



# Performance Evaluation of the USAID/BiH Strengthening Governing Institutions and Processes Activity in Bosnia and Herzegovina

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# **PERFORMANCE EVALUATION OF THE USAID/BIH STRENGTHENING GOVERNING INSTITUTIONS AND PROCESSES ACTIVITY IN BOSNIA AND HERZEGOVINA**

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# ACRONYMS

ACM	Association of Cities and Municipalities	NDP	Narodni Demokratiski Pokret (People's Democratic Party)
BiH	Bosnia and Herzegovina (State)	OECD	Organization for Economic Cooperation and Development
CCI	Centri Civilnih Inicijativa	OSCE	Organizations for Security and Cooperation in Europe
CSO	Civil Society Organization	PARCO	Public Administration Reform Coordinator's Office
DF	Demokratska fronta (Democratic Front)	PDP	Partija demokratskog progresa (Party for Democratic Progress)
DfID	Department for International Development	RS	Republika Srpska
EU	European Union	SAI	Supreme Audit Institution
FBiH	Federation of Bosnia and Herzegovina (Federation)	SBB	Savez za bolju buducnost (Union for a Better Future of BiH)
FIA	Fiscal Impact Analysis	SDA	Stranka demokratska akcije (Party of Democratic Action)
GIZ	Gesellschaft für Internationalen Zusammenarbeit	SDP	Socijaldemokratska partija Bosne i Hercegovine (Social Democratic Party)
GOLD	Growth-Oriented Local Development	SDS	Srpska demokratska stranka (Serbian Democratic Party)
GRBT	Gender-Responsive Budget Toolkit	SGIP	Strengthening Governing Institutions and Processes
HoP	House of Peoples	SIDA	Swedish International Development Agency
HoR	House of Representatives	SIGMA	Support for Improvement in Governance and Management
ILDLP	Integrated Local Development Programme	SNSD	Savez nezavisnih socijaldemokrata (Alliance of Independent Social Democrats)
IRI	International Republican Institute	SPDM	Strategic Planning and Development Methodology
IT	Information Technology	SUNY	Research Foundation of the State University of New York
JARC	Joint Audit Review Committee	UNDP	United Nations Development Programme
KI	Key Informant	UNICEF	United Nations Children's Fund
LoDPM	Law on Development Planning and Management	USAID	United States Agency for International Development
M&E	Monitoring and Evaluation	USG	United States Government
MoLSP	Ministry of Labor and Social Policy	WG	Working Group
MP	Member of Parliament		

# EXECUTIVE SUMMARY

The purposes of this performance evaluation are to: (1) assess the Strengthening Governing Institutions and Processes (SGIP) activity's progress toward stated objectives; (2) identify obstacles to activity implementation; and (3) provide recommendations for activity design adjustments for the remainder of the activity, including whether to extend the period of performance. SGIP, implemented by the Research Foundation of the State University of New York (SUNY), began in May 2013 and is scheduled to end in January 2017. It engages State, Federation, and cantonal institutions in Bosnia and Herzegovina (BiH), with a total estimated cost of \$5,899,695.

The Mission will use evaluation findings, conclusions, and recommendations to reassess its role in strengthening the capacity of BiH's governing institutions in policy development and legislative drafting. Other United States Government (USG) stakeholders will use this report to better understand U.S. Agency for International Development (USAID) institution-strengthening activities in BiH, and to learn about SGIP's strengths and areas for improvement.

The evaluation questions are:

1. To what extent has SGIP's work with local partners, including host-country government counterparts, strengthened their capacities in policy development, law-making, and communication and outreach with the public?
2. What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?
3. How well have gender issues been addressed by SGIP?
4. What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?
5. To what extent has SGIP ensured synergy and cooperation with other USAID projects and international donors in providing support to targeted partners?

## Background

The SGIP activity is set within and interacts with BiH's institutional structure. The multiple and asymmetric levels of government complicate policymaking processes and create many potential power centers for political competition. Fiscal and policy implementation authority are dispersed among the levels in unclear and sometimes overlapping ways, which creates space for policy conflict and reduces both the quality and enforcement of political decisions.

SGIP's three objectives are: a) improving the quality of legislation, b) enhancing parliamentary and citizens' scrutiny of budget processes, and c) strengthening systems of public accountability.

SGIP has four components:

Component I, Improving policy development in lawmaking processes training on and facilitation of policy development processes;

Component 2, Improving budget preparation, review, adoption, and transparency through technical assistance to the State and Federation parliaments;

Component 3, Strengthening systems of public accountability and transparency through training on and facilitation of audit processes and generation of audit analyses; and

Component 4, Enhancing the role and capacity of women in governing institutions, processes, and systems through mainstreaming of gender issues in policy processes.

Interventions like SGIP are intended to be highly driven by the demand of direct beneficiaries. The interventions often involve small or one-off actions.

### Evaluation Design

A mixed-method data-collection approach is particularly well suited for the on-demand, opportunistic nature of SGIP and the elite nature of direct beneficiaries. The MEASURE-BiH team applied standard rapid-appraisal methods of materials review and semi-structured interviews of key informants to collect data for analysis. The Team selected key informants purposively, and endeavored to ensure coverage of all key informant types. Given the limited amount of time in the field for data collection, the Team conducted only one trip outside Sarajevo, to Zenica, to gather information on SGIP activities that involved the Zenica-Doboj Canton.

Parallel analysis was used on the evidence from the materials review and semi-structured interviews. In this analytical approach, each type of data for an activity is analyzed in parallel, and then across data types. The Team drew conclusions for each evaluation question, based on the findings. It then developed recommendations. The Team employed several strategies to minimize possible recall, response, and selection bias.

### Conclusions

For the first evaluation question – regarding the effect of SGIP activities on the quality of legislative-development processes – the Team concluded that SGIP strengthened the capacities of individuals at a number of local host government and civil society organization (CSO) partners, resulting in higher quality legislation and policy changes. The gains that have made are not sustainable, however, due to the lack of additional human and budgetary resources at host government counterparts necessary for full implementation of the process. Another conclusion was that the efforts to improve budget preparation, review, etc. have not had success due to factors beyond the control of SGIP. The regular occurrence of expedited consideration of proposed legislation, including budgets, marginalizes the Federation parliament and eliminates deliberation and revision.

The Team also concluded that fiscal impact analysis (FIA) trainings are valued because they produce important analyses for policymaking – and affected policy development – but, ultimately, are not sustainable due to resource constraints.

For the second evaluation question – regarding the effect of SGIP’s audits – the Team concluded that the audit report meta-analyses are highly valued by all respondents, and have raised public awareness of the importance of audits. These analyses would not be done by the Joint Audit Review Committee (JARC) in the Federation parliament, as the latter does not have the capacity to train JARC members of parliament (MP), conduct analyses, and organize public

hearings. Nor can they be done by the Supreme Audit Institution (SAI), which does not view these meta-analyses as its obligation.

For the third question – regarding how well SGIP enhanced the role and capacity of women in its activities – the Team concluded that SGIP has successfully contributed toward awareness of gender-sensitive language in policymaking processes, and has developed tools that could be used in the future. However, gender impact assessments have not been conducted, i.e., gender gaps in existing social problems and differential effects of policy alternatives, was part of the impact assessment process and policy research. The utility of the Gender-Responsive Budgeting Toolkit (GRBT) is latent in light of the absence of the practice of program-based budgeting by ministries.

For the fourth question – regarding factors contributing toward or inhibiting SGIP’s activities – the Team concluded that SGIP’s approach and expertise are strong and recognizable, and have contributed positively. However, its gains are highly vulnerable to low and asymmetric capacity levels in targeted political institutions. The Federation parliament is a particularly weak institution, unable to act as a meaningful check on the Federation executive through the budget or audit processes.

Finally, for the fifth question – regarding SGIP’s interaction with other donors and USAID activities – the Team concluded that SGIP has worked deliberately to coordinate/cooperate with a wide range of international donors and other USAID activities and projects. However, it may have missed a clear opportunity to engage with European Union (EU)-supported programs implemented through Public Administration Reform Coordinator’s Office (PARCO). Although SGIP and PARCO would communicate indirectly and directly about their programming activities, there was no coordination or collaboration. The Team also concluded that SGIP has opened new space for policy discussions between the Federation and municipalities. The cantonal level, however, is an important constitutional actor for budgeting and strategic planning below the Federation level that has largely been ignored by donors.

### Recommendations

SGIP has one year remaining on this cooperative agreement, and the work plan was still being developed at the time of this evaluation. Below, the Team presents recommendations for adjusting the SGIP program in its final year, and for follow-on programming by the Mission pending a strategic planning process.

### SGIP

- I. **Continue supporting legislative development processes** – SGIP’s direct beneficiaries greatly valued its facilitation role and resources, so the activity should be able to continue to provide value for the remaining year. SGIP should particularly engage the Federation Ministry of Finance and the Federation Institute of Development Planning as the primary actors to identify legislative initiatives that would benefit from facilitation and support for impact analysis, including fiscal impact analysis.

Related, **SGIP should explore establishing** an expanded and more robust expertise procurement process for impact analyses. This would help build experience and capacity among the nascent policy analysis community of practice in BiH – think tanks, consultancies, academic institutions, and CSOs - and would bring in new experts and new ideas.

2. **Reduce the tasks and budget for Component 2** – In light of the lack of a strategic plan or a combination of some other explicit commitment, operational plan, and Federation parliament budget resources, USAID should carefully consider whether and how to address the Budget Unit issue in the last year of SGIP and in a follow-on activity. The Team recommends maintaining resources at a level necessary to facilitate public hearings on budget drafts.
3. **Transition audit report meta-analysis efforts to a CSO** – The audit report meta-analyses were universally valued by key informants and contributed to raising public awareness. It is not clear why this task should be housed within SGIP, however; if neither the SAI nor the Federation parliament produce them, the task should be transitioned to a CSO that is engaged in anti-corruption, investigative journalism, or government watchdog activities.

**SGIP could conduct training for journalists** on how to understand and report on audit findings. This could be done in coordination with an existing donor-funded activity, a prominent CSO specializing in media, or as a stand-alone exercise.

4. **Expand gender mainstreaming efforts to include training on gender-gap assessment** – The most active effect of SGIP’s gender-related technical assistance was the legislative development processes of Component I. Expanding the impact assessment process to include gender gap assessment, i.e., how social issues and their policy solutions affect men and women differently, would be a natural extension of SGIP’s current work.

#### Future Programming

5. **Expand legislative process support** – There is a demonstrable need for the kind of training and technical support that SGIP has provided. It may be possible to leverage existing host-country and international-donor partnerships, e.g., PARCO, to expand training to Federation ministries, all 10 cantons, and perhaps other major Federation units that produce budgets. A more robust mechanism for identifying and contracting technical expertise for impact assessment would broaden the activity’s reach.
6. **Collaborate with other donors to develop a far-reaching parliamentary strengthening activity for the Federation parliament** – The Federation parliament is a very weak institutional actor within the overall structure of BiH. It remains housed in a “temporary” facility, is insufficiently staffed, and has no strategic plan; the contrast with the State parliament is stark. The Federation parliament is unable to fulfill most of its functions within a system of checks and balances.



# EVALUATION PURPOSE AND EVALUATION QUESTIONS

This evaluation aims to: (1) assess the SGIP activity's progress toward stated objectives; (2) identify obstacles to the activity's implementation; and (3) recommend activity design adjustments for the remainder of the activity, including whether to extend the period of performance.

The Mission will use evaluation findings, conclusions, and recommendations to reassess its role in strengthening the capacity of BiH governing institutions in policy development and legislative drafting. Other USG stakeholders, including USAID/W and the Department of State, will use this report to better understand the USAID institution strengthening activities in BiH. SGIP's implementing organization, SUNY, and its partners will have an opportunity to learn about their strengths and areas for improvement. Other stakeholders may also benefit from USAID's contribution to the marketplace of public knowledge on the most recent development efforts in strengthening BiH's governing institutions. Please refer to the scope of work in Annex I for more information.

The evaluation questions are:

1. To what extent has SGIP's work with local partners, including host-country government counterparts, strengthened their capacities in policy development, law-making, and communication and outreach with the public?
2. What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?
3. How well have gender issues been addressed by SGIP?
4. What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?
5. To what extent has SGIP ensured synergy and cooperation with other USAID projects and international donors in providing support to targeted partners?

This performance evaluation has been produced by the MEASURE-BiH activity at the request of USAID/BiH. It was prepared independently by Andrew Green, Ph.D.; Sanel Huskic, Emina Cosic; and Snezana Mistic Mihajlovic.

# BACKGROUND

## Political Background

The SGIP activity is set within and interacts with the institutional structure of Bosnia and Herzegovina. The multiple and asymmetric levels of government complicate policymaking processes and create many potential power centers for political competition. Fiscal and policy implementation authority are dispersed among the levels in unclear and sometimes overlapping ways, which creates space for policy conflict and reduces both the quality and enforcement of political decisions.

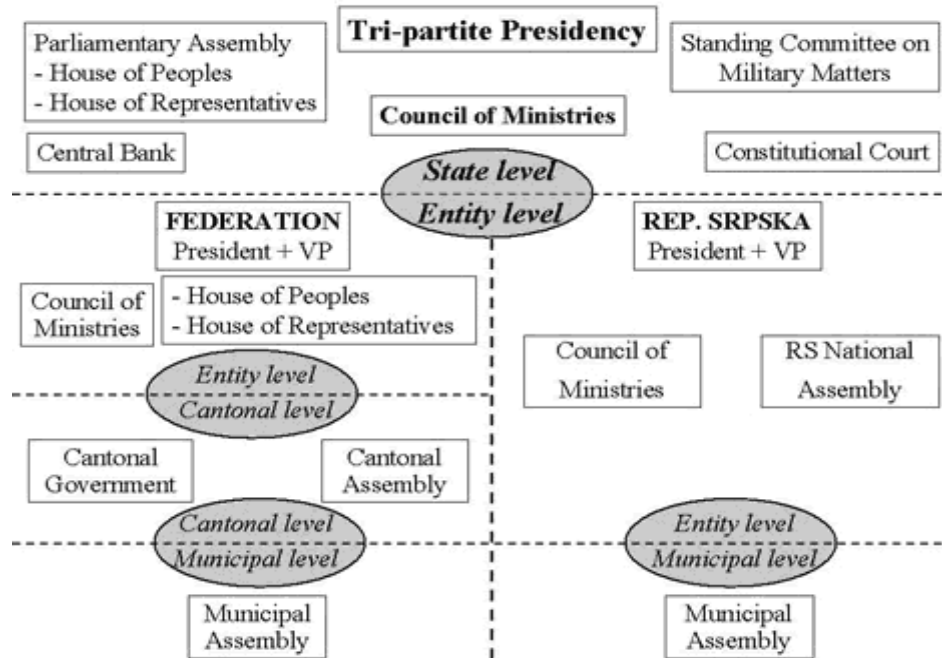
*Institutional structures.* The governing structures of BiH are fragmented into a tripartite system (see Figure 1). At the highest, or State, level is a presidency that rotates among the three constituent people (Bosniak, Croat, Serb) every eight months. The presidency is important as it nominates the chair of the Council of Ministers, which is the operational executive body of the country, for confirmation by the State parliament. The State parliament consists of two houses: the 42-seat House of Representatives (HoR), comprising 28 seats elected from the Federation of Bosnia and Herzegovina (Federation) and 14 from the Republika Srpska (RS) through proportional representation in each entity; and the 15-seat House of Peoples (HoP), comprising five seats for each of the three major ethnic groups (Bosniaks, Serbs, and Croats) through nomination by the entities' parliaments.

At the next level are the entities of the Federation, populated primarily by Bosniaks and Croats, and the RS, populated predominantly by Serbs.<sup>1</sup> The Federation and the RS each has its own president, Council of Ministers as the operational executive body, and parliament. The Federation parliament consists of two houses: the 98-seat HoR, elected through proportional representation at the entity level; and the 58-seat HoP, selected by cantonal assemblies that comprises 17 seats for each of the three constituent people and seven for those termed "others." In the Federation, the Council of Ministers emerges from political negotiation in the HoR. The RS parliament is effectively unicameral, as the 28-seat Council of People only acts if it is in opposition to an action by the 83-seat National Assembly; the National Assembly is elected in proportional representation at the entity level. The RS has a unitary administrative structure, while the Federation is further subdivided into 10 cantons, each of which has an executive branch and assembly. Both entities also allow for municipal assemblies.

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<sup>1</sup> The Brcko District comprises primarily the municipality of Brcko, the status of which was not resolved by the Dayton Accords because it was approximately evenly split between Bosniaks and Serbs. Brcko is governed by State legislation, and until 2012 was headed by an international 'supervisor'; since the suspension of the supervisor position in 2012 by the international community, Brcko has been governed by its mayor and district assembly.

**Figure 1: Government Structure in BiH**



Source: suffragio.org

Throughout the implementation of SGIP, the State and particularly Federation have experienced volatile political environments, with government coalitions being formed and falling apart, often taking months of negotiations and government deadlock between the ruling coalitions. More specifically, for the 2010-2014 mandate the government at the State level has had two coalitions, while the Federation level has seen three coalitions during the same time period.

*Political Turbulence after the October 2014 Elections.* At the State level, political parties SDA, SNSD, and HDZ BiH took the greatest number of seats in the HoR. The HoP seats filled by Federation parliament nominations were dominated by the SDA, SBB, DF, and HDZ BiH. Soon after the official confirmation of the results, negotiations for a governing coalition saw an agreement emerge between SDA, DF, the Alliance for Change (an electoral coalition of SDS, PDP, and NDP) and HDZ BiH, which formed the government at the State level.

Stranka demokratske akcije (SDA)	Center
Savez nezavisnih socijaldemokrata (SNSD)	Right
Hrvatska demokratska zajednica Bosne i Hercegovine (HDZ BiH)	Right
Savez za bolju budućnost BiH (SBB)	Center-Right
Socijaldemokratska partija Bosne i Hercegovine (SDP)	Center-Left
Srpska demokratska stranka (SDS)	Right
Partija demokratskog progresa (PDP)	Center-Right
Demokratska fronta (DF)	Left
Narodni Demokratski Pokret (NDP)	Center-Right

This ruling coalition was stable until the second half of 2015, when political conflict between SDA and DF at the Federation level spilled over to the State level. At the State level, this conflict ultimately led SDA

to negotiate with other parties for a replacement of DF; these negotiations resulted in SBB entering the coalition at the State and Federation levels.

After the final election results were confirmed in November, attention quickly turned to the formation of governments at the Federation level. SDA took the lead in negotiations on the

next Federation government, and concluded a relatively quick agreement in December 2014 with DF and HDZ BiH to form a coalition. However, the coalition soon proved to be unstable, due to political differences between DF and HDZ BiH. The resulting crisis was resolved by introducing SBB as a replacement for DF at the Federation level in December 2015, but there are indications this may not persist as of the writing of this report. The process of constituting the Federation parliament lasted eight months.

### Activity Background

SUNY is implementing the SGIP activity. SGIP began in May 2013 and is scheduled to end in January 2017, engaging State, Federation, and cantonal institutions, with a total estimated cost of \$5,899,695. SGIP's three objectives are: a) improving the quality of legislation, b) enhancing parliamentary and citizen scrutiny of budget processes, and c) strengthening systems of public accountability. The first objective was to be met through training on application of the Strategic Planning and Development Methodology (SPDM) in legislative development processes; SPDM is based in large part on the joint EU and Organization for Economic Cooperation and Development (OECD) "Support for Improvement in Governance and Management (SIGMA) in the Public Sector" program, and was a product of a United Nations Development Programme (UNDP) training and capacity building program in BiH. SUNY anticipates that its approach of customized consultation, mentoring, and facilitation throughout the process will increase acceptance of the method, which although formally mandated is not yet widely practiced. Rather than focusing on delivering one-size-fits-all group trainings with little follow-up or concrete support for implementation, especially at the parliamentary stage, SGIP design was to walk counterparts in government and the parliament through the SPDM process, linking them with civil society and private sector actors to provide policy-relevant research, facilitate consultation, and foster alliances for change. The assistance is offered in six key policy areas: health, environment, local economic development, justice sector reform, gender equity, and youth. Throughout, the implementer integrates strategies focused on gender and youth engagement.

The activity provides technical assistance to BiH governing institutions (State and Federation levels) that are committed to the EU's required reforms in six key policy areas. SGIP has chosen areas where it can work in close coordination with other donors and USAID partners to increase impact, particularly in rationalizing conflicting competencies. The activity also includes officials from Ministries of Justice and government legislative offices in capacity training to draft EU-compliant legislation, based on accurate policy and fiscal and regulatory impact analyses. SGIP cooperates with a network of experienced think tanks and researchers and an active civil society organization (CSO) community providing small grants.

Furthermore, SGIP facilitates workshops and consultations to ensure effective parliamentary and civil society involvement in formulating budgets. Relying on policy and budget analyses, parliamentary committees will be able to execute their designated roles throughout the budget cycle. Most importantly, the activity fosters cross-sector alliances for change and legitimacy. The media and citizens will be able to hold elected representatives accountable. Having worked as members of the activity through all steps of the SPDM process, SGIP's two core CSO partners, KULT and Prava za sve, will have strengthened experience and skills and be equipped to carry forward SGIP's work after the activity concludes.

SGIP has four components:

Component 1, *Improving Policy Development in Lawmaking Processes* – Technical assistance and training on SPDM, including facilitation of SPDM-based policy development processes through working groups (WGs), provision of external experts for impact assessments, legislative drafting, and public hearings; and FIA training

Component 2, *Improving Budget Preparation, Review, Adoption, and Implementation* – Technical assistance for the establishment of a budget unit in the Federation parliament; and support for joint planning mechanisms in the State and Federation budget processes

Component 3, *Strengthening Systems of Public Accountability and Transparency* – Technical assistance to State and Federation audit and oversight committees, including review of audit reports, facilitation of public hearings, and promotion of performance audit activities; facilitating inter-agency consultations on audit findings and corruption; and strengthening public information/communications capacity

Component 4, *Enhancing the Role and Capacity of Women in Governing Institutions, Processes, and Systems* – Technical assistance to mainstream gender in policy development, budget analysis, and lawmaking; and media engagement

Interventions like SGIP are intended to be highly driven by the demand of direct beneficiaries, and often involve small or one-off actions.

# EVALUATION DESIGN AND LIMITATIONS

## Evaluation Design

USAID's Evaluation Policy notes that learning requires careful selection of evaluation questions clustered around specific themes, such as implementation, coordination, cost-effectiveness, responsiveness, and sustainability. The evaluation questions to be answered in this exercise speak to all of these themes. Below, the Evaluation Team presents evaluation methods to answer questions about the SGIP activity that have been posed by the Mission.

### Data Collection Approach

MEASURE-BiH strongly believes in the use of mixed methods for answering performance evaluation questions, a value reiterated through USAID's Evaluation Policy; moreover, in light of the on-demand, opportunistic nature of SGIP's technical assistance and the elite nature of direct beneficiaries, more rigorous data collections like surveys would not generate useful data for analysis. Therefore, the Team applied standard rapid appraisal methods of materials review and semi-structured interviews of key informants to collect data for analysis (see Annex 2):

- **Materials Review** – This data source includes periodic reports, training materials, guidebooks, toolkits, and the Activity Monitoring and Evaluation (M&E) Plan, in addition to any other secondary reports or analyses that are relevant and available. The Team reviewed much of the available materials before commencing field work, and reviewed the remainder after (see Annex 4).
- **Key informants** – The Team conducted 59 semi-structured interviews of relevant Mission staff, SGIP and key partner staff, direct beneficiaries, e.g., members of parliament (MPs) or other government officials, indirect beneficiaries (where applicable), other donor staff, and external analysts (see Annex 3). While it is not possible in this evaluation to identify clear causality through comparison to non-treatment or other alternatives, the Team collected data from key informants at different “causal distances” from the activity.

The Evaluation Team selected key informants (KIs) purposively, and endeavored to ensure coverage of all key informant types. Given the limited time in the field for data collection, the Team conducted only one trip outside Sarajevo, to Zenica, to gather information on a number of SGIP activities involving the Zenica-Doboj Canton.

The Team drafted a semi-structured interview protocol that incorporated minimal revisions to questions to allow for each KI type's relationship to the activity. In addition, the protocol questions were designed to elicit direct evidence of behavior change and knowledge application. The semi-structured interview protocols were finalized by the Team after in-depth discussions with USAID and SGIP staff. Each semi-structured interview differed slightly, depending on the KI's role and the “causal distance” from activities, as well as the extent of the KI's involvement in SGIP activities and the time available for interviewing. The questions addressed knowledge and general perceptions, but also, more importantly, probed for specific examples of attitudinal and behavior changes.

All qualitative and quantitative data were carefully managed to ensure fluid identification of trends and outcomes.

## Data Analysis Approach

Parallel analysis was used on the evidence from the materials review and semi-structured interviews. In this analytical approach, each type of data for an activity is analyzed in parallel, and then across data types. For example, the Team first analyzed relevant materials from the implementer and secondary sources to develop preliminary findings. We then analyzed each type of KI to draw preliminary findings for each, before synthesizing across all types of KIs. Third, we analyzed data from group interviews to generate preliminary findings. Finally, we analyzed preliminary findings across the types of data to develop evaluation question-level findings.

The Team drew conclusions for each evaluation question, based on the findings, and developed recommendations from those conclusions.

The essence of evaluation is comparison, typically across time or geography. In the context of the program subject to this midterm evaluation, however, there will be barriers to comparison that the Team must be aware of to draw valid conclusions. The Team must keep certain key biases in mind while collecting data and presenting the conclusions of this report.

Bias	Mitigation Strategy
<p><b>Recall bias:</b> Training participants may respond to Team questions with answers related to previous USAID-funded activities or those funded by another donor, e.g., Federation ministry civil servants may blend their experiences in UNDP, PARCO, and SGIP trainings into a composite memory. A similar problem could be that participants in multiple training activities may blend their experiences, and subsequently do not distinguish between them as separate activities in their responses.</p>	<p>The semi-structured interview protocol calls for questioning about specific activities, in addition to how new skills and knowledge were used. In this way, the Team can help KIs focus on the specific training topics, not their overall experience with trainings.</p>
<p><b>Response bias:</b> KIs may offer the Team positive remarks about the activity because they would like to receive more training or technical assistance in the future, as they understand that a negative evaluation could mean the end of activity opportunities.</p>	<p>Maintain confidentiality and communicate the Team's independence from both USAID and the activity. As with recall bias, questions designed to elicit specific examples help identify response bias.</p>
<p><b>Selection bias</b> in the form of contacts provided by the implementers can mean that the Team only hears from people with positive experiences. This is often a problem for activities in which the main contacts typically have a longstanding relationship with the implementer.</p>	<p>The standard evaluation approach is to expand beyond the contacts provided by the implementer, usually through an informal snowballing process or by identifying non-treatment contacts through other lists or networks. As with the other forms of bias, however, triangulation of data and questions eliciting specific examples help mitigate the risk of this bias. For this evaluation, the Team was able to find more indirect beneficiaries than anticipated, which should help mitigate bias.</p>

Attribution is also highly problematic when multiple donors have been implementing similar or related programs. In the case of Bosnia and Herzegovina, the OECD and UNDP have implemented training programs for civil servants on policy development processes, upon which the SGIP approach was based. In combination with the lack of a rigorous experimental evaluation integrated with the activity design, it is difficult for evaluators to attribute progress to any particular intervention.



# EVALUATION FINDINGS AND CONCLUSIONS

The findings and conclusions are presented below for each evaluation question. Please note that the first evaluation question covered several activity components and sub-components, so the Team identified findings and generated conclusions on a sub-component level, and an overall conclusion for the first evaluation question is presented based on the sub-component level conclusions.

## EVALUATION QUESTION I

***To what extent has SGIP's work with local partners, including host-country government counterparts, strengthened their capacities in policy development and law-making?***

**Overall, the Team concluded that** SGIP strengthened the capacities of several local host government and CSO partners, resulting in higher quality legislation and policy changes. The gains are not sustainable, however, due to the lack of human and budgetary resources at host government counterparts. **Another conclusion** is that the efforts to improve budget preparation, review, etc. have not been successful due to factors beyond SGIP's control. The regular occurrence of expedited consideration of proposed legislation, including the budgets for 2016, marginalizes the Federation parliament and eliminates deliberation and revision.

**The Team concluded that** FIA trainings are valued because they produce important analyses for policymaking – and affected policy development – but ultimately are unsustainable due to resource constraints

### Task I.1: Policy Development, Drafting, Legitimization

**The Team concluded** that the selection of policy and legislative initiatives for SGIP support was based on quick wins, opportunities, and support to policy-making processes. **The Team concluded that** the SGIP approach to training on the SPDM process was highly valued because it was flexible, adaptive, and based on direct mentoring. All direct beneficiaries viewed SGIP's role as a facilitator as key because they provided the logistics and financial resources that government institutions cannot provide alone, especially at the Federation level.

**The Team concluded that** individuals are more capable of conducting a higher-quality policy-making process. At least three Federation institutions are found to have a broader capacity to reproduce the new knowledge, but no institution has the technical and human resources to conduct this process. The legislation resulting from the processes was perceived by all key informants as being of higher quality, and the longer and more complex process was justified in the end.

**The Team concluded that** the policymaking process was more inclusive than has been normal practice. All executive branch key informants stated that the laws were better because the impact assessment provided justification for the social and budgetary effects they would have, and the content of the laws was driven by Bosnian actors.

As part of its agreement with the Mission, SGIP was to coordinate efforts with other donor projects and efforts related to legislative development in specific policy areas. To that end, SGIP developed criteria for the selection of target legislation, based on the six key policy areas (health, environment, local economic development, justice-sector reform, gender equity, and youth), the Mission's priorities (economic development, anti-corruption, etc.), and indicators of political will. Based on a Team analysis of the SGIP-supported initiatives, we found that each initiative met one or more of the three criteria forms. For example, all Federation executive and parliamentary respondents, and relevant canton respondents, confirmed that the selected laws were based on their expressed interest to work on the activity and to apply the standardized policy development methodology.

At the same time, the Team found that 21 of 50 key informants (including 13 of 21 in the executive branch) thought that the selected laws were identified as priorities in the responsible ministries' or parliaments' annual work plans; indeed, all of the legislation assisted by SGIP, except for the Law on Protection of Families with Children, had been in some stages of development beforehand. A further finding is that representatives of international organizations, e.g., UNDP's Integrated Local Development Programme (ILDP), the United Nations Children's Fund (UNICEF), and the Gesellschaft für Internationalen Zusammenarbeit (GIZ) stated that they identified with SGIP the potential for effective collaboration.

A 2011 Federation Regulatory Impact Analysis (RIA) Decree mandated that all Federation institutions assess the impact of new legislation. However, the Team found that all key informants stated that the RIA Decree was not being enforced before or after SGIP began its trainings. For example, according to UNICEF, the obligation imposed by the RIA Decree was not clear to the Ministry of Labor and Social Policy (MoLSP). SGIP clarified this for the Ministry's staff and facilitated RIA as part of the Law on Foster Care process.

The Team found that SPDM trainings provided governmental officials and employees with tools to enforce the RIA<sup>2</sup>: all SPDM training participants remembered the training and were able to cite the steps or the materials taught. In addition, all SPDM training participants appreciated that they had the opportunity to apply the methodology directly to the legislative initiative of their concern, which all respondents noted was a very different and better training methodology than the standard presentation-lecture form. A further finding is that all direct beneficiaries appreciated the extensive mentorship that they received throughout this process and the flexible approach to application of the methodology, i.e., adaptations to specific conditions. Another related finding is that all participants stated that the expertise provided by SGIP was available on demand, and one beneficiary stated that SGIP's proactive approach motivated them to commit to completing the process.

All SPDM training participants from the Federation ministries claimed to be able to apply the gained knowledge about the process, i.e., oversee the process, the Team found. However, they are not confident that they would have sufficient technical and financial resources at their disposal to implement the RIA Decree on their own. A related finding is that all ministry representatives recognized the lack of analytical skills in their ministries, and readily accepted

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<sup>2</sup> The first or old RIA was adopted by the Federation government in 2011, which is referred to by 'RIA Decree' in this report, Available at: <http://www.fbihvlada.gov.ba/bosanski/zakoni/2011/uredbe/19.html>). As of January 2015, a new RIA ordinance has been issued, which replaced the 2011 one.

the expertise offered by SGIP consultants and the impact assessment expertise offered by consultants and CSOs engaged by SGIP via grants. Moreover, all ministry representatives stressed that budget constraints meant that they could not cover the costs of outsourced expertise.

All CSO respondents valued the opportunity to contribute expertise and build future connections, the Team found. Six of seven CSO representatives stated that the experience with the SGIP-facilitated processes helped them to improve their expertise and strengthen their professional networks. In a related finding, five of 13 MPs and ministry officials elaborated that that CSOs were a good resource for analysis in this process, while the remaining 8 MPs did not address this topic directly.

At the State level, the Team found that three staff members from the State parliament's Research Department appreciated the new contacts with CSOs that were established during SGIP's first Public Policy Dialogue in July 2015. They realized that cooperation with expert CSOs can be beneficial, and have already contacted several CSOs to ask for specific research papers and to use their data. They are open to networking and think it is good to know those working in various professional fields.

Nine out of ten KIs preferred the SGIP approach over standard lectures and workshops common to donor projects, the Team found. No KI had heard of a similar training on policy process. In the past, UNDP offered specific capacity building and developed SPDM methodology, but is not active in this field anymore.

The Team found that all respondents said that the process was longer and more complex, but worthwhile – the results were better because of the detailed analysis of problems, the impact analysis (especially FIA), and public consultations. The Law on Development Planning and Management (LoDPM) was already underway when SGIP began providing its assistance, and all relevant respondents stated that going a few steps back to ensure that the full SPDM procedure was applied was a good decision. The process enabled a deeper analysis and assessment of the impact. According to the respondents, the result of the more robust analysis and impact assessment was the unanimous adoption of the legislation in its first reading.

A further finding is that all responding WG participants from the government stated that the resulting legislative draft was better because it was based on evidence. For example, the impact analysis of the Federation Law on Foster Care clearly indicated the benefits of foster care over institutionalization. The impact analysis of the Zenica-Doboj Cantonal Law on Adult Education revealed that several aspects of the new adult education system were unaffordable. Based on this analysis, the WG redesigned the adult-education system to incorporate innovative, low-cost solutions in the law. The representative of the Cantonal Pedagogical Institute claimed that the affordable options in the law provided the critical argument for parliament to pass it. All WG members who were interviewed said they appreciated that the process was managed in a way that helped them shape feasible options and select the optimal solutions for policies and laws. At all times, the WG members were providers and owners of the content, while SGIP offered professional advice and moderation of the process.

Based on statements of all interviewed Federation MPs, Federation executive officials, and cantonal staff, the Team found that including a broad range of stakeholders in the consultations

during the lawmaking processes significantly increased the MPs' knowledge of the specific laws and facilitated smoother decision-making in parliament.

#### Task 1.2: Fiscal Impact Assessment Training

**The Team concluded that** FIA trainings are valued because they produce important analyses for policymaking. However, the capacity of Federation institutions to conduct FIAs independently is severely limited. The trainings and TA will provide institutional know-how regarding the leading of the FIA process, but will not address such impediments as a hiring freeze, lack of in-house expertise, or budget constraints for this type of activities.

SGIP provided FIA training for government officials, MPs, and parliamentary staff to build the Federation's capacity to draft EU-compliant legislation based on accurate policy and fiscal and regulatory impact analyses. The Team found that all respondents stated that they valued FIA trainings provided by SGIP, underlining the quality of lectures and lecturers. A related finding is that all respondents were confident that they could oversee a fiscal impact-assessment process on their own and within their institutions, but not carry out operationally all aspects of the process: respondents were unanimous in the opinion that the main obstacles to doing this are the lack of in-house technical capacity in all policy areas, as well as the budget resources to overcome this through hiring external experts.

The Team found that all respondents stated that FIA should be a very important aspect of the legislative process because it explicitly identifies the real cost of any new law. It has been a common practice at all levels of government that new laws would be legitimized through parliamentary procedures containing information stating that the law does not have any effects on budgets, when in reality there are significant effects. An additional Team finding is that respondents stated that the introduction of the Croatian example in SGIP's trainings would be beneficial as it is a strong model for a similar systematic approach in the Federation.

All respondents stated that the quality of FIAs was a function of the quality of the external experts provided by SGIP, the Team found. They agreed that all relevant laws had good FIAs, as seen for example in the Zenica-Doboj Cantonal Law on Adult Education. The Team found that there is no other provider of the FIA trainings at the State level, the only related program was DfID training on program-based budgeting which ended in 2011.

#### Task 2.1, Technical Assistance and Training for Budget Unit

**The Team concluded that** the establishment of a budget unit is not a political or resource priority for the Federation parliament.

The budget unit in the Federation parliament was not established. This unit should have been the nexus for SGIP's planned activities involving capacity building on budget development. Progress on this task ground to a halt despite SGIP's efforts to raise the topic with parliamentary leadership. The most significant attempts included submitting the Assessment Report on forming a budget office in the Federation parliament, as well as the study tour by representatives from the Federation parliament to the Austrian Parliament's budget office. SGIP's combined efforts did result in the incorporation of language necessary for the formation of a budget office in the 'Decision on the Common Services of the FBiH Parliament' passed by the Federation parliament HoR in March 2014. This is the furthest extent of the Federation parliament commitment to forming a budget unit; however, the 'Decision' was never approved by the Federation parliament HoP.

Only four of 13 MPs and one member of the Federation parliamentary staff were familiar with the idea of a budget unit, the Team found. They concurred that such a unit would be useful for both houses of the Federation parliament. It was also pointed out that Austria is the only country in the region with a budget unit. The Team found that respondents pointed to the absence of political will as a main obstacle to progress, with the current hiring freeze and the lack of progress on the OSCE-sponsored strategic planning process cited as serious impediments.

## Task 2.2, Creating Mechanisms for Joint Budget Planning

**The Team concluded that** review and deliberation, including for budgets and planning, are not regular features of the legislative process in the Federation parliament.

The 2014 elections interrupted this task, and then the Federation parliament HoP did not establish the Economic and Development Policy, Finance, and Budget Committee until months after the new parliament was in session. At the end of September 2015, the Federation parliament HoP appointed members to its working group bodies, including new members to the Joint Audit Review Committee, after which SGIP managed to organize the third Public Policy Dialogue on the Federation’s budget framework document for 2016-18. The Public Policy Dialogue was highly valued by all key informants from relevant ministries, the Team found.

An additional limitation to this activity under this task is that past budgets have been considered under expedited or shortened procedure, not regular order, so a joint committee had no meaningful role. The 2016-18 budget was characterized by many elements of the regular procedure, which included public consultations and two readings, however, technically it was adopted in expedited procedure by the HoP. A recent report from the CSO, “Centri Civilnih Inicijativa” (CCI), confirmed the use of expedited procedures for the 2014 for 35 percent of laws at the State level, 42 percent in the Federation, and 44 percent in the RS.<sup>3</sup>

These consultations were intended to set the stage for the pre- and post-budget workshops, which SGIP held at the beginning and end of the budget cycle, to build the skills and capacities of MPs, parliamentary staff, core partners, and other CSOs to review and debate the budget proposals at the State and Federation levels.

## **EVALUATION QUESTION 2**

***What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?***

**The Team concluded that** the audit report meta-analyses are highly valued by all respondents, and have raised public awareness of the importance of audits. These analyses would not be done by the Joint Audit Review Committee (JARC) in the Federation parliament, as the parliament does not have the capacity to train JARC MPs, conduct analyses, and organize public hearings. Nor would it be done by the SAI, which does not view these meta-analyses as its obligation.

SGIP has been assisting the State parliament’s Budget and Finance Committees and the Federation parliament’s JARC to conduct a review of the public audit reports on financial

<sup>3</sup> CCI, *Effects of Laws: one of the unknowns in BiH*, December 2015 (draft version), page 7.

operations, the financial reports of budget users, and public non-privatized companies in the Federation. SGIP provided a meta-analysis of public audit reports retroactively for a minimum of five years, extracting and summarizing findings, qualifications, recommendations and the auditor's issued opinions, supported by other evidence. The purpose was to provide trends to the committee's members, and to assist their review of the public audit reports.

The recently produced Parliamentary Audit Review Checklist was not mentioned by any JARC members, the Team found, and only upon specific inquiry did one State MP recall ever seeing it.

The Team found that all respondents highly valued the meta-analyses produced by SGIP. Four of five MPs stated that these analyses were a crucial aspect of SGIP support, because making the content of the SAI's reports more "user friendly" was necessary for MPs of diverse backgrounds and levels of understanding. The analyses provided a very good starting point for the committee's deliberation, identification of institutions that will be required to attend public hearings, and drawing of conclusions.

Also, all of the respondents agreed that these analyses would not have been produced without the expert and technical support of SGIP, the Team found, as the Federation parliament does not have sufficient human resources and expertise to engage in the multi-annual review. Furthermore, three direct beneficiaries stated that they would not be able to produce them in the future. The SAI provides detailed annual reports as well as briefs, both of which are the basis for the meta-analysis that SGIP has provided. A related finding is that there is no agreement among the respondents on who should be conducting these analyses in the future.

The Team found that the SGIP-facilitated discussions of the audit reports were perceived by all direct beneficiaries as being very important. These discussions took place after the public hearings, and brought together officials from SAI, the JARC, and the audited institutions to discuss the problems. The discussions helped the JARC to formulate conclusions that would be forwarded to the Federation parliament for consideration. Furthermore, SAI has increased its number of meetings with the JARC during the implementation of SGIP, which the Team found has been welcomed by all direct beneficiaries because SAI auditors could provide detailed explanations

*"This helped the members of the JARC focus on what is important in the audit reports, and to be able to really conduct quality public hearings. ..."*

*"The result of these analyses is that the parliament for the first time has introduced 'restrictive measures' for the institutions that have been given a negative opinion. This in turn shows that there is a more serious approach and raising of awareness that accountability for bad business will be held."*

– Federation parliament staff

*"It is 100 percent certain that few of the delegates would be able to understand the audit reports if the project did not exist. That's how it is. It is questionable if they would have been able to understand the SAI report without the continued support by the project, in the sense it brought the content closer to the delegates, and provided continuous support to understand the qualifications and evidence that are provided in that report. ..."*

– Member of the JARC

*"We have achieved a certain level of standard, and there is pressure on the JARC to maintain it. One of those includes the committee's conclusion that all audit reports with negative opinions will go directly to the prosecutor's office for investigation."*

*"We are finally putting the institutions ... out on the wall of shame."*

– Federation MP

about the reports. One beneficiary stated that such meetings between the JARC and SAI would probably not have occurred otherwise, because MPs would not respond to an SAI request as they would to SGIP's request.<sup>4</sup>

The Team found that SGIP provided valuable assistance in preparation for the JARC's public hearings on negative and qualified reviews. Both the MPs and the civil servants stated that the public hearings were attended by CSOs and media, and that these hearings have gained public attention. Furthermore, one JARC member elaborated that committee members are more frequently giving media interviews with a clear committee position. At the same time, one respondent noted that the quality of reporting by journalists is still very poor, as they do not sufficiently understand the nature and meaning of the audit process.

All direct and indirect beneficiaries noted that the JARC is approaching the audit reviews more seriously than in previous years, the Team found. It was not clear to the Team whether sanctions applied by the Federation parliament were actually enforced, however.

An important finding is that all respondents pointed to a lack of capacity within the Federation parliament to carry on activities without SGIP. This is more pronounced at the Federation level, as the Team found that MP respondents and respondents from the executive branch of government felt that incoming MPs did not have sufficient knowledge regarding the audit procedures. This was despite the fact that the JARC should be an expert committee; one member of the JARC stated that not all parties have expert candidates for the committee. All respondents involved in JARC's work agreed that the engaging, proactive support, and training by SGIP have significantly increased the MPs' understanding of the budget and their role in the committee. But the JARC experiences turnover among its members, too, and the Team found that all of the direct beneficiaries agreed that the parliament needs expert bodies or civil servants to provide continuous training to the JARC.

### EVALUATION QUESTION 3

#### *How well have gender issues been addressed by SGIP?*

**The Team concluded that** SGIP has successfully contributed toward awareness of gender-sensitive language in policymaking processes, and has developed tools that could be used in the future. Gender impact assessment, i.e., analysis of gender gaps in existing social problems and differential effects of policy alternatives was not part of the impact assessment process and policy research. The GRBT's utility is latent, given the absence of program-based budgeting by ministries.

SGIP prepared a Legislative Toolkit and a GRBT. Both initiatives aimed to provide MPs, staffers, government, and CSOs with tools for reviewing and monitoring budgets from a gender perspective, and to incorporate gender requirements into legislative processes. The Team found that only one Federation MP and one Federation executive official were aware of the Legislative Toolkit.

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<sup>4</sup> Furthermore, two MPs and the Federation SAI expressed the need for this type of assistance to be offered to the cantonal assemblies, particularly in cantons with large budgets. According to the audit reviews, most of the omissions and violations occur at the cantonal level. The Federation parliament reviews only audit reports for the Federation, but the Federation SAI also covers the cantonal and municipal levels.

At the same time, all relevant respondents knew of and valued the GRBT and related events. The same respondents pointed out that the GRBT, introduced in May 2015, is too recent to have been used by institutions. Furthermore, the Team found, respondents also understood that the widespread practice of program-based budgeting by Federation bodies is a prerequisite for gender-based budgeting; one respondent saw the situation as “building the house starting from the roof down,” because Federation budget users are far from any coherent and meaningful program-based budget preparations. Based on the respondents’ answers, the Team found that government institutions are struggling to prepare program-based budgets and conduct strategic planning due to the lack of expertise, budgets, and manpower. In such circumstances, the GRBT is of limited utility at the present time.

The technical assistance, seminars, and trainings were also geared towards raising awareness of gender-related issues in legislative processes. The Team found that the biggest contribution to this component’s goals came through direct involvement in the work of the various WGs for legislative development. The Team found that all respondents emphasized that gender mainstreaming, through gender-sensitive language, was an important aspect of work in these groups, particularly for the Law on Foster Care and the Law on Families and Children. SGIP included the issue of gender-sensitive language in its SPDM training, but its full utilization varied once it reached the parliamentary stage of the process. A related finding is that gender experts claim that none of the laws sufficiently accommodated gender-sensitive language, regardless of how well it was incorporated in preparatory phases.

The Team found that all relevant respondents for Component 1 and Component 4 activities noted that CSO “Prava za sve” had a professional, helpful role in the WGs, participating throughout the drafting process of all laws and providing expert advice to ensure that gender aspects were properly integrated. The respondents’ observations of the legislative drafting process that gender-sensitive language and considerations would probably have been completely omitted from the work of the WGs, the Team found, if not for SGIP’s facilitation. A related finding is that this potential omission stemmed from a general lack of understanding about gender-related issues and the necessity of including external expertise. Numerous international organizations – including UNDP, OSCE, the Swedish International Development Agency (SIDA), UN Women – are involved with various aspects of mainstreaming gender-related topics.

#### **EVALUATION QUESTION 4**

***What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?***

**The Team concluded that** SGIP’s approach and expertise are strong, recognizable, and have contributed positively, but its gains are highly vulnerable to low and asymmetric capacity levels in targeted political institutions. The Federation parliament is a particularly weak institution, unable to act as a meaningful check on the Federation executive through the budget or audit processes.

The Team found that SGIP’s approach of mentoring and step-by-step application of new knowledge was noted by all direct beneficiaries as better than the common lecture methodology. For example, the three interviewed representatives at the State Ministry of



Justice stressed that SGIP experts offered tailor-made assistance and combined theoretical inputs with on-the-job support that was very helpful in the Ministry's efforts to develop state-level legislation on RIA. SGIP's staff expertise and professionalism were mentioned spontaneously by all types of key informants across the four components, the Team found.

The Team found that direct beneficiaries favor the application of the standardized policy development methodology, as it facilitates better impact assessment, better legislation, implementation of the RIA Decree, and a more effective parliamentary process. A representative of the Zenica-Doboj Cantonal Pedagogical Institute identified two factors that contributed to the quality of the process for developing the Law on Adult Education. The first is that intensive consultations with all stakeholders were important for a broader social acceptability of the law and for elected officials' understanding of the law. Second was that FIA was an eye-opening moment for the lawmakers and stakeholders to fully understand the process and design feasibility and the affordable solutions in the law.

The Federation's budgetary problems have left the executive and legislative branches of the Federation with low capacity, the Team found, due only in part to unfilled positions. A related finding is that the Federation parliament is less developed than the State parliament in its physical, human, and information technology (IT) resources. According to the OSCE, which has worked on strengthening the four parliaments (the State, the two Entity, and Brčko District parliaments) since 2012, the Federation parliament alone does not yet have a strategic plan and an IT plan. The Team found that the division of political power and positions at the Federation level inhibits cooperation between political actors, as seen in the poor cooperation between the two Federation houses of parliament, and significantly undermines the capacity of the Federation parliament to act as a check on the Federation executive. Moreover, all direct beneficiaries claimed that enforcement and implementation of laws are subject to strong political interference.

The October 2014 general elections slowed lawmaking processes through early 2015. However, the Team found that all direct beneficiaries stated that SGIP helped to unlock the parliamentary procedures for several laws, such as the LoDPM, the Law on Foster Care, and the Zenica-Doboj Cantonal Law on Adult Education.

The use of expedited consideration occurs regularly in both the State and Federation parliaments:<sup>5</sup> This practice undermines the application of SPDM, as it is more time- and resource-consuming. Furthermore, several key laws and processes have not been implemented that are critical to SGIP's success: the RIA Decree has not been enforced; program-based budgeting, which is the basis for application of the gender-responsive budgeting, has not been applied; and the LoDPM was passed by the Federation parliament's HoR but was held up in the HoP.

Importantly, the Team found that the bulk of the international donors' assistance has focused on State and municipal levels, while neglecting the entity and cantonal levels. This has created a capacity imbalance between the institutional levels.

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<sup>5</sup> CCI, *Efekti Zakona: jedna od nepoznanica u BiH*, (CCI, Tuzla: 2015), Working Version of the Report, p.7.; available at: << [http://www.cci.ba/dokumenti/ANALIZA\\_EFEKTI\\_ZAKONA.pdf](http://www.cci.ba/dokumenti/ANALIZA_EFEKTI_ZAKONA.pdf) >>, accessed on 15 December 2015.

Further, perceived insufficient international donor coordination has had a negative impact on the administrative and decision-making efficiency, the Team found. One direct beneficiary explained that donors come with different approaches and tools that are expected to be used for similar processes; in the area of development planning, there are too many donors and actors – like UNDP, the Swiss Agency for Development and Cooperation, and the EU – with different approaches.

## EVALUATION QUESTION 5

***To what extent has SGIP ensured synergy and cooperation with other USAID projects and international donors in providing support to targeted partners?***

**The Team concluded that** SGIP has worked deliberately to coordinate or cooperate with a wide range of international donors and other USAID activities, but may have missed a clear opportunity to engage with PARCO, which is primarily supported by EU. **The Team also concluded that** SGIP has opened new space for policy discussions between the Federation and municipal levels. The cantonal level, however, is an important constitutional actor for budgeting and strategic planning below the Federation level that has not received much donor attention.

The Team found that SGIP built its SPDM methodology on the previous methodology adopted by the Federation government, as seen in the 2011 RIA Decree, as well as in UNDP's Steps for Public Policy Development projects, where were themselves built on the OECD's SIGMA model.

SGIP was found to have established particularly fruitful cooperation with two UN agencies: UNDP (impact analysis of the Law on Development Planning and Management) and UNICEF (public policies and impact analysis of the Law on Foster Care and Law on Protection of Families with Children in the FBiH). Both agencies spoke positively about their experience with SGIP, the Team found, adding that SGIP offered expertise for impact analysis needed by the relevant ministries, UNDP, and UNICEF. Despite the fact that the impact analysis added time to the lawmaking process, both agencies were convinced that the analysis and the mobilization of numerous stakeholders enriched the content of the draft laws in ways that were helpful to both agencies' projects. UNDP representatives were hopeful that the SPDM and SGIP's approach could be extended in the future to the cantonal and municipal levels, too.

Similarly, the Team found that cooperation with GIZ was very constructive at the operational level. GIZ was represented in the working groups of four laws on adult education (Federation, Sarajevo Canton, Zenica-Doboj Canton, Central Bosnia Canton) where it had an expert or advisory role.

The Team found that SGIP constructively built on the achievements of the International Republican Institute's (IRI) activity for establishment of the women's caucus in the Federation parliament. According to IRI, there were multiple opportunities to interact with SGIP, and cooperation was established for organizing the Federation's roundtables on the themes of maternity benefits and domestic violence. These themes were of particular interest for the women's caucus. In addition, presentations of the Legislative and GRB Toolkits were organized

in cooperation with SGIP, IRI, and UN Women. Also, SGIP brought in the expertise and established useful contacts with the relevant ministries. IRI appreciates all exchanges with SGIP, which do not necessarily result in joint activities, but all have synergetic effects.

The Team found that SGIP established cooperation with the USAID- and SIDA-funded Growth-Oriented Local Development (GOLD) activity during public hearings on the LoDPM, and provided inputs to the draft law. A GOLD representative stressed the importance of involving local governments and CSOs in the consultation during lawmaking processes. SGIP invited representatives of the GOLD activity to attend its capacity building events, e.g., FIA training and presentations, e.g., the GRBT.

SGIP and GOLD were official co-organizers in April 2015 of the first-ever joint meeting of the Federation parliament and the Association of Cities and Municipalities (ACM), the primary organization representing the policy interests of local government units. According to the ACM representative, in the past it succeeded in developing a rudimentary dialogue with the Federation ministries. However, the ACM's relations with the Federation parliament were at a standstill, due to ongoing political turbulence.

The primary function of the event was to present municipal priorities to MPs. The ACM presented the LoDPM as its top priority. Shortly thereafter, that draft law, which had been pulled from consideration following the elections, was put back into the parliamentary process and adopted by the Federation parliament HoR; it is currently under consideration in the HoP. In addition, the Team found that other delayed laws of municipal priority, e.g., the Law on Forests and the Law on Concessions have been re-started following the SGIP-initiated event. All relevant respondents considered this event a milestone in the relationship between the two institutional levels, the Team found, and agreed that it would not have taken place without SGIP's facilitation.

Despite the fact that ACM employees did not participate in the trainings for application of the standardized policy development methodology, the Team found that they acknowledged that the SGIP approach was successful in the case of the LoDPM. ACM intends to take advantage of the methodology's future application as an opportunity to increase its involvement in law and policy-making processes. GOLD sees a high potential for future cooperation related to their local governance component, e.g., continued support for strengthening the platform for discussion, harmonization of local development strategies with higher level strategies; and harmonization of budget planning and revenue allocation.

The Team found little interaction between SGIP and a joint State-international funded government effort to reform public administration: the Public Administration Reform Fund, overseen by PARCO. PARCO is mandated to coordinate the public administration reform processes, including building the capacities of State institutions for policy development. The procurement procedures and obstacles on both the State and USG sides limit the extent to which SGIP could cooperate with PARCO, but the Team found that coordination otherwise was possible, as seen in GIZ's projects. The Team also found that PARCO, the State Ministry of Justice, and the State Civil Service Agency are planning RIA training efforts.



# RECOMMENDATIONS

SGIP has one year remaining on this cooperative agreement, and the work plan was still being developed during this evaluation. Below, the Team presents recommendations for adjusting the SGIP program in its final year, and for follow-on programming by the Mission pending a strategic planning process.

## SGIP

1. **Continue supporting legislative development processes** – SGIP’s direct beneficiaries greatly valued its facilitation role and resources, so the activity should be able to continue providing value for the remaining year. SGIP should particularly engage the Federation Ministry of Finance and the Federation Institute of Development Planning as the primary actors to identify legislative initiatives that would benefit from their facilitation and support for impact analysis, including fiscal impact analysis.
2. Related, **SGIP should explore establishing** an expanded and more robust expertise procurement process for impact analyses. This would help build experience and capacity among the nascent policy analysis community of practice in BiH – think tanks, consultancies, academic institutions, and CSOs - and would bring in new experts and new ideas.
3. **Reduce the tasks and budget for Component 2** – In light of the lack of a strategic plan or a combination of some other explicit commitment, operational plan, and Federation parliament budget resources, USAID should carefully consider whether and how to address the Budget Unit issue in the last year of SGIP and in a follow-on activity. The Team recommends maintaining resources at a level necessary to facilitate public hearings on budget drafts.
4. **Transition audit report meta-analysis efforts to a CSO** – The audit report meta-analyses were universally valued by key informants and contributed to raising public awareness. It is not clear why this task should be housed within SGIP, however; if neither the SAI nor the Federation parliament will produce them, the task should be transitioned to a CSO that is engaged in anti-corruption, investigative journalism, or government watchdog activities.

Related, **SGIP could conduct training for journalists** on how to understand and report on audit findings. This could be done in coordination with an existing donor-funded activity, a prominent media assistance CSO, or as a standalone exercise.

5. **Expand gender mainstreaming efforts to include training on gender gap assessment** – The most active effect of gender-related technical assistance by SGIP was in the legislative development processes of Component I. Expanding the impact assessment process to include gender gap assessment, i.e., how social issues and their policy solutions affect men and women differently, would be a natural extension of the work SGIP is already doing.

## Future Programming

6. **Expand legislative process support** – There is a demonstrable need for the kind of training and technical support that SGIP has provided. At the same time, it may be possible to leverage existing host country and international donor partnerships, e.g., PARCO, to expand training to Federation ministries, all 10 cantons, and perhaps other major Federation budget users. In combination with a more robust mechanism for identifying and contracting technical expertise for impact assessment, the reach of such an activity would be much broader.
7. **Collaborate with other donors to develop a far-reaching parliamentary strengthening activity for the Federation parliament** – The Federation parliament is a very weak institutional actor within the overall structure of BiH. It is still housed in a “temporary” facility, has insufficient staffing, and no strategic plan; the contrast with the State parliament is stark. The Federation parliament is unable to fulfill most of its functions within a system of checks and balances, but it is the main lawmaking institution for a complex multi-level system.

# ANNEXES

## ANNEX I - EVALUATION STATEMENT OF WORK

*Democracy Office & Program Office*

### STATEMENT OF WORK

*Mid-term Performance Evaluation:*

*Strengthening Governance Institutions and Processes*

### PURPOSE OF THE EVALUATION

This is a Statement of Work (SOW) for a mid-term performance evaluation of the Strengthening Government Institutions and Processes (SGIP) activity implemented by the Research Foundation for The State University of New York (SUNY), under Cooperative Agreement #AID-168-A-13-00001 from 15 May 2013 through 14 January 2017. The total cost estimate for SGIP is approximately \$5.9 million.

The purpose of this evaluation is three-fold: (1) assess SGIP's progress toward stated objectives; (2) identify obstacles to activity implementation; and (3) provide recommendations for activity design adjustments for the remainder of the activity, including whether to extend the period of performance.

The Mission will use evaluation findings, conclusions, and recommendations to reassess its role in strengthening the capacity of BiH governing institutions in policy development and legislative drafting. Other USG stakeholders, including USAID/W and U.S. Department of State Post and their counterpart offices in Washington DC, will use evaluation findings, conclusions, and recommendations to better understand the USAID institutional strengthening activities in BiH.

SUNY and its partners will have an opportunity to learn about their strengths and areas for improvement. Other stakeholders, including the BiH governing institutions, civil society organizations (CSOs), private sector organizations, the European Commission's (EC) Delegation to BiH and other international development donors and partners, may also benefit from USAID's contribution to the marketplace of public knowledge on the most recent development efforts in strengthening BiH governing institutions.

### PROGRAM INFORMATION

<b>Activity/Project Name</b>	Strengthening Governance Institutions and Processes
<b>Contractor</b>	The Research Foundation for The State University of New York
<b>Cooperative Agreement #</b>	AID-168-A-13-00001
<b>Total Estimated Cost (TEC)</b>	\$5,899,695.00
<b>Life of Project/Activity</b>	May 15, 2013 to January 14, 2017
<b>Active Geographic Regions</b>	Sarajevo and Cantons Zenica-Doboj, Mid-Bosnia and Canton 10
<b>Development Objective (DO)</b>	Development Objective I, "More functional and accountable institutions and that meet citizens' needs"

## BACKGROUND

SGISP's triple objectives are: a) improving the quality of legislation, b) enhancing parliamentary and citizen scrutiny of budget processes, and c) strengthening systems of public accountability. A Theory of Change is to support application of the standardized policy development methodology (SPDM) for each target draft policy and law with customized consultation, mentoring, and facilitation throughout the process. The approach will increase acceptance of the method, which although formally mandated is not yet widely practiced. Rather than focusing on delivering one-size-fits-all group trainings with little follow-up or concrete support for implementation, especially at the parliamentary stage, SUNY will walk through the SPDM process with counterparts in government and the parliament, linking them with civil society and private sector actors to provide policy-relevant research, facilitate consultation, and foster alliances for change. The assistance is offered in six key policy areas: health, environment, local economic development, justice sector reform, gender equity, and youth. Throughout, the implementer integrates strategies focused on gender and youth engagement.

**Activities and Anticipated Results:** the activity provides technical assistance to BiH governing institutions (State level and the Federation BiH) that are committed to specific reforms required by the EU in the six key policy areas. SUNY has chosen areas where it can work in close coordination with other donors and USAID partners to increase impact, particularly in rationalizing conflicting competencies. The activity also includes officials from Ministries of Justice and government legislative offices in capacity training to draft EU-compliant legislation based on accurate policy, fiscal, and regulatory impact analyses. In doing this, SUNY cooperates with a network of experienced think-tanks and researchers and an active CSO community providing small grants. Further, SUNY facilitates workshops and consultations to ensure effective parliamentary and civil society involvement in budget formulation. Relying on policy and budget analyses, parliamentary committees will be able to execute their designated roles throughout the budget cycle. Most importantly, the activity fostered cross-sector alliances for change and legitimacy. The media and citizens involvement will be able to hold elected representatives accountable. Having worked as members of the activity through all the steps of the SPDM process, SUNY's two core CSO partners will have strengthened experience and skills and be equipped to carry forward SGISP's work after the activity concludes.

## EVALUATION QUESTIONS

1. To what extent has SGIP's work with local partners, including Host-Country Government counterparts, strengthened their capacities in policy development, law-making, and communication and outreach with the public?
2. What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?
3. How well have gender issues been addressed by SGIP?
4. What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?
5. To what extent has SGIP ensured synergy and cooperation with other USAID activities and international donors in providing support to targeted partners?



## EVALUATION DESIGN AND METHODOLOGY

The Contractor will ensure that the evaluation of the above mentioned activities is consistent with USAID ADS (Chapters 203 and 578) and USAID's Evaluation Policy (January 2011) requirements and recommendations.

This evaluation has elements of both a process and a performance evaluation, as can be seen in questions that focus clearly on activity performance, e.g., the first question, and others that grapple with activity implementation issues, e.g., questions on gender and external factors. The Mission anticipates that the Contractor will implement a mixed methods strategy based on several of the following suggested data sources: (a) secondary data/background documents, (b) activity plans, outputs, and reports, (c) relevant laws and central government regulations and policy documents, (d) key informant interviews, (e) focus group discussions, (f) survey(s) of activity stakeholders and beneficiaries, (g) case study data, and (h) visits to activity sites, as well as visits to locations that might serve as a comparison. Emphasis will be on collection of reliable empirical data and/or objectively verifiable evidence, as opposed to anecdotal evidence. Where surveys or interviews are used, appropriate sampling and questioning techniques will be utilized to ensure representative results; where references are made to data generated by USAID implementing partners and/or their partners, these references will be complemented by references to any independent data sources and any significant data differences must be explained. Illustrative methodological approaches for a particular activity are discussed below. Please see attached Annex I to this SOW listing suggested questions and data sources to be collected through interviews with institutions and officials.

The following simple design matrix should be included as a summary of evaluation design and methodology, and to supplement the narrative section above, but should not replace the narrative.

Questions	Suggested Data Sources	Suggested Data Collection Methods	Data Analysis Methods

The evaluation design should also address possible limitations and biases, in addition to strategies for eliminating or mitigating their effects.

The Contractor will be responsible for all logistical support of the evaluation activities, including translation/interpretation, transportation, accommodation, meeting/visit arrangements, office space, equipment, supplies, insurance and other contingency planning. The Contractor must not expect any substantial involvement of Mission staff in either planning or conducting the evaluation. Upon request, the Mission will provide the Contractor with introductory letters to facilitate meeting arrangements. USAID/BiH requests that any forthcoming American and local holidays be considered in scheduling evaluation meetings, group discussions, surveys, and site visits in the United States, BiH, and any other country where those meetings, group discussions, surveys, and visits may take place.

## DELIVERABLES AND REPORTING

The Contractor proposal will explicit address the following deliverables and timelines:

**Evaluation Design and Work Plan:** Within *ten business days* of the submission of this SoW to the contractor, a draft work plan and evaluation design document for the evaluation shall be completed by the lead evaluator and presented to the Contracting Officer's Representative (COR). The evaluation design will include: (1) a detailed evaluation design matrix (including the key questions, methods, and data sources used to address each question and the data analysis plan for each question); (2) draft questionnaires and other data collection instruments or their main features; (3) the draft list of potential

interviewees and sites to be visited; (4) known limitations to the evaluation design; and (5) a dissemination plan. The work plan will include: (1) the anticipated schedule and logistical arrangements; and (2) a list of the members of the Evaluation Team, delineated by roles and responsibilities.

**USAID/BiH Inbrief:** Within *two business days* of the Evaluation Team's arrival in BiH, the Team will present the evaluation work plan and related materials to USAID/BiH personnel as identified by the COR.

**Final Evaluation Design and Work Plan:** Based on feedback from the USAID inbrief and evaluation launch meetings with USAID/BiH technical personnel and the implementer, a final evaluation design and work plan must be submitted to the COR within *two business days* of the USAID inbrief.

**Check-Ins:** The Evaluation Team leader will maintain regular contact with the evaluation COR and relevant Contractor staff by telephone and email per a schedule established by the COR.

**USAID/BiH Outbrief:** Within *two business days prior to Team departure*, the Evaluation Team will present its preliminary findings and conclusions to USAID/BiH personnel as identified by the COR. The presentation should be based upon and accompanied by an annotated outline of the Draft Evaluation Report, following USAID guidance, that will be submitted *one business day prior* to the USAID/BiH outbrief.

**Stakeholder Outbrief:** Within *two business days prior to Team departure*, the Evaluation Team will present its preliminary findings and conclusions to stakeholders as identified by the COR. The presentation should be based upon and accompanied by an annotated outline of the Draft Evaluation Report, following USAID guidance.

**Draft Evaluation Report:** Within *ten business days after Team departure*, the Contractor will submit a Draft Evaluation Report of no more than 30 pages, excluding front matter, annexes, and references, in Times New Roman, font size 12, single-spaced, standard 1" margins all around. The report should be consistent with USAID guidance on definitions of findings, conclusions, and recommendations; on supporting findings with reliable quantitative and qualitative data; and the format and layout. The report will address each of the questions identified in the SOW and any other issues the Team considers to have a bearing on the objectives of the evaluation. Any such issues can be included in the report only after consultation with USAID. Annexes should include but are not limited to this Evaluation Scope of Work, the Evaluation Work Plan, data collection instruments, signed and scanned conflict of interest statements from all Evaluation Team members, and tables and graphs as necessary.

Once the initial draft evaluation report is submitted, USAID/BiH Program Office will have *fifteen business days* in which to review, make comments, and solicit and compile comments on the initial draft from other USAID/BiH personnel and stakeholders and comment, after which point the COR will submit the consolidated comments to the Evaluation Team. The Evaluation Team will then be asked to submit a revised final draft report within *ten business days*; USAID/BiH Program Office will have a further *three business days* to make, solicit, and compile comments on the Contractor's revisions.

**Final Evaluation Report:** The Evaluation Team will be asked to take no more than *five business days* to respond to or incorporate the second and final set of comments upon receipt of those comments from USAID/BiH Program Office. The Evaluation Team leader will then submit the final report to the COR. All activity data and records will be submitted in full at the same time, and should be in electronic form in easily readable format, organized and documented for use by those not fully familiar with the activity or evaluation, and owned by USAID. Upon approval by the COR, the Contractor will submit the Final Evaluation Report to USAID's Development Experience Clearinghouse.

The Contractor will produce a calendar or Gantt chart based on the business days set out in the above timeline.

## EVALUATION TEAM COMPOSITION

USAID/BiH anticipates that a four-person team would be adequate for conducting this mid-term performance evaluation:

**Evaluation Team Leader:** This person must have strong team management skills, and sufficient experience in designing and/or conducting performance evaluations of international development activities. ET Leader(s) must have good knowledge of USAID Evaluation Policy and evaluation reporting requirements. Prior experience in monitoring and evaluation for Democracy, Human Rights, or Governance (DRG) programming required, experience in BiH or other relevant Balkans states strongly preferred. Knowledge of gender issues in development contexts preferred. Excellent communication, both verbal and written, skills and experience managing performance evaluations of large USAID activities are desirable.

**Evaluation Team Members:** The Contractor must assign three team members from BiH (or other relevant Balkans states as accepted by USAID/BiH) that collectively demonstrate strong understanding of data collection and analysis methodologies; substantial experience with international donor programs; deep knowledge of BiH governing institutions and politics; DRG programming more generally; good knowledge of USAID Evaluation Policy and evaluation reporting requirements; knowledge of gender issues in development contexts preferred.

**Logistical Support:** The Contractor will provide additional human resources to provide interview scheduling, travel logistics, translation services, and other tasks as needed by the Evaluation Team, but will not be counted in the Team's total LOE budget. Any members of the Contractor's local office will also not be counted in the Team's total LOE budget.

All team members will be required to provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest.

USAID/BiH will approve of all personnel.

## LEVEL OF EFFORT SCHEDULE

USAID/BiH anticipates that the total timeline for this mid-term performance evaluation should not exceed eleven weeks, not allowing for holidays. This time period includes two six-day work weeks in the field for data collection. The evaluation is anticipated to begin on or about 9 November 2015.

**Table:** Estimated LOE in days by activity for a team of three

<b>Activity</b>	<b>Team Lead</b>	<b>Team Member #1</b>	<b>Team Member #2</b>	<b>Team Member #3</b>	<b>Total LOE in days</b>
<i>Document review/desk review</i>	4	2	2	2	<b>10</b>
<i>Travel to and from country</i>	2				<b>2</b>
<i>In-brief, work plan, design</i>	1	1	1	1	<b>4</b>
<i>Data collection</i>	7	5	5	5	<b>22</b>
<i>Data analysis, preliminary report, and presentation to USAID and implementing partners</i>	2	2	2	2	<b>8</b>
<i>Draft final report and debrief to USAID</i>	5	2	2	2	<b>11</b>

<i>Final report</i>	2	1	1	1	5
<b>Totals</b>	<b>23</b>	<b>13</b>	<b>13</b>	<b>13</b>	<b>62</b>

## **ANNEX I: DRAFT LIST OF DESIRED KEY INFORMANTS**

There are numerous types of key informants, and the Evaluation Team should cover as many of them as is possible given the duration of data collection in BiH, availability, and logistical complexities. The Evaluation Team should also generate adequate geographic coverage, depending on the SGIP's programming, availability, and logistical complexities.

Creation of the draft list of desired key informants should begin with but not be limited to contacts provided by SGIP and USAID/BiH. USAID/BiH anticipates that the Contractor will not be able to generate a robust draft list until a large set of SGIP reports and other programming materials are provided to the Evaluation Team.

**USAID:** This type includes USAID/BiH Program Office, USAID/BiH Democracy Office, relevant USAID/W, other relevant USAID/BiH, and other USG personnel

**Implementer and partners:** This type includes SGIP/SUNY staff and any partners directly involved in implementation under the direction of SGIP/SUNY.

**Direct Beneficiaries:** This type includes any BiH governing institution personnel, CSO personnel, or private individuals/organizations that receive training or grants from SGIP.

**Indirect Beneficiaries:** This type includes any BiH governing institution personnel, CSO personnel, or private individuals/organizations that receive tangible or intangible value as a result of the training or grants given to direct beneficiaries. Examples would include members of committees or commissions chaired by participants in workshops, personnel in allied offices that interact with a mentored office, supervisors of training participants, and so on.

**External Actors:** This type includes personnel from other donor agencies or international organization, political analysts, journalists, and any other professional observers of political institutions and processes.

## **ANNEX II - EVALUATION WORK PLAN**

### ***Evaluation Work Plan***

#### ***Mid-term Performance Evaluation:***

#### ***Strengthening Governance Institutions and Processes***

### **I. Introduction**

USAID/Bosnia and Herzegovina (BiH) has contracted for a mid-term performance evaluation of the Strengthening Government Institutions and Processes (SGIP) activity implemented by the Research Foundation for The State University of New York (SUNY), under Cooperative Agreement #AID-I68-A-13-00001 from 15 May 2013 through 14 January 2017. The total cost estimate for SGIP is approximately \$5.9 million. The activity's objectives are to improve the quality of legislation, enhance parliamentary and citizen scrutiny of budget processes, and strengthen systems of public accountability.

The Mission has requested this evaluation in order to gauge progress to date, to identify any deviations from intended implementation, and to recommend potential adjustments in the intervention. The Mission will use evaluation findings, conclusions, and recommendations to reassess its role in strengthening the capacity of BiH governing institutions in policy development and legislative drafting. Other USG stakeholders, including USAID/W and U.S. Department of State Post and their counterpart offices in Washington DC, will use evaluation findings, conclusions, and recommendations to better understand the USAID institutional strengthening activities in BiH.

SUNY and its partners will have an opportunity to learn about their strengths and areas for improvement. Other stakeholders, including BiH governing institutions, civil society organizations (CSOs), private sector organizations, the European Commission's (EC) Delegation to BiH and other international development donors and partners, may also benefit from USAID's contribution to the marketplace of public knowledge on the most recent development efforts in strengthening BiH governing institutions.

MEASURE-BiH will conduct this evaluation during the period 12 November 2015 through 19 January 2016, including two weeks of data collection in BiH by a four-person team. The Team will employ a mixed methods approach to collect data from activity materials, other secondary sources, and semi-structured interviews of key informants. The data will be analyzed using parallel analysis, which identifies findings for each data source type and then generates findings across data source types. The draft and final evaluation reports will conform to USAID guidance for analytical findings and report structure.

### **II. Evaluation Purpose**

As part of its regular evaluation tasks implemented through the MEASURE-BiH activity, the Mission requires a mid-term performance evaluation of the SGIP activity implemented by SUNY. The purpose of this evaluation is three-fold: (1) assess SGIP's progress toward stated objectives; (2) identify obstacles to activity implementation; and (3) provide recommendations for activity design adjustments for the remainder of the activity, including whether to extend the period of performance.

SGIP began in May 2013 and is scheduled to end in January 2017, engaging State, Federal, and cantonal institutions, with a total estimated cost of \$5,899,695. SGIP's three objectives are: a) improving the quality of legislation, b) enhancing parliamentary and citizen scrutiny of budget processes, and c) strengthening systems of public accountability. The theory of change is to support application of the standardized policy development methodology (SPDM) for each target draft policy and law with

customized consultation, mentoring, and facilitation throughout the process. The approach will increase acceptance of the method, which although formally mandated is not yet widely practiced. Rather than focusing on delivering one-size-fits-all group trainings with little follow-up or concrete support for implementation, especially at the parliamentary stage, SUNY will walk through the SPDM process with counterparts in government and the parliament, linking them with civil society and private sector actors to provide policy-relevant research, facilitate consultation, and foster alliances for change. The assistance is offered in six key policy areas: health, environment, local economic development, justice sector reform, gender equity, and youth. Throughout, the implementer integrates strategies focused on gender and youth engagement.

The activity provides technical assistance to BiH governing institutions (State and Federation levels) that are committed to specific reforms required by the EU in the six key policy areas. SUNY has chosen areas where it can work in close coordination with other donors and USAID partners to increase impact, particularly in rationalizing conflicting competencies. The activity also includes officials from Ministries of Justice and government legislative offices in capacity training to draft EU-compliant legislation based on accurate policy, fiscal, and regulatory impact analyses. In doing this, SUNY cooperates with a network of experienced think-tanks and researchers and an active CSO community providing small grants. Further, SUNY facilitates workshops and consultations to ensure effective parliamentary and civil society involvement in budget formulation. Relying on policy and budget analyses, parliamentary committees will be able to execute their designated roles throughout the budget cycle. Most importantly, the activity fosters cross-sector alliances for change and legitimacy. The media and citizens involvement will be able to hold elected representatives accountable. Having worked as members of the activity through all the steps of the SPDM process, SUNY's two core CSO partners will have strengthened experience and skills and be equipped to carry forward SGISP's work after the activity concludes.

The questions to be answered through this evaluation are:

1. To what extent has SGIP's work with local partners, including Host-Country Government counterparts, strengthened their capacities in policy development and law-making? Has SGIP capacity-building in fiscal impact assessment (FIA) resulted in policy changes?
2. What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?
3. How well have gender issues been addressed by SGIP?
4. What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?
5. To what extent has SGIP ensured synergy and cooperation with other USAID activities and international donors in providing support to targeted partners?

This evaluation has elements of both a process and a performance evaluation, as can be seen in questions that focus clearly on activity performance, e.g., the first question, and others that grapple with activity implementation issues, e.g., questions on gender and external factors.

### **III. Evaluation Design**

USAID Evaluation Policy notes that learning requires careful selection of evaluation questions clustered around specific themes, such as implementation, coordination, cost-effectiveness, responsiveness, and sustainability. Below, the Evaluation Team presents evaluation methods to answer questions about the SGIP activity that have been posed by the Mission.

## **Data Collection Approach**

MEASURE-BiH strongly believes in the use of mixed methods for answering performance evaluation questions, a value reiterated through USAID Evaluation Policy; moreover, in light of the on-demand, opportunistic nature of SGIP’s technical assistance and the elite nature of direct beneficiaries, more rigorous data collections like surveys would not generate useful data for analysis. Therefore, the Team will apply standard rapid appraisal methods of materials review, semi-structured interviews of key informants, and potentially group interviews to collect data for analysis (see Table I, below):

- **Materials Review** – This data source includes implementer periodic reports, training materials, guidebooks, toolkits, and the Activity M&E Plan, in addition to any other secondary reports or analyses that may be relevant and available. The Team will review all available materials before departure for field work.
- **Key informants** – The Team will conduct semi-structured interviews of relevant Mission staff, SUNY and key partner staff, direct beneficiaries, indirect beneficiaries (where applicable), other donor staff, and external analysts (see Annex I). While it is not possible in this evaluation context to identify clear causality through comparison to non-treatment or some other causal alternative, the Team will collect data from key informants at different ‘causal distances’ from the activity.

The Team will draft a semi-structured interview protocol that incorporates minimal revisions to questions to allow for each KI type’s relationship to the activity. In addition, the protocol questions will be designed to elicit direct evidence of behavior change and knowledge application. Given that (a) SGIP has four components, 14 sub-components, and multiple activities under each sub-component, and (b) the Team will only be in the field for two weeks, we will not be able to produce a draft interview protocol until receiving detailed guidance from USAID on which specific activities to prioritize for the evaluation.

The Team will select key informants purposively, and will ensure coverage of all key informant types. We anticipate conducting up to 80 key informant semi-structured interviews. The prioritization issue identified above also presents an obstacle to generating a list of desired key informants, so Annex I includes a draft list by organization and general title. Given the limited amount of time in the field for data collection, the Team anticipates only one trip outside Sarajevo, to Zenica to gather information on a number of SGIP activities involving the Zenica-Doboj Canton.

It may be necessary and/or desirable to conduct interviews of multiple KIs in one setting, so the individual KI semi-structured interview protocol will be shortened to focus on a smaller number of important topics.

**Table I: Evaluation Design Matrix**

Evaluation Question	Data Source	Data Collection Method	Data Analysis Method
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Evaluation Question	Data Source	Data Collection Method	Data Analysis Method
<p><i>To what extent has SGIP's work with local partners, including Host-Country Government counterparts, strengthened their capacities in policy development and law-making? Has SGIP capacity-building in fiscal impact assessment (FIA) resulted in policy changes?</i></p>	<p>Activity Materials</p>	<p>Request from SUNY for delivery five business days before US departure</p>	<p>Review reported results against targets in the Activity M&amp;E Plan.</p> <p>Review quarterly reports for narrative explaining any deviations in achievement or implementation</p>
	<p>Secondary Sources</p>	<p>Collect relevant examples, reports from USAID, other donors, NGOs, and other donors</p>	<p>Review against SGIP's reported achievements</p>
	<p><u>Key Informants</u></p> <p>USAID staff</p> <p>SUNY and partner staff</p> <p>Direct/indirect beneficiaries</p> <p>Other donors, external analysts</p>	<p>Collect via semi-structured interview protocol revised minimally as needed depending on the type of key informant</p>	<p>Review responses from each KI type against desired achievement, then synthesize across KI types</p>
<p><i>What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?</i></p>	<p>Activity Materials</p>	<p>Request from SUNY for delivery five business days before US departure</p>	<p>Review reported results against targets in the Activity M&amp;E Plan.</p> <p>Review quarterly reports for narrative explaining any deviations in achievement or implementation</p>



Evaluation Question	Data Source	Data Collection Method	Data Analysis Method
	Secondary Sources	Collect relevant examples of audit application, reports from USAID, other donors, NGOs, and other donors	Review against SGIP's reported achievements
	<u>Key Informants</u> USAID staff SUNY and partner staff Direct/indirect beneficiaries Other donors, external analysts	Collect via semi-structured interview protocol revised minimally as needed depending on the type of key informant	Review responses from each KI type against desired achievement, then synthesize across KI types
<i>How well have gender issues been addressed by SGIP?</i>	Activity Materials	Request from SUNY for delivery five business days before US departure	Review reported results against targets in the Activity M&E Plan.  Review quarterly reports for narrative explaining any deviations in achievement or implementation
	Secondary Sources	Collect relevant reports from USAID, other donors, NGOs, and other donors	Review against SGIP's reported achievements

Evaluation Question	Data Source	Data Collection Method	Data Analysis Method
	<u>Key Informants</u> USAID staff SUNY and partner staff Direct/indirect beneficiaries Other donors, external analysts	Collect via semi-structured interview protocol revised minimally as needed depending on the type of key informant	Review responses from each KI type against desired achievement, then synthesize across KI types
<i>What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?</i>	Activity Materials	Request from SUNY for delivery five business days before US departure	Review quarterly reports for narrative explaining any deviations in achievement or implementation
	Secondary Sources	Collect relevant reports from USAID, other donors, NGOs, and other donors	Review against SGIP's implementation narrative
	<u>Key Informants</u> USAID staff SUNY and partner staff Direct/indirect beneficiaries Other donors External analysts	Collect via semi-structured interview protocol revised minimally as needed depending on the type of key informant	Review responses from each KI type against desired achievement, then synthesize across KI types
<i>To what extent has SGIP ensured synergy and cooperation with other USAID activities and international donors in providing support to targeted partners?</i>	Activity Materials	Request from SUNY for delivery five business days before US departure	Review quarterly reports for narrative explaining any deviations in achievement or implementation

Evaluation Question	Data Source	Data Collection Method	Data Analysis Method
	Secondary Sources	Collect relevant reports from USAID, other donors, NGOs, and other donors	Review against SGIP's implementation narrative
	<u>Key Informants</u> USAID staff SUNY and partner staff Direct/indirect beneficiaries Other donors, external analysts	Collect via semi-structured interview protocol revised minimally as needed depending on the type of key informant	Review responses from each KI type against desired achievement, then synthesize across KI types

All data collection tools will be developed and finalized in coordination with the Mission, and all qualitative and quantitative data will be thoroughly coded and analyzed to ensure fluid identification of trends and outcomes.

The semi-structured interview protocols will be finalized by the Team after in-depth discussions with USAID and SGIP staff. Each semi-structured interview will differ slightly depending on the key informant's role and 'causal distance' from activities, as well as the extent of the key informant's involvement in SGIP activities and the time available for interviewing. The questions will address not just knowledge and general perceptions, but more importantly probe for specific examples of attitude and behavior change. Group interviews conducted with the same protocols may be conducted if necessary.

**Data Analysis Approach**

Parallel analysis will be used to analyze the evidence from the materials review, semi-structured interviews, and group interviews. In this analytical approach, each type of data for an activity is analyzed in parallel, and then across data type. For example, the Team will first analyze relevant materials from the implementer and secondary sources to develop preliminary findings; second, we will analyze each of the types of key informants to draw preliminary findings for each, before synthesizing across all types of key informants; third, we will analyze data from group interviews to generate preliminary findings; and finally, analyze preliminary findings across the types of data to develop activity-level findings. The Team will use NVivo, a software design for qualitative data, to analyze transcripts and notes from the semi-structured interviews.

**Biases and limitations.** The essence of evaluation is comparison – typically across time or geography. In the context of the program subject to this midterm evaluation, however, there will be barriers to comparison that the Team must be aware of as we endeavor to draw valid conclusions. The Team must keep certain key biases in mind as they collect data and identified the findings and conclusions of this report.

Bias	Mitigation Strategy
<p><b>Recall bias:</b> Training participants may respond to Team questions with answers related to previous USAID-funded activities or those funded by another donor. A similar problem could be that participants in multiple training activities may blend their experiences into a composite memory or response (e.g., staff in legislative drafting offices may have had trainings on legal drafting from other donor-funded projects) and subsequently do not distinguish between them as separate activities in their responses.</p>	<p>The semi-structured interview protocol calls for questioning about specific activities, in addition to how new skills and knowledge were used. In this way, the Team would be able to help KIs focus on the specific training topics, not their overall experience with trainings.</p>
<p><b>Response bias:</b> KIs may give the Team positive remarks about the activity because they would like to receive more training in the future, as a negative evaluation could mean the end of activity opportunities.</p>	<p>Maintain confidentiality and communicate the Team’s independence from both USAID and the activity. As with recall bias, questions designed to elicit specific examples help identify response bias.</p>
<p><b>Selection bias</b> in the form of contacts provided by the implementers can mean that the Team only hears from people with positive experiences. This is often a problem for activities in which the main contacts typically have a longstanding relationship with the implementer.</p>	<p>The standard evaluation approach is to expand beyond the contacts provided by the implementer, usually through an informal snowballing process or by identifying non-treatment contacts through other lists or networks. As with the other forms of bias, however, triangulation of data and questions eliciting specific examples help mitigate the risk of this bias.</p>

Overall, the Team proposes to combat this bias by clearly informing KIs about the intentions of the evaluation and by using multiple sources of data to triangulate on an evaluation issue, as is often accomplished through qualitative evidence matrices. By combining information found in documents or interviews from multiple sources, any one piece of biased data did not skew the analysis. Finally, rather than ask questions only on perception, the Team asked questions about behavior change, requesting specific examples of knowledge use.

#### IV. Evaluation Implementation

The evaluation will be implemented by a four-person IMPAQ Team over a nine-week period, including two six-day weeks of field work during 30 November through 12 December.

- **Evaluation Team Leader** – Dr. Andrew Green, Principal Research Associate in IMPAQ’s International Development Division, will be the Team Lead and have overall responsibility for deliverables. He has led numerous performance evaluations and created Activity M&E Plans on a wide variety of DRG topics, including parliamentary strengthening civil society, rule of law, political party assistance, good governance, and election assistance. Dr. Green has worked extensively in BiH, Montenegro, Serbia, and Macedonia, in addition to the Czech Republic, Croatia, Ukraine, Georgia, Azerbaijan, and Kyrgyzstan.
- **Evaluation Team Members** – Dr. Green will be joined by:

- Local STTA Snezana Misic Mihajlovic
- MEASURE-BiH Senior Research Analyst Sanel Huskic
- MEASURE-BiH Research Analyst Emina Cosic Puljic

Logistics will be handled by MEASURE-BiH field office. Dr. Green will maintain regular phone and email communication with relevant Mission staff during the field work, and will make available to the COR a controlled-access Google spreadsheet that tracks contact information and daily schedules.

The Team will request a letter of introduction from the Mission in PDF form, in order to minimize any potential interview scheduling issues.

The timeline for this evaluation is as follows:

Action	Deliverable	Business Day Schedule	Tentative Calendar Date
Request implementer materials from the Mission			12 Nov
Revise draft work plan, draft protocols, and preliminary list of key informants	Revised Draft Work Plan Revised draft protocols Revised Key Informants List	10 BD	12-25 Nov
Andrew Green travel to BiH			30 Nov (mid-afternoon)
Field work		12 WD	30 Nov–12 Dec
Give in-brief	Presentation of draft work plan, protocols, and KI list	1 WD	30 Nov
Revise work plan, protocols, and KI list	Final Work Plan, protocols, and KI list	8 WD	1 Dec
Conduct data collection			1-9 Dec
Conduct preliminary analysis		1 WD	10 Dec
Give out-brief to USAID, SUNY, and stakeholders	Presentation of initial findings, preliminary conclusions, and notional recommendations	1 WD	11 Dec
Andrew Green departure from BiH		1 WD	12 Dec
Write draft evaluation report	Draft evaluation report	10 BD	28 Dec
Incorporate revisions based on Mission, implementer, and stakeholder feedback	Final evaluation report	5 BD after receipt of all feedback	19 Jan (assumes 10BD for feedback process)
Upload report to DEC and make available all data	Final approved report, datasets	Upon USAID/BiH approval	

BD = Business Day; WD = Work Day (six-day work weeks in field)

MEASURE-BiH will produce a draft evaluation report of no more than 30 pages, excluding front matter, annexes, and references, following USAID guidance on analytical outcomes and the draft report

template. The report will address each of the questions identified in the SOW and any other issues the Team considers to have a bearing on the objectives of the evaluation. The evaluation report will present findings of fact based on identifiable information, not hearsay or unsupported synthesis of opinions. Conclusions for each evaluation question will be drawn directly from the findings, and will again be anchored in demonstrable evidence. Recommendations will in turn be developed based on conclusions, and will be intended to provide the Mission with knowledge needed to consider adjustments to the intervention design.

## ANNEX I: PRELIMINARY LIST OF DESIRED KEY INFORMANTS

<b>US Embassy and USAID/BIH</b>	
Mission leadership	Political Affairs Officer
Program Office staff	DRG Office staff
<b>Implementer and Partners</b>	
SGIP	Prava za sve
KULT	Friedrich Ebert Foundation
CCI	IRI
<b>Direct Beneficiaries</b>	
Members of the Working Group on the Draft Law on (MWGDL) Social Professions	FBIH leadership from both PA Houses
MWGDL Institutional Mechanisms ... Environmental Protection	FBIH Parliament HoR Committee on Economic and Financial Policy
MWGDL Regulatory Impact Assessment	FBIH Parliament HoP Committee on the Economy, Development Policy, Finance, and the Budget
MWGDL Protection of Families with Children	BIH Parliamentary Assembly budget and finance committees
MWGDL Adult Education	FBIH Joint Audit Review Committee
MWGDL Development Planning and Management	FBIH Supreme Audit Institution
MWGDL Foster Care	Canton 10 MWGDL Protection of Cultural Heritage
BIH Gender Agency	FBIH Women's Caucus members
State, Federal Parliament professional staff	FBIH Gender Center
Members of Parliament training participants	New women MPs
State Parliament Joint Committee on Economic Development	PR staff from ministries
Zenica-Doboj Canton leadership, staff	BIH Parliamentary Assembly IT staff
<b>Indirect Beneficiaries</b>	
ACCOUNT	Association of Cities and Municipalities
Other relevant CSOs	
(some Direct Beneficiaries of one activity are often Indirect Beneficiaries of other activities)	
<b>Donors, External Analysts</b>	
Swedish National Audit Organization	OSCE
UNDP ILDP II	SIDA
UNICEF	

## ANNEX III – LIST OF KEY INFORMANTS

<b>BIH &amp; FBiH PARLIAMENT</b>			
	<b>INSTITUTION</b>	<b>NAME</b>	<b>POSITION</b>
1.	BiH Parliament	Mr. Anto Domazet	MP
2.		Mr. Zeljko Kosmajac	Secretary of the HoR Budget and Finance Committee
3.		Mr. Predrag Kozul	MP
4.		Mr. Dragutin Rodic	MP
5.		Ms. Ljiljana Zovko	MP
6.		Ms. Sena Bajraktarevic	Head of the Research Dept
7.	FBiH Parliament	Ms. Besima Boric	Former MP & Women Caucus member
8.		Ms. Jasna Durakovic	MP & Caucus member
9.		Ms. Mira Grgic	MP
10.		Ms. Lucija Vujica Novakovic	MP
11.		Ms. Jasmina Zubic	MP
12.		Mr. Elvir Karajbic	MP, Member of the Joint Audit Committee
13.		Mr. Almedin Aliefendic	MP, FBiH Joint Audit Review Committee, Presiding of the Commission for security
<b>BIH AND FBiH GOVERNMENT (EXECUTIVE BRANCH)</b>			
14.	BiH Ministry of Justice	Mr. Niko Grubestic	Assistant Minister
15.		Ms. Selma Dzihanovic-Gratz	Head of Section for European Integration affairs
16.		Ms. Sandra Srdanovic	Expert Advisor
17.	BiH Gender Agency	Ms. Samra Filipovic Hadziabdic	Director
18.	FBiH Government Secretariat	Ms. Edita Kalajdzic	General Secretary
19.		Ms. Mirsada Jahic	General Secretary Assistant
20.	FBiH Ministry of Finance	Mr. Alija Aljovic	Assistant Minister
21.	FBiH Ministry of Labor and Social Policy	Mr. Benjamin Mesak	Internal Auditor
22.		Mr. Miroslav Juresic	Assistant Minister
23.		Ms. Anja Andric Alibegovic	Civil Servant

24.		Mr. Miroslav Mauhar	Head of Department for Child Protection and Family Support
25.		Ms. Emina Zuko	Advisor for Legal Affairs
26.	FBiH Supreme Audit Institution	Mr. Ibrahim Okanovic	General Auditor
27.		Branko Kolobaric	Deputy General Auditor
28.	FBiH Development Planning Institute	Mr. Ljubisa Djapan	Director
29.		Mr. Nijaz Avdukic	Deputy Director
30.		Ms. Marijana Galic	Expert Advisor
31.	FBiH Gender Center	Ms. Vikica Sunjic	Assistant Director
32.	Zenica-Doboj Canton Assembly	Mr. Ibrahim Avdagic	General Secretary
33.	Pedagogical Institute of the Zenica-Doboj Canton	Ms. Nevzeta Rezakovic	Special Advisor for Legal and General Affairs
34.	Cantonal Center for Social Affairs, Canton Sarajevo	Ms. Mirsada Poturkovic	Associate for coordination, cooperation and information
35.	Office of the Coordinator for Public Administration Reform (PARCO)	Nedžib Delić	Senior Advisor for Public Administration Reform
36.		Aneta Raic	Chief of the Donor Coordination, Finance, Monitoring and Evaluation Unit
<b>INTERNATIONAL DONOR AND ACTIVITIES</b>			
37.	United Nations International Children's Emergency Fund (UNICEF)	Mr. Edmira Ascic	Consultant
38.		Mr. Mario Tokic	Child Protection Officer
39.	United Nations Development Programme (UNDP)	Ms. Aida Lakovic-Hoso	Policy Specialist/Deputy Project manager
40.	The German Agency for International Cooperation (GIZ)	Ms. Azra Ramic	Advisor
41.	Swedish National Audit Organization	Mr. Hazim Sabanovic	Liaison Officer
42.	Organization for Security and Cooperation in Europe (OSCE)	Ms. Nina Sandrk	National Project Officer
43.		Mr. Nermin Tipura	Legal Officer
44.	International Republican Institute (IRI)	Mr. Borislav Spasojevic	Resident Country Director
45.	Growth-Oriented Local Development (GOLD)	Ms. Almedina Suvalija	Deputy Chief of Party
<b>NONGOVERNMENTAL ORGANISATIONS</b>			
46.	Center for Investigative Reporting - CIN	Boris Mrkela	CIN journalist
47.	Aarhus	Ms. Sabina Jukan	Director
48.	Analitika	Ms. Mirna Jusic	Researcher



49.	Centers for civic initiatives (CCI)	Mr. Zlatan Ohranovic	Director
50.	FBiH Association of Cities and Municipalities	Ms. Zlata Turkic	Higher associate for work with the parliamentary commissions and government institutions
<b>U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT</b>			
51.	Democracy Office	Jay Singh, Ph.D.	Director
52.		Svjetlana Derajic	Project Manager
53.	Program Office	Steve Majors	Director
54.		Elma Bukvic Jusic	M&E Specialist
<b>ACTIVITY IMPLEMENTERS AND PARTNERS</b>			
55.	SUNY/CID, SGIP	Lisa Petter	Senior Associate, Project Director
56.	Strengthening Governing Institutions and Processes (SGIP) in BiH	Christian Haupt	Chief of Party
57.		Samir Musovic	Component Leader for Budget, Accountability and Transparency
58.		Sanela Paripovic	Deputy Chief of Party
59.	Prava za sve	Fedra Idzakovic	Co-Director
60.		Diana Sehic	Co-Director
61.		Arijana Catovic	Project Coordinator
62.	Institute for Youth Development KULT	Amila Hadzidedic	Project Coordinator
63.		Nejra Neimarlija Roic	Project Coordinator

## ANNEX IV – REVIEWED DOCUMENTS

- Approval of SGIP's 1<sup>st</sup> MEP Update, E-mail correspondence from November 2013.
- Cooperative Agreement No.: AID-168-A-13-00001 Strengthening Governing Institutions, Systems, and Processes (SGISP) in Bosnia and Herzegovina
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Amended Monitoring and Evaluation Plan*, 5 November 2014.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Revised Monitoring and Evaluation Plan: Revised Targets*, (Annex I).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Monitoring and Evaluation Plan*, 28 September 2013.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Small Grants Manual*, (revised version), January 2014.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Project Year 1 Work Plan*, 13 August 2013.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Project Year 2 Work Plan*, (Amended Draft), 10 February 2014.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Project Year 3 Work Plan*, (Final Version), 27 February 2015.
- SUNY/SGIP, *Final Revised Technical Narrative*.

### SGIP Reports:

- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *1st Annual MEP Report May 2013 to March 2014: SGIP Indicator Data*, (Annex I).
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *1st Annual Monitoring and Evaluation Plan Report May 2013 to March 2014: Lists of Participants at Public Forums and Hearings*, (Annex II).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2013 LCI Administration Summary Reports*, (Final Version), 28 September 2013.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Monitoring and Evaluation Plan First Annual Report*, April 2014.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2nd Annual Monitoring and Evaluation Plan Report April 2014 to March 2015: LCI Actuals Reports for BiH and FBiH for Calendar Year 2013*, (Annex I).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2nd Annual Monitoring and Evaluation Plan Report April 2014 to March 2015: Indicator 2 Training Database*, (Annex II).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2nd Annual Monitoring and Evaluation Plan Report April 2014 to March 2015: Indicator 3 Training Database*, (Annex III).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2nd Annual Monitoring and Evaluation Plan Report April 2014 to March 2015: Indicator 6 SPDM Matrix*, (Annex IV).
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Monitoring and Evaluation Plan Second Annual Report*, 9 June 2015.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Annual Monitoring and Evaluation Plan Report April 2015 to March 2016: LCI FBiH Score Tables for 2014*, (Annex I).

- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Annual Monitoring and Evaluation Plan Report April 2015 to March 2016: LCI BiH Score Tables for 2014*, (Annex II).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Annual Monitoring and Evaluation Plan Report April 2015 to March 2016: Indicator 6 SPDM Matrix*, (Annex), as of March 31 2015.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2014 Legislative Capacity Index (LCI) Report*, 15 May 2015.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report I, 15 May — 30 June 2013*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report III 1 October — 31 December 2013*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report IV, 1 January — 31 March 2014*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report V, 1 April — 30 June 2014*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report VI, 1 July — 30 September 2014*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report VII, 1 October — 31 December 2014*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report VIII, 1 January — 31 March 2015*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report IX, 1 April — 30 June 2015*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Quarterly Performance Report X, 1 July — 30 September 2015*.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Semi-Annual Monitoring and Evaluation Plan Report 1 April —30 September 2015*, 9 November 2015.
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Semi-Annual Monitoring and Evaluation Plan Report: Indicator 2 Training Database*, (Annex I).
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Semi-Annual Monitoring and Evaluation Plan Report: Indicator 3 Training Database*, (Annex II).
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Semi-Annual Monitoring and Evaluation Plan Report: Chart - Public Forums and Hearings*, (Annex III).
- USAID/Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *3rd Semi-Annual Monitoring and Evaluation Plan Report: Indicator 6 Chart - SPDM Matrix*, (Annex IV).
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Semi-Annual Report: Indicator Reporting*, (Annex I), as of 30 September 2013.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *Semi-Annual Report: List of Participants at Public Forums*, (Annex II), as of 30 Sept 2013.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *1st Semi-Annual Update Monitoring and Evaluation Plan*, 4 November 2013.
- Strengthening Governing Institutions and Processes in Bosnia and Herzegovina, *2014 Legislative Capacity Index (LCI) Report*, 15 May 2015.

Other resources:

- CCI, *Efekti Zakona: jedna od nepoznanica u BiH*, (CCI, Tuzla: 2015), Working Version of the Report; available at: << [http://www.cci.ba/dokumenti/ANALIZA\\_EFEKTI\\_ZAKONA.pdf](http://www.cci.ba/dokumenti/ANALIZA_EFEKTI_ZAKONA.pdf) >>, accessed on 15 December 2015.
- NDI, *Bosnia and Herzegovina's 2014 Elections Post-Election Analysis*, (NDI BiH, Sarajevo: October 2014), Report; available at: << <https://www.ndi.org/files/NDI%20BiH%202014%20Post-Election%20Analysis.pdf> >>, accessed on: 15 December 2015.
- UNDP, *Strategic Planning and Policy Development: Policy Development manual for Civil Servants in BiH*, (UNDP BiH, Sarajevo: 2010), Handbook; available at: << [http://www.ba.undp.org/content/dam/bosnia\\_and\\_herzegovina/docs/Research&Publications/Democratic%20Governance/Handbook%20for%20Strategic%20Planning%20and%20a%20Handbook%20for%20Policy%20Development/Policy%20development%20Manual%20For%20Civil%20Servants%20in%20BiH.pdf](http://www.ba.undp.org/content/dam/bosnia_and_herzegovina/docs/Research&Publications/Democratic%20Governance/Handbook%20for%20Strategic%20Planning%20and%20a%20Handbook%20for%20Policy%20Development/Policy%20development%20Manual%20For%20Civil%20Servants%20in%20BiH.pdf) >>, accessed on: 30 November 2015.

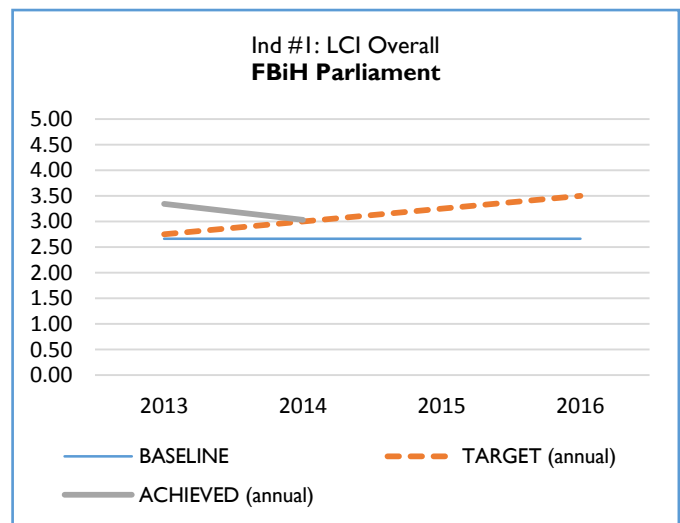
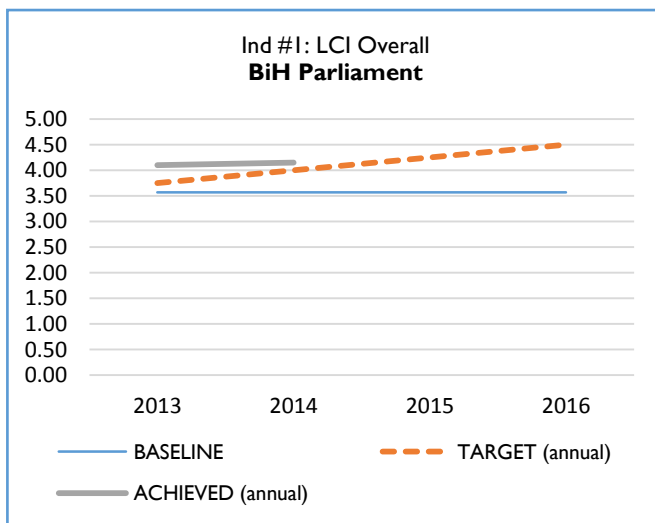
## ANNEX V - SGIP PERFORMANCE INDICATORS

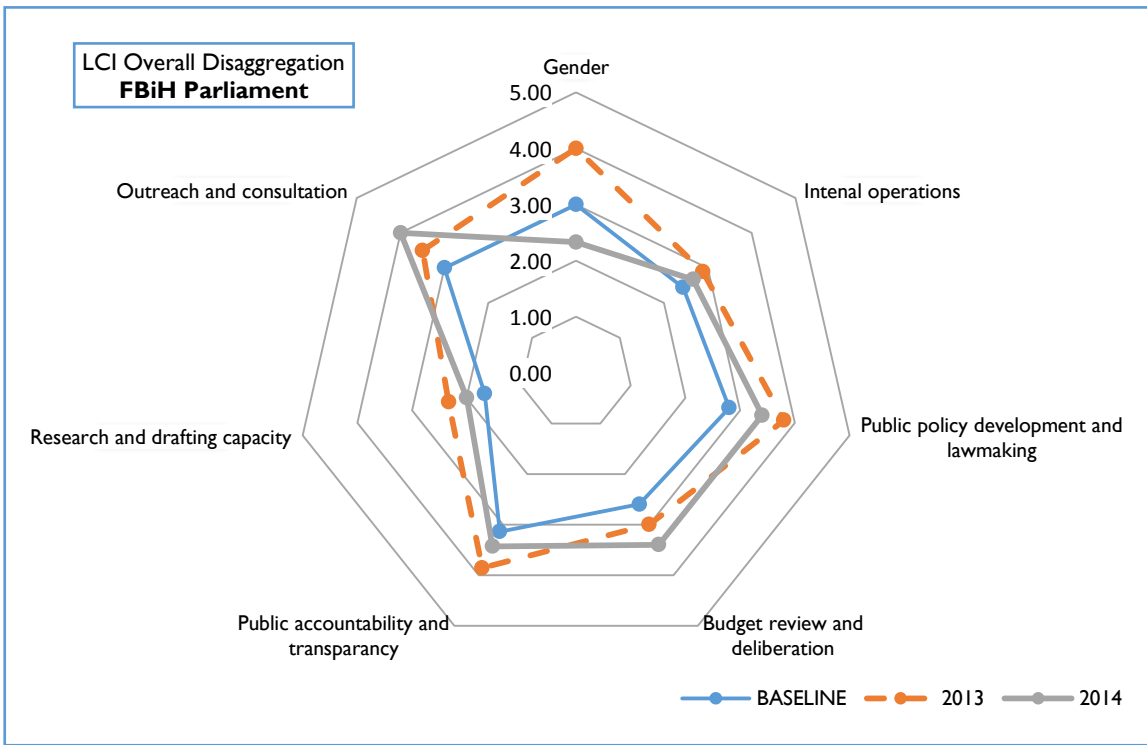
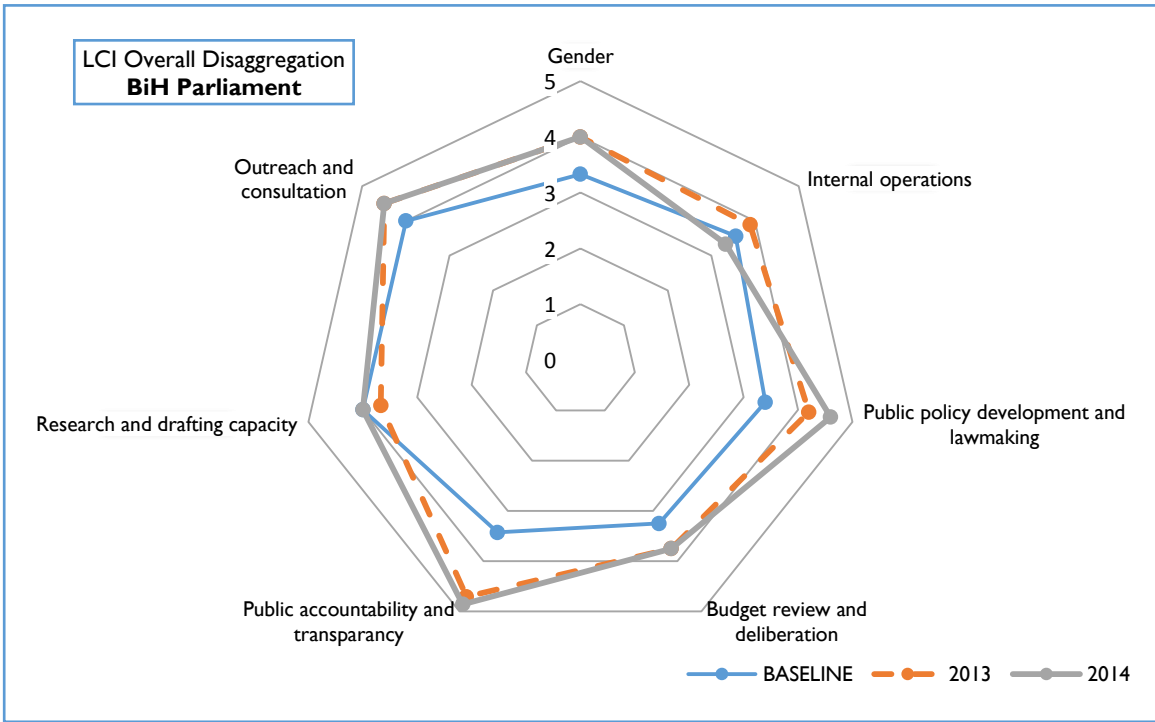
### Legislative Capacity Index (LCI) – Indicators

Legislative Capacity Index (LCI) is a tool designed by SUNY to provide periodic high-level snapshots of the overall performance of the State and Federation Parliaments. It is administered annually, in the spring of each year, for the preceding calendar year. It is a perception tool which evaluates the Parliaments' capacity using accountability indicators to gather data on the following seven dimensions:

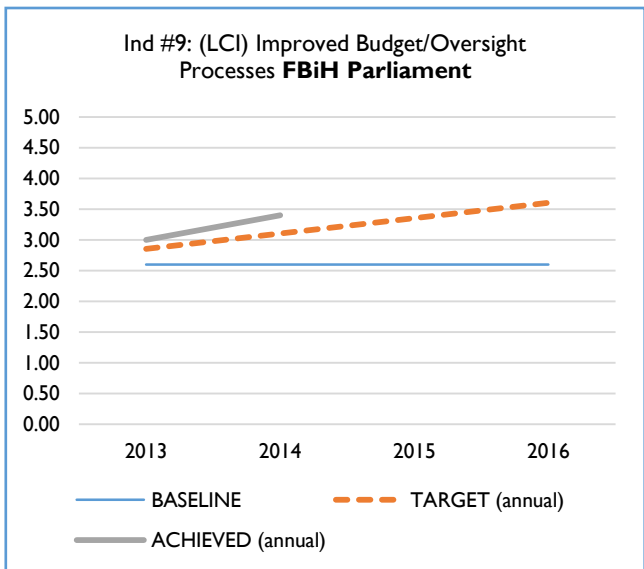
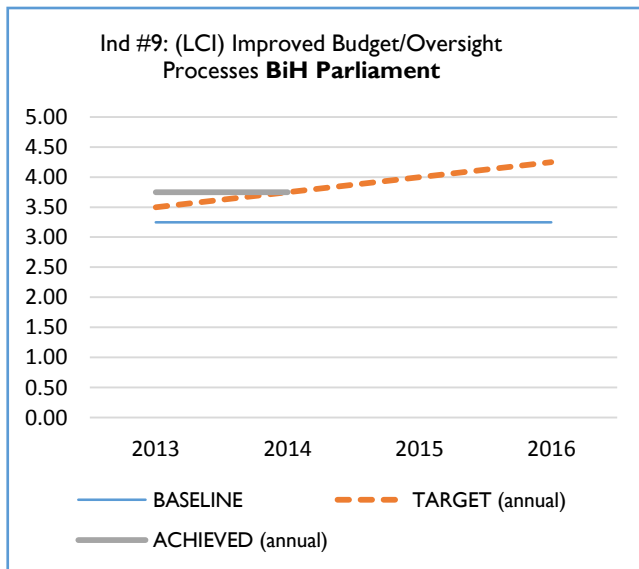
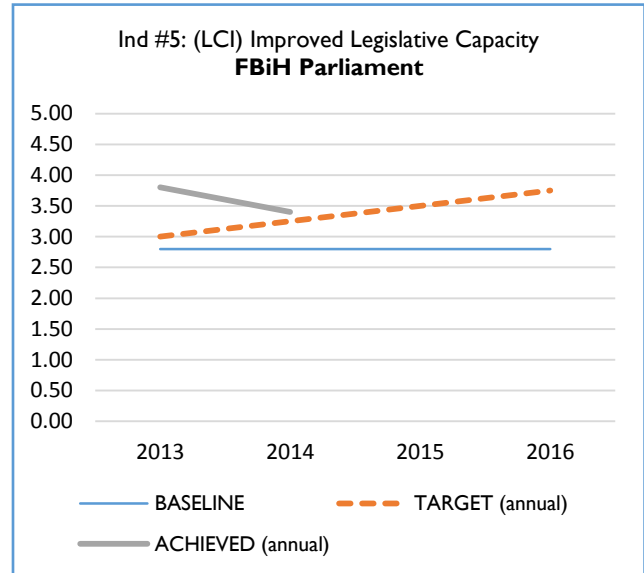
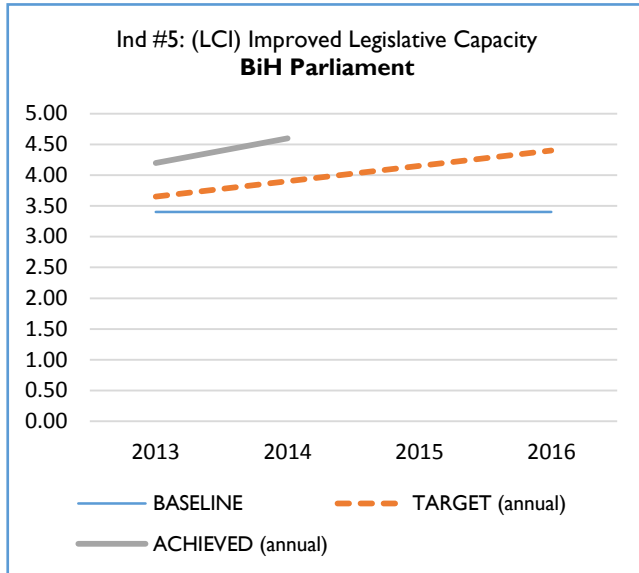
1. Gender;
2. Internal Operations;
3. Policy Development and Law Making;
4. Budget Review, Adoption and Implementation;
5. Public Accountability and Transparency;
6. Research and Drafting Capacity; and
7. Outreach and Consultation.

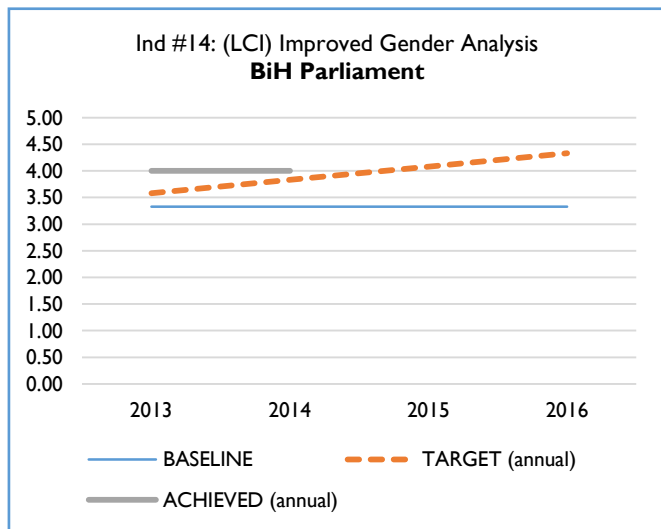
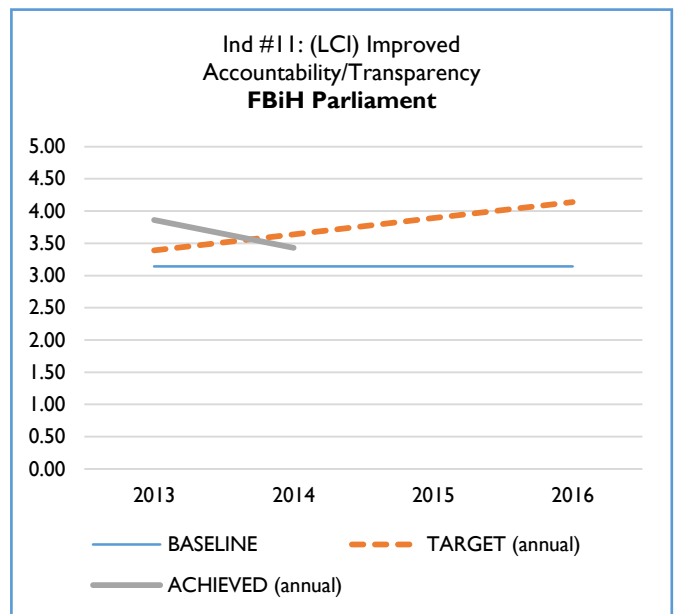
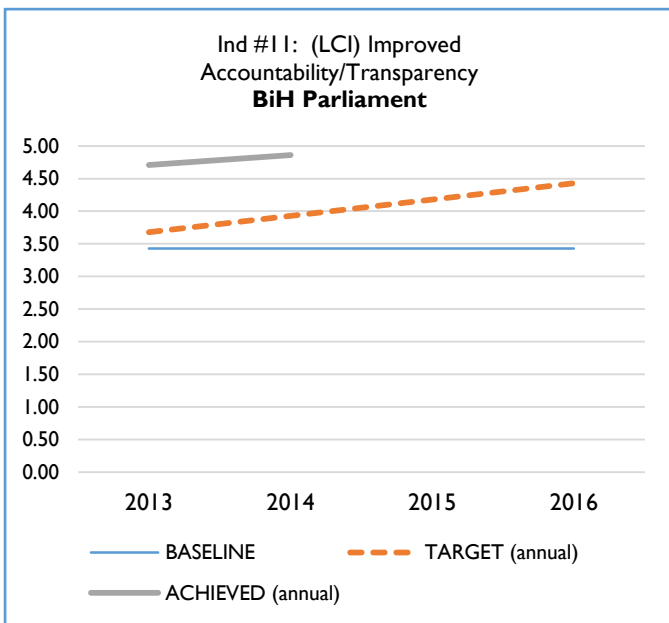
The LCI serves as a means to evaluate SGIP's contributions in legislative capacity development in the State and Federation Parliaments. It is used for program management to create a continuous picture of capacity development needs in each parliament in these seven commonly accepted areas of parliamentary performance. However, it should be noted that SGIP uses only the overall scores for each parliament, as well as the scores for dimensions 1, 3, 4 and 5, as performance indicators because SGIP tasks support those technical areas. For each of the seven dimensions there is a 1-7 range, with 1 being the least and 7 the most. Each dimension is scored independently, and the 7-dimension scores are averaged to produce aggregate legislative capacity score for each parliament separately. The LCI's aggregate or disaggregated scores are used to track five results across all activity components including the Activity Goal. The charts below demonstrate annual results and cumulative targets, corresponding to SGIP M&E indicators.



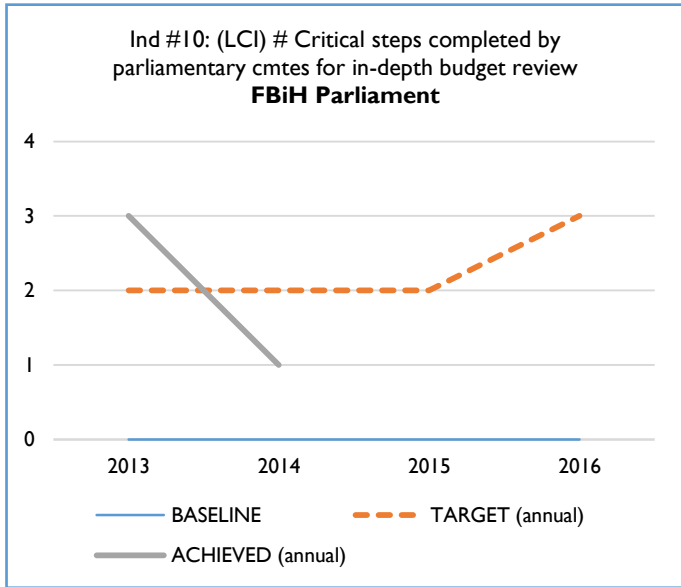
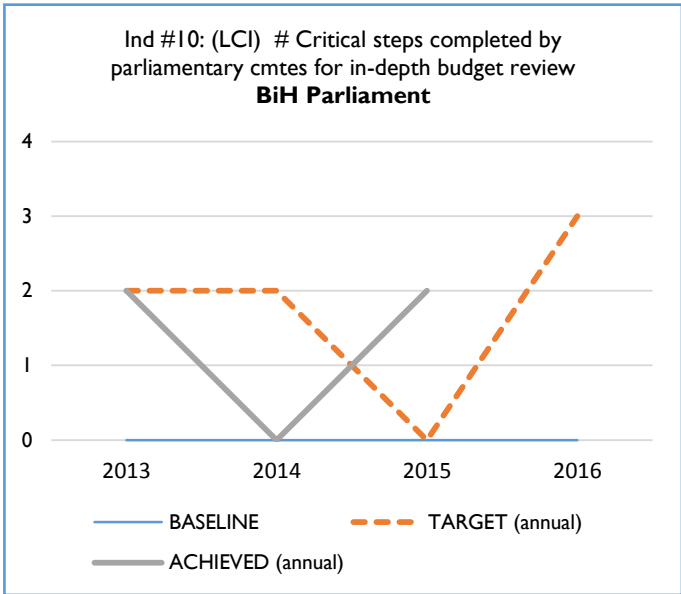


**LCI – Indicators: disaggregated by dimensions**



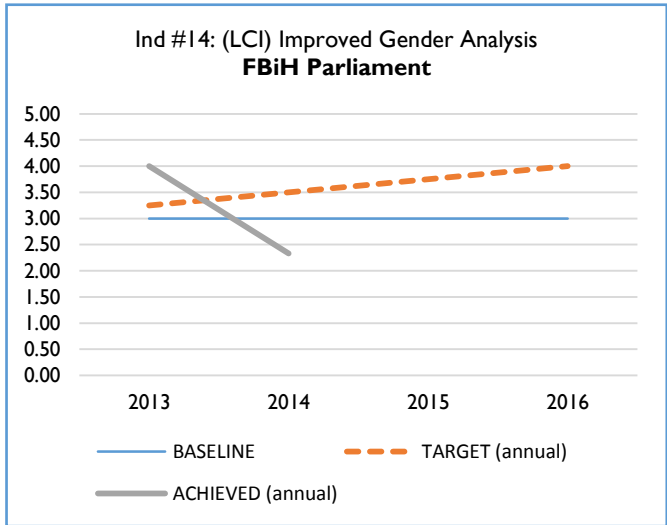




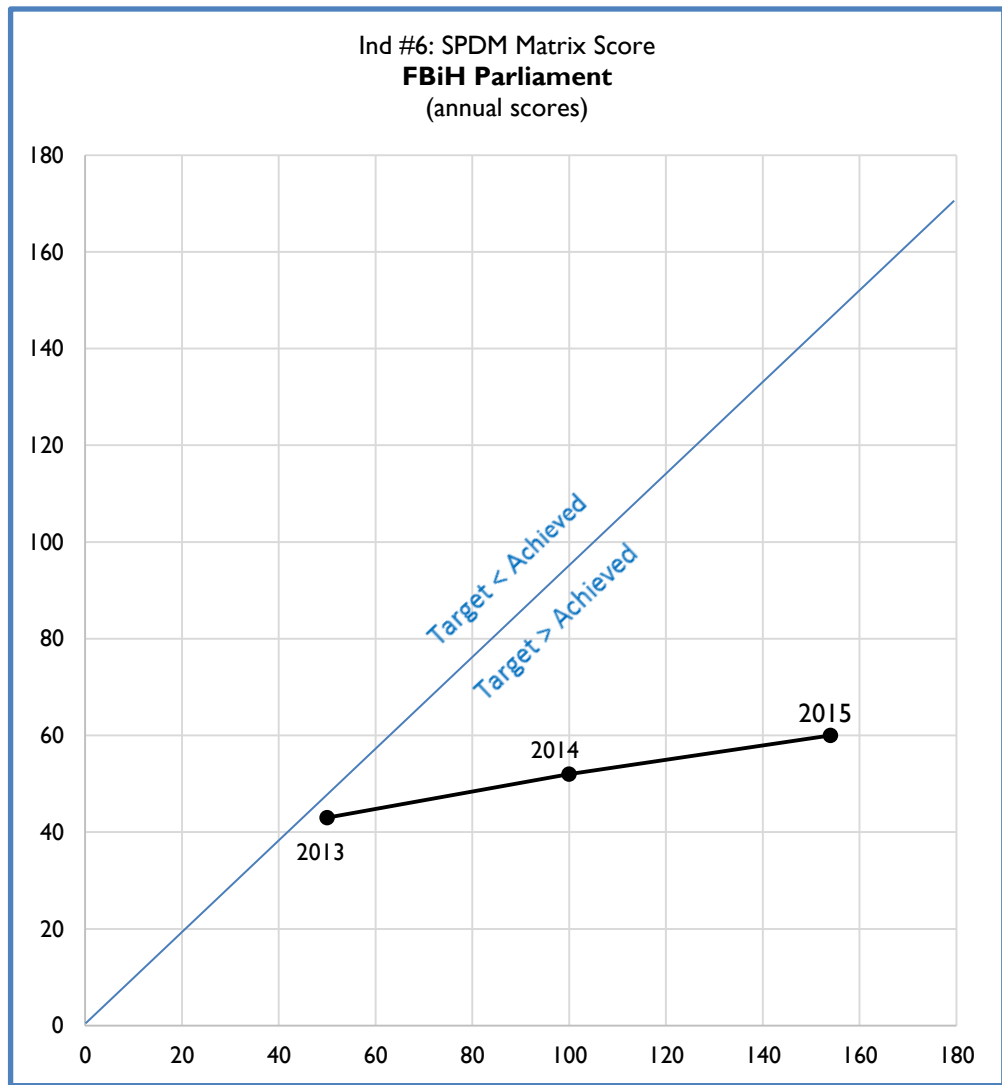


**SPDM- Matrix Indicators**

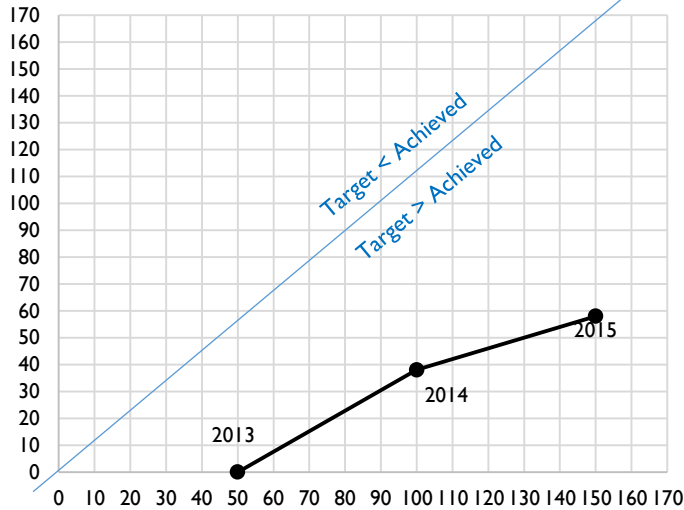
**The Standard Policy Development Methodology (SPDM)** adopted by the Federation of BiH is based on the five stages of the SIGMA policy process: agenda setting, policy formulation/development, legitimization, implementation, and evaluation. SGIP reports on two stages of SPDM: formulation/development and legitimization of the policy instrument. There are a total of 23 steps in these two stages tracked by the Matrix. The first 16 refer to the initial stage and the policy/legislation formulation/development, and 7 steps refer to the legitimization stage for policy instruments. To track the progress a ratio was established that aggregates the total number of steps the activity supports. More precisely this totals to 180 steps for the Activity period. Six draft laws will be supported through both stages (138 steps total) plus six draft laws that will only be supported in the legitimization stage (42 steps in total). For each year the activity has annual and cumulative targets. The graph below presents the cumulative target and achievements.



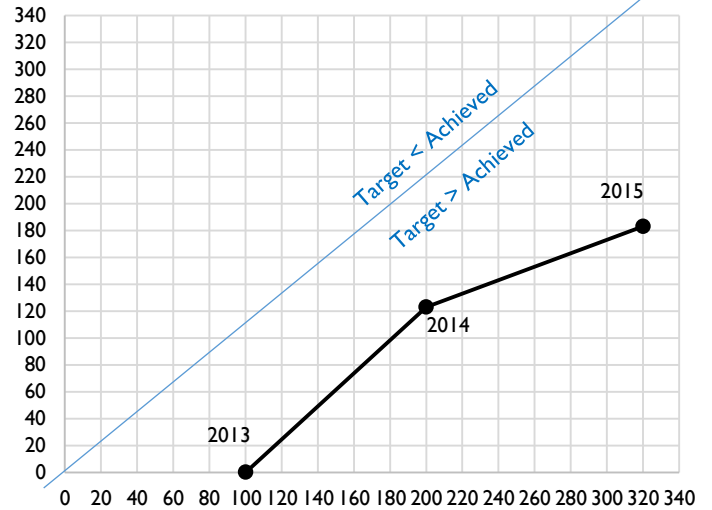
Remaining  
Indicators



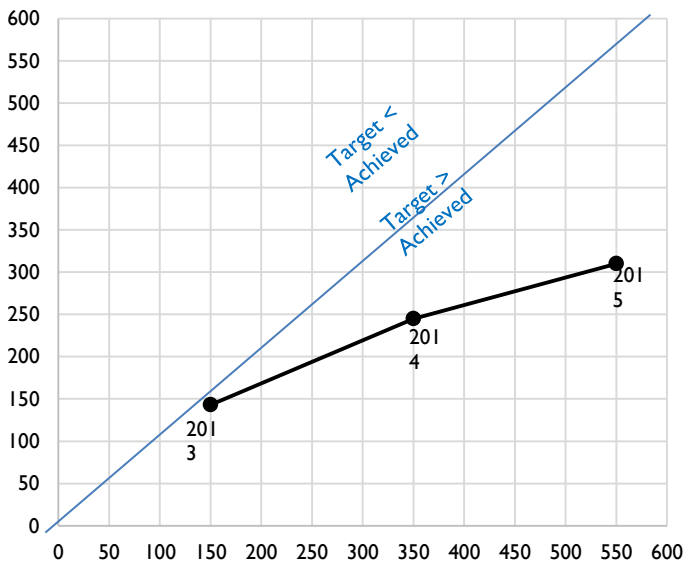
Ind #2: No. of **BiH Parliament** MPs/staff attending SGIP-sponsored training/educational events  
Target vs Achieved (cumulative)



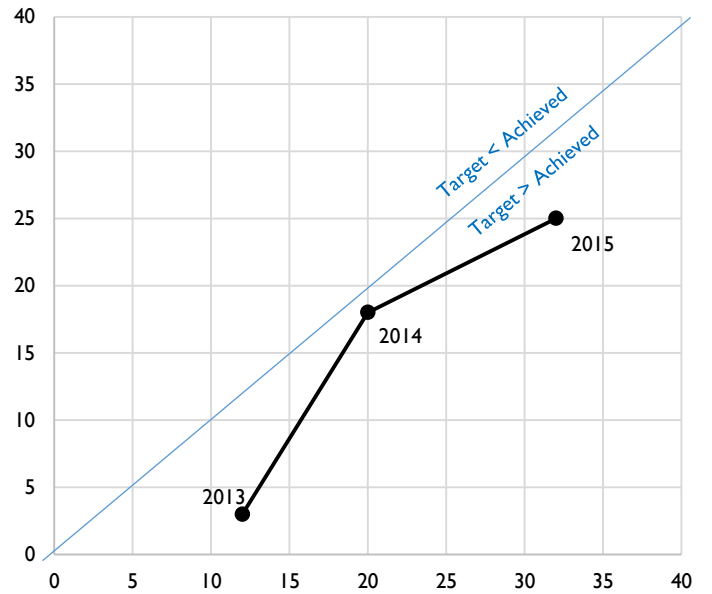
Ind #2: No. of **FBiH Parliament** MPs/staff attending SGIP-sponsored training/educational events  
Target vs Achieved (cumulative)



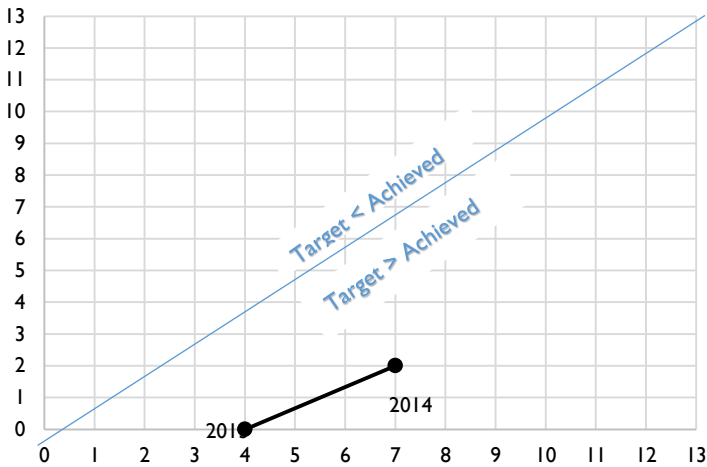
Ind #3: No. of Executive branch personnel attending SGIP-sponsored training/educational events  
Target vs Achieved (cumulative)



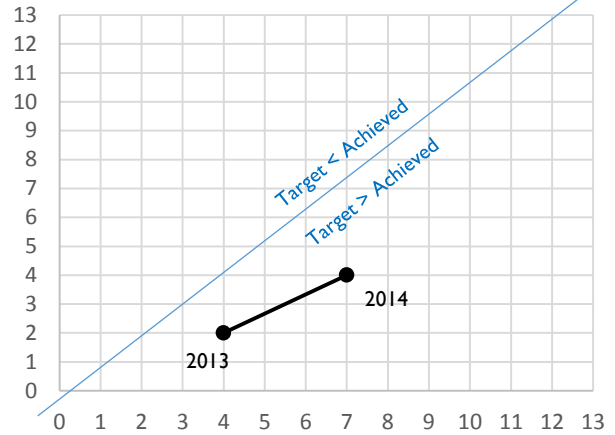
Ind #4: No. of public forums/hearings in which national legislators and the public interact  
Target vs Achieved (cumulative)



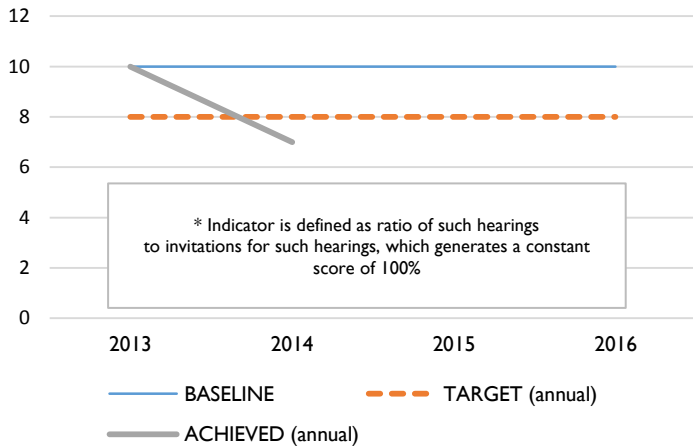
Ind #7: # legislation subject to public consultation  
FBiH Parliament  
Target vs Achieved (cumulative)



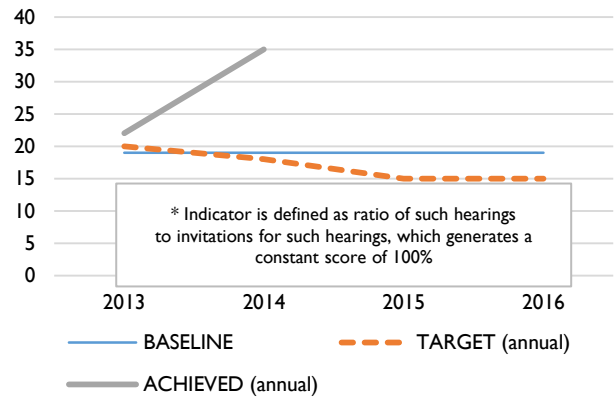
Ind #8: # legislation (SGIP-facilitated) subject  
to a public hearing  
FBiH Parliament  
Target vs Achieved (cumulative)



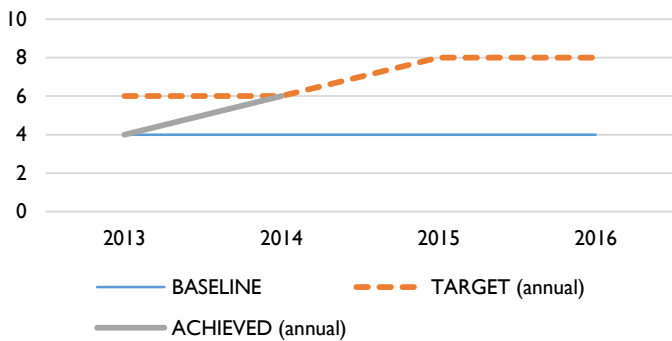
Ind #12\*: # Non-compliant agencies and poorly  
performing programs attending evidence-based  
public hearings upon invitation  
BiH Parliament



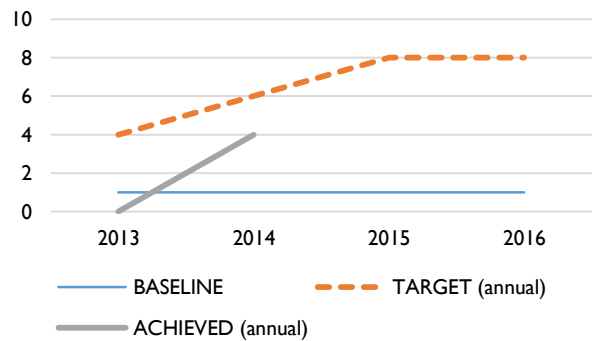
Ind #12\*: # Non-compliant agencies and poorly  
performing programs attending evidence-based  
public hearings upon invitation  
FBiH Parliament



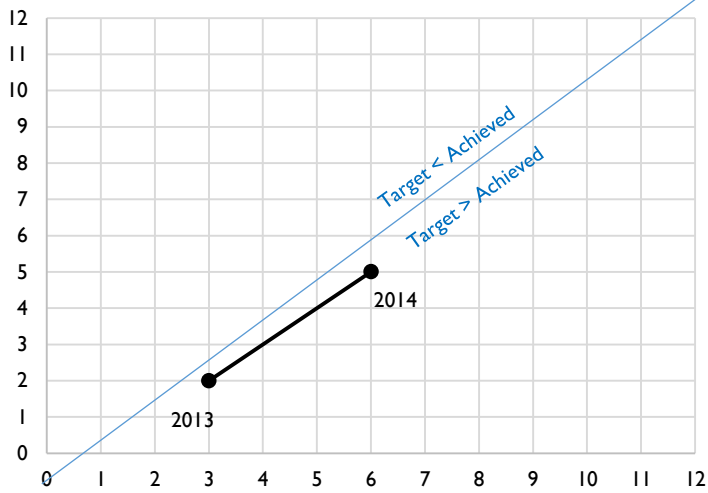
Ind #13: # Audit reports deliberated in  
parliamentary cmtes  
BiH Parliament



Ind #13: # Audit reports deliberated in  
parliamentary cmtes  
Federation Parliament



Ind #15: # SGIP-supported draft laws/bylaws with  
gender equity assessment  
Federation Parliament  
Target vs Achieved (cumulative)



## ANNEX VI - SGIP PERFORMANCE EVALUATION INTERVIEW PROTOCOL

	USAID	SGIP+	Direct Beneficiaries	Indirect Beneficiaries	External, Other Donors	
<b>EQ1: To what extent has SGIP's work with local partners, including Host-Country Government counterparts, strengthened their capacities in policy development and law-making? Has SGIP capacity-building in fiscal impact assessment (FIA) resulted in policy changes?</b>						
Task 1.1			Did you participate in SPDM training? Were you aware of other technical assistance/expertise?			
		What distinguished SGIP's training approach from other trainings you have had?				
			Where else could you have found similar training or support?		Where else could you have found similar training or support?	
		What factors promote or prevent training like this from being offered on a larger scale?			What factors promote or prevent training like this from being offered on a larger scale?	
			Could you give a specific example of how you used the SPDM training knowledge?			
		What is the history of why this specific draft legislation was supported by SGIP?				
		In what specific way did the SPDM affect the quality of draft legislation?				
		In what specific way was the inclusion of other government officials and CSOs not/valuable to the working group?				
		What specific value did external technical expertise add to the impact assessment?				
		In what specific ways is the quality of the draft/law different than it would have been?				
				Would you be able to repeat this process in another working group for a draft law?		
			Do you anticipate any specific policy legislation opportunities in the next year?			Do you anticipate any specific policy legislation opportunities in the next year?

	USAID	SGIP+	Direct Beneficiaries	Indirect Beneficiaries	External, Other Donors
			What factors promote or prevent SPDM from being a standard process for ALL legislative development?		What factors promote or prevent SPDM from being a standard process for ALL legislative development?
Task 1.2			Could you give a specific example of how you used the FIA training knowledge?		
			Where could you find similar training?		Where could you find similar training?
			What specific role could you play in a future FIA?		
			What factors promote or prevent FIA being required of ALL legislative development?		What factors promote or prevent FIA being required of ALL legislative development?
			Have you used the FIA ToT knowledge to train others?		
			Could you give a specific example of how one of your trainees has used their FIA knowledge?	Could you give a specific example of how you as a trainee have used your FIA knowledge?	
Task 2.1	What are the factors promoting or preventing the creation of a Budget Unit?				
	Does the FBIH MinFin have the capacity to conduct RIA or review assessments, as needed?				
		How would you compare the quality of budgets with versus without impact assessments?			
Task 2.2	What is the policy value of joint planning in the budget process?			What is the policy value of joint planning in the budget process?	
		Could you give a specific example of the value or contribution of external experts or CSOs in the joint process?			
	What gaps or needs exist in joint planning?				
<b>EQ2: What results have been achieved when audit methodologies developed by SUNY were applied by parliamentary committees?</b>					
Comp3			What specific coordination or interaction have you had with SGIP on audit issues?		What specific coordination or interaction have you had with SGIP on audit issues?
			Are you aware of the 'Performance Audit Report Checklist' as a tool?		Are you aware of the 'Performance Audit Report Checklist' as a tool?

	USAID	SGIP+	Direct Beneficiaries	Indirect Beneficiaries	External, Other Donors
			Could you give a specific example of how you used the checklist to review an audit report?		Could you give a specific example of how you used the checklist to review an audit report?
			Are you aware of SGIP's analyses of audit reports?		Are you aware of SGIP's analyses of audit reports?
		Could you give a specific example of how the analyses have improved the review of audit results?			Could you give a specific example of how the analyses have improved the review of audit results?
			What capacity do you have to conduct such analyses in your organization?		
<b>EQ3: How well have gender issues been addressed by SGIP?</b>					
Comp4 (Comp1)		Could you give a specific example of your engagement in a legislative development process?			
			Are you aware of SGIPs "Legislative Toolkit"?		Are you aware of SGIPs "Legislative Toolkit"?
			Could you give a specific example of how it has been used?		
			Are you aware of the 'Gender-Responsive Budgeting Toolkit'?		Are you aware of the 'Gender-Responsive Budgeting Toolkit'?
		What assistance if any would your organization need to apply the GRBT?		What assistance if any would a ministry need to apply the GRBT?	
<b>EQ4: What factors, including external factors, are contributing to (or inhibiting) significantly the achievement of program objectives?</b>					
	[Captured in multiple questions above]				
<b>EQ5: To what extent has SGIP ensured synergy and cooperation with other USAID projects and international donors in providing support to targeted partners?</b>					
	[Captured in multiple questions above]				



## ANNEX VII – EVALUATION TEAM’S RESPONSE TO USAID’S COMMENTS

Comm #	USAID/BiH Comments (received 25 January 2016)	MEASURE-BiH Response
1.	<p>- <b>For the evaluation question 1</b> As for the first evaluation question – regarding the effect of SGIP activities on the quality of legislative-development processes – the evaluation concluded that SGIP strengthened the capacities of a number of local host government and civil society organization (CSO) partners, resulting in higher quality legislation and policy changes. However, the gains are not sustainable, due to lack of human and budgetary resources at host government counterparts.</p> <p><i>We find this conclusion is in contradiction with the finding that all Federation Ministerial respondents claimed they are now able to apply RIA on their own (p.14). Please clarify. In addition, through our contacts USAID has been assured that at least three Government ministries or agencies will have sustainable numbers of personnel who are able to carry out RIA by SGIP’s end date. They are the Federation Ministry of Labor and Social Protection; the Federation Institute of Development Planning, and the BiH Ministry of Justice.</i></p>	<p>The Evaluation Team is aware of the contribution that SGIP has made, as most of the direct beneficiaries expressed that it resulted in higher quality legislation. In regards to the comment, the Team does not find any contradiction. While ministries explained that they have gained new knowledge and would be able to oversee the whole process in theory, the overall conclusion and concern was that they still lack human and financial resources to carry out the task. In addition, procedural and legal limitations to engage external experts needed for specific fields hamper its ability to fully apply RIA on their own. Even within the same ministry we obtained various responses on the degree of capacity and confidence to implement the full process, particularly RIA independently. It is important to distinguish that the capacities built by SGIP are significant in terms of gained understanding about the process, which we explicitly stated vs. capacities to practically execute a process deemed by most beneficiaries as very demanding, but much less so in terms of the confidence to replicate SGIP’s facilitation role that pushed active engagement and kept the process moving forward.</p> <p>Furthermore, when the Evaluation Team speaks of human resources, it does not refer to the number of employees within the ministries, but the type of cadre and positions that limit the capacities of the ministries for analytical work.</p>
2.	<p>- Another conclusion was that the efforts to improve budget preparation, review, etc. have not had success due to factors beyond the control of SGIP. The regular occurrence of expedited consideration of proposed legislation, including the budgets for 2016, marginalizes both the Federation parliament and BiH Parliamentary</p>	<p>The Evaluation Team did not have the Year 4 work plan, as it was being produced by SGIP at the same time as the draft evaluation report. The report will also be revised to reflect more accurate characterization of the 2016 Federation budget process.</p>

	<p>Assembly and eliminates deliberation and revision. The team also concluded that fiscal impact analysis (FIA) trainings are valued because they produce important analyses for policymaking – and affected policy development – but, ultimately, are not sustainable due to resource constraints.</p> <p><i>USAID finds this comment a bit misleading. SGIP will deliver a comprehensive package of assistance on FIA in AY4 that includes training of local trainers from the Ministry of Finance and supporting their provision of FIA training to government personnel, together with an electronic template and custom software linked to the Ministry’s Budget Management Information System and a manual to guide the process.</i></p>	<p>As seen in the Team’s recommendations, we support expansion of engagement with such Federation actors as the Ministry of Finance and the Federation Institute of Development Planning.</p> <p>It is the Team’s understanding that Budget Management Information System is being supported by the PAR Fund through PARCO to connect state institutions as well as the state and entity levels. SGIP’s suggested Year 4 expansion of its activity regarding FIA training is welcomed.</p>
<p>3.</p>	<p>- <u>For the fifth question</u> – regarding SGIP’s interaction with other donors and USAID projects – the team concluded that SGIP has worked deliberately to coordinate/cooperate with a wide range of international donors and other USAID projects. However, it may have missed a clear opportunity to engage with European Union (EU)-supported programs implemented through Public Administration Reform Coordinator’s Office (PARCO).</p> <p><i>Please consider and correct the misperception that SUNY does not coordinate with PARCO. Please see the comment under “Future Recommendations,” below.</i></p>	<p>The Evaluation Team is confident in its conclusion, please see our detailed response below.</p> <p>The Team very deliberately used the phrase “may have missed” as opposed to “did miss” in the first conclusion under Evaluation Question #5, in order to convey our uncertainty over informal interaction between the two sides and the level of PARCO’s willingness to cooperate more actively.</p> <p>SGIP and PARCO overlap in the focus on the State and Federation levels, and in many of the training topics, so the team believes that there were solidly substantive reasons to expect SGIP to have interacted with PARCO at as meaningful a level as possible. The comments on the draft report point not to coordination – indeed, no evidence is presented of what was coordinated and how – but to communication about separate and perhaps parallel activities, and even that communication seems to have largely been indirect.</p>

		The Team’s point in the “Future Programming” subsection of the ‘Recommendations’ section is that there is overlap of institutional foci and training topics between PARCO and an activity like SGIP. USAID should consider how to more deliberately design a SGIP-like follow-on activity so that it is integrated with or clearly complements/extends PARCO’s work.
4.	<p>Also, the evaluation team concluded that SGIP has opened new space for policy discussions between the Federation and municipalities. The cantonal level, however, is an important constitutional actor for budgeting and strategic planning below the Federation level.</p> <p><i>As clarified in contacts by AOR during the field visit, this activity has not planned working with canton level apart from piloting in legislative processes in only three targeted cantons. SUNY/CID has included cantonal representatives wherever their competences were needed such as in the social policy working groups to ensure their technical, budgeting and planning concerns are integrated with Federation policies and legislation. Furthermore the Law on Development Planning and Management addresses the concerns of all levels of government in the Federation.</i></p>	The Evaluation Team understands that the piloting of legislative processes was planned only in three targeted cantons and that cantonal representatives were included in the policy working groups. The evaluation concluded and confirmed that cantonal level is an important constitutional actor for the budgeting and strategic planning below the Federation Level.
<b>RECOMMENDATIONS – COMMENTS</b>		<b>RESPONSE</b>
5.	<p><b>Continue supporting legislative development processes</b> – SGIP’s direct beneficiaries greatly valued its facilitation role and resources, so the activity should be able to continue to provide value for the remaining year.</p> <p><i>We are most gratified by the high value and level of appreciation our beneficiaries expressed for the assistance provided to them. We will continue the collaboration in the coming year.</i></p>	The Evaluation Team is glad to hear that SGIP will actively continue to provide support valued by the key beneficiaries.

<p>6.</p>	<p>SGIP should particularly engage the Federation Ministry of Finance and the Federation Institute of Development Planning to identify legislative initiatives that would benefit from facilitation and support for impact analysis, including fiscal impact analysis.</p> <p><i>The Year 4 (AY4) draft work plan contains a full program of capacity building and technical assistance to facilitate increased and sustainable capacity to produce fiscal impact analysis (FIA) in the Federation. In cooperation with UNDP, SGIP will assist the Institute for Development Planning in convening a donor-stakeholder group to develop a road map to implement the Law on Development Planning and Management. We will stand ready to assist the Institute in implementing the road map until the end of the SGIP activity.</i></p>	<p>The Evaluation Team did not have the Year 4 work plan, as it was being produced by SGIP at the same time as the draft evaluation report, and is happy that SGIP has considered activities related to this recommendation in the plan.</p> <p>The Team’s additional point in this recommendation is that the selection of legislative initiatives be driven more by the potential value of FIA to the legislative development process.</p>
<p>7.</p>	<p>Related, <b>SGIP should explore establishing</b> an expanded and more robust expertise procurement process for impact analyses. This would help build experience and capacity among the nascent policy analysis community of practice in BiH, and would bring in new experts and new ideas.</p> <p><i>SUNY/CID sees its role as building acceptance of CSO participation in policy, legislative and oversight processes which has not existed heretofor, for a number of reasons, including a common perception that CSOs are “watchdogs” who have little constructive input to offer government. It is interesting to note that “all ministry representatives recognized the lack of analytical skills in their own ministries, and readily accepted the expertise offered by SGIP experts and CSOs engaged by SGIP via grants.” (p. 15) And yet, the MEASURE evaluation notes that only five of 13 MPs and Ministry officials “responded that CSOs were a good resource for analysis in this process.” (p. 15) The policy analysis</i></p>	<p>When we say “a more robust expertise procurement process,” we do not mean exclusively engagement of CSOs but rather we suggest SGIP work with ministries to assist them in identifying solutions for engaging specific, specialized services by outsourcing. i.e. to introduce a culture of outsourcing in the Federation institutions. It is true that SGIP mainly engaged CSOs to support impact analysis, but the procurement process that we mention can refer to any consultancy agency, think-tank, institute, academic institution, etc. in addition to CSOs.</p> <p>The recommendation, “Transition audit report meta-analysis efforts to a CSO,” was made with the objective to ensure sustainability of the expertise for audit report meta-analysis by transferring this expertise to a body outside of SGIP. In this sense, a CSO would have broad meaning (similar as above).</p>

	<p>community is indeed nascent in BiH and SGIP needed to bring experienced and trusted partners to all phases of the process in the first instance. (“Six of seven CSO representatives stated that the experience with the SGIP-facilitated processes helped them to improve their expertise ...” p. 15) We will continue to facilitate constructive interactions between CSOs, subject matter experts and Government representatives to build capacity and trust on both sides which will support robust competition in the future.</p>	<p>With regards to the 5 out of 13 MPs mentioning the usefulness of CSOs, the team only included the responses for those MPS who directly spoke about CSO involvement, while the other 8 did not speak about this topic at all. It is important that those MPs who did mentioned CSOs highly valued their engagement and input.</p> <p>Furthermore, in relation to the ministries, all but one felt that local expertise from CSOs was very valuable. The Team found only one respondent who expressed negative attitudes about CSO involvement, particularly related to the fact that CSOs should not assume the Ministries’ obligations (in that particular case it was about the organization of the consultation processes).</p>
<p>8.</p>	<p><b>Reduce or eliminate all activities under Component 2</b> – Without the Federation parliament’s explicit commitment and operational plan to establish a budget unit, and in light of the recent expedited budget that bypassed joint processes, the Mission should direct SGIP to revise its budget, staffing pattern, and work plan to end engagement under Component 2.</p> <p><i>This recommendation should be reconsidered in the light of the following fact not considered, or not justified by the evaluation team: In FBiH 2016 Budget went through two readings, with public debate. SUNY/CID’s third Public Policy Dialogue, held between Readings of the Budget, contributed to the fact that the regular procedure was implemented, which had not been the case in previous years. Please see below.</i></p> <p><i>Component 2 subtasks fall into two streams: establishing a Budget Unit in the Federation Parliament and conducting a series of activities to promote greater involvement by MPs and external experts in the review of Budget-related documents. Cancellation of either or both streams would result in disappointment among</i></p>	<p>Characterizing the nature of the December legislative process for the Federation budget is difficult, to the extent that both the Evaluation Team <u>and</u> SGIP are correct. The confusion stems from the fact that the Dom Naroda (HoP) did not pass the draft budget on 17 December, but the Predstavnički Dom (HoR) did on 22 December; the HoP therefore considered and adopted the draft budget under expedited procedures. However, the Team recognizes that the process prior to that followed all FBiH procedures, including public consultations. SGIP did indeed contribute to the process through facilitation of public hearings. To our knowledge, the budget was passed on time, thanks in large part to strong IMF pressure for a budget approval by 31 December (note that this pressure itself raises a counterfactual that cannot be addressed in this evaluation).</p> <p>This is a minor point, however. More important to any future activities to support the establishment of a Budget Unit are political conflict within the Federation parliament and the lack of a strategic plan. The ongoing fragility of the ruling coalition and differences in party seat allocations between the two houses have not changed, and so the potential for lack of positive political will (noted by many key informants) has not changed; the comments on the draft report themselves point to the formation of a new coalition government as a</p>

	<p><i>our partners in Parliament, which would complicate the Mission's relationships with this Parliament and might hinder follow-on work.</i></p> <p><i>For the <u>Budget Unit</u> stream, the Speakers have asked SGIP to revisit the decision on whether to proceed with establishing a Budget Unit when three critical processes are sufficiently advanced and/or complete. Those processes are: the finalization of the EU Parliamentary Twinning Project's recommendations; the formation of the new coalition government; and the revisiting of the staffing table following adoption of the <u>Changes to the Law on Civil Service in the FBiH</u>. We expect all three processes to be sufficiently advanced and/or completed by the end of February 2016 to take a final decision on the Budget Unit initiative.</i></p> <p><i>For the <u>Review of Budget-related documents</u>, MEASURE completed its in-country data gathering exercise before SGIP convened the third and final Public Policy Dialogue event of 2015 on the draft Federation Budget. Based on transcripts of Parliamentary proceedings and official documents, SUNY/CID can demonstrate that these three events stimulated MPs' interest in budget-related analysis from experts and increased dialogue between MPs and the Ministry of Finance on key issues in the budget process. For example, the Ministry explicitly referred to the third SGIP Public Policy Dialogue in its <u>Explanatory Note for the Draft FBiH Budget for 2016 (Draft for 2<sup>nd</sup> Reading)</u>. The 2016 Budget was passed in regular, not expedited procedure, and SGIP played a major role in ensuring this better practice. Our beneficiaries in the FBiH Parliament and FBiH Ministry of Finance are requesting and anticipating these dialogues; we plan four such events for 2016.</i></p>	<p>precondition for proceeding toward a Budget Unit. The political tensions in both houses have clearly had and will in the future have an effect on the functioning of mechanisms for joint budget planning, as well.</p> <p>To the team's understanding, changes to the Federation Law on Civil Service mainly affect current civil service positions. The law does not address the organizational structure of an institution. The Budget Unit itself would be a new structure within FBiH parliament. Nor do the changes alter the Federation parliament's budget for human and IT resources, particularly as would be laid out in the kind of strategic plan that the Federation parliament still lacks.</p> <p>The Team revises its recommendation slightly in two ways: first, reduce the tasks and budget for Component 2 to only what is needed to facilitate public hearings on budget drafts; and second, in light of the lack of a strategic plan or a combination of some other explicit commitment, operation plan, and Federation parliament budget resources, USAID should carefully consider whether and how to address the Budget Unit issue in a follow-on activity.</p>
<p><b>9.</b></p>	<p><b>9. Transition audit report meta-analysis efforts to a CSO</b> – The evaluation team recommends the task should</p>	<p>The Evaluation Team understands both the informational value of the meta-analyses and the facilitative role, and how both were highly</p>

	<p>be transitioned to a CSO that is engaged in anti-corruption, investigative journalism, or government watchdog activities.</p> <p><i>USAID appreciates the finding that SUNY's meta-analyses are universally valued and have raised public awareness of the critical roles the Parliaments and Supreme Audit Institutions (SAIs) play in overseeing Executive performance. However, we believe the evaluation misunderstands the nature and purpose of our meta-analysis and our facilitative role for Committees and SAIs in formulating conclusions based on the audit hearings. This analysis and facilitation are useful to MPs and the SAIs precisely because they come from a neutral, respected and trusted third party which <b>does not</b> play a "watchdog" role. Our activity facilitates MPs' understanding of, and action on, SAI reports in a manner which is recognized by all parties to be evidence-based and objective, and we facilitate cooperation between MPs and the SAIs in discussing the meaning of these findings. This is the antithesis of the "watchdogs" whose important work is to expose irregularities; by nature they lack the perceived political and technical impartiality required to take this work forward.</i></p>	<p>valued by the Federation parliament. We assume that "attack dog" is the phrase that is meant here rather than "watchdog," which is precisely what an organization impartially collecting, analyzing, and reporting would be, and is precisely what is needed. Such CSOs do indeed exist in BiH, e.g., CCI. The team's recommendation is that the meta-analyses be conducted outside of SGIP to advance policy analysis capacity building, although SGIP could still facilitate discussions of those analyses.</p>
<p><b>10.</b></p>	<p><b>SGIP could conduct training for journalists</b> on how to understand and report on audit findings. This could be done in coordination with an existing donor-funded activity, a prominent CSO specializing in media, or as a stand-alone exercise.</p> <p><i>SUNY/CID will continue to facilitate opportunities for media representatives to engage directly with Members of the Parliamentary Committees and with representatives of the SAIs to increase understanding of the audit process. SUNY/CID's experience demonstrates that effective parliamentary support requires the absolute trust of key beneficiaries (Parliaments and</i></p>	<p>The Team explicitly stated <u>training for journalists</u> as opposed to facilitation of interaction between the commissions and the SAI with journalist. The media is not sufficiently knowledgeable on the responsibilities, details, and processes of both the Parliament and the SAI, which hinders public outreach and awareness</p> <p>The Evaluation Team is aware of the SGIP support to students of journalism and values this activity. The suggestion is to expand the activity and target active journalist and CSOs specializing in media to obtain more in-depth understanding of the related processes and gain adequate analytical skills.</p>

	SAIs).	
11.	<p><b>1. Expand gender mainstreaming efforts to include training on gender-gap assessment</b> – The most active effect of SGIP’s gender-related technical assistance was the legislative development processes of Component I. Expanding the impact assessment process to include gender gap assessment, i.e., how social issues and their policy solutions affect men and women differently, would be a natural extension of SGIP’s current work.</p> <p><i>SUNY/CID has asked Prava za sve to engage experts to carry out these gender gap assessments and will provide additional training on gender gap assessments in the context of promoting the Toolkits. We will invite the BiH Gender Agency and the F BiH Gender Center to familiarize with this assessment methodology and develop their competencies.</i></p>	<p>The Evaluation Team welcomes the news that future activities by SGIP address this recommendation, and hopes that future legislation supported by SGIP will include a gender-gap assessment.</p>
12.	<p><u>Future Programming</u></p> <p><b>5. Expand legislative process support</b> – There is a demonstrable need for the kind of training and technical support that SGIP has provided. It may be possible to leverage existing host-country and international-donor partnerships, e.g., PARCO, to expand training to Federation ministries, all 10 cantons, and perhaps other major Federation units that produce budgets.</p> <p><i>USAID would like to correct the misperception that SUNY has not coordinated sufficiently with PARCO. PARCO operates on a consensus basis with four main beneficiaries, the BiH, F BiH, RS and Brcko District; SGIP is mandated to provide technical support to the BiH, F BiH and Canton level only. At the Federation level,</i></p>	<p>The Evaluation Team very deliberately used the phrase “may have missed” as opposed to “did miss” in the first conclusion under Evaluation Question #5, in order to convey the team’s uncertainty over informal interaction between the two sides and the level of PARCO’s willingness to cooperate more actively.</p> <p>SGIP and PARCO overlap in the focus on the State and Federation levels, and in many of the training topics, so the team believes that there were solidly substantive reasons to expect SGIP to have interacted with PARCO at as meaningful a level as possible.</p> <p>The comments on the draft report point not to coordination – indeed, no evidence is presented of what was coordinated and how – but to communication about separate and perhaps parallel activities, and even</p>



	<p><i>SUNY/CID works closely with the Assistant General Secretary of the FBiH Government Secretariat, Ms. Mirsada Jahic, who serves as PARCO Focal Point for the FBiH Government. Ms. Jahic informs SUNY/CID of PARCO initiatives and ensures that PARCO is aware of SGIP's work. At the BiH level, this coordination is carried out through the Assistant Minister of Justice, Mr. Niko Grubestic, who informs us of PARCO's planned interventions related to RIA, including training programs and who suggested that PARCO add mentoring to its training. SUNY also maintains regular contact through SGIP Senior Policy Development Expert Mr. Selim Kulic, the author of the Reform Area I (Development of Policies and Coordination Capacities) of the Public Administration Reform Strategy and subsequent Revised Action Plan. We find these means of coordination to be effective because they are fully integrated with PARCO's work. PARCO representatives (including Mr. Nedzib Delic and Ms. Jovana Radovic, whom MEASURE interviewed) and Mr. Dragan Cuzulan and Ms. Zvezdana Milicevic met with Assistant Minister Grubestic, Mr. Haupt and Mr. Kulic on 28 October 2015. They concluded that through our work on RIA at the BiH level SGIP is creating the essential preconditions for PARCO's work (meeting minutes attached).</i></p>	<p>that communication seems to have largely been indirect.</p> <p>The Team is aware of the close cooperation between SGIP and the State MoJ. Furthermore the team is also aware of the coordination between MoJ and PARCO on the design of a new project that should encompass training for RIA (provided the legislation is adopted). However, no clear evidence is provided that SGIP has directly engaged PARCO in activity design and coordination for SPDM trainings and schedules. As stated above, communication was mainly indirect and of an informative scope between the activity and PARCO.</p> <p>The Evaluation Team's point in the "Future Programming" subsection of the 'Recommendations' section is that there is overlap of institutional foci and training topics between PARCO and an activity like SGIP. USAID should consider how to more deliberately design a SGIP-like follow-on activity so that it is integrated with or clearly complements/extends PARCO's work.</p>
<p>13.</p>	<p><i>SUNY's experience shows that Canton Ministries mostly lack sufficient numbers of staff to carry out a full SPDM process to create policies and laws, even when they are eager to do so. However, SUNY/CID would be happy to see training on RIA and FIA extended to selected cantonal and municipal representatives, especially insofar as it would equip them to participate in ministerial policy development working groups and to coordinate policy and budgeting efforts led by FBiH institutions.</i></p>	<p>The Evaluation Team is aware of limitations of the SGIP project to roll out the full SPDM process towards cantons. This recommendation has been passed on to USAID as it was found to be a main challenge for all Federation executive branch beneficiaries. This includes support to legislative drafting - SPDM, budget planning, as well as audit review.</p> <p>While the Team acknowledges that the Law on Development Planning and Management is providing the necessary framework for standardized procedures in relation to legislative drafting, the key beneficiaries are still concerned about its application as the knowledge and capacities on the cantonal level are weak.</p>

		<p>The need for deliberate inclusion of the cantons hinges on the fact that the cantons implement important portions of legislation related to the social welfare in Federation, while their positions and preferences are not sufficiently taken into account. Therefore, the team recommends a deliberate and institutional inclusion of cantons in the policy discussions with Federation governmental structures in the future.</p>
<p>14.</p>	<p><b>6. Collaborate with other donors to develop a far-reaching parliamentary strengthening project for the Federation parliament</b> – The Federation parliament is a very weak institutional actor within the overall structure of BiH. It remains housed in a “temporary” facility, is insufficiently staffed, and has no strategic plan; the contrast with the State parliament is stark. The Federation parliament is unable to fulfill most of its functions within a system of checks and balances.</p> <p><i>USAID, which is now the lead donor in this Parliament, coordinates with OSCE and the EU Twinning Project. Future planning will depend heavily on the EU Twinning Project’s recommendations, which should be published this winter.</i></p>	<p>SGIP’s continued coordination with key international donors can only aid the Federation parliament to fulfill most of its functions in future.</p>
<p><b>Comm #</b></p>	<p><b>USAID/W Comments (received 5 February 2016)</b></p>	<p><b>MEASURE-BiH Response</b></p>

<p><b>A.</b></p>	<p><b>Project Background</b></p> <p>“The media and citizens will be able to hold elected representatives accountable.”</p> <p><i>KL: Unclear if this is project theory or a finding from the evaluation.</i></p>	<p>Project theory, this is in the Project Background section, not the Evaluation Findings and Conclusions section.</p>
<p><b>B.</b></p>	<p><b>Evaluation Findings and Conclusions</b></p> <p>Evaluation Question 1, Task 1.2: Fiscal Impact Assessment Training</p> <p>“[...] lack of in-house expertise, or budget constraints for this type of activities.”</p> <p><i>KL: Interesting relating to CSO input. Can the CSO’s fund their own FIA assessments?</i></p>	<p>Unlikely, but the Team does not have enough information to state anything definitively. In the Team Leader’s experience, CSOs in this region that aren’t grant-making foundations/funds tend to work on the basis of projects funded through grants from foundations and international development actors. With the exception of some operating funds provided by Open Society or SIDA, CSOs would almost certainly need a grant or contract to conduct this sort of work.</p>
<p><b>C.</b></p>	<p><b>Evaluation Findings and Conclusions</b></p> <p>(throughout)</p> <p><i>KL: The term “the team found” seems to be over-used (63 references) . Could some of the general references to findings be replaced with more specific identification of the sources of evidence? A reduction of 15-20 would go a long way to strengthening the credibility of this evaluation.</i></p>	<p>The Team very deliberately used various forms of the words ‘to find’ and ‘finding’ in order to signal to readers a statement that was based in actual evidence. It has been the Team Leader’s experience that missions greatly appreciate the ability to easily pull out findings, in fact some missions have asked for bullet points free of accompanying narration. This does not always make for writing that grips the reader, but the trade-off is succinct and clear communication, which is particularly useful for readers whose first language is not English.</p> <p>That said, the Team has revised the narrative to allow a slightly larger range of stylistic renderings. The Team will also return amount or count references for findings; many had been replaced because of unanimity of responses among a small set of key informants, and such small response sets are often superficially and incorrectly taken to be not credible. As most DRG experts recognize, programming in some</p>

		<p>sub-sectors, e.g., parliamentary strengthening or some rule of law activities or activities with many small demand-driven actions, often involve a very small set of direct beneficiaries and an even smaller set of indirect beneficiaries with enough engagement to provide meaningful information. Thus, it is quite possible in an evaluation of a parliamentary strengthening activity to discover that the total universe of possible direct and indirect respondents for a particular action numbers no more than about five people, and so using a phrase like “five respondents” recognizes that universe but may be perceived to be inadequate. One stylistic solution is to refer to “all respondents” in order to avoid incorrect perceptions. In the case of this report, unanimity among respondents to questions about specific actions was quite common.</p>
<p><b>D.</b></p>	<p><b>Recommendations</b></p> <p>3. Transition audit report meta-analysis efforts to a CSO</p> <p><i>KL: Could the Audit format be altered to facilitate the meatanalysis of findings. E.G. a mandated executive summary that includes the elements that were included in the meta-analysis?</i></p>	<p>As noted in Evaluation Question 2, the SAI does produce briefs for each of their annual reports and does not view these meta-analyses as its obligation. What the Team did not report was a comment by one SAI key informant that they believed their briefs to be sufficient by themselves.</p>
<p><b>E.</b></p>	<p><b>Recommendations</b></p> <p>12. Collaborate with other donors to develop a far-reaching parliamentary strengthening project for the Federation parliament</p> <p>“The Federation parliament is a very weak institutional actor within the overall structure of BiH”</p> <p><i>KL: Where is this supported?</i></p>	<ul style="list-style-type: none"> <li>▪ pp.16-17, Findings and conclusions for Task 2.1 and Task 2.2</li> <li>▪ p.19, last paragraph of Evaluation Question 2</li> <li>▪ p.21, Evaluation Question 4</li> <li>▪ SGIP quarterly reports</li> <li>▪ SGIP M&amp;E indicators</li> </ul>

