

Annex 1

Terms of Reference

Evaluation of Impact, Sustainability, and Relevance in Integrated Area Programmes in Bosnia and Herzegovina

1 Background

Since the war in former Yugoslavia came to an end with the signing of the Dayton Peace Agreement (DPA) in the latter part of 1995, Bosnia and Herzegovina (BiH) has been one of the major beneficiaries of Swedish development co-operation. In total, Sweden had invested some SEK 1.5 billion in the country by the end of 2003. Approximately SEK 0.9 billion has been disbursed to so-called Integrated Area Programmes (IAPs) that, in accordance with the strategies of the DPA, have worked to establish sustainable returns for displaced refugees. To achieve this, Sida, in co-operation with four implementing partners, has offered returnees construction materials for reconstruction of more than 11,000 private dwellings. In some cases, Sida has also supported reconstruction of the local infrastructure, such as roads, local electrical systems, and schools. These efforts have been supplemented by support within agriculture including grants and microcredits aimed at reviving local economies.

The programmes have addressed an urgent refugee situation by providing shelter and some means to survive economically. However, the IAPs have also been part of the international community's political strategy to ensure that the ethnic cleansing project fails. In this regard, one of the purposes of the programmes has been to enable people, who are often minorities in the area they fled from, to move back to their former homes to re-establish the multi-ethnic flavour of BiH. The physical reconstruction of houses and schools and the cultivation of land thus have as much a political and symbolic significance as they do an economic one. The upshot of this is that the reconstruction of minority communities both economically and symbolically changes the social choreography in communities. It has been argued that an overall objective of these changes is to promote a process of reconciliation.¹⁶⁸

¹⁶⁸ For a more comprehensive overview of the situation in BiH and the purpose and content of the IAPs, see annex 1a of annex 1: the Terms of Reference.

According to the new Swedish country strategy for BiH (2003–2005), the IAPs have been vital in attaining permanent return, supporting the local economy, and establishing reconciliation.¹⁶⁹ The programmes have also, it is argued, worked better in these regards than the turnkey housing programmes of other donors that were implemented without complementary agricultural support. These conclusions are based on data supplied by Sida's implementing partners on (1) the number of homes that have been built and (2) who stays permanently (somewhat unreliable monitoring data).

Given both the size of the IAPs and the fact that Sida and its implementing partners have considered the programmes to be rather successful in establishing sustainable return, the Department for Evaluation and Internal Audit (UTV) has decided to evaluate the social and economic impact, the sustainability, and the relevance of the programmes. The evaluation shall serve to promote learning by enhancing an exchange of knowledge and experience between the primary stakeholders of the programmes (Sida staff, implementing partners, and beneficiaries) during the evaluation process. The evaluation is thus instrumental in the process of developing the programme. Furthermore, the evaluation will be conducted for the purpose of generating general knowledge about development co-operation in post-conflict situations.

2 The purpose and use of the evaluation

2.1 The purpose and scope of the evaluation

Because the IAPs have a rather long history, are unique for Swedish assistance in BiH, and are aimed at creating sustainable return, it is of interest to evaluate their *impact*¹⁷⁰. The aim of an impact evaluation is to assess both the intended and the unintended long-term effects of an intervention. Such a study on IAPs is of particular interest since the return processes are driven and implemented by the international community. This fact raises the question of whether return driven by foreign assistance does in fact promote ethnic reconciliation or whether external resources that primarily target minorities create competition and tension among the different ethnic groups.

¹⁶⁹ According to the Swedish country strategy for BiH "The importance of integrated area programmes (IAP) in Bosnia and Herzegovina has been immense since the war ended. Not only have they helped mitigate the physical damage left behind by making resources available for the reconstruction of housing and infrastructure, these highly specific programmes have also contributed substantially to reconciliation at local level." Country strategy for development cooperation. Bosnia and Herzegovina January 2003–December 2005, pg. 16.

¹⁷⁰ I.e. "Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended." (DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, pg. 24.)

The fact that the international community drives the return processes also raises the question of *sustainability*¹⁷¹, that is, the probability of continued long-term benefits of the programmes. Important aspects of this issue are who actually moves back and what possibilities these people have to develop socially and economically in the area that they return to. A rural life based on small-scale agriculture is clearly not a sustainable option for the future, especially for a younger generation. Although it is difficult to assess where people may get jobs in the future, one might thus question the very idea of encouraging economic development by repatriation to rural areas. Thus it is important to probe the question of whether the international community has been spending money on rebuilding an infrastructure of the past rather than of the future. In this light, it is important to raise the questions of whether the IAPs have contributed to sustainable development—and if so how—and of whether alternative strategies have been properly assessed.

Based on these issues the evaluation shall also explore the question of whether the assistance provided by Sida is considered *relevant*¹⁷² by the *beneficiaries*. This means that the evaluation shall consider the extent to which the objectives of the programmes are consistent with the requirements of the beneficiaries. In effect, such a question implies questions of whether Sida and its implementers have been sensitive to cultural differences in perceptions of the situation in BiH.

To summarise, the purpose of this evaluation is to study the *impact*, the *sustainability*, and the *relevance* of the IAPs. The evaluators shall analyse in depth the perceptions of different stakeholders of how returnees are received and integrated socially in the community and to what extent they are able to survive and develop economically. The main focus should be on the perceptions of the returnees, but representatives of the majority population, representatives from the implementing agencies, and politicians should also be heard. That all parties contribute towards this evaluation with their personal experience is particularly crucial in light of the level of tension and distrust that exists, both between ethnic groups in BiH and between Bosnians and the international community.

2.2 The use of the evaluation

The analysis of the evaluation will contribute to a process of reflection and learning from the experiences in BiH. A well-implemented evaluation process is conducive to learning in several ways. Most important, perhaps, is that the evaluation process itself creates an opportunity for the primary users of

¹⁷¹ I.e. "The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time." (DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, pg. 36.)

¹⁷² I.e. "The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies." (DAC, *Glossary of Key Terms in Evaluation and Results Based Management*, pg. 24.)

the evaluation (Sida's employees and implementing partners) to reflect over their experiences and to learn from hearing more about the experiences of the beneficiaries. This learning, then, takes place because of involvement in the evaluation process, and the evaluation—by promoting interaction and enhancing an exchange of knowledge and experience—becomes part of the process to develop the programme.

Given the use of the evaluation, it is important that its primary users are involved in shaping the evaluation process. The evaluators and the evaluation manager at UTV together are thus responsible for outlining participatory strategies during the evaluation. Such strategies may involve, for example, interviews, group interviews, workshops, seminars, and meetings. The evaluation manager will also create a reference group to comment on draft reports.

An analysis of experiences in BiH, moreover, contributes to more comprehensive knowledge of development assistance work in post-conflict situations. Thus another use of the evaluation is to influence thinking about these issues in a more general way. To achieve this purpose, the final evaluation report shall contain a section relating general lessons that can be learned, for example:

- What social impact extensive international interventions may have on the relations between people in BiH.
- How people subjected to the IAP interventions perceive the relevance of processes of reconciliation, reconstruction, and institutional development driven by the international community.
- To what extent international interventions of this kind are culturally sensitive, and how cultural sensitivity affects the impact, relevance, and sustainability of interventions.
- How sustainability may be affected when it is not possible to develop a partnership with the local public administration.
- What measures may be taken to promote social and economic sustainability in situations similar to the one in BiH.

The recipients of these lessons will primarily be Sida staff based in Stockholm and in the countries involved. In principle, the lessons are also of interest for the entire development assistance community, as well as for researchers within the field.

3 The assignment

The evaluation will consist of four parts:

1. A workshop in Sarajevo with the implementing partners and Sida staff that focuses on the question of sustainability of the IAPs.
2. A survey gathering some basic demographics such as number of persons per home and age of the returnees from a statistical sample of returnees. The survey shall also contain questions aimed at mapping out the attitudes of returnees concerning the impact, sustainability, and relevance of the IAPs.
3. An article based on the findings in a forthcoming doctoral thesis on refugee return in BiH by the Norwegian researcher Hans Skotte.
4. An in-depth qualitative case study focusing on how returnees in a village where Sida has financed an IAP perceive the impact, relevance, and sustainability of the IAPs. The case study shall also capture the attitudes of the majority population in the surroundings of the village, and of the local politicians.

The workshop will be the starting point of the evaluation. It will be documented as an UTV working paper and serve as background material for the other parts of the evaluation. The survey and Hans Skotte's article shall be written as stand-alone documents that may be included in the final report. If they are not included in the final report, they will be published either as working papers or Sida evaluations. The case study will be included in the final report. A background chapter in the final report, which will be published as a Sida Evaluation, shall introduce the programme theory and the inputs and outputs of the IAPs. The final report will also include general conclusions, lessons learned, and recommendations based on findings from all parts of the evaluation.

3.1 The workshop

The purpose of the workshop is to bring some important stakeholders (Sida's employees and implementing partners) of the IAPs together for a discussion about:

- What they consider to be the most pressing problems regarding sustainability of the IAPs.
- What strategies they think should be taken to promote sustainability in the IAPs.

The most important function of the workshop, perhaps, is the creation of an opportunity for the stakeholders to enhance and exchange knowledge and experience. The evaluation then becomes part of the process of development of the programmes. However, we also expect that a written synthesis of

the workshop can help the stakeholders further their analysis of the situation. Furthermore, the documentation from the workshop serves as an input to the case study that will be carried out by the Centre for Multiethnic Research (CMR) at Uppsala University. The Swedish Defence Research Agency (FOI) is responsible for facilitation and documentation of the workshop. Sida will assist in all practical arrangements in Sarajevo.

3.2 The survey

The purpose of the survey is to gather current and statistically solid data from a statistical sample of returnees in the IAPs. The survey aims to collect some basic demographics of the returnees as well as map out their attitudes regarding impact, sustainability, and relevance of the IAPs. The demographic variables shall include the return rate of the returnees, the number of persons per home, the age of the returnees, and the number of returnees who have received agricultural support, microcredits, or both. Furthermore, the survey will contain qualitative questions on how the returnees perceive the assistance they were given. Do they, for example, feel that it was the kind of assistance that served their needs best? How do they perceive their lives as far as security and economic possibilities go? Do they see a future for themselves in the area they have returned to?

The evaluation officer—in dialogue with a methodology expert at CMR—will construct a draft of the survey that shall be refined in discussions with key stakeholders. Sampling, field work, and statistical revision will most likely be carried out by Puls, a consultant company specialised in survey studies based in Zagreb, while CMR will be responsible for analysing the data and writing a survey report.

3.3 Hans Skotte's article

Hans Skotte, who among other things has argued that donors in BiH have prioritised their own political agendas with little consideration for community sustainability or post-war realities, will more or less be given a free hand to develop an article on the impact, sustainability, and relevance of the repatriation programmes in BiH more generally. The purpose of including such an article in the evaluation is to put the IAPs into a more comprehensive context. The article will hopefully also offer some alternative interpretations of the situation in BiH, and thus stimulate new ideas.

3.4 The case study

The major contribution to the evaluation is a case study in a strategically chosen village in BiH. The place for the case study has been chosen by the evaluation officer after discussions with Sida staff at the Department for Europe, the Embassy of Sweden in Sarajevo, and staff at a number of the non-

governmental organisations (NGOs) responsible for implementing the IAPs. The name of the village will not be revealed due to ethical considerations.

The case study should be of a descriptive and illustrative character. This implies that it will contribute to a deep analysis of certain specific problems that become relevant in the mapping out of:

1. The character of Sida's development assistance contributions in the village.
2. The perceptions of the returnees, implementing agencies, local politicians, and the majority population living in the surroundings of the village of the impact, sustainability, and relevance of the IAP.

The evaluation should map out what contributions Sida and its implementing partners have made, why these contributions have been chosen, and how large the contributions have been. The evaluation should also account for any changes in the character or purpose of the development assistance. This mapping out consequently serves as a premise for the analysis of the actors' respective perceptions of the impact of Sida's contributions.

Regarding different actors' perceptions of the development assistance contributions, we consider that empirical data needs to be collected inductively and with distinct qualitative techniques. The point of the case study is to document and inspire the thoughts of the respondents, not to record predetermined answers to completed questionnaires or measure specific effects.

Although the methodology should be inductive and qualitative, the evaluation must be limited to relevant issues, given that the purpose of the evaluation is to analyse different actors' perceptions of the impact, sustainability, and relevance of Sida's contributions. These questions involve the DPA's central concerns of economic and democratic development as well as ethnic reconciliation—fields that are priority objectives of the IAPs as well as of other Sida projects in BiH. These fields can be summarised under the headings 'the social situation' and 'the economic situation'. Therefore, we presuppose that the interviews are limited to these two fields. In the following section, we have formulated some of the questions that can be of interest in the *analysis* of the empirical material.

3.4.1 The social situation

As already mentioned, the social situation in BiH is complex and characterised by ethnic conflicts. In this evaluation, we would like to know how the returnees perceive their return. We are also interested in knowing to what extent the returnees *wanted* to return and to what extent they felt *forced* to return. Furthermore, it would be of interest to know if their attitudes concerning their return have changed over time. We would also like to get a picture of how the Serb majority in the area feels about the return of the minority and the fact that the returnees have received international support. What are

their feelings towards the returnees? What are their feelings towards international assistance? What are their views on the future?

Considering the impact of the programme, we would furthermore need to know if people from different ethnic backgrounds in the area feel that their everyday lives are affected by, or even characterised by, conflict and if so, in what way? Are there differences in different groups regarding this issue? How do young people perceive the social situation, and what are their views on the future? How do people representing the implementing NGOs describe the social situation? Furthermore, we would like to know if the informants have experienced any improvements in their social situation and if they feel that there actually is an on-going reconciliation process? If so, in what way has the situation improved and how has the reconciliation process been brought about? Do they think that donors have a role to play in these processes?

We are especially interested in evaluating whether the return programmes have had any influence (positive or negative) on the reconciliation process and if so, how? Have any concrete activities or efforts been made to resolve conflicts? If so, how do people from different ethnic groups regard these activities? Do the local people themselves have any suggestions on how a reconciliation process could be carried out? (Do they, for example, think that legal investigations and punishments are needed?)

The informants may bring up other important aspects of the social situation, such as a deficiency of certain democratic or human rights or gender issues, and the evaluator must be sensitive to this. We want to allow the informants to bring up such issues spontaneously rather than plant certain issues in their minds in the interviews.

3.4.2 The economic situation

The second field for the interviews is to get a sense of the informants' perception of the present and the future economic situation. What are the hopes, incentives, economic constraints, and opportunities in these aspects, and what do people emphasise? In this respect, we would like to know more about the perceptions of the returnees and the majority population of the possibilities to develop economically by grants and microcredits for agricultural ventures and small-scale businesses. The analysis may also shed light on how they regard:

- The selection of beneficiaries and the supply of microcredits.
- Access to credit and opportunities to borrow. (I.e. are there acceptable conditions for borrowing and is there a functioning infrastructure? Are there any discriminating factors that bar people from receiving credit?)
- Their ability to borrow. (I.e. can people fill out applications and influence terms of lending so that they are realistic?)

- Possibilities for selling and buying. (I.e. do people have access to informal and formal markets of jobs, goods, and services? Are they excluded from markets by, e.g. rules, lack of advice or information, or discrimination?)
- Their ability to sell and buy. (I.e. do people have the time and resources to conduct business? Do they have any bargaining power?)

4 Implementation and work plan

Below is the tentative time schedule:

Sep 2003	Discussions between UTV and FOI. Signing of contract.
Oct 2003	Workshop in Sarajevo.
Dec 2003	Draft workshop report and discussion of the report between FOI and UTV. Revision of the report.
Jan 2004	Final workshop report.
Mar 2004	Inception report for the case study and discussions between UTV and CMR. Signing of contract. CMR inception report.
Mar–Apr 2004	Construction of survey in co-operation between Sida and CMR. Discussions between UTV, CMR, and Puls, the consultant carrying out the survey field work, including a meeting in Zagreb. Signing of contract. Reference group meeting.
Apr–May 2004	Discussions between Hans Skotte and UTV. Signing of contract.
May–Jun 2004	Case study field work, phase I. Survey fieldwork.
Aug 2004	Delivery of the draft case study report and the draft survey report. Discussions between UTV and CMR. Reference group meeting.
Sep 2004	Presentation of the draft case study report at the Embassy of Sweden in Sarajevo.
Sep–Nov 2004	Case study field work, phase II.
Nov 2004	Draft of Hans Skotte’s article. Reference group meeting. Revision of the article.
Dec 2004	Final version of Hans Skotte’s article.
Mar–Apr 2005	Draft of the final report including a synthesis of the entire evaluation and discussions between UTV and CMR. Reference group meeting. Revision of the report.

May 2005	Delivery of the final report.
Jun 2005	Dissemination of findings through seminars in Stockholm and BiH.

Throughout the study, the evaluation team should keep in touch with the UTV evaluation manager and the evaluation reference group. UTV will assist the evaluation team by providing documents in Sida files and archives. Where required, the UTV evaluation manager will facilitate contacts between the evaluation team and stakeholders. The evaluation manager will also arrange seminars and meetings with different stakeholders during the evaluation and at the dissemination phase.

4.1 Reporting

4.1.1 FOI's reporting

FOI is to submit the following reports to Sida:

- A *draft report* in English summarising and analysing the results from the workshop. The draft reports shall be submitted to the evaluation manager for comment no later than 1 December 2003.
- A *final report* in English. Format and outline of the report shall be agreed upon between the evaluation team and the evaluation manager. The report shall not exceed 30 pages, excluding appendices. Subject to final decision by Sida, the report will be published and distributed as a UTV working paper. The final report shall be written in Word 6.0 for Windows (or in a compatible format) and should be presented in a way that enables publication without further editing.

4.1.2 Hans Skotte's reporting

Hans Skotte is to submit the following reports to Sida:

- A *draft article* in English. The draft shall be submitted to the evaluation manager and the reference group for comment no later than 1 November 2004.
- A *final article* in English. Format and outline of the article shall be agreed upon between Hans Skotte and the evaluation manager. The article shall not exceed 25 pages, excluding appendices. Subject to final decision by Sida, the report will be published and distributed as a UTV working paper, a Sida evaluation, or included in the final report. The final article shall be written in Word 6.0 for Windows (or in a compatible format) and should be presented in a way that enables publication without further editing. The final article shall reach Sida no later than 15 December 2004.

4.1.3 CMR's reporting

CMR is to submit the following reports to Sida:

- An *inception report* commenting and interpreting the Terms of Reference and providing details of the evaluation approach and methods for data collection and analyses. The inception report shall include a work plan specifying how and when the work is to be performed. The inception report should be submitted to the evaluation manager no later than 15 April 2004.
- A *draft case study report* in Swedish summarising the main findings and conclusions of the first phase of case study fieldwork. The draft report shall be submitted to the evaluation manager and the reference group for comment no later than 15 August 2004. The report shall furthermore be presented in English at a seminar in Sarajevo in September.
- A *draft survey report* in English summarising the main findings and conclusions of the survey in figures, tables, and comments. The draft shall be submitted to the evaluation manager and the reference group for comment no later than 15 August 2004. The report shall furthermore be presented at a seminar in Sarajevo in September.
- A *final survey report* in English summarising the main findings and conclusions of the survey in figures, tables, and comments. The report shall not exceed 20 pages, excluding appendices. Subject to final decision by Sida, the report will be published and distributed as a UTV working paper, a Sida Evaluation, or included in the final report. The final survey report shall be written in Word 6.0 for Windows (or in a compatible format) and should be presented in a way that enables publication without further editing. The final survey report shall reach Sida no later than 1 October 2004.
- A *draft final report* in English including a case study report summarising the main findings and conclusions of the first and second phases of the case study fieldwork. The draft final report shall also summarise the findings and lessons learned from all parts of the evaluation, as specified in sections 2 and 3 in the Terms of Reference, and include an executive summary and recommendations to Sida's management. The draft final report shall be submitted to the evaluation manager and the reference group for comment no later than 1 May 2005.
- A *final report* in English. Format and outline of the report shall be agreed upon between the evaluation team and the evaluation manager. The report shall contain the case study report, lessons learned, recommendations, an executive summary, and possibly, the survey report and Hans Skotte's article. It shall not exceed 100 pages, excluding appendices. Subject to final decision by Sida, the report will be published and distributed as a Sida Evaluation. The final report shall be written in Word 6.0 for

Windows (or in a compatible format) and should be presented in a way that enables publication without further editing. It shall reach Sida no later than 15 June 2005.

The CMR evaluation assignment also includes the production of a Newsletter summary according to the guidelines in the Sida Evaluation Newsletter and the completion of a Sida Evaluations Data Work Sheet. The separate summary and a completed Data Work Sheet shall be submitted to Sida with the final report.

Consultation and dissemination of emerging findings will—in accordance with the work plan outlined in this section of the Terms of Reference—be important throughout the study, and CMR is to include a budget for this in their tender. However, a separate budget and contract between CMR and Sida will cover dissemination activities following the publication of the evaluation report. A decision on dissemination activities will be taken at a later stage in the evaluation process.