substantive value added

UNDP has supported most of the key elements of the peace process in Afghanistan through capacity building and direct support. The peace process can demonstrate numerous successes including: creation of a transitional government; holding of Presidential and parliamentary elections; disarmament and reintegration of troops; disbandment of a significant number of illegal armed groups; early elements of civil service reform; establishment of a functioning Parliament; strengthening of key institutions of the justice sector; and reform of the police. UNDP has played a role in each. UNDP has also created capacity in the Ministry of Finance to budget and manage revenue and expenditures. It has begun to strengthen the capacity of local government. While many results have been achieved in partnership with others, the role that UNDP has played in Afghanistan is an important one.

With annual expenditures between US\$350 million and US\$160 since 2002, the UNDP programme in Afghanistan is the largest UNDP country programme in Asia and the third largest worldwide. However, on average only 3.5 percent of total programme expenditures were from core funds (TRAC) between 2004 and 2007. This inevitably made UNDP priorities dependent on the availability of donor funding. The past three years have witnessed high delivery but a progressive drop in expenditures—reflecting a gradual shift towards smaller, more substantive programmes in critical areas of national policy development as well as a decline in UNDP administration of large trust funds for direct budget support.

In a crowded ODA environment with a few very large donors with significant military and political exposure, the ability of UNDP to move easily into the customary areas of its mandate has depended heavily on whether it has been allowed to do so or has 'elbowed' its way in. For at least the first three years following Bonn, this has relegated UNDP to 'gap-filling'—selecting niches that other agencies were unprepared to address. As part of the international community's tendency to artificially adopt a phased approach, the failure to address institutional capacity issues and the strengthening of key institutions essential for long-term peace created a dangerous vacuum that has only now begun to be filled. At the

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level of the Administrator, and in the face of a lack of support from the first SRSG, UNDP claimed a limited niche in early recovery as the administrator of last resort for donor funds for sensitive tasks, such as paying the salaries of the civil service and police force and administering the CNTF. UNDP has performed a valuable service to the international community and Afghanistan by serving as a reliable conduit for ODA during a period when Afghan national institutions were emerging from three decades of conflict and devastation. Yet this was at the expense of a more concerted effort to address key challenges and institutional changes required for a lasting peace. It also risked branding UNDP as a non-substantive agency in charge of financial management, procurement, and general administration—a legacy that it has worked hard to overcome since 2005. After 2004, at the insistence of the Minister of Finance, UNDP was repositioned to strengthen the institutions of state. This mandate was interpreted strictly by UNDP at the expense of the broader aspects of governance including the role of civil society. The latter was ceded to agencies such as the World Bank that mounted the NSP focused on community mobilization and capacity building. In the past two years, the UNDP has begun to reverse this by increasing its involvement with civil society, but involvement with civil society was not an integral part of its strategy for capacity building from the outset. Between 2002 and 2004, the government went through a process of recentralization to reduce the influence of warlords. This has limited the extent to which support for state outreach could be accompanied by substantive deconcentration of authority and management.

UNAMA is an integrated mission, in which the UN Country Team is supposed to work as an integral part of the UN mission under the leadership of the SRSG. As such, the primary programme objectives of UNDP need to fall within the areas of its mandate that contribute directly to the achievement of UNAMA mandated objectives and the creation of conditions to enable UNAMA exit. UNDP programmes address virtually each of the key peace-building issues:

- **Democratization and participation**—Drafting the constitution; holding Presidential and parliamentary elections; creating capacity to hold Presidential and district elections; establishing parliamentary processes; strengthening parliamentary institutions, such as committees and secretariats; and strengthening civil society institutions, particularly at the sub-national level.
- **Reform of the justice sector and the rule of law**—Police reform; strengthening the Ministry of Justice, Supreme Court and Attorney General's office; improving access to justice; strengthening justice institutions at the sub-national level; and strengthening of accountability and transparency and financial and management systems in each.
- **Strengthening of key institutions of state**—Professionalization and reform of the civil service; capacity building within public administration; creating outreach capacity of the executive branch through the strengthening of sub-national governance; and creating capacity in the government to effectively manage the budget process and coordinate development assistance.
- **Sustainable livelihoods**—Delivery of essential services at the sub-national level; and strengthening community-based organizations for the management and delivery of programmes that can raise incomes and empower communities.
- **Support to coordination**—Support to the ANDS process; strengthening of government capacity to manage budgets, bringing a significant component of development assistance into the budget; and tracking the remaining development assistance in the Ministry of Finance.

Despite efforts to discard programmes of peripheral importance viewed through the prism of UNAMA objectives, a few remain outside the ambit of post-conflict peace-building. The UNDP mandate makes it perhaps the most important UN development agency for UNAMA in Afghanistan. Thus, the UNDP and UNAMA relationship should be viewed in a special light. The UNDP Country Director interacts closely with both Deputy SRSGs, but truly integrated mission planning based on a shared vision, objectives and

strategy that would guide all activities of the UN system, does not exist. Indeed, it is more an attitude of 'us and them'. At the local level, this dichotomy is even more pronounced, with only UNAMA having core representation in the field. Just one peripheral programme—the Youth Programme—has been selected as a pilot for UN collaboration. However, the large number of agencies involved in the project may lead to its failure. Operations are managed in parallel by agencies rather than in a collaborative manner, and because of its low priority in regards to the peace process, third-party cost-sharing has not been forthcoming.

Although most UNDP projects have major political implications, with the exception of senior-most staff, political and conflict analysis is held very closely within UNAMA. Not enough is being done to ensure that UNDP projects are designed and implemented bearing political and conflict considerations in mind. A BCPR mission is being mounted shortly to undertake a conflict analysis of the programme.

The evaluation was not able to discern a clear, comprehensive UNAMA mission strategy for the attainment of long-term and sustainable peace, stability and development. The London Accords and the Paris Declaration contain political milestones that could serve as a checklist, but a detailed strategy to guide the UN system is missing. An attempt at Integrated Mission Planning began recently—approximately seven years into the mission. Plans are underway to boost UNAMA capacity through the recruitment of additional staff in the development pillar, for aid coordination and a development unit. This is likely to further complicate the relationship and clarity in functions and roles needs to be addressed. Plans are underway in UNDP to boost its policy advocacy and advisory capacity through additional recruitment of dedicated advisory staff. While substantial synergies may be found, the process of dovetailing UNDP and UNAMA capacities presents a major challenge.

3.4 EFFECTIVENESS AND EFFICIENCY

3.4.1 EFFECTIVENESS

To date, the UNDP programme has been constrained in the extent to which it has been able to work with civil society organizations—strengthening their role in governance, the peace process and development of the country. Effective and accountable governance will not be possible without vibrant civil society institutions. This includes service delivery and advocacy NGOs, customary organizations, the media and academic institutions.

In the next wave of the peace process and in accordance with the government's priorities, UNDP will be intensifying its support to the development of sub-national governance capacity. Customary organizations will be an important factor in any such effort. Customary organizations are likely to be effective because they both empower and constrain local leaders. Authority in Afghan villages is diffused among village organizations (*maliks*), village councils

(*shuras/jirga/CDCs*), and religious leaders (*mullahs/imams*), each of whom derives legitimacy from distinct sources. This constellation of authority can supply public goods if it satisfies several conditions, including local separation of powers, checks and balances, and independent sources of local revenue. These conditions create self-enforcing incentives to provide public goods without predation and expropriation of citizen wealth. Customary organizations in Afghanistan satisfy these conditions and can be expected to provide public goods effectively under conditions of weak government institutions. By contrast, pervasive non-customary organizations, such as warlord networks and donor-supported development organizations, lack accountability mechanisms or reliable sources of local revenue, which render them less effective in providing public goods.

There are limits to customary organizations and understanding their limitations has vital public policy implications. Customary organizations

are unable to provide larger-scale public goods that require intra-communal cooperation, such as shared revenue generation and monitoring across communities. These larger-scale goods are vital to improving conditions of human development and livelihoods, which explains why local order can co-exist with high levels of poverty.

Customary organizations, unlike many non-customary groups such as warlords, are not opposed to central government authority. In fact, they systematically cooperate with local authorities on a regular basis. In practical terms, local governance relies on cooperation between customary authority and local government officials. Such cooperation is not mandated by any law or policy, but is nonetheless routine throughout the country. Customary institutions are also likely to be more durable than formal government institutions, as they are embedded in Afghan culture and tradition. They are therefore likely to withstand any future periods of uncertainty and institutional anarchy as they have similar periods in the past. In the absence of central authority, individuals may continue to organize productively to provide public good, and investment in customary institutions for governance is likely to be a worthwhile long-term investment. The findings imply that policy interventions in post-conflict environments may be most urgently needed at the intra-community level, rather than at the community level, where assistance is usually targeted.

Corruption has become one of the most significant constraints to development in Afghanistan. It is an obstacle to perceptions of legitimacy of state institutions and, by extension, the achievement of lasting peace and stability. The current focus on strengthening government institutions to address the issue is essential, but it is unlikely to be effective without parallel programmes to strengthen the capacity of key civil society organizations to serve as a parallel source of checks and balances. Specifically, UNDP should launch a

programme to create an environment for the effective operation of human rights and civic organizations and well-developed and professional independent media organizations. The development of such an environment should include a review of regulations and the creation of institutions for self-regulation in addition to efforts to strengthen consortia and select individual civil society organizations.

The challenge of building capacity in Afghanistan is massive. Capacity must be built over an extended period. The intended outcomes of most programmes are stated in terms that most certainly cannot be achieved in two to three years, which appears to be the average duration of projects (and the country programme as a whole). As with many other features of the programme in Afghanistan this appears to be largely driven by the availability of cost-sharing resources that are generally on an annual or biannual cycle and the need to maintain a degree of flexibility under rapidly changing circumstances. Nevertheless, it is essential to consider extending programme and project planning and management cycles to an average of five years with clearly defined exit strategies premised on strengthening national capacities over the project life cycle.

As noted in the analysis of individual programmes, there is a tendency to reinvent the wheel in Afghanistan. The Afghanistan country office has not been given sufficient support from substantive units in UNDP to bring to bear prior and comparative experience to the extent that it resides in UNDP. Support is required from the various units of BDP, BCPR, regional centres and from the Bureau of Management.

In 2002, a 'lead nation' approach was adopted for certain sectors—most notably for security sector reform. This was driven by reluctance on the part of most other multilateral and bilateral agencies (including the United Nations) to step into the breach. The approach has proven less than effective. Until recently, no lead

nation devoted enough attention or money to the sector under its purview, with the possible exception of Japan for DDR and the United States for training of the Afghan National Army. This has resulted in UNDP ‘holding the baby’ without the tools or the mandate to fulfil the function in sectors such as police training, strengthening of the judiciary and penal reforms. As a result, while UNDP has been given the leeway to strengthen the administrative capacity of institutions, the failure of lead nations to build substantive capacity has rendered any exit strategy elusive. Worse, because of the weak capacity, lack of professionalism and growing corruption has reduced public confidence in, and the legitimacy of, institutions critical to the long-term stability of the nation.

3.4.2 EFFICIENCY

The UNDP role as an administrator of donor funds in Afghanistan would seem to require two sets of core competencies: efficiency, responsiveness and rapidity of action; and accountability and transparency. Yet virtually every counterpart agency complained about the extraordinary inefficiency created as a result of UNDP administrative procedures. These procedures were variously described as “rigidly inflexible”, “impossibly slow”, “inappropriate for the conditions in Afghanistan”, “petty” and “the objective rather than the means.” Many of the procedures are nonsensical—for instance, the need to have medical reports for the recruitment of all national consultants whether it be for seven days or seven months. Others seem to be inappropriate—for instance, the need for all professional consultants and experts to have post-graduate degrees in order to be recruited by UNDP. The automation of all procedures under ATLAS⁸⁵ has, ironically, rendered all administrative actions slower and more rigid because they require every step to

be fulfilled, evidence to be provided, and all prerequisites to be fulfilled beforehand. There is no longer any room for pre-dated contracts enabling urgently needed consultants to be begin work prior to completion of all of the necessary minutiae.

There is evidence that the efficiency of UNDP programmes in Afghanistan have been affected by high operational costs. There are two principal reasons for this, both of which are beyond the control of UNDP: high costs resulting from single-source, no bid, cost-plus contracts under bilateral programmes have driven up costs for the recruitment of qualified personnel; and there are significant costs associated with security.

Security is perhaps the most significant constraint to operations and increases programme costs considerably. Estimates of 12 percent to 13 percent additional costs for security provided to the evaluation team are conservative. In general security costs include:

- Armoured vehicles
- Basic security equipment, including communication equipment
- Additional communications
- Dedicated security staff, including security contractors in some locations
- Escort vehicles for security reasons
- Additional security features in buildings and physical facilities
- Additional costs associated with air instead of road travel
- Time lost due to limited and inconvenient, but security cleared, flight schedules
- Additional fees, salary incentives and benefits required to attract project personnel

⁸⁵ The UNDP Enterprise Resource Management System.

Box 12. Main findings: Efficiency

If there is one dominant feature of the UNDP programme in Afghanistan, it is that it has positioned itself as the administrator of the international community—managing relatively large funds on behalf of other donors and government. UNDP should be commended for performing this essential function in an institutional environment of low capacity and for ensuring transparency and accountability in the use of ODA. Without UNDP involvement, donor assistance to Afghanistan would have been far less forthcoming.

Flexibility and rapidity of response are crucial in conflict-affected countries. Yet a universal criticism of UNDP from stakeholders in Afghanistan is their devastating indictment of the inefficiency of UNDP bureaucratic procedures. The high visibility, sensitivity and seniority of the counterparts of the UNDP programme have heightened the risks associated with such exposure. Indeed, so much ill will has been created as a result of massive delays in procurement, payments and other basic administrative tasks, it threatens to overwhelm the substantive achievements of the programme and harm the UNDP reputation. Administration is delegated to junior staff, and programme assistants are frequently the interface for preparation of payments, irrespective of the seniority of counterparts. They often have insufficient understanding of the objective of activities, undermining the relevance of the organization. In addition, the incentive structure for them militates against risk-taking, and sometimes banal procedural requirements that may not even be necessary in normal situations are enforced in a post-conflict environment where rapid response is crucial.

Much has been done during the past two years to reverse the shortcomings. Delivery in 2007 rose to 104 percent. A cost-recovery mechanism was put in place and the deficit that has been run by the office for at least three years has been eliminated. Yet the problem of inefficiency and procedural complexity is systemic and stems from beyond UNDP Afghanistan. There are no special financial, procurement and human resources guidelines specific to the needs of UNDP offices operating in post-conflict environments that differ drastically from those in more stable developing economies. The ATLAS system has further added to the inflexibility of the overall system and following events in UNDP North Korea and elsewhere, the system appears to be getting more, rather than less bureaucratic. Incentive for compliance with all procedures, even if they do not benefit activities in a tangible manner, has increased. If UNDP is to operate in conflict-affected countries, special procedures need to be considered that remove banal and time-consuming requirements while preserving transparency, accountability and quality. Because of the rigidity of ATLAS, it has also become difficult to obtain definitive, reliable and timely figures on expenditures. This is disturbing for an organization that predicates its existence on the efficient management of funds.

The majority of UNDP personnel are submerged in bureaucratic procedures involved in the management of programmes and a proliferation of reporting requirements to Headquarters, to management, for missions visiting the country office and to each of the donors contributing resources. Many donors require quarterly reports and some require bi-monthly. No two donor reports are alike and transaction costs are high, *de facto* preventing UNDP programme personnel from contributing policy discussions or developing policy frameworks.

The security situation adds to perceptions of hardship, and provisions for rest and relaxation are a must. However, this leads to inevitable delays and other inefficiencies, as international staff are frequently out of the country and unavailable.

The fact that the UNDP programme is principally funded through cost sharing requires it, in some instances, to recruit personnel or subcontractors from the country of the specific donor. Though not the norm for all UNDP projects, this has led to the highest

pro forma costs of staff on UNDP anywhere in the world. For example, the recruitment of project personnel under a subcontract with the Bearing Point (a subsidiary of KPMG) to staff the ANDS Secretariat included standard *pro forma* costs for the senior project staff of almost US\$400,000 per year. At the very least, the UNDP has to regularly pay salary supplements for ministry counterparts on virtually every project.

The functioning of the two large trust funds, LOTFA and the CNTF, has repeatedly been stalled by donor debates or delayed contributions (sometimes a consequence of the debates). One such debate was over the high support costs of UNDP, which were recently standardized at 5 percent of the total budget.

3.5 SUSTAINABILITY

All capacity-building efforts in Afghanistan are fraught with problems of sustainability. This is the product of the constant tension between developmental concerns and the imperative to demonstrate progress in as rapid a manner as possible.

3.5.1 HUMAN RESOURCE CAPACITIES AND PROJECT UNITS

Donor agencies are looking to rapidly position themselves in influential government agencies. As a result, most of the important institutions in the government are awash with both expatriate advisers and line positions that are either fully funded at high salary levels from external sources or are subject to large salary supplements, paid for from donor project budgets. In many instances, including under most UNDP projects, project units provided for under project budgets are created and grafted onto the structure of the government agency concerned.

While no comprehensive survey is available, salaries paid to local and expatriate Afghans from project budgets are said to range from

US\$650 to US\$35,000 per month. Where the salaries themselves are not paid from project budgets, in most instances donors pay significant salary supplements. While these practices have made possible the recruitment of highly qualified Afghan and foreign personnel, it has: skewed priorities in line with donor rather than the government's priorities; spawned competition for quality national personnel between donors, units and agencies of government; encouraged rapid turnover of staff and low retention rates; and condemned host institutions to an inevitable collapse of capacity upon completion or withdrawal of international support.

The creation of project implementation units and the payment of artificially high salaries and supplements have been documented since the 1980s as one of the principal downfalls of capacity building efforts. Yet these mistakes are being replicated with a vengeance in Afghanistan. Compounding the problem, few agencies have incorporated clear exit strategies to mitigate the negative impact of the eventual termination of external support. Although reluctant in this regard, UNDP has also had to pay supplements under the majority of its programmes in order to compete and demonstrate efficiency. Where UNDP pays salaries directly, they are relatively low in comparison to other donors, ranging from US\$650 to approximately US\$3,000. Yet in cases where funds have been channelled through UNDP, funds earmarked by donors have been used for sub-contracts with foreign firms under which expatriate Afghan salaries have been among the very highest paid. The latter was true of the ANDS Secretariat where individual expatriate Afghan staff were paid as much as US\$35,000 per month under a contract with the Baring Group (KPMG).

This situation is true for both Afghan institutions at the centre and the few institutions at the local level that have received external assistance. For instance, a recent

evaluation of the sustainability of CDCs⁸⁶ supported under the NSP of the World Bank noted that their role, functions, and by implication, legitimacy at the local level, depended on their ability to command resources in support of development activities. Currently, the only source of funding for projects managed by the CDCs is from the NSP or the NABDP, both of which are externally funded.

Under the UNDP project with the Civil Service Commission, salaries of civil servants have been raised twice since 2002 with as much as a 30 percent increase in salaries during the last raise. Efforts have also been made to decompress the salary scale of the civil service to increase performance incentives. Key positions have been identified in which civil servants can receive significantly higher pay based on clear justification

Box 13. Main findings: Sustainability

Sustainability of programmes constitutes one of the most significant threats to capacity and, ultimately, continued stability in Afghanistan. The almost total dependence on external funding for the development budget of the country renders it difficult to ensure that once infrastructure and other projects are completed their recurrent budget burden can be accommodated from domestic revenue. This is a problem faced by all agencies in Afghanistan. In the rush to maintain deadlines, donors have succumbed to the payment of salaries and salary supplements. This is common to most post-conflict countries and low-income countries under stress, but rarely has the situation been so overt as it is in Afghanistan. Entire salaries of line and advisory staff in key positions are paid by donors, and while no comprehensive survey is available, are said to range from US\$650 to US\$35,000 per month. Where entire salaries are not paid, in most instances, donors pay large salary supplements. This results in a skewing of priorities towards those of the largest donors, competition for staff between projects and a loss of capacity once external assistance is ended.

Under its project with the Civil Service Commission, salaries of civil servants have been raised twice since 2002 with as much as a 30 percent increase under the last raise. Efforts have also been made to decompress the salary scale of the civil service to increase performance incentives. Key positions have been identified in which civil servants can receive pay that is significantly higher than normal based on clear justification and appropriate clearances. However, while these steps have improved the lot of civil servants and are essential in the ongoing effort to professionalize the civil service, they cannot match the pay provided under projects funded by the international community and will not stem the loss of capacity upon the completion of donor funded projects.

To maintain effectiveness, UNDP projects have had to follow similar practices. But unlike most other donors, some UNDP projects—notably the Making Budgets and Aid Work Project in the Ministry of Finance—have sought to address this problem by phasing out the payment of salaries and salary supplements under a clearly defined exit strategy. This strategy entails the systematic recruitment and training of new graduates who are to be paid regular civil servant salaries to take the place of the better-qualified and more experienced staff who were paid higher salaries under the project. The assumption is that the loss of the original staff is inevitable. Conversely, under the AIMS Project, which produces a potentially marketable product in the form of computer programmes and proprietary software, sustainability is being sought by attempting to spin the project off as an NGO that provides computer programming and information management services in return for fees. The success of both models will only be apparent in a few years. However, an exit strategy that does not undermine national capacity is almost impossible to implement in isolation, as capacity will inevitably be bought by other donor agencies. If ever there was an area crying out for substantive coordination, this is certainly one.

⁸⁶ Brick, Jennifer, 'Investigating the Sustainability of Community Development Councils in Afghanistan', Afghanistan Research and Evaluation Unit / Japan International Cooperation Agency, Afghanistan, February 2008.

and appropriate clearances. Yet while these efforts have improved the lot of civil servants and are an essential step in the ongoing effort to professionalize the civil service, they cannot match the pay provided under projects funded by the international community and will not stem the loss of capacity inevitable upon the completion of donor-funded projects.

Some UNDP projects—most notably the Making Budgets and Aid Work Project in the Ministry of Finance—have sought to address this problem by phasing out the payment of salaries and salary supplements under a clearly defined exit strategy. Yet this strategy entails recruiting and training new graduates, who are to be paid regular civil servant salaries, to take the place of better qualified and more experienced staff who were paid higher salaries under the project. The assumption is that the loss of the original staff is inevitable. Whether the newly trained staff will also be lost to better paying, externally funded positions once they have been trained is yet to be seen.

Under the AIMS project of UNDP, sustainability is being sought by attempting to spin the project off as an NGO that provides computer programming and information management services in order to be financially self-sustaining. The success of this model will only be apparent in a few years. At present, staff who were once on UNDP project contracts are coping with the uncertainty and cultural perceptions of the relative loss of prestige associated with working for a local NGO.

Despite these initiatives, an exit strategy that does not undermine national capacity is almost impossible to implement in isolation, as capacity will inevitably be bought by other donors agencies. If ever there was an area crying out for substantive coordination, this is certainly it.

3.5.2 THE PROLIFERATION OF INSTITUTIONS AND THE CHALLENGES OF UPKEEP

In addition to human resource capacities, the almost total dependence on external funding for the country's development budget renders it difficult to ensure that once infrastructure and other projects are completed their recurrent budget burden can be accommodated by domestic revenue.⁸⁷ This is a common problem faced by UNDP and all agencies operating in Afghanistan. This is further compounded by the proliferation of new units and entities created under donor-funded projects, including those managed by the UNDP. Frequently, the new units created do not figure in the domestic budget. If they are to be sustainable, they will ultimately need to depend on the government budget for their recurrent as well as development budgets.

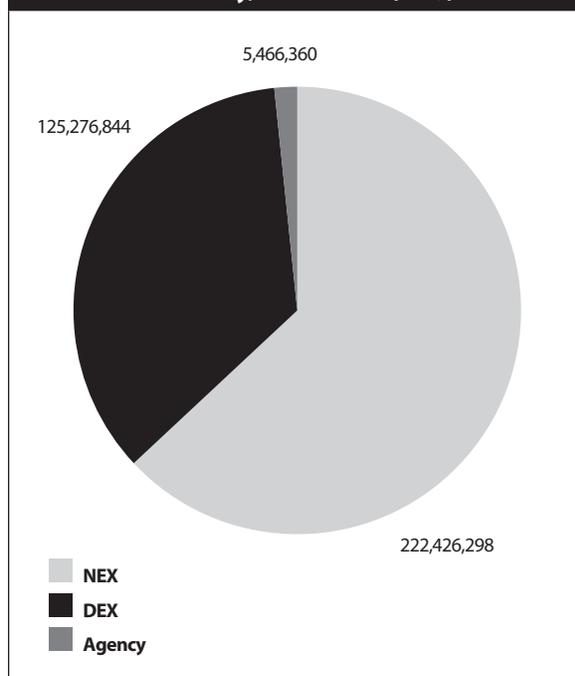
3.6 PARTNERSHIPS AND MODALITIES

3.6.1 EXECUTION MODALITIES

The two principal forms of execution in Afghanistan are NEX and DEX. The principal difference between the two modalities should be merely that under DEX UNDP has full fiduciary responsibility for managing and monitoring all finance, procurement, human resource and audit functions under the programme or project. Conversely, NEX places principal responsibility for these functions under the government or national counterpart agency, with the exception that UNDP is allowed, through mutual agreement, to call for audits. In both cases, ownership of the substantive products of the programme must lie with the government or national counterpart and basic principles of capacity development still hold. DEX has been entered into extensively in an environment of low capacity when donors and UNDP were reluctant to entrust national counterpart agencies with fundamental fiduciary responsibilities in the absence of sufficient capacity (see Figure 8).

⁸⁷ While the mission did not systematically review the problem, in the absence of uniform procurement standards, the large variety of equipment procured under donor projects throughout the country must also negatively affect sustainability.

Figure 8. Proportion of projects by execution modality, 2006-2007 (US\$)



Several UNDP programmes have made the difficult transition from DEX to NEX fairly successfully. Examples include support to the Ministry of Finance (Making Budgets and Aid Work) and LOTFA.

Some ministries and counterpart agencies have complained about a minority of project managers under DEX who have failed to consult them adequately on decisions pertaining to substantive outputs or activities, thereby undermining both national ownership and capacity building. The evaluation did not have time to investigate the issue more deeply, but it is clear that there is no standard induction or orientation course at UNDP for prospective programme managers. The UNDP concept of capacity building is more advanced than that of most other agencies—for example, many of the elements of the Development Assistance Committee Principles were contained in UNDP guidelines and technical notes more than 20 years ago and have evolved since then. If this concept is to be applied consistently, it needs to be effectively imparted to those most directly involved.

The size of UN organization executed projects is relatively low. Although a UNDAF exists, it is scarcely referred to and UN organizations appear to work on their own in Afghanistan. Yet UNDP has developed excellent models of collaboration with several UN organizations and there is no reason why these cannot be replicated in Afghanistan. For example, in the area of sustainable livelihoods, where UNDP has made limited progress and needs to develop a more comprehensive strategy, UNDP could work in collaboration with other agencies such as ILO (on microfinance, small enterprise development, vocational training, labour market analysis, and civil society development), Food and Agriculture Organization (on agribusiness, crop substitution) and UNOPS (on small infrastructure).

UNV has been at a significant disadvantage in Afghanistan, specifically in terms of the mobilization of UNV volunteers in the face of the high salaries paid to both expatriate Afghans, other international staff and national volunteers. As a result, although it contributed to development during the early post Operation Enduring Freedom period, it is increasingly facing challenges with the stiff competition for qualified personnel. UNV has responded to demands from UNDP and other UN organizations for support to programming and volunteer placement, which has tended to be widely dispersed. It would perhaps do better to target specific programmes and work out an arrangement to provide short-term, repeat experts in groups.

3.6.2 SUPPORT COSTS

Support costs charged by UNDP on large trust funds have proven controversial and have, in the case of both of the major ongoing trust funds, been partially responsible for holding up approval of new phases. Pass-through funds have somewhat lower support cost arrangements in Latin America and elsewhere (3 percent). In the case of Afghanistan, both major trust funds are treated as projects and, as such, are subject to Executive Board mandated support cost

rates that are set at 7 percent.⁸⁸ As a special case in Afghanistan, these support cost rates have been negotiated down to 5 percent. An alternative approach might have been to treat both trust funds as a pass-through facility, to charge the basic pass-through rate that applies elsewhere, and then cost all actual expenditures on UNDP implemented projects directly. The latter approach may lead to greater transparency and clarity, but based on comparative experience of actual security costs in countries in conflict, may end up costing even more than a flat rate of 5 percent.

In the absence of core UNDP personnel in the field, UNDP representation is delegated to regional programme managers of the largest UNDP programmes (ANBP, ASGP and NABDP in particular). These managers, while mostly effective in their own projects, have no particular knowledge of the UNDP corporate approach and view their representational responsibilities as an add-on and burden. More importantly, there is nobody at the regional level who can ensure coherence and consistency between the programmes of UNDP and who can engage substantively with the UNAMA regional presence. As a result, there is little, if any, interaction. This is to the detriment of both.

UNDP has difficulty attracting high quality, experienced staff and project personnel while operating in a country with a high level of insecurity, in a non-family duty station, and where UNDP generally has longer tours of duty than bilateral and some multilateral agencies. There is no explicit policy of ensuring career advancement for those who serve in a difficult situation such as this. It is extremely important for the UNDP to define its human resources policy to provide sufficient incentive for the very best staff to serve in countries such as Afghanistan. UNDP is under a microscope in countries such as Afghanistan and shortcomings in such a context have major implications for the organization as a whole.

3.7 PROGRAMME COORDINATION AND MANAGEMENT

3.7.1 COORDINATION

Coordination is a complex, yet essential, task for implementation of the international community's objectives in Afghanistan. Effective coordination must be based on a clear substantive framework and strategy. Yet the dominance of the U.S. role in the political, military and developmental spheres—as well as the fragmentation of the institutional architecture established for the process of transition (United Nations, ISAF, Operation Enduring Freedom)—render effective coordination a particular challenge in Afghanistan. To add to the complexity, while much emphasis is placed on the 'objectives of the international community', the objectives vary considerably. At its most basic, some bilateral partners view the principal objective as the 'war on terrorism', while others consider nation building, with a view to the achievement of long-term peace and stability, as the ultimate goal. Priorities vary considerably. Yet the challenge is to ensure that it is widely understood that both are interrelated and co-dependent and a strategy needs to be built to address both.

For several years, the international community and the government essentially operated without a comprehensive strategic framework. Since then, the Afghanistan Compact, the Paris Declaration and the ANDS have provided the basis for a general frame of reference for coordination.

The strength of the ANDS and, to a lesser extent, the Afghanistan Compact, is that they are supposed to be documents that benefit from government and national ownership. Yet the ANDS reads as a wide-ranging plan that covers an array of sectors and thematic areas that could be applicable to all developing countries. It does not reflect the prioritization required for the urgent peace-building, and nation building, required for the current state that the country is in.

⁸⁸ See DP/2007/18, para.8

Box 14. Main findings: Modalities and management

The two principal forms of execution in Afghanistan are NEX and DEX. Under DEX, UNDP has full fiduciary responsibility for the management and monitoring of all finance, procurement, human resources and audit functions under the programme or project. Conversely, NEX places principal responsibility for these functions under the government or national counterpart, with the exception of allowing UNDP to call for audits (through mutual agreement). In both cases, ownership of the substantive products of the programme must lie with the national counterpart and basic principles of capacity development still hold. DEX was usually used in environments of low capacity, when donors and UNDP were reluctant to entrust national counterparts with fundamental fiduciary responsibilities.

Several UNDP programmes have successfully made the transition from DEX to NEX. Examples include the Making Budgets and Aid Work Project in the Ministry of Finance and LOTFA.

Counterpart agencies have complained about a minority of project managers under DEX failing to consult them adequately on decisions pertaining to substantive outputs or activities, thereby undermining both national ownership and capacity building. The evaluation did not have time to investigate the issue more deeply, but it is clear that there is no standard induction or orientation course for prospective project managers to ensure a consistency in approach. The UNDP concept of capacity building is perhaps more advanced than other agencies (many of the elements of the Development Assistance Committee principles were contained in UNDP guidelines more than 20 years ago), but if it is to be applied consistently, it needs to be effectively imparted to those most directly involved.

Support costs charged by UNDP on large trust funds have proven controversial and partially responsible for holding up approval of new phases. Trust funds have been treated as projects rather than pass-through trust funds, and their support cost structures are in compliance with Executive Board decisions that govern projects with third-party funding. Pass-through funds have somewhat lower support cost arrangements in Latin America and elsewhere (3 percent). Given the high level of costs related to implementation under conditions of insecurity, it is likely that by treating the trust funds as pass-through facilities and charging actual costs associated with management and implementation over and above a reduced base support cost rate, the overall costs charged would be higher if more transparent.

Without core UNDP personnel in the field, UNDP representation is delegated to the regional programme managers of the largest UNDP programmes (ANBP, ASGP and NABDP in particular). These managers have no particular knowledge of UNDP corporate thinking and approach, and they view their representational responsibilities an added burden. More importantly, there is nobody at the regional level who can ensure coherence between UNDP programmes or can engage substantively with the UNAMA regional presence. As a result, there is little, if any, interaction between the two—to the detriment of both.

Operating in a country with a high level of insecurity, in a non-family duty station, and where UNDP generally has longer tours of duty than bilateral and multilateral agencies, UNDP has difficulty attracting high quality, experienced staff and personnel. There is no explicit policy of ensuring career advancement for those who serve in a difficult situation such as this. Security is also a significant constraint to operations and drives up programme costs considerably by at least 12 percent to 13 percent.

The ANDS and the Afghanistan Compact need to cover the sectors that are most essential for returning the country to stability on a priority basis. These are activities that are developmental but have important political implications. For instance, priority activities could include the following:

- Institutions for economic management and the creation of conditions productive economic growth with equality and for sustainable livelihoods
- Services essential for the creation of jobs and the generation of sustainable

livelihoods (for example, microfinance and extension services)

- Programmes for kick-starting productive activities in the agricultural sector that are geared to maximize value creation within the country
- Creation of an independent judiciary that has public credibility and the updating of legislation required for guaranteeing human rights and private ownership of assets and stimulating private investment
- Strengthening the national police to perform day-to-day domestic law-and-order functions
- Strengthening government service delivery capacity at the local level
- Devolution and the empowerment of local government institutions without losing the essential elements of central government control
- Greater clarity in the roles and functions of the various institutions of governance at all levels
- Creation of institutions that are seen to ensure transparency and accountability within government and are able to reduce corruption
- Strengthening of essential support institutions (such as the most critical Parliamentary Committees) within the National Assembly that can ensure more professional deliberation and order in its functioning
- Encouraging and strengthening civil society organizations and institutions that can serve as mechanisms for policy advocacy, human rights monitoring and advocacy, and alternative service delivery
- Creation of new forums for dialogue for conflict resolution at the local and national levels
- Strengthening nascent private and public sector media and press institutions to ensure

greater professionalism and that they can serve as a further system of checks and balances

Policies, approaches and priority activities would need to be spelt out for each of the above areas following extensive consultation, and these should serve as a common play sheet for the government and the international community. ‘Lead nations’ have been established for several sectors. This approach has had mixed results, as in several instances the lead nation has failed to deliver in on substance or resources. Such an approach may need to be rethought.

At present, with the exception of senior most management in the country office, UNDP is inappropriately organized to provide extensive substantive support for policy dialogue and coordination. It is also questionable whether current plans to staff both pillars of UNAMA with a slew of additional P3 and P4 positions will serve the desired objective. The result is that support to coordination—as witnessed through UNDP support to the ANDS, preparation of the National Human Development Report, and management of the LOTFA and the CNTF—has largely been focused on the procedural and administrative aspects of coordination. UNDP has devoted itself to the logistics and administrative aspects of organizing and holding workshops, forums and roundtables as well as to the recruitment of consultants who can contribute substantively. Where capacity building is provided, the focus has similarly tended to be on the establishment of systems for efficient planning, administration, human resources and financial management, procurement, and financial and physical monitoring, record keeping and reporting.

UNDP has tended to eschew intellectual leadership or intellectual support to UNAMA’s leadership role in coordination. Where some substantive input has been provided, it has been where the Country Director has been involved in substantive policy dialogue. However, the Country Director has, with the exception of occasional and *ad hoc* access to substantive capacities available under individual UNDP projects (for

example, support from the Programme Manager of the Sub-National Governance Programme in budget management and local governance), not been accorded much analytical backup by experts who are continuously monitoring the sector or issues concerned.

Coordination without substantive and intellectual content is bound to fail as policy guidance and leadership is ceded to others. As most agencies do not have a clear mandate or the legitimacy to lead the coordination process, the natural result is that nobody is ultimately responsible for coordination. In most thematic areas and sectors, ODA to Afghanistan is a cacophony of approaches, policies, standards and priorities.

The UNDP role in the management of key trust funds, ministries and government agencies has presented it with many opportunities to take a lead role in substantive coordination by supporting the government and UNAMA in the preparation of thematic strategies. Yet the strong focus on its administrative and financial management role

has resulted in lost opportunities. Substantive programme managers have been used principally in the management of their programmes. With a few exceptions (such as ELECT, ANBP and the Sub-national Governance Programme, they have not systematically represented UNDP in substantive discussions on mission policy in key thematic areas of strategic importance to UNAMA goals. These programme managers bring with them the substantive technical expertise, a link with government capacity, and first-hand knowledge of progress with implementation—resources that are sorely needed in the preparation and monitoring of substantive implementation strategies.

Since 2005, the PRTs have become an increasingly important channel for assistance in Afghanistan.⁸⁹ PRTs concentrate in three areas: governance, reconstruction and security. PRTs have proven popular in donor capitals as they provide added legitimacy at home for the deployment of troops and also tend to focus on visible, concrete outputs that are easy to publicize. They are also viewed as an

Table 6. UNDP Afghanistan at a glance

Expenditure (US\$, thousands)	2004	2005	2006	2007	2008 (partial)	Overall Rank, 2007	Rank in RBAP, 2007
Total programme expenditures	318,133	348,407	202,617	197,228	202,754	3	1
Management expenditures	7,645	6,811	7,482	4,870	3,611	23	2
TRAC resource expenditures	5,961	7,367	7,940	11,471	4,155	8	4
Expenditure (as percentage of total programme expenditures)	2004	2005	2006	2007	2008 (partial)	Average per year	
Management expenditure	2.40%	1.95%	3.69%	2.47%	1.78%	2.46%	
Core resource	1.87%	2.11%	3.92%	5.82%	2.05%	3.15%	
Country office staff units	2004	2005	2006	2007	2008 (partial)	Overall Rank, 2007	Rank in RBAP, 2007
Number of staff	N/A	167	163	156	171	3	1

Note: RBAP indicates Regional Bureau for Asia and the Pacific; N/A, not available.

Source: ATLAS Executive Snapshot, September 2008.

⁸⁹ The United States established the first PRTs in Afghanistan in 2002. There are now 26 PRTs in Afghanistan operating under the NATO-led ISAF. PRTs are led by the United States and 12 other NATO Coalition partners, while another dozen countries contribute personnel, financial and material support.

innovative solution for delivering humanitarian and development assistance under conditions of insecurity and continuing conflict. Approaches, strategies and standards vary widely. PRT projects also reinforce a tendency to focus on rapidly implementable, often non-sustainable, projects that are the priorities of donors rather than domestic needs. The priorities addressed therefore vary greatly between PRTs and between regions, as does the volume of assistance channelled through them. PRTs also tend to move significant but varying degrees of responsibility for development activities out of the hands of civilian agencies and into those of the military, inevitably changing the character and sustainability of the assistance provided.

PRTs have no unified chain of command. Civilian agency representatives report to their superiors in embassies or capitals. Personalities, local environment, domestic politics, capacity and funding of the lead nation all determine PRT priorities and programmes. Moreover, there is no rationale for distributing resources among provinces on the basis of the size of the economy of the PRT lead nation. There is no coordination mechanism for aid going through PRTs. Finally, since there are no agreed goals and objectives for the PRT programme, as provinces have essentially been divided among the constituent forces in ISAF, the amount of assistance received is heavily dependent on the wealth of the contingent in charge and their structures and capacity vary considerably.⁹⁰ To the extent that PRTs respond to military direction, NATO commanders may be able to effect some coordination, but there is no one providing direction regarding their

civil functions. Although present in each of the provinces along with UNDP, collaboration between UNDP projects and local PRTs is limited or non-existent in most instances.

3.7.2 MANAGEMENT

UNDP operations in Afghanistan are the largest in the Asia region and the third largest in terms of annual expenditures, globally (see Table 6). The UNDP programme in Afghanistan is heavily dependent on external funding. Although its TRAC resources are fourth highest in the Asia and the Pacific region, between 2004 and 2008, on average it amounted to just approximately 3 percent of total expenditure. This is an indication of the size of cost-sharing. Management expenditures, according to ATLAS for the same period, are on average 2.5 percent of total expenditure. The latter figure is probably conservative as additional management costs are subsumed under programme activities.

Cost overruns in the office, due in part to the security-related expenditures inherent in all operations, have now been eliminated through improved cost recovery and more realistic budgeting. Internal Audit and the Bureau of Management have placed UNDP Afghanistan on a list of exemplary country offices. The treatment of large trust funds as projects, whereby support costs are structured as they would be for UNDP executed projects, has been an important factor in this effort.⁹¹

UNAMA has a regional presence in six regional offices, with each covering four to five provinces. Each UNAMA regional office possesses a head of office, a political affairs officer, a

⁹⁰ There is no overarching concept of operations or organizational structure for PRTs in Afghanistan. In the relatively peaceful north and west, PRTs are operated by European countries and engage in peacekeeping. The German PRT in Kunduz has more than 300 personnel and a large economic assistance unit located separately from a military force that operates under restrictions that severely circumscribe its operations. In the south and east, U.S., British, Canadian and Dutch PRTs provide the civilian side of PRT operations. Typically, U.S. PRTs have 80 personnel: military leadership, two Army civil affairs teams, a platoon-size force protection unit and representatives from the Departments of State, Agriculture and USAID.

⁹¹ As the trust funds have all been treated as standalone projects, they are subject to 7 percent support costs mandated by the Executive Board. This figure has, in the face of objections from the government, been negotiated down to 5 percent in most instances on an exceptional basis.

development officer and a humanitarian affairs officer. Conversely, UNDP is only represented at the regional level by its project personnel, who do not have the corporate background and overview of policy needed to effectively represent UNDP from a substantive, programme-wide standpoint. The result is that there is virtually no coordination or interaction between UNDP and the regional office staff of UNAMA, although exceptions exist where personal initiative has been taken. UNAMA staff at the regional level were almost completely unaware of the role that UNDP was playing at the national level in programmes of importance to their areas of expertise. Significant opportunities were being lost to ensure synergies between development and political objectives of the United Nations and to further ensure coherence across programmes.

Coordination and cooperation across projects has improved considerably since 2005. Examples include hands-on exchanges and collaboration between the ASGP, CAP and IARCSC projects, resulting in policy dialogue, consultation and joint programme activities between the three interventions. There is room for further such collaboration and cooperation between these same projects and UNDP projects that work with MRRD, such as the NABDP. Such collaboration is going to become more important as greater emphasis is placed on sub-national governance and government outreach.

3.7.3 MONITORING, EVALUATION AND REPORTING

Monitoring and evaluation of UNDP programmes for the period 2002 to 2008 was limited by the following:

- Constant redefinition and repackaging of expected outcomes in keeping with changing requirements under corporate outcome indicators contained in documents such as the Multi-year Funding Framework and the Corporate Strategy

- Failure to develop clear criteria and indicators for monitoring the achievement of programme outcomes on a regular basis
- Failure to establish a baseline and to collect data to monitor results at the outcome level (activities and outputs are faithfully monitored and reported on)
- Duration of the country programme and projects, which is too short for the attainment of results at the level of outcomes (this is also demonstrated by the number of projects that have been extended into multiple phases), a feature that is more a function of the limitations of earmarked donor funding cycles than of UNDP rules and regulations
- Tendency to state expected outcomes in broad and sometimes grandiose terms that tend to render them less useful
- Absence of a facility independent of project funding that is able to monitor performance beyond the limited duration of projects and at the level of outcomes and impact

UNDP in Afghanistan has tailored its financial and physical reporting requirements to meet the requirements of donor agencies—even when their rules are not in line with sound management practice for long-term capacity building programmes. For instance, while UNDP provides quarterly or semi-annual reports as a matter of standard practice, in some instances, such as the SCOG project, they are required to produce financial reports as frequently as weekly. Others require monthly reports. Procedures such as these are not only pointless from a substantive and management point of view (particularly on projects geared to capacity building rather than humanitarian assistance), but also tend to reorient the focus on monitoring activities and inputs rather than results. They are devastatingly time consuming and distract from substantive concerns. UNDP should, to the extent possible, ensure that future reporting is done in accordance with its own rules and regulations, which are, after all, subject to approval by its member states in the form of its Executive Board.

Box 15. Main Findings: Monitoring and evaluation

Monitoring remains heavily output and activity-based, and these are meticulously recorded. Outcome-oriented, results-based monitoring and evaluation systems are not yet in place, and no baseline data has been collected to establish the basis for such monitoring.

New and innovative implementation models such as the Kandahar Model for operation in insecure areas appear to be efficient and expedient mechanisms for implementation but, in the absence of physical verification, pose a significant risk. The infrequency of physical inspection of contract implementation, even in relatively secure zones, poses a similar risk, particularly in light of rumours of non-uniform standards and design and compromises that been made in light of budget limitations under block grants.

Donor reporting requirements have dramatically increased transaction costs and are time consuming as they vary greatly and would benefit from harmonization.

CONCLUSIONS AND RECOMMENDATIONS

4.1 CONCLUSIONS

- 1. In Afghanistan, international cooperation, including that provided by UNDP, almost uniformly adopted a ‘phased approach’ to reconstruction. Such a phased approach included an exclusive initial focus on restoring security, early recovery and humanitarian activities. Institutional support and developmental activities were postponed, leading to a power and economic vacuum at the local level that has fostered disenchantment and support for the Taliban and insurgent groups.**

Because of its mandate, UNDP has an important role to play in close partnership with the UNDPKO and UNDPA in integrated missions. It has, in Afghanistan, defined for itself an important role in the early post-conflict period that is potentially beneficial to both the fledgling national authorities and the international community as a whole. However, this role should not have been performed at the expense of capacity building in key institutions essential for long-term peace-building. The tendency of the international community to adopt a phased approach to post-conflict situations created an institutional vacuum that subsequently became difficult to overcome.

UNDP is heavily dependent on third-party cost-sharing. This influences strategy, modalities and overall programme deployment. Among other things, it forced UNDP to accept the phased approach and adopt a narrow niche in early recovery. It also led to an emphasis on insecure provinces at the expense of the secure ones. The

availability of assessed contributions for governance and development work in UN peace operations would enhance effectiveness and UN leadership.

The challenge is so overwhelming in situations in which integrated UN missions are under Security Council mandates that ‘normal’ development activities, not contributing directly to the process of peace-building and transition from conflict to development, may be better placed on the backburner, focusing UNDP efforts instead on activities that facilitate the achievement of lasting peace through the creation or strengthening of essential national institutions.

- 2. At first, UNDP institutional support was equated with support to governmental institutions in the capital. Focusing on ‘state building’ at the centre is essential but so is developing capacity of public institutions at the regional or provincial levels, particularly to ensure the rule of law and promote local development initiatives. A further, broader notion is that of ‘nation building’. This includes developing the capacity of civil society organizations that can perform advocacy functions in key areas and contribute to the transparency, checks and balances that are essential for participatory democracy.**

The country office has begun broadening its approach from state building to governance. This is a positive development for further expansion. Civil society has only just begun to be integrated into the UNDP approach to governance and its advocacy and watchdog roles are not sufficiently addressed.

By the very nature of most peace processes, the focus of attention tends to be at the centre. This has influenced the UNDP programme. Its current increase in focus on local governance and sustainable livelihoods in rural areas has come late but will be critical to the future of the peace process. While the importance of the institutions of democracy, state and rule of law in ensuring a smooth transition process with prospects of long-term stability are increasingly well understood, more attention also needs to be paid from an early stage to stimulating and creating conditions and opportunities for sustainable livelihoods.

- 3. Another common feature of international cooperation and UNDP in Afghanistan was the geographical focus on provinces with more pronounced security problems. For some bilateral agencies, this was also complementary to their peacekeeping operations. This type of prioritization may fail to create strong incentives to reduce armed conflict. The problem has been compounded with a relatively belated re-entry of UNDP in economic development and sustainable livelihood activities.**

Because of their geographic focus on insecure provinces, the UNDP programme and the international community have not sufficiently demonstrated the development dividend of the peace process in the more secure provinces. In Afghanistan, UNDP programmes are heavily dependent on third-party cost-sharing and many of the key donors have focused their resources on insecure provinces where they have a particularly heavy commitment of peacekeeping forces. A shift in emphasis would require effective advocacy on the part of UNDP.

While UNDP has pioneered community-based development programmes and concepts in many countries, it has intervened relatively late and indirectly in Afghanistan in the economic and sustainable livelihood sphere. This is, to some extent, due to a decision taken by government officials in the past.

Yet these are crucial areas, because the lack of jobs and income opportunities are viewed as conducive to insurgent activities. A new emerging model of decentralized planning, where communities are more involved and have more responsibilities in the design, implementation and monitoring of local projects is the 'Kandahar Model'. This model has not yet been fully assessed but may present interesting lessons for Afghanistan and other countries in which conflicts continue to prevail. Use of the Kandahar Model in other, more secure areas, would require a more comprehensive reform of government policies with respect to devolution and decentralization.

- 4. Broad national development and poverty reduction strategies with a very wide agenda have been developed for Afghanistan in the recent years. Yet, no comprehensive strategy with a strong focus on peace-building and conflict analysis has been devised by the United Nations or the international cooperation. Upon reflection, this could have been a major contribution of UNDP, particularly in an integrated mission setting. Key constraints at the country and corporate level have been identified that have affected UNDP capacity to provide substantive knowledge and high-level strategy and policy advice.**

Countries such as Afghanistan are in the international political limelight and both UNDP and UN performance have a disproportionate bearing on their reputation and role well beyond the confines of the country. Harnessing the value added that UNDP can bring to improve the effectiveness of its programme and of UN operations becomes a prominent issue.

The evaluation concludes that the UNDP country office had insufficient capacity to credibly contribute to the development of thematic strategies in support of UNAMA coordination of development and humanitarian operations. With stronger capacity, the UNDP country office could have also

performed a more assertive policy advocacy role *vis-à-vis* both the government and the international community.

It was also found that the country office received relatively little support from substantive units of UNDP at the global, regional and sub-regional levels. At the very least, institutional knowledge should have been used to transfer and adapt international best practices to ensure that they were not ‘reinventing the wheel’. Moreover, even within an integrated mission environment, there has been relatively little substantive collaboration between UNDP and other UN organizations and much remains to be done to harness the capacity of the UN operational system, notably in the area of support of sustainable livelihoods under the umbrella of UNAMA.

Finally, the heavy bureaucratic procedures of UNDP have represented a serious obstacle. In addition to affecting its efficiency and reputation as an administrator of donor resources, they have at times diverted attention from content and substantive issues to procedures and compliance to norms and rules.

4.2 RECOMMENDATIONS

4.2.1 FOR THE EXECUTIVE BOARD AND UNDP

1. Where the United Nations is present under a Security Council mandate and the operation is integrated, UNDP should focus on supporting the objectives of the UN peace-keeping and peace-building operation: there should be no equivocation. UNDP should be more assertive in integrated UN Security Council mandated operations, requiring certain conditions to be met before taking on functions on behalf of the international community. While it has proved its ability to fill such a niche, UNDP should not accept a purely administrative role during early recovery at the expense of its longer term development functions.
2. UNDP should advocate strongly for the international community to drop the phased approach to post-conflict situations in favour of one that immediately addresses the capacity of key institutions necessary for lasting peace and development. In this context, UNDP should lobby for assessed contributions associated with UN missions to include predictable and reliable funding for capacity development and institutional change in specific areas common to all post-conflict settings: democracy and participation; security sector reform and reintegration; the rule of law; effective budget and fiscal management; reintegration of refugees and internally displaced persons; and support to sustainable livelihoods early in UN peace operations.
3. One of the functions of UNDP in integrated missions should be to substantively support the UN coordination mandate through the preparation of sectoral and thematic strategies (in consultation with UN organizations and stakeholders as appropriate). At the outset of a post-conflict transition, UNDP should set up a technical advisory unit to provide thematic leadership in areas of critical importance to peace-building. In-house capacity created at the country level should be supplemented in all cases by broader substantive support from those parts of the house that are repositories of relevant expertise (such as BCPR, BDP, regional centres, Human Development Report Office and Bureau of Management). Capacity installed under UNDP NEX and DEX projects needs to be drawn upon as an important supplementary source of substantive capacity.
4. More systematic consideration should be given to the application of the inter-country programme of UNDP as a source of substantive capacity and to address cross-border dimensions of conflict that are important in Afghanistan and virtually all post-conflict settings.

5. UNDP Headquarters should review past evaluations and studies of UNDP experiences in post-conflict countries with a view to identifying and systematizing effective models of intervention so that they can be adapted and applied to countries such as Afghanistan without ‘reinventing the wheel’.

4.2.2 FOR UNDP HEADQUARTERS, THE UNDP RESIDENT REPRESENTATIVE AND THE UNDP COUNTRY OFFICE

1. **Geographic focus**—UNDP should reorient its principal focus to secure provinces, with a view to demonstrating a development dividend. It should encourage bilateral donors to do the same, even if these provinces are outside the purview of their PRTs. Such a focus has the added advantage of rendering it easier to effectively monitor implementation, raising the overall reputation of UNDP programmes.
2. The duration of future country programmes in Afghanistan as well as of capacity building programmes should be commensurate with their longer term objectives. The current emphasis on two to three year programmes is insufficient to achieve the expected development outcomes. UNDP Afghanistan should also undertake a systematic review of its existing projects to eliminate or reorient those not focused on the achievement of UNAMA objectives.⁹²
3. UNDP should widen its emphasis in governance **from ‘state building’ to ‘nation building’**, developing the role of civil society organizations alongside those of the institutions of state. UNDP should focus more on creating a conducive environment for civil society organizations, with a view to: creating an additional voice for the general public between elections; providing a source of checks and balances; creating legal and institutional protection for advocacy NGOs; developing policy and advocacy capacity outside government; and developing greater professionalism in civil society organizations.
4. **Capitalizing on experience and generating value added**—Experience gained in other post-conflict settings and in nation building by UNDP and other organizations should be brought to bear through greater involvement of key parts of the organization in which substantive expertise resides. Drawing on its regional centres, BDP and BCPR, UNDP should urgently mount interdisciplinary missions to help the government and UNDP define comprehensive strategies and approaches in the following areas: economic growth, pro-poor development and sustainable livelihoods; and development of civil society as an integral part of a broader governance strategy for Afghanistan.
5. UNDP should create a technical advisory team within the country office that reports to the Country Director, providing regular support to the SRSG and Deputy SRSGs as appropriate. It should be composed of highly experienced, qualified experts in the following disciplines: a macroeconomist with a strong background in pro-poor monetary and fiscal policy development; a governance specialist with strong experience in local governance and institutional change in a post-conflict environment; a peace-building and conflict adviser; a labour economist or specialist in sustainable livelihoods; a constitutional or human rights lawyer with strong comparative legal experience; and a rural development specialist with hand-on experience in the bottom-up management of multidisciplinary rural development programmes and the development of demand-oriented rural development policies.
6. Building on the Kandahar Model, UNDP should promote gradual decentralization of decision making, budget management

⁹² This evaluation has made a cursory attempt to identify low priority projects.

and service delivery by all institutions of the government. Rather than the current emphasis of the application of this model as a modality for insecure provinces, the model should be replicated and applied to secure provinces to demonstrate a peace dividend.

7. If UNDP is to continue to perform an administrative role on behalf of bilateral donors in the immediate post-conflict period, it urgently needs to increase its flexibility, responsiveness and effectiveness. It is essential that the procedures for post-conflict settings and perhaps even low-income countries under stress be streamlined. At the global level, the UNDP Bureau of Management should streamline procedures for countries in conflict without compromising accountability and transparency.

8. **Towards more sustainable programmes**—There is an urgent need for a coordinated effort, led by Resident Representative, in his capacity as the Resident Coordinator and Deputy SRSG, to develop a coordinated policy to:

- Bring coherence to the donor practice of paying government salaries and salary supplements, with the goal of reducing current levels and ensuring harmonization.
- Move away from cash incentives to civil servants, to the creation of sustainable professional and material, non-cash incentives (such as official housing). A national endowment may be created under UNAMA and UNDP leadership for the purpose in order to finance such incentives
- Ensure that donors and the UN system move away from the too common practice of creating project implementation units that are fully or largely externally funded.

9. **Strengthening partnerships**—Greater use should be made of UN specialized

organization execution in the area of sustainable livelihoods. Collaboration based on past models in post-conflict settings should be considered with organizations such as ILO and the Food and Agriculture Organization. Cooperation should also be enhanced with UNV by identifying volunteers with appropriate skills from developing countries with relevant conditions and twinning them with institutions and functions in the Government of Afghanistan. Such twinning arrangements could be considered with rural development NGOs or government agencies in south or south-east Asia. Emphasis should be placed on governance programmes at the sub-national level, such as NABDP and ASGP, maximizing cost-effectiveness and relevance.

10. **Programme management and coordination**—UINDP should better integrate with, and support UNAMA in development coordination, governance and peace-building, in particular establishing at least one regional liaison officer in each region responsible for:

- Coordinating with UNAMA in terms of policies and priorities and supporting joint programming, and collaborating with other UN organizations, and bilateral and multilateral donors in the region.
- At the provincial and district level, liaising and coordinating with the government, PRTs and other bilateral and multilateral agencies.
- Facilitating and ensuring the effective work of UNDP programming and monitoring of programme activities and ensuring coherence between UNDP projects and programmes in the field.

11. UNDP should help establish a programme to build country-level monitoring and evaluation capacity geared to identifying credible outcome indicators for UNDP interventions. This programme should have sufficient resources to collect and analyse such data on

an ongoing basis even beyond the scope of any individual project, ensuring a basis for *ex post* evaluation. Realistic indicators for each thematic area and outcome area should also be identified and a baseline for each established with a view to determining trends.

4.2.2.1 Areas of thematic focus

12. **Democracy and participation**—UNDP needs to ensure that the shortcomings of past elections are directly addressed by the Independent Electoral Commission and other bodies involved in implementation. UNDP needs to ensure support to the Independent Electoral Commission in an ongoing public information campaign to communicate the remedial measures taken and to raise general public confidence in the process. UNDP should consider strengthening the capacity of select independent, non-partisan, national NGOs and media organizations, with a direct line to the Independent Electoral Commission and other bodies tasked with ensuring the integrity of elections, to monitor polling and to ensure that their views are heard.
13. To fully develop democratic participation in Afghanistan, UNDP should consider: developing capacity of human rights organizations to analyse and provide an alternative opinion or viewpoint on bills that are submitted for consideration by the National Assembly, adequately representing women's organizations; and professionalizing media outlets that are not affiliated with political parties or warlords.
14. **Rule of law and security sector reform**—Given the 'crowding' of the justice sector, UNDP may consider withdrawing from the sector if its value added is likely to be limited.
15. **Government institutions**—Because of its political implications, it is recommended that the Deputy SRSG should, with the support of UNDP and with the direct involvement of the SRSG as necessary, take up the issue of the appropriate policy roles and distribution of functions between the centre of government and other agencies within the government. This can only be done after a clear set of policy recommendations are laid out along the following lines:
 - To the extent possible, key inter-ministerial functions should be serviced from the relevant line institution.
 - To the extent possible, the management of inter-ministerial, cross governmental processes should not be managed by project implementation units that will not be sustainable and undermine line capacities in the long run.
 - Adhere to the guidelines recommended in the section on sustainability regarding the payment of salaries or salary supplements to civil servants.
16. **Sustainable livelihoods**—UNDP urgently needs to leverage its involvement in both IDLG and MRRD under the ASGP and NABDP programmes and to systematically learn from experience gained with the Kandahar Model to foster more decentralized approaches and ensure local ownership of programmes, greater efficiency and sustainability. Much can be learnt from the design of area development programmes operated by UNDP in other post-conflict settings.
17. **Aid coordination and management**—Recognizing the lead role of UNAMA in coordination, UNDP and UNAMA need to clarify their respective substantive roles in support of that coordination function under the ANDS and JCMB process at all levels. UNDP should position itself to provide substantive support for the preparation of strategy and policy papers and of UNAMA strategic positioning in this regard.

TERMS OF REFERENCE

ASSESSMENT OF DEVELOPMENT RESULTS IN AFGHANISTAN

1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.⁹³ The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the programme country
- Serve as a means of quality assurance for UNDP interventions at the country level
- Contribute to learning at corporate, regional and country levels

In particular, EO plans to conduct an ADR in Afghanistan during 2008. The ADR will contribute to a new country programme, which will be prepared by the concerned country office and national stakeholders.

2. BACKGROUND

UNDP has been present in Afghanistan for more than 50 years. After the fall of the Taliban in 2001, UNDP was able to move swiftly to

help the nation of more than 25 million citizens facing the challenges of transition from recovery to long-term development. Despite the massive efforts made by the international community since 2001 to assist the Afghan Government in reconstruction and development, the human development situation in the country remains dire. Globally, Afghanistan ranked 174 out of 178 countries in 2007.⁹⁴ Furthermore, the insurgency has again intensified, especially in the south of the country.

UNDP goal in Afghanistan is to enhance the government's ability to deliver public services to the population in an efficient, effective, equitable and accountable manner; to consolidate a participative democracy with a responsible civil society; and to create an enabling and secure environment for sustainable livelihoods.

Since the Bonn Agreement was signed in December 2001, UNDP has delivered US\$1.1 billion of assistance to Afghanistan. In 2005, UNDP delivered US\$349 million of development assistance, mainly for elections, disarmament, reconstruction and institution building. In 2006, UNDP delivered US\$202 million focusing mainly on state building, security sector reform (police) and rural development. The delivery of 2007 was US\$197 million, which was higher than the initial 2007 delivery target of US\$186 million. A specificity of UNDP programme in Afghanistan is the strong focus on security (Disbandment of Illegal Armed Groups, Mine Action and

⁹³ Available online at <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>.

⁹⁴ UNDP and Center for Policy and Human Development, 'Afghanistan Human Development Report 2007—Bridging Modernity and Tradition: Rule of Law and the Search for Justice', Kabul University, Kabul, Afghanistan, 2007.

Ammunition, Police), which was identified as the ninth Millennium Development Goal (MDG) by the Government of Afghanistan.

UNDP operates within the framework of the integrated United Nations Assistance Mission to Afghanistan (UNAMA) and within the United Nations Development Assistance Framework (UNDAF). In December 2005, UNDP signed a new country programme with the Government that covers the areas of state-building, democracy and sustainable livelihoods, in line with the Interim Afghanistan National Development Strategy (ANDS). UNDP operates in all 34 provinces of Afghanistan.

UNDP supports the government in achieving a number of development benchmarks of the ANDS in the field of security and the rule of law, civil service reform, transparency and accountability, local governance, political processes (support to the Elections Commission and the newly elected parliament), civil society empowerment, youth, gender equality, human rights, environment and rural energy, the reintegration of former combatants into society, the implementation of the national counter-narcotics strategy, as well as rural development and private sector development.

All UNDP activities are undertaken in close collaboration with the Government of Afghanistan, sister UN organizations and other development stakeholders. Partnerships with UNAMA, the United States, the European Commission, Japan, CIDA, United Kingdom, Netherlands, Italy, Germany, and Norway have been critical to achieve results. Between 2002 and 2007, UNDP mobilized more than US\$1.4 billion for Afghanistan.

The completion of the 2006-2008 (extended to 2009) country programme in Afghanistan presents an opportunity to evaluate UNDP contributions and shortcomings over the last programme cycle and before. The ADR will provide an in-depth assessment of UNDP results and strategic positioning in this important country

and will evaluate UNDP delivery of the largest country programme. The findings will be used as inputs to the 2010-2012 Country Programme Document (CPD) within the context of the UNDAF.

3. OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the Afghanistan ADR include:

- To provide an independent assessment of the progress or lack of, towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.
- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for the management to make adjustments in the current strategy and next country programme.

The ADR will review the UNDP experience in Afghanistan and its contribution to the solution of social, economic and political challenges. The evaluation will cover the ongoing country programme (2006-2008) as well as the programme since UNDP re-established its offices in Kabul in 2002. Although it is likely that greater emphasis will be placed on more recent interventions, efforts will be made to examine the development and implementation of UNDP programmes since the start of the period. The identification of existing evaluative evidence and potential constraints (such as lack of records and institutional memory) will occur during the initial Scoping Mission (see Section 4 for more details on the process).

The overall methodology will be consistent with the ADR Guidelines prepared by the EO (dated

January 2007). The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review, specifically examining UNDP contribution to national development results. It will assess key results, specifically outcomes—anticipated and unanticipated, positive and negative, intentional and unintentional—and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

3.1 DEVELOPMENT RESULTS

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contribution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP positioning and capacities, partnerships, policy support); and achievements/progress and contribution of UNDP in practice areas (both in policy and advocacy); analyzing the cross-cutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country will be used:

- **Effectiveness**—Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it

continue in the same direction or should its main tenets be reviewed for the new cycle?

- **Efficiency**—How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country/sub-regional context?
- **Sustainability**—Is the UNDP contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

It should be noted that special efforts will be made to examine the UNDP contribution to capacity development, knowledge management and gender equality.

3.2 STRATEGIC POSITIONING

The evaluation will assess the strategic positioning of UNDP both from the perspective of organization and the development priorities in the country. This will entail: a systematic analysis of UNDP's place and niche within the development and policy space in Afghanistan; the strategies used by UNDP Afghanistan to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; and from the perspective of the development results for the country, the ADR will evaluate the policy support and advocacy initiatives of UNDP programme *vis-à-vis* other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP:

- **Relevance of UNDP programmes**—How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP programming?

- **Responsiveness**—How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?
- **Equity**—Did the programmes and interventions of UNDP lead to reduce vulnerabilities in the country? Did UNDP interventions in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships**—How has UNDP leveraged partnerships within the UN system as well as with national civil society and private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP contribution (including issues related to the relevance and effectiveness of the Monitoring and Evaluation System.) If during initial analysis these are considered important, they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of Joint Programmes will be highlighted.

4. EVALUATION METHODS AND APPROACHES

4.1 DATA COLLECTION

In terms of data collection, the evaluation will use a multiple method approach that could include desk reviews, workshops, group and individual interviews (at both Headquarters and the country office), project and field visits and surveys. The appropriate set of methods would vary depending on country context and the precise nature would be determined during the Scoping Mission and detailed in an Inception Report.⁹⁵

4.2 VALIDATION

The Evaluation Team will use a variety of methods to ensure that the data is valid, including triangulation. Precise methods of validation will be detailed in the Inception Report.

4.3 STAKEHOLDER PARTICIPATION

A strong participatory approach, involving a broad range of stakeholders, will be employed. The identification of the stakeholders, including government representatives of ministries and agencies, civil society organizations, private sector representatives, UN organizations, multilateral organizations, bilateral donors, and beneficiaries will take place. To facilitate this approach, all ADRs include a process of stakeholder mapping that would include both UNDP direct partners as well as stakeholders who do not work directly with UNDP.

5. EVALUATION PROCESS

The ADR process will also follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

Phase 1: Preparation

- **Desk review**—Initially carried out by the EO (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development related documentation related to Afghanistan as well as a comprehensive overview of the UNDP programme over the period being examined.
- **Stakeholder mapping**—A basic mapping of stakeholders relevant to the evaluation in the country carried out at the country level. These will include state and civil society stakeholders and go beyond UNDP partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.

⁹⁵ The Scoping Mission and Inception Report are described in Section 5 on the evaluation process.

- **Inception meetings**—Interviews and discussions in UNDP Headquarters with the EO (process and methodology), the Regional Bureau for Asia and the Pacific (RBAP) (context and country programme) as well as with other relevant bureaux (including Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery and others as appropriate including UN missions.)
- **Scoping mission**—A mission to Afghanistan in order to:
 - Identify and collect further documentation
 - Validate the mapping of the country programme
 - Get key stakeholder perspectives on key issues that should be examined
 - Address logistical issues related to the main mission including timing
 - Identify the appropriate set of data collection and analysis methods
 - Address management issues related to the rest of the evaluation process including division of labour among the team members
 - Ensure the country office and key stakeholders understand the ADR objectives, methodology and process

The Task Manager will accompany the Team Leader on the mission.

- **Inception report**—The development of a short inception report including the final evaluation design and plan, background to the evaluation, key evaluation questions, detailed methodology, information sources and instruments and plan for data collection, design for data analysis, and format for reporting.

Phase 2: Conducting the ADR and Drafting the Evaluation Report

- **Main ADR mission**—The mission of approximately two weeks will be conducted by the independent Evaluation Team and

will focus on data collection and validation. An important part of this process will be an Entry Workshop where the ADR objectives, methods and process will be explained to stakeholders. The team will visit significant project and field sites as identified and deemed feasible in the scoping mission.

- **Analysis and reporting**—The information collected will be analysed in the draft ADR report by the Evaluation Team within three weeks after the departure of the team from the country.
- **Review**—The draft will be subject to: factual corrections and views on interpretation by key clients (including the UNDP country office, RBAP and government); a technical review by the EO; and a review by external experts. The EO will prepare an audit trail to show how these comments were taken in to account. The Team Leader in close cooperation with the EO Task Manager shall finalize the ADR report based on these final reviews.
- **Stakeholder meeting**—A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Afghanistan. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level. It may be necessary to incorporate some significant comments into the final evaluation report (by the Evaluation Team Leader.)

Phase 3: Follow-up

- **Management response**—The UNDP Associate Administrator will request relevant units (in the case of ADR, usually the relevant country office and regional bureau) to jointly prepare a management response to the ADR. As a unit exercising oversight, the regional bureau will be responsible for monitoring and

overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

- **Communication**—The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new CPD in June 2009. It will be widely distributed in Afghanistan and at UNDP Headquarters and copies will be sent to evaluation outfits of other international organizations as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website⁹⁶ and made available to the public. Its availability should be announced on UNDP and external networks.

6. MANAGEMENT ARRANGEMENTS

6.1 UNDP EO

The UNDP EO Task Manager will manage the evaluation and ensure coordination and liaison with RBAP, other concerned units at Headquarters level and the Afghanistan country office management. EO will also contract a Research Assistant to facilitate the initial desk review and a Programme Assistant to support logistical and administrative matters. EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the Team Leader, international and national consultants, as well as the preliminary research and the issuance of the final ADR report. EO will also cover costs of any stakeholder workshops as part of the evaluation.

6.2 THE EVALUATION TEAM

The team will be constituted of four members:

- Consultant Team Leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report

- Two Consultant Team Specialists, who will provide the expertise in the core subject areas of the evaluation, and be responsible for drafting key parts of the report
- National Consultant, who will undertake data collection and analyses at the country-level, as well as support the work of the missions

The Team Leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programmes in the field. All team members should have in-depth knowledge of development issues in Afghanistan and/or other countries in the region. Experience in conflict/post-conflict situations is a must.

The evaluation team will be supported by a Research Assistant based in EO in New York. The EO Task Manager will support the team in designing the evaluation, will participate in the scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception report and the final report.

The evaluation team will orient its work by United Nations Evaluation Group (UNEG) norms and standards for evaluation and will adhere to the ethical Code of Conduct.⁹⁷

6.3 THE AFGHANISTAN COUNTRY OFFICE

The country office will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaison with the key partners, and make available to the team all necessary information regarding UNDP activities in the country. The office will also be requested to provide additional logistical support to the evaluation team as required. The country office will contribute support in kind (for example office space for the Evaluation Team) but the EO will cover local transportation costs.

⁹⁶ Available online at www.undp.org/eo.

⁹⁷ UNEG, 'Norms for Evaluation in the UN System' and 'Standards for Evaluation in the UN System', April 2005.

7. EXPECTED OUTPUTS

The expected outputs from the Evaluation Team are:

- An inception report (maximum 20 pages)
- A comprehensive final report on the Afghanistan Assessment of Development Results (maximum 50 pages plus annexes)
- A two-page evaluation brief
- A presentation for the Stakeholder Workshop

The final report of the ADR to be produced by the Evaluation Team will follow the following format:

Chapter 1: Introduction

Chapter 2: Country context

Chapter 3: The UN and UNDP in the country

Chapter 4: UNDP contribution to national development results

Chapter 5: Strategic positioning of the UNDP country programme

Chapter 6: Conclusions, lessons and recommendations

Detailed outlines for the Inception Report, main ADR report and evaluation brief will be provided to the evaluation team by the Task Manager.

The drafts and final version of the ADR report will be provided in English.

SUMMARY OF KEY SECURITY COUNCIL RESOLUTIONS

KEY SECURITY COUNCIL RESOLUTIONS MANDATING THE UN MISSION IN AFGHANISTAN

Report of the Secretary-General to the UN Security Council on the Situation in Afghanistan, the Proposal of UNAMA and Key Developments since the Signing of the Bonn Agreement, 18 March 2002

A/56/875-S/2002/278

97. Should the Security Council authorize its establishment, the core of the mission's mandate would entail:

- (a) Fulfilling the tasks and responsibilities, including those related to human rights, the rule of law and gender issues, entrusted to the United Nations in the Bonn Agreement, which were endorsed by the Security Council in its resolution 1383 (2001);
- (b) Promoting national reconciliation and rapprochement throughout the country, through the good offices role of my Special Representative;
- (c) Managing all United Nations humanitarian relief, recovery and reconstruction activities in Afghanistan, under the overall authority of my Special Representative and in coordination with the Interim Authority and successor administrations of Afghanistan.

The overall objective of UNAMA should be to provide support for the implementation of the Bonn Agreement processes, including the stabilization of the emerging structures of the Afghan Interim Authority, while recognizing that the responsibility for the Agreement's implementation ultimately rests with the Afghans themselves;

Resolution 1401 (2002) —

Adopted by the Security Council at its 4501st meeting, on 28 March 2002

Endorses the establishment, for an initial period of 12 months from the date of adoption of this resolution, of a United Nations Assistance Mission in Afghanistan (UNAMA), with the mandate and structure laid out in the report of the Secretary-General of 18 March 2002 (S/2002/278)

Resolution 1776 (2007) —

Adopted by the Security Council at its 5744th meeting, on 19 September 2007

Stressing the central role that the United Nations continues to play in promoting peace and stability in Afghanistan, *noting*, in the context of a comprehensive approach, the synergies in the objectives of the United Nations Assistance Mission in Afghanistan (UNAMA) and of ISAF, and *stressing* the need for further sustained cooperation, coordination and mutual support, taking due account of their respective designated responsibilities

(cont'd) ►

**Resolution 1746 (2007) —
Adopted by the Security Council at its 5645th meeting on 23 March 2007**

Recalling its previous resolutions on Afghanistan, in particular its resolution 1662 (2006) extending through 23 March 2007 the mandate of the United Nations Assistance Mission in Afghanistan (UNAMA) as laid out in the report of the Secretary-General of 7 March 2006 (S/2006/145), and its resolution 1659 (2006) endorsing the Afghanistan Compact, and *recalling* also the report of the Security Council mission to Afghanistan, 11 to 16 November 2006 (S/2006/935);

Noting, in the context of a comprehensive approach, the synergies in the objectives of UNAMA and of the International Security Assistance Force (ISAF), and *stressing* the need for continued cooperation and coordination, taking due account of their respective designated responsibilities;

Stressing the central and impartial role that the United Nations continues to play in promoting peace and stability in Afghanistan by leading the efforts of the international community, including, jointly with the Government of Afghanistan, the coordination and monitoring of efforts in implementing the Afghanistan Compact, and *expressing* its appreciation and strong support for the ongoing efforts of the Secretary-General, his Special Representative for Afghanistan and the women and men of UNAMA, *Stresses* the role of UNAMA to promote a more coherent international engagement in support of Afghanistan, to extend its good offices through outreach in Afghanistan, to support regional cooperation in the context of the Afghanistan Compact, to promote humanitarian coordination and to continue to contribute to human rights protection and promotion, including monitoring of the situation of civilians in armed conflict;

Welcomes the successful conclusion of the disarmament, demobilization and reintegration (DDR) process started in October 2003, as well as the launch of the programme of disbandment of illegal armed groups (DIAG) and the commitments made in this regard at the Second Tokyo Conference on Consolidation of Peace in Afghanistan on 5 July 2006, *calls for* determined efforts by the Afghan Government to pursue at all levels the timely implementation of the programme throughout the country, including through the implementation of the newly adopted Action Plan, and *requests* the international community to extend further assistance to these efforts, taking fully into account the guidance by UNAMA;

Calls for full respect for human rights and international humanitarian law throughout Afghanistan; *requests* UNAMA, with the support of the Office of the United Nations High Commissioner for Human Rights, to continue to assist in the full implementation of the human rights provisions of the Afghan Constitution and international treaties to which Afghanistan is a state party, in particular those regarding the full enjoyment by women of their human rights; *commends* the Afghan Independent Human Rights Commission for its courageous efforts to monitor respect for human rights in Afghanistan as well as to foster and protect these rights;

**Resolution 1806 (2008) —
Adopted by the Security Council at its 5857th meeting, on 20 March 2008**

Decides to extend the mandate of UNAMA, as defined in its resolutions 1662 (2006) and 1746 (2007), until 23 March 2009;

Reaffirming in this context its support for the implementation, under the ownership of the Afghan people, of the Afghanistan Compact, of the Afghanistan National Development Strategy (ANDS) and of the National Drugs Control Strategy, and *noting* that sustained and coordinated efforts by all relevant actors are required to consolidate progress made towards their implementation and to overcome continuing challenges,

Stressing the central and impartial role that the United Nations continues to play in promoting peace and stability in Afghanistan by leading the efforts of the international community, including, jointly with the Government of Afghanistan, the coordination and monitoring of efforts in implementing the Afghanistan Compact, and *expressing* its appreciation and strong support for the ongoing efforts of the Secretary-General, his Special Representative for Afghanistan and the women and men of UNAMA,

Recognizing once again the interconnected nature of the challenges in Afghanistan, *reaffirming* that sustainable progress on security, governance and development, as well as the cross-cutting issue of counter-narcotics is mutually reinforcing and *welcoming* the continuing efforts of the Afghan Government and the international community to address these challenges through a comprehensive approach,

- (b) strengthen the cooperation with ISAF at all levels and throughout the country, in accordance with their existing mandates, in order to improve civil military coordination, to facilitate the timely exchange of information and to ensure coherence between the activities of national and international security forces and of civilian actors in support of an Afghan-led development and stabilization process, including through engagement with provincial reconstruction teams and engagement with non-governmental organizations;

Stresses the importance of strengthening and expanding the presence of UNAMA and other United Nations agencies, funds and programmes in the provinces, and *encourages* the Secretary-General to pursue current efforts to finalize the necessary arrangements to address the security issues associated with such strengthening and expansion;

Annex 3

KEY POLITICAL EVENTS IN AFGHAN HISTORY

KEY EVENTS IN RECENT AFGHAN HISTORY	
17 July 1973	Military coup overthrows the monarch, Zahir Shah and establishes a republic under President Mohammad Daoud
27 April 1978	Communist coup
27 December 1979	Soviet invasion
28 April 1992	<i>Mujahedeen</i> take power in Kabul
5 November 1994	The Taliban captures Kandahar
24 September 1996	The Taliban captures Kabul
7 October 2001	U.S. air attacks against the Taliban regime begin
13 November 2001	The Taliban falls and Northern Alliance forces capture Kabul
5 December 2001	Bonn Agreement signed
December 2001	Afghan Interim Authority Fund (AIAF) established by the UNDP to cover all reasonable costs associated with start-up and operational costs of the Interim Authority. Donors contribute US\$73.4 million.
22 December 2001	Afghanistan Interim Authority (AIA) takes over power in Kabul under the leadership of Hamid Karzai.
21-22 January 2002	International Conference on Reconstruction Assistance to Afghanistan, held in Tokyo, pledging US\$4.5 billion in financial aid over five years.
April 2002	National Development Framework prepared
June 2002	Emergency <i>Loya Jirgah</i> (traditional Grand Assembly) elected Mr. Hamid Karzai as President
December 2003	Constitutional <i>Loya Jirgah</i> convened
4 January 2004	New Constitution adopted by Constitutional <i>Loya Jirgah</i>
February to June 2004	UNDP Afghanistan returns to Kabul from Islamabad
31 March to 1 April 2004	International Afghanistan Conference in Berlin. A multi-year commitment of US\$8.2 billion was made for the reconstruction and development of Afghanistan for the fiscal years 1383-1385 (March 2004-March 2007), which includes a pledge of US\$4.4 billion for 1383 (March 2004-March 2005).
22-24 April 2004	Afghanistan Development Forum was held in Kabul where the government clearly set out its national programmes to donors.
9 October 2004	Presidential elections in Afghan history held. Hamid Karzai elected President.
November 2005	Parliamentary elections held. Bicameral Parliament formed.
February 2006	The Afghanistan Compact issued establishing political milestones.
March 2008	The Paris Conference in Support of Afghanistan adopts the Afghanistan National Development Strategy

Annex 4

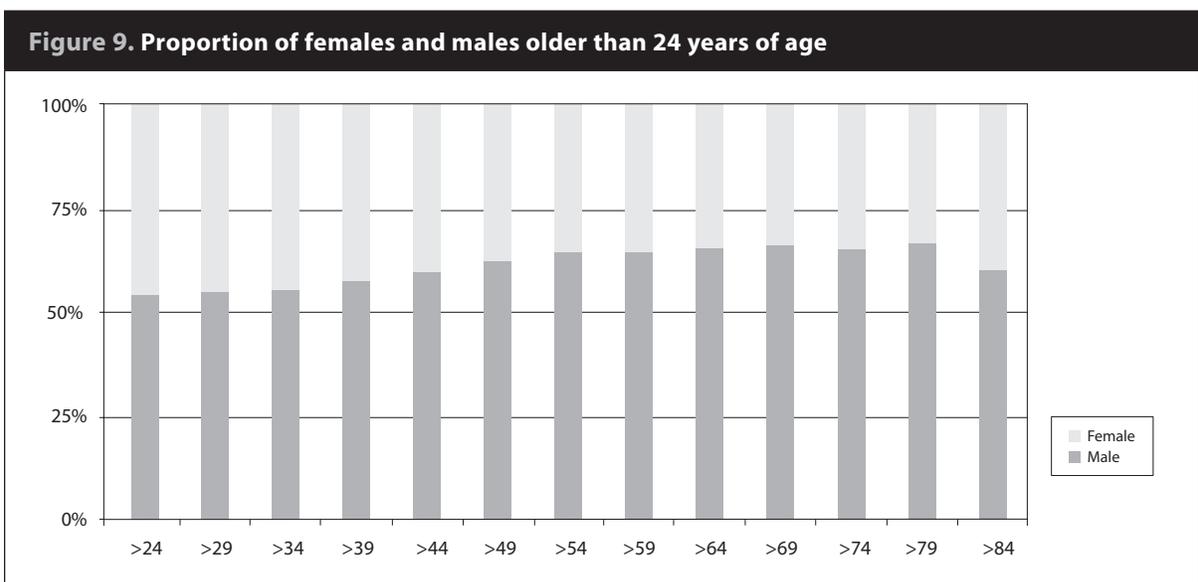
SELECT DEVELOPMENT INDICATORS

AFGHANISTAN—SELECT HUMAN DEVELOPMENT INDICATORS			
Indicator	2002 figures *2003 (2004 NHDR)	2005 figures * 2004 (2007 NHDR)	Low Human HD
Human development index value, 2005	0.292	0.345	
Human index ranking	173	174	
Human poverty index	59.3	62.3	
Life expectancy at birth, annual estimates (years)	44.5	43.1	49.1
Infant mortality rate (per 1,000 live births)	115*	165	104
Combined gross enrolment ratio for primary, secondary and tertiary education (%)	44.93	42.8	
Physicians (per 100,000 people), 2000-2004		19	
Population without sustainable access to improved water source	60*	68	38
Population using improved sanitation (%)		34*	
Maternal mortality ratio, adjusted (per 100,000 live births), 2000		1,800	
Population without electricity (millions)		27	
Gender-related development index value	0.30	0.31	
Life expectancy at birth, female (years)	44	42.8	
Life expectancy at birth, male (years)	45	42.9	
Adult literacy rate, female (% aged 15 and older)	14.1	12.6	
Adult literacy rate, male (% aged 15 and older)	43.2	43.1	
Combined gross enrolment ratio for primary, secondary and tertiary education, female (%)	29.57	30	
Combined gross enrolment ratio for primary, secondary and tertiary education, male (%)	59.34	55	
Seats in parliament (% held by women)		28.5	
Ratio of estimated female-to-male earned income		22.5	

Notes: PPP indicates Purchasing Power Parity.

Some indicators of progress of AMDGS						
MDG	Indicator	Kuchi	Rural	Urban	National average	
1	Eradicate extreme poverty and hunger	24	30	31	30	
2	Achieve universal primary education	9	36	53	37	
	Literacy rate of 15-24 year olds (%)	5	25	63	31	
3	Promote gender equality and empower women	0.5	0.6	0.9	0.7	
	Ratio of literate women to men, 15-24 years old	0.9	0.3	0.8	0.5	
4	Reduce child mortality	35	51	63	53	
5	Improve maternal health	7	9	52	53	
6	Combat HIV/AIDS, malaria and other diseases	17	8	9	8	
7	Ensure environmental sustainability	98	98	75	94	
	Proportion of population using solid fuels (%)	16	26	63	31	
	Proportion of population with sustainable access to an improved water source, urban and rural (%)	0	3	28	7	
	Proportion of population with access to improved sanitation, urban and rural (%)	28	44	83	49	
8	Develop a global partnership for development	0.1	0.3	8.3	1.5	
	Telephone lines and cellular subscribers per 100 population	0.00	0.01	0.52	0.09	
	Personal computers in use per 100 people	0	0.01	0.18	0.03	

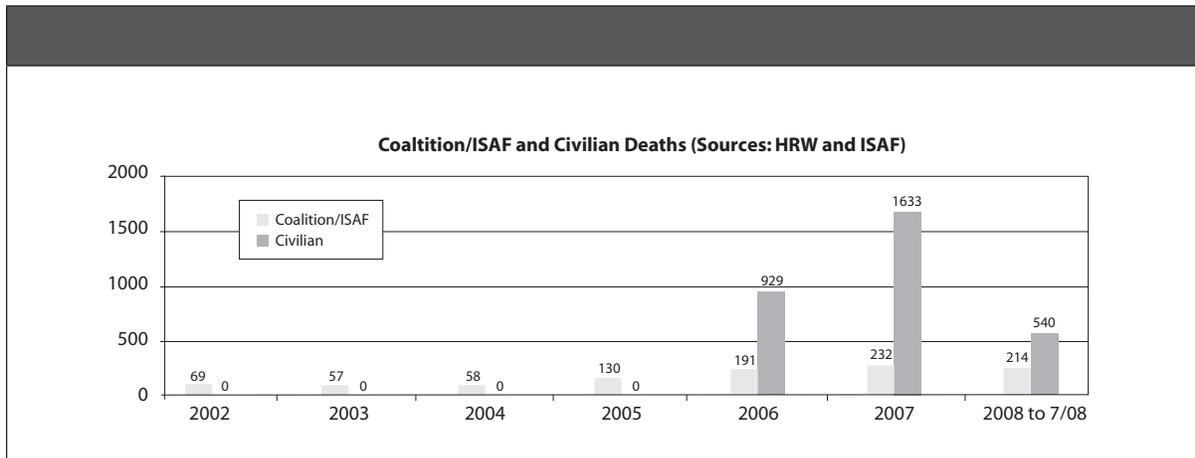
Source: Afghanistan Human Development Report, 2007



Source: MRRD, 'National Risk and Vulnerability Assessment: 2005', Kabul, Afghanistan, 2007.

Annex 5

PHYSICAL HUMAN SECURITY TRENDS



Annex 6

SCHEMATIC DIAGRAM OF THE AFGHANISTAN NATIONAL DEVELOPMENT STRATEGY

AFGHANISTAN NATIONAL DEVELOPMENT STRATEGY (ANDS)							
SECURITY	GOVERNANCE	SOCIAL AND ECONOMIC DEVELOPMENT					
Pillar 1	Pillar 2	Pillar 3	Pillar 4	Pillar 5	Pillar 6	Pillar 7	Pillar 8
1 - Security	2 - Good Governance	3 - Infrastructure & Natural Resources	4 - Education & Culture	5 - Health & Nutrition	6 - Agriculture Rural Development	7 - Social Protection	8 - Economic Governance & Private sector development
Sectors							
Security	Justice	Energy	Education	Health and Nutrition	Agriculture & Rural Development	Social Protection	Private Sector Development and Trade
	Governance, Public Administration Reforms & Human Rights	Transportation	Culture, Media and Youth			Refugees, Returnees and Internal Displaced Persons	
	Religious Affairs	Water Resource Management					
		Information and Communications Technology					
		Urban Development					
		Mining					
Cross-cutting Issues							
Capacity Building							
Gender Equity							
Counter Narcotics							
Regional Cooperation							
Anti-Corruption							
Environment							

Annex 7

PROGRAMMES AND PROJECTS BY OUTCOME

OUTCOMES	PROGRAMMES AND PROJECTS
Outcome 1: State capacity enhanced to promote responsive governance and democratization	<ol style="list-style-type: none"> 1. Enhancing Legal Electoral Capacity for Tomorrow (ELECT) 2. Support to the Establishment of the Afghan Legislature (SEAL)
Outcome 2: The democratic state and government institutions strengthened at national and sub-national levels to govern and ensure the delivery of quality public services including security with special attention to marginalized groups	<ol style="list-style-type: none"> 1. Civil Service Leadership Development (CSLD) 2. Capacity for the Afghan Public Service Programme (CAP) 3. Support to the Centre of Government (SCOG) 4. Making Budgets and Aid Work (MBAW) 5. Law and Order Trust Fund (LOTFA) 6. Afghanistan Sub-National Governance Programme (ASGP) 7. Afghanistan New Beginnings Programme (ANBP) 8. Accountability and Transparency (ACT) 9. CISCO Project 10. Afghanistan Information Management Services (AIMS) 11. Strengthening State Building Through Strategic Government Communications (SSBSGC)
Outcome 3: Access to justice and human rights improved through capacity building of justice institutions and rights awareness campaigns for local communities and vulnerable groups (women and disabled)	<ol style="list-style-type: none"> 1. Strengthening the Justice System of Afghanistan (SJSA) 2. Access to Justice at the District Level (AJDL)
Outcome 4: People (men and women) empowered to participate in democratic and policy making process through increased access to information and awareness on constitutional rights	<ol style="list-style-type: none"> 1. National Youth Programme (NYP)
Outcome 5: Greater government capacity for formulating gender sensitive pro-poor policies and programmatic targeting taking into account human development concerns	<ol style="list-style-type: none"> 1. Afghanistan National Development Strategy (ANDS) 2. Centre for Policy and Human Development (CPHD)

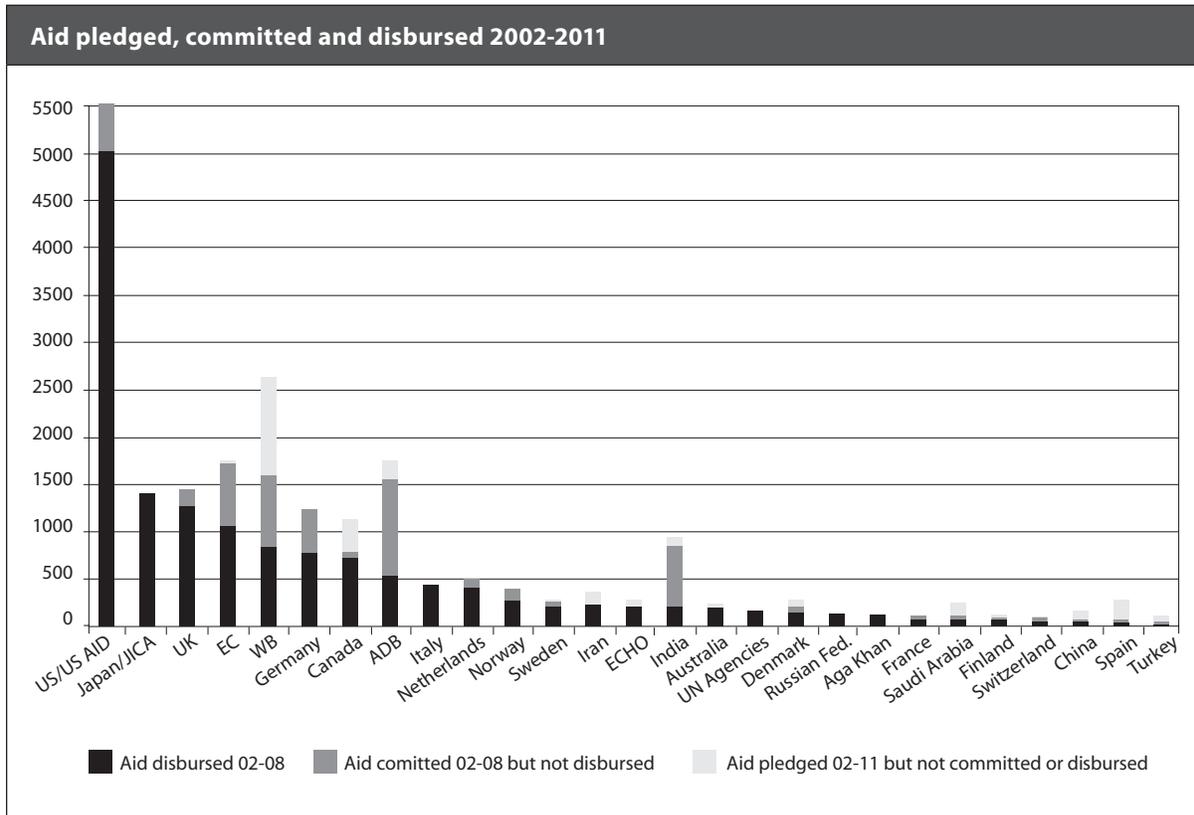
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<p>Outcome 6: Structures, mechanisms and processes in place to impact practices and projects and to ensure that a gender perspective is brought to bear on policy making and development planning</p>	<ol style="list-style-type: none"> 1. Institutional Capacity Building for Gender Equality (Gender Equality) 2. Gender Mainstreaming in UNDP Afghanistan
<p>Outcome 7: Strengthened domestic economic opportunities through area-based/community led initiative, private sector partnership, trans-boundary interaction and accession to relevant trade platforms</p>	<ol style="list-style-type: none"> 1. National Area-Based Development Programme (NABDP) 2. Urban Development Group 3. Private Sector Development Programme (PSDP) 4. Counter Narcotics Trust Fund (CNTF) 5. Reintegration Support Project for Ex-Combatants (RSPE)
<p>Outcome 8: Policy/strategic frameworks established and institutional capacity built to mainstream sustainable development issues, and communities empowered to undertake environment and energy activities</p>	<ol style="list-style-type: none"> 1. Comprehensive Disaster Risk Reduction Programme (CDRRP) 2. Sustainable Environment Management

Annex 8

AID IN AFGHANISTAN



Annex 9

SUMMARY OF THE STRUCTURE OF GOVERNMENT

Formally, the institutional structure of Afghanistan is a combination of pre-existing structures and institutional arrangements that emanated from the Bonn Conference and the *Loya Jirga* in 2002. Afghanistan has 34 provinces, divided into 398 rural districts, although that number has not been ratified. There are approximately 217 municipalities, divided among 34 provincial municipalities (the capitals of each province) and an unclear number of rural municipalities that usually correspond to the seats of district government. The number of rural communities or villages in Afghanistan is a matter of interpretation. The Central Statistics Office counts 40,020 rural villages, while the Ministry of Rural Rehabilitation and Development (MRRD), World Bank and National Solidarity Programme (NSP) count 24,000 ‘communities’ for the purposes of establishing Community Development Councils (CDCs).

Provincial government consists of the line departments of the main sectoral ministries, the Provincial Governor’s Office, the elected Provincial Council, and in some provinces, the local offices of other agencies such as the National Security Department, the Afghanistan Independent Human Rights Commission, and the Independent Afghanistan Reform and Civil Service Commission (IARCSC). The ministerial departments are responsible for service delivery in areas such as policing, health, rural development, and education. Until late 2007, the Governor’s Office had the dual role of representing the President and reporting to the Ministry of Interior. Provincial Councils were elected simultaneously with the National Assembly in 2005 and have an unclear mandate comprising advisory, conflict resolution

and oversight roles. Provincial Development Councils are not constitutionally mandated but were established to bring order to the disparate coordination and rudimentary planning activities springing up around the country by 2005 and to create a structure for provincial input into national planning processes.

Districts are currently the lowest level of formally recognized government administration and consist of district offices of some central ministries, the number of which depends on district grade and can vary from only a few departments such as Health, Education and Rural Rehabilitation and Development, to as many as 20. In addition, there is typically a police department and a prosecutor in each district. Not all districts have primary courts. The District Governor is a representative of the Ministry of Interior and formally plays a coordinating role. Informally, the role varies depending on relations with the provincial authorities, local customary and informal power-holders, sometimes including dispute resolution functions. In most cases, the District Governor maintains some kind of semi-formal advisory councils, called *shuras*, or liaises with leaders significant in the community, such as *maliks*, *arbabs* or *qaryadars*. Based on what was seen in Mazar-i-Sharif, some District Development Assemblies (DDAs) are beginning to fill this function. Yet the relationship between District Governors, CDCs and DDAs varies greatly—from close functional cooperation to no interaction.

Mayors appointed by the President lead municipal administrations. Municipalities have functional and service-delivery responsibility (mainly for urban services) and revenue

collection responsibilities. Larger (provincial) municipalities are divided into urban districts (*nahia*), and have varying representative systems sometimes including neighbourhood representatives (*wakil-I gozar*) held over from pre-war administrative systems. All municipalities, with the exception of Kabul, are theoretically overseen by the newly formed Independent Directorate of Local Governance (IDLG).

Village institutions are largely informal and have varying greatly. Many non-governmental organizations have relied on *shura*-type bodies that are constituted in various ways to assist in community mobilization and programme implementation. As of early 2008, the NSP had facilitated the election of CDCs through non-governmental partners in approximately two-thirds of the villages in the country.

The Constitution provides for increasing representation at sub-national levels through the election of representative bodies at village, district, provincial and municipal levels.⁹⁸ Provincial Councils were elected in 2005. The election of District Development Councils are being discussed for 2010, but it is not clear whether they will proceed as planned. Outside of the constitutional framework, the establishment of Provincial Development Councils, the expansion of the NSP and the creation of CDCs have altered the institutional landscape considerably. More recently, DDAs have been established under the National Area Based Development Programme (NABDP)—at least initially as planning bodies—and the IDLG, which reports directly to the President, has been formed with responsibility for ‘supervising’ the offices of Provincial Governors, District Governors, Provincial Councils, and Municipalities with the exception of Kabul Municipality.⁹⁹

⁹⁸ Constitutions of the Islamic Republic of Afghanistan, Articles 138-140.

⁹⁹ Independent Directorate of Local Governance, Strategic Framework, Kabul, Afghanistan, 2007.

Annex 10

SUMMARY OF CAPACITY FOR THE AFGHAN PUBLIC SERVICE (CAP) RAPID IMPACT ASSESSMENT RESULTS

BENEFICIARY SATISFACTION SCORE: CAP PROJECT										
QUESTION	5 = highest: 1=lowest									
	MCI	MCIT	JCMB	MTCA	CAO	MLSA	MA	MEW	IARSCC	Average
Satisfaction with CAP	2.67	3.40	3.50	4.20	4.25	3.50	3.67	3.20	4.00	3.60
Acceptance of coaching as a tool for country director	3.33	3.40	3.50	4.00	4.00	3.50	4.33	3.20	3.75	3.67
Impact of coaching on team performance	2.67	3.00	3.63	4.00	3.75	4.00	3.67	3.30	3.50	3.50
Application of acquired skills and knowledge	2.67	3.40	3.63	3.40	3.50	3.75	3.33	3.50	3.50	3.41
Impact of coaching on personal development	2.67	2.80	3.63	3.60	4.00	3.25	2.67	3.50	3.50	3.29
Participation in coaching Sessions	3.00	2.80	3.50	3.80	3.50	3.50	3.00	3.70	3.50	3.37
Relationship between coach and coached	3.33	3.00	3.50	4.00	3.75	3.50	4.00	3.70	3.50	3.59
Satisfaction with work style of the coach	5.00	5.00	5.00	4.80	4.75	5.00	5.00	5.00	5.00	4.95
Total (out of 40)	25.34	26.80	29.89	31.80	31.50	30.00	29.67	29.10	30.25	29.38
Beneficiary satisfaction (%)	63%	67%	75%	80%	79%	75%	74%	73%	76%	73%

Note: MCI indicates Ministry of Commerce and Industry; MCIT, Ministry of Communications and Information Technology; JCMB, Joint Coordination and Management Board; MTCA, Ministry of Transport and Civil Aviation of Afghanistan; CAO, Control and Audit Office; MLSA, Ministry of Labour and Social Affairs; MA, Ministry of Agriculture; MEW, Ministry of Energy and Water; IARSC, Independent Administrative Reform and Civil Service Commission.

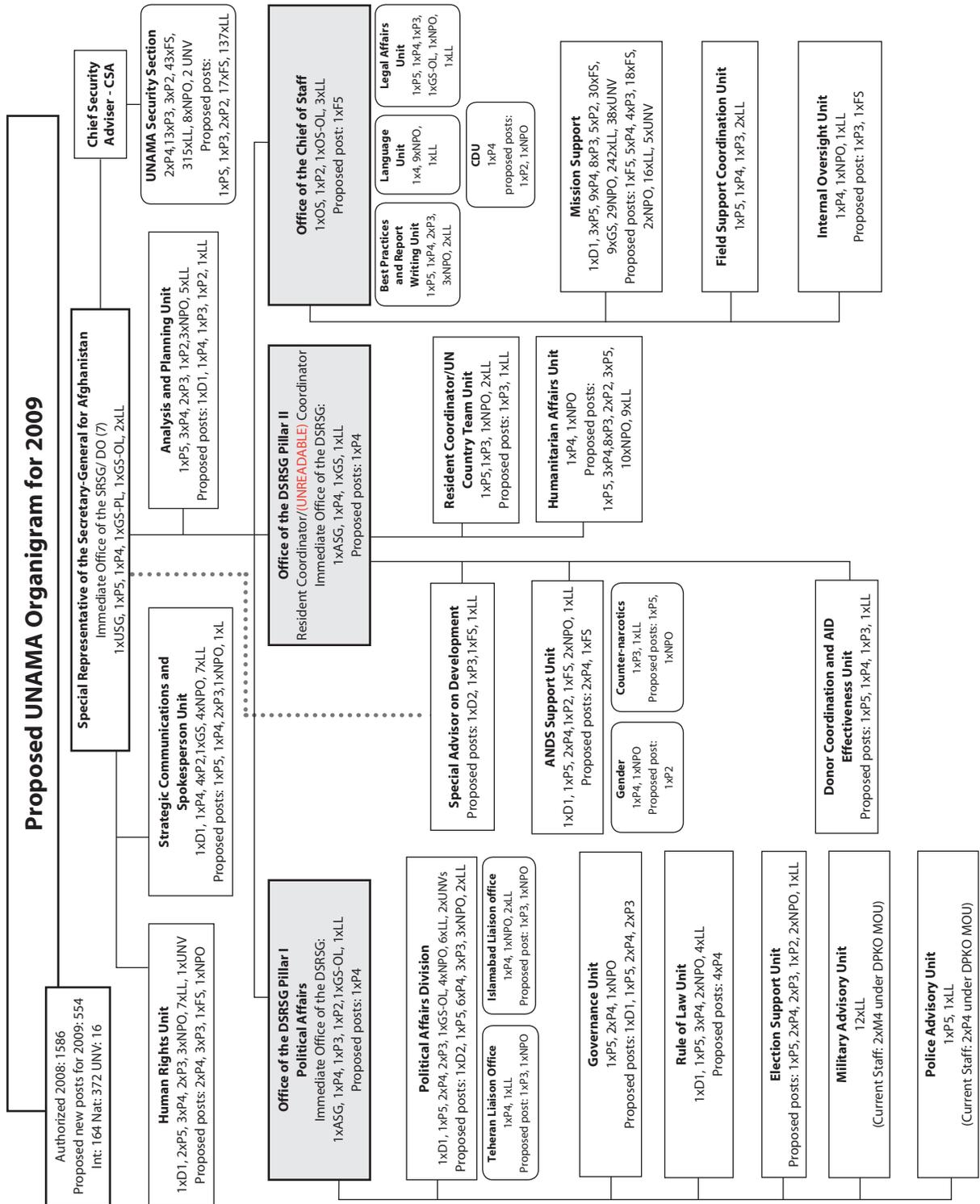
Source: CAP Project, Beneficiary Satisfaction Survey, March 2008. Conducted after completion of six months of assignment of coaches.

Annex 11

NABDP PROJECTS IMPLEMENTED BY PROVINCE

NABDP PROJECT PORTFOLIO (SEPTEMBER 2008)						
No	Province	Pipeline Projects	Ongoing Projects	Completed Projects	Total Projects	Budget (US\$)
1	Kandahar	0	96	340	436	15,207,210
2	Uruzgan	1	66	28	95	6,920,164
3	Hilmand	6	92	59	157	4,931,177
4	Balkh	0	17	7	24	4,665,837
5	Faryab	0	9	4	13	2,315,309
6	Bamyan	0	4	3	7	2,299,036
7	Nangarhar	3	29	17	49	1,846,891
8	Daykundi	0	6	0	6	1,182,171
9	Ghor	0	8	2	10	1,076,485
10	Sari Pul	0	1	2	3	1,024,681
11	Baghlan	0	3	7	10	886,227
12	Badakhshan	0	3	3	6	737,030
13	Takhar	0	4	2	6	698,327
14	Nimroz	0	3	8	11	674,290
15	Parwan	0	2	1	3	547,754
16	Kabul	0	6	21	27	334,677
17	Ghazni	0	2	1	3	320,603
18	Jawzjan	0	2	4	6	300,915
19	Kapisa	0	1	2	3	294,410
20	Panjsher	0	1	3	4	261,208
21	Samangan	0	1	2	3	248,648
22	Wardak	0	1	3	4	181,828
23	Laghman	0	0	4	4	162,815
24	Kunduz	0	0	1	1	113,160
25	Paktya	0	0	1	1	102,194
26	Zabul	0	1	0	1	70,547
27	Hirat	0	0	2	2	32,844
28	Paktika	0	0	1	1	26,470
29	Badghis	0	0	0	0	0
30	Farah	0	0	0	0	0
31	Khost	0	0	0	0	0
32	Kunar	0	0	0	0	0
33	Logar	0	0	0	0	0
34	Nuristan	0	0	0	0	0
TOTAL		10	358	528	896	\$47,462,908.00

CURRENT PROPOSAL FOR STRENGTHENING UNAMA



PERSONS CONSULTED

GOVERNMENT

- Abdul Matin Andrak, Director General, Presidential Secretariat for Disaster Management.
- Mohammad Aslam, Deputy Director, Presidential Secretariat for Disaster Management.
- Zekria Barakzai, Deputy Chief Electoral Officer, Independent Election Commission of Afghanistan
- Lt. Gen. Mohammad Haider Basir, Deputy Minister for Support and Administration, Ministry of Interior
- Elhamudin, Director General, Finance, Ministry of Interior
- Eng. Assadullah Falah, Secretary-General, Secretariat of the Mishrano Jirga (Upper House), National Assembly
- Adib Farhadi, Director, Afghanistan National Development Strategy (ANDS)
- Mohammad Zaher Ghauss, Deputy Minister for Youth, Ministry of Information, Culture
- Habibullah, Head, Foreign Relation Department, Presidential Secretariat for Disaster Management.
- Mohammad Qasim Hashimzai, Deputy Minister of Justice and Legal Affairs
- Mohammad Shafiq Haqmai, Provincial Hub Manager, UNOPS
- Rameen Moshref Javid, Donor Liaison and International Relations Coordinator, Ministry of Women's Affairs
- Barna Karimi, Deputy Minister for Policy, Independent Directorate for Local Governance (IDLG)
- Enayullah Mayel, Deputy Programme Manager, Joint Youth Programme, Ministry of Culture and Youth Affairs
- Sardar Mohammad, Head, Mitigation Project Department, Presidential Secretariat for Disaster Management.
- Ahmad Moshahed, Chairman, Independent Administrative Reform and Civil Service Commission
- Sayeda Mojgan Mostafavi, Deputy Minister for Technical and Policy Matters, Ministry of Women's Affairs
- Enayatullah Nabel, Director-General, Economic Affairs Department, Ministry of Foreign Affairs
- Gen. Atta Mohammad Noor, Governor, Balkh Province
- Azim Nooryan, Head, Internal Relations Department, Presidential Secretariat for Disaster Management.
- Noor Padshah, Head, National Emergency Operation Center (NEOC), Presidential Secretariat for Disaster Management.
- Tony Preston-Stanley, Adviser, Ministry of Finance (Adam Smith International and Asian Development Bank)
- Wahidullah Qaderi, DDG Budget, Ministry of Finance
- Ahmad Rabi, Head of Dissemination Department, Presidential Secretariat for Disaster Management.
- M. Asif Rahimi, Deputy Minister, Programmes, Ministry of Rural Rehabilitation and Development
- Mobibur Rahman, Deputy Director, Counter Narcotics Trust Fund, Ministry of Counter Narcotics (MCN)
- Mohammad Rais, Senior Economic and Development Adviser, Ministry of Reconstruction and Development
- Alison Rhind, Programme Adviser, Ministry of Rural Rehabilitation and Development
- Nazir Ahmad Shahidi, Deputy Minister (Professional), Ministry of Economy
- Wahidullah Shahrani, Adviser to H.E. the President and Deputy Minister of Finance, Ministry of Finance

Rahela Hashim Sidiqi, Senior Adviser to the Chairman of IARCSC and Head of Experts' Programme

Habiba Sorabi, Governor, Bamiyan Province

Mohammad Wali Tarin, AGD

Ahmad Masoud Tokhi, Programme Head, IARCSC

Ubaidullah, Deputy Project Manager, LOTFA

Sayad Younis, Head of Office, Ministry for Rural Rehabilitation and Development, Bamiyan

Omar Zakhilwal, Chief Economic Adviser to H.E. the President and Head of the Afghanistan Investment Support Authority

Mohammad Zafar, Deputy Minister, Ministry of Counter Narcotics (MCN)

M. Umar Zohal, Supreme Court

DONORS

Chloé Baudry, Development Officer, Afghanistan Task Force, Canadian International Development Agency (CIDA)

Bart Beltman, Second Secretary, Development Cooperation

Ludmilla Butenko, Operations Adviser, The World Bank Group

Kenneth Deane, Deputy Head of Mission, European Union Police Mission in Afghanistan

Berend de Groot, Head of Operations, European Community Delegation

Caroline Delany, First Secretary (Development), Embassy of Canada

Lu Ecclestone, Governance Adviser, Department for International Development (DFID)

Anders Kolk, Political Adviser, European Union Police Mission in Afghanistan

Elizabeth Lee, Senior Development Officer, Afghanistan Task Force, Canadian International Development Agency (CIDA)

George Saibel, Minister (Development/Head of Aid), Embassy of Canada

Col. Darryl Tracy, New Zealand Provincial Reconstruction Team Commander, Bamiyan

CIVIL SOCIETY

Najeebullah Z. Babrakczai, National Promotion Manager, Afghanistan Independent Human Rights Commission

Anja De Beer, Director, Agency Coordinating Body for Afghan Relief

Mohammad Farid Hamidi, Commissioner, Afghanistan Independent Human Rights Commission and Board Member, Presidential Special Advisory Board for Senior Appointment

Abdul Rahman Hotaky, Director, Afghan Organization of Human Rights and Environmental Protection

Danish Karokhel, Director and Editor in Chief, Pjhwok Afghan News

Charles Lasham, Chief of Party, International Foundation for Electoral Systems (IFES)

Nafisa Nezam, Administration/Finance Manager, Afghanistan Independent Human Rights Commission

Abdul Jabar Sapand, Director, Open Media Forum for Afghanistan

M. Omar Sharifi, Director, American Institute of Afghanistan Studies

Sanjar Sohail, News Manager, Saba Television

UN SYSTEM IN AFGHANISTAN

M. Abraham, Programme Officer, UNDP

Christopher Alexander, Deputy Special Representative of the Secretary-General (Political Affairs), UNAMA

Ahmed Masood Amer, Assistant Country Director, UNDP

Masood Amer, Programme Officer, UNDP

Mohammad Ali Ashraf, Assistant Country Director, Head, PCICU

Bo Asplund, Deputy Special Representative of the Secretary-General (Development and Humanitarian Affairs), Resident Coordinator and Humanitarian Coordinator

Abdelrahman Azizi, Procurement Manager, UNDP
Heather Barr, Senior Programme Officer, UNDP
Micheline Baussard, Senior Monitoring and Evaluation Adviser, UNDP
Elizabeth Bayer, Deputy Representative, UNODC
Vikram Bhatia, Deputy Field Security Coordination Officer, UNAMA, Bamiyan
Maya Lindberg Brink, Programme Officer, UNDP
Mithulina Chatterjee, Assistant Country Director,
Johannes Chudoba, Head, Office of the Resident Coordinator, UNAMA
M.Moein Daqiq, Programme Associate, UNDP
Dirk Druet, Partnership and Donor Relations Officer, UNDP
Howaida Zubair Ezzat, Assistant Country Director, Financial Resources Management Unit, UNDP
Douglas Hageman, Operations Manager, UNDP
Kiyoshi Harada, Political Affairs Officer, UNAMA, Bamiyan
Zubaida Helali, Programme Associate, UNDP
Yama Helaman, Programme Officer, UNDP
Ian Holland, Deputy Country Director (Programmes), UNDP
Fezeh Hosseini, Public Information Assistant, UNDP
Mohammad Khabir, Programme Associate, UNDP
Shoaib Khaksari, Finance Officer, UNDP
Sayed Khalid, Programme Associate, UNDP
Dilawar Khan, Programme Officer, UNDP
Wendy Kusuma, Country Director, UNIFEM
Bruce McCarron, Director UNOPS
Orzala Ashraf Nemet, Programme Officer, UNDP
Anita Nirody, Country Director, UNDP
Paul O'Hanlon, Field Security Specialist, UNDP

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Annex 14

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