

Final Evaluation of the intervention “Systems building and capacity strengthening of the Ministry of Education and its sub-national Directorates of Education for effective delivery of quality education outcomes”

Final Inception Report



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1. Introduction

This final inception report presents the consultancy team's understanding of the needs and expectations for conducting the evaluation of the intervention 'Systems building and capacity strengthening of the Ministry of Education and its sub-national Directorates of Education for effective delivery of quality education outcomes', also sometimes referred to as the 'EU-funded intervention on education systems strengthening' in this report for brevity's sake.

The purpose of this report is to construct a common understanding of the scope, focus and approach for the evaluation. As such, it details the context and background as well as understanding of the project; the evaluation's purpose, objectives and scope; the framework, approach and methodology, as well as the workplan and process, including deliverables for the assignment; plus, the quality assurance and ethical considerations. Furthermore, it outlines the activities that have taken place during the inception phase, including the interviews and preliminary document review that have informed the drafting of this report.

The inception phase of the evaluation has involved 14 interviews with a cross-section of key stakeholders, primarily UNICEF staff with knowledge of the project's components in the various regions of implementation though also with 1 UNESCO key informant and 1 key informant from the funder (the European Union). It was not possible to speak with Ministry of Education staff due to the timing of work on the inception report and holidays in Iraq (Eid). The interviews were complemented by document review, and together informed inception phase analysis and then writing of this report by the evaluation team. The UNICEF evaluation focal points reviewed drafts of the inception report, with their comments informing development of this final inception report. For further details, please see section 8 of this report, where inception phase activities are described in detail, and Annex 9: list of stakeholder interviews from the inception phase.

Important to highlight is that the inception phase's activities have resulted in some clarifications to the Terms of Reference for the evaluation. In particular, the geographical scope was clarified, to be clear that the activities with the Kurdistan regional government are not part of the evaluation's scope and thus that activities in KRI are not to be included. And while analysis of gender was not specifically mentioned in the TORs as an evaluation objective, it has been included as a result of discussions during the evaluation's inception phase. For further details, please see section 5 of this report, sub-section "Deviations from the Terms of Reference".

The report is organised into nine sections:

- Executive Summary
- Introduction
- Context and Background
- Understanding of the Project
- Evaluation Purpose, Objectives and Scope
- Evaluation Framework
- Evaluation Approach and Methodology
- Workplan and Process
- Quality Assurance and Ethical Considerations

There are also 12 annexes:

- Annex 1: Terms of Reference
- Annex 2: Intervention Logframe
- Annex 3: Implementation Status Tables for Specific Objectives
- Annex 4: Overview of Project Financial Information
- Annex 5: Evaluation Matrix
- Annex 6: Draft Data Collection Instruments and Protocols
- Annex 7: Structure of the Final Evaluation Report

- Annex 8: Summary and List of Documents Reviewed at Inception Phase
- Annex 9: List of Stakeholder Interviews from the Inception Phase
- Annex 10: Detailed Workplan
- Annex 11: Quality Assurance and Ethical Compliance Check Lists
- Annex 12: Team Support and Duty of Care

2. Context and Background

The education system in Iraq was considered one of the best in the Middle East up until the early 1990s, with strengths including a strong track record on combating illiteracy. Yet since that time, the country has experienced a series of conflicts, including the first Gulf War in 1991; the Iraq War from 2003 to 2011, in which a coalition led by the United States invaded and overthrew the government before fighting a prolonged insurgency opposed to the occupying forces and the post-invasion Iraqi government; and then renewed fighting after a takeover of large swathes of the country by the so-called Islamic State (IS) beginning in 2014, which led to another American-led intervention that lasted until 2021.

These various conflicts have caused significant numbers of deaths and widespread suffering, destruction of infrastructure, large flows of internally displaced persons (IDPs) – compounded by hundreds of thousands of refugees from the civil war in neighbouring Syria – as well as very significant economic disruption. The resulting impacts upon the education system in Iraq in particular have been significant: a drastic decrease in operating schools, a lack of qualified teachers, and an overall lack of appropriate investments and financing for the system, with government expenditures on education declining from just over 5% of GDP in 2009 to only 3.9% ten years later.¹

This in turn has had a strong impact on the country's student population, evidenced by several million students being out of school for often long periods of time as well as significant numbers of damaged schools and multiple shifts in many schools. There has also been a significant decline in learning levels in the country, varying school completion rates between girls and boys (with 5% more boys than girls completing primary school versus 6% more girls than boys completing upper secondary school), declining pass rates in national leaving exams between 2009 and 2017, and clear evidence of weak reading skills as well as low maths and science levels. Moreover these various impacts have been compounded by the effects of population growth and by the long school closures and economic disruptions linked to the COVID-19 pandemic: according to OCHA, school closures in Iraq were some of the longest in the world at 63 weeks and affected some 11 million children.²

In response to this situation, the Government of Iraq has made improving the education system a priority. Areas of focus from the 2011-2020 National Education Strategy include raising the quality of education in the country by better supporting schools and teachers and by enhancing professional development for teachers. The National Development Plan 2018-2022 includes a focus on improving enrolment rates, building thousands more schools and renovating thousands of damaged schools, improving the quality of teaching including by building teacher capacities and modernising curriculums, and improving the management of education information as well as the capacities of education administrators. These various efforts are within a larger context where the country is transitioning from being a conflict and post-conflict state to a more stable and development-orientated one, and thus where work localised around the triple nexus of humanitarian-development-peace is ever more important.³

¹ 'National Education Strategy for Iraq 2022-2031', Final Draft, UNICEF. Note: UNICEF is one of the partners who supported the development of the document, but it is owned by the Iraqi government.

² World Vision, *Child Protection and COVID-19: Iraq Case Study*, Relief Web, Iraq, 18 February 2022; United Nations Children's Fund, 'National Education Strategy for Iraq 2022-2031', Final Draft, UNICEF; United Nations Children's Fund, *Iraq Education Fact Sheets | 2020: Analyses for learning and equity using MICS data*, UNICEF, Iraq, 2020

³ Ministry of Planning, *Iraq National Development Plan 2018-2022*, MOP, Republic of Iraq, January 2018; United Nations Children's Fund, *UNICEF Iraq Proposal to the European Union: Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes*, UNICEF Iraq, May 2022; United Nations Children's Fund, 'National Education Strategy for Iraq 2022-2031', Final Draft, UNICEF; United Nation Economic and

2.1. UNICEF in Iraq

UNICEF has been working in Iraq since the mid-1980s, focusing on humanitarian needs and emergency response from the early 1990s to the late 2000s, including in the area of education. Beginning in 2009, the agency shifted its response to focus on working with the government to develop child-friendly social policies, modernise its institutions and improve the nationwide delivery of basic services critical to the future survival and development of children. As of 2019, UNICEF's agenda was focused on supporting the Government of Iraq to achieve Sustainable Development Goal (SDG) 4, which is to ensure an inclusive and equitable, accessible, quality education and lifelong learning for all. This was to be done by supporting strengthening of the education systems in policy development, coordination, planning, budgeting and monitoring; supporting the generation of new strategic data for evidence-based advocacy; and supporting strengthening of systems and policy development including to decentralise education management, as well as the integration of life skills into the education system. UNICEF was also advocating for equitable and efficient allocation and use of resources to ensure equitable school access and to enhance quality education for children and particularly for girls.⁴

UNICEF's vision in Iraq is that "by 2024, children, adolescents and women in Iraq are better protected and have more equitable and inclusive access to quality basic services."⁵ The outcome statement related to education is that "... by 2024 children and adolescents, especially the most vulnerable, benefit from equitable access to quality and inclusive education."⁶ Specific areas of focus for UNICEF include strengthening the capacity of the Ministry of Education to effectively plan, budget, implement and monitor equitable delivery of quality education services, especially at governorate levels, as well as curriculum revision, teacher development and training, and ensuring inclusion of the most vulnerable children. Also drawing on the Country Programme Document's underlying Education Programme Strategy Note 2020-2024, the areas of focus can be summarised as: (i) systems strengthening, (ii) access to basic education, and (iii) quality learning. All three outputs together contribute to the education outcome on equitable access for all children and adolescents to quality and inclusive education. Furthermore, gender is mainstreamed throughout the programme, with a particular focus on addressing gender-based violence. UNICEF aims to support the Government of Iraq in implementing this vision, as well as by continuing to work with other partners including UN agencies, as part of a larger cooperative effort to address factors that hinder Iraq's broader progress toward sustainable development under the United Nations Sustainable Development Cooperation Framework IRAQ (UNSDCF).⁷

Social Council, *Country Programme Document: Iraq*, United Nations Children's Fund Executive Board Second regular session 11–13 September 2019, Item 5 (a) of the provisional agenda, UNESCWA, Limited Distribution, 16 July 2019

⁴ <unicef.org/iraq>; United Nations Children's Fund, *Iraq Education Fact Sheets | 2020: Analyses for learning and equity using MICS data*, UNICEF, Iraq, 2020; United Nations Children's Fund, *UNICEF Iraq Proposal to the European Union: Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes*, UNICEF Iraq, May 2022

⁵ United Nation Economic and Social Council, *Country Programme Document: Iraq*, United Nations Children's Fund Executive Board Second regular session 11–13 September 2019, Item 5 (a) of the provisional agenda, UNESCWA, Limited Distribution, 16 July 2019

⁶ United Nation Economic and Social Council, *Country Programme Document: Iraq*, United Nations Children's Fund Executive Board Second regular session 11–13 September 2019, Item 5 (a) of the provisional agenda, UNESCWA, Limited Distribution, 16 July 2019

⁷ United Nation Economic and Social Council, *Country Programme Document: Iraq*, United Nations Children's Fund Executive Board Second regular session 11–13 September 2019, Item 5 (a) of the provisional agenda, UNESCWA, Limited Distribution, 16 July 2019; United Nations Children's Fund, 'National Education Strategy for Iraq 2022-2031', Final Draft, UNICEF; United Nations Children's Fund, UNICEF Country Programme Planning: Guidance to Achieve SDGs by 2030, UNICEF, New York, August 2022; United Nations Children's Fund, Evaluation Terms of References of the intervention *Systems building and capacity strengthening of the Ministry of Education and its sub-national Directorates of Education for effective delivery of quality education outcomes*, UNICEF Iraq Country Office, 18 April 2023

3. Understanding of the Project

3.1. Description of the Intervention

The project ‘Systems building and capacity strengthening of the Ministry of Education and its sub-national Directorates of Education for effective delivery of quality education outcomes’ was a project implemented by UNICEF in close collaboration with UNESCO through a linked UNESCO project, as well as with the Government of Iraq. The UNICEF project was implemented over a period of 46 months, from August 2019 to May 2023, which includes a 10 month no-cost extension that was submitted in May 2022 and granted in July 2022. It was focused on downstream project implementation and planning development, and had three main specific objectives and outcomes (see table below):

Table 1 The three Strategic Objectives (SO), Outcomes and Outputs of the Intervention.

<p>SO1</p> <p>To improve the effectiveness and efficiency of education through roll-out of the Education Management Information System (EMIS) and increase capacity of education planners, statisticians and educators at governorate level: UNESCO (national level), UNICEF (governorate and school level).</p>	<p>SO2</p> <p>To strengthen the capacity of MoE at the central and governorate level to improve education services delivery: UNESCO (National Level), UNICEF (governorate level).</p>	<p>SO3</p> <p>To enhance the quality of teaching and learning by operationalising the capacity development plan and developing teachers’ capacities at central and governorate levels: UNESCO (national level), UNICEF (governorate and school level).</p>
<p>Outcome 1</p> <p>Improved capacity to identify gaps in access and quality of education using reliable and frequently collected EMIS data and to allocate appropriate resources, including qualified teachers, to address them.</p>	<p>Outcome 2</p> <p>Capacity of education planners, statisticians, and educators to make timely and accurate decisions at central and governorate levels is increased, improving the effectiveness and efficiency of education and improved capacity to develop and implement policies at central and governorate levels.</p>	<p>Outcome 3</p> <p>Enhanced quality of teaching and learning improved.</p>
<p>Output S01</p> <p>Roll-out the Education Management Information System (EMIS) and increase capacity of education planners, statisticians and educators at central and governorate levels. UNESCO (national level), UNICEF (governorate and school level); main activities include:</p> <ul style="list-style-type: none"> i) EMIS system developed and piloted; ii) Call centre for the EMIS established and operational; iii) Staff capacity in the targeted governorates enhanced (24,640 training days for 4,928 staff); iv) School and literacy centre data entered into EMIS and planning, monitoring and evaluation reports generated; v) Developed supporting EMIS policies and guidance. 	<p>Output S02</p> <p>Education Section Plans are available at national and governorate levels and for ensuring leadership and ownership of the process to develop national capacity development and implementation plans is evident; main activities include:</p> <ul style="list-style-type: none"> i) 5-year National Education Capacity Development plan developed at central level; ii) Governorate Education sector plans and capacity development plans developed at selected governorates; iii) 3-year capacity development implementation plan developed at central level; iv) 3-year capacity development implementation plan developed in 4 governorates; v) Disseminate the capacity development plans to all relevant stakeholders. 	<p>Output S03</p> <p>Operationalised capacity development plan and developing teachers’ capacities at central and governorate levels (UNESCO at central level and UNICEF at governorate and school level); main activities include:</p> <ul style="list-style-type: none"> i) Design pilot training course; ii) Pilot training materials developed; iii) Master trainers trained on developed materials; iv) Roll-out of the training at governorate level; v) Teachers participated in developing the capacity building plans and teachers training.

In the following, the Theory of Change for the project is reconstructed, and then the three specific objectives are described in further detail including their rationale, description, intended beneficiaries, implementation status and locations, and their key stakeholders. Regarding implementation status, what is presented is based on the monitoring data and should not be construed as an evaluative statement.

3.2. Theory of Change

The project's Theory of Change (TOC) was developed on the basis of the short Theory of Change included in the evaluation's Terms of Reference – which was insufficiently detailed to guide a theory-based evaluation, and so was further developed in the inception phase by the evaluation team – as well as the project design⁸ and preliminary discussions with key stakeholders during the inception phase. The TOC reflects the objectives and modalities of the project, and will be used as a framework to help visualise relationships between the different contributions towards its desired outcomes.

The Project Results framework aligns with the TOC and provides a basis for monitoring progress towards outcomes. The results framework gives a thematic breakdown of outcome areas and outputs and it details the baselines, targets and means of verification (MoV) for each output.

The overall objective of the project is **to provide improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq (see the detailed Outcomes described in Table 1 above).**

The TOC highlights the main activities required to achieve each outcome. Activities targeting different outcomes have a **synergistic effect** on each other. For example, the implementation of *Governorate Education sector plans* and *Capacity Development Plans* developed at selected governorates will require credible timely and reliable data from the EMIS. This will be achieved through the outputs targeting development of an EMIS for Iraq. Therefore, the vertical causal relationship of activities to outcomes is also intended to be horizontal. The main activities for each main output are described in Table 1 above.

Causal Assumptions

There are also **causal assumptions**, which present the underlying logic of the generation of the changes in the TOC. If these assumptions are not realised, this will have an impact on the project performance. However, unlike external assumptions, causal assumptions can be changed by the project management, for instance, based on the result of monitoring and evaluations. The theory of change follows the broad logic that the **outputs** will be achieved if:

- i) National government and governorates are willing to take on increased responsibilities and leadership.
- ii) Children especially adolescents themselves are keen to strive for learning continuity.
- iii) Local market and overall fiduciary situation don't deteriorate during the project.
- iv) MoE and governorate partners are willing to engage in a systematic capacity building process.
- v) Teacher training is delivered in a high-quality, engaging manner with high participation.
- vi) Target schools and learning centres continue to operate and function throughout the project implementation.
- vii) Implementing partners continue to operate with a sound financial management. They periodically conduct capacity assessments, together with financial spot checks and audits adapting to the fiduciary risk level identified.
- viii) The reduction in the military actions or insurgency by armed groups in some governorates continues at the same current levels.

⁸ UNICEF (2019) Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes. UNICEF Iraq Proposal to the European Union, UNICEF Iraq, February 2019

External Assumptions

The **external assumptions** can be decisive for the project performance if they are not realised. The external assumptions present a given critical context that needs to be fulfilled, if the project is to take place as planned. The key external assumptions for the project logic are shown in the TOC and they may be determined based on the project modalities and funding:

- i) Continued partner commitment towards funding projects within Iraq.
- ii) Continued ability to be able to operate within the regions selected.
- iii) MoE support towards improving children and adolescents' rights to education and protection and to improving educational planning including via strong data (EMIS) continues.
- iv) Stable and timely funding for project activities in general.
- v) Political status quo ensuring the current situation continues.

GEDSI

Gender equality, disability and social inclusion (GEDSI) is mainstreamed through all activities, Inputs and Approaches for the project and a gender lens is applied to all outputs and outcomes, including development of EMIS and EMIS reports, planning documents, training and participation in all capacity building activities. A particular focus is applied to gender-based violence, commitments to sustainable development, as well as gender equality and disability rights. The sub-section "Gender Analysis" further down in this section of the report analyses the gender component in further detail, including noting that the project documentation does not specify in detail exactly how gender was to be mainstreamed in the project.

Barriers, Challenges and Constraints

The **barriers, challenges and constraints** are highlighted in the TOC. They are colour coded to match the outputs and outcome they most align with. Some are coloured white indicating they are general barriers, challenges and constraints affecting the whole project. The barriers, challenges and constraints include:

- i) Low technical capacity of governorates.
- ii) Low planning, monitoring and evaluation capacities.
- iii) Poor connectivity and ICT capacity at governorate level and schools' resistance to changing processes and procedures.
- iv) If the MoE-KRG fails to supply complete and accurate information, indicators and dashboards will be rendered only partially reliable.
- v) Low capacity of education planners to plan, monitor and evaluate.
- vi) Wider public service reform requirements constrain the extent of reform within the MoE of policies and systems supporting capacity development.
- vii) Reluctance of central government to decentralise and devolve some administrative/financial decision-making authorities to sub-national levels, including schools.
- viii) Disruption of learning due to Covid-19.
- ix) Low capacity of teachers.
- x) Low parental education and community engagement to support education of children.
- xi) Risk of salaries and other costs not being paid to MoE personnel, especially in the KRI due to the acute shortage of public resources.
- xii) Deterioration in local security undermines UNICEF's ability to deliver project results in education.
- xiii) Reluctance of central government to decentralise and devolve some administrative/financial decision-making authorities to sub-national levels, including schools.
- xiv) Disruption of project implementation due to elections.
- xv) Government fails to allocate required resources for capacity development actions.

Not shown in the TOC but also likely to be significant risks are: climate & disaster vulnerability, including epidemics and pandemics other than Covid-19 that disrupt the development paths. An example is the 2017 earthquake of 7.3 magnitude, 32 km from Halabjah, Iraq.⁹

Causal Linkages

In the move **from outputs to outcomes**, the TOC shows strong synergistic causal linkages. The key assumption underlying those linkages is that capacity building and improved information including plans and the EMIS (at the output level) will lead to improved capacities and the deployment of those improved capacities in stronger decision-making and teaching informed by better data (at the outcome level). Similarly, the **linkages between the outcomes and overall objective** is strong, with the key assumption being that the outputs and outcomes lead to national-level change for all girls and boys in Iraq, which implies a strong and sustainable roll-out of the project activities nationally. This includes addressing any inequities or exclusions, e.g. for particular target groups or geographical regions.

Linkages with the SDGs

The project is linked to several of the **Sustainable Development Goals (SDGs)**:

- SDG 4 – Quality Education. The project’s three SOs are linked to SDG 4, with SO3 most directly linked by virtue of focusing on strengthening the quality of teaching and learning, which is in line with the target of substantially increasing the supply of qualified teachers. SOs 1 and 2 are also linked by virtue of strengthening data and planning related to the education system and so ultimately supporting multiple targets, including that all girls and boys enjoy complete free, equitable and quality primary and secondary education; and, eliminating gender disparities in education and ensuring equal access to all levels of education and vocational training for the vulnerable.
- SDG 5 – Gender Equality. Here, all three SOs are linked to the target about ending all forms of discrimination against all women and girls everywhere, by virtue of the project aiming to mainstream effective female inclusion in all stages.
- SDG 13 – Climate Action. SO3 is particularly linked to the target about improving education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning. It is not clear at this stage of the evaluation to what extent SOs 1 and 2 have incorporated climate action components, but to the extent that they have, they would be in line with this SDG.
- SDG 17 – Partnerships for the Goals. Here, the overall project is in line with the target of enhancing the global partnership for sustainable development through multi-stakeholder partnerships that mobilise and share knowledge, expertise, technology and financial resources by virtue of its partnership design and approach.

⁹ Source: <https://earthquaketrack.com/quakes/2017-11-12-18-18-17-utc-7-3-19>. (Accessed on 27/06/2023)

Objective

Improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq

Outcomes

Improved capacity to identify gaps in access and quality of education using reliable and frequently collected EMIS data and to allocate appropriate resources, including qualified teachers, to address them.

Capacity of education planners, statisticians, and educators to make timely and accurate decisions at central and governorate levels is increased, improving the effectiveness and efficiency of education and improved capacity to develop and implement policies at central and governorate levels.

Enhanced quality of teaching and learning improved.

Outputs

S01: Roll out the Education Management Information System (EMIS) and increase capacity of education planners, statisticians and educators at central and governorate levels: UNESCO (national level), UNICEF (governorate and school level).

S02: Education Section Plans are available at national and governorate levels and they clearly ensure leadership and ownership of the process to develop national capacity development and implementation plans.

S03: Operationalised capacity development plan and developing teachers' capacities at central and governorate levels: UNESCO at central level and UNICEF at governorate and school level.

Activities/Inputs/Approaches

- EMIS system developed and piloted
- Call centre for the EMIS established and operational
- Staff capacity in the targeted governorates enhanced (24,640 training days for 4,928 staff)
- School and literacy centre data entered into EMIS and planning, monitoring and evaluation reports generated
- Develop supporting EMIS policies and guidance

- 5-year National Education Capacity Development plan developed at central level
- Governorate Education sector plans and capacity development plans developed at selected governorates
- 3-year capacity development implementation plan developed at central level
- 3-year capacity development implementation plan developed in 4 governorates
- Disseminate the capacity development plans to all relevant stakeholders

- Design pilot training course
- Pilot training materials developed
- Master trainers trained on developed materials
- Roll out of the training at governorate level
- Teachers participated in developing the capacity building plans and teachers training

Notes

The Theory of Change takes a holistic approach to tackle demand and supply barriers as well as operational and capacity constraints which the project seeks to address.

Causal Assumptions

National government and governorates are willing to take on increased responsibilities and leadership.

Children especially adolescents themselves are keen to strive for learning continuity.

Local market and overall fiduciary situation don't deteriorate during the project.

MoE and governorate partners are willing to engage in a systematic capacity building process.

Teacher training is delivered in a high-quality, engaging manner with high participation.

Target schools and learning centres continue to operate and function throughout the project implementation.

Implementing partners continue to operate with a sound financial management. They periodically conduct capacity assessments, together with financial spot checks and audits adapting to the fiduciary risk level identified.

The reduction in the military actions or insurgency by armed groups in some governorates continues at the same current levels.

External Assumptions

- i) Continued partner commitment towards funding projects within Iraq; ii) Continued ability to be able to operate within the regions selected; iii) MoE support towards improving children and adolescents' rights to education and protection and to improving educational planning including via strong data (EMIS) continues; iv) Stable and timely funding for project activities in general; v) Political status quo ensuring the current situation continues.

Gender Equality, Disability and Social Inclusion (GEDSI) mainstreamed

Barriers/Challenges/Constraints

Low technical capacity of governorates.	Low capacity of education planners to plan, monitor and evaluate.	Disruption of learning due to Covid-19.	Deterioration in local security undermines UNICEF's ability to deliver project results in education.
Low planning, monitoring and evaluation capacities.	Wider public service reform requirements constrain the extent of reform within the MoE of policies and systems supporting capacity development.	Low capacity of teachers.	Reluctance of central government to decentralise and devolve some administrative/financial decision-making authorities to sub-national levels, including schools.
Poor connectivity and ICT capacity at governorate and schools.	Reluctance of central government to decentralise and devolve some administrative/financial decision-making authorities to sub-national levels, including schools.	Low parental education and community engagement to support education of children.	Disruption of project implementation due to elections. Government fails to allocate required resources for capacity development actions.
Resistance to changing processes and procedures.		Risk of salaries and other costs not being paid to MoE personnel, especially in the KRI, due to the acute shortage of public resources.	
If the MoE-KRG fails to supply complete and accurate information, indicators and dashboards will be rendered only partially reliable.			

3.3. The Specific Objectives in more detail

While the rationale for the project is linked to the context outlined in section 3 of this report as well as UNICEF's organisational priority areas of work, there are also more specific, objective-level rationales. These are detailed below along with descriptions of each of the Specific Objectives, their intended beneficiaries, their implementation status, their implementation locations, and their key stakeholders. The formal logical framework of the project is also contained in Annex 2.

Based on data shared and interviews conducted during the inception phase by the Evaluation Team, a breakdown of financial status by specific objective is not possible at present. Such a breakdown will be done by UNICEF as part of its final reporting to the donor, but until that final reporting is complete, the information remains organised thematically at the project-wide level, e.g. for human resources, equipment and supplies, etc. Thus the financial information for the project is examined in the sub-section 'Overview of Project Financial Information' below in this section 4 of the inception report.

Specific Objective 1: Functional Education Management Information System (EMIS) established and rolled out

The rationale for **Specific Objective 1** is linked to the Ministry of Education's historical reliance on decentralised systems that held summary information about schools, with school data about facilities, academic and administrative staff counts as well as student counts being paper-based and collected annually. That data was aggregated and sent to the Directorates of Education at governorate level for data entry, and then sent on to the MoE for consolidation into one database, and subject to analysis and reporting. These systems meant a reduced degree of accuracy of forecasts for staffing schools, providing adequate facilities, and preparing school materials, supplies, and books. The systems were also insufficiently responsive to the dynamic and changeable environment in the country, and were not able to account for all children. Specific Objective 1 then is part of an effort to ensure more timely data through the provision of a robust, modern, and efficient information management system supporting harmonised and timely collection, processing and dissemination of data.

Description of Specific Objective 1

This specific outcome involved providing EMIS training for school personnel as well as for instructors and staff at Illiteracy Elimination Centres (IECs) and monitoring training of data entry users, with UNESCO's upstream work involving procuring equipment and services, developing training programmes and training master trainers, as well as undertaking capacity building of key MoE personnel responsible for maintaining and updating the EMIS programme. The MoE also played a more managerial role, including ensuring leadership and ownership of the EMIS solutions, assigning responsibilities, ensuring timeliness, developing supporting policies and guidance, identifying school-level end users for training, as well as maintaining the EMIS platform.

Intended Beneficiaries of Specific Objective 1

The direct intended beneficiaries of this objective are staff in the targeted governorates, including teachers and administrative staff who are able to use the EMIS system. The specific numbers of beneficiaries targeted and reached, as well as their geographical locations, are detailed in the sub-sections 'Implementation Status of Specific Objective 1' and 'Implementation Locations of Specific Objective 1' just below. The ultimate (indirect) beneficiaries are the children who will eventually benefit from the specific objective's work.

Implementation Status of Specific Objective 1

Based on the most recent data available for this inception report (see next paragraph for details), the EMIS system has been developed, and progress has been made on the roll-out including setting up and having a call centre operational, enhancing staff capacities in the targeted governorates, and regarding the number of schools entered on the EMIS. There is no data on progress for the establishment of hub and spoke school clusters, and no progress on entering Illiteracy Elimination Centres onto the EMIS (related to bottlenecks in UNESCO's upstream work).

The data available shows progress at 31 July 2020, 31 July 2021, and in May 2022. There is no more recent data available to the Evaluation Team at this time in the inception phase based on conversations with the Monitoring Team. However, a request for more recent data has been submitted to the Monitoring Team and this will be shared and integrated into analysis at the data collection phase of the evaluation.

A table outlining the above information in more detail is included in Annex 3.

Implementation Locations of Specific Objective 1

The map (figure 1) shows the governorates targeted for EMIS training for school personnel and EMIS training for instructors and staff at Illiteracy Elimination Centres (IECs):

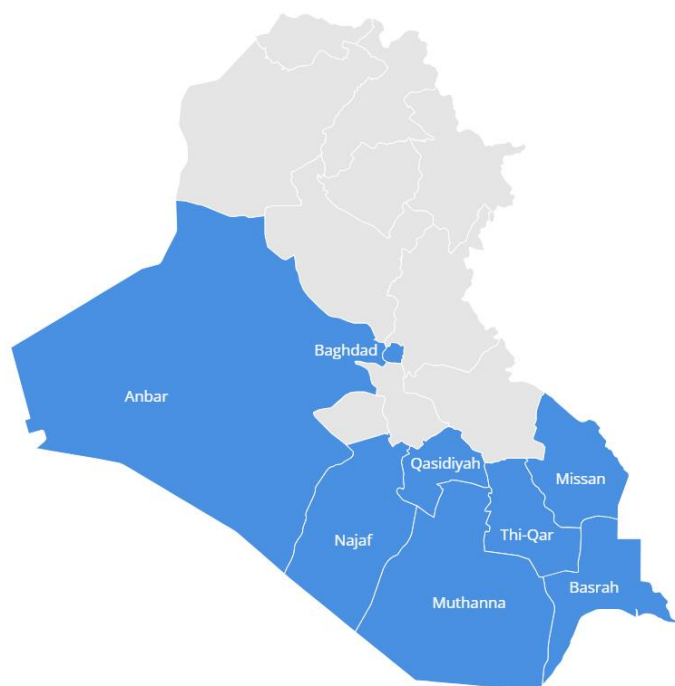


Figure 1 Geographic Scope of Implementation by Governorate of SO1.

Key Stakeholders and their contributions for this specific objective:

The following table outlines the key stakeholders for the specific objective, including the implementing agencies, development partners, duty bearers and rights holders. A brief outline of each stakeholder's contributions is also incorporated into the table, with the detailed outline of this role contained in the earlier sub-section 'Description of Specific Objective 1'.

Table 2 Key Stakeholders and their contributions, SO1.

Stakeholder Type	Name of entities or persons	Contribution of the stakeholders
Implementing Agency	UNICEF	Governorate and school level work related to objective
Implementing Agency	UNESCO	National level work related to objective
Development Partners	Ministry of Education	Primary user of the EMIS system, and contributing to building and roll-out of system
Primary Duty Bearers	Government of Iraq, UN agencies	N/A
Secondary Duty Bearers	Teachers and MoE administrative staff who are end users of the EMIS system	N/A
Rights Holders	Students in Iraq	N/A

Specific Objective 2: Developing Education Capacity Development Plans at National and Governorate Levels

The rationale for **Specific Objective 2** was linked to the Iraqi education system's lack of capacity to effectively deliver quality education programmes responding to needs. This capacity gap was linked to the lack of a systematic approach to evidence-based policy-making and to a capacity deficit among the education system staff at multiple levels. The government of Iraq therefore asked for support in the development of a new education strategy, and it was determined that this plan's strategic priorities should be linked to assessments of capacities, so that there would be sufficient necessary capacities to implement the plan. Furthermore, the government has prioritised decentralisation of service delivery in the education sector, with DoEs at governorate level responsible for overseeing the implementation of education policies and plans, the management of human resources, supervision of schools, the management of educational infrastructure, etc. through their own planning departments. Those planning departments are supposed to coordinate the development and implementation of education plans, in consultation with the Ministry of Education. Yet capacities at the governorate levels were found to be weak and needed strengthening, and it was found that governorate-level education sector plans (GESPs) were required. Specific Objective 2 is therefore part of an effort to strengthen the human capacity of MoE at central and governorate levels, in order to improve education services delivery.

Description of Specific Objective 2

This specific outcome involved supporting the development of governorate-level education sector plans, as well as capacity development and implementation plans, while working collaboratively with UNESCO and MoE to ensure alignment between the national education strategy and governorate education sector plans, and between national and governorate capacity development plans. UNESCO's upstream work involved supporting the development of the national capacity development and implementation plan, as well as undertaking the collaborative work just described. The MoE had to focus on leadership and ownership of the process to develop national capacity development and implementation plans. This involved supporting the processes for developing governorate-level sector plans and capacity development and implementation plans, identifying all relevant stakeholders to participate in the processes, and disseminating the capacity development plans to all relevant stakeholders.

Intended Beneficiaries of Specific Objective 2

The direct intended beneficiaries of this objective are MoE staff at central and governorate levels targeted by the capacity building efforts: these staff will eventually use the GESPs, with UNICEF's contribution concentrated on key actors at the governorate level as well as support for harmonisation with the work done by the two other project partners (UNESCO and MoE). The specific numbers of beneficiaries targeted and reached, as well as their geographical locations, are detailed in the sub-sections 'Implementation Status of Specific Objective 2' and 'Implementation Locations of Specific Objective 2' just below. The ultimate (indirect) beneficiaries are the children who will eventually benefit from the specific objective's work.

Implementation Status of Specific Objective 2

Based on the most recent data available for this inception report (see next paragraph for details), there has been some progress on developing the national education capacity development plan (the capacity needs assessment has been drafted), but work remains ongoing. Governorate Education sector plans and capacity development plans for selected governorates are complete. Work on the three-year capacity development implementation plan at the central level remains ongoing, as does work on the three-year capacity development implementation plans for four governorates. Overall then, implementation remains ongoing for this specific objective.

The data available shows progress at 31 July 2020, 31 July 2021, and in May 2022. There is no more recent data available to the Evaluation Team at this time in the inception phase based on conversations with the Monitoring Team. However, a request for more recent data has been submitted to the Monitoring Team and will be shared and integrated into analysis at the data collection phase of the evaluation.

A table outlining the above information in more detail is included in Annex 3.

Implementation Locations of Specific Objective 2

The map below shows the governorates targeted for the activities associated with Specific Objective 2. Since there are two activities in SO2 which are spread over different Governorates, the Geographic Scope of SO2 is shown in two different maps.



Figure 2 Geographic Scope at Governorate level of SO2 activity 'Development of GESPs and capacity development plans'.



Figure 3 Geographic Scope at Governorate Level of SO2 activity 'Development of Capacity Development Implementation Plans'.

Key Stakeholders and their contributions for this specific objective

The following table outlines the key stakeholders for the specific objective, including the implementing agencies, development partners, duty bearers and rights holders. A brief outline of each stakeholder's contributions is also incorporated into the table, with the detailed outline of this role included in the earlier sub-section 'Description of Specific Objective 2'.

Table 3 Key Stakeholders and their contributions, SO2.

Stakeholder Type	Name of entities or persons	Contribution of the stakeholders
Implementing Agency	UNICEF	Governorate-level education sector plans and capacity development/implementation plans
Implementing Agency	UNESCO	National-level work related to objective
Implementing Agency	Ministry of Education	Leadership of the national process, supporting the governorate-level process, identifying stakeholders and dissemination
Development Partners	Ministry of Education	Primary user of the new strategy/plans
Primary Duty Bearers	Government of Iraq, UN agencies	N/A
Secondary Duty Bearers	Government staff who will implement and use the plans	N/A
Rights Holders	Students in Iraq	N/A

Specific Objective 3: Enhancing teachers' capacities in service delivery at central and governorate levels

The rationale for **Specific Objective 3** was linked to a determination that teachers needed capacity building in order to improve learning outcomes, specifically related to training on child-centred methodologies, activity-based learning, positive discipline, psychosocial support, etc. Relatedly, it was determined that there was a need for coherent and coordinated teacher training plans to be designed and implemented at both national and General Directorate levels, including for the development and piloting of new training courses and delivery mechanisms that could help to bridge immediate skills and knowledge gaps. Specific Objective 3 is therefore part of an effort to enhance the quality of teaching and learning, by developing teachers' capacities.

Description of Specific Objective 3

This specific objective involved rolling out a pilot training programme to selected teachers in Baghdad (Rusafa 3), Basrah, Qadissiya, and Thi-Qar, with UNESCO's upstream work involving support for the design of the pilot training course, development of materials, and training of master trainers. The MoE was in turn tasked with designing the pilot training course and identifying participants for the master training, as well as supporting the roll-out of the training at the governorate level.

Intended Beneficiaries of Specific Objective 3

The direct intended beneficiaries of this objective are the teachers and master trainers whose capacities were to be built as part of the specific objective, with UNICEF's contribution concentrated at the governorate level and in supporting harmonisation with the work of UNESCO and the MoE. The specific numbers of beneficiaries targeted and reached, as well as their geographical locations, are detailed in the sub-sections 'Implementation Status of Specific Objective 3' and 'Implementation Locations of Specific Objective 3' just below. The ultimate (indirect) beneficiaries are the children who will eventually benefit from the specific objective's work.

Implementation Status of Specific Objective 3

Based on the most recent data available for this inception report (see next paragraph for details), there has been good progress overall on this objective, with the pilot training materials developed and master trainers trained, while work on training/building the capacities of the targeted number of teachers remains ongoing.

The data available shows progress at 31 July 2020, 31 July 2021, and in May 2022. There is no more recent data available to the Evaluation Team at this time in the inception phase based on conversations with the Monitoring Team. However, a request for more recent data has been submitted to the Monitoring Team and this will be shared and integrated into analysis at the data collection phase of the evaluation.

A table outlining the above information in more detail is included in Annex 3.

Implementation Locations of Specific Objective 3

The map below shows the governorates targeted for the activities associated with Specific Objective 3:

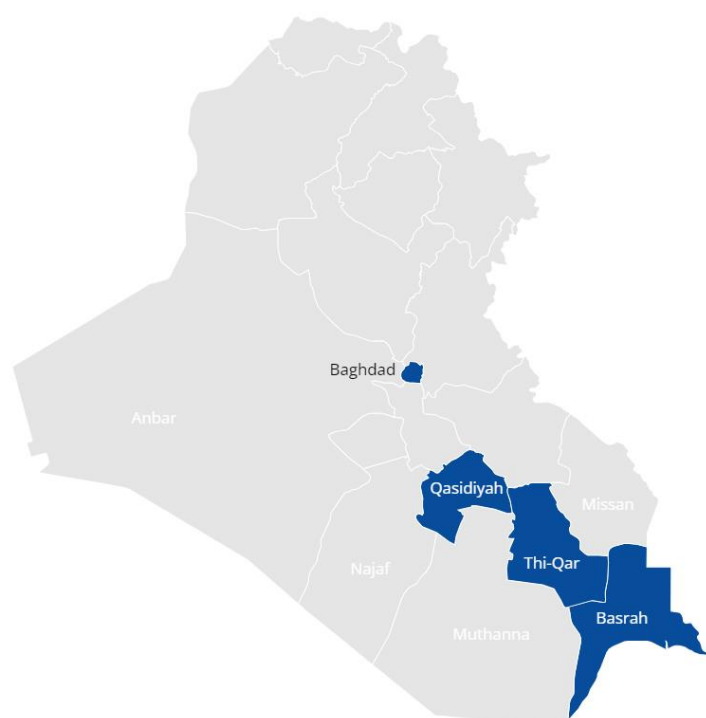


Figure 4 Geographic Scope of SO3 Enhancing the Quality of Teaching and Learning.

Key Stakeholders and their contributions to this specific objective

The following table outlines the key stakeholders for the specific objective, including the implementing agencies, development partners, duty bearers and rights holders. A brief outline of each stakeholder's contributions is also incorporated into the table, with the detailed outline of this role included in the earlier sub-section "Description of Specific Objective 3".

Table 4 Key Stakeholders and their contributions, SO3.

Stakeholder Type	Name of entities or persons	Contribution of the stakeholders
Implementing Agency	UNICEF	Roll-out of pilot training programme at governorate levels
Implementing Agency	UNESCO	Supporting design of the course, development of materials and training of trainers

Implementing Agency	Ministry of Education	Designing the course, identifying participants for master training, supporting governorate-level roll-out
Development Partners	Ministry of Education	Staff (teachers) are primary users of the training
Primary Duty Bearers	Government of Iraq, UN agencies	N/A
Secondary Duty Bearers	Teachers who will benefit from the training	N/A
Rights Holders	Students in Iraq	N/A

Overview of Project Financial Information

As noted at the beginning of this section, a by-objective breakdown of financial data is not possible at this point in the inception phase because it will only be done by UNICEF as part of its still-to-be-completed final reporting to the donor.

This sub-section therefore concentrates on a project-level overview of the financial information.

The initial proposed budget for the 36-month UNICEF project was EUR 4,613,639.91, of which EUR 4,250,000.00 was sought from the EU, with UNICEF to contribute EUR 363,639.91. The EU agreed to this proposal and proposed budget, and so the final project budget was: EUR 4,613,639.91. A 10 month, no-cost extension was granted in July 2022, bringing the total time of the project to 46 months.

The total costs, advances and commitments per year were EUR 1,335,410.29 in year 1, EUR 306,002.58 in year 2, EUR 448,565.51 in year 3, and EUR 3,140,339.54 in year 4.

According to the documents shared (which still require further explanation from the financial managers of the intervention, during the data gathering phase of the evaluation), the total expenditures were EUR 5,230,317.92. This is equivalent to a burn rate of 113%, and would mean that the project went over budget. This potential issue will be explored more with the financial manager of the project, during the data gathering phase of the evaluation.

The detailed breakdown of the project budget is detailed in the table found in Annex 4.

3.4. Key Stakeholders

This section outlines the mapping of the range of stakeholders involved for the whole intervention, across its entire implementation period. It thus draws together the objective-level stakeholder mappings that were done above, to give a more holistic view of stakeholders at a project-wide level while also delving into the stakeholders in further detail. The mapping aims at guiding the data collection phase of the evaluation process, by identifying the list of stakeholders that need to be targeted. This section will continue to be updated as needed, for the collection of data in later phases of the evaluation.

There is a range of stakeholders to consider, including: The EU as the funder; UNICEF, UNESCO and the MoE as project implementers/partners; service contractors (Developers of EMIS); DoEs in targeted governorates (Basrah, Qaddisiya, Thi-Qar, Missan, Muthanna, Anbar, Najaf, and Baghdad); provincial and local government institutions; teachers; and, beneficiaries. The stakeholders include multiple duty bearers (the UN agencies as well as the government of Iraq and its representatives, primarily at the local level) and students in Iraq as the rights-holders.

As will be detailed in later sections of this report – see the evaluation matrix (section 6) as well as section 7 (evaluation approach and methodology) – data collection for the evaluation, including for gender as a cross-cutting area of analysis, will focus upon all the key stakeholders with the exception of students. The rationale for not targeting students is included in section 6, sub-section “brief evaluability assessment”.

The table below represents the project’s targeted stakeholders:

Table 5 Key Stakeholders and their contributions, project-wide.

Stakeholders	Type	Role in the project
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European Union	Donor	Provide financial resources to the project and supervise the overall design and implementation of the project
UNICEF	Direct Implementer Duty bearer	Responsible for the downstream work at the governorate and school levels
UNESCO	Implementing partner Duty bearer	Manage the upstream work on the central level
Ministry of Education	Federal Government/implementing partner Duty bearer	Leadership role including in designing the capacity building and its roll-out, overall ownership, monitoring and feedback on progress
Formal and Informal Education Directorates	MOE Duty bearers	Use a functional EMIS to inform education decision-makers of the situations and needs of their institutions
DOEs in targeted governorates	Sub-national level (Basrah, Qaddissiya, Thi-Qar, Missan, Muthanna, Anbar, Najaf, and Baghdad) Duty bearers	Provide the necessary infrastructure, system, and support for capacity development to access and use a functional EMIS; collect EMIS data, consolidate and analyse for evidence-based decision-making The number of master trainers is 16 in Baghdad and 8 per DOE in Basrah, Qaddissiya, Thi-Qar, Missan, Muthanna, Anbar, Najaf
Teachers and instructors	Direct beneficiaries Duty bearers	Ensure quality teaching and quality reporting into EMIS As of July 2022, 4,000 teachers had received teaching capacity building (approximately 1,000 per DoE), and 7,019 teachers were reached with EMIS training in 3,529 schools in the 9 targeted DOEs
Students in Iraq	Indirect beneficiaries Rights holders	
Cambridge Education	Implementing partner	Provide technical support to DoEs on developing the Governorate Education Sector Plans and Capacity Development Implementation Plans

3.5. Gender Analysis

Inception phase analysis of gender shows that the project proposal positions gender equality and empowerment as a cross-cutting issue in the project, alongside other cross-cutting issues (environmental considerations; human rights; conflict sensitivity). **A document review** at the inception phase found that the design in the proposal does not explain in detail how gender is/was prioritised as a cross-cutting issue and how it was to be implemented concretely across the project. Likewise, other project documents available do not explain gender in detail, other than the admittedly important component of disaggregating data by gender to track progress and impact. Relatedly, there is evidence of such disaggregation in the monitoring data, with for example the numbers of teachers reached for capacity building broken down by gender.

Based on the inception phase **interviews**, including with the UNICEF gender specialist responsible for the project, there has been confirmation that gender analysis was done, including via needs assessments; ensuring gender disaggregated data; analysis of internal and external risks and their impact on gender, including considering the mitigation strategies; assessing the integration and representation of girls and women in the education system; and, giving consideration to the entire life cycle of the project from a gender perspective. Overall, interviewees made clear that they have also ensured alignment with SDG 5 on gender equality. These elements, which will be explored and assessed further as the evaluation progresses, are positive indications of an appropriate integration of gender mainstreaming into the project, though not of all components based on the UN-SWAP (UN System-wide Action Plan). This is composed of six main

elements: accountability, results-based management, oversight, human and financial resources, capacity, and knowledge exchange and networking.¹⁰

From the perspective of the evaluation, there has been inclusion of evaluation questions focusing specifically on gender (EQ 15) as well as on GEDSI (Gender Equality, Disability, and Social Inclusion) across evaluation questions as appropriate. Furthermore, gender has been included in the Theory of Change as a cross-cutting issue that is in line with the theory-based approach to the evaluation, and will guide the Evaluation Team's work. Evaluation data will be gathered in a manner that prioritises understanding if/how/to what extent gender was incorporated into the project, including via direct questions and by ensuring disaggregated data gathering (male and female FGDs; disaggregation of survey respondents by gender) and analysis. This will include rigorous use of triangulation between different data sources (different documents, different interviewees, and different survey respondents) and different types of sources (documentary vs interview vs survey), so as to capture the extent to which the project mainstreamed gender into its design and implementation. Overall, the evaluation will be guided by the principles of UN-SWAP in its approach to analysing gender.

4. Evaluation purpose, objectives and scope¹¹

4.1. Purpose

The Evaluation Team understands that this final evaluation will serve an accountability and learning function, and so this evaluation has both a formative and a summative component:

- **Formative:** it aims to generate insights and learning that can inform the design and implementation of UNICEF's future initiatives aimed at strengthening the public education system for effective delivery of quality education outcomes, relevant to the education context in Iraq and the UNICEF approach.
- **Summative:** it aims to hold UNICEF accountable for the performance of the intervention and the results achieved in terms of systems strengthening for effective delivery of quality education outcome.

The evidence, findings and recommendations generated by the evaluation will be used by multiple **key users**, including: the UNICEF Country Office, the Ministry of Education in Iraq at both the centralised and decentralised levels, the Delegation of the European Union to Iraq, and the Education Sector Group in Iraq as well as the wider group of education stakeholders. The purpose for each of these users is:

- For **UNICEF**, the evaluation helps to strengthen understanding of the contributions of systems strengthening to quality education outcomes, and will inform its programme strategy on education in the next Country Programme for Iraq, and inform its work to support the design and implementation strategy of its system strengthening interventions as well as to support advocacy on system strengthening for quality education outcomes.
- For the **Ministry of Education in Iraq**, to strengthen understanding of the contribution of systems strengthening to the effective delivery of quality education outcomes, and to suggest priorities for future action.
- For the **Delegation of the EU to Iraq**, to provide insights on the performance of the intervention and thus to inform assessment of the EU support to quality education outcomes through education systems strengthening in the country.
- For the **Education Sector Group in Iraq** and the **wider group of education stakeholders**, to improve understanding of how outcome-level change happens and to inform adaptation of mental models/narratives on how to achieve better quality education outcomes through a systems strengthening approach.

¹⁰

[https://elearning.un.org/CONT/GEN/CS/I_Know_Gender_\(English\)/story_content/external_files/M03_S16_16_17_UN_SWAP_brochure.pdf](https://elearning.un.org/CONT/GEN/CS/I_Know_Gender_(English)/story_content/external_files/M03_S16_16_17_UN_SWAP_brochure.pdf), accessed 13/07/2023

¹¹ This section draws significantly on the TOR for the evaluation.

Overall, the purpose of this evaluation is to provide a comprehensive understanding of the outcomes of UNICEF's activities to strengthen the education system in Iraq and to identify areas for improvement to better serve the needs of students and educators and the governing bodies of Iraq's education system.

4.2. Objectives

There are five objectives for the evaluation based on the ToR, many of which can be linked to specific evaluation criteria and are thus incorporated into the evaluation matrix (see section 6 of this report). The five objectives are:

- Assess to what extent output and outcome-level results have been achieved, how well achievements are expected to last, how valuable outcome and output-level results were to the intended targeted groups and to what extent unintended results have been produced (positive and negative):
 - these are to be analysed through the evaluation criteria of relevance, effectiveness and sustainability.
- Understand how the design and implementation strategy could be improved, by examining what worked well and what did not work well in the intervention's design and in its actual implementation strategy especially on the linkages between the output and outcome-level results and the linkages with the other implementing actors including UNESCO:
 - these are to be analysed through the evaluation criteria of relevance, effectiveness, efficiency and coherence.
- Examine how well the intervention has adapted to changing contexts and to other factors influencing the achievement of the outcome-level results, and how well the monitoring system of the intervention supported adaptive management decisions:
 - these are to be analysed through the evaluation criteria of effectiveness.
- Identify lessons learned and good practices useful to inform future programming and policy decisions.
- Provide actionable recommendations that are logically linked to the conclusions and findings of the evaluation and that draw upon lessons learned as identified through the evaluation.

Furthermore, while not specifically mentioned as an evaluation objective in the ToR, meetings during the inception phase made clear that analysis and gender should also be included as a cross-cutting objective in the evaluation.

4.3. Scope

Intervention Scope

The evaluation will focus on the aspects of the EU-funded project 'Systems building and capacity strengthening of the Ministry of Education and its sub-national Directorates of Education for effective delivery of quality education outcomes' that were directly implemented by UNICEF (based on the intervention description and results framework). UNICEF's work covered the so-called downstream aspects of the project at the governorate and school levels; yet the evaluation will also consider the project's linkages and synergies with the so-called upstream work by UNESCO and the Ministry of Education (MoE) at the central level, in terms of how the upstream work influenced/affected the downstream work and vice versa. Moreover, the evaluation's focus will go from project inputs to activities and outputs to outcome-level results, and cover the role of UNICEF as well as the role of the key actors involved in implementing the project with UNICEF (the Ministry of Education and the Directorates of Education, DoE as well as UNESCO).

Temporal Scope

The evaluation covers the entire implementation period of the intervention, including the 10 months of the no-cost extension that was granted in July 2022. Thus the total period is 46 months, from August 2019 to May 2023.

Geographical Scope

The evaluation's geographical scope covers all the target governorates for the project in the Federal Government of Iraq. These are shown in figures 1-4 in section 4 – *Understanding of the Project*. The eight governorates as well as the specific general directorates are also listed in the table below, for each of the project's three strategic objectives as specified in the Terms of Reference.

Table 5 List of Implementation Regions

STRATEGIC OBJECTIVE	GOVERNORATES AND GENERAL DIRECTORATES
Strategic Objective One: Roll-out of EMIS	<ul style="list-style-type: none"> • Resafa 1, 2 and 3 and Karkh 1, 2 and 3 in Baghdad • Najaf • Anbar • Basrah • Thi-Qar • Missan • Muthanna • Qadissiya
Strategic Objective Two: Human Capacity Development for MoE and DoE	<ul style="list-style-type: none"> • Resafa 2 and 3, and Karkh 3 in Baghdad • Missan • Muthanna • Basrah • Thi-Qar • Qadissiya
Strategic Objective Three: Teacher Training and Development	<ul style="list-style-type: none"> • Resafa 3 in Baghdad • Basrah • Thi-Qar • Qadissiya

4.4. Deviations from the Terms of Reference

As noted in the sub-section ‘Geographical Scope’ above, the Terms of Reference specify that the evaluation will focus on “the intervention target governorates in the Federal Government of Iraq, namely, Basrah, Qadissiya, Thi-Qar, Missan, Muthanna, Anbar, Najaf, and Baghdad.” Yet the intervention log frame in the ToR also mentions activities carried out in the Kurdistan Region of Iraq (KRI), and the project proposal to the European Union similarly mentions activities in KRI (e.g. integration of schools in two KRI governorates into the EMIS database). Inception phase meetings with the UNICEF evaluation focal points clarified that the activities of the EU-funded project with the Kurdistan regional government are not part of the scope of the evaluation. This is because the support consisted only of minor activities related to their already existing EMIS system, and because practical issues, primarily the limited added value to the evaluation relative to the increased cost implications.

Further, while analysis of gender was not specifically mentioned in the TORs as an evaluation *objective*, it has been included as a result of discussions during the evaluation’s inception phase.

5. Evaluation Framework

This section includes sub-sections on the evaluation criteria and principles, on the evaluation matrix, and a brief evaluability assessment.

5.1. Evaluation Criteria and Principles

The evaluation criteria for this assignment as set out in the Terms of Reference (ToR) are **relevance, effectiveness, efficiency, coherence and sustainability**. These criteria are linked to the Organisation for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) criteria for evaluating development assistance (relevance, effectiveness, efficiency and sustainability). In line with good practices, the Evaluation Team has assessed the evaluation criteria to determine their appropriateness to the evaluation. Thus the criteria for the evaluation are appropriate both because they are in line with international evaluation standards, and because they meet the information needs of this particular evaluation given its development focus and given the aims of the evaluation as

outlined in the ToR. It is important to underline that the ToR specify that the criterion of **impact** should not be included in the evaluation, because impact-level change is highly unlikely to be observable at this stage and that change can be linked to the intervention's outputs and outcomes. This justification for the exclusion of impact as a criterion is reasonable, given the design of the project is focused on achieving outcome-level change, with impact only to follow in the longer term.

The concept of **Relevance** refers to whether the evaluand is in line with beneficiaries' requirements and priority needs, country needs, as well as UNICEF's and the donor's policies.

Coherence refers to the extent of consistency between the policies, mandates and interests of different actors, i.e. whether they were complementary or contradictory, or to put it another way, how well the intervention fits. It is particularly relevant, given the design of the project is based on close cooperation between multiple partners (UNICEF, UNESCO and the MoE).

Effectiveness is understood as the extent to which the intervention's objectives were achieved or are expected to be achieved, in a timely manner. It can also be seen as the answer to the question "Is the activity achieving satisfactory results in relation to stated objectives?" In other words, effectiveness is seen as a measure that assesses the extent to which the objectives were met, the extent to which these results have contributed to achieving the broader objectives, and why. An additional dimension is the identification of what is normally called "unintended outcomes". This refers to effects that were not planned for or expected, and can identify both positive and negative consequences.

Efficiency relates to the relationship linking inputs to activities to outcomes or results. It seeks an answer to the question "Did the evaluand use its resources in the most economical manner to achieve its objectives?" Otherwise stated, the analysis of Efficiency queries whether similar results could have been obtained with fewer resources, and whether appropriate resources were allocated to achieve the expected results.

Sustainability as a criterion refers to the continuation of benefits from an intervention after assistance has been completed, and it considers the probability of long-term benefits.

These evaluation criteria are complemented by UNICEF's guiding principles on **gender equality, equity and human rights**.

Gender equality is the concept that women and men, girls and boys have equal conditions, treatment and opportunities for realising their full potential, human rights and dignity, and for contributing to (and benefiting from) economic, social, cultural and political development. Gender equality is, therefore, the equal valuing by society of the similarities and the differences of men and women, and the roles they play. It implies that the interests, needs and priorities of both women and men and girls and boys are taken into consideration, recognising the diversity of different groups and that all human beings are free to develop their personal abilities and make choices without the limitations set by stereotypes and prejudices about gender roles.

For UNICEF, **equity** means that all children have an opportunity to survive, develop and reach their full potential without discrimination, bias or favouritism.

Human rights are, for UNICEF, standards that recognise and protect the dignity of all human beings. Human rights govern how individual human beings live in society and with each other, as well as their relationship with the State and the obligations that the State has towards them. They are universal and inalienable, indivisible, and inter-dependent and inter-related. They are also founded on equality and non-discrimination for any reason, they include the right to participation and inclusion, and they assign the responsibility to comply upon duty-bearers such as states, as well as the right to seek redress for rights-bearers when they fail to do so.

A final principle central to this evaluation is **climate change**, in particular climate change-related adaptation and mitigation measures.

5.2. Evaluation Matrix

5.3. To ensure consistency during the data collection and analysis, an Evaluation Matrix has been developed. This is based on the key questions presented in the ToR and will therefore provide the relevant evaluation criteria based on the OECD-DAC standards of relevance, effectiveness, efficiency, coherence and sustainability.¹² Accordingly, the Evaluation Matrix the evaluation questions, key assessment criteria, main sources of information, and main data analysis collection and analysis tools. The full matrix is included in Annex 5. Brief Evaluability Assessment

This brief evaluability assessment is based on documents reviewed and interviews conducted at the inception phase.¹³

The project design included a logical framework that has been reconstructed as a Theory of Change in this inception report and that is capable of guiding the evaluation. A full exposition and analysis of the Theory of Change, including assumptions and causal linkages, has been included earlier in this report.

While full monitoring data has not been shared with the Evaluation Team at present, interviews and document review have clarified what is available. Therefore, pending review of that data, it captures the needed output-level information including with well-defined baselines and targets, and can be supplemented by the Evaluation Team through documentary review as well as interviews and FGDs.

Outcome-level data has been flagged as weak and as an area that the evaluation will have to capture. The design of the evaluation, including of data collection tools, has taken this into consideration. Thus assuming that data collection proceeds as planned, the evaluation will be able to capture outcome-level results for outcomes 1 and 2. Outcome 3 ('Enhanced quality of teaching and learning improved'), which is to be achieved through the operationalisation of capacity development plans and developing teachers' capacities at central and governorate levels (UNESCO at central level and UNICEF at governorate and school level), is a bit more of a challenge. This is because the timing of the evaluation – which must be completed by mid-October 2023, and with a full draft report done by end of September 2023 – means that any direct classroom observations related to teachers implementing enhanced quality of teaching and improving students' learning would have to take place in September. But students are only back in the classroom as of 1 October, making such classroom observations impossible. Thus the evaluation's data collection for this outcome will focus upon using interviews, FGDs and the survey to capture the extent to which teachers have had their capacities built and are putting those (new) capacities into practice in the classroom from the perspective of teachers, trainers and in-classroom assessors. This means that the data around this outcome will likely be weaker.

Impact-level analysis of the project has been specifically excluded from the evaluation's scope, as discussed earlier in this section.

6. Evaluation Approach and Methodology

6.1. Evaluation Design and Approach

The evaluation will be guided by UNICEF's revised Evaluation Policy (2018),¹⁴ the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation (2016),¹⁵ UNEG Guidance on Integrating Human Rights and Gender

¹² This Evaluation will not evaluate the project's impact, since it is beyond the scope of this evaluation, which takes place very shortly after the end of the intervention.

¹³ <https://www.unicef.org/evaluation/media/1506/file/Evaluability%20Assessments%20Guidance.pdf>

¹⁴ UNICEF (2018) *Revised Evaluation Policy of UNICEF*, [E/ICEF/2018/14]. Available at: <https://www.unicef.org/evaluation/documents/revised-evaluation-policy-unicef-2018>. (Accessed on 01/02/2023)

¹⁵ UNEG (2016) *UNEG Norms and Standards for Evaluation*. Available at: <https://www.betterevaluation.org/tools-resources/uneq-norms-standards-for-evaluation-2016>. (Accessed on 01/02/2023)

Equality in Evaluation (2014),¹⁶ UNEG Ethical Guidelines for Evaluation (2020),¹⁷ UNICEF Procedure for Ethical Standards and Research,¹⁸ Evaluation and Data Collection and Analysis (2021) and UNICEF-Adapted UNEG Evaluation Report Standards (2017).¹⁹ Moreover, the evaluation will always take into consideration the issues of equity, gender equality and human rights. The evaluation will consider triangulation, sampling, ethical considerations (including ethical clearance) as well as methodological limitations and mitigation measures.

Consistent with the United Nations (UN) Evaluation Norms and Standards (2016), the purpose of this evaluation will be formative and summative. The formative component responds to the evaluation questions which are clustered under Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC),²⁰ ²¹ and UNEG criteria of relevance, efficiency, effectiveness, sustainability and gender, equity, human rights and climate change. The summative component draws conclusions as to the likelihood of the project achieving its objectives and outcomes. The Evaluation Matrix, as well as the tables below in this section, connect evaluation questions to data collection tools and methods employed in this evaluation, and are thematically aligned with UNEG.

The overall approach for the assignment will, in line with the ToR for the evaluation, be a **theory-based approach** rooted in **contribution analysis**. This approach focuses on understanding the contribution(s) made by the intervention under assessment relative to the observed results, through an improved understanding of why the observed results have or have not occurred and the roles played by the intervention and other internal and external factors. Concretely, this will involve revising and adapting the Theory of Change for the Intervention, and then using it to guide examination of the linkages between activities, outputs and the results observed, and thereby to construct a strong contribution/attribution story for the project. As part of this, the evaluation will also draw in any unintended results to which the project might have contributed: this will add further nuance to the analysis. Such an approach pays explicit attention to the context, which is highly relevant in light of the complex context where the project was implemented, with multiple internal and external factors to consider and multiple actors active in the areas of project activities. The evaluation's approach will also draw on the principles of **outcome harvesting**, by gathering data about the targeted outcomes, then working backwards and, guided by the results framework, determining the extent to which the interventions contributed to the changes (if any) and particularly any unintended/unplanned effects. Taken together, these approaches will ensure the rigour and collective ownership of the data gathered, and thus the strength of the evaluation findings.

The evaluation's approach will also be informed by the principles of **appreciative inquiry**, seeking to capture in particular those areas and elements of strength and highest success and thus seeking to build on these, without neglecting the need to identify opportunities for improving and enhancing the project in the future. The approach is premised on the belief that by focusing on positive results, the evaluation becomes a constructive and inclusive exercise, promoting ownership of its findings, conclusions, and recommendations as well as learning from successful experiences while exploring its results and impacts, and identifying perceived key contributing factors. This component is in line with the evaluation's aim of being as **participatory** as possible, by ensuring that key stakeholders in the evaluation have an opportunity to help make sense of the data by sharing: 1) success stories, contributing factors, and

¹⁶ UNEG (2014) *Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance*. Available at: <http://www.uneval.org/document/detail/980>. (Accessed on 01/02/2022)

¹⁷ UNEG (2020) *UNEG Ethical Guidelines for Evaluation*. Available at: https://www.alnap.org/system/files/content/resource/files/summary/UNEG_Ethical_Guidelines_for_Evaluation_2020.pdf. (Accessed on 01/02/2023)

¹⁸ UNICEF (2021) *UNICEF Procedure on Ethical Standards in Research, Evaluation, Data Collection and Analysis*. Available at: <https://gdc.unicef.org/resource/unicef-procedure-ethical-standards-research-evaluation-data-collection-and-analysis>. (Accessed on 01/02/2023)

¹⁹ UNICEF (2017) *UNICEF Adapted UNEG Evaluation Reports Standards*. Available at: <https://www.unicef.org/evaluation/media/816/file/UNICEF-Adapted-UNEG-Evaluation-Report-Standards.pdf>. (Accessed on 01/02/2023)

²⁰ OECD *Guidelines for Project and Programme Evaluations*, Organisation for Economic Co-operation and Development (OECD), 2009.

²¹ OECD, *DAC Guidelines and Reference Series Quality Standards for Development Evaluation*, Organisation for Economic Co-operation and Development (OECD), 2010.

challenges; 2) positive and negative unexpected results; and 3) how this can be used in future programming. This component of the approach will thus explicitly inform the design of data gathering tools, but also data analysis.

The approach to data analysis will also incorporate a **realist evaluation perspective**, alongside **mapping of causal paths**. The realist evaluation approach sets out to explain what works, how, why, for whom, to what extent, and in what circumstances. It assumes that programme effectiveness will always be conditional, and it is designed to improve understanding of the key contexts and mechanisms contributing to how and why interventions work. Key to the realist approach is the assumption that nothing works everywhere or for everyone, and that context is critical for project results. This requires a good understanding of the context, which will be ensured through a comprehensive context analysis to frame the analysis of the initiative, including giving consideration to the various conflicts as well as the impacts of Covid-19 during the period of the project.

Finally, the evaluation will incorporate a strong **human rights-based approach (HRBA)** component throughout the evaluation process, prioritising the gathering of data and then analysing it in such a way as to ensure rigorous consideration of gender, equity and human rights.

6.2. Evaluation Methodology

The methodology for the evaluation will be **mixed methods**, including both qualitative and quantitative elements. Such a methodology will help to ensure the rigour of the evaluation's findings, lessons learned and recommendations, by virtue of incorporating multiple types and layers of data.²² The evaluation's methodological approach to data gathering and data analysis are outlined below. The level of effort of each team member for data gathering is outlined in a table at the end of the next sub-section.

Data gathering

The qualitative component will include:

- **Document Review.** The focus will be on project documents including proposals, reporting, monitoring data, financial data, as well as more general strategic and planning documents. These documents will be gathered from UNICEF as well as other key informants, including the EU, UNESCO, and others. They will be complemented by relevant literature focusing on the key thematic concerns of the project, as well as the geographical areas of focus, as part of a larger analysis of the external environment, including other partner programmes and reports and education sector data. The evaluation team leader and national evaluation expert will both undertake this activity.
- **Key Informant Interviews (KIIs).** The focus will be on key stakeholders identified in the lead-up to and during the data gathering phase, in concert with UNICEF focal points. The interviews will be semi-structured, to ensure that the Evaluation Team is able to adapt its line of questioning and thus to enquire about the areas of greatest relevant knowledge of each interviewee, rather than being bound by a more rigid structured interview protocol. In some cases and where feasible, small group interviews with the same type of respondents will be conducted, to maximise data collected (2-3 participants). They will be conducted remotely as well as in-person in English and Arabic, with the evaluation team leader and the national evaluation expert dividing the interviews among them. Initial interviews of different types of respondents will be done jointly, to ensure consistency in the application of the interview protocol. Following that, interviews will be done separately by each team member.
- **Focus Group Discussions (FGDs)** with key informants in the sampled field locations, led by the national evaluation expert in Arabic, aimed at gathering a wider range of views and thus maximising the data gathered as well as collectively discussing and deepening understandings of the data. They will also provide an opportunity to collectively explore emerging ideas related to the evaluation questions and thus to continue to deepen the evaluation's data. FGDs will have areas for questioning in line with the evaluation areas of interest and the knowledge/experience of the participants, with the evaluation team member leading the FGDs inviting

²² Bamberger, M. InterAction, *Introduction to mixed methods in impact evaluation (No. 3.)*, 2012. Retrieved from website: <http://www.interaction.org/sites/default/files/Mixed%20Methods%20in%20Impact%20Evaluation%20%28English%29.pdf>

participants to share their perspectives on the different areas, including contrasting perspectives. Participants will be selected on the basis of the same criteria and by using the same strategies as for KIIs. Expected number of participants per FGD is approximately 6-10. While FGDs will be conducted by the national evaluation expert, the team leader will sit in on some, particularly with the initial FGDs, so as to give feedback and thereby to strengthen deployment of this data gathering tool.

- **Field Observations** will include visiting sites of project implementation, to help understand the contextual conditions including challenges faced, and will be combined with FGDs or KIIs to most efficiently use the evaluation team's time in the field. At present and as outlined in the evaluability assessment section of this report, it is not anticipated that there will be classroom observations due to the evaluation's timeline relative to when students are back in class. Field observations will be done by both the team leader and national evaluation expert.

The draft qualitative tools/data collection instruments and protocols can be found in Annex 6.

The quantitative component will involve:

- **Two online perception surveys** aimed at gathering a wider set of data focusing on the understandings, experiences and perspectives of respondents. One survey will focus on teachers and the other on MoE administrative staff who are end users of the EMIS system. For teachers, the survey will concentrate on their perceptions of EMIS, including the quality of the training they have received, and ease of use/challenges faced. A second part of the survey will focus on their perceptions of the teaching capacity building activities that they were exposed to, including their quality, what worked well and what did not work well, and if/how/to what extent it is or will impact on their teaching. For MoE administrative staff, the survey will concentrate on their perceptions of EMIS, including the quality of the training they have received, and ease of use/challenges faced.

Survey questions will be primarily close ended to allow for quantitative analysis, and will utilise a four-point Likert scale to avoid clustering of data around a middle, neutral option and thereby to effectively force respondents to offer an opinion. There will also be an open text field for some questions, to allow respondents to enter a more detailed explanation. The surveys will be administered in Arabic. Based on inception phase interviews, the surveys will be most effectively administered via links shared through mobile phone numbers. As discussed later in the sub-section on sampling, the survey respondents will be sampled based on the same criteria as for KIIs and FGDs, and will ask a similar set of questions. In so doing, they will make it possible to nest the in-depth qualitative data in a larger set of quantitative data and thus to add to the inferences that can be drawn from each.

The surveys will aim for a confidence level of 90% and a margin of error of 5%, to ensure strong data. Importantly, this data will not be treated as representative given constraints on defining the relevant characteristics of the total populations which would have to be reproduced in the sample for it to be representative. Instead, it will be treated as indicative.

The draft quantitative tools/data collection instruments and protocols can be found in Annex 6.

Sequencing and Relation Between Different Data Collection Methods

The tight timeframe for the data collection (largely in the month of August, with some further data gathering possible in early September) imposes some restrictions on the sequencing of data collection. The approach to be adopted thus anticipates as much as possible having different components inform one another while also conducting them in parallel as necessary. More specifically, the team will launch the surveys after the beginning of the data collection phase, with detailed document review and KIIs then proceeding while the surveys are open. KIIs with UNICEF and then other partners as well as with the EMIS development group and Cambridge Education will initially be prioritised, so as to deepen the evaluation team's understanding of the project and its various components and inform later data gathering. Subsequently, the team will conduct KIIs and FGDs with teachers and master trainers, informed by its learning about the project from the initial KIIs and document review including strengths and challenges and areas for

further exploration. Depending on response rates and the rapidity with which respondents complete the surveys, it might be possible to do an initial analysis of survey data such that this data can inform the KIIs and FGDs with the teachers and master trainers. If this is not possible, these data gathering components can also proceed independently of one another given the overlapping sets of question areas.

As is explained in more detail in the later sub-section on data analysis, this approach anticipates dynamic learning by the evaluation team as data collection proceeds, with data gathered earlier informing areas of enquiry for later data collection targeted. In this way, an overlapping understanding progressively develops over the course of the data collection phase, to subsequently be unpacked, queried, developed and honed including between team members during the data analysis phase.

Types of data collection by stakeholder

The following table outlines the types of data collection that will be used for the different types of stakeholders.

Table 6 Data collection types to be applied by Stakeholder

Stakeholder Type	Name of entities	Type of Data Collection				
		KII (qualitative)	FGD (qualitative)	Document Review (qualitative)	Perceptual (quantitative) Survey	Site Observation
Implementing Agencies	UNICEF, UNESCO, MoE	X	X	X	X	
Development Partners	MoE	X	X	X	X	
Primary Duty Bearers	Government of Iraq, UN agencies	X	X	X	X	
Secondary Duty Bearers	Teachers	X	X		X	X

Sampling Strategy

The methodology for sampling for KIIs, FGDs and surveys will involve a stratified purposive logic, based on identifying individuals with knowledge relevant to particular questions in the evaluation matrix and satisfying the sampling criteria. This will be complemented with a snowballing strategy, which involves asking interviewees in initial rounds of interviews to help identify new interviewees with knowledge relevant to particular questions in the evaluation matrix and satisfying the sampling criteria. Sampling of survey respondents will be the same as for KIIs and FGDs, to create an overlapping data set where the qualitative and quantitative components give insights about similar types of respondents and therefore complement one another and deepen/widen understanding. This will help to ensure stronger triangulation of data and therefore more rigorous findings.

Sampling Criteria

The focus for data gathering is two-fold:

- a) individuals with overall knowledge relevant to the evaluation's questions regardless of location, for example the gender expert or the monitoring lead working on the project
- b) individuals from locations where the project was implemented

The rationale for selection of locations is informed by a comparative methodology, seeking to bring in to focus similarities and differences between the locations including in the context and implementation experiences and so to inform the evaluation's ability to robustly answer the questions about what happened and why. This implies selecting locations where there is variation between each sampling criteria, so as to determine if and how that variation affected

the outcomes observed. A further element to the rationale is the evaluation team's need to balance robust data gathering with the resources (time) that it has available for data gathering, by being strategic in selecting which locations to visit.

The specific selection criteria for locations were identified primarily through the inception phase interviews as being relevant for evaluating the design and implementation of the project and to understand the supporting factors and challenges relative to this. They are outlined in the following list:

- 1) A mix of locations in central and in southern Iraq for each SO, to ensure that similar and different contextual conditions and implementing conditions in each region are captured
- 2) Where possible, two different governorates or administrative districts within a governorate (when an SO was implemented within only one governorate in a region), so as to capture similarities and variation between different locations including contextually (e.g. proportion of vulnerable populations) and in terms of implementation capacities
- 3) To the extent possible, including a mix of teachers from higher performing and lower performing schools for KIIs and FGDs, so as to capture a range of experiences
- 4) A mix of locations where implementation was relatively smooth and where it was relatively more challenging, based on such factors as:
 - i) Strong/weak local political support for the project
 - ii) Higher/lower levels of accessibility for the project team
 - iii) Richer/poorer and correspondingly stronger/weaker facilities or capacities
 - iv) Strong/weak infrastructure (e.g. Internet)
 - v) Areas where one vs two complementary components of an SO were done (relevant to SO2)

The following tables outline the data collection method, sampling criteria (using the numbering from the above lists of criteria for brevity's sake in the table), proposed locations, as well as number of respondents targeted vs total population by SO.

Table 7 Sampling Approach, SO1

Specific Objective 1				
Stakeholder	Data Collection Method	Sampling Criteria	Proposed Location	Approximate number of stakeholders targeted (for survey, number targeted/total population, where available)
UNICEF	KIIs	a) b)	- N/A - Baghdad (Rusafa 3 and Karkh 1)	- approximately 8-10 (note: overlap with other SOs) - approximately 5 (note: overlap with other SOs)
UNESCO	KIIs	a)	- Baghdad/online	- approximately 2-3 (possible small group interview)
MOE at central, governorate & directorate levels	KIIs	a) b)	- N/A - Baghdad (Rusafa 3 and Karkh 1) - Basra and Qadissiyah	- Approximately 2-4 (possible small group interviews; note: overlap with other SOs) - Approximately 4-6 (possible small group interviews; note: overlap with other SOs) - Approximately 4-6 (possible small group interviews; note: overlap with other SOs)
Teachers and MOE staff (master trainers)	KIIs FGDs Survey	b) b) b)	- Baghdad (Rusafa 3 and Karkh 1) - Baghdad (Rusafa 3 and Karkh 1) - Teachers: Baghdad (Rusafa 3 and Karkh 1), MOE staff: (Rusafa 3 and Karkh 1)	- Approximately 2 in each location (small group interviews) - 2 for teachers, 2 for MOE staff in each location - teachers: Rusafa 3: 172/459; Karkh 1: 191/628; MOE staff: Rusafa 3: 35/40; Karkh 1: 35/40
	KIIs	b)		

	FGDs Survey	b) b)	- Basra and Qadissiyah - Basra and Qadissiyah - Teachers: Basra and Qadissiyah, MOE staff: Basra and Qadissiyah	- Approximately 2 in each location (small group interviews) - 2 for teachers, 2 for MOE staff in each location - teachers: Basrah: 194/672; Qadissiyah: 184/562; MOE staff: Basrah: 3: 35/39; Qadissiyah: 35/40
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Table 8 Sampling Approach, SO2

Specific Objective 2				
Stakeholder	Data Collection Method	Sampling Criteria	Proposed Location	Approximate number of stakeholders targeted (for survey, number targeted/total population)
UNICEF	KIIs	a) b)	- N/A - Baghdad (Rusafa 3 and Karkh 3)	- accounted for under SO1 above - approximately 2 (note: overlap with other SOs)
UNESCO	KIIs	a)	- Baghdad/online	- approximately 1-2 (small group interview if more than 1)
MOE at central, governorate & directorate levels	KIIs	a) b)	- N/A - Baghdad (Rusafa 3 and Karkh 3) - Basra and Qadissiyah	- accounted for under SO1 above - Approximately 4-6 (possible small group interviews; note: some possible overlap with other SOs) - Approximately 4-6 (possible small group interviews; note: some possible overlap with other SOs)
EMIS development group and Cambridge Education	KIIs	a)	- N/A	- approximately 5 (possible small group interviews)

Table 9 Sampling Approach, SO3

Specific Objective 3				
Stakeholder	Data Collection Method	Sampling Criteria	Proposed Location	Approximate number of stakeholders targeted (for survey, number targeted/total population)
UNICEF	KIIs	a) b)	- N/A - Baghdad (Rusafa 3)	- accounted for under SO1 above - approximately 5 (note: overlap with other SOs)
UNESCO	KIIs	a)	- Baghdad/online	- approximately 1-2 (small group interview if more than 1)
MOE at central, governorate & directorate levels	KIIs	a) b)	- N/A - Baghdad (Rusafa 3) - Basra and Qadissiyah	- accounted for under SO1 above - Approximately 3-4 (possible small group interviews; note: some possible overlap with other SOs) - Approximately 4-6 (possible small group interviews; note: some possible overlap with other SOs)
Teachers	KIIs FGDs Survey	b) b) b)	- Baghdad (Rusafa 3) - Baghdad (Rusafa 3) - Baghdad (Rusafa 3)	- Approximately 3 (small group interviews) - 2-3 - teachers: Rusafa 3: 215/1,000

	KIIs FGDs Survey	b) b) b)	- Basra and Qadissiyah - Basra and Qadissiyah - Basra and Qadissiyah	- Approximately 4-6 (small group interviews) - 5-6 - Basrah: 215/1,000; Qadissiyah: 215/1,000
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Level of Effort Per Team Member for Data Gathering

The following table outlines the anticipated level of effort for each team member for the various data collection phase activities.

Table 10 Level of Effort by Team Member, Data Collection Phase

Team Member	Activity: Days
Evaluation Team Leader	Detailed document review: 1 day KIIs: approximately 13 days Prepare Online Survey: 1 day
National Evaluation Expert	Detailed document review: 1 day Interviews: 8 days FGDs: 5 days Prepare Online Survey: 0.5 days
Quality Assurance Expert	Analysis, feedback and commentary: 1.5 days

Based on the above table as well as the three previous tables on the sampling approach (which specify the activities occurring in each location), the anticipated number of working days for the two team members involved in data collection in each location are as follows:

- Baghdad: approximately 13 days
- Basrah: approximately 7 days
- Qadissiyah: approximately 7 days

Importantly, it is possible that some of the interviews will be done remotely, thus reducing the amount of time in each location.

Data analysis

In line with the evaluation's approach, data analysis will involve assessing results observed relative to the Theory of Change (contribution analysis), including giving consideration to any unintended results. Analysis and development of the findings could also lead to further refining of the Theory of Change, which would be captured in the evaluation report's findings. Moreover, the Evaluation Team will analyse data about the outcomes observed (outcome harvesting) and determine if/to what extent the project contributed to them. Appreciative inquiry will also inform the approach to the data analysis, allowing the analysis to draw in areas of strength and success as well as identifying positive and negative results. Informed by the realist perspective, analysis will also aim to explain what works, how, why, for whom, to what extent, and in what circumstances. Overall, the evaluation will adopt an iterative approach to data analysis, involving the gathering of data and formulating initial findings and conclusions, then continually querying and refining these as data gathering continues and in light of new data, to ensure that analysis is done simultaneously with data gathering. This iterative process will be further strengthened by the evaluation team leader and national expert jointly conducting data gathering in-country, and feeding back as well as testing developing understandings with one another on a regular basis during and after the field mission. Further, the quality assurance expert will be drawn in to this process, providing feedback early on in the analysis and sensemaking.

Analysis of qualitative data

The analysis approaches used with the different types of qualitative data and for particular criteria/EQs is specified in the Evaluation Matrix, in the column 'Main Data Analytical Methods'. In summary, it shows that:

- The **contribution analysis** component of the approach (guided by the reconstructed Theory of Change) will particularly be used to assess effectiveness and thus to answer EQs 7-12.
- The principles of **outcome harvesting** will be drawn on to assess parts of effectiveness, particularly EQs 7-9.
- **Appreciative inquiry** will be used across the criteria of relevance, efficiency, effectiveness, sustainability, as well as gender, equity, human rights and climate change, in order to answer EQs 1-4, 6-8, and 10-16.

Furthermore, a **realist evaluation perspective** complemented by **content analysis** will be used across the criteria of relevance, efficiency, coherence, effectiveness, sustainability, as well as gender, equity, human rights and climate change, in order to answer all EQs.

To facilitate rigorous data analysis including between different team members, the **software Dedoose** will be used. Dedoose makes it possible to code different types of qualitative data to the questions and sub-questions in the Evaluation Matrix and then to do queries on those questions that draw together the different relevant data sources. This process helps to increase the depth and rigour of the data analysis.

Qualitative data will be a combination of handwritten notes (for in-person interviews) and typed notes (for remote/online interviews). The handwritten notes will be scanned for inclusion into Dedoose, while the typed notes will be incorporated directly into Dedoose.

Analysis of quantitative data

Analysis of quantitative (survey) data will be done in MS Excel, and will involve linking the data to particular evaluation questions in order to detail the perceptions of respondents (coding). The approach will be primarily descriptive and will aim to seek out how many and to what extent respondents feel a certain way about particular questions, including seeking out patterns that can inform the evaluation's responses to the evaluation questions, such as through disaggregation by geographical region and gender. It is not expected that response rates will be sufficient to provide a representative sample, thus the data will be treated as indicative. The results of this analysis will be integrated into the report's main analytical text, and presented in tables and figures in the main report as well as in an annex (so as to minimise the length of the main report).

Triangulation

Depth and rigour of the reporting will also be ensured by strong **triangulation**. Triangulation will be between different respondents and different types of respondents, including with disaggregation by gender, between different documentary sources, and between different types of data (qualitative and quantitative). This will make it possible to deepen understanding of data and simultaneously to be rigorous in determining the validity of data as part of the process of analysis and the development of findings, lessons learned and recommendations.

Risks, Limitations and Mitigation Strategies

This section outlines the risks, limitations and mitigation strategies, including in light of new information gained during the inception phase.

Table 11 Limitations, Risks and Mitigation Strategies.

Limitations and risks to the evaluation	Potential Impact if Assumption not met	Mitigation Strategies
1. Limited evaluability – access to information: staff turnover at UNICEF Iraq and MoE may	<ul style="list-style-type: none"> • Weaker evaluation findings. 	<ul style="list-style-type: none"> • Develop contingency plans for accessing alternative sources of data (e.g. Snowball Sampling).

<p>make it difficult to access key informants. Respondents may experience recall bias. Accessing data from stakeholders other than UNICEF may require additional time and coordination.</p>		<ul style="list-style-type: none"> • Reach out to ex-UNICEF staff/staff who have moved on, to deepen understanding. • Use mixed methods and triangulation to verify the data gathered from the respondents. • Triangulation involves using multiple methods to collect data from different sources to increase the validity and reliability of the data.
<p>2. Limited evaluability of effectiveness: monitoring data on outcome is insufficient.</p>	<ul style="list-style-type: none"> • Weaker evaluation findings at the outcome level. 	<ul style="list-style-type: none"> • Developed a comprehensive Theory of Change to guide the evaluation, and focus data collection methodology and tools on strategies for collecting data on outcome indicators. • Use mixed methods and triangulation to verify data. • Ensure that the data collected is valid, reliable, and reflects the intended results of the intervention. • Be clear about the limitations within the evaluability assessment.
<p>3. Reporting bias: respondents may be reluctant to share information.</p>	<ul style="list-style-type: none"> • Quality of data could be compromised. 	<ul style="list-style-type: none"> • Develop culturally appropriate data collection protocols that include a careful explanation of the purpose of the evaluation, informed consent, and voluntary participation. • Stress that anonymity and confidentiality are protected and that evaluations do not result in negative personal or professional consequences. • The Appreciative Inquiry Approach offers a method to address reporting bias in a non-threatening way for key informants.
<p>4. Evaluation resources and timeline are both quite tight and could impact on the evaluation, preventing any increase in the size of the team due to the tight timeline or preventing any extension of the timeline given the rather small team.</p>	<ul style="list-style-type: none"> • Quality of data could be compromised, or evaluation timeline not met. 	<ul style="list-style-type: none"> • Expert team selected based on competence and availability to work within the required timeframe. • Cowater Internal Staff to support the experts with the effective management of their time and with hands-on support on logistical and research assistant tasks. • A detailed workplan and timeline as well as carefully targeted scope and methodological approach has been developed during inception phase, with realistic milestones to conduct the evaluation within the budget and time frame constraints. • Proactively anticipate procedural and bureaucratic preparations such as obtaining ethical clearance through early engagement with the relevant stakeholders and authorities. • Close cooperation and coordination with UNICEF counterparts, including weekly check-in meetings.
<p>5. Timing: data collection during summer may result in stakeholders being less available and preventing the collection of certain types of data.</p>	<ul style="list-style-type: none"> • Weaker evaluation data for some areas of focus. 	<ul style="list-style-type: none"> • Beginning early with the sampling of stakeholders and engaging them early to schedule data collection activities based on their availability. • Liaise with the UNICEF Country office on a regular basis to update the office on progress and to maximise the possibility of rescheduling or replacing any cancelled meetings; be clear about limitations, e.g. related to classroom observations and the evaluation timeline. • Be clear about limitations flowing from the timeline and develop alternative strategies whenever possible.
<p>6. Volatile Security Context: the overall operating</p>	<ul style="list-style-type: none"> • Weaker evaluation 	<ul style="list-style-type: none"> • Field Security Assessments: in the preparation phase of the field work, the Evaluation Team, Cowater's Security Expert,

<p>environment for organising the evaluation is relatively fragile and unstable from a socio-political perspective. This may make it impossible to travel to the locations of stakeholders that were previously considered safe to travel to.</p>	<p>data for some areas of focus.</p>	<p>UNICEF and our local partner company will conduct a thorough field security assessment to ensure a safe operating environment in terms of security and political context. These assessments will inform the sampling of relevant stakeholders for data collection, as well as the data collection methods in close consultation with stakeholders and UNICEF.</p> <ul style="list-style-type: none"> • Regular monitoring of the security situation: once the field mission dates and itinerary are clear and approved by UNICEF, Cowater’s Security Officer and security partner Drum Cussac will begin monitoring the security situation on the ground along all sites to be visited during the field mission, in order to ensure the safety of all members of the mission as well all people in the locations they plan to visit. If the security monitoring or any stakeholder issues a security warning for a targeted area, alternative options will be reviewed to change the data collection sites or methods (see Duty of Care section). • Clear Channels of Communication: the Evaluation Team and Cowater will establish clear channels of communication with all relevant stakeholders and UNICEF, in order to plan the field data collection. • Security Protocols and Procedures: Cowater, the Evaluation Team and UNICEF will clearly determine which protocols and procedures to follow in case of a change in the security situation (see section 2.2.3). • Contingency Sampling: for data collection that needs to be done in the field, the Evaluation Team will create a main target sample group of respondents based on their relevance and the security context of their location. If the security context changes and a group of previously sampled respondents should become impossible to access, the Evaluation Team will prepare contingency samples of alternative respondents in other locations that can be safely accessed at the given time of the data collection. In this regard, the Evaluation Team will ensure in advance that all permissions and ethical clearances have been obtained in addition to the original sample. • Remote Data Collection: if it is not possible to access any relevant stakeholders physically at the time of the data collection in the field, the Evaluation Team will try to conduct the data collection remotely via safe communication channels such as Microsoft Teams calls.
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Reliability and Validity of Evaluation Findings

The reliability and validity of evaluation findings and conclusions will be assured through careful application of the rigorous evaluation approach and methodology to data gathering, data analysis and reporting, including strong triangulation. Furthermore, an iterative approach to data gathering and analysis will ensure that findings and conclusions are progressively developed, assessed/queried, and ultimately strengthened over time – including in conversations with key informants and amongst Evaluation Team members. This collective sense-making of the data will proceed throughout the data collection phase, with the team leader checking in with the national evaluation expert through regular feedback sessions while also drawing in the quality assurance expert to share insights, expertise and experience in honing the developing findings amongst team members. The process will be strengthened by the preliminary findings workshop, which will provide an opportunity for key stakeholders to comment on and further strengthen emerging findings and conclusions. In turn it will feed into the data analysis phase, when embryonic finding

statements will be developed and shared amongst all team members, commented upon and then developed further. Multiple rounds of feedback will ultimately coalesce into the draft evaluation report, with the team leader leading the writing and analysis process with input from other team members (national evaluation expert and quality assurance expert).

7. Workplan and Evaluation Process

This section of the report outlines the workplan, which details how the Evaluation Team intends to conduct the assignment. The assignment will involve four phases:

7.1. Inception Phase

The inception phase for the assignment began with a kick-off meeting on 30 May between the UNICEF focal points and the Evaluation Team. The meeting focused on logistics and timing for the different components of the evaluation, with an emphasis on the need to finish the evaluation by mid-October 2023. In the week following the meeting, UNICEF shared documents with the team through SharePoint, and also began sharing the list of interviewees for the inception phase. The UNICEF focal points and the Evaluation Team manager and leader have subsequently had weekly meetings to update, trouble-shoot and in general help to maintain momentum for the evaluation. This includes discussing the working draft of the inception report that was submitted on 21 June, as well as the full draft of the inception report that was submitted on 4 July. It also involved some preliminary logistics planning, including timing for review and approval of the inception report, for its ethical approval, for fieldwork, and for how to best get a visa for the Evaluation Team leader to enter Iraq.

The main purpose of the inception phase is to further elaborate the evaluation approach and methodology, including the Evaluation Matrix and data gathering instruments, and to inform this by developing a sound understanding of the context, existing evidence and of the intervention. The inception phase does not aim to collect information to address the key evaluation questions, as this is addressed during the data collection and analysis phase.

Key activities in the inception phase have included an initial document review and key informant interviews, as well as drafting the inception report.

Preliminary Document Review

The preliminary document review has focused on documents shared by UNICEF, including from the evaluation focal points as well as from other UNICEF staff in response to requests for specific documents. These include strategic-level documents, project planning and design documents, some monitoring and implementation documents and data including financial data, project reporting, as well as broader evaluation guidance documents.

The aim in this review was to inform the development of the inception report and the Evaluation Team's approach to the evaluation. This lens then informed the approach adopted by the team, with the knowledge that a more detailed review (including new documents such as full monitoring data) will be done at the data gathering phase. Specific questions included deepening the team's understanding of the project; what data sources to focus on to answer the questions in the Terms of Reference as well as potential data gaps; insights to inform sampling for the evaluation's data gathering; and, how to best capture data on particular components of interest to the evaluation, such as gender equality.

A full list of the documents, including a brief overview of insights gained from them, can be found in Annex 8.

Preliminary Key Stakeholder Interviews

The inception phase interviews have focused on UNICEF staff (12 in total) identified together with the evaluation focal points for their knowledge of the project, including its different geographical regions of implementation and different specific objectives, as well as with thematic expertise relevant to the project (e.g. gender). An interview was also done with a person from UNESCO who had knowledge of their component of the larger project, and one from the funder (the EU). Interviews were also requested with the Ministry of Education, though these were not possible to schedule due to the Eid holiday.

As with the document review, the aim in these interviews was to inform the development of the inception report and the Evaluation Team's approach to the evaluation. Interviews were semi-structured, which made it possible to adapt

the questions and thus to focus on the particular areas that the interviewee had knowledge of. Specific areas of questioning included the interviewee's role in and understanding of the project; data sources to target given the evaluation's areas of focus and their particular knowledge of the project, including potential data gaps or challenges and how to address them; how to overcome the weak outcome level data; geographical areas to focus on for data gathering; insights to inform sampling for the evaluation's data gathering, including the criteria for sampling and the pros and cons of particular areas; and, other people that would be useful to speak with at the inception phase.

An anonymised list of interviewees, including a brief overview of insights gained from them, is presented in Annex 9.

7.2. Data Gathering Phase

The data gathering phase will begin as soon as the finalised inception report is approved by the evaluation Steering Committee and ethical approval is granted. The national expert is based in Baghdad, and so will be able to flexibly adapt to undertake in-person interviews throughout the data gathering phase. The evaluation team leader will spend slightly more than two weeks in the country, anticipated to be in the first half of August 2023 (up to 18 August); thus his in-person interviews will take place during that period of time.

Before data gathering begins, the data collection tools will be tested in a brief pilot. This will occur over a 1-2 day period, and will involve the two team members applying them in the field to different types of respondents who will be informed about the testing process. The team will then adjust the tools as necessary before beginning the main data gathering process with the finalised tools.

Data gathering phase activities will focus on the following:

- An in-depth document review
- Key Informant Interviews (KII)
- Focus Group Discussions (FGDs).
- Two Online Perception Surveys
- Field observations

Preliminary findings workshop

At the conclusion of the fieldwork, a PowerPoint presentation will be given in Iraq by the Evaluation Team. It will include these elements:

- The purpose, objectives, scope and evaluation questions
- The methodological approach
- The preliminary key findings (per evaluation criteria)
- Potential recommendations resulting from the key findings.

The workshop will provide an opportunity for key stakeholders to comment on and deepen the preliminary evaluation findings as well as to inform the development of potential recommendations.

7.3. Data Analysis Phase

Data analysis will initially proceed in parallel with data gathering during the data gathering phase, as part of the iterative process described earlier. Following completion of the data gathering phase, the Evaluation Team will integrate the various data sources together and analyse them using the analytical approaches outlined earlier and assisted by Dedoose for the qualitative data. Initial findings linked to the evaluation questions will be deepened through this process, with rigorous triangulation applied to ensure the strength of the data.

The Evaluation Team leader will play the lead role in this process, drawing on the analysis and insights of other key team members as it progresses and ensuring a cohesive report. Concretely, the process will involve outlining the initial finding statements and then populating the findings with data, adjusting the findings over time based on that data and through comments from/discussions with Evaluation Team members. The same process will be followed with evaluation conclusions, lessons learned and recommendations.

7.4. Reporting and Dissemination Phase

Reporting Phase

The data analysis phase will lead to the production of a **draft evaluation report**, which will be subject to Quality Assurance (see later in this report for more information on the Quality Assurance process) by the Evaluation Team before submission to UNICEF.

UNICEF will review and share consolidated comments on the draft evaluation report. The Evaluation Team will review and produce a 'response to comments' document showing how each comment was addressed. This document will be shared together with the **final draft of the evaluation report** incorporating the changes related to comments received.

The **final evaluation report** will be developed in light of feedback from the evaluation stakeholders on the final draft, and will have spelling and formatting checks done by the consultants.

Once the Final Report is approved, the TL will draft a three to four page **Executive Summary** that will be spell checked and submitted to UNICEF alongside a **statement about the validity of the evaluation results**.

Dissemination Phase

The Final Evaluation Report will be presented in a **workshop to a wider audience of Key Users and interested Parties** invited by UNICEF.

Deliverables

- Inception report
- Presentation of Preliminary Findings in Iraq
- Draft evaluation report (to be submitted by 30 September)
- Final evaluation report (to be submitted by mid-October)

8. Quality Assurance and Ethical Considerations

8.1. Quality Assurance of the Evaluation Process

Cowater is an ISO 9001 Quality Management certified company and it has a Quality Management System in place that specifies the procedures used by the company in all its operations. As for every project, the Quality Assurance process is tailored to the specific needs of the evaluation at hand and the ethical frameworks followed by UNICEF, as well as of the key stakeholders and their organisations or customs at a local level. To ensure high quality and effective evaluation, this theory-based evaluation follows a rigorous and bespoke quality assurance process, which is applied throughout the entire evaluation timeline. The cornerstones of the Quality Assurance function will be founded on [UNICEF's evaluation policy](#) as well as the [UNICEF adapted Evaluation Report Standards](#) and the [UNICEF GEROS Handbook](#).

Quality Assurance in the overall management of the Study

The five key elements of Cowater's Quality Assurance Process for this Evaluation are:

1. **An internal Quality Assurance Expert:** a senior evaluation expert with long-standing thematic expertise in the sector ensures that the Evaluation Team will be held responsible for ensuring that all deliverables are of high quality and align with the UNICEF evaluation policy, the UNICEF-adapted UNEG evaluation report standards, and the UNICEF GEROS Handbook.
2. **A dedicated Project Manager** oversees the Evaluation Team's progress against the agreed upon timeline of this evaluation. It is the responsibility of the Project Manager to monitor the project progress and engage with all stakeholders on a regular basis, in order to anticipate roadblocks or obstacles that could lead to unnecessary details. Furthermore, the Project Manager will support the Evaluation Team with all logistic, administrative and financial management tasks, as well as the contractual management of the local data collection company. Together with the Team Leader, the Project Manager will continuously monitor any arising challenges and risks to the due implementation of the evaluation in the foreseen scope and timeline, and will signal any potential risks to the Evaluation Manager and consult with them on potential mitigation strategies.
3. **Regular communication, progress reports and meetings with the UNICEF Evaluation Manager and key stakeholders of this evaluation, in order** to anticipate and adjust to changes in the context²³ of this evaluation, ensure that adequate progress is made in accordance with the final workplan agreed upon in the Inception Phase. This is assured by a weekly progress meeting with UNICEF's evaluation managers.
4. **A Quality Assurance and Ethical Compliance Checklist will be developed by the Cowater Project Manager and the Quality Assurance Expert, after consulting with the UNICEF Evaluation Manager. The checklist will assign all quality assurance requirements to explicit activities and measures taken and is overseen by a responsible manager over the course of the evaluation: these activities and measures have been integrated into the evaluation's workplan according to** UNICEF's evaluation policy, the UNICEF-adapted UNEG evaluation report standards, and the UNICEF GEROS Handbook.
5. **A competent, experienced and qualified Evaluation Team.** Cowater has selected an experienced Evaluation Team and a competent backstopping team well suited for the implementation of this project. The Evaluation Team leader, the National Expert as well as the external Quality Assurance Expert and Thematic Advisor have all previously participated in numerous evaluations for UNICEF and related to similar projects as this one: they are therefore highly familiar with [UNICEF's evaluation policy](#) as well as the [UNICEF-adapted Evaluation Report Standards](#) and the UNICEF GEROS Handbook.
6. **A multi-layered, circumspect and methodical quality assurance process has been refined during the Inception Phase, through a consultation with all relevant stakeholders.**

²³ See Table 11: Risks, Limitations and Mitigation Strategies of this evaluation that may influence the operating context of this evaluation.

Layers of quality assurance throughout the evaluation timeline

The five layers of quality assurance procedures that will be applied throughout the timeline of this evaluation are.

1. **An 'ex-ante' QA:** from the start, Cowater and the Evaluation Team will proactively and regularly engage with all the key users and stakeholders involved in the management of the evaluation process²⁴ on a regular basis. This will ensure that all relevant stakeholders and institutions have been duly consulted about their needs and expectations regarding the design, methodology, limitations and practical implementation of this evaluation. The Team Leader, National Expert, the QA Expert and the Cowater Project Manager have participated in the kick-off meeting with UNICEF and other present stakeholders and discussed with UNICEF the specific requirements for this assignment. The Quality Assurance expert and Cowater's Project Manager ensure that **the Evaluation Team has a clear and detailed understanding of scope, content and quality of all deliverables** as listed in the ToR (p. 12 and Annex 4). They will also ensure that all relevant and appropriate stakeholders, beyond those that participated in the kick-off meeting, are identified and invited to contribute to the design, implementation, dissemination, and use of the evaluation's findings. The QA output at this phase will be a series of advisory meetings and discussions with the Team Leader, the National Expert and the Project Manager as well as the internal pre-submission review of the inception report, including the detailed methodology, sampling strategy, data collection methods, and understanding of in-country context. The QA Expert will also review the **detailed workplan and data collection plan, the draft sampling strategies and data collection tools and protocols before they are deployed in the field and ensure that they comply with the required ethical standards** and cover the elements that are agreed upon with UNICEF during the Inception Phase. As a further element of anticipatory quality assurance, **the Evaluation Team will share preliminary working drafts of deliverables with the UNICEF evaluation managers ahead of the final submission deadline of the first drafts:** this will enable UNICEF to provide feedback and thereby provide guidance already during the drafting process of the deliverables. Together with the QA Expert, the Cowater Project Manager will develop a **quality assurance and ethical compliance checklist (see Annex 11)** that outlines all quality assurance requirements and steps as required.
2. **In-Field QA:** the QA expert will support the Evaluation Team with recurrent advice during the implementation of the finalised evaluation designs, including sampling and data collection. In particular, the Quality assurance expert will support the team during the piloting and validation of the data collection tools, testing them and providing feedback to the evaluation team. Furthermore, the QA expert will support the team with suggestions on note taking and transcribing of qualitative data. Based on the **quality assurance and ethical compliance checklist**, the Cowater Project Manager will keep track of and ensure that all required ethical clearances are obtained from the ERB, in accordance with the normative frameworks of UNICEF and others as applicable (See Annex 11). The aim will be to protect and preserve the dignity, integrity and security of all study participants at all times and to ensure that all agreed upon quality assurance processes are followed. Once ethical clearance for the Data Collection Tools and Protocols has been given, the **Evaluation Team will thoroughly test all Data Collection Tools as well as their ethical and technical protocols and make small adjustments as needed to smoothen the application of the data collection in the field. They will also train all personnel involved in the data collection in the field (the Team Leader, the National Expert and the Note taker during the Focus Group Discussions), through a dedicated workshop** in which all those using the tools will gain a full understanding of how to use the tools and will follow all ethical guidelines. During the data collection and reporting phase, **the Evaluation Team will be in regular contact with the UNICEF Evaluation Managers, maintaining a constant feedback loop** to ensure a proper implementation of the project according to the requirements of the TOR and the Inception Report during all stages of the evaluation.
3. **Analysis and reporting QA:** During the sensemaking and data analysis phase, the QA expert will advise the team with insights on how to optimize the cleaning, organization and coding of data, as well as their analysis and support the team in drawing up findings from the analysed data. Finally, the QA expert will review the draft report's first outline as well as the first draft thoroughly before submitting it to UNICEF. As required, the QA Expert will support the Evaluation Team, with technical advice on demand and with the mandatory in-house review of the preliminary findings as well as the final evaluation report, following the quality assurance standards as defined in the UNICEF evaluation policy, the UNICEF-adapted UNEG evaluation report standards, and specifically in section 3: Assessment

²⁴ As described in on pp. 11-12 in the ToR.

Standards in the UNICEF Geros Handbook. The Project Manager will record all QA measures in the Quality Assurance and Ethical Compliance Checklist.

4. **Once the deliverable is accepted and cleared by QA**, the Backstopping Team will ensure a final spelling and style check and finalise formatting layout. Thereafter, the Cowater Project Manager will sign off the deliverable, which will then be sent to UNICEF. If any of the QA steps mentioned above lead to an off-limit delay in submitting the deliverable to UNICEF, the Project Manager will request UNICEF’s prior authorisation for this delay well in advance. In the unlikely event that any Evaluation Team member cannot complete his/her contribution to the deliverables properly in time, the Project Manager will mobilise the necessary expertise, either by replacing the expert in question or by hiring an additional expert at no cost to UNICEF.
5. **Post-Submission QA:** when any deliverable is submitted to UNICEF and feedback is received, the Project Manager and QA experts will provide appropriate support to the Evaluation Team, to ensure that **adequate corrections** are made, thus fully satisfying the requirements of this study as agreed in the ToR and in consultation with UNICEF during the Inception Phase.

Overall, the quality assurance process for this theory-based evaluation will be rigorous and thorough, with multiple levels of review and feedback to ensure that all deliverables are of high quality and meet UNICEF’s quality expectations.

A discussion of the limitations of the methodology is described in section 7, as well as a discussion on how to enhance the reliability and validity of the evaluation’s findings and recommendations, plus the process to validate the evaluation recommendations.

Details on how Cowater International will provide logistical support and duty of care for the Evaluation Team and all participants of this evaluation process will be laid out in Annex 12.

8.2. Ethical Considerations, Confidentiality and Data Protection

Throughout the evaluation and in close consultation with UNICEF and all relevant stakeholders, Cowater will ensure the adherence to all ethical considerations in line with the [UNICEF Procedure for Ethical Standards in Research, Evaluation and Data Collection and Analysis](#) and the [UNEG ethical guidelines](#)²⁵. Cowater understands that all participants in this evaluation, especially children or adolescents, are particularly vulnerable in this evidence generation process. It will therefore hold the Evaluation Team accountable, in order to strictly follow the instructions laid out in the document above, in the spirit of the company’s five guiding principles recapped below:

Guiding Principles of ethical Evidence Generation according to the UNICEF Procedure for Ethical Standards in Research, Evaluation and Data Collection and Analysis:

1. **Respect:** this principle involves engaging with all stakeholders in a way that **honours their dignity, well-being, participation and personal agency**. It also acknowledges any limitations to this agency. Respect requires responsiveness to sex, gender, race, language, country of origin, LGBTQ status, age, background, religion, ethnicity, ability and cultural, economic and physical environments.
2. **Beneficence:** this principle means **striving to do good for people and planet while minimising harms** arising from evidence generation. It requires the weighing of harms and benefits. The data collected must be **purpose-driven** (directly informed by the activity or benefit), and proportional (only collecting what is required) and **protective of children’s rights**.
3. **Justice:** the principle of justice requires that consideration is given to who benefits and who carries the burden of evidence generation and the broader equity of the project, its implementation and outcomes. The work should be **“people-centric”**, ensuring the needs, interests and expectations of people — including children and their caregivers in particular — are prioritised by those handling data about them.
4. **Integrity:** this principle necessitates the **active adherence to moral values** and professional standards, which are essential for all evidence that is commissioned or undertaken.

²⁵ United Nations Evaluation Group (UNEG)

5. **Accountability** is the obligation to be **answerable** for all decisions made and actions taken, and to be responsible for honouring commitments, without qualification or exception as well as to report potential or actual harms observed through the appropriate channels. The principle includes accountability to relevant populations.

The Evaluation Team will strictly follow the UNEG ethical guidelines²⁶ and the UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis throughout the evaluation process. The Evaluation Team will ensure that the principles of integrity, independence and impartiality as well as accuracy, completeness and reliability are respected. Hence, the Evaluation Team will prevent any form of potential conflict of interest and ensure that the evaluation is conducted in a transparent and accountable manner. The evaluation process, including quality assurance procedures, will ensure that evidence in the evaluation cannot be traced back to any individual informant.

The main ethical issues anticipated in the evaluation relate to the stakeholders that the evaluators will interview and engage with. These issues will involve considerations of confidentiality, data protection, protecting vulnerable respondents and particularly those in conflict environments, and the evaluators must ensure that the evaluation process avoids causing harm.

The main person in charge of compliance with ethical requirements, and the focal point on this matter on behalf of Cowater and its contracted staff, will be Cowater's Project Manager Johannes Federkeil.

In specific terms, the evaluation team will put all of the abovementioned principles and ethical requirements in practice through the following measures:

The thirteen ethical requirements below have been translated into a **list of measures and activities that already have or will be taken during the implementation of this evaluation in Annex 11.**

1. **Independence, impartiality, credibility, conflicts of interest and accountability:** The expert team has been vetted for any potential conflict of interests which might bias their assessment of the evaluations findings and recommendations. None of the experts have been found to have previously worked in a leading or essential function in the implementation of the intervention to be evaluated. If necessary, previous employers have been contacted in order to learn more about the nature of their involvement in projects that may be related to the intervention to be evaluated. All experts that had been previously involved in any way shape or form with the intervention have been transparently brought to the attention of UNICEF and not been found to have had any essential role in the implementation of this project.
2. **Basic Ethics Training:** right after the award of the contract, Cowater will ensure that all evaluation team members have completed UNICEF's AGORA online course [Introduction to Ethics in Evidence Generation](#) and Cowater's Project Manager has collected and submitted the certificates to the UNICEF Evaluation Manager. Any field enumerators or transcribers will equally be requested to complete the online course, before being deployed in the data collection.
3. **Ensuring Personal and Professional Integrity:** the evaluation contractor and team are expected to demonstrate personal and professional integrity throughout the evaluation process and will therefore sign a '**Pledge of Ethical Conduct in Evidence Generation**'. Accordingly, they will respect the right of institutions and individuals to provide information in confidence and ensure informed consent.
4. **Informed Consent:** Evaluation participants will be fully informed about the nature, purpose, and scope of the evaluation, as well as the limits of confidentiality. Those who wish to withdraw from the evaluation after providing consent will be allowed to do so at any time. At the end of the survey or interview, the evaluators will summarise the main findings made and will ask respondents if these findings have been correctly understood by the evaluators. If not, the respondents will be allowed to make corrections. Respondents will also be invited to contact the evaluators after the interview, in order to provide corrections or additional information to their statements. They may also request the Evaluation Team to withdraw their consent to use the information that they have shared at any time during the evaluation process, until the final report has been approved.

²⁶ United Nations Evaluation Group (UNEG)

5. **Voluntary participation:** participation in the evaluation will be voluntary and free from external pressure. Information will not be withheld from prospective participants that might affect their willingness to participate. All participants have a right to withdraw from the evaluation and withdraw any data concerning them at any point without fear of penalty, including by briefly feeding back to KII and FGD participants at the end to cross-check data gathered. Furthermore, all respondents will be kept completely anonymous and will be informed that their statements will not be taken literally and will be put in context with the entirety of all information collected, triangulated and analysed during this evaluation. All respondents will also be informed that, regardless of what information they volunteer and whether or not they decide to participate in the data collection, that this will have no consequences for them personally.
6. **Applying appropriate Ethics Approaches in Research with Children:** when working with children, the team must adhere to ethics of research. This includes using age-appropriate consent forms and data collection instruments. The principle of 'do no harm' will be respected at all times.
7. **Avoiding harm:** the Evaluation Team will ensure that the basic human rights of individuals and groups with whom they interact are respected, as well as their health and safety (e.g. risks related to Covid-19) are protected. This includes having appropriate follow-up mechanisms in place, e.g. reaching out immediately to UNICEF to follow up should any protection concerns or other harm-related concerns emerge during data gathering. The Evaluation Team will ensure that all risks are discussed with UNICEF and that mitigation plans are drawn up prior to any data collection.
8. **Ensuring Sensitivity to Social and Cultural Environment:** the evaluation process and consultants must be sensitive to the beliefs, manners, and customs of the social and cultural environment in which they will work. They should address issues of protection, discrimination, and gender inequality. Personal performance evaluation of individuals will not take place. Thanks to the support of the National Expert, the Evaluation Team will be well prepared of differences in culture, local customs, religious beliefs and practices, personal interaction and gender roles, disability, age, and ethnicity, and will be mindful of the potential implications of these differences when planning, carrying out and reporting on the evaluation. This will be explicitly addressed when piloting, testing and validating the evaluation tools among the evaluation team members, who will apply all questionnaires on each other.
9. **Dealing with Sensitive Issues:** as the evaluation may involve gender-related issues, the data collectors may come across instances of respondents sharing experiences of sexual harassment, abuse, or violence. If evidence of wrongdoing is uncovered, Cowater will instruct its contracted personnel to report them to the appropriate reporting channels, in accordance with UNICEF's procedure on ethics in evidence generation and as discussed with UNICEF during the Inception Phase. All data collectors should undergo appropriate ethical training and be prepared to handle such issues in the field.
10. **Clear communication of Reporting Channels of Unethical Behaviour:** On all data collection tools and protocols will be a notice on the appropriate channels to report suspected misconduct, fraud, abuse or other types of unethical behaviour.

The first reporting channel for this evaluation will be the UNICEF Evaluation Managers Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org). In order to not confuse participants, we will add the following phrase to all evaluation tools and protocols.

"If you have any questions regarding this evaluation anytime in the future, you can contact the UNICEF Evaluation Managers Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)"

11. **Protection of Confidentiality:** Cowater acknowledges and assures the responsibility of the Evaluation Team for ensuring that sensitive information cannot be traced back to its source. All results will be reported at an aggregated level, and no identifying information will be disclosed. Data storage and security measures will be implemented throughout the evaluation process, following UNICEF's protocols. The evaluation inception report will detail the data protection and storage measures for primary data in a secure data storage platform, like Tresorit or a project-specific Microsoft Sharepoint Environment. Protecting **personal data is essential in any evaluation** to respect

dignity and ensure the security of all stakeholders involved as well as to protect the identities of persons. **Confidentiality of personal data will be especially important for this evaluation.**

Data Protection Measures for this Evaluation.

The Evaluation Team commits to maintain the confidentiality of sources of data obtained during primary data collection. In coordination with UNICEF, the Evaluation Team will ensure that the evaluation complies with UNICEF data protection and privacy laws, as well as with more general good practices in this area.²⁷ Throughout the evaluation, primary and secondary data collected will be recorded systematically within an evaluation assessment framework. This comprehensive data source will then be used to validate and verify findings as they emerge against the evaluation questions and indicators. The identity of informants for primary data collection will be anonymised in the evaluation assessment framework: only the Evaluation Team and the UNICEF Evaluation Manager will be aware of the names. During the evaluation process, all primary data collected will be kept in a password-protected shared drive that only the Evaluation Team and the UNICEF Evaluation Manager will have access to. Concretely, this will involve all typed and scanned (handwritten) interview and FGD notes, as well as survey data once this becomes available, being kept on the drive and exclusively accessed from the drive. Handwritten notes will also be stored securely, with a code used to identify respondents instead of names as a second security measure, and with the key for the codes stored on the drive. All data analysis files and all files with raw data from the primary data collection will be the property of UNICEF. Regarding any copies held by the evaluation team at the conclusion of the evaluation, UNICEF will be asked what they would like the team to do with them and will comply with those wishes.

The Evaluation Team commits to the obligation not to publish or otherwise communicate to third parties, through any medium whatsoever, any information on the participants in the evaluation consultations. In their communication with all stakeholders, the Evaluation Team will transparently explain the commitments to confidentiality and anonymity in order for stakeholders to understand the data protection protocol and, based on that, they can decide whether to participate or not in the evaluation.

12. **Ethical Review Mechanisms and Ethical Clearance Process:** Cowater will strictly follow the ethical review procedures required for this type of evaluation in close consultation with all relevant stakeholders and will submit the proposed research methodology, protocols and data collection tools for ethical clearance from UNICEF and the competent Ethical Review Board. The Evaluation Team leader will ensure that there is no conflict of interest when implementing these mechanisms. The evaluation will undergo ethical clearance once the inception report, data collection instruments, and data collection protocols are available. The UNICEF Evaluation Manager will facilitate the ethical clearance process.
13. **Permission and Acknowledgment:** Cowater's Evaluation Team commits to not communicate evaluation evidence or publish/disseminate the Evaluation Report, data collection tools, collected data, or any other documents produced from this evaluation without explicit permission from UNICEF. UNICEF's acknowledgement will always be included when sharing or using the evaluation findings.

²⁷ In addition to the Evaluation Team's own research, the Evaluation Team will also rely partially on UNICEF to ensure that all local and national data protection and privacy laws are respected.

Annex 1: Terms of Reference

The Terms of Reference to this assignment are attached to the email of submission of this inception report.

Annex 2: Intervention Logframe

	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
Overall objective: Impact ³	Improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq by 2023	Net enrolment rate: Primary and lower secondary education (girls/boys)	Primary: All: 91% Girls:88% Boys:94%	Primary: All: 95%	No progress	No progress	No progress	Ministry of planning reports /EMIS reports/ MICS/ Statistical reports	There will be increased budget allocation for education at national and Governorate levels to support mainstreaming and sustaining planned interventions.
			Lower Sec.: All: 74% Girls:65% Boys:84%	Lower Sec.: All: 78%					
		Transition rate of children to secondary education disaggregate by gender	50%	53%					
		Percentage of out-ofschool children: (a) primary (b) secondary	a. 8.3% b. 25.9%	a. 5% b. 20%					
		Primary education completion rate disaggregated– girls and boys	44% (boys and girls) 2017	50%					

	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
Specific objective(s): Outcomes (OC)	SO1. To improve the effectiveness and efficiency of education through roll-out the Education Management Information System (EMIS) and increase capacity of education planners, statisticians and educators at central and governorate levels. (UNESCO (national level), UNICEF (governorate and school level))	Comprehensive decentralized live data available at national, governorate and school levels	Unreliable and inconsistent national level data only	Incremental improvements to Core EMIS indicators for effectiveness and efficiency observable by project end.	EMIS system is under development and roll out of the system at school level will start during the first quarter of 2021. Progress has been delayed significantly due to the travel restrictions; the challenges related to global supply chain that impacted the procurement of the equipment by UNESCO.	An EMIS system is developed and available on a dedicated platform. The roll-out of the system at school level is ongoing	An EMIS system is developed and available on a dedicated platform. The roll-out of the system at school level is ongoing	Statistical reports Monitoring reports	The Ministry of Education will continue to demonstrate commitment to evidence-based decision making The Ministry of Education will continue to demonstrate commitment to decentralization and ceding of decision making authorities to subnational institutions and communities.

	SO2. To strengthen the capacity of MoE at central and governorate level to improve education services delivery (UNESCO at National Level, UNICEF at governorate level)	MoE capacity enhanced in education services delivery	To be determined based on the data that will be collected before and during the capacity development plan	MoE staff are capable of developing capacity development and implementation plans (central and governorate levels)	Capacity gap assessment is underway. The capacity development and implementation plan will be developed following the finalization of the capacity	Capacity gap assessment is realized for Baghdad, Basra, Qadisiya, and Thi Qar.	Capacity gap assessment is realized for Baghdad, Basra, Qadisiya, and Thi Qar.	Capacity developed plans at central and governorate level	
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	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
					needs assessment.				

	<p>SO3. To enhance the quality of teaching and learning by operationalising the capacity development plan and developing teachers' capacities at central and governorate levels. (UNESCO at central level and UNICEF at governorate and school level)</p>	<p>- Quality of teaching and learning enhanced at central and governorate levels through operationalising the training plan</p>	<p>To be determined based on the data that will be collected before and during the capacity development plan</p>	<p>MoE staff are capable of operationalising the training plans at central and governorate levels.</p>	<p>No progress so far for this component</p>	<p>Plan developed; training modules drafted.</p>	<p>Plan developed; training modules available.</p>	<p>Statistical reports Monitoring reports</p>	
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Outputs (OP)</p>	<p>1. Functional EMIS database established and rolled-out</p>	<p>EMIS system developed</p>	<p>Partially developed</p>	<p>EMIS is fully operational</p>	<p>Fully developed</p>	<p>An EMIS system is developed and available on a dedicated platform.</p>	<p>A EMIS system is developed and available on a dedicated platform.</p>	<p>The EMIS system</p>	<p>MoE staff are committed to use and enter accurate data on EMIS</p>
		<p>Call centre for the EMIS established and operational</p>	<p>No centres available</p>	<p>Call centre is providing technical support</p>	<p>No centers available</p>	<p>Servers: Two EMIS servers were installed at Communications and Media</p>	<p>In progress (two EMIS servers were installed at Communications and Media</p>	<p>Monitoring reports on the support provided by the centre</p>	<p>The security situation will remain relatively stable. Government provides staff and resources to participate in the creation of the outputs.</p>

	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
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						<p>Commission's (CMC) Secure Data Center with hosting at no cost (January 2020)</p> <p>Internet Connectivity</p> <ul style="list-style-type: none"> - CMC is providing Internet connectivity for each laptop through Internet Service Providers (Korek, Asia Cell, Zain) at no cost - MoE/ CMC/ - UNESCO signed roadmap for procurement of connectivity (October 2020) - Functionality Review and Development <p>Following several meetings on the leadership of the MoE, the EMIS functionality reviewed: Developed additional features and workflows identified during</p>	<p>Commission's (CMC) Secure Data Center with hosting at nocost. The CMC is providing Internet connectivity for each laptop through Internet Service Providers (Korek, Asia Cell, Zain) at no-cost.</p> <ul style="list-style-type: none"> - MoE/ CMC/ - UNESCO signed roadmap for procurement of connectivity (October 2020). - Functionality Review and Development <p>following several meetings of the leadership of the MoE, the EMIS functionality reviewed: Developed additional features and workflows identified during the pilot project and subsequent feedback received</p>	<p>Availability and cooperation of government experts and officials to actively participate, being engaged in the process.</p> <p>Availability and cooperation of government officials to be trained</p>
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	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
						<p>the pilot project and subsequent feedback received from the MoE; additional needs for reports and indicators for the Statistics Department identified</p> <p>Setup and Administration</p> <ul style="list-style-type: none"> - Held 7 workshops to review all setup, administration, security, and user privilege settings in the EMIS - Implemented required changes identified by the MoE, - Fully automated integration of the EMIS platform with ePerwerde at MOE-KRI. 	<p>from the MoE; additional needs for reports and indicators for the Statistics Department identified</p> <p>Setup and Administration</p> <ul style="list-style-type: none"> - Held 7 workshops to review all setup, administration, security, and user privilege settings in the EMIS - Implemented required changes identified by the MoE, - Fully automated integration of the EMIS platform with ePerwerde at MOE-KRI. 		

	Staff capacity in the targeted governorates enhanced (54,824 training days for 5,328 staff)	No capacities available	Trainers and directorate staff are capable to use the EMIS system	No capacities available	80 teachers (57 females) from 40 schools of Rasafa 3 DOE trained on EMIS system	1,071 teachers (583 females and 488 males) from 536 schools of the DoEs of Rasafa 3 (459), Karkh 1 (280), Najaf (208),	Monitoring reports on the training and data entry
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	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
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							Basra (56) and Thi Qar (68) trained on EMIS system. The training held during 10 days for each training for each trainee for a total of 2,000 compiled days. The increased number of the training is due to the redesigned training materials and strategy to adapted them to the new situation with the COVID 19 pandemic. For this activity, 5 days were supported by UNICEF as planned while the 5 other days were supported by the DoE.	
	Number of schools entered on the EMIS	33 schools	2,664 schools entered in the EMIS across 8 governorates (2,431 schools new to the system)	The data entry of the 'School Master Data' records for all 583 schools in Rasafa 3 was completed in the EMIS during	The data entry of the 'School Master Data' records for all 583 schools in Rasafa 3 was completed in the EMIS.	889 schools (Resafa 3 (583), Karkh 1(140), Najaf (104), Basra (28) and Thi Qar (34)) were completed in the EMIS.	School records on the EMIS	

	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
				<p>All schools in 2 KRI governorates using the ePerwerde system are integrated</p> <p>5 hub and spoke school clusters pilot scale approaches</p>	<p>the reporting period. Thus, the basic information for all schools, including name, gender, location and coordinates in the district is now online in the EMIS solution. Similar activities are currently underway with the GDoE in Karkh 1/Baghdad to enter 228 of their schools participating in the project.</p> <p>No progress</p> <p>No progress</p>	<p>Identification of criteria of the other schools is ongoing.</p>	<p>The lists of the other schools participating in the project are available.</p>	<p>Recommendations report on upscaling EMIS</p>	

	Number of literacy centres entered on the EMIS	121 Illiteracy Eradication Centers (IEC)	489 IECs entered in the EMIS (368 new to the system)	No progress	No progress (waiting for UNESCO to train master trainers so	No progress (waiting for UNESCO to train master trainers so	Literacy centres records on the EMIS
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	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
						that UNICEF can start cascade training)	that UNICEF can start cascade training)		
		Number of statistical reports generated	None	At least 50 reports	No progress	No progress	No progress	Reports generated by the EMIS	
	2. Developing Education Capacity Development plans at national and governorate	5-year National Education Capacity Development plan developed at central level	To be determined based on data and plans in the MoE	5-year National Education Capacity Development plan	A capacity needs assessment is ongoing.	A draft of capacity needs assessment available	A draft of capacity needs assessment is available	Training plan document	

levels	Number of Governorate Education sector plans and capacity development plans developed at selected governorates	No governorate education sector plans and capacity development plans	3 -year Education sector plans and capacity development plans available in 4 governorates (Missan, Muthana, Karkh 1 and Karkh 3)	3-years education sector plans in the four targeted governorates are in their final draft. Review and validation of the final draft is underway at DoE level.	3-years education sector plans in the four governorates of Baghdad (R3), Basra, Thi Qar and Qadisiya were validated. 8	3-years education sector plans in the four governorates of Baghdad (R3), Basra, Thi Qar and Qadisiya were validated. Three of them (for Basra, Thi Qar and Qadisiya) were produced and printed (60 copies in English and 40 copies in Arabic). Four GESPs of the targeted governorates (Basra, Thi Qar, Qadisiya and Baghdad (Resafa 3) are being disseminated.	Education sector plans and capacity development plans

Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
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					<p>by EU: action ongoing.</p> <p><i>* Karkh 1 was later replaced by "Resafa 2"</i></p>	<p>Four new governorates (Missan, Muthanna, Karkh 1* and Karkh 3) were identified for the GESPs funded by EU: contract signed with Cambridge Education for the technical support.</p> <p><i>*Karkh 1 was later replaced by "Resafa 2"</i></p>		
	<p>3- year capacity development implementation plan developed at central level</p>	<p>To be determined based on data and plans in the MoE</p>	<p>3-year capacity development implementation plan at central level</p>	<p>A capacity observation This paper, therefore, provides an assessment of the capacity development requirements to enable the Federal Government of Iraq, the Kurdish Region of Iraq and the 11 participating governorates to implement the education</p>	<p>At central level, an assessment of the capacity development requirements is available.</p> <p>1 coordination mechanism at national level was established.</p>	<p>An assessment of the capacity development requirements is available. 1 coordination mechanism at national level was established.</p>	<p>Implementation plan document</p>	

	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
					sector plans developed and costed in 2019/2020.				
		3- year capacity development implementation plan developed in 4 governorates	No governorate teacher training plans	3-year capacity development implementation plans in 4 governorates (Basra, Qadissiya (aka Diwaniya), ThiQar and Rasafa 3)	No progress	3 Education sector coordination committees at DOE level established in Basra, Qadissiya, and Thi Qar are functional and prepare the implementation of the GESP.	3 Education sector coordination committees established in Basra, Qadisiya, and Thi Qar and work at governorate level to prepare the implementation of the GESP.	Implementation plan document	
	3. Enhancing teachers' capacities in service delivery at central and governorate levels	Pilot training materials developed	No materials available	2 training specifications and related materials developed	No progress	Draft of training materials are available	Training materials available	Training materials	
		Number of Master trainers trained on developed materials	No Master Trainers	24 Master Trainers	No progress	24 Masters trainers trained on distance learning.	24 Masters trainers trained on distance learning.	Training records	

		Number of teachers participated in developing the capacity building plans and teachers training	0	4,000 (1,000 teachers per governorate Baghdad, Basrah, Qadisiya, and Thi Qar)	No progress	Identification of criteria of the targeted teachers is finalized and has been submitted to the MoE for approval.	1518 teachers (814 males and 704 females) trained (Baghdad: 798 teachers (392 males and 406	Training records	
	Results Chain	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Progress on Results as of 31 July 2020	Progress on Results as of 31 July 2021	Progress on Results as of 15 May 2022	Sources and Means of Verification	Assumptions
							females) Thi Qar: 488 teachers (314 males and 166 females), Basra: 120 teachers (41 males and 79 females) and Qadisiya:120 (67 males and 53 females))		

Annex 3: Implementation Status Tables for Specific Objectives

The following tables give further details on the implementation status for the three specific objectives of the project, and thus elaborate on what was written in Section 4 – Understanding of the Project.

Specific Objective 1

SO1. To improve the effectiveness and efficiency of education through roll-out of the Education Management Information System (EMIS) and increase capacity of education planners, statisticians and educators at governorate level. (UNESCO (national level), UNICEF (governorate and school level))

Table 12: Implementation Status, Specific Objective 1

INDICATOR (I) TARGET (T)	LOCATION	31 JULY 2020	31 JULY 2021	MAY 2022	STATUS (AS OF MAY 2022)
I: EMIS system developed T: EMIS is fully operational		Fully developed	An EMIS system is developed and available on a dedicated platform.	An EMIS system is developed and available on a dedicated platform.	Achieved
I: Call centre for the EMIS established and operational T: Call centre is providing technical support		No centers available	Two EMIS servers were installed at Communications and Media	In progress (two EMIS servers were installed at Communications and Media)	Ongoing
I: Staff capacity in the targeted governorates enhanced (54,824 training days for 5,328 staff) T: Trainers and directorate staff are capable to use the EMIS system		No capacities available	80 teachers (57 females) from 40 schools of Rasafa 3 DOE trained on EMIS system	1,071 teachers (583 females and 488 males) from 536 schools of the DoEs of Rasafa 3 (459), Karkh 1 (280), Najaf (208), Basra (56) and Thi Qar (68) trained on EMIS system. The training held during 10 days for each training for each trainee for a total of 2,000 compiled days. The increased number of the training is due to the redesigned training materials and strategy to adapted them to the new situation with the COVID 19 pandemic.	Ongoing

<p>I: Number of schools entered on the EMIS T: (1) 2,664 schools entered in the EMIS across 8 governorates (2,431 schools new to the system); (2) All schools in 2 KRI governorates using the ePerwerde system are integrated; (3) 5 hub and spoke school clusters pilot scale approaches</p>		<p>The data entry of the 'School Master Data' records for all 583 schools in Rasafa 3 was completed in the EMIS during the reporting period. Thus, the basic information for all schools, including name, gender, location and coordinates in the district is now online in the EMIS solution. Similar activities are currently under way with the GDoE in Karkh 1/Baghdad to enter 228 of their schools participating in the project</p> <p>Targets 2 and 3, no progress</p>	<p>The data entry of the 'School Master Data' records for all 583 schools in Rasafa 3 was completed in the EMIS.</p> <p>No reporting on targets 2 and 3</p>	<p>889 schools (Resafa 3 (583), Karkh 1(140), Najaf (104), Basra (28) and Thi Qar (34)) were completed in the EMIS.</p> <p>No reporting on targets 2 and 3</p>	<p>Ongoing/ insufficient data</p>
<p>I: Number of literacy centres entered on the EMIS T: 489 IECs entered in the EMIS (368 new to the system)</p>		<p>No progress</p>	<p>No progress (waiting for UNESCO to train master trainers so that UNICEF can start cascade training)</p>	<p>No progress (waiting for UNESCO to train master trainers so that UNICEF can start cascade training)</p>	<p>No progress</p>
<p>I: Number of statistical reports generated T: At least 50 reports</p>		<p>No progress</p>	<p>No progress</p>	<p>No progress</p>	<p>No progress</p>

Specific Objective 2

SO2. To strengthen the capacity of MoE at the central and governorate level to improve education services delivery (UNESCO (National Level), UNICEF – (governorate level))

Table 13: Implementation Status, Specific Outcome 2

INDICATOR (I) TARGET (T)	LOCATION	31 JULY 2020	31 JULY 2021	MAY 2022	STATUS (AS OF MAY 2022)
<p>I: 5-year National Education Capacity Development plan</p>		<p>A capacity needs assessment is ongoing.</p>	<p>A draft of capacity needs assessment available</p>	<p>A draft of capacity needs assessment is available</p>	<p>Not clear (ongoing)</p>

developed at central level T: 5-year National Education Capacity Development plan					
I: Number of Governorate Education sector plans and capacity development plans developed at selected governorates T: 3-year Education sector plans and capacity development plans available in 4 governorates (Missan, Muthana, Karkh 1 and Karkh 3)		3-years education sector plans in the four targeted governorates are in their final draft. Review and validation of the final draft is underway at DoE level.	3-years education sector plans in the four governorates of Baghdad (R3), Basra, Thi Qar and Qadisiya were validated. * Karkh 1 was later replaced by "Resafa 2"	3-years education sector plans in the four governorates of Baghdad (R3), Basra, Thi Qar and Qadisiya were validated. Three of them (for Basra, Thi Qar and Qadisiya) were produced and printed (60 copies in English and 40 copies in Arabic). Four GESPs of the targeted governorates (Basra, Thi Qar, Qadisiya and Baghdad (Resafa 3) are being disseminated. Four new governorates (Missan, Muthanna, Karkh 1* and Karkh 3) were identified for the GESPs funded by the EU; a contract was signed with Cambridge Education for the technical support. *Karkh 1 was later replaced by "Resafa 2"	Achieved
I: 3- year capacity development implementation plan developed at central level T: 3-year capacity development implementation plan at central level		This paper, therefore, provides an assessment of the capacity development requirements to enable the Federal Government of Iraq, the Kurdish Region of Iraq and the 11 participating governorates to implement the education sector plans developed and costed in 2019/2020	At central level, an assessment of the capacity development requirements is available. 1 coordination mechanism at national level was established.	An assessment of the capacity development requirements is available. 1 coordination mechanism at national level was established.	Ongoing
I: 3- year capacity development implementation plan developed in 4		No progress	3 Education sector coordination committees at DOE level established in Basra, Qadisiya, and	3 Education sector coordination committees established in Basra, Qadisiya, and Thi Qar and work at governorate level	Ongoing

governorates T: 3-year capacity development implementation plans in 4 governorates (Basra, Qadisiya (aka Diwaniya), ThiQar and Rasafa 3)			Thi Qar are functional and prepare the implementation of the GESP.	to prepare the implementation of the GESP.	
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Specific Objective 3

SO3. To enhance the quality of teaching and learning by operationalising the capacity development plan and developing teachers' capacities at central and governorate levels. (UNESCO (national level), UNICEF (governorate and school level))

Table 14: Implementation Status, Specific Outcome 3

INDICATOR (I) TARGET (T)	LOCATION	31 JULY 2020	31 JULY 2021	MAY 2022	STATUS (AS OF MAY 2022)
I: Pilot training materials developed T: 2 training specifications and related materials developed		No progress	Draft of training materials are available	Training materials available	Achieved
I: Number of Master trainers trained on developed materials T: 24 Master Trainers		No progress	24 Master trainers trained on distance learning.	24 Master trainers trained on distance learning.	Achieved
I: Number of teachers participated in developing the capacity building plans and teachers training T: 4,000 (1,000 teachers per governorate Baghdad, Basrah, Qadisiya, and Thi Qar)		No progress	Identification of criteria of the targeted teachers is finalized and has been submitted to the MoE for approval.	1,518 teachers trained (814 males and 704 females: Baghdad: 798 teachers (392 males and 406 females), Thi Qar: 488 teachers (314 males and 166 females), Basra: 120 teachers (41 males and 79 females) and Qadisiya:120 (67 males and 53 females))	Ongoing

Annex 4: Overview of Project Financial Information

Table 15: Project Budget Breakdown, Year 1 to 4 and Totals (All Years)

Budget for the Action	Initial Budget	Year 1	Year 2	Year 3	Year 4*	Total Actuals Spent All years	Total Actuals All years
Line Item	Total Budget	Costs, Advances and Commitments	Costs, Advances and Commitments	Costs, Advances and Commitments	Costs, Advances and Commitments	Costs, Advances and Commitments	Total Budget Burn rate
1. Human Resources ¹⁴							
1.1 Salaries (gross salaries including social security charges and other related costs, local staff) ⁴							
1.1.1 Technical							
1.1.1.1 National Education Officer NO-2 level (20%)	€ 38.400,00	€ 9.600,00	€ 9.493,29	€ 39.375,92	€ 47.031,38	€ 105.500,59	275%
1.1.2 Administrative/ support staff							
1.1.2.1 Programme Associate (GS 6 Level - 33%)	€ 55.794,51	€ 12.992,00	€ 12.768,96	€ 15.168,06	€ 15.168,06	€ 56.097,08	101%
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)							
1.2.1 Education Specialist P3, 60% contribution to Project	€ 365.229,00	€ 94.689,00	€ 96.948,81	€ 170.629,26	€ 199.430,19	€ 561.697,26	154%
1.2.2 Communications specialist , 8% Donor visibility	€ 40.581,00	€ 13.527,00	€ 12.804,37	€ 12.804,37	€ 35.821,35	€ 74.957,08	185%
1.3 Per diems for missions/travel ⁵							
1.3.1 Abroad (staff assigned to the Action)	€ 4.000,00	€ 5.000,00	€ -	€ -	€ -	€ 5.000,00	125%
1.3.2 Local (staff assigned to the Action)	€ -	€ 13.875,00	€ 1.588,39	€ 1.560,77	€ -	€ 17.024,16	Not budgeted
1.3.3 Seminar/conference participants	€ -	€ -	€ -	€ -	€ -	€ -	
Subtotal Human Resources	€ 504.004,51	€ 149.683,00	€ 133.603,81	€ 239.538,39	€ 297.450,98	€ 820.276,18	163%
2. Travel ⁶							
2.1 International travel	€ 18.900,00	€ 6.300,00	€ -	€ -	€ 3.800,56	€ 10.100,56	53%
2.2 Local transportation	€ 25.000,40	€ 3.000,00	€ 304,48	€ 322,96	€ 13.786,02	€ 17.413,46	70%
Subtotal Travel	€ 43.900,40	€ 9.300,00	€ 304,48	€ 322,96	€ 17.586,57	€ 27.514,02	63%
3. Equipment and supplies ⁷							
3.1 Purchase or rent of vehicles (maintenance cost)	€ 60.000,00	€ 20.000,00	€ -	€ -	€ 14.122,91	€ 34.122,91	57%
3.2 Furniture, computer equipment	€ 20.000,00	€ 20.000,00	€ -	€ -	€ -	€ 20.000,00	100%
3.3 Machines, tools...	€ -	€ -	€ -	€ -	€ -	€ -	
3.4 Spare parts/equipment for machines, tools	€ -	€ -	€ -	€ -	€ -	€ -	
3.5 Other (please specify)	€ -	€ -	€ -	€ -	€ -	€ -	
Subtotal Equipment and supplies	€ 80.000,00	€ 40.000,00	€ -	€ -	€ 14.122,91	€ 54.122,91	68%
4. Local office ¹⁴							
4.1 Vehicle costs	€ -	€ -	€ -	€ -	€ -	€ -	
4.2 Office rent (10% of office rent (Basra))	€ 55.152,00	€ 18.384,00	€ -	€ -	€ 55.151,99	€ 73.535,99	133%
4.3 Consumables - office supplies	€ -	€ -	€ -	€ -	€ -	€ -	
4.4 Other services (tel/fax, electricity/heating, maintenance)	€ -	€ -	€ -	€ -	€ -	€ -	
Subtotal Local office	€ 55.152,00	€ 18.384,00	€ -	€ -	€ 55.151,99	€ 73.535,99	133%
5. Other costs, services ⁸							
5.1 Reproduction of training materials	€ 107.892,00	€ -	€ -	€ -	€ 40.347,25	€ 40.347,25	37%
5.2 Technical Assistance (consultancy to develop governorate education plans)	€ 400.000,00	€ 150.000,00	€ 100.469,02	€ 102.143,19	€ 526.577,35	€ 879.189,57	220%
5.3 Technical Assistance (consultancy to develop capacity)	€ 200.000,00	€ 50.000,00	€ -	€ -	€ -	€ 50.000,00	25%
5.4 Evaluation costs	€ 45.000,00	€ -	€ -	€ -	€ -	€ -	0%
5.5 Translation, interpreters	€ 80.000,00	€ 40.000,00	€ 14.529,28	€ 17.855,69	€ 17.855,69	€ 90.240,65	113%
5.6 Financial services (bank guarantee costs etc.)	€ -	€ -	€ -	€ -	€ -	€ -	
5.7 Costs of conferences/seminars ⁹	€ 90.000,00	€ 45.000,00	€ -	€ -	€ 9.950,41	€ 54.950,41	61%
5.8. Donor Visibility actions ¹⁰	€ -	€ -	€ -	€ -	€ -	€ -	
Subtotal Other costs, services	€ 922.892,00	€ 285.000,00	€ 114.998,30	€ 119.998,88	€ 594.730,70	€ 1.114.727,89	121%
6. Other (Transfers and Grants to Counterparts)							
6.1 Training of school level EMIS users	€ 1.053.204,41	€ 196.020,00	€ -	€ 25.482,78	€ 1.286.892,79	€ 1.508.395,57	143%
6.2 Training of Literacy center and TVET EMIS users	€ 97.460,00	€ 48.730,00	€ -	€ -	€ -	€ 48.730,00	50%
6.3 Training of governorate and district decision support team	€ 35.200,00	€ 14.300,00	€ -	€ -	€ -	€ 14.300,00	41%
6.4 Education Sector Analysis (Cost of Assessment and capacity building workshop during the sector analysis phase)	€ 240.000,00	€ 240.000,00	€ -	€ 3.870,96	€ 3.870,96	€ 247.741,91	103%
6.5 Development of governorate sector plans and capacity development plans (workshop costs during the development of sector plan and capacity development plans)	€ 240.000,00	€ 100.000,00	€ 36.968,11	€ 29.795,03	€ 29.795,03	€ 196.558,17	82%
6.6 Production/printing and dissemination of governorate sector plans	€ 600.000,00	€ -	€ -	€ -	€ 20.333,79	€ 20.333,79	3%
6.7 Conduct teacher training on pilot course	€ 440.000,00	€ 146.630,00	€ -	€ -	€ 528.608,45	€ 675.238,45	153%
Subtotal Other	€ 2.705.864,41	€ 745.680,00	€ 36.968,11	€ 59.148,76	€ 1.869.501,01	€ 2.711.297,89	100%
7. Subtotal direct eligible costs of the Action (1-6)	€ 4.311.813,32	€ 1.248.047,00	€ 285.874,71	€ 419.008,99	€ 2.848.544,18	€ 4.801.474,87	111%
8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Action)	€ 301.826,91	€ 87.363,29	€ 20.127,87	€ 29.556,52	€ 291.795,36	€ 428.843,04	142%
9. Total eligible costs of the Action, excluding reserve (7+ 8)	€ 4.613.640,23	€ 1.335.410,29	€ 306.002,58	€ 448.565,51	€ 3.140.339,54	€ 5.230.317,92	113%
10. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)	€ -	€ -	€ -	€ -	€ -	€ -	
11. Total eligible costs (9+10)	€ 4.613.639,91	€ 1.335.410,29	€ -	€ 448.565,51	€ 3.140.339,54	€ 4.924.315,34	107%
12. - Taxes ¹¹							
- Contributions in kind ¹²	€ -	€ -	€ -	€ -	€ -	€ -	
13. Total accepted¹¹ costs of the Action (11+12)	€ 4.613.639,91	€ 1.335.410,29	€ 306.002,58	€ 448.565,51	€ 3.140.339,54	€ 5.230.317,92	113%

*2022 Interim Financial Report requires explanation from the budget controller, because the total actuals in EUR don't appear to follow the same format as the reports from 2019-2021

Annex 5: Evaluation Matrix

To ensure consistency during the data collection and analysis, an **Evaluation Matrix** has been developed. This is based on the key questions presented in the ToR and will therefore provide the relevant evaluation criteria based on the OECD-DAC standards of relevance, effectiveness, efficiency, coherence and sustainability.²⁸ Accordingly, the Evaluation Matrix the evaluation questions, key assessment criteria, main sources of information, and main data analysis collection and analysis tools. The following are important criteria when considering the Evaluation Matrix:

- I. Some evaluation questions are summative in nature and relate to conclusions and recommendations, but will be responded to under the appropriate question heading in the final report.
- II. It was agreed with the UNICEF evaluation focal points that the relatively high number and completeness of evaluation questions meant that there is no need to develop evaluation sub-questions. The key assessment criteria provide further details on the areas covered by the evaluation questions.
- III. Child rights and protection of both children and adolescents are important aspects of most questions and they will be considered as overarching criteria.
- IV. Gender Equality, Disability and Social Inclusion (GEDSI) are important considerations under most questions. Gender Equality and Empowerment of Women (GEEW) will be considered in all questions as appropriate. Equity, including people living with disabilities, will be considered in all questions as appropriate.
- V. Human Rights will be considered in all questions as appropriate.
- VI. The context relating to implementation of the project and timeline of events occurring in Iraq are important considerations for most questions.
- VII. Variations in localities and groups of people are important considerations for most questions.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
	RELEVANCE			
EQ1.	To what extent was the intervention design sensitive to the actual needs of the target groups and to the context of Iraq at governorate and school level?	<ul style="list-style-type: none"> • Overall appropriate needs and contextual analysis done and informed design relative to the three project specific objectives • The extent to which the EMIS system and its roll out plan – including capacity building – aligned with needs and the contextual conditions • The extent to which the GESPs and capacity development plans aligned with needs and the contextual conditions, including in terms of their roll out plans 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF staff, MoE and other government staff including at governorate and school levels, and target group members including teachers. • Documentary data from UNICEF and MoE, including project reports; background contextual and grey literature. 	<ul style="list-style-type: none"> • Qualitative analysis (informed by appreciative inquiry) of documentary data, including of policy documents, reports and project documents. • Triangulation and prioritisation of results of

²⁸ This Evaluation will not evaluate the project's impact, since it is beyond the scope of this evaluation, which takes place very shortly after the end of the intervention.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<ul style="list-style-type: none"> • The extent to which the teacher capacity building and its roll out plan aligned with needs and the contextual conditions. <p>For each specific objective:</p> <ul style="list-style-type: none"> • GEDSI analysis of the needs of different groups done and incorporated into design, with project areas chosen including governorates with high levels of GEDSI vulnerabilities. • Variations in localities and groups taken into consideration. • Variation in the capacities, planning, monitoring and evaluation needs of the national, governorate and school levels taken into consideration. • Implementation strategies flexibly adapted to the different situations of implementation locations. • Objectives and implementation strategies are consistent with MoE and donor policies and interventions. • The extent to which the outputs align strategically, with, and are thus relevant to, the outcomes targeted. 	<ul style="list-style-type: none"> • TOC and Monitoring Framework. • Timeline of events prior to the commencement of the project. • Government policy and planning documents. 	<p>discussions, KIIs, FGDs in the qualitative analysis.</p>
EQ2.	Did the intervention design continue to remain sensitive to the needs of the target groups and to the context of Iraq under changing circumstances?	<ul style="list-style-type: none"> • Extent to which intervention design was sensitive to potential changes and adjusted to actual changes in context, such as Covid, insecurity etc.. • The extent to which the EMIS system and its roll out – including capacity building – were appropriately adjusted as needs and contextual conditions shifted • The extent to which the GESPs and capacity development plans were appropriately adjusted as needs and contextual conditions shifted, including in terms of their roll out • The extent to which the teacher capacity building and its roll out were appropriately adjusted as needs and contextual conditions shifted. 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF staff, MoE and other government staff, and target group members including teachers. • Documentary data from UNICEF and MoE, including project reports and government policy and planning documents; background contextual and grey literature. • TOC and Monitoring Framework. 	<ul style="list-style-type: none"> • Qualitative analysis (informed by appreciative inquiry; realist approach) of documentary data, including of policy documents, reports and project documents. • Triangulation and prioritisation of results of discussions, KIIs,

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<p>For each specific objective, the extent to which there was:</p> <ul style="list-style-type: none"> • Appropriate consideration of variations in localities and target groups (e.g. through a gender lens). • Appropriate consideration of variation in the planning, monitoring and evaluation needs at the national, governorate and school levels. • An appropriately synergistic approach between the three strategic objective areas. • Consideration of the impact of changing events on the needs of different groups considered under GEDSI. 	<ul style="list-style-type: none"> • Timeline of events since commencement of the project. 	<p>FGDs in the qualitative analysis.</p>
EQ3.	How was the intervention design of the downstream work sensitive to the upstream work and vice versa?	<ul style="list-style-type: none"> • Overall alignment to the UN Cooperation Framework for Iraq. • Appropriateness and relevance of linkages, including strength of assumptions, between upstream and downstream work at a design level for all three strategic objective areas. • Impact of strategic planning, system development, policy and legislation changes under the project on school administration, planning, teaching capacity. • Variations in localities and groups taken into consideration. • Consideration for groups under GEDSI incorporated. 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF, UNESCO, MoE, and target group members including teachers. • Documentary data from UNICEF and MoE including planning documents and project reports. • Government reports, policy and planning documents. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<ul style="list-style-type: none"> • Qualitative analysis (informed by appreciative inquiry; realist approach) seeking to identify and assess main causal links between upstream and downstream work. • Analysis of the policy, strategic planning and legislative environment and interventions.
	EFFICIENCY			
EQ4.	How well have inputs been converted into output and outcome-level results in a timely way?	<ul style="list-style-type: none"> • Extent to which the EMIS system's design, development and rollout, including capacity building, has been economic and timely given inputs and contexts • Extent to which the design, development and rollout of the GESPs and capacity development 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF staff, MoE and other government staff, and target group members including teachers. • Site observations. 	<ul style="list-style-type: none"> • Qualitative analysis (informed by appreciative inquiry) aimed at identifying main causal links between upstream

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<p>plans have been economic and timely given inputs and contexts</p> <ul style="list-style-type: none"> • Extent to which the teacher capacity building design, development and rollout has been economic and timely given inputs and contexts <p>For each specific objective, the extent to which there was:</p> <ul style="list-style-type: none"> • Appropriate consideration for variations in localities and target groups as well as contextual changes. • Evidence that project strategy and project management have been steering towards impact and set up in a way to allow achievement of expected outcomes and impacts. • Extent to which barriers or bottlenecks in the procurement and delivery of materials or the transfer of finances affected the delivery of outputs. • Extent to which resources (human resources, time, expertise, supplies, transportation, funds, etc.) have been efficiently allocated and used to achieve the project objectives. 	<ul style="list-style-type: none"> • Project reporting data including reports, monitoring data, financial documents. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • Government policy and planning documents. 	<p>and downstream work.</p> <ul style="list-style-type: none"> • Data analysis and triangulation between KIIs, FGDs, site observations and documentary data including reports and project documents.
EQ5.	To what extent was cost a consideration when making technical choices in the project?	<ul style="list-style-type: none"> • Budget was adequately defined ex ante. • Extent to which the project budget made adequate provisions for all important activities, outputs and outcomes for the three specific objectives. • Evidence and strength of analysis linking choices and relative costs. • Budget was adequate to help address issues relating to GEDSI and inclusion for specific objectives/activities? 	<ul style="list-style-type: none"> • Discussions, KIIs with UNICEF and government actors. • Project planning, financial and reporting documents from UNICEF and MoE. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<ul style="list-style-type: none"> • Qualitative analysis and triangulation between KIIs, FGDs and documentary data including reports and project documents (planning, financial, concept notes).
COHERENCE				

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
EQ6.	To what extent have synergies and linkages between the upstream and the downstream work contributed to achieving outcome-level results or hindered the achievement thereof?	<ul style="list-style-type: none"> • Extent to which the design of the project ensured coherence and complementarity between upstream and downstream work for different project specific objectives, including clearly defining partner roles and responsibilities, with strong linkages, and appropriately anticipating challenges and putting in place mitigating strategies • Extent to which the upstream and downstream work was well coordinated, including appropriately adjusted over time given opportunities, challenges and bottlenecks • Quality of feedback loops and of communication between project partners • Extent to which the project's design and implementation was aligned with and informed by the UN Cooperation Framework for Iraq • Extent to which GEDSI as well as variations in context are coherently addressed in upstream and downstream work. 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs, Site observations with UNICEF, UNESCO and government staff, and target group members including teachers. • Documentary data from UNICEF, UNESCO and MoE, including project planning and reporting reports, policy documents. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<ul style="list-style-type: none"> • Qualitative analysis informed by appreciative inquiry of main causal links between upstream and downstream work and outputs/outcomes, with triangulation between sources.
EFFECTIVENESS				
EQ7.	How well has the intervention achieved its intended outcome-level results for the different targeted groups and under which circumstances?	<ul style="list-style-type: none"> • Evidence regarding the extent to which the project achieved its outputs and outcomes for each specific objective (relative to the EMIS system; relative to the GESPs and capacity development plans; relative to the teacher capacity building) • Extent to which the implementation of the project was adjusted appropriately to the context, including changes in context (e.g. due to Covid and resulting supply chain issues). • Extent to which the project achieved its outputs and outcomes relative to variations in localities and groups. 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with all project stakeholders; surveys and site observations. • Documentary data from UNICEF and MoE (project reporting, monitoring data). • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<ul style="list-style-type: none"> • Data analysis (qualitative and quantitative) informed by appreciative inquiry, contribution analysis as well as outcome harvesting, including triangulation between data sources.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<ul style="list-style-type: none"> • Evidence that the intervention adequately addressed the needs of the different groups under GEDSI at the output and outcome level. • Evidence that the project has improved education services and contributed to equitable and inclusive education with special consideration for Covid-19 and other contextual factors. • Evidence the project contributed to engagement of children in learning and will have an impact on learning outcomes. 		
EQ8.	Which changes achieved by the intervention are most valued by the targeted groups (with differentiation by targeted groups)?	<ul style="list-style-type: none"> • Extent to which MoE stakeholders at different levels value observed changes at the outcome level relative to the EMIS system, the GESPs and the capacity development plans, and teacher capacity building • Extent to which MoE stakeholders at different levels are using the EMIS system as well as the GESPs (based on the capacity development plans), including in a manner appropriate to GEDSI • Extent to which teachers value observed changes at the outcome level relative to the EMIS system and their capacity building • Extent to which teachers are using the EMIS system appropriately and have improved their teaching, including in a manner appropriate to GEDSI • How beneficiaries and target groups have been involved in decision-making during implementation, and how feedback has been gathered and incorporated into project (including grievance redressal mechanisms, especially for women and girls). 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF, government officials and targeted groups including teachers. • Perception surveys (quantitative data). • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<ul style="list-style-type: none"> • Analysis and triangulation of primary qualitative and quantitative data informed by appreciative inquiry and contribution analysis as well as outcome harvesting, including triangulation between data sources.
EQ9.	Were there any unintended results (positive or negative)?	<ul style="list-style-type: none"> • What unintended results – if any – can be linked to the EMIS system and its roll out, including 	<ul style="list-style-type: none"> • Discussions, KIIs, FGDs with UNICEF and government staff 	<ul style="list-style-type: none"> • Analysis and triangulation of

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<p>capacity building, for project stakeholders and more broadly?</p> <ul style="list-style-type: none"> • What unintended results – if any – can be linked to the GESPs and capacity development plans for project stakeholders and more broadly? • What unintended results – if any – can be linked to the teacher capacity building and its roll out for project stakeholders and more broadly? • What unintended results – if any – can be linked to the partnership approach adopted for the project, for partners and more broadly? • What unintended results – if any – can be linked to the project for girls and vulnerable groups (GEDSI)? 	<p>particularly those involved in implementation, as well as key target groups; site observations.</p> <ul style="list-style-type: none"> • Documentary data from UNICEF and MoE (project reporting). • TOC and Monitoring Framework. • Timeline of events since commencement of the project. 	<p>primary qualitative data, with a focus on broadly capturing results (informed by contribution analysis and outcome harvesting), then linking them to the intervention including its intended results.</p>
EQ10.	<p>What was the process/mechanism by which the intervention's activities and outputs contributed to outcome-level results?</p>	<ul style="list-style-type: none"> • Strength of linkages between activities, outputs and outcomes in theory and in practice, and strength of assumptions in theory and in practice. • How, if at all, did unintended factors impact upon the connections between activities, outputs and outcomes • How, if at all, did contextual events impact upon the movement from activities to outputs to outcomes • How did the targeting of GEDSI impact upon contributions to outcome-level results, it at all • How did synergies between the three main intervention areas and between the upstream-downstream work of project partners impact upon contributions to outcome-level results, it at all 	<ul style="list-style-type: none"> • KIIs, FGDs with UNICEF key staff, government actors (MoE), target groups. • Documentary data from UNICEF and MoE including project reporting, planning documents. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • GESPs and EMIS reports. 	<ul style="list-style-type: none"> • Contribution analysis informed by TOC, contextual analysis and appreciative inquiry. • Assessment and triangulation of project data (documentary, KIIs, FGDs). • Identification of main causal links between upstream and downstream work. • Analysis of linkages between activities, outputs and outcomes.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
EQ11.	Which factors are necessary for the intervention to achieve its intended output and outcome-level results?	<ul style="list-style-type: none"> • Strength of assumptions linking outputs to outcomes for all three SOs • Contextual (outside) impacts, if any, upon implementation and effects on output and outcome results for all three SOs • Impact of targeting of GEDSI, if any, on intervention's achievement of outputs and outcomes for all three SOs • Impact, if any, of partnership approach on achievement of intended outputs and outcomes for all three SOs • Gaps, if any, in the strategy, and recommendations to address those gaps with future interventions 	<ul style="list-style-type: none"> • KIIs, FGDs with UNICEF key staff, government actors (MoE), target groups. • Site observations. • Documentary data from UNICEF and MoE (project planning and reporting documents); background contextual and grey literature. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • GESPs and EMIS reports. 	<ul style="list-style-type: none"> • Qualitative analysis informed by appreciative inquiry, contribution analysis and triangulation of project data (documentary, KIIs, FGDs, site observations). • Identification of main causal links between upstream and downstream work.
EQ12.	<p>How well has the progress towards and achievement of output and outcome- level results been monitored?</p> <p>How well have risks and changes in contextual factors been monitored?</p> <p>How useful was the monitoring information, and analysis of that information, for timely and effectively guiding implementation changes and adjustments?</p>	<ul style="list-style-type: none"> • Strengths and weaknesses of design of monitoring system in terms of monitoring data targeted, organisational structures and human resources to gather the data, integration with other partners' project components (as appropriate) for the three SOs • Strengths and weaknesses of implementation of monitoring system in terms of gathering monitoring data, operation of organisational structures and human resources to gather the data, integration with other partners' project components (as appropriate) for the three SOs • Strength of integration of monitoring data into project planning and implementation through regular communication and feedback loops including between different stakeholders for the three SOs • Extent to which the project's implementation was appropriately adjusted based on monitoring data on an ongoing basis for the three SOs 	<ul style="list-style-type: none"> • KIIs, FGDs with UNICEF key staff, government actors (MoE), target groups. • Review of monitoring data. • Documentary review (project planning and reporting documents). • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • GESPs and EMIS reports. 	<ul style="list-style-type: none"> • Qualitative analysis including contribution analysis and appreciative inquiry with triangulation of various data sources, focusing upon system quality (design and implementation) and change over time/adjustments and appropriateness of these.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<ul style="list-style-type: none"> Strength of contextual analysis and integration into project planning and implementation, including adjustments as necessary, on an ongoing basis. Appropriateness of monitoring of variations in localities and target groups and integration of that data into project implementation. Appropriateness of the project monitoring of GEDSI with specific reference to SDG4.5.129. Extent to which the project monitoring is mainstreamed through government monitoring and information systems. Extent to which the risks and assumptions were adequately defined in the TOC and throughout the project. 		
	SUSTAINABILITY			
EQ13.	To what extent are EMIS and the GESPs being used as intended?	<ul style="list-style-type: none"> EMIS data is used (or likely to be used) to inform the GESPs and other planning and monitoring requirements at the school, governorate and national levels? The extent to which the EMIS is child-centric, and any future recommendations that can be given to ensure it becomes more child-centric. The extent to which the EMIS contains the needed data, including related to GEDSI. The extent to which the EMIS is being used (or is it likely to be used) to improve administration of the education system. The quality of the GESPs and what evidence exists to indicate that they are being used to 	<ul style="list-style-type: none"> KIIs, FGDs with UNICEF and key government stakeholders, target groups including teachers. Documentary data from UNICEF and MoE, including project reporting and monitoring data; grey literature on good practices in EMIS design and implementation. TOC and Monitoring Framework. GESPs and EMIS reports and design. 	<ul style="list-style-type: none"> Qualitative analysis informed by appreciative inquiry, with triangulation of various data sources. Qualitative analysis of GESPs and EMIS reports. EMIS sustainability analysis.

²⁹ Indicator 4.5.1: Parity indices (female/male, rural/urban, bottom/top wealth quintile and others such as disability status, indigenous peoples and conflict-affected, as data become available) for all education indicators on this list that can be disaggregated

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<p>inform resource allocation and management of schools.</p> <ul style="list-style-type: none"> • Extent to which a realistic and effective post-project strategy has been developed and implemented. • Evidence, if any, suggesting that the benefits of the teacher EMIS will or will not be sustained or institutionalised and scaled in the future in terms of financial, institutional, environmental, technical, and social sustainability, including what should be done (possible related recommendations). • Evidence, if any, suggesting that the EMIS and GESPs are likely to be expanded to other governorates in the future. 		
EQ14.	To what extent is the teacher training institutionalised and are there plans for scaling-up by the MoE?	<ul style="list-style-type: none"> • Extent to which a realistic and effective exit/sustainability strategy has been developed and applied, including government commitments. • Evidence, if any, to suggest that the benefits of the teacher training will be sustained or institutionalised and scaled in the future in terms of financial, institutional, environmental, technical, and social sustainability, and what should be done to achieve this (recommendations in terms of criteria for sustainability). • Aspects of the teacher training that are easily scalable and what is likely to be required for scaling identified. 	<ul style="list-style-type: none"> • KIIs, FGDs with government actors and UNICEF key informants. • Documentary data from UNICEF and MoE related to project planning, including sustainability planning and commitments. • TOC and Monitoring Framework. • Government teacher training plans and strategies. 	<ul style="list-style-type: none"> • Qualitative analysis with triangulation of various data sources, informed by appreciative inquiry. • Scalability analysis.
GENDER, EQUITY, HUMAN RIGHTS AND CLIMATE CHANGE				
EQ15.	To what degree were gender, human rights and equity principles integrated into the design, implementation and monitoring of the intervention?	<ul style="list-style-type: none"> • The extent to which the project effectively analysed needs related to gender, disability, and other requirements for social inclusion, and the extent to which the design and implementation of the project responded to these needs. 	<ul style="list-style-type: none"> • KIIs, FGDs with UNICEF and government actors, with target groups (teachers, administrators), with designers of EMIS and the GESPs, and with capacity building experts. 	<ul style="list-style-type: none"> • Qualitative analysis with triangulation of various data sources, informed by appreciative inquiry.

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<ul style="list-style-type: none"> • The extent to which the design and implementation of the project align with UN policies and international norms and standards concerning rights of the individual, data privacy and protection, the rights of the child, and other relevant dimensions concerning human rights. • The extent to which representatives from women's groups, Organisations of Persons with Disabilities (OPDs), and other groups for marginalised communities have been involved in informing the project's understanding of needs and its response to them. • The extent to which the project budget made adequate provisions for all important goals, e.g. addressing gender and inclusion-related specific objectives/activities. • The project factors that have worked well to achieve results, and what has worked less well, for girls (including consideration of differential impact of learning outcomes for boys and girls); for children with disabilities; for children from different ethnic groups; and for other traditionally marginalised populations (e.g. teacher training). • Evidence, if any, that any gains toward GEDSI will be sustained (recommendations for future projects for sustainable efforts for GEDSI). 	<ul style="list-style-type: none"> • Documentary data from UNICEF and MoE including planning and project design documents. • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • UN policies and international norms and standards documents concerning human rights, child rights, gender and privacy and protection. • GESPs, EMIS reports and design, teacher training content and design. 	
EQ16.	To what degree have climate change mitigation and adaptation measures been addressed in the design and implementation of the intervention?	<ul style="list-style-type: none"> • Were the activities planned and conducted with consideration for the environment and climate change? • How and to what extent might climate change indicators and monitoring requirements have been incorporated into the EMIS, GESPs and general project strategy? 	<ul style="list-style-type: none"> • KIIs and FGDs with UNICEF and government actors, with target groups (teachers, administrators), with designers of EMIS and the GESPs, and with capacity building experts. • Documentary data from UNICEF and MoE, including project design documents, 	<ul style="list-style-type: none"> • Qualitative analysis with triangulation of various data sources, informed by appreciative inquiry

SN	Evaluation Questions	Key Assessment Criteria	Main Sources of Information	Main Data Analytical Methods
		<ul style="list-style-type: none"> • Are there likely to be lasting positive impacts on climate change and mitigation as a result of the project, such as improved awareness? 	<p>project reporting, monitoring data.</p> <ul style="list-style-type: none"> • TOC and Monitoring Framework. • Timeline of events since commencement of the project. • GESPs and EMIS reports and design, teacher training content and design. • Iraq climate change strategy. 	

Annex 6: Draft data collection instruments and protocols

This annex contains the various data collection instruments and protocols to be used in the evaluation, as well as introductory letters and consent forms. As noted earlier, the instruments are still considered drafts as they will be tested at the beginning of the data collection phase and then revised as necessary. Those revised instruments will constitute the final version of them.

They will also be translated into Arabic by the evaluation team once this inception report has been given approval.

The section includes the following elements:

- A perception survey for teachers
- A perception survey for other staff (non-teacher staff that received the EMIS training)
- An interview protocol (to be adapted for each type of interviewee)
- An FGD protocol (to be adapted for each type of FGD participant)
- An introduction letter to interviewees
- An introduction letter to FGD participants
- An introduction and general guidelines for the FGDs
- A consent form for KIIs
- A consent form for FGDs
- A site inspection tool

Perception Survey 1 - teachers

Background

To get a better understanding of stakeholders' perceptions of the *Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes* project, an online perception survey is being administered to teachers and other education professionals with direct experience of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education in relation to EMIS, and teachers who were targeted for the teaching capacity building activities.

It is proposed that the survey be anonymous and administered by the Team Leader in coordination with the evaluation manager using the Google Online Form platform. It will be administered in Arabic.

Introductory email

Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme, Perception Survey

Dear.....

UNICEF Iraq has carried out the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project since 2019, in close cooperation with UNESCO and the Ministry of Education. The project is currently being reviewed by an independent evaluation team, who request your support in completing this short, 10-15 minute survey so as to incorporate your perspective into the evaluation. The link for the survey can be found <here>.

The overall objective of the project was to provide improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq. It did so by:

- rolling out an Education Management Information System (EMIS) so as to improve education planning, and building capacities on using the EMIS;
- developing education sector plans and the capacities of education planners, statisticians, and educators to use them in making more effective decisions; and,
- by operationalising capacity development plans for teachers to improve the quality of teaching and learning.

Today, we would like to ask you to complete a short survey focusing on your perceptions of EMIS and of the EMIS training, and your perceptions of the teacher capacity development. Your participation is important to help inform the evaluation team's understanding of what worked well and what was more challenging with these aspects of the project, and so to strengthen future initiatives from UNICEF and its partners as well as help to move toward the larger project goal of improving learning outcomes and ensuring equitable and inclusive education for all girls and boys in Iraq.

All responses will be anonymous, and will be administered by the independent evaluator. Data will only be shared with the evaluation team, with UNICEF and the funder seeing data in aggregate. There are no risks or benefits related to your participation. Your participation is voluntary, and your decision to participate or not will not be recorded anywhere. Similarly, while we hope that you will answer all questions, you might choose only to answer some of the questions. That decision will not be recorded anywhere either.

We hope you will be able to fill in the survey by <date 2023>. If you have any questions, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart, on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS <link> anonymous form; if you would like the team to call you back, please leave your phone number.

If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Survey

Position: <Select from>: teacher, head teacher, other

Gender: <Select from>: Male, Female, Prefer not to say.

Age: under 20; 21-30; 31-40; 41-50; over 50

Governorate in which you received training:

Questions on the EMIS system

- 1) The EMIS system is user friendly and easy to use (agree, somewhat agree, somewhat disagree, disagree)
- 2) The EMIS trainer designed the training appropriately to my level (agree, somewhat agree, somewhat disagree, disagree)
 - What if anything should have been done differently in how the EMIS system training was designed? (open field)
- 3) The EMIS trainer's delivery of the training was conducive to strong learning outcomes (agree, somewhat agree, somewhat disagree, disagree)
 - What if anything should have been done differently in how the EMIS system training was delivered to help it improve learning outcomes? (open field)
- 4) The EMIS training helped to build my capacities for using the system (agree, somewhat agree, somewhat disagree, disagree)
 - What areas of EMIS do you feel more confident about using? (open field)
 - What areas of EMIS do you feel more confident about using? (open field)
- 5) I have used the EMIS help centre (yes/no)
 - if yes, I found the advice given helped me to resolve the problem (agree, somewhat agree, somewhat disagree, disagree)
- 6) I now understand how to and feel capable of using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 7) I feel that my colleagues now better understand how to and feel capable of using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 8) I now feel confident in using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 9) I feel that my colleagues now feel confident in using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 10) I have the opportunity to use the EMIS system, including sufficient time and access to it (agree, somewhat agree, somewhat disagree, disagree)
- 11) I feel motivated to use the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 12) I regularly update the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 13) I would benefit from follow-up training on EMIS (agree, somewhat agree, somewhat disagree, disagree)
 - What areas would you need more training on? (open field)

Questions on teacher capacity building

- 1) The teacher training was at an appropriate level for building my capacities (agree, somewhat agree, somewhat disagree, disagree)
- 2) The trainer communicated key ideas in a way that was understandable and conducive to learning (agree, somewhat agree, somewhat disagree, disagree)
- 3) The teacher training focused on the right issues to help improve the quality of my teaching (agree, somewhat agree, somewhat disagree, disagree)
 - What else, if anything, should also be included in the training? (open field)

- 4) The training included an appropriate amount of attention to addressing the needs of vulnerable populations including students with a disability or who are socially excluded? (agree, somewhat agree, somewhat disagree, disagree)
- 5) The training included an appropriate amount of attention to addressing the different needs of girls and boys? (agree, somewhat agree, somewhat disagree, disagree)
- 6) I now have a clear sense about how to apply the ideas from the teacher training in the classroom (agree, somewhat agree, somewhat disagree, disagree)
- if yes, please give 1-2 examples of how
- 7) I now feel capable of applying the ideas from the teacher training in the classroom (agree, somewhat agree, somewhat disagree, disagree)
- 8) I feel that my colleagues now have a clear sense about how to apply the ideas from the teacher training in the classroom (agree, somewhat agree, somewhat disagree, disagree)
- 9) I have the opportunity to apply the ideas from the teacher training in the classroom, including sufficient time, institutional support and resources to do so (agree, somewhat agree, somewhat disagree, disagree)
- 10) I feel motivated to apply the ideas from the teacher training in the classroom (agree, somewhat agree, somewhat disagree, disagree)
- 11) I have begun to apply the ideas from the teacher training in the classroom (agree, somewhat agree, somewhat disagree, disagree)
- if yes, please give 1 example of how

Perception Survey 2 - other staff

Background

To get a better understanding of stakeholders' perceptions of the *Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes* project, an online perception survey is being administered to staff with direct experience of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education in relation to EMIS. Note: this survey is targeting the non-teacher staff that received the EMIS training.

It is proposed that the survey be anonymous and administered by the Team Leader in coordination with the evaluation manager using the Google Online Form platform. It will be administered in Arabic.

Introductory email

Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme, Perception Survey

Dear.....

UNICEF Iraq has carried out the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project since 2019, in close cooperation with UNESCO and the Ministry of Education. The project is currently being reviewed by an independent evaluation team, who request your support in completing this short, 10-15 minute survey so as to incorporate your perspective into the evaluation. The link for the survey can be found <here>.

The overall objective of the project was to provide improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq. It did so by:

- rolling out an Education Management Information System (EMIS) so as to improve education planning, and building capacities on using the EMIS;
- developing education sector plans and the capacities of education planners, statisticians, and educators to use them in making more effective decisions; and,
- by operationalising capacity development plans for teachers to improve the quality of teaching and learning.

Today, we would like to ask you to complete a short survey focusing on your perceptions of EMIS and of the EMIS training. Your participation is important to help inform the evaluation team's understanding of what worked well and what was more challenging with that aspect of the project, and so to strengthen future initiatives from UNICEF and its partners as well as help to move toward the larger project goal of improving learning outcomes and ensuring equitable and inclusive education for all girls and boys in Iraq.

All responses will be anonymous, and will be administered by the independent evaluator. Data will only be shared with the evaluation team, with UNICEF and the funder seeing data in aggregate. There are no risks or benefits related to your participation. Your participation is voluntary, and your decision to participate or not will not be recorded anywhere. Similarly, while we hope that you will answer all questions, you might choose only to answer some of the questions. That decision will not be recorded anywhere either.

We hope you will be able to fill in the survey by <date 2023>. If you have any questions, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS <link> anonymous form; if you would like the team to call you back, please leave your phone number.

If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Survey

Position: <Select from>: head of department, other

Gender: **<Select from>**: Male, Female, Prefer not to say.

Age: under 20; 21-30; 31-40; 41-50; over 50

Governorate in which you received training:

Questions on the EMIS system

- 1) The EMIS system is user friendly and easy to use (agree, somewhat agree, somewhat disagree, disagree)
- 2) The EMIS system focuses on questions that can help to inform stronger education planning, for example where more or less teachers are needed (agree, somewhat agree, somewhat disagree, disagree)
- 3) The EMIS system sufficiently differentiates between different types of students, for example girls and boys, to be able to inform stronger education planning (agree, somewhat agree, somewhat disagree, disagree)
- What else, if anything, should also be included in the EMIS system? (open field)
- 4) The EMIS trainer designed the training appropriately to my level (agree, somewhat agree, somewhat disagree, disagree)
- What if anything should have been done differently in how the EMIS system training was designed? (open field)
- 5) The EMIS trainer's delivery of the training was conducive to strong learning outcomes (agree, somewhat agree, somewhat disagree, disagree)
- What if anything should have been done differently in how the EMIS system training was delivered to help it improve learning outcomes? (open field)
- 6) The EMIS training helped to build my capacities for using the system (agree, somewhat agree, somewhat disagree, disagree)
- What areas of EMIS do you feel more confident about using? (open field)
- What areas of EMIS do you feel more confident about using? (open field)
- 7) I have used the EMIS help centre (yes/no)
- if yes, I found the advice given helped me to resolve the problem (agree, somewhat agree, somewhat disagree, disagree)
- 8) I now understand how to and feel capable of using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 9) I feel that my colleagues now better understand how to and feel capable of using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 10) I now feel confident in using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 11) I feel that my colleagues now feel confident in using the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 12) I have the opportunity to use the EMIS system, including sufficient time and access to it (agree, somewhat agree, somewhat disagree, disagree)
- 13) I feel motivated to use the EMIS system (agree, somewhat agree, somewhat disagree, disagree)
- 14) I would benefit from follow-up training on EMIS (agree, somewhat agree, somewhat disagree, disagree)
- What areas would you need more training on? (open field)

Generic Interview Protocol (to be adapted for each type of interviewee)

For this final inception report, the evaluation team has focused upon producing a generic interview protocol that covers all the questions for the evaluation. When the interview protocol is applied, it will be adapted to particular respondents to focus upon the areas of knowledge and experience of the particular individual(s) being interviewed (e.g. to a particular strategic objective), in line with the semi-structured nature of the interviews.

- 1) Could you please tell me a bit about your knowledge of/work on/exposure to the project and its activities, including timeline of when you were involved, in what role and focusing on what aspect?
 - prompt for each of the three specific objectives and their activities, for thematic areas of interest (gender equality, equity, human rights, climate change etc.), and for strategic roles such as working on a linked part of the project as part of the partnership approach
- 2) How relevant was the project to the needs of the target groups and to the context in Iraq? Did it stay relevant as the context changed in Iraq over the implementation period of the project?
 - prompt by mentioning target groups relevant for the area of the project interviewee is knowledgeable about, including GEDSI
 - what could have made it more relevant or less relevant in terms of its design and approach?
 - what could have made it more relevant or less relevant in terms of its areas of focus?
 - what could have made it more relevant or less relevant in terms of its implementation?
- 3) What worked well and what worked less well in terms of the partnership approach, including the linking of UNESCO's work and that of the Ministry of Education with UNICEF's work?
 - prompt for impacts, if any, on GEDSI
- 4) How timely were the project's activities and what bottlenecks (if any) were experienced on the way?
 - prompt for impacts, if any, on GEDSI
- 5) Were costs reasonable given the activities undertaken? Were resources (human and financial) efficiently allocated? Did cost sometimes determine project activities/implementation modalities and if so, were they reasonable?
- 6) How well has the project achieved its results at the output level? At the outcome level?
 - prompt for the particular outputs and outcomes that the interviewee has knowledge of, with examples
 - prompt for impacts, if any, on GEDSI
 - what affected achievement of outputs and outcomes, both positive and negative?
- 7) How did outputs contribute to outcomes, if at all?
 - prompt by linking to project Theory of Change, including mentioning assumptions, linkages, contextual events etc., and focusing upon the output and outcomes that they have knowledge of
 - prompt for impacts, if any, on GEDSI
- 8) What components of the project are seen as most valuable by the targeted groups?
 - prompt by mentioning the targeted groups relevant to their areas of knowledge
 - prompt by mentioning women and girls, people with disabilities etc., as relevant (GEDSI)
- 9) Were there any unintended results, whether positive or negative?
 - prompt for project activity unintended results, as well as output and outcome unintended results
 - prompt for impacts, if any, on GEDSI
- 10) What are the positive and less positive aspects of project monitoring?
 - prompt for monitoring of risks and changes in the context, including consideration being given to GEDSI
 - prompt for the usage of monitoring data to inform adaptations to the project, including related to GEDSI

- 11) Is the EMIS data being used, and if so how? (give concrete examples) Are the GESPs being used, and if so how? (give concrete examples)
 - is there any missing data in them that should be included? Prompt for GEDSI among others
- 12) What are the strengths and weaknesses of the teacher training that was done?
 - prompt to ask about scaling up, including plans for scaling up, if any
 - prompt to ask about GEDSI
- 13) Were gender, human rights and equity incorporated into the project, and if so, how and to what extent? (give examples)
- 14) Were climate change mitigation and adaptation measures incorporated into the project, and if so, how and to what extent? (give examples)

Generic FGD Protocol (to be adapted for each type of FGD participants)

For this final inception report, the evaluation team has focused upon producing a generic FGD protocol that covers all the questions for the evaluation. When the protocol is applied, it will be adapted to particular types of participants to focus upon their areas of knowledge and experience (e.g. to a particular strategic objective). Note that FGD participants will be grouped such that they have some experience and knowledge of the project in common, and so the ability to have a shared conversation on some common ground.

- 1) Could you please tell me a bit about your knowledge of/work on/exposure to the project and its activities, including timeline of when you were involved, in what role and focusing on what aspect? (to be briefly asked of each participant)
- 2) What were the strengths of the area(s) of the project you are knowledgeable about, from a design perspective?
- prompt for GEDSI, human rights etc.
- 3) What were the strengths of the area(s) of the project you are knowledgeable about, from an implementation perspective?
- prompt for GEDSI, human rights etc.
- 4) What were the more challenging areas/areas for strengthening of the area(s) of the project you are knowledgeable about?
- prompt for GEDSI, human rights etc.
- 5) How could these have been mitigated, if at all? (be concrete)
- 6) How well did the project achieve its outcomes, and what factors helped or hindered this process? (give concrete examples)
- 7) Do you have any final comments you would like to share concerning the project?

Form 1: Introduction Letter to Key Informant Interviewees

This introduction letter will be given in person (and a copy left with) interview participants. If the interview is online, it will be emailed to the participant.

Introduction letter, Key Informant Interview

Evaluation of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme in Iraq

Dear.....

UNICEF Iraq has carried out the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project since 2019, in close cooperation with UNESCO and the Ministry of Education. The project is currently being reviewed by an independent evaluation team.

The overall objective of the project was to provide improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq. It did so by:

- rolling out an Education Management Information System (EMIS) so as to improve education planning, and building capacities on using the EMIS;
- developing education sector plans and the capacities of education planners, statisticians, and educators to use them in making more effective decisions; and,
- by operationalising capacity development plans for teachers to improve the quality of teaching and learning.

We would like to ask you to participate in an interview targeting your areas of knowledge of the project. Doing so will allow us to understand your perspectives about different aspects of it, including the successes and challenges as well as what factors influenced these. This understanding can in turn help to strengthen future initiatives from UNICEF and its partners as well as help to move toward the larger project goal of improving learning outcomes and ensuring equitable and inclusive education for all girls and boys in Iraq.

The interview will take approximately 60 minutes of your time. Your participation in the interview is voluntary and your decision to participate or not will not be recorded anywhere. You may choose to ignore a question or ask for further clarification as needed, and can also stop the interview at any time. The interview will be referenced anonymously in evaluation reporting, and is being administered by the independent evaluator. There are no risks or benefits related to your participation. All information will be kept confidential, so please feel at liberty to freely express your views.

During and at the end of the interview, the evaluator will briefly summarise emerging ideas as well as the key elements and take-aways, to give you an opportunity to clarify or correct anything you deem necessary.

If you have any questions regarding the interview, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS [anonymous form](#); if you would like the team to call you back, please leave your phone number. If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Form 2: Introduction Letter to Focus Group Discussion Participants

This introduction letter will be given in person (and a copy left with) FGD participants.

Introduction letter, Focus Group Discussions

Evaluation of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme in Iraq

Dear.....

UNICEF Iraq has carried out the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project since 2019, in close cooperation with UNESCO and the Ministry of Education. The project is currently being reviewed by an independent evaluation team.

The overall objective of the project was to provide improved learning outcomes and equitable and inclusive education for all girls and boys in Iraq. It did so by:

- rolling out an Education Management Information System (EMIS) so as to improve education planning, and building capacities on using the EMIS;
- developing education sector plans and the capacities of education planners, statisticians, and educators to use them in making more effective decisions; and,
- by operationalising capacity development plans for teachers to improve the quality of teaching and learning.

We would like to ask you to participate in a focus group discussion targeting your areas of knowledge of the project. Doing so will allow us to understand your perspectives about different aspects of it, including the successes and challenges as well as what factors influenced these. This understanding can in turn help to strengthen future initiatives from UNICEF and its partners as well as help to move toward the larger project goal of improving learning outcomes and ensuring equitable and inclusive education for all girls and boys in Iraq.

The focus group discussion will take approximately 60 minutes of your time. Your participation in the focus group discussion is voluntary and your decision to participate or not will not be recorded anywhere. You may choose to ignore a question or ask for further clarification as needed, and can quit the focus group discussion at any time. The focus group discussion will be referenced anonymously in evaluation reporting, and is being administered by the independent evaluator. There are no risks or benefits related to your participation. All information will be kept confidential, so please feel at liberty to freely express your views. We ask you to please keep information shared in the focus group discussion, as well as the identity of participants, confidential from anyone outside the group.

During and at the end of the focus group discussion, the evaluator will briefly summarise emerging ideas as well as the key elements and take-aways, to give you an opportunity to clarify or correct anything you deem necessary.

If you have any questions regarding the focus group discussion, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS <link> anonymous form; if you would like the team to call you back, please leave your phone number. If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Form 2: Focus Group Discussion (FGD) Introduction and General Guidelines

Introduction

I would like to thank you all for coming, my name is and I am undertaking an independent evaluation of the project *Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes* project on behalf of UNICEF. Your input will help us in evaluating this project and so to inform future work by UNICEF and its partners as well as help to move toward the larger project goal of improving learning outcomes and ensuring equitable and inclusive education for all girls and boys in Iraq.

You are kindly requested to provide answers about the topic based on your experience and personal perspectives. Do not worry about giving your opinion with full transparency; all names will be kept anonymous. There are no right or wrong answers, and you are free to ask for clarification at any time if you do not understand the question. Also, please be assured that the answers you give today will not have any implications for continuing to benefit from the project or for any possible future projects. Our discussion will take approximately 60 minutes. We want this to be a group discussion, so feel free to participate without waiting to be called on. However, we would appreciate it if only one person speaks at a time. Be assured that all of you will have equal opportunity to express your opinions and please be respectful to opposing attitudes/statements expressed by another participant. There is a lot we want to discuss, so at times I may move the discussion along a bit.

The discussion taking place will be kept confidential, and your names will be kept anonymous. You can withdraw from the discussion at any time. We ask you to please keep information shared in the focus group discussion, as well as the identity of participants, confidential from anyone outside the group. If you have any questions about the FGD, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

1. Ask all participants to turn their phones on silent – indicating that they are allowed to leave temporarily if there is an urgent call.

2. Ask participants to introduce themselves before you start Questions. The moderator will use four types of questions as needed; open-ended, follow-up, probing and prompted questions. In some cases, the moderator will follow a sequence that consists typically of four parts.

1. Starting with the main question and listening for its answer.
2. Then s/he will follow up and inquire about the answer.
3. And probe to clarify.
4. If necessary, they prompt (cue or aide) the probing questions.

Additional Guiding notes for Investigators/Enumerators/Moderator(s)

- Notice body language and expressions as relevant.
- Make sure to listen to participants, non-judgmentally and intervene if others are judging them, reminding them of the respect for other opinions.
- Encourage that only one person talks at a time, and remind people and the interpreter not to go too long in between translation, as you will lose a lot of the detail.
- Explain to interpreters the importance of translating sentence-by-sentence and not summarizing what people say. Interviewers should help interpreters by asking only one short question at a time and by reminding them about confidentiality of the discussions.

- It can be helpful sometime to put a question in the form of a role play. For example, you might say something like, “imagine I’m the head of a school, what would you say to me?”
- Use neutral comments and encourage the quieter people to contribute – “Anything else?”, “does anyone else have something to add?”, “How about this side of the group?”
- keep focus group discussions (FGD) confidential from anyone outside the group

Form 3: Consent Form for Key Informant Interviews

Consent Form for Interviews

Thank you for participating in this interview concerning the evaluation of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme. If you are happy to participate, then please complete and sign the form below. If you are receiving this form in advance of an online interview, your verbal consent will be solicited at the start of the scheduled interview.

If you have any questions regarding the interview, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS [link](#) anonymous form; if you would like the team to call you back, please leave your phone number. If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Please initial the boxes below to confirm that you agree with each statement:

**Please Initial
box:**

I confirm that I have listened to the introduction and understand the purpose and conduct of the interview and have had the opportunity to ask questions.

I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline.

I understand that my responses will be kept strictly confidential. I understand that my name will not be linked with the evaluation materials, and will not be identified or identifiable in the report or reports that result from the research. I understand that my responses will in no way impact or influence my status within the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project or in any way inhibit my participation in future projects.

I agree that my anonymised data will be kept for future evaluation purposes such as publications related to this study after the completion of the study, but only to be referenced in anonymous form.

I agree to take part in this interview.

Name of participant

Date

Signature

Principal Evaluator

Date

Signature

To be counter-signed and dated in the presence of the participant for face to face interviews. For online interviews, the form will be shared in advance of the interview and explicit verbal consent solicited before the start of the interview will constitute agreement. The interviewer will also prompt the interviewee to ensure that they are in a location that ensures data security.

Copies: *Once this has been signed by all parties the participant should receive a copy of the signed and dated participant consent form, and introduction statement. A copy of the signed and dated consent form should be placed in the main evaluation file which must be kept in a secure location.*

Form 4: Consent Form for Focus Group Discussions

Consent Form for Focus Group Discussions

Thank you for participating in this focus group discussion concerning the evaluation of the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes programme. If you are happy to participate, then please complete and sign the form below.

If you have any questions regarding the focus group discussion, please don't hesitate to contact the team leader for the evaluation, Dr. Robert Stewart on email: robert.stewart@meritpartnership.com. You can also contact the evaluation team through THIS <link> anonymous form; if you would like the team to call you back, please leave your phone number. If you have any questions regarding this evaluation now or anytime in the future, you can contact the UNICEF Evaluation Managers: Myriam van Parijs (mvanparijs@unicef.org) and Karam Hindi (khindi@unicef.org)

Please initial the boxes below to confirm that you agree with each statement:

**Please Initial
box:**

I confirm that I have listened to the introduction and understand the purpose and conduct of the focus group discussion and have had the opportunity to ask questions.

I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline.

I understand that my responses will be kept strictly confidential. I understand that my name will not be linked with the evaluation materials, and will not be identified or identifiable in the report or reports that result from the research. I understand that my responses will in no way impact or influence my status within the Systems Building and Capacity Strengthening of the MoE and its Sub-National Directorates of Education for Effective Delivery of Quality Education Outcomes project or in any way inhibit my participation in future projects.

I agree that my anonymised data will be kept for future evaluation purposes such as publications related to this study after the completion of the study, but only to be referenced in anonymous form.

I agree to take part in this focus group discussion.

Name of participant

Date

Signature

Principal Evaluator

Date

Signature

To be counter-signed and dated in the presence of the participant for the focus group discussion (all focus group discussions will be in-person).

Copies: *Once this has been signed by all parties the participant should receive a copy of the signed and dated participant consent form, and introduction statement. A copy of the signed and dated consent form should be placed in the main evaluation file which must be kept in a secure location.*

Tool 1: Site Inspection

The following form can be used for site observations including of classrooms, and is recommended as it allows for nuanced narrative descriptions along key aspects of classroom assessment criteria³⁰.

School or Literacy Centre

SN	Attribute	Response
1	School or Literacy Centre Name	
2	Date/Time observed:	
3	Observer	
4	Classes taught (ECD/primary/secondary)	
4	Number Male and Female students	Male: Female: Total:
5	Disabled learners Number	Male: Female: Total:
6	Description of disability if appropriate	
7	Number of computers/laptops/Tablets for children	
8	Number of computers for Administration	
9	Description of Centre (noting indoor and outdoor facilities and activities and linkages to other learning centres such as Early Childhood Development or Primary Schools)	
10	Internet availability	
11	Ramps for Children with Disabilities	
12	Toilet facilities for girls	
13	Toilet facilities for boys	
14	Handwashing facilities with soap	
17	Outdoor play facilities	
18	Adequate provision of learning materials such as books	
19	Adequate provision of writing materials such as pads/papers/pens/pencils	

³⁰ Adapted from: <https://www.isu.edu/media/libraries/college-of-technology/pdfs/faculty-staff-docs/ClassroomObservationForm.doc>

SN	Attribute	Response
20	Engaging posters, materials on the walls	
21	Attendance record books	
22	Enrolment Record Books	
23	Assessment Books	
24	Student Portfolios	

Annex 7: Structure of the Final Evaluation Report

The Final evaluation report will present at minimum the following sections:

- One page Evaluation Brief
- Executive Summary
- Introduction (including the context and background)
- Object of evaluation (including the project description and the ToC)
- Evaluation purpose, objective(s) and scope, stakeholders
- Methodological approach (including quality assurance and ethical considerations and limitations encountered)
- Findings (per evaluation criteria)
- Lessons learned
- Conclusions
- Recommendations
- Annexes

The evaluation report will be:

- Written in a clear and concise manner that allows readers to easily follow its logic, and be structured clearly. Paragraphs will be numbered.
- Present findings, conclusions and recommendations in a logical and convincing manner that clearly draws upon the data. Furthermore, the language employed will be universally comprehensible, with sentences remaining precise and neutral. The report will have a deductive logic and tell a story with the evaluation results rather than simply present results against questions, and there will be a logical flow in the presentation of information. The length of the report will be limited to ensure accessibility and the report will be structured clearly, with section content aligned with the respective section header and sub-header.

Annex 8: Summary and List of Documents Reviewed at Inception Phase

The desk review gave the evaluation team a good understanding of the project, including its design, rationale and the partnership approach adopted between UNICEF, UNESCO and the MoE as well as the various specific activities and how they are meant to fit together. The documents furthermore gave an overview of project implementation including a snapshot of the implementation status at various points in time though not final implementation status beyond May 2022. They thus strongly informed the development of the inception report.

The following list outlines those documents reviewed during the inception phase:

Strategic level Information

- United Nations Children’s Fund, *Iraq Education Facts Sheet 2020: Analysis for learning and equity using MICS data*, UNICEF Iraq, Baghdad, Iraq,
- United Nations Children’s Fund, *IRAQ– UNICEF Programme of Cooperation 2020 -2024: Education ROLLING WORK PLAN 2022 - 2023*, UNICEF- Ministry of Education
- United Nations Children’s Fund, *UNICEF Country Programme Planning: Guidance to Achieve SDGs by 2030*, UNICEF, New York, August 2022
- ‘National Education Strategy for Iraq 2022-2031’
- European Union, *Iraq Multi Annual Indicative Program 2021-2027*
- European Union, *Strategic/Interim Evaluation of the EU’s Support to Education- Iraq*, Final Report, Draft of 21 July 2022, Eurecna S.p.A and ARS Progetti S.p.A., 2022
- United Nations Children’s Fund, *Education Programme Strategy Note 2020-2024*, UNICEF, 2019
- United Nations Children’s Fund, *Every Child Learns: UNICEF Education Strategy 2019–2030*, UNICEF, NewYork, USA, September 2019

Planning and Design Documentation and Data

- ‘FINANCIAL PROPOSAL (v2)- Iraq Capacity Implementation Plan Extension’
- Cambridge Education, *Technical Assistance to Strengthen Capacity for the Development of Capacity Implementation Plan*, Mott MacDonald trading as Cambridge Education, United Kingdom, January 2023
- Dr. HAGE, JOE, *Education Management Information System (EMIS): IRAQ NATIONAL ROLLOUT PLAN – INCEPTION REPORT 2019-2022*, Revision 1, UNICEF and UNESCO, Iraq, October 2019
- ‘Table1: list of Education Directorates included by EMIS Training’
- ‘Education Management Information System (EMIS) 2019- 2022: Building Information System and strengthen the capacity of Ministry of Education and its Education Directorates for Effective Delivery of Quality Education Outcomes .
- United Nations Children’s Fund, ‘BCS Allotment’, UNICEF, New York, July 2019
- ‘Funds Allocation Breakdown’
- ‘European Union: Contribution Agreement- MIDEAST/2019/407-544’
- ‘ANEX II- General Conditions for Contribution Agreement’
- ‘Budget for the Action’
- ‘Monitoring Schedule’
- ‘Joint Visibility Guide lines for EC-UN Action in the Field’, United Nations and European Commission
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Annex 9: List of Stakeholder Interviews from the Inception Phase

The inception phase interviews considerably deepened the evaluation team's understanding of the project, particularly related to project activities and implementation. Several interviewees highlighted the importance of the evaluation assessing the project for gender, and gave good insights on how to fully incorporate this component including in the evaluation matrix and Theory of Change. Other interviewees highlighted the concern with project sustainability and thus the interest in the evaluation assessing this component, including already pointing out (potential) weak points in sustainability as a basis for informing the data gathering phase. Still other interviewees described in detail the monitoring data available, including strengths and weaknesses of that data. Relatedly, many interviewees discussed the weak outcome-level data, and discussed with the evaluation team ideas about how to most effectively gather it. Overall, many challenges in project implementation were discussed with the team including slowdowns and why they happened such as related to COVID-19 supply chain issues and Internet access, as well as things that worked well and why they (likely) happened such as the role of political support for the project. These insights can be linked to the discussions that took place with nearly all interviewees about the criteria for sampling, usually with specific illustrative examples such as of geographic regions where things worked well or did not work well. These discussions were complemented by the exchanges about sources for answering the different evaluation questions, logistical questions about fieldwork and the surveys, and gaps in the data that exist as well as how to try to overcome them. These insights subsequently informed the development of all aspects of the inception report.

The following table outlines the interviewees spoken with during the inception phase, with their names and titles deliberately anonymised:

The total number of interviewees is as follows:

A total of 12 UNICEF staff have been interviewed

A total of 1 UNESCO staff have been interviewed

A total of 1 EU staff have been interviewed

Table 16: List of Inception Phase Interviewees To-date (June 21, 2023).

TITLE	DATE
Education Specialist, UNICEF	07/06/2023
Education Officer, Baghdad Field Office, UNICEF	11/06/2023
OIC Chief Education, UNICEF	12/06/2023
Gender and Development Specialist, UNICEF	12/06/2023
Education Specialist, UNICEF	13/06/2023
Chief of Field Office, Baghdad, UNICEF	13/06/2023
Education Officer - Basrah Field Office, UNICEF	15/06/2023
Chief of Field Office, Basrah + Climate Change Task Force Manager, UNICEF	18/06/2023
Focal Point EMIS, UNESCO ICO	15/06/2023
Chief Education, UNICEF ICO	27/06/2023
M&E Officer - Baghdad FO, UNICEF ICO	27/07/2023
Chief Planning, Monitoring, Reporting, UNICEF ICO	27/07/2023

Deputy Representative, UNICEF ICO	To schedule
Chief of Field Operations	To schedule
Climate change focal point	04/07/2023
Education Focal Point (EU Commission)	26/06/2023

Annex 10. Detailed Workplan

The table below describes each activity envisioned for each phase of the evaluation, specifying the responsible team members as well as the output of each activity.

Phase and activities	Tasks	Involved Persons	Output	Status
<p>Inception Phase: The Inception/Desk Phase is intended to formalise the contractual arrangements for this assignment, clarify with UNICEF and the other key users of this evaluation the detailed expectations regarding the deliverables, collect key documentation for the desk review, conduct a detailed stakeholder mapping and to refine the work plan and, if needed, discuss the allocation of resources, in agreement with the Evaluation Steering Committee and UNICEF Evaluation Manager. This phase will also serve to forge agreement on the activities to focus on. The team will also conduct an initial desk review of relevant documentation, presenting a portfolio analysis and preliminary findings that draw upon secondary sources of information. During this phase, the team will also develop the QA plan, as well as a clear communication plan with UNICEF Evaluation Manager.</p>				
Kick-off meeting	1. The Cowater Project Manager and UNICEF have an initial administrative call to finalize the contractual arrangements of the evaluation cooperation.	Cowater Project Manager, UNICEF Evaluation Manager	<ul style="list-style-type: none"> Contract of the evaluation assignment signed by both parties 	<ul style="list-style-type: none"> Done
	2. The Cowater Project Manager finalizes the contracts with all approved evaluation team members and Team members, and local partner company. Annexing to their contract signed copies of a Declaration of Absence of a Conflict of Interest, the Pledge of Ethical Conduct in Evidence Generation, a Non-Disclosure Agreement of Confidential Information, and the certificates of UNICEF's AGORA online course "Introduction to Ethics in Evidence Generation".	Cowater Project Manager, Team Leader, National Evaluation Team Member, Quality Assurance Expert, Local Research Company	<ul style="list-style-type: none"> Contracts signed with the Evaluation Team and Local Partner including for each: <ul style="list-style-type: none"> Declaration of Absence of a Conflict of Interest Pledge of Ethical Conduct in Evidence Generation Non-Disclosure Agreement of Confidential Information Certificates of UNICEF's AGORA online course 'Introduction to Ethics in Evidence Generation' 	<ul style="list-style-type: none"> Done Done Done Done
	3. UNICEF and Key Users of the Evaluation and Cowater's Project Manager schedule a 2 hour kick off meeting including all Evaluation Team Members to discuss the management process of the evaluation in general, to determine roles and responsibilities, progress reporting modalities, and relevant focal points for various aspects of this evaluation, collect feedback on the technical proposal and team setting and determining any amendments to be made if necessary, as well as to finalize the work plan of the inception phase and agree on other amendments to the evaluation. Furthermore, UNICEF will provide Cowater with access to documentation to be reviewed for the desk review and a list of key stakeholders to be consulted on	UNICEF Evaluation Manager, UNICEF Steering Committee and other relevant stakeholders, Cowater Project Manager, Team Leader, National Evaluation Team Member Quality Assurance Expert, Local Partner Company.	<ul style="list-style-type: none"> 2 hour Kick Off Meeting Meeting Minutes of all matters agreed upon Updated Workplan for the Inception Phase 	<ul style="list-style-type: none"> Done Done Done

Phase and activities	Tasks	Involved Persons	Output	Status
	<p>specific matters and with answers to questions regarding the deliverables, most specifically the inception report.</p>		<ul style="list-style-type: none"> • Updated list of Key Stakeholders and Contacts • Access to Documentation for the desk review • Determined Submission Deadline of Inception Report • Schedule of Inception Meeting 	<ul style="list-style-type: none"> • Done • Done • Done • Done
<p>Inception Report Drafting</p>	<p>4. The Team Leader will lead and liaise with UNICEF, be supported by the Evaluation Team Member and with the advice of the Quality Assurance Expert:</p> <p>5. A preliminary desk review to gain further background information on the project regarding:</p> <p>(i) the context of systems strengthening and capacity development for effective education outcomes in Iraq. A deepening of the understanding of the intervention’s programme as well as the evaluation’s purpose, scope and objectives</p> <p>(ii) analysis and refinement of the intervention’s Theory of Change & result framework,</p> <p>(iii) budget review of the intervention</p> <p>(iv) stakeholder mapping & analysis of their accessibility for data collection sampling and suitable methodologies.</p> <p>6. The Team Leader and Evaluation Team Member conduct rounds of introductory key informant interviews to access more sources on background information on the elements above.</p> <p>7. The Cowater Project Manager sets up the IT infrastructure for this project including access to a secure filesharing environment as agreed with UNICEF in the inception call.</p> <p>8. The Team Leader, with the support of the National Expert and the ad hoc advice of the QA expert will draft inception report according to the outline confirmed in the kick off call including</p> <ul style="list-style-type: none"> • The Stakeholder Analysis 	<p>Team Leader, National Evaluation Expert, Quality Assurance Expert (ad hoc advice), Cowater Project Manager (logistical support and Backstopping.)</p> <p>Team Leader, National Evaluation Expert, QA expert (ad hoc advice and draft review), Cowater Project Manager (logistical advice and ad hoc support).</p>	<ul style="list-style-type: none"> • Preliminary Desk Review • Introductory Key Informant Interviews • Set up of IT infrastructure and secure file-sharing system • First Internal Draft of the Inception Report 	<ul style="list-style-type: none"> • Done • Done • Done • Done

Phase and activities	Tasks	Involved Persons	Output	Status
	<ul style="list-style-type: none"> • Review and refinement of the Evaluation Questions, sub-questions, criteria for evaluating each question and data collection sources to obtain information on each criterion. • A refined methodological approach developing a description of the stakeholder analysis, the analytical framework, the sampling strategy, data collection methods, draft data collection instruments and tools, a description of the data analysis and data display approach • A description of the Quality Assurance Process and Measures to Address Ethical Considerations, a discussion of the limitations of the Methodology, a discussion how to enhance the reliability and validity of evaluation findings and a process to draft and validate the evaluation findings and recommendations. • A revised work plan for the data collection, analysis and reporting phase, including a detailed field mission plan and a clear division of labour of each evaluation team member. • The Annex with the list of changes proposed to the terms of reference, the evaluation matrix, all data collection instruments with their respective protocols and informed consent approach, the summary of insights from the desk review, a summary of insights from the initial stakeholder interviews <p>9. The TL will send the first draft of the inception report to the QA expert for an internal review at least 3 working days before the final submission deadline.</p>			
	<p>10. The QA expert will review the first draft of the Inception Report against the quality and ethical requirements described in section 1.2 and provide the Evaluation Team with extensive feedback.</p> <p>11. The Evaluation Team will react to the feedback of the QA Expert and, under the supervision of the Cowater Project Manager, will make any amendments as suggested by the QA expert.</p> <p>12. The Cowater Project Manager will ensure that the draft inception report will undergo a final spelling and style check and then the Cowater Project Manager submits the first draft of the Inception Report to the UNICEF Steering Committee for their review.</p>	<p>Quality Assurance Expert, Team Leader, National Evaluation Expert, Cowater Project Manager</p>	<ul style="list-style-type: none"> • Internal Review of the Inception Report • Final Spelling Check and Formatting • Submission of first draft of the Inception report to UNICEF. 	<ul style="list-style-type: none"> • Done • Done • Done
<p>Inception Report Review and Quality Assurance and Circulation for Comments</p>	<p>13. Once UNICEF sends back the feedback to the first draft of the inception report, the TL and National Evaluation expert review UNICEF’s comments and edit the report accordingly.</p> <p>14. The QA Expert and the Cowater Project Manager review the edits to the report before sending the second draft to UNICEF in a tracked changes version and a clean version.</p>	<p>Quality Assurance Expert, Team Leader, National Evaluation Expert, Cowater Project Manager</p>	<ul style="list-style-type: none"> • Second reviewed draft of the inception Report based on UNICEF’s comments 	<ul style="list-style-type: none"> • Done

Phase and activities	Tasks	Involved Persons	Output	Status
Approval of the Inception Report	<p>15. Optional: Inception Meeting: The TL and the National Expert present the reviewed Inception report to the key users of the evaluation in a virtual meeting for a final concertation of the methodological approach and the data collection tools.</p> <p>16. If needed, the TL will make the final adjustments and edits to the Inception Report based on the second round of feedback from UNICEF until the UNICEF Steering Committee gives final approval of the Inception Report.</p>	Quality Assurance Expert, Team Leader, National Evaluation Expert, Cowater Project Manager, Copy Editor.	<ul style="list-style-type: none"> • Inception Meeting with presentation of Inception Report to Key Users • Third and final reviewed draft of the Inception Report and Approval of the Inception Report 	<ul style="list-style-type: none"> • Done • Done
Preparation of the Data Collection Phase	<p>17. At the same time when the first draft of the inception report is sent to UNICEF, the Cowater Project Manager submits the Methodology and the Data Collection Instruments and Tools to the Board of Ethics for the Ethical Clearance Review.</p> <p>18. In Parallel to the Inception Phase, the Cowater Project Manager already prepares all travel arrangements and security measures for the field mission of the Team Leader and the National Evaluation Expert, including the organization of the insurance, the flights, Security Protocols and Contingency Plans for alternative samples and Remote Data Collection, if needed and applicable. The planning of the Field Mission will be done in close Coordination with UNICEF ICO and before the launch of the Field Mission, the Cowater Project Manager will seek the approval of the UNICEF Evaluation Manager of the Field Mission Plan.</p> <p>19. Furthermore, key stakeholders sampled for data collection operations in the various field locations, will already be contacted in order to schedule interviews or Focus Group Discussions with them in close Coordination with UNICEF ICO</p> <p>20. Focus Group Discussions will be prepared with the support of the National Evaluation Expert and the Local Researcher Partner Company: logistics, venue, catering, Note Taking in the various sampled field locations. Close Coordination with Local Research Partner Firm and UNICEF ICO</p> <p>21. An Online Stakeholder Survey will be prepared and tested before launch during the data collection Phase.</p>	Cowater Project Manager, UNICEF Evaluation Manager, Team Leader, National Evaluation Expert, Local Partner Company, UNICEF Steering Committee, Copy Editor	<ul style="list-style-type: none"> • Data Collection Methodology, Instruments, Tools and Protocols submitted for Ethical Clearance • Tentative scheduling of Interviews with sampled key stakeholders • Organization of Venues and logistics for Focus Group Discussions. 	<ul style="list-style-type: none"> • DoneOn-going • On-going
<p>Remote and field data collection phase: the Field Phase, which will start after the approval of the Inception Report, will include first remote semi-structured interviews with key informants and the dissemination of the online survey. The team will then conduct the field work including face-to-face interviews as well as focus group discussions and the classroom observations. The field visit will involve the Team Leader and the National Evaluation Expert that will be deployed in the selected sites. At the end of the field visit, the team will analyse the data and conduct some sense-making to come up with salient preliminary findings and present these to UNICEF Steering Committee and invited Key Users of the Evaluation in Baghdad at the end of the Field Phase.</p>				
Data Collection and Preliminary Analysis	<p>Field Mission of the TL and the National Evaluation Expert</p> <p>22. Remote Security Monitoring by Cowater Project Manager and Cowater Risk Advisor with Drum Cussac during the entire field mission, including daily check ins with the experts in the field. The Team Leader, National Evaluation Expert and the Cowater Project Manager will inform UNICEF about anticipated challenges to the Field Mission plan and seek the approval of the UNICEF Evaluation Manager before any change of the Field Mission Plan is made.</p>	Team Leader, National Evaluation Expert, Cowater Project Manager, Cowater Risk Advisor, Local Research Partner Company, Key Users of the Evaluation, UNICEF Evaluation Manager, UNICEF ICO.	<ul style="list-style-type: none"> • 3 weeks field mission, including: • On Arrival Meeting with ICO • Key Informant Interviews • Focus Group Discussions 	<ul style="list-style-type: none"> • Not started • Not started • Not started • Not started

Phase and activities	Tasks	Involved Persons	Output	Status
	<p>23. Launch of Online Perception Survey administered by the Cowater Project Manager.</p> <p>24. On arrival meeting with the local research company, UNICEF Evaluation Manager and other key users of the evaluation at the ICO to discuss final details of the data collection Mission</p> <p>25. The Field Mission will span several weeks including Key Informant Interviews, Site Visits, Children Observation/Interviews, and Focus Group Discussions in selected Governorates that benefitted from the UNICEF intervention. The National Evaluation Expert based in Iraq will conduct data collections in a flexible schedule across the months of late June, July, August and September. The Team Leader will conduct a part of the Key Informant Interviews remotely if the participants' schedule does not permit a meeting during the 2-3 week Field Mission of the Team Leader in Iraq. The Field Mission will be scheduled during the Inception Phase. The National Evaluation Expert will focus on interviewing Arabic speaking respondents and the Team Leader will focus on English speaking respondents. For interviews with Arabic speakers, the Team Leader will be accompanied by an interpreter.</p>		<ul style="list-style-type: none"> • Site Visits • Children Observation • Launch of the Stakeholder Online Survey 	<ul style="list-style-type: none"> • Not started • Not started • Not started
Analysis of the Data and Sensemaking	<p>26. Preparation of Preliminary Findings by the TL and the national Evaluation Expert during the Field Phase with the advice and review of the QA Expert who will also support the sense-making and analysis of preliminary data.</p> <p>27. Presentation of the Preliminary Findings to the UNICEF Evaluation Steering Committee and Key Users of the Evaluation, including preliminary findings and recommendations. Discussion and Feedback from Key Users of the Evaluation.</p> <p>28. The Local Partner Company supports with the transcription of notes taken during Focus Group Discussions, Site Visits, Children Observations and Key Informant Interviews.</p>	TL, National Evaluation Expert, QA Expert, UNICEF ICO, Key Users of Evaluation	<ul style="list-style-type: none"> • Presentation of Preliminary Findings by the TL at the Iraq Country Office. • Meeting minutes with the Feedback of the Key Users of the Evaluation. 	<ul style="list-style-type: none"> • Not started • Not started
<p>Report Drafting: The Report Drafting and Evaluation Synthesis will start after the Data Collection and Analysis is completed. Under the guidance of the Team Leader, the team members will process and analyse the data collected throughout the evaluation process using appropriate and state-of-the-art quantitative and qualitative analysis software making sure all findings are triangulated within the Evidence Matrices. Once the findings have been established, the team will start drawing preliminary conclusions and recommendations;</p>				
In-Depth Analysis and Report Drafting	<p>29. The TL and National Evaluation Expert analyse all data collected from KIIs, FGDs, Site Visits, Children Observations and the Online Stakeholder Survey as planned in the Inception Report.</p> <p>30. The TL and National Evaluation Expert draft the Final Evaluation Report according to the outline agreed and confirmed during the Inception Phase and submit a first draft for the internal review by the QA expert in due time before the submission of UNICEF</p> <p>31. The QA Expert provides a thorough review of the Evaluation Report as per the QA and Ethics review procedure agreed in the Inception Phase.</p> <p>32. The TL and National Evaluation Expert make edits as per the Feedback of the QA expert</p> <p>33. The Cowater Evaluation Expert oversees the finalization of the draft Evaluation Report and facilitates a final spelling and formatting check before submitting the first draft of the Evaluation Report to UNICEF ICO</p>	TL, National Evaluation Expert, QA Expert, UNICEF Steering Committee, Key Users of Evaluation, Cowater Evaluation Manager.	<ul style="list-style-type: none"> • First Draft of the Evaluation Report 	<ul style="list-style-type: none"> • Not started

Phase and activities	Tasks	Involved Persons	Output	Status
Quality Review and Commenting Phase	<p>34. Once UNICEF Steering Committee sends back their feedback to the first draft, the TL and National Evaluation Expert review all comments and make edits accordingly in close consultation with the QA expert and the Cowater Project Manager</p> <p>35. Spelling and formatting check and the Cowater Project Manager ensures that all comments from UNICEF to the first draft have been duly addressed and will send back a tracked changes and a clean version to UNICEF.</p>	UNICEF Steering Committee, UNICEF Evaluation Manager, TL, National Evaluation Expert, Quality Assurance Expert, Cowater Evaluation Manager, Copy Editor.	<ul style="list-style-type: none"> Reviewed Second Draft of the Evaluation Report 	<ul style="list-style-type: none"> Not started
Final Draft and Review of Report	<p>36. Once UNICEF's Steering Committee is satisfied with the edits made by the Evaluation Team in response to UNICEF's feedback, the report will be finalized, and undergo a final professional formatting, before the Cowater Project Manager submits the final version of the report in a tracked changes and clean version in docx and PDF to the UNICEF ICO</p>	Cowater Evaluation Manager	<ul style="list-style-type: none"> Final Approved Version of the Evaluation Report 	<ul style="list-style-type: none"> Not started
<p>Final Report: The Final Evaluation Report will be presented in a Distribution Workshop specific workshop to a wider audience of Key Users and interested Parties invited by UNICEF. The different deliverables will be finalised, alongside a statement about the validity of the evaluation results. In addition, the Evaluation Report will include several annexes as agreed and confirmed in the Inception Phase.</p>				
Final Report	<p>37. Once the Final Report is approved, the TL drafts a 3-5 Executive Summary, that will be spell checked one last time by the Cowater Project Manager</p>	TL, Cowater Project Manager, UNICEF ICO	<ul style="list-style-type: none"> Final Version of Evaluation Report Including Executive Summary 	<ul style="list-style-type: none"> Not started

Annex 11: Quality Assurance and Ethical Compliance Checklist

Ethical Compliance Checklist

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance		Status
Basic Ethics Training	a) Complete UNICEF's AGORA online course 'Introduction to Ethics in Evidence Generation'.	Right after award of contract.	Team Leader, Evaluation Team Member, Quality Assurance Expert, Cowater Project Manager, Research Assistants, and any other staff interacting with respondents or their personal data.	Cowater Manager	Project	Done
Basic Ethics Training	b) Send the AGORA online course certificates to the UNICEF Evaluation Manager.	Beginning of Inception Phase.		Cowater Project Manager	Project	Done
Ensuring Personal and Professional Integrity	a) Identify any conflicts of interest of all personnel involved in this evaluation.	Proposal Stage, Inception Phase.	Any personnel to be contracted by Cowater	Cowater Manager	Project	Done
Ensuring Personal and Professional Integrity	b) Signature of Pledge of Ethical Conduct in Evidence Generation.	When signing the consultancy contract with Cowater.	Team Leader, Evaluation Team Member, Research assistants (if applicable, enumerators (if applicable), local sub-contractor (if	Cowater Manager	Project	Done and Pledges sent to UNICEF ICO

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
			applicable), Cowater Project Manager		
Ensuring Personal and Professional Integrity	c) Develop appropriate consent forms and ethics protection protocols in accordance with the ethical requirements for each age-group of respondents (children, adolescents, adults).	Inception Phase.	Team Leader, Quality Assurance Expert	Cowater Project Manager	Done.Can be found in Annex 6 of the Inception Report
Ensuring Personal and Professional Integrity	d) Instruct all personnel involved in the data collection in the protocols to ensure informed consent.	Training of Data Collectors.	Team Leader, Evaluation Team Member, Researcher assistants, enumerators (if applicable), Cowater Project Manager	Cowater Project Manager	During the Data Collection Phase.
Ensuring Personal and Professional Integrity	a) Explain to all participants the reason why this evaluation is being done and what will be its added value, including for the participants.	During Data Collection, include in consent form.	Team Leader, Evaluation Team Member, Research assistants (if applicable), enumerators (if applicable),	Cowater Project Manager	During the Data Collection Phase.

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Ensuring Personal and Professional Integrity	b) Inform participants who data will be shared with (if shared) and why and the nature and duration of storage of that data, and clearly articulate any limits to confidentiality to potential participants. Also inform participants that they can legitimately inquire about and request access, correction, deletion or objection to collection or processing of their personal data wherever feasible and where it does not infringe on others' rights.	During Data Collection, include in consent form.	Team Leader, Evaluation Team Member, Research assistants (if applicable), enumerators (if applicable)	Cowater Project Manager	During the Data Collection Phase.
Appropriate ethical approaches in research with children	a) Systematic analysis of all potential harms and benefits, ensuring that benefits outweigh harms, consulting all relevant stakeholders wherever possible and	Inception Phase.	Team Leader, Quality Assurance Expert	Cowater Project Manager	Done

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
	informing the final data collection methodology.				
Appropriate ethical approaches in research with children	b) Adjust language and extent of consent forms and ethics protocols in accordance with the ethical requirements, so that they are clearly understandable by children and adolescents.	Inception Phase.	Team Leader, Quality Assurance Expert	Cowater Manager Project	Done
Appropriate ethical approaches in research with children	c) Adjust ethics protection protocols of data collection with children as required to the special needs and vulnerabilities of children.	Inception Phase.	Team Leader, Quality Assurance Expert	Cowater Manager Project	Done
Appropriate ethical approaches in research with children	d) Data collection protocols to always require the presence of legal guardians during the data collection	During Data Collection.	Team Leader, Evaluation Team Member, Researcher assistants (if applicable), enumerators (if	Cowater Manager Project	No children will be surveyed.

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
	<p>procedure when interacting with children.</p>		<p>applicable), Cowater Project Manager</p>		
<p>Ensuring Sensitivity to Social and Cultural Environment</p>	<p>a) Explicitly consider actual and potential bias and implications and take all measures to prevent discrimination based on gender, race, religion, disability or any other factors, and, wherever possible, to ensure inclusiveness. Data collection and processing should ensure the respect, protection and promotion of human rights and international standards.</p>	<p>Inception Phase.</p>	<p>Team Leader, Quality Assurance Expert</p>	<p>Cowater Project Manager</p>	<p>Done</p>

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Ensuring Sensitivity to Social and Cultural Environment	b) In consultation with stakeholders, develop bespoke methods and practices of data collection to avoid any harm and to minimise stress and undue burdens to the participants of this evaluation. Consider means of compensation for participants, where appropriate.	Inception Phase.	Team Leader, Quality Assurance Expert	Cowater Manager Project	Done
Dealing with sensitive issues	a) Ensure that all staff and contractors are aware of and reflect on UNICEF's policy of zero tolerance for sexual harassment, abuse and exploitation and discrimination.	Beginning of Inception Phase.	Team Leader, Evaluation Team Member, Research assistants (if applicable), enumerators (if applicable), local sub-contractor (if applicable), Cowater Project Manager	Cowater Manager Project	Done

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Dealing with sensitive issues	b) Ask UNICEF about the appropriate reporting channels of unethical behaviour for this evaluation and ensure all staff involved in the evidence generation are informed of relevant channels and processes for reporting of complaints or violations.	Before beginning of Data Collection Phase.	Team Leader, Evaluation Team Member, Research assistants (if applicable), enumerators (if applicable), local sub-contractor (if applicable), Cowater Project Manager	Cowater Project Manager	Done
Protection and Confidentiality	a) Adhere to UNICEF's Policy on Personal Data Protection (2020). Consider personal as well as categorical privacy.	During the entire evaluation.	All personnel contracted by Cowater	Cowater Project Manager	All Evaluation Team Members are informed and have signed a NDA.
Protection and Confidentiality	b) Consider and enact measures that provide for participant privacy, before, during and after data collection.	During the entire evaluation.	Team Leader, Quality Assurance Expert, Cowater Evaluation Manager	Cowater Project Manager	All Evaluation Team Members are informed and have signed a NDA.
Protection and Confidentiality					

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Protection and Confidentiality	c) De-identify data sets to the greatest extent possible, and unless absolutely essential. Confidentiality of participant data must be assured in reporting of findings.	Data Collection and Analysis, Reporting Phase.	Team Leader, Evaluation Team Member	Cowater Manager Project	Will be done during the Data Collection Phase.
Protection and Confidentiality	d) Set up secure data storage platform where confidential data will be securely stored, transmitted, protected and disposed of after an appropriate period.	Inception Phase, data to be destroyed or handed over to UNICEF once the evaluation is completed.	Team Leader, Cowater Project Manager	Cowater Manager Project	Done
Protection and Confidentiality	e) Adhere to Iraq local data privacy and protection laws.	During the entire evaluation.	Team Leader, Quality Assurance Expert, Cowater Project Manager	Cowater Manager Project	Applying UNICEF and GDPR.
Ethical Review Mechanisms and Ethical Clearance Process	a) Submit proposed evaluation methodology, protocols and data collection tools to the ethics review board.	End of Inception Phase.	Team Leader, UNICEF Evaluation Manager	Cowater Manager Project	Done

Requirement	Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Ethical Review Mechanisms and Ethical Clearance Process	b) Vet all personnel involved in the evaluation process contracted by Cowater for potential conflicts of interest and instruct them to notify Cowater as soon as a potential conflict of interest may have emerged.	Before contracting consultants.	Team Leader, Cowater Project Manager	Cowater Manager Project	Done
Permission and Acknowledgement	a) Cowater will acknowledge and instruct all its personnel involved in the evaluation that no information considered confidential in this evaluation is to be shared with any third parties, by making all involved personnel sign a non-disclosure agreement according to the requirements of UNICEF.	Before signing the contract with any experts or consultants.	All personnel contracted by Cowater	Cowater Manager. Project	A non-disclosure agreement has been signed by all Evaluation Team members. All partners and their staff involved during the data collection will be requested to sign an NDA too. The signed NDAs can be shared with UNICEF upon request.

Quality Assurance Checklist

Activity	Timing	Personnel concerned	Responsible for Compliance	Status
Hiring an Internal Quality Assurance Expert	At technical proposal stage.	Quality Assurance Expert, Project Manager	Project Manager	Done. The Quality Assurance Expert is James Shoobridge.
Clear allocation of responsibilities for the Quality Assurance Process	At technical proposal stage.	Quality Assurance Expert, Project Manager	Project Manager	Done. The person responsible for compliance with the QA process is the Project Manager and the QA process is implemented by the Quality Assurance Expert.
Regular communication, progress reports and meetings with the UNICEF Evaluation Manager and key stakeholders of this evaluation	Weekly meetings between UNICEF Evaluation managers, the Team Leader and the Cowater Evaluation Manager during the project implementation.	Quality Assurance Expert, Project Manager, UNICEF Evaluation Managers	Project Manager, UNICEF Evaluation Manager	Meetings take place on a weekly basis.
A Quality Assurance and Ethical Compliance Checklist	Inception Phase.	Project Manager	Project Manager	Provided in the Inception Report.
A competent, experienced and qualified Evaluation Team	Technical Proposal Stage.	Project Manager	Project Manager	A competent Team has been assembled, contracts have been signed and are in effect.
A multi-layered, circumspect and methodical quality assurance process	Designed during Technical Proposal Stage, refined during Inception Phase together with UNICEF and implemented throughout the entire project.	Project Manager, QA Expert	Project Manager	A refined Quality Assurance Process is presented in the Inception Report.

Ex-Ante QA: clarifying expectations of the client	During Kick-Off Meeting and weekly meetings as well as during Inception Phase in general.	Project Manager, Team Leader, QA Expert	Project Manager, QA Expert	Kick-off call has been held, weekly meetings take place and meeting minutes are shared with UNICEF.
Ex-Ante QA: ensuring that the Evaluation Team follows the GEROS Quality Criteria during the production of the Deliverables	During Inception Phase and follow up during Evaluation Process.	Team Leader, National Expert, QA Expert, Project Manager	Project Manager	The Expert Team has read, discussed and understood the GEROS Quality Criteria and applies them to the Inception Report as well as the Final Evaluation Report.
Review of deliverables for relevance, completeness and conformity with GEROS requirements	During the entire project implementation.	Project Manager, Team Leader, QA Expert, UNICEF Evaluation Managers, Copy Editor	Project Manager, QA Expert, Copy Editor	Inception Phase: on-going.
Sharing of preliminary working draft with UNICEF Evaluation Managers in advance of submission deadline of deliverables and integrating their feedback into official submission	About a week before the agreed submission deadline for each deliverable.	Project Manager, Team Leader, QA Expert, UNICEF Evaluation Managers	Project Manager	Inception Phase: done and feedback received.
Testing of the Data Collection Tools by the Evaluation Team and training all personnel involved in the use of the data collection tools, the ethical and technical protocols in a dedicated training workshop	Once the Data Collection Tools and Protocols have been approved, before the beginning of the Data Collection Phase.	Team Leader, National Expert, QA Expert, Project Manager	Project Manager	Not started.

Mobilisation of additional human resources if one of the team members fails to deliver agreed upon deliverables on time	In case of need.	Project Manager	Project Manager	Thus far not needed.
Post-submission Review of the feedback and comments received by the UNICEF Steering Committee and thorough integration of them into each deliverable	After the submission of the deliverables and the reception of the Steering Committee's feedback.	Team Leader, National Expert, QA Expert, Project Manager	Project Manager	Not started.

Annex 12: Team Support and Duty of Care

Team Support

The support of the Evaluation Team and the Duty of Care are facilitated by the Backstopping Team presented in section 2.5. Throughout the entire project, it is the responsibility of the Cowater Evaluation Manager to provide the Evaluation Team with all the human resources, logistical assistance, tools, and training that are needed for a successful completion of the project. Cowater understands Team Support to include the management of all human resources and logistics that the team needs to function well. Thanks to our Local Partner Company Stars Orbit, we have competent local expertise in the management and team support implementation of evaluations throughout all areas of Iraq. Thanks to its knowledge of the local context, which results from its long-standing presence in the country and experience in implementing Monitoring and Evaluation Projects for UN-Agencies, including UNICEF, Stars Orbit is the ideal partner company to support Cowater with all relevant data collection efforts, in particular with the organisation and holding of Focus Group Discussions.

Duty of Care

Cowater International's Backstopping Team understands its responsibility as an employer to maintain the safety, security, physical health and psychological well-being of its personnel in the workplace as well as on international assignments and in remote areas of the personnel's home country, according to the UN's General Conditions of Contract for the Provision of Services. During our experts' field mission in Iraq, Cowater's Duty of Care also extends to external stakeholders involved in the project implemented directly by Cowater and our Local Partner Company Stars Orbit. Cowater will assume the lead on DoC in this evaluation contract and will pass on certain practical implementation steps to sub-contractors for their respective operations, while providing them with the necessary support and supervision and training, if needed. Cowater's DoC builds on the company's experience and know-how in implementing projects in fragile, hostile and security-affected states (FCAS), per these principles:

- **Meticulous safety and security planning.** Security Risk Management Plans (SRMP) will be prepared during the Inception Phase, in line with the demand-driven activity plan and their context. It will build on a socio-economic and political context analysis, taking into account the current security situations in the defined areas. The SRMP will be area-based (e.g. city, governorate, or country depending on the country risk level) and will include details on **(i) systems to collect, analyse and disseminate security information, (ii) comprehensive systems of movement clearance and tracking, (iii) safety and security responsibilities and resources, (iv) office and residence security, (v) staff safety and security training, (vi) incident management plans including medical and security contingencies, and (vii) COVID-responsive guidance.** SRMPs will be updated on an ongoing basis by our Vice President of Risk Management (VPRM), Mr Lawrence Tucker-Gardiner – see textbox. Cowater has been working in Ethiopia, Afghanistan, Syria, Iraq, Yemen, Libya, Tunisia, Jordan, and as a result it has a tried and tested set of risk management tools and security equipment that will be made available to this evaluation.

Lawrence Tucker-Gardiner, Cowater's in-house Director of Risk Management, is specialised in organisational analysis, leadership, strategy and communication, often in high-risk locations, with wide-ranging programme implementation experience in investigations, governance, and rule of law, training and capacity building. Lawrence has for the last five years led global risk management in Africa and the Middle East.

- **Enabling experts to make informed decisions.** The Cowater M&E Manager will ensure all of its own and sub-contractors' relevant personnel are fully briefed on the risks and risk mitigations expected from them, in relation to their specific contract implementation duties. Our international experts undergo a pre-deployment briefing on the security situation and security requirements during their field mission. Where necessary, Cowater will organise for experts to take part in (compulsory or not, depending on the context) Security Awareness in Fragile Environments (SAFE) training or Hostile Environment Awareness Training (HEAT), online at least.

- **Coordination and Approval of Field Travel by the UNICEF Evaluation Manager:** the Field Mission Plan will be elaborated in close coordination with the UNICEF ICO. Prior to the launch of the Field Mission, the Cowater Project Manager will also seek the approval of the UNICEF Evaluation Manager of the Field Mission Plan and agree on a protocol of communication and coordination with the UNICEF Evaluation Manager during the Field Mission and clearly define responsibilities and obligations for each involved person.

· **Appropriate insurance coverage.** All experts hired directly by Cowater will be covered by the company's tried-and-trusted 'SUTTON' Risk travel insurance scheme, which covers all FCAS, including in war contexts. Cowater will also ensure all sub-contractors' personnel have adequate medical insurance in place, covering the countries where its staff operates, which includes repatriation costs in case of injury and serious illness among other things. A special all-risks package has been recently added, taking into consideration the high levels of non-traditional risks to which experts may be exposed. Cowater also has a global (and confidential) special kidnap and ransom insurance policy.

· **Keep experts safe while on mission.** The experts will have access to [Drum Cussac \(DC\)](#), regardless of their location. DC is a real-time platform and mobile application that provides country-level risk assessments, travel tracking, proximity alerts, country safety and security advice, and a 24/7 emergency operational support centre that can be alerted through a mobile SOS app. DC Global Assistance is available to help manage during and after a medical or security incident.

· **Timely crisis management.** In case of the emergence of a volatile and fast-evolving crisis situation, a Crisis Management Committee (CMC) will be established by the Cowater Project Manager, the Cowater LTA-Director, the Team Leader, and the UNICEF Evaluation Manager and where necessary the CMC will include other interested and relevant parties. Should there be a crisis/incident, the CMC will coordinate Cowater's immediate response in close coordination with UNICEF and all relevant stakeholders.