

Approach Paper

An Evaluation of World Bank Group Support in Conflict Induced Situations of Forced Displacement

November 8, 2017

1. While the World Bank has a long history of support in contexts of internally displaced populations, it is now scaling up its support to countries hosting large numbers of refugees. In response to increased refugee flows and demands to take a more active role, World Bank Group shareholders and Management have dedicated additional resources through two new financing mechanisms for low and middle income countries hosting large refugee populations, enabling a major scale-up of World Bank Group support to countries and subregions with large forcibly displaced populations. This proposed evaluation aims to inform the World Bank Group’s scaling up of support to situations of forced displacement. It will focus on the World Bank Group’s emerging goals and catalytic role in countries and subregions hosting large forcibly displaced populations and providing lessons from past support to inform the World Bank Group’s position going forward. The evaluation pursues IEG’s strategic priority of providing evidence on what works and why, and it supports two of the strategic engagement areas in which IEG seeks to advance evaluative evidence: investing in people, and inclusive and sustainable economic growth. The evaluation effort is timed to be an input for the IDA18 mid-term review and IDA19 discussions.

DEFINING FORCED DISPLACEMENT

2. For the purposes of this evaluation, the forcibly displaced comprise refugees and internally displaced persons (IDPs).¹ While recent international attention has highlighted the refugee experience, a response is also required for IDPs. Globally there are more than twice as many internally displaced persons than refugees.

3. In its April 2016 Development Committee Report *Forced Displacement and Development* (World Bank Group 2016), the World Bank Group adopted the definition of refugees stemming from the 1951 Convention on Refugees where refugees were defined “as those individuals living outside their country of origin owing to vulnerabilities associated with the fear of persecution”. Under the United Nation’s Guiding Principles (1998), IDPs are defined as individuals forced to flee or to leave their homes as a result of or to escape “the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border.” The Development Committee report included in its definition of IDPs only those displaced due to conflict or violence.

4. This evaluation adopts the above definitions for IDPs and refugees and defines the two groups as the forcibly displaced. Conflict-induced displacement is narrow and allows for a focused scope of the evaluation. The definition omits a focus on the broader experience of the World Bank Group pertaining to displacement caused by non-conflict factors such as climate change, disasters, pandemics, or food insecurity. Nevertheless, the evaluation findings could potentially generate lessons of relevance for broader conceptualizations of forced displacement than the one currently employed by the World Bank Group.

5. Beyond the focus on the forcibly displaced, the evaluation will also examine the World Bank Group’s support to host communities and returnees.ⁱⁱ All four of these population groups (i.e. refugees, IDPs, returnees, and host communities) are included in the evaluation.

GLOBAL TRENDS IN FORCED DISPLACEMENT

6. Forced displacement has reached record highs. The number of refugees and IDPs rose from 32 million to 57.3 million from 2000 to 2016.ⁱⁱⁱ These 57.3 million people have been forced to abandon their homes, land, and family members, driven away by spikes in conflict and violence. The number of refugees rose from 12 million to 17 million; the number of IDPs doubled over the same period from 20 million to 40.3 million (see figure 1). To gain perspective, this amounts to 20 newly displaced individuals every minute (UNHCR 2017). The vast majority live outside formal camp-settings.

7. The majority of situations of forced displacement have become protracted. According to UNHCR, protracted situations are ones in which 25,000 or more refugees of the same nationality have lived outside their home country for five or more years. By 2015, there were 32 situations of protracted displacement (Ruaudel and Morrison-Metois 2017) with an average length of displacement of 10.3 years (Devictor 2016). IDP situations are more complex to characterize.^{iv}

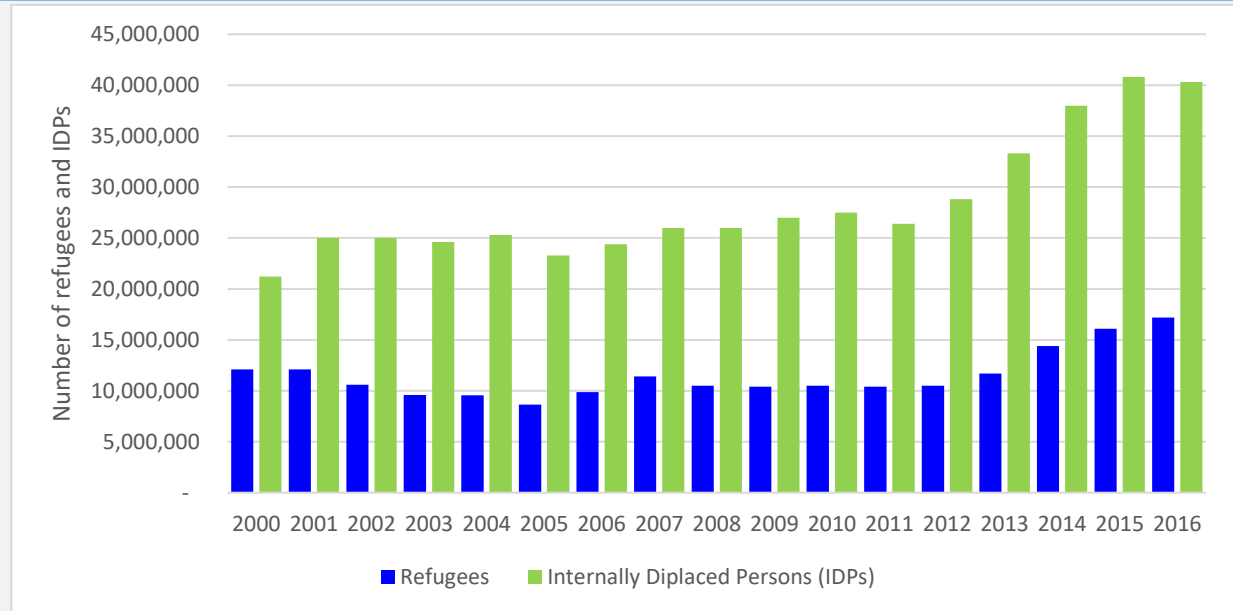
THE DEVELOPMENT-LED APPROACH TO FORCED DISPLACEMENT

8. As the World Bank Group scales up its work on displacement it is adopting a development-led approach to forced displacement.^{v,vi} Given the scale, scope and protracted nature of forced displacement, there is growing consensus^{vii} that development support is needed at the outset of these situations, working in tandem with humanitarian efforts, which is coordinated with governments. The development-led approach aims to address the medium- to long-term socio-economic consequences associated with protracted displacement for both host communities and the displaced and to promote sustainable responses for both displaced populations and host communities. Development support for the forcibly displaced may contribute to durable solutions—return, integration, or resettlement.

9. There is a need to balance the benefits to both displaced and host communities and ensure that protracted situations of displacement are responsive to the political realities of governments. The development-led approach emphasizes the positive impacts the displaced have on host communities; mitigates the negative impacts on host communities; promotes self-reliance of the displaced; and coordinates a development and humanitarian response that is led by the government. For example, when the displaced are located in the poorest areas of the country economic opportunities for both the displaced and host communities are needed (World Bank 2015a; 2015c). The World Bank Group has traditionally supported countries to improve economic opportunities, advance policy dialogue related to key policy constraints, conduct political economy analysis and other analytical services to inform policy dialogue, and improve data to monitor the situation on the ground. The focus on a balanced approach is new. The World Bank Group’s new financial facilities (see below) seek to ensure a balanced approach to host communities and refugees and can also support the commitments in the New York Declaration for Refugees for a comprehensive refugee response. One motivation for the new facilities is that

governments rarely acquire debt or use their International Development Association (IDA) allocation to benefit refugees (as non-nationals).

Figure.1. Trends in the number of refugees and Internally displaced persons



Source: UNHCR 2017 and <http://www.internal-displacement.org/database/>

Note: Total number includes refugees in high income countries, as well as middle and low-income countries but excludes asylum-seekers, the stateless, and returnees.

10. There are both potential negative and positive consequences to the host country. Among the negative, the forcibly displaced may increase demand for services, pose threats to the environment, increase housing and food costs, and strain existing infrastructure. However, with the right strategies, forced displacement can be a development opportunity, and negative impacts can be mitigated if displaced people are allowed to become contributors to the local economy. For example, when the policy environment permits the right to work and freedom of movement, it promotes productive capacity and self-reliance, reducing the vulnerabilities of the displaced. This, in turn, has the potential to reduce reliance on social benefits, and to lessen pressure on services and fiscal stress. This could be further accomplished by training to improve the skills and opportunities for displaced persons—either for integration or preparation for potential return. Overall assistance and cash transfers can help develop local markets.

11. Another principle for the development-led approach to forced displacement is partnering between humanitarian and development actors with the government. Depending on each country context, the World Bank Group will increasingly have to work in cooperation with partners such as: bilaterals; regional development banks; humanitarian, security, and political actors; and national and municipal governments in impacted countries. Chief among the actors with whom the World Bank Group is working is the United Nations.^{viii} There is a partnership with UNHCR that includes collaboration on joint missions, training, analysis, improving data on forced displacement. The UN Secretary General and World Bank Group President have taken joint visits to the Sahel, Great Lakes and Horn of Africa regions of Africa. The World Bank Group

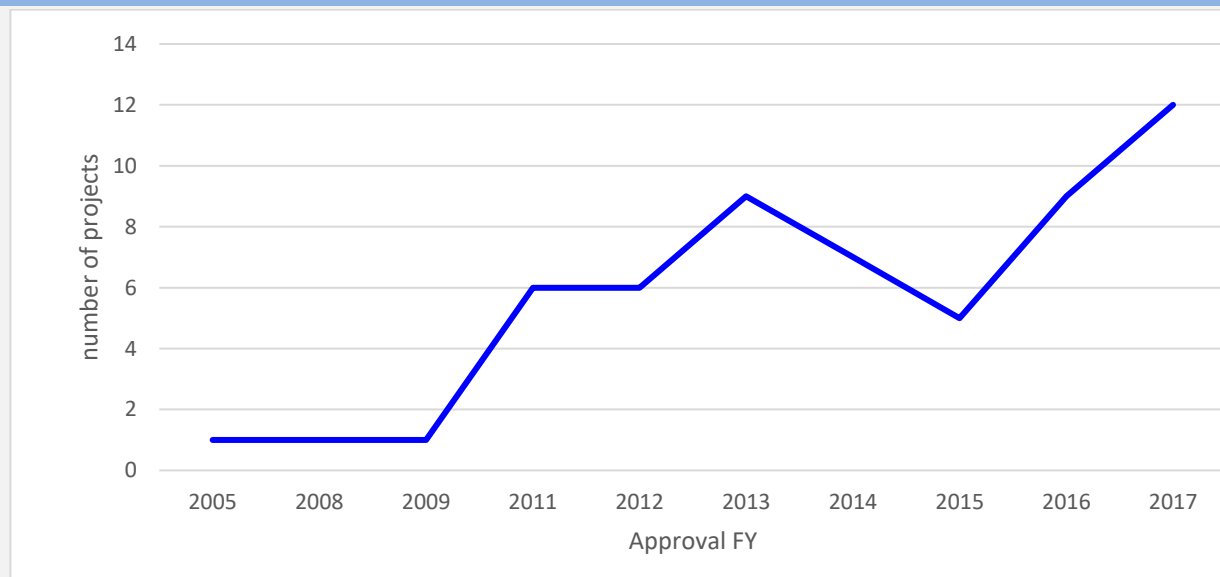
has convened high-level panels addressing aspects of the issue at the Annual Meetings since 2015. Coordination with bilateral or multilateral donors (e.g., European Union) will be important as well as finding effective ways to leverage efforts from philanthropic institutions, the private sector, and civil society organizations, which tend to encourage host governments to better integrate the needs of the displaced (Zetter 2014). Furthermore, engaging with the private sector is increasingly promoted as essential to investment, jobs, and livelihoods for the displaced.

WORLD BANK GROUP RESPONSE TO FORCED DISPLACEMENT

12. The World Bank’s financing to situations involving forced displacement in the early 2000s was modest, and focused on host communities and IDPs. According to the World Bank’s own review, its response during the early 2000s was not related to the scale of the displacement issue within countries or regions (World Bank 2009). The same review also found that in most countries with large forcibly displaced populations, needs assessments were not conducted, and these groups were not included in the World Bank Group’s Country Strategies or Poverty Assessments (World Bank 2009).

13. Since fiscal year 2005, there is a rising trend in World Bank lending support (figure 2) predominantly focused in the Sub-Saharan Africa and Middle East and North Africa Regions, with some attention to Europe, Central Asia, and South Asia. Between fiscal years 2005 and 2018, the World Bank approved 59 forced displacement projects with net commitments of US\$3.7 billion, according to a list compiled by the World Bank (table 1). These operations have been financed by traditional IBRD and IDA resources, Trust Funds, and concessional financing. This list is likely not comprehensive, as more operations were identified in the World Bank’s previous portfolio review (World Bank 2009). Given this ambiguity, IEG plans to conduct a portfolio identification exercise as part of this evaluation (see methods section below).

Figure.2. Number of forced displacement projects over time



Source: World Bank 2017

14. The Concessional Financing Facility (CFF)^{ix} was launched in 2016 to support the Middle East and North Africa (MENA) region Lebanon and Jordan—two countries that are hosting millions of Syrian refugees. The CFF provides IDA lending rates to MICs to incentivize borrowing for non-nationals living within their borders. To date, the CFF has approved seven operations in Jordan and Lebanon with each grant dollar leveraging four dollars in concessional financing (World Bank 2016b).

15. The Global Concessional Financing Facility (GCFF) was launched in FY18, expanding the availability of concessional financing to other eligible MICs (outside the MENA region) hosting refugees. It aims to leverage US\$6 billion in financing for benefitting countries.

16. As part of IDA18, US\$2 billion in IDA resources are being provided to support 13 out of 30 eligible IDA countries hosting refugees (World Bank 2017b). The IDA18 Refugee Window “tops up” countries’ regular IDA allocations for targeted support to refugees and host communities.

17. Two Global Programs and a Solution Group in the World Bank Group have sought to bring increased awareness and knowledge to the issue. The Global Program on Forced Displacement (GPDF) was established in 2009, and the Global Knowledge Partnership on Migration and Development (KNOMAD) was initiated in 2013. Over this time the GPDF’s analytical work focused on solutions, approaches, and policies for the displaced and host communities to inform design and implementation of operations, as well as Systematic Country Diagnostics in several countries (World Bank 2015d). GPDF has also strengthened collaborative relationships between the World Bank, UNHCR, and other MDBs. The GSURR Global Solution Group connects knowledge to staff across the World Bank. KNOMAD’s thematic working group on forced migration supports new research to generate policy options for countries. An external assessment of KNOMAD is being undertaken in FY18, the results of which will inform this evaluation.

18. IFC’s response to forced displacement has thus far been indirect. IFC supports host countries and private sector clients to improve investment climate, promote the development of the private sector, catalyze investments, and help create jobs. It recently initiated the Private Sector Window to provide concessional financing to clients in fragile and conflict settings. It does not currently have investments with a stated development impact goal of supporting refugee or IDP communities, but it does support projects indirectly benefiting the forcibly displaced, including several large infrastructure projects as well as funding for microfinance. IFC’s response to forced displacement has thus far been focused on the most affected regions—MENA and East Africa. In MENA, IFC has proposed a \$60 million initiative in response to the Syrian refugee crisis. The initiative, with donor funding, would help mitigate risks to private sector investment by providing concessional financing and advisory services to attract private sector investment that target forcibly displaced populations and host communities. In Kenya, IFC conducted a market and consumer survey for the Kakuma area in partnership with UNHCR. The findings were shared with the private sector to create awareness about opportunities and to mobilize investments. MIGA will play a role in the Private Sector Window.

Table.1. World Bank Financial Contribution (FY2005-18) by Country and Number of Displaced

Region	Countries	# Projects	Net Commitment (\$M)	Refugees and people in refugee-like situations (2017)	IDPs incl. people in IDP-like situations (2017)	Practice	Funding Source	Approval FY
AFR	Mali	3	211.70	17,512	36,690	EDU, SPL	IDA, TF	2013
	Niger	1	200.00	166,093	121,391	WTR	IDA, TF	2012
	Africa (Djibouti, Ethiopia and Uganda)	1	175.00	1,750,149	-	SURR	IDA	2016
	Cote d'Ivoire	2	180.00	1,399	-	SURR, ME&FM	IDA	2011, 2014
	Eastern Africa	1	103.00	3,290,441	5,766,377	SURR	IDA	2017
	Congo, Democratic Republic of	2	85.90	451,956	2,232,900	SPL	IDA, TF	2011, 2014
	South Sudan	2	71.00	262,560	1,853,924	SURR	IDA, TF	2013
	Africa	1	50.00	5,531,693	11,333,466	SPL	IDA	2016
	Sierra Leone	1	32.20	683	-	SPL	IDA	2011
	Central African Republic	1	28.00	12,115	411,785	SURR	IDA	2017
	Central Africa (Zambia)	1	20.00	29,350	-	SURR	IDA	2016
	Africa (Kenya, Ethiopia)	1	18.80	1,242,730	-	HNP	IDA	2012
	Sudan	2	6.86	421,466	2,225,557	SURR	TF	2013, 2017
	Central Africa	1	3.00	1,381,906	3,000,098	SURR	IDA	2018
	Mauritania	1	2.85	74,148	-	SURR	TF	2014
TOTAL (AFR)	21	1,188.31	14,634,201	26,982,188				
MNA	Jordan	10	687.68	685,197	-	GOV, FCV, SPL, SURR, NHP, T&C	IDA, IBRD, TF, CFF	2012, 2013, 2014, 2015, 2016, 2017
	Iraq	1	350.00	261,888	3,604,285	SURR	IBRD	2015
	Lebanon	6	296.60	1,012,969	-	SPL, SURR, EDU, T&I	IDA, IBRD, TF, CFF	2014, 2015, 2016, 2017
	Republic of Yemen	1	100.00	269,783	2,025,060	SPL	IDA	2013
	TOTAL (MNA)	18	1,434.28	2,229,837	5,629,345			
ECA	Turkey	2	210.82	2,869,421	-	SURR, SPL	TF	2017
	Azerbaijan	5	173.20	1,193	613,129	SURR	IDA, IBRD, TF	2005, 2008, 2012, 2016
	Ukraine	1	3.20	3,302	1,800,000	SURR	TF	2016
	Georgia	1	2.07	2,125	273,765	SURR	TF	2009
	TOTAL (ECA)	9	389.29	2,876,041	2,686,894			
SAR	Pakistan	4	341.00	1,352,560	448,956	HNP, SPL	IDA, TF	2012, 2016, 2018
	Afghanistan	3	279.26	59,771	1,797,551	SURR	IDA, TF	2015, 2016, 2017
	Bangladesh	1	40.00	276,207	-	SURR	IDA	2011
	Sri Lanka	1	38.00	604	39,730	WTR	IBRD	2011
	TOTAL (SAR)	9	698.26	1,689,142	2,286,237			
EAP	Philippines	1	2.57	408	87,418	SURR	TF	2012
LAC	Colombia	1	4.70	258	7,410,816	SURR	TF	2015
TOTAL	59	3,717.41	21,429,887	45,082,898				

Refugees: Persons recognized as refugees under the 1951 UN Convention/1967 Protocol, the 1969 OAU Convention, in accordance with the UNHCR Statute, persons granted a complementary form of protection and those granted temporary protection. In the absence of Government figures, UNHCR has estimated the refugee population in many industrialized countries based on 10 years of individual asylum-seeker recognition. It also includes people in refugee-like situations. This category is descriptive in nature and includes groups of persons who are outside their country or territory of origin and who face protection risks similar to those of refugees, but for whom refugee status has, for practical or other reasons, not been ascertained.

IDPs: Persons who are displaced within their country and to whom UNHCR extends protection and/or assistance. It also includes people in IDP-like situations. This category is descriptive in nature and includes groups of persons who are inside their country of nationality or habitual residence and who face protection risks similar to those of IDPs but who, for practical or other reasons, could not be reported as such.

Source: World Bank

THEORY OF CHANGE

19. The theory of change situates the role of World Bank Group in a development-led response in countries and regions with protracted situation of forced displacement (Harild, Christensen, and Zetter, 2015; World Bank 2015d; Devictor 2016; Center Global Development and IRC 2017; Zetter and Deikun 2010; Grand Bargain, signed at the World Humanitarian Summit; Wilton Park Conference; New York Declaration). Figure 3 shows how the position and engagement of the World Bank Group depends upon: (i) its understanding of the situation and binding constraints; (ii) its potential role given its expertise and instruments; and (iii) its understanding of the broader landscape of partners. A refined theory of change will be developed over the course of the evaluation as it explores factors that facilitate the World Bank Group to have a more catalytic and strategic role.

20. The theory of change recognizes the importance of context. The overall macro-economic situation, conditions of local labor market, and profile of the displaced (i.e. language, capacities) can each change the host country's economic prospects and opportunities, which in turn can result in stalled opportunities in one country or entrepreneurial activities in another (Zetter and

Ruauudel 2016). It is also recognized that the World Bank Group’s response is tailored based on the needs of each of the population groups (i.e. refugees, IDPs, returnees, host communities).

21. The World Bank Group’s instruments (financing, policy dialogue, analytical and advisory service, collaboration with partners, and leading/convening) contribute to a better understanding of the needs, political economy, and constraints in a country or region. The World Bank Group also works with key partners (such as UNHCR or MDBs) to collect and improve data; conduct joint assessments; develop platforms for collaboration; and build government capacity to coordinate a whole-government approach, as the solutions are multi-sectoral and involve line ministries and decentralized levels. Thus, assessing how and with whom the World Bank Group collaborates and partners is important for the evaluation.

22. The successful implementation of this approach depends upon the World Bank’s policy dialogue to advance politically sensitive issues such as legal, safety, right to work, freedom of movement, right to access services, and to use analytical evidence to inform the design of policies, reforms, and projects. Yet, the geo-political realities may impact what the World Bank Group is able to advance and support.

Figure 3. Theory of Change



Source: IEG

23. Especially important for the World Bank Group (and the theory of change) is focusing on the welfare of vulnerable populations, as different members of host communities and displaced populations can benefit or lose from displacement (World Bank 2011). The complete theory of change identifies immediate outcomes, intermediate outcomes, longer-term outcomes, and impacts—the latter three are beyond the focus of the evaluation. The longer-term outcomes and

impacts complete the logical chain and speak to societal changes such as: (i) social cohesion; (ii) economic growth, (iii) fiscal stability; and (iv) security.

24. Within the theory of change, the planned evaluation will focus on immediate outcomes. Critical for the evaluation will be collecting evidence on the extent to which the World Bank Group's support is characterized by the following: (i) increased political awareness; (ii) increased awareness of private sector solutions; (iii) increased government commitment; (iv) balanced attention for vulnerable populations in host communities and displaced population; (v) increased programming for the displaced and host communities; (vi) data on forcibly displaced populations; (vii) changed priorities of the government reflected by resource allocation; and (viii) improved government capacity.

EVIDENCE FROM PREVIOUS IEG EVALUATIONS

25. Major IEG evaluations published to date contain few references to refugees and displaced people.^x *World Bank Group Engagement in Situations of Fragility, Conflict, and Violence* (IEG 2016) found that the World Bank was adept at responding and at adjusting its strategies and analytical support to situations of violence and conflict, but its operational response has been constrained by its limited menu of instrument choices, and limited institutional and staff incentives to engage in conflict situations and to take risks. The evaluation concludes that the Bank Group's comparative advantage is in supporting countries in tackling longer-term development challenges, including early engagement and a sustained presence in conflict-affected areas, as well as continuous dialogue with the parties to violent conflicts.

PURPOSE, OBJECTIVES, AND AUDIENCE

26. The purpose of this evaluation is to inform the anticipated scale-up of World Bank Group support to situations of forced displacement.

27. The objectives of this thematic evaluation are to:

- assess the World Bank Group's approach and support to countries and subregions hosting large forcibly displaced populations; and
- provide evidence-based lessons from past support to conflict-induced situations of forced displacement to inform the roles and positions of the World Bank Group in this area going forward.

28. The primary audiences for the evaluation are the World Bank Group Board's Committee on Development Effectiveness (CODE); management of the World Bank Group; and staff, including the recently established forced displacement team, the FCV CCSA, regional and country management units, and Global Practices. External audiences likely to be interested in the findings include organizations working with displaced persons such as relevant agencies of the United Nations (UNHCR, IOM, UNDP, UNRWA, UNICEF, ILO); key NGO and civil society organizations; think tanks, and academics; and donor agencies. Governments in Bank client-countries and non-client countries may benefit from the findings.

EVALUATION QUESTIONS AND SCOPE

29. The evaluation assesses the role and support of the World Bank Group in host countries and subregions in situations of forced displacement and the strategic role it should play in support to situations of forced displacement going forward. Three evaluation questions will guide the effort:

1. How has the World Bank Group’s approach and support to situations of forced displacement evolved over time? To what extent has this been informed by strategic priorities? How has it incorporated lessons learned from experience to inform its scaling-up of support?
2. How and to what extent has the World Bank Group engaged with government, humanitarian, development partners, and the private sector? How has it positioned itself in relation to other partners in situations of forced displacement?
3. For selected countries and subregions, how has the World Bank Group addressed awareness, policy constraints, financing needs, and capacity constraints? How has the World Bank Group addressed the needs of IDPs, refugees, returnees, and host communities in a balanced fashion?

30. The scope includes financial and analytical services; policy dialogue; partnerships and trust funds; and financing instruments and facilities. The team will investigate the current and prospective roles of IFC and MIGA as part of the evaluation efforts to inform the anticipated scale-up of World Bank Group support. Given the reduced timeline to implement the evaluation, it will not evaluate corporate aspects associated with the internal structure and organization of the World Bank Group. The topics of staff skills, resources, and incentives will be examined to the extent possible.

EVALUATION DESIGN

31. The evaluation will use a mixed methods approach found in many program evaluations (e.g., Newcomer, Hatry, & Wholey, 2015; Patton, 2015; and Stufflebeam & Coryn, 2014). Comparable designs also have been used in evaluations in the development field (e.g., Bamberger, Rugh, & Mabry, 2012). The design also uses a multi-level approach with an in-depth portfolio review analysis of interventions and a case-based analysis at the country and subregional level. The design allows for generalizability through the selection of the portfolio, case-based analysis, background papers, stakeholder interviews, and existing evaluative evidence. The design embraces the evaluation questions and aims to triangulate multiple sources of evidence to answer them (see Appendix 2).

32. The evaluation will generate lessons from the past and ongoing efforts of the World Bank Group’s support and (potential) evolution in the World Bank Group’s approach. To detect potential changes or evolution in the World Bank Group’s approach, the evaluation will employ a split analysis, emphasizing the time period after FY09, as this was the initiation of GPFD—a

program designed to inform the World Bank’s strategic vision and support to forced displacement.

33. Embedded within the design is an examination of whether the World Bank Group’s approach to situations of forced displacement included measures to support women and girls and mitigate gender disparities such as legal and social barriers, human development, and economic empowerment, and to extent to which measures supported addressed gender-based violence. This gender-sensitive assessment will straddle the collection of evidence from the multiple sources that will underpin the evaluation—portfolio, case studies, analytical and advisory services, key informant interviews, and country partnership frameworks.

34. The sources of evidence are as follows:

- **Portfolio Analysis.** The Information and Technology Services staff in Chennai supported IEG in carrying out a search of the Operations Portal 2000-2017 to identify IDA and IBRD operations from a series of search terms related to forced displacement. The IFC portfolio will be identified by consulting with Regional Strategy Officers and the FCS/IDA team. IEG will examine portfolio reviews conducted by the World Bank Group, including the forthcoming gender and forced displacement. The universe of projects (between FY00-FY18^{xi}) will be coded according to a formal coding instrument (modified for IFC projects and advisory services). Key source materials for World Bank and IFC projects will be the appraisal documents (PAD, IRM, Board Document, PDS approval document), Completion Reports (ICR, Evaluative Notes, PIN) and any post-project studies. The coded information will be tallied and analyzed according to interventions, targeting, and any shift in patterns. The review will particularly examine design of operations such as: the type of interventions provided; the financing mechanism used; the extent to which the projects appeared to meet the needs of both host communities and displaced; and the results frameworks for outputs and early outcomes consistent with a develop-led approach. The strategic relevance of World Bank Group support will be assessed using data collected by UNHCR and geo-spatial mapping techniques to examine the relationship between the number (and trend) of refugees and IDPs in a given host community and the magnitude of World Bank Group, controlling for other factors (e.g., level of economic development).
- **Case Analysis in Countries and Subregions.** Field-based and desk-based analysis in countries of interest will employ in-depth interviews with government officials, World Bank Task Team Leaders (TTLs) and Country Directors, as well as officials from partnering organizations, and representatives of refugees (NGOs, refugee councils or other representatives) to understand the role of the World Bank Group within the specific context. Relevant documents (including existing evaluations) and World Bank Group analytical reports and strategies (country or regional) will be analyzed for each of the selected countries. The inquiry will be based on a protocol detailing the main evaluation questions in relation to the support of the World Bank Group. The findings across the cases will be reviewed as comparative studies to distill similarities, differences, and patterns related to the World Bank Group’s support that can, in turn, be used to inform lessons learned and recommendations.

- **Review of Analytical and Advisory Services (ASA) and Key Documents.** All key documents (such as country partnership frameworks, Board documents, and core analytical reports) will be reviewed to assess how the World Bank Group’s approach to forced displacement may have evolved (or not) and how regional and country solutions have been advanced with partners. The exercise will synthesize material to generate insights into the role of the World Bank Group and its response.
- **Stakeholder Interviews.** The evaluation team will collect data through semi-structured interviews and focus groups with World Bank Group staff in GPs, CCSAs (i.e. Gender and Fragile, Conflict, Violence), Country Management Units, and IFC as well as global stakeholders. Interviews will explore diverse perspectives on topics such as: approach (including the internal definition of forced displacement), collaboration, and constraints.
- **Background Papers.** Two papers will be prepared to support the evaluation: (i) analysis of World Bank Group’s financial instruments in Fragile, Conflict and Violence Settings; and (ii) global landscape of actors and issues related to refugees and IDPs. The first background paper will provide a description of the global landscape and aid architecture for situations of forced displacement as well as an analysis of the current role of the World Bank Group and its response to the emerging consensus for a development-led approach to protracted situations of forced displacement. The second background paper will provide an overview of World Bank Group financing instruments and operational policies specific to FCV and forced displacement and descriptive insights of current constraints.
- **Existing IEG evaluations** to include Project Performance and Assessment Reports as well as relevant case studies undertaken in previous IEG evaluations and other IEG evidence such as CLR Reviews. Other IEG evaluations that have collected evidence on related themes (but not specifically focused on the population groups of interest) will also be reviewed.

35. Findings from the multiple sources of evidence just discussed will be compared and aligned with the concepts within the theory of change and evaluation questions. For example, the numeric results from the portfolio analysis will be compared with the qualitative data derived from interviews, as well as other sources of evidence, which will give greater rigor and confidence to the findings. The planned data collection and analysis for every source of evidence will be driven by the common evaluation questions and protocols. Data analysis will be implemented in a cohesive manner that triangulates the sources of evidence, rather than independent inquiries of each source of evidence (Datta, 1997; Hesse & Johnson, 2015; Yardley, 2009; Patton, 2015). Given the important sub-regional and multi-country dimension, the data analysis process will also compare findings to corroborate (or not) the displacement experiences across countries and sub-regions. Analysis will examine country contextual differences as geo-political aspects can constrain the World Bank Group’s role. The evaluation can claim greater confidence the more that the lessons learned in one country (or subregion) might have been similar to or even replicated by the lessons learned in another. In this manner, the evaluation can arrive at general findings and conclusions regarding the issues posed by the evaluation questions or contained within the key aspects of the theory of change.

SAMPLING STRATEGY

36. A purposive sampling strategy will be employed for the case analysis. IEG proposes to select case studies clustered in two subregions with large populations of conflict-induced forcibly displaced persons. Selection of the displacement situations will be based on the following criteria: (i) presence of refugees or IDPs; (ii) usage of different instrumental modalities of support; and (iii) countries with progressive and restrictive policies in relation to forcibly displaced persons.

STRENGTHS AND LIMITATIONS

37. The evaluation design contains both strengths and weaknesses. The triangulation of the proposed sources of evidence offer a good base to answer the evaluation questions—particularly in relation to approach, evolution, and strategic role. The evidence base will provide broad guidance and lessons drawn from the past (particularly related to IDPs) and recent support (related to refugees) to help enhance the World Bank Group’s approach, role, and position in future situations involving IDPs, refugees, and returnees and mitigating the impact for host communities.

38. Several factors constrain the evaluation. First, limited data will be generated from the World Bank’s closed operations, as support often comprised components, rather than full operations. Case studies will look for early signs of progress, as presented in the theory of change. Second, given the new instruments initiated in FY17 and FY18, design and early implementation will be assessed, rather than outcome and impact data. Third, the evaluation design cannot address causality or outcomes associated with World Bank Group support to situations involving forced displacement. All of these factors result in the likely shortage of data and information to support the realization of later outcomes and desired societal impact as set out in the theory of change.

QUALITY ASSURANCE PROCESS

39. This evaluation will be subject to IEG’s standard quality review. The external peer reviewers are Cindy Huang (Senior Policy Fellow, Center Global Development), Elizabeth Ferris (Research Professor at Georgetown University) and Ewen Macleod (Senior Advisor, UNHCR and former Director Evaluation, UNHCR). The team will identify an additional peer reviewers in time for review of the draft evaluation report – one from a government hosting refugees. In addition, the approach and scope of the evaluation was discussed at a workshop with World Bank Group staff and management to help ensure relevance of the evaluation questions, and definition. A detailed methodology will be finalized in close consultation with IEG’s Methods Advisor and the team will follow IEG’s new quality assurance process with a modified timeline.

EXPECTED OUTPUTS, OUTREACH AND TRACKING

40. The main output will be an evaluation report to the Board’s Committee on Development Effectiveness, which will contain the main findings and recommendations. The final evaluation report will be disseminated both internally and externally. In addition, IEG will, as appropriate,

develop additional dissemination products, such as working papers, presentations, blogs, and videos, to enhance the dissemination of key findings.

41. Regular stakeholder interaction with relevant units in the WBG will be sought to enhance the evaluation process. Throughout the evaluation, the team will have ongoing dialogue with key staff working on forced displacement. The team will also reach out to and engage with partner organizations - particularly colleagues working in relevant agencies of the United Nations.

RESOURCES

42. Under the direction and guidance of Auguste Tano Kouame (Director) and Rasmus Heltberg (Acting Manager), the evaluation will be prepared by a team led by Susan Caceres and Ann Flanagan. Stephan Wegner (IEG Coordinator for fragility, conflict and violence) will act as Adviser. Jos Vaessen will advise the team on methods. Other colleagues from across IEG will provide inputs, including Lauren Kelly, Konstantin Atanesyan, Lodewijk Smets, April Connelly, Mari Noelle Roquiz, Anahit Aghumian, and Gisela Garcia. Short term consultants Maria Dumpert, Daniel Palazov, Judith Gaubatz, and Arianna Ranuschio will support data collection and analysis. Aline Dukuze will provide administrative support. The following consultants will support the team in technical knowledge, evaluation design, and fieldwork: Disha Zaidi, Robert Yin, Anthony Tyrrell, Sarah Deardoff-Miller, Basil Kavalsky, Nils Fostvedt, and Roger Zetter.

43. The evaluation will be prepared with an estimated net budget of \$874,000 (including dissemination). Costs associated with conducting the evaluation will be incurred in FY18. Funds allocated for dissemination will be incurred in FY19. The report will be finalized and submitted to CODE in the fourth quarter of FY18.

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Appendix 2. Evaluation Design Matrix

Evaluation questions	Information required	Information sources	Data collection methods	Data analysis methods	Limitations
How has the World Bank Group's approach and support to situations of forced displacement evolved over time? To what extent has this been informed by strategic priorities? How has it incorporated lessons learned from experience to inform its scaling-up of support?	<p>Basic data for all WBG project level interventions in situations of forced displacement (e.g. date of approval, commitments, disbursements, region, PDO, components, subcomponents)</p> <p>Basic data for WBG policy dialogue, convenor role, and coordination with partners in situations of forced displacement</p> <p>WBG Strategy and related statements (e.g., Regional level papers and updates)</p> <p>Existing assessment of WBG approaches and their relationship, if any, with strategic priorities.</p> <p>Stakeholder views</p>	<p>WBG portfolio analysis</p> <p>ASA analysis</p> <p>Case studies</p> <p>Background papers</p> <p>Relevant strategy and other high level documentation at corporate and regional levels</p> <p>Key informants in WBG, client countries, and key development partner organizations</p>	<p>Data extraction from WBG portfolio</p> <p>Review of IEG evaluations</p> <p>Review of strategy and related documents</p> <p>ASA review</p> <p>Interviews</p> <p>Case studies</p> <p>Gender analysis</p>	<p>Coding instrument applied to completed and ongoing projects covering key variables, and with cross-project trends tracked qualitatively and quantitatively over time.</p> <p>Use of field based protocol to organize data from interviews for application to evaluation questions and theory of change.</p> <p>Review of IEG evaluations, strategy documents, and broader literature will be organized against evaluation questions and theory of change to facilitate triangulation of the various forms of evidence gathered.</p>	<p>Potential limitations across the methods to be employed in response to the evaluation question include:</p> <p>adequacy of search terms to identify projects related to forced displacement</p> <p>level of access to key informants and to places where WBG projects and programs have addressed forced displacement</p> <p>qualitative nature of much of the data gathered (requiring close management and structuring of data to ensure rigor)</p>
How has the World Bank Group engaged with government, humanitarian, and development partners? How has it positioned itself in relation to other partners in situations of forced	<p>Data to support an assessment of the various dimensions of the question, with particular reference to the extent to which WBG engagement has</p>	<p>Semi-structured interviews with WBG staff and partners</p> <p>Existing evaluative evidence</p> <p>Coding for portfolio analysis will explicitly</p>	<p>Semi-structured interviews with key WBG informants</p> <p>Country field visits using formal protocol that will involve semi-</p>	<p>Case studies based on triangulated evidence from multiple sources.</p> <p>Structured comparison of findings from all</p>	<p>Limited sample of cases compared with the multiplicity of unique displacement circumstances</p> <p>Much of the data is likely to be qualitative in</p>

Evaluation questions	Information required	Information sources	Data collection methods	Data analysis methods	Limitations
<p>displacement? How effective was its collaboration?</p> <p>For selected countries and subregions, how has the World Bank Group addressed awareness, policy constraints, financing needs, and capacity constraints? To what extent has the World Bank Group addressed the needs of IDPs, refugees, and host communities?</p>	<p>served the needs of IDPs and refugees, ensured effective partnership, and addressed other factors such as awareness raising.</p> <p>These data will largely be generated through the evaluation effort and through the use of mixed methods as described across.</p>	<p>cover the sub-questions here.</p> <p>Desk or field-based review of projects, and interviews with project staff, as well as interviews with ministerial, administrative and other personnel (e.g., partners) in country</p>	<p>Structured interviews with political and administrative personnel, as well as representatives of partner organizations working on the ground. The field visits will also serve to identify additional evidence sources such as local and/or unpublished reports etc.</p>	<p>sources with concepts and propositions stated in the theory of change.</p> <p>Portfolio analysis</p>	<p>nature and will need to be triangulated to ensure rigor.</p> <p>Level of access to key informants and to places where WBG projects and programs have addressed forced displacement</p> <p>If government or WBG do not approve mission dates, review become desk-based, as the timeline for travel is limited.</p>

Appendix 3 List of World Bank Group Client Countries with Displaced Populations (greater than 25,000)

Host Country	Primary Source of displacement (Refugees/ IDPs/ Other)	UNHRC 2017 estimate of refugees, asylum-seekers, internally displaced persons (IDPs), returnees (refugees and IDPs), stateless persons, and others of concern	Total Population 2016	Displacement Ratio (UNHRC Population of Concern to Total Population), %
Syrian Arab Republic	IDPs	7,131,910	18,430,453	38.70%
South Sudan	IDPs	2,870,538	12,230,730	23.47%
Lebanon	Refugees	1,031,303	6,006,668	17.17%
Colombia	IDPs	7,411,675	48,653,419	15.23%
Iraq	IDPs	5,326,166	37,202,572	14.32%
Latvia	Other	243,233	1,960,424	12.41%
Yemen, Rep.	Refugees/IDPs	3,278,011	27,584,213	11.88%
Somalia	IDPs	1,623,185	14,317,996	11.34%
Libya	IDPs	662,897	6,293,253	10.53%
Central African Republic	IDPs	458,607	4,594,621	9.98%
Jordan	Refugees	720,812	9,455,802	7.62%
Georgia	IDPs	276,782	3,719,300	7.44%
Sudan	Refugees/IDPs	2,704,048	39,578,828	6.83%
Afghanistan	IDPs	2,355,622	34,656,032	6.80%
Azerbaijan	IDPs	618,137	9,762,274	6.33%
Estonia	Other	82,950	1,316,481	6.30%
Brunei Darussalam	Other	20,524	423,196	4.85%
Bosnia and Herzegovina	IDPs/Other	156,139	3,516,816	4.44%
Congo, Dem. Rep.	Refugees/IDPs	3,319,006	78,736,153	4.22%
Ukraine	IDPs	1,845,246	45,004,645	4.10%
Turkey	Refugees	3,116,156	79,512,426	3.92%
Chad	Refugees/IDPs	554,248	14,452,543	3.83%
Cote d'Ivoire	Other	715,353	23,695,919	3.02%
Serbia and Kosovo	IDPs	259,301	8,873,612	2.92%
Uganda	Refugees	1,162,715	41,487,965	2.80%
Djibouti	Refugees	25,862	942,333	2.74%
Cameroon	Refugees/IDPs	595,935	23,439,189	2.54%
Myanmar	IDPs/Other	1,302,375	52,885,223	2.46%
Kuwait	Other	94,762	4,052,584	2.34%
Burundi	IDPs	208,049	10,524,117	1.98%
Honduras	IDPs	178,826	9,112,867	1.96%
Mauritania	Refugees	74,735	4,301,018	1.74%
Nigeria	IDPs	2,911,012	185,989,640	1.57%

Host Country	Primary Source of displacement (Refugees/ IDPs/ Other)	UNHRC 2017 estimate of refugees, asylum-seekers, internally displaced persons (IDPs), returnees (refugees and IDPs), stateless persons, and others of concern	Total Population 2016	Displacement Ratio (UNHRC Population of Concern to Total Population), %
Niger	IDPs	302,227	20,672,987	1.46%
Congo, Rep.	Refugees/IDPs	71,598	5,125,821	1.40%
Rwanda	Refugees	164,080	11,917,508	1.38%
Pakistan	Refugees/IDPs	2,510,749	193,203,476	1.30%
Iran, Islamic Rep.	Refugees	979,537	80,277,428	1.22%
Kenya	Refugees/Other	514,867	48,461,567	1.06%
Thailand	Refugees/Other	599,459	68,863,514	0.87%
Tanzania	Refugees/Other	458,828	55,572,201	0.83%
Greece	Refugees	86,611	10,746,740	0.81%
Ecuador	Refugees	127,390	16,385,068	0.78%
Ethiopia	Refugees	794,133	102,403,196	0.78%
Malaysia	Refugees/Other	239,505	31,187,265	0.77%
Mali	IDPs	100,247	17,994,837	0.56%
South Africa	Refugees	309,342	55,908,865	0.55%
Venezuela, RB	Refugees	172,957	31,568,179	0.55%
Israel	Refugees	44,665	8,547,100	0.52%
Bulgaria	Refugees	33,923	7,127,822	0.48%
Zambia	Refugees/Other	57,209	16,591,390	0.34%
Philippines	IDPs	348,370	103,320,222	0.34%
Egypt, Arab Rep.	Refugees	263,426	95,688,681	0.28%
Uzbekistan	Other	86,554	31,848,200	0.27%
Sri Lanka	IDPs	54,409	21,203,000	0.26%
Algeria	Refugees	99,949	40,606,052	0.25%
Russian Federation	Refugees	322,856	144,342,396	0.22%
Saudi Arabia	Other	70,190	32,275,687	0.22%
Burkina Faso	Refugees	32,676	18,646,433	0.18%
Bangladesh	Refugees	276,208	162,951,560	0.17%
Malawi	Refugees	30,415	18,091,575	0.17%
Angola	Refugees	45,698	28,813,463	0.16%
Mozambique	IDPs	38,534	28,829,476	0.13%
Nepal	Refugees	26,170	28,982,771	0.09%
Poland	Refugees	26,003	37,948,016	0.07%
Brazil	Other	68,087	207,652,865	0.03%
China	Refugees	317,923	1,378,665,000	0.02%
India	Refugees	207,070	1,324,171,354	0.02%

Endnotes

- ⁱ UNHCR uses the term ‘persons of concern’ to refer to refugees, asylum-seekers, stateless, IDPs, and returnees.
- ⁱⁱ Returnees are former refugees of IDPs who have returned to their country or area of origin either voluntarily or involuntarily.
- ⁱⁱⁱ The number of forcibly displaced excludes asylum-seekers, the stateless, and returnees.
- ^{iv} Displacement can be short term in kinetic violence. IDP data are not comparable to refugee data and it is difficult to define the end point, as some IDPs may have decided to resettle in their host area.
- ^v Development support is not an alternative to humanitarian response. Short-term response is essential; the challenge is to ensure complementarity between development and humanitarian responses.
- ^{vi} The European Union (e.g. through the European Investment Bank) and a number of bilaterals have developed similar policies.
- ^{vii} See, Zetter 2015; Devictor 2016; Center Global Development and IRC 2017; New York Refugee Compact
- ^{viii} Office for the Coordination of Humanitarian Affairs – OCHA – and in some cases the Department for Peacekeeping Operations – DPKO), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Development Programme (UNDP), International Organisation on Migration (IOM), the World Food Program (WFP) and the International Labour Organisation (ILO).
- ^{ix} Supporting partners include Canada, Denmark, the European Commission, Japan, Germany, the Netherlands, Norway, Sweden, the United Kingdom, and the United States. Implementation Support Agencies and Associated Partners are the European Bank for Reconstruction and Development, the European Investment Bank, the Islamic Development Bank Group, and the United Nations.
- ^x As part of the overall methodology, the evaluation team will also analyze Project Performance and Assessment Reports in relevant countries to identify, as appropriate, lessons at project level regarding engagement with forced displacement and associated populations.
- ^{xi} Operations approved by December 31, 2017 will be included in the portfolio review.