

Project Evaluation for Fiduciary Monitoring Agent – Iraq

Location: home-based work and one in-country visit

Bureau: UNDP Iraq

Type of Contract: Individual Contract

Post Level: International Consultant

Languages Required: English

Expected Dates: 15 May throughout 15 August 2022

Expected Duration of Assignment: 3 months

1- Background & Context:

1) Overview of the Project

FMA Project has been implemented since 12 August 2009 with financial support from the Japan International Cooperation Agency (JICA). The annual-based Financial Agreement with JICA was renewed for the 11th time in November 2021 until 30 November 2022 with possible extension. The Project was designed to support the attainment of objectives set out under the Economic Reform and Diversification Sector and Governance Sector Assistance Strategy of **UN Assistance Strategy for Iraq (2008-2010)**, in particular pertaining to **Outcome 1** of the CP at that time i.e., *Improved policies, strategies and related institutional developments that are sensitive to the MDGs, social inclusiveness, gender equality and pro-poor economic growth*. Primarily, the FMA Project is aimed at 1) supporting and strengthening the monitoring capacity and activities of the Monitoring Committee (M/C), established in July 2008, upon agreement between the Government of Japan (GoJ)/Japan International Cooperation Agency (JICA) and the Government of Iraq (GoI), 2) ensuring that GoI's implementation of the ODA Loan projects are managed in a transparent and accountable manner in accordance with JICA's rules and regulations, particularly in procurement, contract and financial management through a group of activities tailored to bridge the identified gaps. In addition, FMA Project has facilitated the programme inputs and resources for the pipeline projects for Inclusive Growth and Private Sector Development as the lesson learnt from the original component of the Project. Through the implementation, the FMA Project has enhanced the nature of the Triangular Cooperation in the context.

2) Background of the Project

Since the GoI's announcement of the assistance package to support Iraq's reconstruction at Madrid Conference in October 2003, JICA concluded 32 loan agreements comprising 30 projects and 2 budgetary supports amounting to approximately USD 8 billion over the period 2008-September 2021. The GoI is the owner and executing agency of the Japanese ODA Loan projects. Key project implementation activities, such as procurement, project management and financial management, are undertaken by implementing ministries and agencies of GoI. As a standing mandate, JICA promotes efficient use of loan money and needs to ensure that the project implementation is undertaken in an accountable, transparent and efficient manner in line with JICA guidelines and

procedures and that the loans are properly used for the purpose of achieving each project's objectives expeditiously.

To ensure accountability, transparency and efficiency in project implementation and usage of loan money, GoJ, JICA and Gol have established in July 2008 joint monitoring committee (M/C) to oversee the implementation of the ODA Loan projects activities, particularly procurement and financial management, and to strengthen the monitoring mechanism for projects under Japanese ODA Loan, under the leadership of the Prime Minister's Advisory Commission, the Ministry of Planning (MoP) and the Ministry of Finance (MoF). The M/C was established by Diwani Order No. 27 (27 May 2008) issued by Secretariat General of the Council Ministers (CoMSec), then re-established with successive Diwani Orders, the last of which is Diwani Order No. 16 (3 February 2021).

Since its first meeting on 22 July 2008 in Baghdad and up until March 2022, the M/C had held 47 meetings. This made the M/C the longest standing committee in the history of the Gol. Further, the M/C proved to be a very effective platform, not only to achieve the objectives of ensuring accountability and transparency but also to expedite project implementation, by means of the close follow up and regular daily, monthly and quarterly monitoring activities in coordination with the relevant Projects Management Teams in the pipeline implementing ministries/agencies of the Gol, making use of the triangular cooperative relationship between UNDP, Gol, and JICA to facilitate resolving any pending issues or bottlenecks that impede smooth implementation, including but not limited to facilitation with visa issue for foreign experts/ workers of the contractors or consultants in the associated ODA Loan projects, taxes and duty waiving for related projects in accordance with the laws in-force, as well as the interpretation of international interrelated financial-commercial procedures for the equipments and or materials procured under the ODA Loan projects.

In order to tackle the challenges that the project management teams of the Gol's implementing ministries/entities (PMT) in particular, and the implementing and oversight ministries/agencies, in general, have limited experience with international procurement, project management and financial management practices, especially those of JICA ODA Loan projects as well as the M/C; in addition to JICA's limited physical access to project implementation sites due to the prevailing security and safety situation, JICA and the Gol agreed on engaging UNDP in the capacity of the Support Unit to the M/C (Support Unit) to provide independent fiduciary and project monitoring services on behalf of JICA and the M/C as well as capacity development services to the M/C, the implementing and the oversight ministries/agencies. In August 2009, JICA and UNDP signed the first Partnership Agreement that entailed establishing the Support Unit and UNDP has undertaken this role starting with 5th M/C meeting in August 2009.

3) Context of the Project

In view of the above, the FMA project has conducted the third-party monitoring and evaluation for the above mentioned 30 ODA Loan projects implemented by the Gol as per Table (1) below. These projects provide capacity development to address gaps in identified areas and seek to deliver the following three outputs: **Output 1:** Procurement Management, **Output 2:** Financial Management, **Output 3:** Capacity Development. Due to the distinctive and sophisticated nature of the project, the

deliveries of these outputs are confirmed on annual basis and the target should be maintained and achieved every year.

Table (1): List of ODA Loan Projects under the FMA Project's M&E

L/A and Project #	E/A	Project Name	Amount of Loan (USD)	Geographical location/Notes
IQ-P1	MoT/ GCPI	Port Sector Rehabilitation Project	302 Mil	Basra (Um Qasr Port)
IQ-P2:	MoWR	Irrigation Sector Loan	95 Mil	Ninawa, Kirkuk, Salah Al dean, Al Anbar, Diyala, Baghdad, Najaf, Karbala, Babil, Wassit, Al Qadisiyah, Missan, Al Muthanna, Thi-Qar, Basra
IQ-P3	MoE	Al - Mussayab Thermal Power Plant Rehabilitation Project	367 Mil	Babil (Al-Mussaib)
IQ-P4	MoCH	Samawah Bridges and Roads Construction Project	33 Mil	Al-Muthana (Samawah Bridge, Al-Hillal Bridge, Al-Mahdi Bridge)
IQ-P5	MoO/ SRC	Engineering Services for Basrah Refinery Upgrading Project	20 Mil	Basra
IQ-P6	MoIM/ SCFSR	Khor Al Zubair Fertilizer Plant Rehabilitation Project	181 Mil	Basra (Khor Al-Zubair)
IQ-P7	MoO	Crude Oil Export Facility Reconstruction Project	500 Mil	Basra (Al-FAO)
IQ-P8	MoE	Electricity Sector Reconstruction Project	325 Mil	Ninawa, Kirkuk, Salah Al dean, Al Anbar, Diyala, Baghdad, Najaf, Karbala, Babil, Wassit, Al Qadisiyah, Missan, Al Muthanna, Thi-Qar, Basra
IQ-P9	MMPW	Basrah Water Supply Improvement Project	429 Mil	Basra City, Al-Hartha
IQ-P10	MoE/ KR-I	Electricity Sector Reconstruction Project (Kurdistan Region)	157 Mil	Erbil, Duhok, Halabja, Sulaimaniya (Evaluation Only)
IQ-P11	MoMT/ KR-I	Water Supply Improvement Project in Kurdistan Region	342 Mil	Erbil, Duhok, Halabja, Sulaimaniya
IQ-P12	MoB	Baghdad Sewage Facilities Improvement Project (Engineering Services)	21 Mil	Baghdad
IQ-P13	MMPW	Water Sector Loan Project in Mid-Western Iraq	412 Mil	Diyala (Zanboor) Diyala (Baladrooz) Salah Aldin (Samaraa)
IQ-P14	MoE	Al-Akkaz Gas Power Plant Construction Project	285 Mil	Al-Akkaz
IQ-P15	MoE/ KR-I	Deralok Hydropower Plant Construction Project	169 Mil	Sarsanek and Deralok in Dohuk
IQ-P16	MoH	Health Sector Reconstruction Project	102 Mil	Thi Qar
IQ-P17	MoC	Communication Network Development Project for Major Cities	116 Mil	Baghdad (Mamoon, Bayaa, Kadamiya, Baledyate, Shaab, OMC)
IQ-P18	MoO/ NRC	Engineering Services for Beiji Refinery Improvement Project	26 Mil	Beiji

L/A and Project #	E/A	Project Name	Amount of Loan (USD)	Geographical location/Notes
IQ-P19	MoO/S RC	Basrah Refinery Upgrading Project (I)	424 Mil	Basra - Al Shuaiba
IQ-P20	MoT/GC PI	Port Sector Rehabilitation Project (II)	391 Mil	Khor–Al Zubair Port, Umm – Qasr Port
IQ-P21	MoE	Hartha Thermal Power Station Rehabilitation Project - Unit 4	202 Mil	Basra (Al-Hartha)
IQ-P22	MoE	Electricity Sector Reconstruction Project (Phase 2)	537 Mil	Baghdad (Boob Al-Sham, Al-Hussainiya), Wasit (Kut Center), Al-Dewaniya, Thi Qar (Al-Chibaish, Al-Bathaa, Al-Matahana, Al-Iterat), Anbar (Al-Hamudhia), Basra (Turkish Hospital, Shatt Al-Arab, Sport City), Karma West, Wadi Shesheen, Balad/2, and Baaquba North-East
IQ-P23	MoMT/KR-I	Sewerage Construction Project in Kurdistan Region (I)	344 Mil	Erbil
IQ-P24	MoE	Electricity Sector Reconstruction Project (Phase 3)	272 Mil	Al-Anbar and surrounding of Baghdad
IQ-P25	MoE	Hartha Thermal Power Station Rehabilitation Project (Phase 2) - Unit 1	154 Mil	Basra (Al-Hartha)
IQ-P26	MMPW	Basrah Water Supply Improvement Project (II)	194 Mil	Basra (Al-Hartha)
IQ-P27	MoWR	Irrigation Sector Loan (II)	215 Mil	Thi-Qar, Babil, Wasit, Baghdad, Basra, Karabala, Missan
IQ-P28	MoMT/KR-I	Water Supply Improvement Project in Kurdistan Region (II)	24 Mil	Erbil, Sulaimaniya, Halabja
IQ-P29	MoO/SRC	Basrah Refinery Upgrading Project (II)	1.1 Bil	Basra - Al Shuaiba
IQ-P30	MoO/SRC	Basrah Refinery Upgrading Project (III)	300 Mil	Basra - Al Shuaiba

Recognizing it as a key model case for the Triangular Cooperation among UNDP, GoI and GoJ/JICA, the FMA continues to assist the Monitoring Committee in monitoring the ODA Loan projects' implementation to ensure that the GoI's implementing ministries/ agencies are executing the projects' budgets as planned in a transparent and accountable manner. Nonetheless, after more than 13 years of JICA's ODA Loan operations in Iraq, the services of the Support Unit and the assistance to PMT's to accelerate the projects implementation remains indispensable and even imperative, particularly in view of emerging new challenges on different levels. Thus, the role of UNDP comes to more important for the further enhancement of the monitoring mechanism through close coordination with relevant parties.

Overall, FMA Project has contributed to several UNDAF, and CPD; however, this Evaluation¹ will be conducted in line with current strategy/plan:

UNDP Strategic Plan 2018-2022	Outcome 1: Advance poverty eradication in all its forms and dimensions
Programme Outcome / UNDP Country Programme Document (2020-2024)	Outcome 2.1: Improved people-centered economic policies and legislation contribute to inclusive, gender sensitive and diversified economic growth, with focus on increasing income security and decent work for women, youth and vulnerable populations.
National Priority or Goal: Framework of Government Programme	National development priority: National Development Plan (2018-2022) Chapter 1: Development Performance Chapter 3: Macroeconomic Framework Chapter 4: Private Sector and Development of Business and Investment Environment
Sustainable Development Goals (SDGs)	Goal 1: Eliminate Poverty Goal 17: Build Partnerships for the Goals

2- Evaluation purpose, scope, and objectives:

2.1 Purpose of the Evaluation

This evaluation will be undertaken as part of the UNDP Programme Management requirements to:

- a) assess the performance of the project in achieving its planned results/outputs; c) to provide evidence of UNDP's contribution towards outcome achievements and associated theories of change and impact; d) assess UNDP's coordination, partnership arrangements, and sustainability to existing strategy; e) collate and analyze lessons learned, challenges, and good practices obtained during the implementation period, such information will inform and improve decision-making to ensure quality implementation during the ongoing and future implementation of the project.

UNDP/FMA Project proposes to conduct a Project Evaluation covering the period of 2016-2021 as part of its commitment to improve results-based management. The Project is forecasted to continue its operation and programme for 2022 (or might be extended further). Therefore, the evaluation findings and recommendations are expected to inform and help improve decision-making relating to FMA Project ongoing implementation.

2.2 Scope of the evaluation

2.2.1 Results scope:

The scope of this evaluation is defined by the Results Framework of the Project, which is annually modifying the target number. The results-framework includes 4 Outputs but was later revised in Q2 2020 to focus only on 3 Outputs. The evaluation will therefore focus on the revised Results Framework presented below as continuous 3 Outputs.

Expected Output	Activity
Output 1: Procurement Management (Annual Based):	<u>Activities</u> 1.1: Monitor the implementation of procurement plans of each project.

¹ This is the first evaluation to be conducted for this Project.

Procurement plan established and monitored with monthly reports.	1.2: Verify the procedural progress of procurement plan and monitor the implementation of procurement processes. 1.3: Monitor and verify project progress through the frequent site visit to identify the bottlenecks/challenges 1.4: Prepare monthly and quarterly reports to the Monitoring Committee and JICA.
Output 2: Financial Management (Annual Based): Improved financial management of implementing ministries and agencies	Activities 2.1: Monitor the compliance to the financial procedures in line with JICA's rules and regulations. 2.2: Perform sample verifications of the evidences, including visiting the PMTs' offices and TBI. 2.3: Review the monthly disbursement plan (budget plan). 2.4: Prepare monthly and quarterly reports to the Monitoring Committee and JICA.
Output 3: Capacity Development (Annual Based): Areas necessary for capacity building support identified and capacity development provided	Activities 3.1: Provide capacity development trainings to PMTs as agreed in annual training plan with the donor and GoI. 3.2: Provide on-the-job capacity development to implementing line ministries concerning the project, procurement, contract, and financial managements. 3.3: Provide the analysis and recommendation to the M/C.

2.2.2 Time-Frame:

a. Project Evaluation Timeline

The FMA Project evaluation will be conducted from 15 May until 15 August 2022.

b. Target Project Evaluation Period

This Project evaluation will cover the period (1 January 2016 – 31 December 2021) of the Programme implementation cycle.

2.3 Project Evaluation Intervention/Inclusion Areas

The Consultant will engage all the project stakeholders, donor (JICA), UNDP, PMAC, MoP, and line ministries as sampling Ministry of Electricity (MoE), Ministry of Transportation (MoT)/ General Company for Ports of Iraq (GCPI), and Ministry of Electricity in KR-I (MoE/KR-I).

2.3.1 Geographical Coverage: Given that the project is nationwide, with core function of the monitoring at the Federal Government level, the evaluation will be conducted in Baghdad with online communication with GCPI in Basra and MoE/ KR-I.

2.3.2 Evaluation Audience: The primary audience for this evaluation is UNDP and its partners, including the GoI M/C members: PMAC, MoP, MoF, and JICA, with an objective of independent assessment of the project's performance to provide the basis for learning and accountability.

2.4 Evaluation Objectives

Specific Project Evaluation objectives are to:

- 1) Assess the relevance of FMA Project's results;
- 2) Assess the efficiency of FMA Project implementation, including the operations support;
- 3) Assess the effectiveness of FMA Project and its activities in reaching the stated objectives;
- 4) Assess the appropriateness of the FMA Project design and management arrangements for achieving the stated objectives;
- 5) Assess the sustainability of the project results;
- 6) Outline the lessons learned and good practices that can inform any course adjustments during the next and final project implementation, and additionally, can be used in the regular review, implementation and monitoring of all UNDP similar interventions.
- 7) Provide constructive and practical recommendations on factors that can contribute to project sustainability (if required/where relevant) that will inform the FMA Project optimal implementation and contribution to Country Programme Document 2020-2024.

3- Evaluation criteria and key guiding questions

The Project evaluation will generate evidence of progress and challenges, helping to ensure accountability for the implementation of the project, as well as identifying and sharing knowledge and good practices through following standard Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria²:

a. Relevance:

The extent to which the project strategy, proposed activities and expected outputs and outcome are justified and remain relevant to the Government of Iraq (GoI) and donor's efforts to advance inclusive diversified economic growth and strong institutional capacities responsive to the country emerging demands and evolutions. More specifically, the relevance of the project should be assessed through the following guiding questions:

- *To what extent are the stated FMA outcome and outputs on track?*
- *Relevance of the Project to GoI economic priorities and Iraqi National Development Plan (2018-2022)?*
- *To what extent have the Project results, achieved so far, contribute to SDG 1 and SDG 17, and to the outcome of the UNDP CPD (2020-2024) for Iraq*
- *What factors (internal and external) have contributed to achieving or limiting the intended Project outcome and outputs?*
- *To what extent was the project in line with the concept of Triangular Cooperation and is the partnership approach appropriate and effective?*
- *To what extent has the project been appropriately responsive to security, political, economic, institutional and other changes in the country?*
- *To what extent does the project contribute to the theory of change for the relevant UNDP country programme outcome?*
- *To what extent does the project contribute to the gender-equality approach and women's empowerment?*
- *Is the approach adopted and inputs identified, realistic, appropriate, and adequate for achieving the stated results?*

² <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

b. Efficiency:

The extent to which the project resources (funds, expertise/human resources, time, etc.) are optimally used and converted into intended outputs. More specifically, the efficiency of the project should be assessed through the following guiding questions:

- *How efficient is the functioning of the project management, technical support, administrative, procurement and financial management procedures? To what extent have the project management structure and allocated resources been efficient in achieving the expected results?*
- *To what extent has the project implementation been efficient and cost-effective?*
- *How efficiently have resources/inputs (funds, expertise, time, etc.) been converted to results?*
- *To what extent have project funds and activities been delivered in a timely manner?*
- *What is the visibility and communications strategy adopted by the project? Has it been cost-effective in terms of promoting the programme and its achievements?*
- *How is the project keeping track of project progress on expected outputs and outcomes? Does the monitoring and evaluation system put in place allow for continuous collection and analysis of quality and segregated data on expected outputs and outcomes?*

c. Coherence:

- *To what extent did the project complement work among different entities, including development partners and government entities , and very substantive to bridge the identified development gaps civil society?*
- *To what extent do other or similar interventions or policies support or undermine the project, and vice versa?*
- *How and to what extent were the government entities involved in the project's design and implementation?*
- *How and to what extent the project intervention's added value is compatible/coherent to the stakeholders' and partnering institutions' priority development goals, and how does it fit to emerging challenges, both international and domestic?*
- *How and to what extent the project intervention can serve replication to other actors' interventions in the same context?*

d. Effectiveness:

The extent to which the project 's expected outputs and outcomes are being achieved or are expected to be achieved. Factors contributing to or detracting from the achievement of the project desired results and objectives should also be included in the assessment. More specifically, the effectiveness of the project should be assessed through the following guiding questions:

- *Are the project management strategies effective in delivering desired/planned results?*
- *To what extent are the project outputs and outcomes fully or partly achieved or on-track to be achieved?*
- *Are the implementation tools used in project implementation effective?*
- *The extent to which findings of data analysis or project best practices are used for drawing lessons learned, and adjusting implementation?*
- *Is there a suitable M&E framework to monitor and support the implementation of the targeted results both at project level and CO?*
- *To what extent have the project's activities led to improved coordination, cooperation, and consultation among development partners (including GoI executing agencies and the*

donor to this project)? How did the project steering committee contribute to a regular gathering of development partners to discuss development priorities?

- *To what extent have the project's activities led to improved coordination, cooperation, capacities as relevant at the National and/or the regional and/ or the institutional levels?*
- *To what extent does the project have the support of the government both at national and/or regional and /or institutional levels?*
- *To what extent did the COVID-19 pandemic affect the Project implementation and delivery?*
- *Is the project effective in responding to the needs of the targeted institutions, and what results can be shown?*

e. Impact:

The extent to which the project is expected to contribute to longer term outcomes/results. The impact or effect of the intervention in proportion to the overall situation of the target institutions.

- *Does the overall project intervention contribute to longer-term outcomes/results?*
- *What is the impact or effect of the intervention in proportion to the overall situation of the target institutions?*

f. Sustainability:

Analyzing whether benefits of the project are likely to continue after the project cycle.

- *Are suitable strategies for sustainability developed and implemented?*
- *To what extent are the benefits of the project likely to be sustained after the completion of the overall project cycle?*
- *What is the likelihood of continuation and sustainability of the project outcome and benefits after completing the project?*
- *How effective are the exit strategies, and approaches to phase out of the project, including contributing factors and constraints?*
- *What are the key factors that will require attention to improve prospects of sustainability of the project outcome and the potential for replication of the approach?*
- *How are capacities strengthened and sustained at the individual and institutional level (including contributing factors and constraints)?*
- *Describe the main lessons that have emerged*
- *To what extent are lessons learned being documented by the project team and shared with appropriate parties who could learn from the project?*
- *What are the major factors (i.e. socio-economic, environmental, legal and institutional framework, governance, security etc.) which have influenced the achievement or non-achievement of sustainability of the project, as of end 2021?*
- *Are there any social and political risk that may jeopardize sustainability of project outputs and contributions to CPD output and outcomes?*

g. Gender Inclusion

The extent to which the project has endeavored to reflect gender mainstreaming for equality and inclusion to “leave no one behind” through a human rights-based approach. The extent to which the project was able to apply an intersectional lens.

- *To what extent have gender equality and the empowerment of women been addressed in the planning, design, implementation, and monitoring of the project?*
- *Is the gender marker assigned to this project representative of reality?*

4- Methodology

The evaluation will be carried out in accordance with UNDP evaluation guidelines and policies, including Evaluation guidelines during COVID-19, United Nations Group Evaluation Norms and Ethical Standards; OECD/DAC evaluation principles and guidelines and DAC Evaluation Quality Standards.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to and in the country is constrained by a combination of COVID-19 and the ongoing conflict. If it is not possible to travel to or within the country for the evaluation then the Consultant should develop a methodology that takes this into account, and conduct the evaluation virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the Inception report and agreed with the Evaluation Manager.

If all or part of the evaluation is to be carried out virtually then a consideration should be taken for stakeholders' availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/ computer may be an issue as some government counterparts may be working from home. These limitations must be reflected in the evaluation report.

The project evaluation methodology will include the following data collection tools:

- **Desk review** of project documents, progress reports, monitoring reports, lessons learned reviews, and other relevant documents;
- **In-depth interviews** with relevant government representatives/ officials in counterpart institutions, and national focal points who are directly engaged in the project implementation, and questionnaires;
- **Discussions** with UNDP CO senior management and relevant project staff
- **Consultations** with donor
- **Survey with sample and sampling frame**—if a sample is used. This could include the sample size and characteristics; the sample selection criteria; the process for selecting the sample (e.g., random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of the sample for generalizing results.

If COVID-19 health pandemic related international travel restrictions and related containment measures are relaxed, field visits to selected Project sites and institutions will be carried out. All field-related work and relevant logistical arrangements should be made by the Consultant and are under his/her responsibility; however, assistance will be provided by the Project Management Specialist, FMA, in identifying key stakeholders and in facilitating the schedule of interviews and site visits, when and where required. Alternatively, If COVID-19 health pandemic related international travel restrictions and related containment measures are not relaxed, the field mission will only be limited to Baghdad based interviews with rest of the interviews conducted using virtual modalities.

Data from the evaluation will be triangulated to appraise and conclude findings. The Consultant will be assisted by the UNDP Project Manager of FMA as needed and work under the overall guidance and oversight of the UNDP Head of Economic Diversification Pillar.

All analyses must be based on observed facts, evidence, and data. Findings should be specific and concise and supported by information that is reliable and valid. Cross-cutting issues and the SDGs should be integrated into the final evaluation report. The final methodological approach, including interviews schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and fully discussed and agreed between UNDP, key stakeholders and the evaluators.

5- Evaluation Products/ key deliverables

The Consultant is expected to deliver the following outputs/ deliverables.

- **Inception Report (10-15 pages)**: The Consultant is expected to develop an inception report based on the terms of reference (TOR) and initial debriefing with the UNDP team, as well as the desk review outcomes (documents). It should be produced and approved before the evaluation starts (before any formal evaluation interviews, survey distribution or field visits). This report should detail out the *evaluator's understanding of what is being evaluated and why*, the *evaluation methodology* that describes data collection methods and sampling plan, together with the rationale for their selection and limitations. The report should also include an *evaluation matrix* identifying the key evaluation questions and how they will be answered/weighed by the selected methods. Annexed *workplan* should include detailed schedule and resource requirements tied to evaluation activities and milestone deliverables.
- **Debriefing** after completion of the fieldwork to be conducted by the evaluator to UNDP the Pillar, Project team and PMSU, confirming the completion of the fieldwork and collection of necessary data for developing into the evaluation report.
- **Draft Evaluation Report** (max 40 pages including Executive Summary) to be submitted to UNDP for review; UNDP will provide a combined set of comments, using Evaluation Report Audit Trail, to the evaluator to address the content required (as agreed in the inception report) and quality criteria as outlined in the UNDP evaluation guidelines.
- **A presentation** will be delivered to UNDP Team on the draft evaluation report outlining the following key aspects: (i) overall evaluation findings and in-depth analysis relating to each output. Thereafter, feedback received from the presentation of this draft evaluation report should be considered when preparing the final report. The evaluator should produce an audit trail indicating whether and how each comment received was addressed in revisions to the Final Report.
- **Final Evaluation Report** (guided by the minimum requirements for a UNDP Evaluation Report /UNDP Outline of the evaluation report format (see annex 6) should be submitted to UNDP
- **Brief summary report** (up to 5 pages) linking the final evaluation findings to the CPD Outcome 2.1 focusing on Economic Growth , to be submitted before the expiry of the contract.

It should be noted that the above list of deliverables, together with the implementation time-frame (see section 8) might be subject to review and revision by UNDP in discussion with the Consultant in the event of unexpected changes to the context/ working environment in Iraq during the consultancy period.

Standard templates that need to be followed are provided in the Annexes section. It is expected that the Consultant will follow the UNDP evaluation guidelines and UNEG quality checklist and ensure all the quality criteria are met in the evaluation report.

In line with the UNDP's financial regulations, when determined by the Country Office and/or the Consultant that a deliverable or service cannot be satisfactorily completed due to the impact of

COVID-19 and limitations to the evaluation, that deliverable or service will not be paid. Additionally, due to the current COVID-19 situation and its implications, a partial payment may be considered if the Consultant invested time towards the deliverable but was unable to complete it, due to circumstances beyond his/her control.

6- Locations and timeframe for the evaluation process

The detailed evaluation workplan will be agreed upon between the UNDP and the selected Consultant. The Project evaluation will take place over a period of 30 working days between 15 May to 15 August 2022, including a combination of home-based work and one in-country visit. The security situation in each location will be reviewed prior to the rollout of the final field visit plan. The assignment and final deliverables are expected to be completed no later than 15 August 2022, with the detail as described in the below table.

Indicative work plan—timeframe for evaluation deliverables

ACTIVITY	ESTIMATED # OF DAYS	DATE OF COMPLETION	PLACE	Responsible Party
Meeting briefing with UNDP (programme managers and project staff as needed)	1 day	At the time of contract signing <i>15 May 2022</i>	Home-based & for UNDP CO (online)	UNDP Project Team; Consultant
Sharing of the relevant documentation with the evaluation team (Consultant)	-	At the time of contract signing <i>15 May 2022</i>	Via email	UNDP Project Team
Desk review, evaluation design, methodology and updated workplan including the list of stakeholders to be interviewed	8 days	Within ten days of contract signing <i>1 June 2022</i>	Home- based	Consultant
Deliverable 1: Submission of the inception report (15 pages maximum)	-	Within fifteen days of contract signing <i>8 June 2022</i>	Via E-mail	Consultant
UNDP Comments and approval of inception report		Within five days of submission of the inception report <i>15 June 2022</i>	UNDP Country Office	UNDP Project Team; Economic diversification Pillar; PMSU
Consultations and field visits, in-depth interviews	5 days	Within five weeks of contract signing. <i>By 20 June 2022</i> (including travel days)	In country (Interviews/ field visits)	Consultant
Deliverable 2: Debriefing to UNDP (Confirmation of completion of Field Work/Data Collection)	1 day	<i>20 June 2022</i>	In country	Consultant
Preparation of draft evaluation report (50 pages maximum excluding annexes), executive summary (5 pages)	10 days	Within two weeks of completion of the field mission <i>30 June 2022</i>	Home- based	Consultant
Deliverable 3: Submission of draft evaluation report, and submission of raw data, and Presentation on the Draft Findings to UNDP	-	<i>3 July 2022</i>	Via E-mail and Online	Consultant
Consolidated UNDP and stakeholder comments to the draft report.		Within two weeks of submission of the draft evaluation report. <i>14 July 2022</i>	UNDP Country Office	UNDP Project Team; Economic Diversification Pillar
Final debriefing with UNDP (including UNDP Senior Management)	1 day	Within one week of receipt of comments <i>21 July 2022</i>	Home-based & UNDP CO (online)	Consultant UNDP team

Deliverable 4: Final evaluation report (with Audit Trail) incorporating additions and comments provided by project staff and UNDP CO approval	2 days	Within one week of final debriefing <i>28 July 2022</i>	Home Based & UNDP CO (online)	Consultant UNDP Team
Submission of the brief summary report linking evaluation findings to the UNDP CPD Outcome 2.1, focusing on Economic Growth (5 pages maximum excluding annexes)	2 days	Within one week of final debriefing <i>28 July 2022</i>	Home-based	Consultant
Deliverable 5: Approval of the brief summary report Final Evaluation Presentation for Stakeholders (as agreed with UNDP)		By the time of contract ending- 15 August 2022	Home-based/Online)	UNDP Team Stakeholders identified by UNDP

*The international consultant will be responsible for the entire evaluation processes and submission of the above-mentioned deliverables.

7- Evaluation indicative payment schedule and modalities

The Consultant is expected to deliver the following outputs/deliverables. It should be noted that the following list of outputs/ deliverables might be subject to review and revision by UNDP in discussion with the Consultant in the event of unexpected changes to the context/working environment in Baghdad/ Iraq during the consultancy period. Payments will be made upon acceptance and approval by UNDP of the planned deliverables, based on the following tentative payment schedule:

Terms of Payment	Percentage (%)
(i) Upon the satisfactory completion and acceptance of final Inception Report and Presentation As part of the final Inception Report it must include as a minimum: <ul style="list-style-type: none">- Updates to evaluation methodology and work plan- Final Evaluation report template- Questionnaires for Key Informant Interviews (KIIs)- Sampling methodology and work plan, as applicable- List of interviewees and desk review documents	30%
(ii) Upon the submission and acceptance of the summary report (5 pages maximum excluding annexes), linking evaluation findings to the UNDP CPD Economic Growth Outcome 2.1, focusing on Economic Growth, duly approved by UNDP Head of Economic Diversification Pillar	70%

*N.B Travel and accommodation:

- *Air-tickets (home-Baghdad-home), terminals in home, Daily Subsistence Allowance (excluding accommodation), cost of visa, travel insurance etc. must be included in the financial proposal.*
- *In general, UNDP does not accept travel costs exceeding those of an economy class ticket. Those reimbursable costs will be reimbursed to the Consultant upon the completion of the mission against the claim with proof of the payments.*
- *Accommodation and movement inside Iraq will be provided by UNDP.*
- *In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon in writing, between UNDP and selected Consultant prior to travel and will be reimbursed to the Consultant.*

8- Evaluation Ethics

“This evaluation will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The Consultant must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing the collection of data and reporting on data. The Consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners.”

9- Management and implementation arrangements

The Project evaluation is commissioned by UNDP Iraq's Economic Diversification Pillar. The main UNDP Focal Point will be the UNDP Head of Economic Diversification Pillar supported by Project Management Specialist (PMS), LMU/FMA. Together the Economic Diversification Pillar and PMS Project team will serve as the focal points for providing both substantive and logistical support to the Consultant. Assistance will be provided by the Head of Economic Diversification Pillar and PMS, LMU/FMA to make any refinements to the work plan of the selected Consultant (i.e., key interview partners; organize meetings; and conduct field visits (if necessary and if the security situation permits)).

This TOR shall be the basis upon which compliance with assignment requirements and overall quality of services provided by the Consultant will be assessed by UNDP.

As part of the assignment:

- UNDP will provide office space with access to the internet and printer when in Baghdad, Iraq.
- UNDP will provide the following list of additional documents to the selected Consultant, upon signing of contract
 - Donor Reports
 - Relevant Financial Information
 - Contact Details of Stakeholders and Partners
 - Risk Analyses and Lessons Learned Logs
 - Other relevant project documents

The Evaluation Consultant is expected to

- Have/bring their laptops and other relevant software/equipment.
- Use their own mobile and personal email address during the consultancy period, including when in-country.
- Make their own travel arrangements to fly to Baghdad, Iraq.

10-Evaluator Qualification and Competencies

UNDP seeks to recruit an International Consultant with the following profile. The Consultant must have high levels of relevant technical expertise; rigorous research and drafting skills; and the capacity to conduct an independent and quality evaluation. Qualified female candidates are strongly encouraged to apply.

Education

Minimum of Master's degree in Development Studies, International Development, Monitoring and Evaluation, Public Policy and Management/ Administration, Project Management, or any other relevant university degree. In addition, the Consultant must possess the following competencies listed below.

Work Experience

- At least ten (10) years' experience in the evaluation and monitoring of economic development for major infrastructure projects, inclusive economic growth with similar focus on development of stakeholders' co-partnering/cooperation.

- At least 5 years' previous experience and substantive knowledge on results-based management (RBM) and results-oriented monitoring and evaluation is essential.
- At least 3 years' Experience of working with government institutions in post-conflict settings, experience in Iraq context will be an asset
- Experience of working at the policy level/strategic level is essential.
- Excellent knowledge and understanding of economic development and inclusive growth sector project implementation, including field experience is essential.
- Experience in conducting gender-sensitive evaluations for inclusive economic development projects in conflict and post-conflict countries, is required.
- Excellent knowledge and understanding of Triangular Cooperation framework are an asset.
- Extensive experience in writing analytical research reports/project/programme evaluation reports is essential.
- Experience in working for the UN or other international development organizations in an international setting would be an asset.
- Experience in the usage of computers and office software packages (MS Word, Excel, etc).

Language:

Fluency in spoken and written English with good report writing skills and fluency in spoken Arabic are **essential**. Samples of previously written work including evaluation reports in the English Language must be submitted.

Corporate Competencies

- Demonstrates commitment to the UN values and ethical standards.
- Promotes the mission, vision, and strategic goals of UNDP.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Treats all people fairly and with impartiality.

Functional Competencies

- Consistently approaches work with energy and a positive, constructive attitude.
- Ability to work under pressure and to meet deadlines.
- Demonstrates excellent oral and written communication skills.
- Demonstrates openness to change and ability to manage complexities.
- Self-reliant and able to work as a part of a multi-cultural team in a stressful.
- Shows pride in work and in achievements; is conscientious and efficient in meeting commitments; observing deadlines and achieving results; is motivated by professional rather than personal concerns; shows persistence when faced with difficult problems or challenges and, remains calm in stressful situations.
- Speaks and writes clearly and effectively; listens to others, correctly interprets messages from others and, responds appropriately; asks questions to clarify and, exhibits interest in having two-way communication; tailors language, tone, style and, format to match the audience and, demonstrates openness in sharing information and, keeping people informed.
- Identifies priority activities and assignments; allocates appropriate amount of time and resources for completing work; foresees risks and allows for contingencies when planning; monitors and adjusts plans and actions as necessary and, uses time efficiently.
- Considers all those to whom services are provided to be "clients" and seeks to see things from clients' point of view; establishes and maintains productive partnerships with clients by gaining their trust and respect and, meets timeline for delivery of product or services to client.

- Works collaboratively with colleagues to achieve organizational goals; builds consensus for task purpose and direction with team members and, supports and acts in accordance with final group decisions, even when such decisions may not entirely reflect own position.
- Keeps abreast of available technology, actively seeks to apply technology to appropriate tasks and, shows willingness to learn new technology.

11-Application submission process and criteria for selection:

Application Process

Interested qualified and experienced individual consultants must submit the following documents/information to demonstrate their qualifications and interest:

1. Letter of Confirmation of interest and availability using the template provided by UNDP; please see attached template.
2. Most Updated Personal detailed CV including past experience in similar assignment and at least 3 references/or UN P11 Form ("CV Form")
3. A detailed methodology on how the candidate will approach and conduct the work (max. 5 pages in A4) and,
4. Two samples of evaluation reports done/authored within the past five years.

Note: Applicants must not have worked in the design or implementation of this project or in an advisory capacity for any of the interventions, directly as consultants or through service providers.

Submitted proposals will be assessed using Cumulative Analysis Method. The proposals will be weighed according to the technical proposal (carrying 70%) and financial proposal (carrying 30%). Technical proposals should obtain a minimum of 70 points to qualify and to be considered. Financial proposals will be opened only for those application that obtained 70 or above in the technical proposal. Below are the criteria and points for technical and financial proposals.

Evaluation Criteria		Max. Point 100	Weight
Technical	<p>Criteria: relevance and responsiveness of candidate's past experience, Qualification based on the submitted documents:</p> <ul style="list-style-type: none"> ○ At least ten (10) years' experience in the evaluation and monitoring of economic development for major infrastructure projects, inclusive economic growth with similar focus on development of stakeholders' co-partnering/cooperation. (5 points) ○ At least 5 years' previous experience and substantive knowledge on results-based management (RBM) and results-oriented monitoring and evaluation (5 points) ○ At least 3 years' Experience of working with government institutions in post-conflict settings, in Iraq context will be an asset (5 points) 	100 Points	70%

Evaluation Criteria		Max. Point 100	Weight
	<ul style="list-style-type: none">○ Experience of working at the policy level/strategic level is essential. (5 points) Criteria of Methodology and past reports <ul style="list-style-type: none">○ Knowledge and understanding of economic development and inclusive growth sector project implementation, including field experience is essential. (10 points)○ Experience in conducting gender-sensitive evaluations for inclusive economic development projects in conflict and post-conflict countries, is required. (10 points)○ Knowledge of Triangular Cooperation framework (10 points)○ Experience of working at the policy level/strategic level (10 points)○ Extensive experience in writing analytical research reports/project/programme evaluation reports is essential. (supported by 2 samples of evaluation reports) (10 points)		
Financial	<u>Lowest Offer / Offer*100</u>		30%
Total Score = (Technical Score * 0.7 + Financial Score * 0.3)			

Weight Per Technical Competence	
5 (outstanding): 96% - 100%	The individual consultant/contractor has demonstrated an OUTSTANDING capacity for the analyzed competence.
4 (Very good): 86% - 95%	The individual consultant/contractor has demonstrated a VERY GOOD capacity for the analyzed competence.
3 (Good): 76% - 85%	The individual consultant/contractor has demonstrated a GOOD capacity for the analyzed competence.
2 (Satisfactory): 70% - 75%	The individual consultant/contractor has demonstrated a SATISFACTORY capacity for the analyzed competence.
1 (Weak): Below 70%	The individual consultant/contractor has demonstrated a WEAK capacity for the analyzed competence.

TOR Annexes

This section presents additional documents to facilitate the proposal preparation by the Consultant.

Annex 1: Project Document and List of Partners and Stakeholders

a. Project Document



FMA 00072135
Project Document U

b. List of Stakeholders

Table B List of Stakeholders				
#	Ministry/Agency	Relation	Location	Method of communication
1	Japan International Cooperation Agency	Donor	Baghdad	Online/Physical Meeting
1	Prime Minister Advisory commission	Monitoring Committee Chair	Baghdad	Online/Physical Meeting
2	Ministry of Planning	Monitoring Committee Member	Baghdad	Online/Physical Meeting
3	Ministry of Electricity	Beneficially	Baghdad	Online/Physical Meeting
4	General Company for Ports of Iraq	Beneficially	Basra	Online
5	Ministry of Electricity/KR-I	Online	Erbil	Online

Annex 2: Documents to be consulted

a. UNDP Handbook on Monitoring and Evaluation for development results:

<http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>

b. UNDP Evaluation Guidelines (June 2021):

http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf

c. UN Ethical Guidelines for Evaluation: <http://www.unevaluation.org/document/download/547>

d. UNDP Country Programme Document (CPD) 2020-2024:

<https://www.iq.undp.org/content/iraq/en/home/library/iraq-cpd-2020-2024.html>

Annex 3: Evaluation matrix (Sample Evaluation Matrix) – to be included in the inception report.

Table B. Sample of evaluation matrix						
Relevant evaluation criteria	Key questions	Specific sub-questions	Data sources	Data collection methods/tools	Indicators/success standard	Data analysis method

Annex 4: Code of conduct forms.



Adobe Acrobat
Document

The Consultant Firm and each member of the Evaluation Team consultant will be requested to read carefully, understand and sign the “UN Code of Conduct.”

Annex 5: Suggested minimum content/ guidance on Inception Report Template



Sec 4 Template 4
Evaluation Inception

Annex 6: Guidance on Evaluation Report Template (Refer Annex 4 – PDF pages 118-122):
<http://web.undp.org/evaluation/guideline/documents/PDF/section-6.pdf>

Annex 7: [Evaluation guidelines during COVID-19](#)

Annex 8: [Integrating Gender Equality and Human Rights in Evaluation - UN-SWAP Guidance, Analysis and Good Practices](#)

- <http://www.unevaluation.org/document/download/2107>
- <http://www.unevaluation.org/document/download/2695>

Annex 9: [Audit trail Template](#)



Sec 4 Template 7
Evaluation Audit tra

Annex 10: Quality Assessment Checklists-June 2021

- <http://web.undp.org/evaluation/guideline/section-6.shtml>

Annex 11: Dispute and wrongdoing resolution process and contact details (will also be provided at the time of signing the contract)



Annex 3 of the
UNDP Evaluation Gl