



# **Allied Information Sharing Support to ISAF *and Support to Afghanistan Transition Metrics***

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NATO Research and Technology Organization (RTO)  
System Analysis and Studies (SAS) Panel  
Specialist Team SAS-091

August, 2012



# Overview

- **SAS-091 Summary**
- **Insights from the Socio-Economic Development Syndicate**
- **Major Products**
  - DataCards
  - Best Practices Guide for Operations Assessments for Counterinsurgencies
  - SAS-091 Report
- **Final Comments**



# Background

The “**INTEQUAL**” (“Transition”) plan for Afghanistan was developed at July 2010 Kabul Conference. It consists of two phases:

**Phase 1: Assessment and Initiation (determine when a province, district, and municipality is ready to begin transition)**

**Phase 2: Implementation of transition to full Afghan control (4 stages)**

Joint Afghan-NATO Inteqal Board (**JANIB**) provides recommendations to GIRoA  
Lines of Operation (**LOO**): Security, Governance, Rule of Law, Development

## Key players

- **JFCBS: Joint Forces Command in Brunssum**, Netherlands (NATO HQ for Afghan operations)
  - Assessment Directorate in DCS Operations
- **ISAF: International Security Assistance Force**
  - COMISAF = commander of ISAF (at that time GEN Petraeus)
  - Afghan Assessment Group (AAG)
- **NATO SCR: NATO Senior Civilian Representative** (civilian NATO chain)
- **GIRoA; Government of the Islamic Republic of Afghanistan**
  - Afghan Transition Coordination Commission - chair Dr. Ghani
- **SHAPE**
- **CENTCOM and other US organizations**



# NATO SAS-091 Objectives

- **Assist NATO JFCBS, NATO SCR, ISAF, and GIRoA develop, refine, and implement a data management strategy that encourages**
  - Consistent data identification, collection, management, and analysis
  - The sharing of data among the stakeholders (e.g., ISAF, GIRoA, NGOs, International Organizations) in easy-to-use formats
- **Support the development of metrics for the “INTEQUAL” (Afghanistan transition) framework**
- **Generalize findings to help shape future NATO campaign assessments**



# NATO SAS-091 Timeline(2010-11)

April 28, 2010: request from ISAF

July 2010: TAP approved

Aug/Sep 2010

## **Workshop #1 (Summer)**

- Refine problem
- Baseline understanding
- Develop metrics

Sept-Dec 2010

- Brief** results of workshop 1
- Prepare** for Workshop 2

***Lisbon Conference (Nov 2010)***

Dec 2010

## **Workshop #2 (Winter)**

- Inteqal metrics and data (Syndicates)
- Major GIRoA contribution
- Publish “data cards” and “best practices” guide

Jan 10-14, 2011, Kabul

- Brief** GEN Petraeus & Dr. Ghani

Feb – June 2011

**Write report**

July 2011

## **Writers’ Conference (Washington DC)**

- Review / update report for RTO

Sept /Nov 2011

- Brief at Assessment Conference**
- Report to RTO**
- Brief SAS Panel**



# Workshop Structure

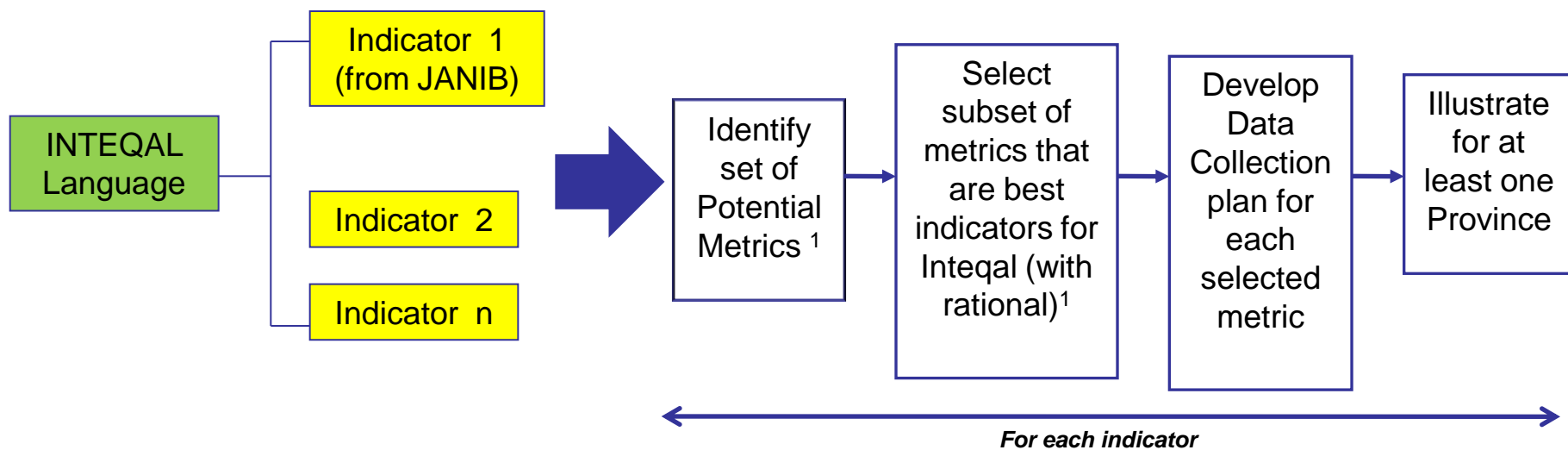
	Monday	Tuesday	Wednesday	Thursday	Friday
AM Session	Tutorials (optional)	Plenary/ Syndicates	Syndicates	Syndicates	Syndicate and Integration Group outbriefs
PM Session	Plenary	Syndicates	Syndicates	Syndicates	NATO SAS 91 planning session

**Syndicates**

- Security (LOO)
- Governance (LOO)
- Rule of Law (LOO)
- Socio-Economic Development (LOO)
- Data Collection
- Data Sharing



# Suggested LOO Syndicate Metric Development Process



Note: <sup>1</sup> Focus is not on developing new metrics, but rather on identifying existing metrics and selecting those that best fit Inteqal



# Workshop 1 (Aug 30 to Sep 3 2010)

- **Hosted by Joint Forces Command Brunssum (JFCBS)**
  - Over 175 attendees from 18 countries
- **Key Presentations**
  - Conference Guidance (Deputy Commander JFCBS, Air Marshal Christopher Harper (UK))
  - ISAF Transition Plan: Strategic Overview and Metrics (Director, ISAF Assessment Group, Brigadier Goodman (AUS))
  - PRT Panel (US, UK, NLD, NOR)
- **Produced Draft Metrics with Potential Data Sources**
- **Major Observations**
  - Need to develop a quick reference of data sources
  - Need to develop a “best practices” guide for assessments
  - More GIRoA participation would enhance future workshops





# Workshop 2 (Dec 6-10 2010)

- **Hosted by NATO's NC3A**
  - About 115 attendees from 11 countries including GIRoA (14 members from 8 organizations)
- **Key Presentations**
  - Workshop Challenges (MG Byron Bagby)
  - The Five Pillars of Success in Afghanistan (Dr. Daud Yaar)
  - Afghan National Development Strategy (Mr. Shafiq Qarizada)
  - Some Perspectives on Justice and Rule of Law (Dr. Qusim Hashimzai)
  - Transition and the JANIB Process (Mr. Hans-Christian v. Reibnitz)
  - U.S. Policy on Transition (Mr. Dereck Hogan)
  - Assessment Methods and Challenges (ISAF AAG)
- **Produced Updated Draft Metrics with Potential Data Sources**
- **Major Observations**
  - Establish JANIB policy to improve sharing of data among participants
  - GIRoA participation was key
    - Concerned about Afghan assessment capacity
    - Want to continue and expand data sharing with ISAF



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# Socio- Economic Development Syndicate Approach

- **Review INTEQAL guidance**
- **Review and assess**
  - Indicators provided by JANIB
  - Key Afghan produced planning documents
    - Afghan National Development Strategy (ANDS)
    - Provincial and District Development Plans
- **Devise core set of detailed Socio-Economic Development metrics for Phase 1 decision**
  - Align as much as possible with GIROA-generated strategy and objectives and JANIB produced indicators
  - Suggest robust data sources
- **Use JANIB indicators as basis for suggesting framework and metrics for INTEQAL Phase 2 (Stages of transition)**



# Key Building Blocks for Development: JANIB Guidance, Afghan Priorities, Sub-national Plans

## Topic areas of JANIB Development Indicators

- D1. Access to employment opportunities
- D2. Market, basic public services and utilities
- D3. Agriculture
- D4. Education
- D5. District & Community development
- D6. Higher education & training

**Afghan National Development Strategy (ANDS):  
Prioritization & Implementation Plan**  
**ECONOMIC AND INFRASTRUCTURE DEVELOPMENT**  
**ACCELERATING AGRICULTURE AND RURAL DEVELOPMENT**  
**FACILITATING HUMAN RESOURCE DEVELOPMENT**  
**Counter-Narcotics**

## Provincial and District Development Plan Framework

Sector	Develop Priorities	Comments
Economic	Establish companies, Build factories, Establish Markets, Provide loans, Banking system, Tax manual	
Infrastructure	Dams, Roads, Bridges, Communications, Retaining walls	Dams for electricity
Agriculture	Irrigation projects, Coops, Machinery, Seeds, Veterinary Clinics, Animal husbandry farms	
Education	Construction/renovation of school facilities, teacher training programs, equipment	
Health	Construction/renovation of medical facilities, drinking water, sanitation facilities	
Social	Shelter, Pensions, Vocational training, Emergency food, Retaining walls	Walls for disaster prevention from flooding
Governance	Priorities include salary, staff, training, facilities, equipping	
Security	Priorities include salary, staff, training, facilities, equipping	



# Framework of Provincial Development Plan Priorities

This example shows the detail available from Provincial Development Plans and District Development Plans to support detailed transition planning.

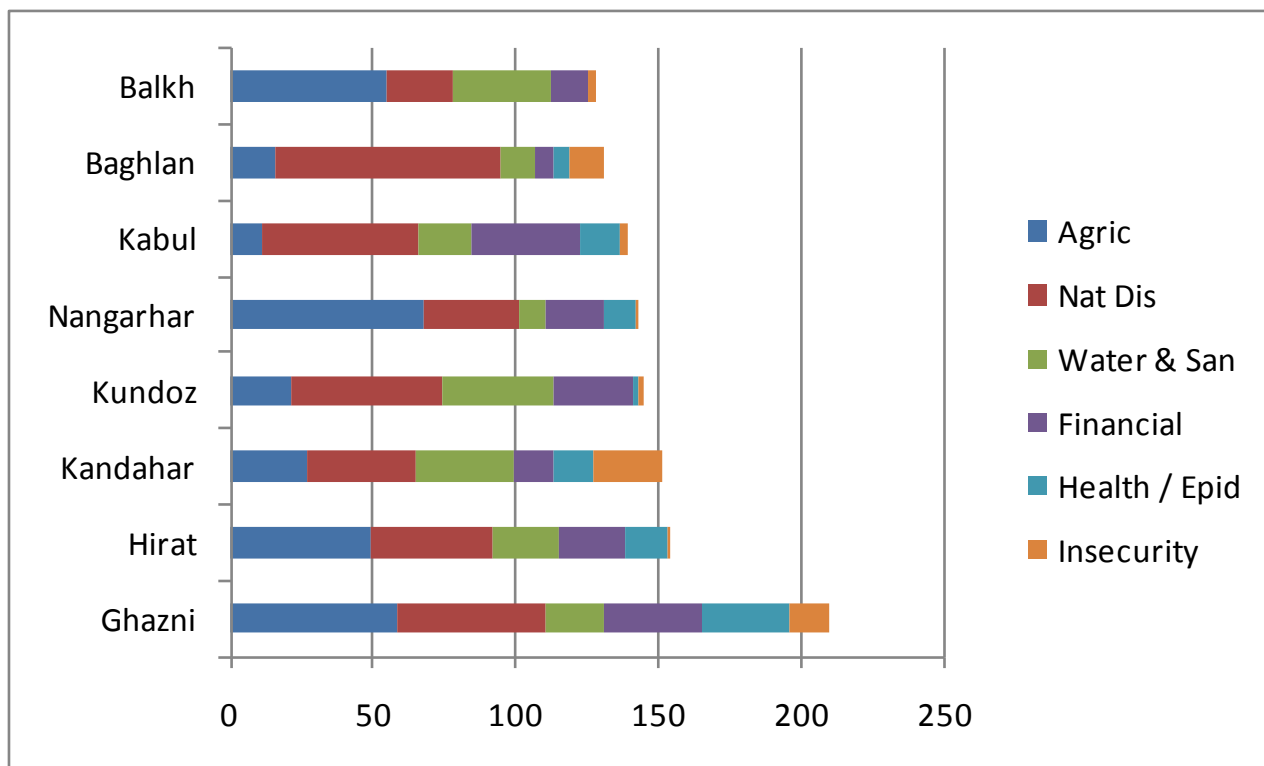
<b>Sector</b>	<b>Develop Priorities</b>
Economic	Establish companies, build factories, establish Markets, provide loans, banking system, tax manual
Infrastructure	Dams, roads, bridges, communications, retaining walls
Agriculture	Irrigation projects, cooperatives, machinery, seeds, veterinary clinics, animal husbandry farms
Education	Construction/renovation of school facilities, teacher training programs, equipment
Health	Construction/ renovation of medical facilities, drinking water, sanitation facilities
Social	Shelter, pensions, vocational training, emergency food, retaining walls
Governance	Priorities include salary, staff, training, facilities, equipping
Security	Priorities include salary, staff, training, facilities, equipping



## Localizing Development Priorities via PDP “Shocks”

Existing Provincial Development Plans (PDPs) and District Development Plans (DDPs) provide detail on needs and strategies to support transition planning.

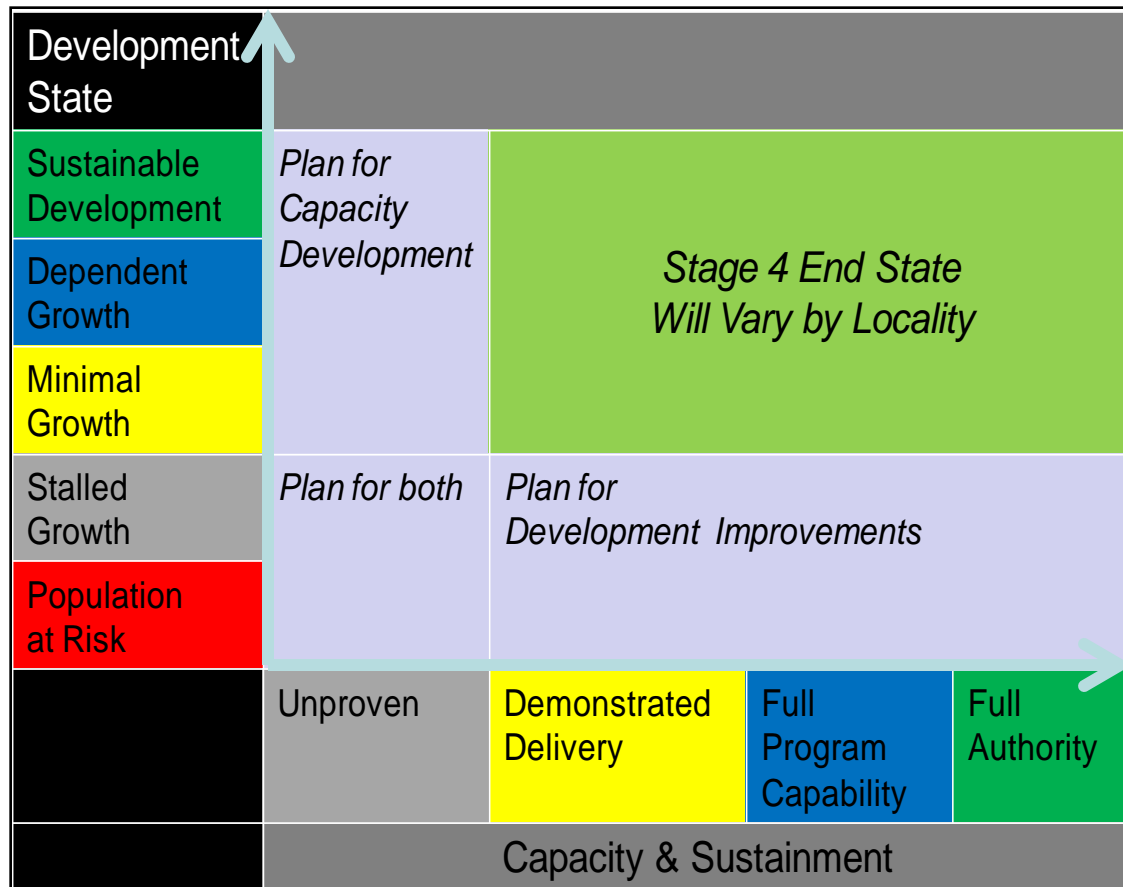
Sample snapshot of PDP data shows greatest causes of “shock” to provincial residents. Here, greatest emphasis would be on mitigating Agricultural impacts and Natural Disasters.





# Framework for Planning and Monitoring Transition

- Phase 2 Inteqal (Transition) progresses through 4 Stages.
- As shown here, Progress should be monitored for :
  - Development state (y-axis)
  - Capacity and sustainment (x-axis)
- PDPs and DDPs provide details to support planning and monitoring





# Example: Developing Metrics for JANIB Indicators

<b>JANIB Indicator Topic</b>	D2. Access to market, basic public services and utilities
Metric Examples	<ul style="list-style-type: none"><li>•Number of operating markets</li><li>•Percent of district connected to markets by roads, all-weather and other</li><li>•Percent and degree of access to electricity, public or private</li><li>•KW added to power sources, and number of sources</li><li>•Degree of access to safe drinking water</li><li>•Percentage of population with acceptable public sanitation</li><li>•Number health centers</li><li>•Percent direct access to health care (in community)</li><li>•Time to reach medical support</li><li>•Number of trained medical practitioners for women</li></ul>
Potential Data Sources	Local surveys, GIRoA national statistics UN, NGO, and IC statistics





# Syndicate Observations

- **Identifying metrics for indicators is “easy” compared to resourcing “good enough” data**
- **Use HN (Afghan) objectives and sources when available**
- **Consider differences in local socio-economic potential in planning (And have a strategy?)**
  - Use adaptable approach to thresholds & objectives
- **Address long development timelines vs. short transition timelines**
  - Sustainability is key (A Function of Capacity & IC commitment)



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# DataCards Overview

- **Initial Objective:** make sources of data on Afghanistan easily discoverable at reduced costs
- **Description & Capability**
  - DataCards is a structured wiki that contains information (metadata) on data sources
    - Name, POC, contact information, revision date
    - Intended use, customer, and classification (with DB link if available and unclassified)
    - Key word data categories and brief description of data
  - DataCards is a “living document” that is continually updated with a community of interest (COI)
  - Expanded beyond Afghanistan sources to socio-cultural data
  - In process of implementing a quality rating system
  - As of August 2012
    - Cards: ~ 1700
    - Contributors: over 100 different sources
    - visitors to site: ~350/month; on email distribution: almost 2000 addresses

**Available** at <https://datacards.osd.mil> and distributed via e-mail on excel spreadsheet. For email distribution contact Dr. Brian Efird at [brian@DataCards.org](mailto:brian@DataCards.org) or [brian.efird@ndu.edu](mailto:brian.efird@ndu.edu)

**Bottom line: easy to enter data on “cards” (~5 minutes) and easy to search using keywords**



# **BEST PRACTICES GUIDE FOR CONDUCTING OPERATIONS ASSESSMENTS FOR COUNTERINSURGENCIES**

## **(Dr.David LaRivee, U.S. Air Force Academy)**

### **Part One: Assessment Tenets**

- The Objective of Assessments
- Take a Multidimensional Perspective
- Serve as Bodyguards of Truth
- The Need for Independence and Access
- Intelligence versus Assessment

### **Part Two: Assessment Methods**

- Establish a Terms of Reference
- Build an Iterative, Incremental, and Interactive Assessment Framework
- Indicators v. Metrics
- Classes of Indicators
- Beware of Manipulated Metrics
- Selecting the Set of Metrics
- Retaining Balance in Metrics and Methods
- Field Assessment Approach
- Eclectic Marginal Analysis
- Anchoring Subjectivity
- Data Sharing
- Using Host Nation Data
- Developing Thresholds for Metrics
- Avoid Substituting Anecdotes for Analysis
- Using Survey Data Effectively



## Recommendations (with an example)

- **14 suggestions for conducting assessments**
  - Develop sustainable data collection process & monitoring Capability
- **4 recommendations for conducting workshops**
  - Establish “integrating” group
- **4 recommendations for Afghanistan operations**
  - Develop a data transfer plan and provide training to GIRoA personnel in preparation for the transition
- **5 recommendations for NATO**
  - Sustain DataCard capability



# SAS-091 Report – Table of Contents

## Chapters

- **EXECUTIVE SUMMARY**
- **CHAPTER 1: INTRODUCTION: OBJECTIVES, BACKGROUND, AND APPROACH**
- **CHAPTER 2: OPERATIONS ASSESSMENT GUIDANCE AND ASSESSMENT ACTIVITIES IN ISAF**
- **CHAPTER 3: CASE STUDY: ASSESSMENTS TO SUPPORT TRANSITION IN AFGHANISTAN**
  - SECURITY
  - GOVERNANCE
  - RULE OF LAW
  - SOCIO-ECONOMIC DEVELOPMENT
- **CHAPTER 4: AN OVERVIEW OF THE BEST PRACTICES GUIDE FOR CONDUCTING OPERATION ASSESSMENTS FOR COUNTERINSURGENCIES**
- **CHAPTER 5: DATA COLLECTION AND DATA SOURCES IN AFGHANISTAN**
- **CHAPTER 6: DATA SHARING, REQUIREMENTS, AND CHALLENGES**
- **CHAPTER 7: CONCLUDING COMMENTS**
- **CHAPTER 8: REFERENCES**



# SAS-091 Report – Table of Contents

## Annexes

- ANNEX A: TECHNICAL ADVISORY PROPOSAL (TAP)
- ANNEX B: SAS-091 CHRONOLOGY WITH KEY CORRESPONDENCE AND BRIEFINGS
  - APPENDIX 1: SUGGESTED TRANSITION METRICS
  - APPENDIX 2: JFCBS GUIDANCE TO SAS-091
  - APPENDIX 3: RTO MEMO TO DR. GHANI
  - APPENDIX 4: SAS-091 WORKSHOP 2 BACK-BRIEF
  - APPENDIX 5: SAS-091 BRIEF TO GENERAL PATRAEUS AND DR. GHANI
- ANNEX C: RELATIONSHIP OF SAS-091 TO OTHER NATO & RTO ACTIVITIES
- ANNEX D: EXCERPT FROM THE FRAMEWORK FOR INTEQUAL
- ANNEX E: GLOSSARY
- ANNEX F: PARTICIPANTS IN NATO SAS-091
- ANNEX G: DESCRIPTION OF SAS-091 WORKSHOP 1
- ANNEX H: DESCRIPTION OF SAS-091 WORKSHOP 2
- ANNEX I: BEST PRACTICES GUIDE FOR CONDUCTING OPERATION ASSESSMENTS FOR COUNTERINSURGENCIES
- ANNEX J: DATACARDS
- ANNEX K: SUGGESTED INTEQUAL PHASE 1 METRICS AND DATA SOURCES REPORT
- ANNEX L: SUGGESTED INTEQUAL PHASE 2 METRICS AND DATA SOURCES



# Key features of SAS-091

- **Quick response to operational need (TAP to first major event less than 2 months)**
- **Size:**
  - Over 225 people from 19 countries were involved in SAS-091 activities
  - Over 50 organizations including 8 in the Afghanistan government
- **Successfully brought together operators, analysts, scientists, and knowledge managers--networking and products**
- **Provided reach-back capability to operators**
  - Large amount of work performed outside workshops
  - Workshop products provided quickly to operators
- **Provided over 200 metrics with suggested data sources to ISAF and JFCBS**
- **DataCard initiative continues to grow**
- **Produced 280 page report that documents results and is available for use as case study for training new assessment personnel**
  - To obtain a copy of the report email Rina Tahar in the NATO RTO office (taharr@rta.nato.int)





# November MORS Workshop on Assessments

- **Location: MacDill Air Force Base, FL**
- **Dates: 5-8 November 2012**
- **Objectives**
  - Understand and assess the current status of assessment techniques
  - Identify key insights and incorporate them in an unclassified document for use by allied assessment communities
  - Publish a general article in a non-OR publication describing the possible interactions between assessment and planning
- **Participants: members of NATO/ISAF/PfP countries**
- **Clearance: SECRET**
- **Support from 3+1 Afghan Assessment Community (ISAF, JFCBS and SHAPE plus CENTCOM)**
- **Visit [www.mors.org](http://www.mors.org) for additional information**



# Back-Up Slides



# SAS-091 Report - Objectives

- **Objective 1: Produce a case study that captures SAS-091 activities to support transition decisions in security, governance, rule of law (RoL) and socio-economic development areas in Afghanistan**
  - Instructional tool that helps bridge gap between theory and application in an actual operation
  - Supplement to the *NATO Operations Assessment Handbook*
- **Objective 2: Introduce new initiatives such as DataCards (to facilitate data sharing) and a best practices guide (for addressing obstacles to conducting sound assessments)**
- **Objective 3: Archive the Afghanistan specific products produced by SAS-091 (suggested metrics and potential data sources)**

**Anyone performing assessments of counterinsurgency or stability operations will find many useful observations and concepts in this document that complement official NATO guidance.**



# DataCards Overview (2 of 2)

## MRRD Project and Subproject Database

[Rename this DataCard](#)

[Edit DataCard Information](#)

MRRD Project and Subproject Database	
Security / Releasability	
The authorised editor of the information in this DataCard has certified it to be unclassified.	
The authorised editor of the information in this DataCard has certified it to be unclassified and releasable to: Public	
DataCard Author	
Author	Brian Efrid Email: <a href="mailto:brian.efrid@ndu.edu">brian.efrid@ndu.edu</a> Phone: +1-202-6852397
Creation date:	2010/12/9
Name of last contributor	Brian Efrid Email: <a href="mailto:brian.efrid@ndu.edu">brian.efrid@ndu.edu</a> Phone: +1-202-6852397
Revision date	2011/5/12
Data Description	
Attached file:	MRRD Projects Database.zip
Intended use of data source	Data are collected to track all development projects under the auspices of the Ministry for Rehabilitation and Rural Development.
Intended customer of data source	
Highest classification of data	Unclassified
Data categories	Public Services Government Financial Statistics Infrastructure Reconstruction Private Industry
Data source language	
Description of data	The Ministry for Rehabilitation and Rural Development (MRRD) database provides an enormous repository for completed and ongoing development projects funded through GfR&A and



# High Level Chronology (2010-11)

- **April 28: ISAF request on need to improve data collection and sharing**
- **July: TAP approved and scope expanded to metrics for transition**
- **Aug 30 – Sep 3: Workshop 1 in Brunssum (175 attended)**
- **Sep 16: WS 1 results and suggested metrics briefed to MG Bagby (JFCBS) & BG Goodman (ISAF)**
- **Oct 6: Memo from VAM Harper to COMISAF and NATO SCR requesting support for WS 2**
- **Nov 18: Memo from MG Bagby with WS 2 guidance**
- **Nov 18: Memo from RTO to Dr. Ghani requesting Afghan support for WS 2**
- **Dec 6-10: Workshop 2 in The Hague (115 attended, 14 Afghans)**
- **Dec 17: WS 2 results, metrics, and data sources briefed to JFCBS and ISAF**
- **Jan 9: Findings and plans briefed to GEN Petraeus and Dr. Ghani in Kabul**
- **Feb 14: Suggested metrics report delivered to JFCBS and ISAF**
- **July 25-29: Writers' Conference in Washington DC (20 attended)**
- **Aug 31: Report delivered to Foreign Disclosure Review Office**
- **Sept 7: Brief Afghanistan Assessment Conference in Brunssum**
- **Sept 20: U.S. Approves release of report to NATO RTO for distribution**



# Participating Countries

- Afghanistan
- Australia
- Belgium
- Canada
- Czech Republic
- Denmark
- Finland
- France
- Germany
- Great Britain
- Lithuania
- Norway
- Poland
- Romania
- Slovenia
- Sweden
- The Netherlands
- Turkey
- United States



# Guide Topic: Classes of Indicators

- **Measure Input:** funds provided to a district for schools
- **Measure Output:** Schools built or students attending school
- **Bipolar**
  - Movement may be either good or bad
  - Example: price of tomatoes going down
    - Good if in non-tomato growing area (implies better access)
    - Bad if in tomato growing area (implies growers cannot get product to other markets)
- **Spoiler**
  - Existence implies locale is not ready to transition
  - Example: absence of GIRoA approved dispute resolution system in a district