

**Name of the Evaluation Intervention:** **Final Evaluation of the Project: Strengthening the long-term resilience of sub-national authorities in countries affected by the Syrian and Iraqi Crisis – The Headway Project**

**Country of the Evaluation:** Iraq

**Timeframe of the Evaluation:** 12th June 2022 – 22nd September 2022

**Date of the Draft Final Evaluation Report:** 1st September 2022

**Name and address of the Evaluator:** Dr. Patrick Orotin  
Email: [patrickorotin2006@yahoo.co.uk](mailto:patrickorotin2006@yahoo.co.uk)  
Phone: +256 772 389 036

## ACKNOWLEDGEMENTS

The Final Evaluation of the UNDP/UN-Habitat project: “**Strengthening the long-term resilience of sub-national authorities in countries affected by the Syrian and Iraqi Crisis**” in Iraq (hereafter referred as the “**Headway Project**”), funded by the EU Regional Trust Fund in response to the Syrian crises, was conducted under the supervision of the UNDP Resident Representative in collaboration with the UN-Habitat Head of Programme in Iraq. Particular appreciation go to Mr. Frederick Appiah-Kusi, the M&E Specialist at UNDP Erbil Office and Mr. Mazin Talat Al-Najjar, the KR-I Regional Coordinator of UN-Habitat Iraq Programme in Erbil, for coordinating the evaluation inception meetings, and access to project documents and information, and stakeholders for interviews. The Evaluator would like to thank the UNDP Resident Representative and UN-Habitat Head of Programme in Iraq, for the opportunity to perform and complete the final evaluation. Appreciation also goes to all the senior management teams and Headway programme managers of both UNDP and UN-Habitat, who reviewed the Inception Report, and ensured that the methodology and data collection tools aligned with the necessary UNDP/UN-Habitat Evaluation Guidelines and UNEG ethical and compliance requirements before the actual data collection commenced. Finally, I thank the Donor (EU), the officials from the Governorates and Municipalities, NGOs, private sector partners and representatives of beneficiaries, who put aside their time to participate in the interviews.

## Disclaimer

This evaluation report presents the views of the Evaluator and does not correspond to the opinions of UNDP/UN-Habitat or its stakeholders. The Evaluator has made every effort to ensure that the information presented in the report is accurate. Any factual errors that may appear is unintended and falls under the responsibility of the Evaluator.

## PROJECT AND EVALUATION INFORMATION DETAILS

Project Information		
Project title	Strengthening the long-term resilience of sub-national authorities in countries affected by the Syrian and Iraqi Crises	
Atlas ID Number	00117563	
Corporate outcome and outputs	<p><b>Outcome 1: Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations.</b> <b>Output 1.1:</b> Improved and updated knowledge of vulnerabilities and risks. <b>Output 1.2:</b> Strengthened local capacity to prioritize resilience building interventions.</p> <p><b>Outcome 2: Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations.</b> <b>Output 2.1:</b> Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure. <b>Output 2.2:</b> Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households.</p> <p><b>Outcome 3: Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.</b> <b>Output 3.1:</b> Improved knowledge of labour market <b>Output 3.2:</b> Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation.</p>	
Country	Iraq	
Region	Regional Bureau for Arab States (RBAS)	
Date project document signed	14 December 2018	
Project Date	Start	Planned end
	01 January 2019	30 April 2022 <sup>1</sup>
Project budget	EUR € 9,999,999 (approx. USD 11,372,035)	
Project expenditure at the time of evaluation	US\$ 10,883,874.52 (UNDP - US\$ 5,263,634.52; UN-Habitat-US\$ 5,620,240)	
Funding source	<b>Total Project Budget for Iraq:</b> EUR € 9,999,999 (approx. USD 11,372,035) <b>Source:</b> EU Regional Trust Fund in Response to the Syrian Crisis 'Madad Fund'	
Implementing party <sup>22</sup>	United Nations Development Programme (UNDP) and UN-Habitat	
Evaluation information		
Evaluation type	Project evaluation	
	Final Evaluation	
Period under evaluation	Start	End
	01 January 2019	30 April 2022
Evaluator	Dr. Patrick Orotin	
Evaluator email address	<a href="mailto:patrickorotin2006@yahoo.co.uk">patrickorotin2006@yahoo.co.uk</a>	
Evaluation dates	12 June 2022 – 22 September 2022	

<sup>1</sup> Official end-date was 31 December 2021, but the extension was requested by UNDP/UN-Habitat to allow use of the remaining funds to address emerging needs (flood control in Mosul in Ninewa).

<sup>2</sup> It is the entity(ies) that has overall responsibility for implementation of the project (award), effective use of resources and delivery of outputs in the signed project document and work plan.

## TABLE OF CONTENTS

TITLE AND OPENING PAGE .....	i
PROJECT AND EVALUATION INFORMATION DETAILS .....	ii
TABLE OF CONTENTS .....	iii
LIST OF ACRONYMS AND ABBREVIATIONS .....	v
EXECUTIVE SUMMARY .....	vi
<b>1. INTRODUCTION.....</b>	<b>1</b>
<b>2. DESCRIPTION OF THE INTERVENTION.....</b>	<b>2</b>
<b>3. EVALUATION PURPOSE, SCOPE AND OBJECTIVES .....</b>	<b>4</b>
<b>4. EVALUATION APPROACH AND METHODS .....</b>	<b>6</b>
4.1. Evaluation Approach.....	6
4.2. Methods of data collection, data source, and rationale for their selection .....	7
4.3. Stakeholders participation.....	8
4.4. Evaluation Management .....	8
4.5. Ethical considerations .....	8
4.6. Background information on the Evaluator.....	8
4.7. Major limitations of the Methodology .....	9
<b>5. DATA ANALYSIS .....</b>	<b>10</b>
<b>6. FINDINGS .....</b>	<b>11</b>
6.1. Relevance .....	11
6.2. Coherence .....	17
6.3. Effectiveness.....	20
6.4. Efficiency.....	29
6.5. Impact .....	35
6.6. Sustainability.....	40
6.7. Inclusion and Intersectionality.....	43
<b>7. CONCLUSIONS.....</b>	<b>47</b>
<b>8. RECOMMENDATIONS.....</b>	<b>48</b>
<b>9. LESSONS LEARNED AND GOOD PRACTICES .....</b>	<b>49</b>
9.1. Lessons learned.....	49
9.2. Good practices.....	50

### Tables

Table 1: <i>Phases of the midterm evaluation</i> .....	6
Table 2: <i>Data analysis methods applied and rationale for selection</i> .....	10
Table 3: <i>Qualitative assessment of the project performance by components</i> .....	20
Table 4: <i>Achievements of the project within output 1.1</i> .....	21
Table 5: <i>Achievements of the project within output 1.2</i> .....	22
Table 6: <i>Achievements of the project within output 2.1</i> .....	22
Table 7: <i>Achievements of the project within output 2.2</i> .....	23

Table 8: <i>Acheivements of the project witihin output 3.1</i> .....	24
Table 9: <i>Acheivements of the project witihin output 3.2</i> .....	24
Table 10: <i>Effects of the project actions on impact</i> .....	35
Table 11: <i>Status of lessons learnt documented</i> .....	40

## **Figures**

Figure 1: <i>Map of the crisis affected areas in the Kurdistan Region of Iraq</i> .....	2
Figure 2: <i>Final Evaluation purpose, scope and objectives</i> .....	4
Figure 3: <i>Evaluation stakeholders interviewed by category and sex</i> .....	8
Figure 4: <i>Contribution of the project to the SDGs</i> .....	12
Figure 5: <i>Concept of the Human Rights-Based Approach</i> .....	16

## **Charts**

Chart 1: <i>Project management structure</i> .....	31
--	----

## **Annexes**

Annex 1: <i>Terms of Reference for the Midterm Evaluation Consultant</i> .....	51
Annex 2: <i>Evaulation Matrix</i> .....	63
Annex 3: <i>Work plan / key milestones, deliverables and responsibilities</i> .....	69
Annex 4: <i>Code of conduct for Evaluation in the UN System signed by the Evaluator</i> .....	70
Annex 5: <i>Data source and method of collection, and rationale for choice of data collection method</i> .....	71
Annex 6: <i>Data collection tools</i> .....	72
Annex 6.1: <i>Guidance for Desk Review</i> .....	72
Annex 6.2: <i>Guidance for Key Informant Interviews</i> .....	74
Annex 6.3: <i>Guidance for Focus Group Discussions</i> .....	77
Annex 6.4: <i>Impact Assesment Mapping</i> .....	79
Annex 7: <i>Data analysis plan</i> .....	82
Annex 8: <i>Audit trail form</i> .....	104
Annex 9: <i>Lists of stakeholders interviewed</i> .....	105
Annex 10: <i>List of documents reviewed</i> .....	107

## LIST OF ACRONYMS AND ABBREVIATIONS

AAP	Accountability to Affected Population
COVID-19	Coronavirus Disease - 2019
CPD	Country Programme Document
CSO	Civil Society Organization
DAC	Development Assistance Committee
DGM	Directorate General of Municipalities
ERG	Evaluation Reference Group
EU	European Union
EUR €	Euro
EUTF	European Union Regional Trust Fund for the Syrian Crisis 'Madad Fund'
FAO	Food and Agriculture Organization of the United Nations
FGD	Focus Group Discussion
FFIS	Funding Facility for Immediate Stability
GIS	Geographical Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
Gol	Government of Iraq
HQ	Headquarter
HRBA	Human Rights-Based Approach
ICRRP	Iraq Crisis and Refugee Response Plan
ID	Identification Number
IDP	Internally Displaced Person
ILO	International Labour Organization
IOM	International Organization for Migration
ISWG	Inter-Sector Working Group
JCC	Joint Crisis Coordination Centre
KII	Key Informant Interview
KRI	Kurdistan Region of Iraq
LADP	Local Area Development Programme
LNOB	Leave No One Behind, priority policy of the SDG/2030 Agenda
M&E	Monitoring & Evaluation
MEL	Monitoring, Evaluation and Learning
MERP	Municipal Empowerment and Resilience Project
MSME	Micro, Small and Medium Enterprise
NGO	Non-Governmental Organization
OECD	Organization for Economic Cooperation and Development
PPE	Personal Protection Equipment
RBAS	Regional Bureau for Arab States
RBM	Results Based Management
SDG	Sustainable Development Goal
SEVAT	Scio-economic Vulnerability Assessment Tool
SGBV	Sexual and Gender-Based Violence
SIDA	Swedish International Development Cooperation Agency
SOP	Standard Operating Procedures
3RP	Regional Refugee and Resilience Plan
ToR	Terms of Reference
UN	United Nations
UNAMI	United Nations Mission in Iraq
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
UNEG	United Nations Evaluation Group
UNICEF	United Nations Children Fund
UNSDCF	United Nations Sustainable Development Cooperation Framework
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
US\$	United States Dollar
WHO	World Health Organization
VHC	Vulnerable Host Community
VNGI	International Cooperation Agency of the Association of Netherlands Municipalities

## EXECUTIVE SUMMARY

### Introduction

The final evaluation of the “**Headway project**” was carried out on the initiative of the UNDP and UN-Habitat country offices in Iraq. The **purpose** of the final evaluation is to assess the project performance and on generating practical recommendations, and lessons learnt and good practices for the Iraq component only. The overall **objectives** of the evaluation is to assess the overall Headway project progress against its expected results; outline lessons learned and good practices for use in future similar interventions; provide recommendations on ways to improve future partnerships with project's implementing partners and on factors that can contribute to Headway project sustainability and develop project transition and exit strategy; identify potential added value of the “multi-partner and multi-year” approach taken to implement the initiative in Iraq; and assess relevance, coherence, effectiveness, efficiency, impact, and sustainability of the project.

The main audiences of the evaluation results, and how each audience will use the results, are; (a) **Development partners** (EU, UNDP, and UN-Habitat) and their strategic and operational partner – the Government of Iraq (GOI), are expected to use successful project strategies identified through the evaluation to improve future project design, implementation, and monitoring, and to demonstrate accountability and transparency to the project stakeholders, and (b) **Headway project staff of UNDP and UN-Habitat**, including the **national** and **regional governments**, and **general Iraqi public and beneficiaries** – are expected to use the evaluation results to increase knowledge and understanding of the benefits and challenges of similar intervention in future.

This final evaluation report follows the outline provided in the Evaluation Guidelines of the United Nations Development Programme.

### Description of the Intervention

The action, “*Strengthening the Long-Term Resilience of Subnational Authorities in countries affected by the Syrian and Iraqi Crises*”, referred to as “**Headway**” project in Iraq, is a multi-country, multi-partner, and multi-year initiative implemented by UNDP and UN-Habitat country offices in Iraq and Lebanon. The action is based on the objectives of the EUTF MADAD: “*To address longer-term resilience needs of Syrian refugees in neighbouring countries, as well as supporting host communities and their administrations*”, and as such it is aligned to the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019) and the related national response plans. The action responds to the “3RP Resilience/Stabilization component”, specifically its Livelihoods/Social Cohesion sector.

In Iraq, the Project has two components: (a) *Rehabilitation of water, sanitation and hygiene infrastructure and housing units*, with a specific focus on promoting community engagement, implemented by UN-Habitat; and (b) *Job creation grant scheme*, aimed at generating income for the targeted communities and address a vital need to earn a living with dignity and achieve social inclusion, implemented by UNDP. The implementation was done in partnership with targeted local government counterparts in the Kurdistan Region of Iraq (KRI). Four governorates in the KRI were selected for the Headway Project interventions, namely; Dohuk, Erbil, Ninewa, and Sulaymaniyah as they host approximately 97% (427,820) of the refugee population in Iraq. The main objective of the project is to improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing and economic opportunities. The outcomes are: (a) Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations, (b) Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations, and (c) Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.

The project is aligned to the Iraq National Priority or Goal: Framework of Government Programme (2014-2018): **Priority 1: Working to achieve Iraq's security, stability, and protection of its facilities**; and **Priority 2: Upgrade living standard and services provision for citizens**. It is also aligned to strategic priorities of the UNDP and UN-Habitat programmes in Iraq, as described in their country programmes and strategic plans: **UNDP Country Programme (2020-2024) Output 2.2: Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict**, and **Strategic Plan (2018-2021) Output 1.1.2: Marginalized groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs**. It is also in line with **UN-Habitat Iraq (2020-2023) Strategic Priority 3: Promoting Effective, Inclusive and Efficient Institutions and Services with focus on; housing solutions, infrastructure, informal settlements law, and support municipal, directorate, governorate and central levels**; and **Strategic Priority 5 (2020-2023): Strengthened stabilization, development and peace building initiatives support area-based interventions in locations of displacement, return or relocation to enhance**

*the achievement of voluntary, safe and dignified durable solutions for displacement affected populations, with focus on; supporting IDPs in areas of return with core-housing solutions, rehabilitation of infrastructure, vocational training and HLP solutions. These, together, contribute to: **Sustainable Development Goals (SDGs): Goal 1: End poverty in all its forms everywhere; Goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable, and Goal 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.***

The original project duration ran from 1st January 2019 to 31st December 2021, but was given a no-cost extension for Iraq component to 30th April 2022, to put unspent funds to consolidate interventions on WASH Infrastructure that had shown greater impact. The total Funding to the project is EUR € 9,999,999 (approx. US\$ 11,372,035), with all external funds coming from the EU Regional Trust Fund in Response to the Syrian Crisis - 'Madad Fund'. Overall expenditure by project end was US\$ 10,883,874.52.

## **Approach and Methods**

The Headway final evaluation was conducted from 12th June 2022 to 22nd September 2022. It assessed the project **relevance, coherence, effectiveness, efficiency, impact, sustainability, and inclusion and intersectionality** (human rights, gender and disability), and generated **findings, recommendations, lessons learned and good practices.**

The final evaluation was based on a qualitative design, and the methodology described in the Inception report and outlined in the Terms of Reference. The methodology was based on a hybrid approach, with one in-country mission to the Kurdistan Region of Iraq to consult with and interview stakeholders; the rest of the evaluation time – further data collection, data analysis and report writing, was home-based and remotely conducted. The methodology adopted a participatory and a mixed method for data collection, engaging project stakeholders for consultations, key informant interviews and focus group discussions.

Primary data was collected through face-to-face interviews and on-line platforms (WhatsApp, MS Teams and Zoom), during the in-country mission to Iraq from 24th July to 4th August 2022. It involved consultations with Donor (EU), UNDP and UN-Habitat; key informant interviews with officials from Governorates and Municipalities and Implementing partners; focus group discussions with beneficiaries (businesses, hosts, IDPs and refugees), and on-site observations of WASH and housing activities. Overall, the interviews covered a total of 59 persons (41 men and 18 women). The agreed process for selection of participants was based on longer experience with the project so as to obtain richer information and evidence on the performance and impact of the project.

Secondary data was gathered through desk review of project documents and literature, progress reports, knowledge products (e.g. perception survey reports), and other documents and reports provided by the project teams.

By using a combination of both face to face and on-line interviews, the evaluation avoided any significant limitations in accessing stakeholders for interviews. A stakeholders' debriefing meeting was held on 7th August 2022, after the In-Country mission in Iraq.

## **Data analysis**

Data analysis was done using three methods: contribution analysis, change analysis, and responsibility assignment mapping. Overall, the conclusion on the analysed aspects show positive results, based on the evidence collected through desk review, consultations, key informant interviews, focus group discussions, on-site observations, and inputs from the debriefing meeting with UNDP and UN-Habitat senior management and project teams on 7<sup>th</sup> August 2022.

## **Findings**

In terms of relevance, the two project components – WASH infrastructure and Housing Units, and the Job Creation Grant Scheme, in similar degrees, were relevant. The high relevance of the components is well demonstrated in the WASH infrastructure by the increased demand for water from not only the hosts, IDPs and refugees' populations, but also the wider community. Similarly, the Job Creation Grant Scheme tailored towards the vulnerable IDPs and refugee populations, has enabled them to realize that one can still engage in economic activity even when in a crisis situation. The housing units offered solutions to the safety and protection concerns of the vulnerable women and girls against potential exposure to sexual violence at night. In many ways, the project aligned with both the national and UNDP and UN-Habitat strategic priorities for Iraq, the 2030 Agenda for Sustainable Development - "Reaching the Furthest Behind First," and the human right principles of "Respect, Protect, Provide and Fulfil the Rights of the Rights Holders."

In terms of coherence, the project design contributed to complementary work with other entities. Its strong engagement in coordination both internally and externally, and nationally and sub-nationally with other actors with similar interventions at the design phase, helped to avoid duplication in interventions, and so ensured best use of resources. It was delivered through a government-led response and with international obligations. It demonstrated a high level of responsiveness by acting quickly in response to the outbreak of the COVID-19 pandemic.

The effectiveness is the key strength of the project when judged from the full or over-achievement of all project output targets. The project's coordination, cooperation and capacity building efforts not only influenced these achievements, but also improved the project visibility and institutionalization of the knowledge management from the project implementation. Most negative effects, such as the impact of COVID-19 pandemic, were, however, addressed by the participatory planning process by modifying the approach to project interventions, and so enabled the project to continue to provide services to the vulnerable populations. This also improved the level of stakeholders' satisfaction with the project interventions.

The efficiency in project management is demonstrated in the project's success in implementing and completing all its activities by the project end date of 31 December 2021, with a no-cost extension up to 30th April 2022. The quality of implementation was overall good, with expenditure kept within the overall total budget. The capacity development actions that strengthened partnerships between Governorates, Municipalities, NGOs, and the private sector, increased the project's decision-making, planning and implementation processes. The most important added values of the project's multi-partners and multi-year approach were in the areas of; building trust among partners, increased partners' ambitions to enter new partnerships, increased individual organization's stature, and contribution to completing all project activities and achieving all the outputs by the project end date of 31 December 2021, with a no-cost extension up to 30th April 2022. The project scored well in terms of monitoring, evaluation and learning, although the monitoring system did not have qualitative indicators to which qualitative statements of outcome and impact from beneficiaries could be linked. Progress reports were well structured in terms of reporting on what has been done and progress on achievements.

Impact was heightened by linkages to Governorates and Municipalities structures and was greater when participatory planning set realistic targets and implemented reliable interventions. All the implementers were resourceful in considering activities against budget lines and interventions that had the maximum impact. The project was proactive in identifying interventions appropriate for alleviating protection concerns of hosts, IDPs and refugee populations. High impacts were achieved under all the two components (WASH infrastructure and rehabilitation of housing units, and Job Creation Grant Scheme). The project impacts were ably communicated through a wide array of channels that suited and reached a variety of project and non-project stakeholders - from global, national, and sub-national to community levels.

Sustainability was demonstrated by a strong sense of local ownership in the project and highly visible Iraqi technical management. Participatory planning, in which rights and responsibilities were negotiated, best demonstrated in the WASH infrastructure and rehabilitation of housing units, was critical to the sense of ownership. The businesses supported through the Job Creation Grant Scheme should survive without EU and UNDP funding, as the Grant mostly built on already existing businesses, and business ideas are from the companies themselves.

By linking the humanitarian interventions with the recovery needs of affected populations in the neighbourhoods, the project eliminated discrimination and promoted social cohesion in the community. In addition to the rehabilitation of houses in targeted areas, the project also addressed recovery needs of the neighbouring local populations through the upgrade of water network infrastructure to ensure regular supply of clean water to the wider community. In addressing this, the project demonstrated Iraqi Government's commitment to two International Human Rights Treaties, namely; the Geneva Convention on Protection of Victims of International Armed Conflicts (Protocol I), ratified on 4th January 2010, and the International Convention on Civil and Political Rights, ratified on 25th January 1971.

The project mainstreamed gender as judged from gender-responsive indicators that measure the participation of the community by sex (male & female) and gender (women, men and youth). It scored well in mainstreaming gender in its interventions (Gender Equality Marker, GEM 2). Engagement with women-run NGO that promoted inclusion of women in the project activities was fundamental. It encouraged better allocation of resources for gender mainstreaming activities.

PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

## **Conclusions**

The two project components – WASH infrastructure and Housing Units and the Job Creation Grant Scheme, in similar degrees, were efficient, coherent, inclusive, effective, make a positive impact, relevant and sustainable. Common to



them all, in similar degrees, was an emphasis on participatory planning in which the rights and responsibilities of implementing agencies and partners and of beneficiaries were fully recognized. This was key to cost-sharing between the EU, UNDP, UN-Habitat, government and vulnerable communities. It is difficult to assess what would have happened if the European Union, UNDP and UN-Habitat had not intervened in the Governorates of Erbil, Dohuk, Ninewa and Sulaymaniyah, in response to the IDPs and refugees crisis. The probabilities are that, the crisis would have been worse than it is now. Access to water, housing units and employment opportunities would have been lower. The following recommendations are worth paying attention to for future similar project designs:

## Recommendations

- a) **Follow on the achievements made so far:**
  - Scale up the project, keeping both the WASH infrastructure and Job Creation components, but adding to the WASH infrastructure more environmentally friendly, sustainable and cheaper energy sources for water supply. In addition, given the current global food shortage and inflation of prices, FAO would be an important partner in the development of appropriate agricultural interventions for both hosts and refugee populations for sustainable food supply and improvements in incomes; and IOM for migration opportunities for refugees.
- b) **Project Design:**
  - Improve future project design with clarity on the engagement with persons with disabilities and disaggregation of disability data at baseline, targets and during implementation and reporting.
- c) **Project Implementation:**
  - Future interventions should be more developmental-oriented rather than relief-oriented, which may require less funding but have a more structural impact.
- d) **Monitoring and Evaluation:**
  - Improve measurement of project impact and outcome

## Lessons learned

- a) The first lesson is that the presence of UNDP, UN-Habitat and their partners in the country, and even in locations where the project was being implemented, allowed the Headway project to quickly become operational after awarding the grant, and so enabled fast service delivery to beneficiaries and affected communities.
- b) The second lesson is that relegation of responsibilities and management decisions to the Headway project reduced the control of EU over activities and the project on the service-delivery level. As a decentralized model, the Headway joint action gained its own momentum independently from EU's influence.
- c) The third lesson is that involvement of governmental structures in service delivery had considerable advantage in that local structures have received much needed capacity building.
- d) The fourth lesson is that by focusing on the livelihoods of the very poor households, the project interventions met the needs of the hosts, IDPs and refugee populations because they were directly involved in defining them.

Lessons specific to each component are described below:

### *Rehabilitation of Housing Units (UN-Habitat)*

- The SEVAT's participatory approach to social issues of most kinds is of the first importance. It is of particular value in any targeting of the very poor, because only thus can discrimination and branding be dealt with.

### *WASH (UN-Habitat)*

- Working with local institutions, and thus developing local solutions is clearly important. The local technical capacity in Iraq/KRI was considerable, and future technical cooperation will best be focused on providing management support systems that continues to allow Iraqi/KRI authorities to lead the response in the broader frame of service delivery.

### *Job Creation Grant Scheme (UNDP)*

- The Micro, Small, Medium Scale Enterprises (MSMES) are appropriate and effective in reaching a diversity of families in a difficult environment such as that in the Kurdistan Region of Iraq (KRI). It also made clear that there are some areas (in this case Grants management) in which it is unwise to rely heavily on inexperienced persons to administer, but recruit a reputable private sector provider (in this case, Rwanga Foundation) to select beneficiaries for the seed grants through a call for proposals, vetted by a transparent committee.

*Monitoring, Evaluation and Learning (UNDP & UN-Habitat)*

- Beneficiary qualitative statements make impact monitoring easier as information fed into the monitoring system comes from a different source (i.e. beneficiaries) and not the same entities (staff) implementing the project.

**Good practices**

Good practices specific to each component are described below:

*WASH (UN-Habitat)*

- Linking the humanitarian interventions with the recovery needs of affected neighbourhoods is a good practice. In addition to the rehabilitation of houses in targeted areas, the Project also addressed recovery needs of local populations through the upgrade of water network infrastructure to ensure regular supply of clean potable water to the wider community.

*Rehabilitation of Housing Units (UN-Habitat)*

- Engaging of locally hired labour in the rehabilitation of houses in their respective neighbourhoods had substantial impact. In addition to supporting the livelihood and local economic development in the target locations, engaging labour from among direct beneficiaries of the house rehabilitation component resulted in more social cohesion between the host community members, IDPs and refugees.

*Job Creation Grant Scheme (UNDP)*

- The Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market. Thus, creates an environment for sustainable economic development based on market. Similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development work.

*Monitoring, Evaluation and Learning (UNDP & UN-Habitat)*

- The annual outcome monitoring of beneficiary perception of and satisfaction with the project interventions through Focus Group Discussions was clearly a good practice. It enables the Donor (EU), UNDP and UN-Habitat and their implementing partners to gain more reliable information about the outcome and impact of interventions as project implementation goes on.

## 1. INTRODUCTION

The final evaluation of the **“Headway project”** was carried out on the initiative of the UNDP and UN-Habitat country offices in Iraq. The **purpose** of the final evaluation is to assess the project performance and on generating practical recommendations, and lessons learnt and good practices for the Iraq component only. The **objectives** of the evaluation are; (a) assess the overall Headway project progress against its expected results, and contribution towards the UNDP CPD and UN-Habitat Programme Overview for Iraq, (b) outline lessons learned and good practices for use in future similar interventions, (c) provide recommendations on factors that can contribute to Headway project sustainability and develop project transition and exit strategy, (d) recommend ways to improve future partnerships with project's implementing partners, (e) assess relevance, coherence, effectiveness, efficiency, impact, and sustainability of the project, (f) identify potential added value of the “multi-partner and multi-year” approach taken to implement the initiative in Iraq, and (g) assess the degree to which the project made a difference, positively or negatively, that is, impact.

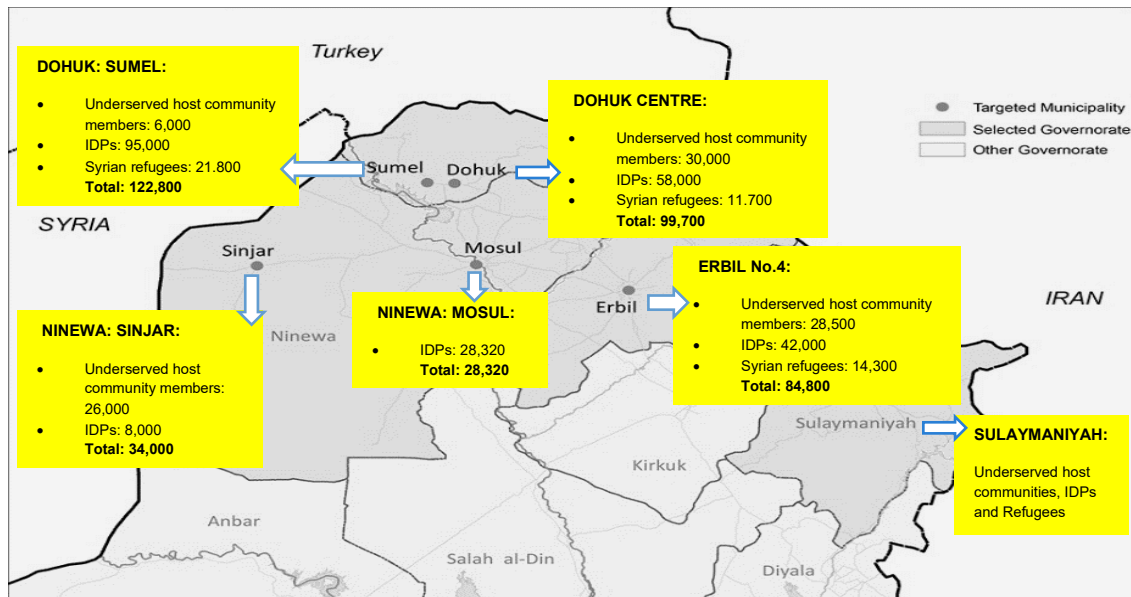
The main audiences of the evaluation findings and recommendations, and how they will use the results, are; (a) **Development partners** (EU, UNDP, and UN-Habitat) and their strategic and operational partner – the Government of Iraq (GOI), are expected to use successful project strategies identified through the evaluation to improve future project design, implementation, and monitoring, and to demonstrate accountability and transparency to the project stakeholders, and (b) **Headway project staff of UNDP and UN-Habitat**, including the **national and regional governments**, and **general Iraqi public and beneficiaries** – are expected to use the evaluation results to increase knowledge and understanding of the benefits and challenges of similar intervention in future.

This final evaluation report follows the outline provided in the Evaluation Guidelines of the United Nations Development Programme, that is; (a) Title and opening pages, (b) Project and evaluation information details, (c) Table of contents, (d) List of acronyms and abbreviations, (e) Executive Summary, (f) Introduction, (g) Description of the Intervention, (h) Evaluation purpose, scope and objectives, (i) Evaluation Approach and Methods, (j) Data Analysis, (k) Findings, (l) Conclusions, (m) Recommendations, (n) Lessons learnt and Good practices, and (o) Annexes. The report presents the findings in line with the project evaluation criteria of **relevance, coherence, effectiveness, efficiency, impact, sustainability, and inclusion and intersectionality** (human rights, gender, and disability aspects of the project), described in the Terms of Reference.

## 2. DESCRIPTION OF THE INTERVENTION

### 2.1. Overview of the Headway project

Figure 1: Map of the crisis affected areas in the Kurdistan Region of Iraq



**Note:** 58,200 additional refugees live in Refugee Camps in the three governorates of Dohuk, Erbil, and Ninewa, bringing total population to 427,820

**Source:** Figures from UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018)

The action: “*Strengthening the Long-Term Resilience of Subnational Authorities in countries affected by the Syrian and Iraqi Crises*”, is a multi-country, multi-partner, and multi-year initiative implemented by UNDP and UN-Habitat country offices in Iraq and Lebanon. The action is based on the objectives of the EUTF MADAD: “*To address longer-term resilience needs of Syrian refugees in neighbouring countries, as well as supporting host communities and their administrations*”, and as such it is aligned to the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019) and the related national response plans. The action responds to the “3RP Resilience/Stabilization component”, specifically its Livelihoods/Social Cohesion sector.

Overall, the joint action sought to optimize the impact of a range of interventions by multiple actors towards improving the resilience of host and refugee populations by complementing their efforts and accurately targeting to fill the gaps in support, where a UN Partnership have a strong added value. Such complementarity required supporting institutionalization and operationalization of integrated multi-level planning and implementation of cross-sectoral actions covering basic social services as well as local economic development, including inducing employment opportunities, availing affordable housing, and improving the management of natural resources. In Iraq, the “*Strengthening the Long-Term Resilience of Subnational Authorities in countries affected by the Syrian and Iraqi Crises*” project has been given a shortened name “*Headway*” Project as agreed on with the EU Delegation to better identify the programme at the country level and for communication purposes.

The Headway Project has two components: (a) *Rehabilitation of water, sanitation and hygiene infrastructure and housing units*, with a specific focus on promoting community engagement, implemented by UN-Habitat; and (b) *Job creation grant scheme*, aimed at generating income for the targeted communities and address a vital need to earn living with dignity and achieve social inclusion, implemented by UNDP. Three governorates in the Kurdistan Region of Iraq (KRI) were selected for the Headway Project interventions, namely; Dohuk, Erbil, and Ninewa as they host approximately 97% (427,820) of the refugee population in Iraq.<sup>3</sup>

The main objective of the project is to improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services,

<sup>3</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.19)

affordable housing<sup>4</sup> and economic opportunities. The specific objectives are: (a) Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations, (b) Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations, and (c) Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.

The Headway project has three outcomes and six outputs:

**Outcome 1: Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations.**

Output 1.1: Improved and updated knowledge of vulnerabilities and risks.

Output 1.2: Strengthened local capacity to prioritize resilience building interventions.

**Outcome 2: Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations.**

Output 2.1: Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure.

Output 2.2: Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households.

**Outcome 3: Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.**

Output 3.1: Improved knowledge of labour market

Output 3.2: Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation.

The Headway project is aligned and contributes to:

UNDP Strategic Plan 2018-2021	<b>Output 1.1.2:</b> Marginalized groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs.
UN-Habitat Strategic Plan (2020-2023):	<b>Domain of Change:</b> Effective Urban Crisis Prevention and Response.
UNDP Country Programme Document (2020-2024):	<b>Output 1.2:</b> Civil society and academic institutions strengthened to promote social cohesion, prevention of violent extremism and sustainable development. <b>Output 2.2:</b> Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict.
National Priority or Goal: Framework of Government Programme (2014-2018)	<b>Priority 1:</b> Working to achieve Iraq's security, stability, and protection of its facilities; and <b>Priority 2:</b> Upgrade living standard and services provision for citizens
Sustainable Development Goals (SDGs)	<b>Goal 1:</b> End poverty in all its forms everywhere. <b>Goal 11:</b> Make cities and human settlements inclusive, safe, resilient, and sustainable and <b>Goal 16:</b> Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.

**Project duration:** 01 January 2019 - 30 April 2022.

**Total Funding:** EUR € 9,999,999 (approx. US\$ 11,372,035)

**Funding source:** EU Regional Trust Fund in Response to the Syrian Crisis 'Madad Fund'.

**Overall expenditure by project end:** US\$ 10,883,874.52.

<sup>4</sup> Only in Iraq.

### 3. EVALUATION PURPOSE, SCOPE AND OBJECTIVES

Figure 2 summarizes the evaluation purpose, scope and objectives.

Figure 2: *Final Evaluation purpose, scope and objectives*

PURPOSE, SCOPE, AND OBJECTIVES
<b>PURPOSE</b>
<b>LEARNING, ACCOUNTABILITY AND TRANSPARENCY</b>
Generate actionable recommendations and, lessons learnt and good practices that can improve the sustainability of benefits from the project, and aid in the overall enhancement of similar future programming.
<b>SCOPE</b>
<b>TIMEFRAME:</b> 12 June – 22 September 2022 <b>GEOGRAPHY:</b> Iraq, in the Governorates of: Dohuk, Erbil, Ninewa and Sulaymaniyah <b>COMPONENTS:</b> Water, Sanitation and Hygiene Infrastructure and Housing Units • Job Creation Grant Scheme
<b>OBJECTIVES</b>
<b>RELEVANCE, COHERENCE, EFFECTIVENESS, EFFICIENCY, IMPACT, AND SUSTAINABILITY</b>
Assess project achievements, human rights, gender mainstreaming and equality, and inclusion of diverse groups, potential added value, and improvements for future design and partnerships

The **purpose** of the evaluation is to assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of similar future programming. The final evaluation report promotes accountability and transparency and assesses the extent of Headway project accomplishments. The final evaluation report also provides assessment of the linkages and intersections of UNDP Country Programme Document (CPD) and UN-Habitat Iraq Programme Overview, with result areas spearheaded by the United Nations Sustainable Development Cooperation Framework (UNSDCF) for Iraq.<sup>5</sup>

The **scope** of the final evaluation is to assess the project intervention in Iraq. The scope covers three outcomes of the project: (a) **Outcome 1:** Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations; (b) **Outcome 2:** Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations; and (c) **Outcome 3:** Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations. The two components covered by the project are: (a) WASH infrastructure and Housing Units, and (b) Job Creation Grant Scheme. The evaluation stakeholders include individuals and organizations from the public and private sectors, as well as NGOs, and development partners. The time frame for the evaluation is 12 June - 22 September 2022.

The **objectives of the evaluation** are; (a) Take stock of the overall Headway project progress in Iraq, achieved against the project's expected results, and contribution towards the UNDP CPD and UN-Habitat Iraq Programme Overview, (b) Outline lessons learned and good practices that can be used in future identification, design, regular review, implementation, and monitoring of similar interventions, (c) Provide constructive and practical recommendations on factors that can contribute to Headway project sustainability and develop project transition and exit strategy, (d)

<sup>5</sup> UNSCF for Iraq is available here: <https://unsdg.un.org/un-in-action/iraq>

Appraise Headway project achievements against its expected outputs and recommend ways to improve future partnerships with project's implementing partners/target groups, (e) Assess **relevance, coherence, effectiveness, efficiency, impact, and sustainability** of the project, (f) Identify insights on the potential added value of the “multi-partner and multi-year” approach taken to implement the initiative in Iraq, and (g) Assess the degree to which the project made a difference, positively or negatively, that is, impact.

Specifically, the final evaluation assessed the evaluation criteria of; **relevance, coherence, effectiveness, efficiency, impact, sustainability, and Inclusion and Intersectionality**, as described in details for each evaluation criteria under “**Section 6: Findings**”, and in the Terms of Reference in **Annex 1**.

## 4. EVALUATION APPROACH AND METHODS

### 4.1. Evaluation Approach

The Headway Project final evaluation adopted a participatory approach, engaging a wide group of stakeholders in the project. Participation of the main partners was necessary to promote ownership, facilitate future buy-in, ensure accountability, and facilitate reaching utilization-focused recommendations for UNDP and UN Habitat Headway Project partners.

The final evaluation employed a **qualitative design**, although a mixed of both quantitative and qualitative data collection and analysis methods were applied. Applying a mixed of data collection and analysis methods offered a wide variety of perspectives and therefore gave a more reliable picture of the project's achievements and limitations.

The evaluation was based on a hybrid approach, with one in-country mission to Iraq to conduct interviews, and the rest of the evaluation time was home-based.

The evaluation was conducted in 31 days over a period from 12th June 2022 to 22nd September 2022 (**see workplan in Annex 3**). The evaluation process included three phases as described in **Table 1**.

Table 1. *Phases of the final evaluation*

Phase	Description	Deliverable
<b>Inception Phase</b>	<p>Preliminary desk review and initial remote interviews with UNDP/ UN Habitat's Headway Project Management teams to familiarize with the project interventions, identify the sampling frame, key stakeholders for interviews, detailed Evaluator's understanding of what is being evaluated, and to fine-tune the evaluation methodology, tools and rationale for selection and limitations; evaluation matrix detailing key questions and how they will be answered; and work plan.</p> <p>Presentation of the Inception Report to UNDP/UN Habitat Evaluation Reference Group (ERG), Headway project managers, and senior management, within 5 days after the submission of the inception report, and prior to visiting Iraq.</p>	<p><b>Inception Report (15 pages max)</b></p> <p><b>Power Point Presentation of the Inception Report to ERG</b></p>
<b>Data collection Phase</b>	Further collection of documents; literature search and in-depth desk review; remote and in-country interviews with the project stakeholders.	<b>In-country evaluation exit debriefing meeting.</b>
<b>Data Analysis and Report Synthesis Phase</b>	<p>Analysis of the collected data, aggregation of findings in line with the evaluation objectives, criteria and questions, assessment of progress and contribution of the project to achieved results, and development of recommendations.</p> <p>Consultation/Verification: Electronic peer review of draft evaluation report by ERG.</p> <p>Submission of Draft Final Evaluation Report to Evaluation Commissioners and presentation to ERG, including findings, structural implementation mechanisms created and institutionalized results, recommended next steps.</p> <p>Incorporate feedback from ERG to draft report, including Audit trail of how comments have been addressed</p>	<p><b>Draft Evaluation Report (50 pages max, excluding Executive Summary, Annexes and two summary reports - 2 pages max each for UNDP and UN-Habitat), submitted to the Evaluation Commissioner.</b></p> <p><b>Power Point Presentation of Draft Evaluation Report to ERG</b></p>
	Presentation of the Final Evaluation Report to Evaluation Commissioner; Prepare Final Report following minimum requirements of UNDP/UN- Habitat evaluation reports, linking the findings to relevant outcome in the United Nations Sustainable Development Cooperation Framework (UNSDCF).	<b>Final Evaluation report and two summary reports (2 pages max each for UNDP and UN-Habitat)</b>

### 4.2. Methods of data collection, data source, and rationale for their selection



Generally, interviews for data collection were conducted through face-to-face interviews and using on-line platforms (WhatsApp, Ms Teams and Zoom).

**Qualitative information** was collected through: (a) **desk review** of literature and project documents, (b) **inception meetings** with UNDP/UN-Habitat senior management teams and Headway project managers on 16th and 22nd June 2022 to agree on the evaluation methodology, (c) **consultation meetings** with UNDP/UN Habitat senior management teams and Headway project managers, and representatives of the European Union MADAD Fund in Brussels in Belgium, (d) **key informant interviews (KII)** with project stakeholders - officials and technical staff of the Governorates and Municipalities of Erbil, Dohuk, Ninewa and Sulaymaniyah, and implementing partners, (e) **focus groups discussions (FGD)** with representatives of beneficiaries: businesses, employees, hosts, IDPs and refugees, (f) **On-site observations** of project activities, in particular, WASH infrastructure and housing units in Erbil, and (g) **impact assessment mapping**.

**Quantitative information** was collected through **content analysis** of project progress reports, in particular the Results Framework, focusing on **records/numbers** of services provided and products produced. Data disaggregation by gender was also captured where such data existed in the progress reports and in the Results Framework.

The choice of particular data collection method was guided by the evaluation criteria and key questions described in the Terms of Reference, and sub-questions developed by the Evaluator (**see Annex 2**). The data sources and methods of data collection, and rationale for their selection are described in **Annex 5**.

#### **4.2.1. Data collection tools, protocols, and sampling procedure**

##### **4.2.1.1. Data collection tools**

The Evaluation Matrix in **Annex 2** identifies what to look for/sub-questions to answer the key evaluation questions. The tools for data collection, namely; desk review guide, key informant interviews (KII) and focus group discussion (FGD) guides, and Impact Assessment tool, are presented in **Annexes 6.1, 6.2, 6.3, and 6.4**, respectively. KII Guides were also applied to guide programme and policy level consultations with stakeholders (UNDP and UN-Habitat senior management and EU).

##### **4.2.1.2. Data collection protocols**

The data collection tools were accompanied with data collection protocols, which are systematic procedures for interviewing, collecting and recording data that ensured high-quality data was collected, and gathered efficiently and transparently. The data collection protocols are described at the introduction of the data collection tools in **Annexes 6.2 and 6.3**.

##### **4.2.1.3. Sampling procedure and sample size**

Purposive sampling was applied for selection of stakeholders for the evaluation. 59 persons (41 male & 18 female) participated in the interviews. The participants for interviews were selected from; beneficiaries of houses rehabilitation (hosts, IDPs and Refugees), businesses, business employees (hosts, IDPs and Refugees), Governorates and Municipalities, UNDP and UN-Habitat Senior Management teams and Headway project managers, Implementing Partners, and Donor (EU) (**see Figure 3**). The list of those interviewed and methods of data collection applied for each stakeholder's group is presented in **Annex 9**. Selection of individuals to participate in the KII, FGD, and Impact assessment mapping, was based on in-depth experience with the project, and use was made of the project teams to identify the right people for interviews. This selection was done such as to ensure validity (or accuracy in measurement recorded), credibility (or reliability of evidence collected) and interpretation of evaluation results. The maximum number of KII or FGD ranged from one to two per stakeholder group. This is justifiable because more KII or FGD meetings do not necessarily lead to more information, and the strength of inference which can be made from them increases rapidly once factors start to recur with more than one participant or meeting<sup>6</sup>.

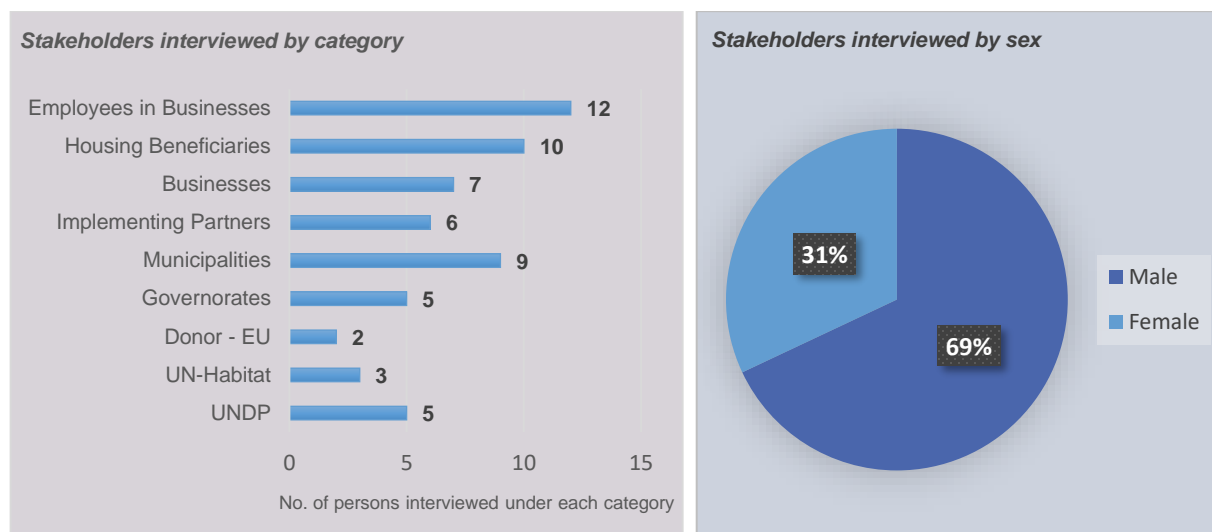
---

<sup>6</sup> Ritche, J; Lewis, J, & Elam, G. (2003). Designing and selecting samples. In Jane Ritche & Jane Lewis (Eds.), Qualitative research practice. A guide for social science students and researchers (pp 77-108). Sage.

### 4.3. Stakeholders participation

The evaluation took into consideration representation from the project stakeholders targeted by the project. The breakdown by stakeholder category and sex is illustrated in **Figure 3**.

Figure 3: *Evaluation stakeholders interviewed by category and sex*



### 4.4. Evaluation Management

To ensure effectiveness and quality of the final evaluation undertaken by the Evaluator, the evaluation management structure was the Evaluation Reference Group (ERG) comprising of UNDP and UN-Habitat technical staff, with reporting line to UNDP/UN-Habitat Senior Management. This was intended to promote participation and quality review, and to ensure that the evaluation approach is relevant. The project managers were tasked with providing both substantive and logistical support to the Evaluator, making refinement to the evaluation work plan, and organize key partners and beneficiaries for interviews. The ERG and the project managers were consulted on key aspects of the evaluation process to provide input at key stages of the evaluation, including presentation of the In-country Mission report to senior management of UNDP and UN-Habitat.

### 4.5. Ethical considerations

The evaluation was carried out in accordance with the 'Code of conduct for Evaluation in the UN System' signed by the Evaluator (**see Annex 4**). It was also conducted in compliance with the UNDP Evaluation Guidelines and Policies, including Evaluation guidelines during COVID-19, and OECD evaluation principles and guidelines and DAC Evaluation Quality Standards.<sup>7</sup> Based on the confidentiality requirements stated in the data collection tools (**see Annexes 6.2 & 6.3**), and **Code No.3** in the Code of Conduct for Evaluation in the UN System in **Annex 4**, the Evaluator has not published the names of respondents in the report, but only presents the names of institutions/groups and number of persons interviewed in each institution/group.

### 4.6. Background information on the Evaluator

Patrick Orotin holds a Doctorate Degree in Management, a Master's Degree in Agriculture, and a Diploma in Education. He has a background and experience working as evaluator of; UN Country Programmes, Organizational Development, Economic Reform, Climate Change and Renewable Energy, Gender Based Violence, Child Protection, Education, Health Systems Strengthening programmes and projects, in Africa, Arab States, and Central Asia. He is well versed with the UN programming and operations, having served as Monitoring and Evaluation (M&E) Specialist of the UN Joint

<sup>7</sup> OECD (FEBRUARY 2020). BETTER CRITERIA FOR BETTER EVALUATION. Source: <https://www.oecd.org-dac>

Programme on Population, and Co-Chair of the Joint UN M&E team in Uganda. In international evaluation standards, Patrick is familiar with the OECD/DAC criteria and guidelines and evaluation quality standards, UNDP Evaluation Guidelines and Policies, UNEG Guidelines and approaches for evaluation, as well as GEF Guidelines for Midterm and Final Evaluations, having managed over eight evaluations for the United Nations (including as Evaluation Team Leader and Evaluation Manager for programmes and projects, singly and jointly implemented by UNDP, UNICEF, UNFPA, FAO, WHO, UN-Habitat and ILO), and over seven other evaluations for USAID, SIDA, UK Aid, and international NGOs. He is fluent in English and fair in French.

#### **4.7. Major limitations of the Methodology and solutions implemented**

- a) Some project stakeholders could not be met in person. This limitation was addressed by conducting online interviews using WhatsApp, zoom, or MS Teams.
- b) Some of the original technical staff and Government officials who were involved in the project implementation had left their positions. Some Governorate officials had retired, while some Municipal officials had been promoted to other offices. Nonetheless, UNDP/UN-Habitat project teams were able to make contacts with them and both face-to face interviews and online interviews (using WhatsApp), were conducted.

## **5. DATA ANALYSIS**

Collected data were grouped by the evaluator into assessment areas (**relevance, coherence, effectiveness, efficiency, impact, sustainability, inclusion and intersectionality** - human rights, gender, and disability aspects of the project) as presented in the Data analysis plan in **Annex 7**, and in line with their key evaluation criteria questions described in the Evaluation Matrix in **Annex 2**.

Notes from desk review, consultations, key informant interviews, focus group discussions, and impact assessment, were reduced through content analysis to allow quality evaluation of the data against the indicators in the results framework and the key evaluation questions, and their triangulation. Both quantitative and qualitative aspects were considered and assessed. Where data disaggregation exist in the progress reports and Results Framework, data on change analysis is presented by disaggregating data by sex and gender in the evaluation report.

Evaluation questions under each evaluation criteria in the Evaluation Matrix was assessed using the following **rating**<sup>8</sup> to measure level of achievement for the evaluation criteria of **Relevance, Coherence, Effectiveness, Efficiency, Sustainability, and Inclusion and Intersectionality**, based on the Evaluator's professional judgment:

- **Achieved:** broadly with few exceptions
- **Moderately achieved:** a combination of strengths and weaknesses
- **Partially achieved:** a lot of weaknesses and gaps
- **Not achieved:** no strength evident

For the case of measurement of **Impact**, the **Impact assessment mapping notes**<sup>9</sup> in **Annex 6.4** was applied.

The methodologies for data analysis are described in **Table 2**.

Table 2. *Data analysis methods applied and rationale for selection*

Method	Rationale for Selection
<b>Change analysis</b>	Collected data is systematized and compared against the achievements and expected changes described in the project document and progress reports provided by UNDP/UN- Habitat. This helps to reach conclusions on progress of the project towards the targets and most effective approaches and recommendations for the next similar actions. Where data disaggregation exist in the progress reports, data on change analysis is presented by disaggregating data by gender in the evaluation report.
<b>Contribution analysis</b>	Contribution analysis is most appropriate method used in understanding the causes of achieved results, results chains, roles of each of the stakeholder involved and other internal and external factors, including both enablers and barriers. That enables drawing conclusions around the main contributors, including the level of contribution of UNDP/UN- Habitat Headway project partners to the achieved results.
<b>Responsibility assignment mapping</b>	Using the logic of the intervention, and involvement of UNDP/UN- Habitat and Headway project partners, the evaluation will systematize the collected data on partnership arrangements between UNDP/UN Habitat and Headway project partners, particularly GOI, practical implementation arrangements and expressed need for cooperation. Ultimately, this helps in reaching conclusions on effectiveness and efficiency of the support and recommendations on how to increase the effectiveness of the cooperation.

## 6. FINDINGS

<sup>8</sup> Rating proposed by the Evaluator

<sup>9</sup> Adapted from the Methodological Approach for Impact Assessment, used in the final evaluation of the USAID funded Community Resilience and Dialogue project in Uganda, 2007.

This section of the report presents the findings and analysis of the Headway Project final evaluation, organized to reflect the project's **relevance, coherence, effectiveness, efficiency, impact, sustainability, inclusion and intersectionality** (human rights, gender, and disability aspects of the project), as specified in the Terms of Reference (**see Annex 1**) and in the Inception Report approved for this evaluation. Each key evaluation question under Relevance, Coherence, Effectiveness, Efficiency, Sustainability, and Inclusion and Intersectionality, was analyzed using the following rating to measure level of achievement. The rating was based on the Evaluator's professional judgment as was described under the section on **Data analysis** for this evaluation.

- **Achieved:** broadly with few exceptions
- **Moderately achieved:** a combination of strengths and weaknesses
- **Partially achieved:** a lot of weaknesses and gaps
- **Not achieved:** no strength evident

For the case of measurement of Impact, the **Impact assessment mapping** notes in **Annex 6.4** was applied.

## 6.1. Relevance

The project **relevance** was assessed by: (i) the extent to which the Headway Project is in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs; (ii) the extent to which the Headway project interventions (i.e., the major activities) were appropriately designed and executed to meet the needs of target beneficiaries; (iii) the level of relevant stakeholders' participation in the Headway project design, implementation and monitoring and ownership; (iv) the extent to which the Headway project appropriately was responsive to security, political, economic, institutional, and other changes in Iraq; (v) the extent to which the Headway project contributes to the human rights-based approach, gender equality and women's empowerment; and (vi) the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.

### 6.1.1. Alignment with national reform priorities and policies and UNDP and UN-Habitat Country programmes, Strategic Plans and the applicable SDGs

**Achieved:** *The evaluation concludes that the project is highly relevant and aligns to the global thematic priorities of UNDP and UN-Habitat, as well as strategic priorities of Iraq, EUTF MADAD, and the relevant SDG Goals.*

As mentioned in the project overview, the project addressed the resilience and stabilization needs of the impacted and vulnerable populations through supporting longer term efforts for better systems and capacities for local development. It also facilitated shorter and more immediate results that would help host communities and refugees improve their state of living.<sup>10</sup> Moreover, the project is based on the objectives of the donor-EUTF MADAD: "To address longer-term resilience needs of the Syrian refugees in neighbouring countries, as well as supporting host communities and their administration"<sup>11</sup>, and is aligned to the regional framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019).<sup>12</sup> It also aligned to the Iraq National Priority or Goal: Framework of Government Programme (2014-2018): **Priority 1: Working to achieve Iraq's security, stability, and protection of its facilities;** and **Priority 2: Upgrade living standard and services provision for citizens.**<sup>13</sup>

Among the priority needs, the project design focused on attending to two components: WASH Infrastructure and Housing, and the Job Creation Grant Scheme, two key livelihood areas that appeal to the life of vulnerable populations. These are also strategic priorities of the UNDP and UN-Habitat programmes in Iraq, as described in their country programmes and strategic plans: **UNDP Country Programme (2020-2024) Output 2.2: Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict,**<sup>14</sup> and **UNDP Strategic Plan (2018-2021) Output 1.1.2: Marginalized groups, particularly the poor, women, people with disabilities and**

<sup>10</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.2)

<sup>11</sup> Ibid., p.2.

<sup>12</sup> Ibid., p.2.

<sup>13</sup> National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)

<sup>14</sup> UNDP Country Programme Document (CPD) 2020-2024: <https://www.iq.undp.org/content/iraq/en/home/library/iraq-cpd-2020-2024.html>

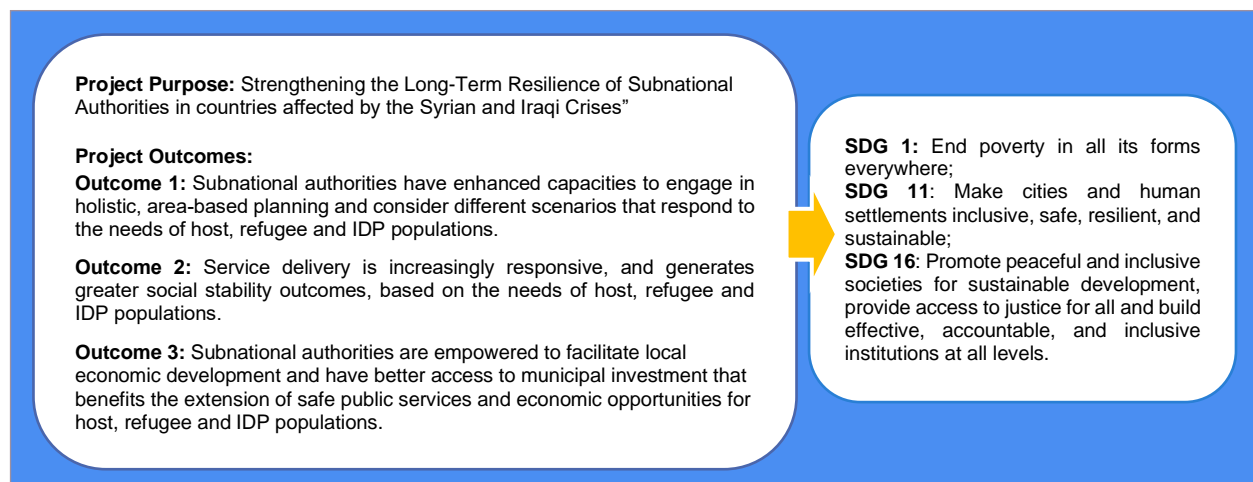
displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs.<sup>15</sup> It is also in line with **UN-Habitat Iraq (2020-2023) Strategic Priority 3: Promoting Effective, Inclusive and Efficient Institutions and Services with focus on; housing solutions, infrastructure, informal settlements law, and support municipal, directorate, governorate and central levels;** and **Strategic Priority 5 (2020-2023): Strengthened stabilization, development and peace building initiatives support area-based interventions in locations of displacement, return or relocation to enhance the achievement of voluntary, safe and dignified durable solutions for displacement affected populations, with focus on; supporting IDPs in areas of return with core-housing solutions, rehabilitation of infrastructure, vocational training and HLP solutions.**<sup>16</sup>

As consultations with key informants at UNDP and UN-Habitat revealed, the project also reflects the strategic priorities of the donor, EUTF MADAD, who is committed to support further the inclusion of communities in crisis within its regional strategy for strengthening resilience among populations who continue to be affected by the Iraqi and Syrian crises.

By complementing and integrating into the ongoing EUTF MADAD-funded actions, UNDP and UN-Habitat aimed at strengthening and scaling-up their resilience response to the crisis through a multi-partner and multi-year action for greater effectiveness, accountability and consistency in delivery through their country offices in Iraq.<sup>17</sup> At the global level, the Headway project outcomes contribute to the SDGs priority **Goal 1: End poverty in all its forms everywhere;** **Goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable;** and **Goal 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.**<sup>18</sup>

Figure 4 illustrates how the project contributes to the 2030 Agenda for Sustainable Development (SDG) by reflecting the link between the project outcomes and the SDGs.

Figure 4: Contribution of the project to the SDGs



#### 6.1.2. Appropriateness of the project design and execution of project interventions to meet the needs of target beneficiaries

**Achieved:** The evaluation concludes that the project was well-designed, mostly involved the intended stakeholders at the design phase, and represents good practice in results-based management.

The UNDP and UN-Habitat response plan was an example of an overall UN country strategy that recognised the need for hosts, IDPs and refugee populations to restart livelihoods without waiting for large-scale recovery programmes. Its design represents a good attempt to achieve greater coherence that supports national priorities and needs, minimize duplication in interventions, and fosters the added value of applying different capacities and mandates within the two UN agencies and their partners, to achieve collective results.

<sup>15</sup> UNDP Strategic Plan (2018-2021), Annex 2: Integrated results and resources framework.

<sup>16</sup> UN-Habitat Iraq Programme Overview for Iraq (2020-2023), p.6.

<sup>17</sup> Ibid., p.2.

<sup>18</sup> Headway Project Final Evaluation Terms of Reference. April 2022, p.4

The Headway represents a well-designed project. It is consistent regarding the results chain, baselines, indicators, realistic targets.<sup>19</sup> In many ways, it incorporated the human rights-based approach (HRBA) and Leave No One Behind (LNOB), a policy priority of the Agenda 2030 for Sustainable Development. The theory of change is well articulated, pointing to collaborative work as a mode of drawing upon different skills and knowledge to design realistic interventions to achieve collective results.

In terms of Results-Based Management (RBM), as reflected in the project Results Framework, the project contains a defined results chain consisting of two types of results: Outputs (6) and Outcomes (3), with distinct sets of baselines, targets and performance indicators. The targets are annualized, that is, for each of year 2019, 2020, and 2021. Setting targets on annual basis allows the project managers and partners to take corrective actions sooner than if targets were set for the entire life of the project.

There are 22 indicators<sup>20</sup>, which have been framed based on the RBM principles, and are all quantitative indicators. Adding qualitative indicators would have enhanced the project's ability to measure "impact" and "sustainability" that largely rely on satisfaction and perceptions of changes in social and economic conditions of the beneficiaries. However, desk review revealed that beneficiary satisfaction and perceptions of the project effects and impact were conducted during project implementation, employing Focus Group Discussions (FGD). But, the assessment results were not linked to any qualitative indicators.

The project design demonstrated fostering partnerships even at the local levels. It aimed at working with clan structures and civil society on reducing conflicts and to prevent violence during project implementation. Drawing and building on local knowledge and skills in resilience building created a level of recognition that local capacities do exist for resolving conflicts and preventing violence. By including local knowledge in resilience building, the project design demonstrated inclusiveness and 'exit strategy', meant to foster social, political, and institutional sustainability for continued resilience building and prevention of potential conflicts during project implementation and beyond.

Moreover, by including the private sector (micro small, and medium enterprises - MSMEs) as active stakeholders in the project design, the project demonstrated determination to grow local economies to generate employment opportunities for the hosts, IDPs and refugee populations.<sup>21</sup> Further, by designing interventions, such as community WASH infrastructure and housing units rehabilitation, that bring communities to work together, the project indirectly contributed to peaceful co-existence and strengthened relationships and partnerships with local authorities, fostered acquisition of new skills and knowledge that empowers hosts, IDPs and refugees populations to expand their opportunities and choices at stable later stages in life.

Bringing on board the government partners at the design phase, not only increased transparency, but too increased the potential for ownership of the project outputs and stronger partnerships for future such initiatives. Similarly, since they play a key role as conveners of local problem-solving, including issues to do with IDPs and refugees, and recovery planning, the local governments had a direct contribution to the social peace noted, and as well strengthened the social contract among the conflict affected populations.

The project design and implementation benefited from a policy that allowed free movement in and out of the camps and facilitation of work permits that allow refugees to freely pursue employment opportunities outside the camps.<sup>22</sup> Although these free movements were not part of the project resilience strategy, they facilitated resilience building amongst the hosts, IDPs and refugee populations.<sup>23</sup> Desk review revealed that surveys conducted in four camps showed that both hosts and refugee communities benefited from this conducive policy environment; 32% of people aged 16-59 got employed, 57% were men and 6% women.<sup>24</sup> The low employment rate for women (6%), to a great extent, pointed to the need to micro-target (reaching those farthest behind first), as progress reports show more women participated in enterprises during the project implementation.<sup>25</sup> The evidence, further revealed that the quality of the project design led to reaching more women and youth in the camps and host communities with economic and other project empowerment initiatives.<sup>26</sup>

---

<sup>19</sup> Reference to the Headway project Results Framework for Iraq.

<sup>20</sup> Ibid.

<sup>21</sup> Key informants

<sup>22</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<sup>23</sup> Key informants

<sup>24</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<sup>25</sup> Refer to disaggregated data reported under key results areas in the progress reports for Iraq: 2019, 2020 & 2021

<sup>26</sup> Ibid

Persons with disabilities (PWDs) were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

#### **6.1.3. Relevant stakeholders' participation in project design, implementation and monitoring and ownership**

**Achieved:** *The evaluation concludes that project involved the Federal Government of Iraq and the Kurdistan Region of Iraq (KRI), and the target Municipalities in determining needs and priority interventions.*

Desk review and key informants revealed that the identification and formulation of the project has been done in consultations with a wide diversity of stakeholders, including the Federal Government of Iraq and the Kurdistan Regional Government (KRG), the target municipalities, private sector, civil society, and EU TF.<sup>27</sup>

Further, both desk review and key informants revealed that Governors of the targeted Governorates were briefed at the inception phase on the project strategic objectives, output and activities. This guaranteed the political support needed throughout implementation. Moreover, seeking endorsement from Governors for the damaged houses to be rehabilitated in their respective governorates further strengthened the community engagement.

Even after engaging with key project partners at the design phase, the project continued to engage with the stakeholders during implementation. This too ensured the most vulnerable households are targeted with interventions first. This is demonstrated in the vulnerability assessment conducted at the project start in early 2019 that ensured the most critically vulnerable households were prioritized based on socio-economic criteria of: living below the official poverty line (Iraqi Dinar, IQD 100), number of persons within the household, and status of employment.<sup>28</sup> This also ensured resources go to support those in most need.

On the other hand, PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

The project is jointly monitored at the policy and programme levels through the Steering Committee (SC), whose members are drawn from the donor (EU), UNDP, UN-Habitat, and the Government. At the project level, monitoring was done through joint field missions and in-person and online meetings and discussions with implementing partners, and joint quarterly and annual progress reports.<sup>29</sup> These approaches demonstrate the inclusiveness of the project monitoring system in assessing progress, and in identifying weaknesses and addressing them as project implementation progressed.

The project also engaged with stakeholders in its monitoring and evaluation mechanism, by conducting regular meetings and satisfaction and perception surveys with beneficiaries, and sharing reports with the donor - EU TF. This practice demonstrated the project's intent to be inclusive, and increase learning from the project implementation. The engagement was evident in the reports reviewed by the donor- EU TF and feedback provided on all annual reports produced in the last 3 years of the project implementation.<sup>30</sup> By involving the beneficiaries in the annual performance reviews, the project demonstrated transparency, inclusiveness, and accountability to the affected populations (AAP).<sup>31</sup> This is a commendable practice, as desk review of the annual reports of 2019, 2020 and 2021, revealed significant progress in result-based reporting in the subsequent years of the project implementation.<sup>32</sup>

#### **6.1.4. Responsiveness to security, political, socio-economic, institutional, and other changes in Iraq**

**Achieved:** *The evaluation concludes that the Headway project was responsive and the context from which it was designed was understood and accounted for during the design and implementation.*

---

<sup>27</sup> Ibid., p.9

<sup>28</sup> Refer to key results areas under outcome 3 in the progress report for Iraq: Jan-December, 2021

<sup>29</sup> Refer to project MADAD Steering Committee Work plan and M&E plan

<sup>30</sup> Refers to Headway progress reports of 2019, 2020 and 2021

<sup>31</sup> Accountability to affected population. <http://www.iom.int>AAP>

<sup>32</sup> Refers to Headway progress reports of 2019, 2020 and 2021



Desk review and key informant interviews revealed that the project faced disruptions in implementation caused by the **political** and **security** situation in Iraq in 2021. In particular, the parliamentary elections of October 2021 delayed implementation of the last Activity of UNDP (Building Resilience component) due to the strict security rules that accompanied these elections and, the holidays put in place to allow the population to go to the polling places. Despite the delays, constant communication and meetings with Government officials led to the agreement that the project continues providing services. Subsequently, the project was able complete the Activity by 31 December 2021. Desk review also revealed that in the project risk monitoring log, key assumptions and security risks were identified, and close monitoring of political developments in Iraq, and security situation in locations at the border with Syria were on-going, to protect partners delivering the project services in those locations.<sup>33</sup>

With the continuing conflict in Syria, and the influx of refugees to the KRI, it is challenging to provide adequate **socio-economic services**, such as housing, public services, and jobs to both hosts and refugees populations. Both desk review and interviews with key informants, revealed that the economy of the KRI that kept the Syrian refugees in Iraq employed since 2011 has severely shrunk since 2014 when funding from the Federal Government of Iraq to KRG stopped. Key informant interviews further revealed that since 2014, the Federal Government is only allocating budget to KRG for salaries, and not for delivery of public services. The evaluation finds that the Headway interventions (WASH infrastructure and Rehabilitation of housing units and Job Creation Grant Scheme) have also helped to fill these gaps in public services provision, especially to the hosts, IDPs and refugees populations.

From the **institutional** perspective, the change of leadership and key staff in certain governorates, especially, in Dohuk, Governorate resulted in delays in the house rehabilitation works and the handover of completed works to the relevant municipalities and water directorates. However, with regular communication and meetings with governorate officials, these challenges were addressed, and UN-Habitat was able to smoothly handover the completed works.

Further, as revealed from desk reviews and by key informant, the emergence and rapid spread of **COVID-19** across the Kurdistan Region of Iraq (KRI) during the months of July and August 2020 had a negative impact on the completion of project activities as were originally planned.<sup>34</sup> In particular, with the indoor nature of house rehabilitation activities, the high number of family members in each household and the high likelihood of virus transmission between beneficiary families and the local contractor's team members, caused the project to put on hold the house rehabilitation works across KRI, to ensure the safety of all parties involved. However, over time, the project adapted to the crisis and allowed work to continue. This included adherence to social distancing between persons, reinforced hygiene measures, and making all possible efforts such as use of 'zoom' and 'WhatsApp' to keep the project stakeholders engaged. Subsequently, the project was able to complete all its activities by 31st December 2021.

#### **6.1.5. Contribution to human rights-based approach, and gender equality and women's empowerment**

**Achieved:** *This evaluation concludes that the project was right-based as its design demonstrated key elements of the human rights-based approach (HRBA). Key interventions to enhance the empowerment of women and girls, were included in the design, and were demonstrated practically during project implementation, monitoring and evaluation.*

The project was designed in response to the massive influx of refugees into Iraq from Syria, and IDPs in Iraq due to ISIS occupation in Mosul in October 2016.<sup>35</sup> A large proportion of the displaced persons are women, girls, and boys. Its design and the activities identified for implementation, demonstrated key elements of the human rights-based approach (HRBA), which are; **Respect, Protect, Provide, and Fulfil the rights of the right holders** to claim their rights to basic services (housing, water, jobs, health, training and information, and participation).

These key human rights elements are reflected in the project design, with both '*right holders*' (hosts, IDPs, and refugee populations) presenting their priorities to be addressed, and '*duty bearers*' (EU TF, UNDP, UN-Habitat, NGOs, private sector, Gol and KRI and its governorates and municipalities) responding to these priorities. Moreover, in terms of expertise, budget allocations, and duration of intervention, the greater focus was on the '*right holders*'. This is justified given the priorities identified and described in the project document and confirmed by interviewed stakeholders, are reasons for the design of the project.

The project design also demonstrated UNDP and UN-Habitat's commitment to key International Human Rights Treaty in article 2: "*Everyone is entitled to the rights and freedom set forth, without distinction of any kind, such as race, colour,*

<sup>33</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)

<sup>34</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

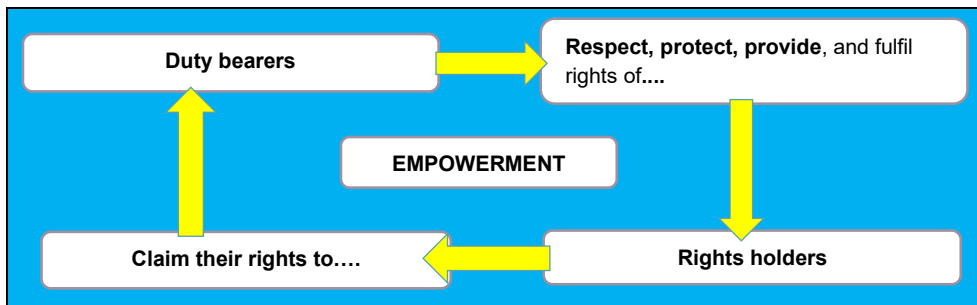
<sup>35</sup> Ibid., p.5

sex, language, religion, political, or other opinion, national or social origin, property, birth or other status”.<sup>36</sup> Further, the project delivery methods, targeting the most vulnerable hosts, IDPs, and refugee populations, demonstrated clear sensitivity to “*Reaching the Furthest Behind First*.”<sup>37</sup>

The project design included a range of actions tailored to both the ‘*right holders*’ and ‘*duty bearers*’, such as job creation grant schemes; WASH infrastructure and Rehabilitation of housing units, and training and information, tailored to the hosts, IDPs and refugee populations. While capacity development, planning workshops and training; basic services delivery, knowledge sharing, remote consultations, and monitoring actions, were tailored to the Gol/KRG and its target governorates and municipalities, and NGOs, to better provide services to the *rights holders*. Analysis of the planned interventions lead to the overall conclusion that the type of actions planned for achievement were relevant, and in congruent with the needs of the ‘*right holders*’.

The key concept of the HRBA is illustrated in Figure 5.

Figure 5: Concept of the Human Rights-Based Approach



In as far as cross-cutting issues of gender equality and women’s empowerment are concerned, desk review revealed that the project was designed from a gender lens, and promotes gender-responsive implementation, and monitoring and evaluation. An example is seen in the indicator: “*No of officials from local government staff trained on Municipal Finance, including subjects such as budgeting, revenue collection, and transparency and gender sensitive budgeting (sex disaggregated)*”.<sup>38</sup> Further, gender-disaggregated data (women, men, youth) reflected in progress reports, is evidence of the project’s intention to contribute to the SDG 2030 policy priority: ‘*Leave No One Behind*’ (LNOB).

#### 6.1.6. Coherence of project design with issues to be solved, with the emergence of COVID-19 pandemic and changes in the project environment since the initial design

**Achieved:** This evaluation concludes that the Headway project design is coherent; it addressed the issues that were identified and, demonstrated high level of responsiveness by responding quickly to the outbreak of COVID-19.

In terms of being coherent with issues to be solved, the Headway project was consistent in addressing the issues that UNDP and UN-Habitat and their local, national and international partners identified during the rapid assessment and field surveys, and through the socio-economic vulnerability assessments in the KRI in 2016 and in early 2019, respectively.<sup>39</sup> Some of the issues identified through the rapid assessment and field surveys, and socio-economic vulnerability assessment, included; *damaged housing units, poor access to basic services, deterioration of community cohesion and security, limited economic opportunities, and disputed land and property claims*”.<sup>40</sup> These identified issues informed the development of the project outcomes, outputs and activities, as contained in the approved Headway project document of 14th December 2018.<sup>41</sup>

In terms of the project’s response to COVID-19 pandemic, the quick introduction of interventions in the project design to respond to the pandemic was an exception. The project acted quickly through delivery of needed personal protection equipment (PPE) and other supplies, to partner municipalities and bodies across the 3 governorates of Dohuk, Erbil, and Ninewa. This quick intervention enabled protections from COVID-19 to be ensured and allowed the partners to

<sup>36</sup> Office of the United Nations High Commissioner for Human Rights. The Core International Human Rights Treaties. UNITED NATIONS, New York and Geneva, 2006.

<sup>37</sup> <https://www.un.org/sustainable>

<sup>38</sup> EU TF MADAD 1<sup>st</sup> Annual Report 2019, p.31

<sup>39</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.6)

<sup>40</sup> Ibid., p.6

<sup>41</sup> Ibid., p.26

continue providing services that enhanced their responsiveness to the original needs of the hosts, IDPs, and refugee populations. In more difficult cases, suspension of work on some activities (e.g. house rehabilitation works that required physical gathering) was necessary.

## 6.2. Coherence

The **coherence** of the project was assessed by: (i) the extent to which the project has complemented work among different entities, including development partners and civil society, with similar interventions; (ii) how the quality and extent of coordination with other national/sub-national programmes/initiatives has been conducive for the achievement of the project's objectives; (iii) the extent other or similar interventions or policies support or undermine the project; and (iv) the extent to which the project design and delivery were coherent with international obligations.

### 6.2.1. *Project complementary work among different entities, including development partners and civil society, with similar interventions*

**Achieved:** *This evaluation concludes that the project design contributed to complementary work among different entities involved in the project.*

The Headway project focused on Job Creation, implemented by UNDP; and WASH infrastructure and Rehabilitation of housing units, implemented by UN-Habitat in Iraq. Desk review revealed that UNDP and UN-Habitat in Iraq have operated in the context of the Syrian crisis (i.e. 3RP<sup>42</sup>) since 2015, and both agencies have been at the forefront of new initiatives, working with local, national and international partners and actors and across the UN system in Iraq.<sup>43</sup>

In terms of complementarity, both desk review and key informants revealed that the Headway project built on the ongoing activities under the Local Area Development Programme (LADP II), being implemented by UNDP and UN-Habitat in the three Governorates of Dohuk, Erbil, and Ninewa.<sup>44</sup> LADP II aimed at strengthening good governance and capacity to cope with the IDPs and refugees crisis. In addition, desk review revealed that major activities of LADP II such as capacity development in provincial strategic, development, response and sectoral planning, provided the foundation for kick-starting the Headway project in the three Governorates<sup>45</sup>. Because the LADP II focused on building policy and strategies, and aligning Governorates plans with national development priorities and goals of the Federal Government of Iraq and the Kurdistan Ministry of Planning,<sup>46</sup> the Headway did not have to invest in these foundational activities completed by LADP II. This allowed the Headway project to invest most resources at the local level, on addressing the priority needs of the host communities, IDPs and refugees - functionality of WASH infrastructure and Rehabilitation of Housing Units and shelter, and Job Creation.

Further, to ensure coordination and avoid duplication of activities under the same thematic area, and in the same geographical location, both desk review and key informant interviews revealed that UNDP takes an active role in the Inter-Agency coordination mechanisms within the 3RP<sup>47</sup>, i.e., through the UNDP-UNHCR 3RP Secretariat, and through its ongoing partnerships with other humanitarian actors. It is also the co-lead of the livelihood sector working group under the 3RP country plans in Iraq. Through these coordination platforms, UNDP and UN-Habitat ensured that issues addressed by the Headway project were not leading to duplication across the UN system, and with other non-UN actors. Moreover, by avoiding duplication, UNDP and UN-Habitat ensured the best use of resources.

Moreover, desk review revealed that UNDP and UN-Habitat deliberately shared information about the project design with other UN entities through the platform of the United Nations Country Team (UNCT), as well as with international and national NGOs, through the National Coordination Committee platform. Further, both desk review and key informants revealed that both UNDP and UN-Habitat maintained regular coordination with the EU Delegation in Iraq.<sup>48</sup> Key informants interviews also revealed that these coordination mechanisms were not only utilized during the design

---

<sup>42</sup> The 3RP is the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019). It responds to the "3RP Resilience and Stabilisation Component", specifically its Livelihood/Social Cohesion sector.

<sup>43</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>44</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>45</sup> Ibid., p.11

<sup>46</sup> Ibid., p.11

<sup>47</sup> The 3RP is the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019). It responds to the "3RP Resilience and Stabilisation Component", specifically its Livelihood/Social Cohesion sector

<sup>48</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.12)

phase of the project, but also continued to be utilised during project implementation, and ensured complementarity of the Headway project's actions with those of other actors.

#### **6.2.2. Quality and extent to which coordination with other national/sub-national programmes /initiatives were conducive for the achievement of the project's objectives**

**Achieved:** *Evaluation concludes that coordination, internal and external, and with other national and sub-national programmes was conducive, and contributed to strong government-led response and inter-agency team work.*

Desk review revealed that the day-to-day implementation of the Headway project was to be carried out by the respective UNDP and UN-Habitat country offices. Interviews with key informants confirmed that this was the case, with UNDP and UN-Habitat using their comparative advantages to support the local government's coordination role in the three Governorates of Dohuk, Erbil and Ninewa.

The humanitarian community recognized UNDP and UN-Habitat as team players, who provided significant support to the coordinated government-led response and inter-agency initiatives, with partners working together as a team. The effectiveness of coordination with implementing partners and project component members correlated with the effectiveness of each Governorate/Municipality's internal coordination. As described earlier under **relevance** in sub-section 6.1.4, some of the targeted municipalities still face challenges of low staffing and lack of administrative structures to support the coordination efforts. Desk review and key informants revealed that the project actions were, thus, focused on improving the institutional capacity of those local authorities. For example, because UN-Habitat hands over completed works as implementation goes on, 25 technical staff and engineers (7 female and 18 male) from Erbil, Dohuk and Sinjar, were trained on the operations and maintenance of water networks before handing over the completed water networks to the targeted municipalities.

For the case of UNDP, in particular, a combination of UNDP's leading role in multiple coordination mechanisms, its wide geographical coverage and strong operational capacity and, its total fund requirement for the response translated into UNDP's strong influence on the overall crisis response. Since UNDP, in particular, viewed itself as a part of a collective effort, there were a number of examples where the agency used its comparative advantage to benefit the wider humanitarian community (e.g. leadership role in the UNCT, peace building, crisis response, stabilisation work, and capacity building). As reported by a key informant, these multiple UNDP roles allowed it to draw national/sub-national support for achievement of the project objectives. UN-Habitat that worked with UNDP in this project, also applauded the inter-agency teamwork that contributed to the success of the Headway project.

#### **6.2.3. Extent to which other or similar interventions or policies support or undermine the project**

**Achieved:** *This evaluation concludes that the Headway project interventions were both internally and externally coherent, and were not undermined by other or similar interventions or policies in Iraq.*

UNDP and UN-Habitat programmes in Iraq commit to ensuring policy coherence for development in their interventions.<sup>49</sup> Other than the Headway project, both desk review and key informant interviews revealed that UNDP and UN-Habitat work on wider aspects of development that includes climate change, economic reform, urban planning, governance, strategic, development, response and sectoral planning.

In terms of **internal coherence**, the project interventions were supported by other UNDP and UN-Habitat interventions in Iraq. The Local Area Development Programme Three (LADP III), which commenced around the same time with the Headway Project, is being implemented by UNDP and UN-Habitat, and supports capacity development in provincial strategic, development, response and sectoral planning in the three Governorates of Dohuk, Erbil, and Ninewa.<sup>50</sup> Thus, the LADP III interventions continued to provide the foundation for smooth implementation of the Headway project. Because the LADP III planned to achieve its objective through top-down policy-and strategic-level interventions, the Headway project took a bottom-up approach, targeting and engaging with specific municipalities,<sup>51</sup> which contributed to complementing the interventions under LADP III rather than hampering.<sup>52</sup>

<sup>49</sup> The Country Programmes of UNDP and UN-Habitat in Iraq align with the relevant policy and strategic documents of Iraq, and UN agencies actions are guided by these frameworks.

<sup>50</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>51</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>52</sup> Ibid., p.11

The evaluation also looked at **external coherence** of the Headway with other policies related to development cooperation in Iraq, including Italy, Norway<sup>53</sup>, Denmark, The Netherlands<sup>54</sup>, France and Sweden (SIDA).<sup>55</sup> Based on desk review and key informant interviews, the evaluation finds that SIDA, Norway, Italian, Danish, and French initiatives also supported the Regional Refugee and Resilience Plan (3RP) on protection as well as livelihoods, water, and empowerment and recovery support for Syrian refugees, IDPs and affected host communities in Iraq.<sup>56</sup> For example, to avoid duplication with other WASH active actors who have done similar training in the KRI, UN-Habitat consulted with UNICEF and the Danish Refugee Council (DRC), who had experience conducting WASH capacity building trainings in the KRI. UN-Habitat also coordinated the planned training with VNG International (VNGI) of the Netherlands, who had previously implemented WASH capacity building components under the EU MADAD-funded Programme: 'Masar for Local Governments in Iraq',<sup>57</sup> to conduct WASH training for its WASH implementing partners. Thus, this evaluation finds that UNDP and UN-Habitat leveraged the support of interventions implemented by other UN and other international actors in support of the implementation of the Headway project.

#### 6.2.4. Coherence of project design and delivery with international obligations

**Achieved:** *This evaluation concludes that the Headway project design is coherent and was delivered with international obligations.*

UNDP and UN-Habitat played key roles in inter-agency assessments, which helped ensure that their responses to the IDPs and refugee crisis were aligned with priority needs in all the three Governorates of Dohuk, Erbil and Ninewa. Both desk review and key informants revealed that the prioritization of the crisis response by the two UN agencies was participatory and appropriate and helped to maximise the humanitarian principle of "Do No Harm". Thus, avoided exposing the target population groups to additional risks through the project actions.

Further, key informant interviews with government counterparts revealed that UNDP and UN-Habitat response strategies were designed to support the Government of Iraq's lead role, and there was widespread appreciation by the governorates and municipalities at that level, of UNDP and UN-Habitat support. In common with other humanitarian response, UNDP and UN-Habitat's strategies through the two project components (WASH infrastructure and renovation of housing units, and Job Creation Grant Scheme) concentrated on the most vulnerable hosts, IDPs and refugee populations, and in the most crisis-affected Governorates of Dohuk, Erbil and Ninewa.

The project delivery modality, therefore, demonstrated EU, UNDP and UN-Habitat's commitment to the 2030 Agenda for Sustainable Development: "*Reaching the Furthest Behind First*."<sup>58</sup> Similarly, by EU, UNDP and UN-Habitat focusing on the most vulnerable families with job creation grant scheme, WASH infrastructure and Rehabilitation of housing units, they were contributing to: **SDG 1: End poverty in all its forms everywhere**"; **SDG 11: Make cities and human settlements inclusive, safe, resilient, and sustainable**"; and **SDG 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels**.

### 6.3. Effectiveness

The **effectiveness** of the project was assessed by analysis of seven key areas: (i) the extent to which the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project; (ii) the extent to which the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels; (iii) how the Headway project supported governments to address the refugee challenge; (iv) the extent to which the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas; (v) the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results, and how they were mitigated or can

<sup>53</sup> Norway support through the Norwegian Refugee Council (NRC) reaches IDPs and refugees in areas with high levels of severe needs in Dohuk and Ninewa Governorates. Source: OCHA Global Humanitarian Overview, 2022

<sup>54</sup> UN-Habitat collaborated with the International Cooperation Agency of the Association of Netherlands Municipalities (VNGI) in SEVAT surveys, and training municipal technical staff in WASH.

<sup>55</sup> SIDA support to the Iraqi crisis goes toward shelter, health care, and water; and durable solutions such as livelihood support and vocational training in Dohuk and Ninewa Governorates. Source: OCHA Global Humanitarian Overview, 2022.

<sup>56</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.12)

<sup>57</sup> Refer to UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience progress report 2020, section VII, partnership and sustainability.

<sup>58</sup> <https://www.un.org/sustainable>



be mitigated in future; (vi) degree of stakeholders' participation in the Headway project interventions and mainstreaming of gender issues in the Headway project; and (vii) the levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.

### 6.3.1. *Delivery of planned results by each component and contribution to achieving the overall purpose of the Headway project*

**Achieved:** *The evaluation concludes that despite the challenges the project faced, its effectiveness demonstrates one of its key strengths, when judged from the full achievement of all its output targets in the Results Framework.*

#### 6.3.1.1. *Performance by each component*

Performance varied by component, with full achievements in all the components: WASH infrastructure and rehabilitation of housing units and Job Creation Grant. Effective partnerships contributed to the success of the response, including the effective response to COVID-19. The immediate allocation from both UNDP and UN-Habitat reserve funds helped kick-start the response to the IDPs and refugee crisis. While the leadership of senior management from both agencies facilitated strategic decision-making. The government can potentially mainstream some of the intervention elements and replicate them in future responses. Notable among these are co-opting of the GIS and SEVAT tools, which should help address data and assessment gaps during future emergencies.

Efficiency and effectiveness were influenced by COVID-19 and to a lesser extent, delays in procurement, which resulted in delayed and fast-tracking of activities. Nonetheless, all activities were completed well before the project end date.

UNDP and UN-Habitat met all their targets, with similar levels of performance across the components. Table 3 summarises the qualitative rating assigned to each component based on the professional judgment of the Evaluator, and as described earlier under **section 4: Approach and Methods, subsection 4.2.1**. These ratings are the measurements for potentially successful outcomes of the project. Rating was based on data analysed from sources that included; progress reports, key informant interviews, consultations, and focus group discussions.

Table 3: *Qualitative assessment of the project performance by components*

Component	Level of Achievement	Supporting narrative
WASH (UN-Habitat)	Achieved	The WASH component met or exceeded all targets for sanitation infrastructure. Capacitated and handed over all completed WASH community infrastructure projects with a <i>Manual for Water Distribution Systems and Operations and Maintenance Guidelines</i> to respective Water Directorates in target Governorates to assume responsibility for the operation and maintenance of the rehabilitated water network. Direct and indirect beneficiary populations have equitable access to sufficient, safe and durable water supply through government bodies responsible to provide water services. Close working collaboration and quick action to address the impact of COVID-19 pandemic through the delivery of the needed PPE to partner municipalities in the target Governorates enabled them to continue providing services. Every participant interviewed pointed to water as number 1 priority need of the vulnerable populations that the Headway project addressed.
REHABILITATION OF HOUSES (UN-Habitat)	Achieved	The housing component met or exceeded all targets for houses rehabilitation. GIS mapping and SEVAT tools adapted in selection and prioritization of vulnerable houses rehabilitated throughout the Project allowed the municipalities to use a coherent and transparent approach in the prioritization of beneficiary houses to be rehabilitated. Rehabilitated Housing units supported partner municipalities' efforts to build social cohesion among the host, IDP and refugees populations.
JOB CREATION GRANT (UNDP)	Achieved	The Job Creation Grant Scheme met or exceeded targets in terms of affected population reached. Host, beneficiary refugees and IDPs were enabled to enter the labor market and increase their monthly income. Perception Survey conducted among beneficiaries of the Job Creation Grant Scheme in order to gather their impressions on potential income gains and their amounts. In 300 out of 700 beneficiaries surveyed, received an additional US\$ 78.31/month per household through the Job Creation Grant Scheme, compared to their pre-Job Creation Grant scheme. A second survey conducted in April 2022, revealed 283 of the 700 beneficiaries were able to increase their income on average by \$208 per month. Thus, 40% of the beneficiaries increased their income.

#### 6.3.1.2. Achievements of the project by objective

**Specific Objective 1:** *To support subnational authorities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations*

### REHABILITATION OF HOUSING UNITS

The REHABILITATION OF HOUSES component achieved all its targets for construction of housing units. In total, rehabilitation of 976 houses were completed and handed over to the beneficiary hosts, IDPs and refugees populations in Erbil, Ninewa and Dohuk Governorates. The close working collaboration with technical staff of the respective governorates, municipalities, water directorates and neighbourhood communities in Erbil, Duhok, Sumel, Mosul and Sinjar, contributed to the success.

The housing units supported partner municipalities' efforts to build social cohesion among the host, IDP and refugees populations.<sup>59</sup> However, a complication to the housing project was the decision by the Iraqi Government to close some of the camps and informal settlements in various locations across Iraq in 2021. This negatively impacted the capacity of the municipalities and other service providers to provide housing units to the IDPs returning to their home locations. As a result of this government action, the number of IDPs wishing to return to their original cities once their war-damaged houses are rehabilitated increased dramatically, especially in the cities of Sinjar and Mosul in Ninewa Governorate. Desk review and key informants revealed that the project was only able to rehabilitate 352 houses belonging to IDPs.<sup>60</sup>

Objective 1 was contributed to by two project outputs: **Output 1.1:** *Improved and updated knowledge of vulnerabilities and risks*; and **Output 1.2:** *Strengthened local capacity to prioritize resilience building interventions*.

The analysis of the achievements of the project outputs under this objective, revealed that the output indicator in Output 1.1 is fully achieved (100%). Similarly, the output indicator in Output 1.2 is also fully achieved (100%). (**Tables 4 & 5**).

Table 4: *Achievements of the project within output 1.1.*

<b>Output 1.1: Improved and updated knowledge of vulnerabilities and risks</b>			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>1.1.1.</b> Number of families assessed through the Socio-Economic Vulnerability Assessment Tool and identified as being vulnerable ( <b>UN-Habitat</b> )	<b>200</b> vulnerable families identified in each of 5 selected municipalities by 2019	<b>367</b> vulnerable families assessed in each of the 5 cities; <b>200</b> households prioritized as critically vulnerable in each municipality	Achieved: 100%

Table 5: *Achievements of the project within output 1.2.*

<b>Output 1.2: Strengthened local capacity to prioritize resilience building interventions.</b>			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>1.2.1.</b> Number of agreements made with local authorities on houses and infrastructure to be rehabilitated ( <b>UN-Habitat</b> )	<b>5</b> agreements made with each of 5 selected municipalities by end 2019	<b>5</b> agreements made with 5 municipalities	Achieved: 100%

The main contributing factors for achievements of the project outputs are; a) close collaboration with the technical staff of the respective governorates and municipalities that led to completion of all activities pertaining to the two outputs as

<sup>59</sup> UNDP/UN-Habitat Headway Progress Report, p.13

<sup>60</sup> Ibid

of 31 December 2021, and b) the quick response to COVID-19 pandemic through the delivery of the needed PPE and other emergency supplies to partner municipalities in the Governorates of Erbil, Dohuk and Ninewa. This allowed continuation of services provision to the host, IDPs and refugee populations, safely.<sup>61</sup>

**Strategic Objective 2:** *To improve service delivery through increased responsiveness and greater social stability outcomes, based on the needs of host, refugee and IDP populations.*

## WASH

The WASH component met or exceeded its targets. In total, all 5 WASH community infrastructure projects were completed and handed over to respective Water Directorates in Erbil, Dohuk, and Ninewa, who assumed responsibility for the operation and maintenance of the rehabilitated water network.<sup>62</sup>

A major contributing factor to the overall success of the WASH component was the clear intervention criteria set up regionally that applied. Good preparation and bringing the Governorates authorities and other partners on board early in the project design were major contributing factors to an effective response and ownership. Effective partnership with the technical staff of the respective governorates, municipalities, water directorates and neighbourhood communities in Erbil, Dohuk, Sumel, Mosul, and Sinjar; implementing partners and the private-sector contractors, not just during implementation, but also in joint preparation prior to implementation, was also instrumental to the success. Moreover, the enhanced capacity of municipalities and Water Directorate to deliver services to their respective host, IDPs and refugees populations in the 5 target cities, was also instrumental for the success.<sup>63</sup>

With the rehabilitated water networks, beneficiary populations have equitable access to sufficient, safe and durable water supply.<sup>64</sup> In addition, 6,565 working days in WASH activities in 2021 of skilled and un-skilled workers were created in the 5 target cities.

Objective 2 was contributed to by two project outputs: **Output 2.1:** *Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure*; and **Output 2.2:** *Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households.*

The analysis of the achievements of the project outputs under this objective, revealed that 80% (4/5) of the output indicators in Output 2.1 are over-achieved, and 20% (1/5) fully achieved. 67% (2/3) of the output indicators in Output 2.2 are over-achieved, and 33% (1/3) fully achieved. (See tables 6 & 7).

Table 6: *Achievements of the project within output 2.1.*

<b>Output 2.1:</b> <i>Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure</i>			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>2.1.1.</b> Number of small-scale community water, sanitation and hygiene (WASH) infrastructure rehabilitated in the selected municipalities ( <b>UN-Habitat</b> ) (EUTF RF 26)	At least <b>1</b> WASH infrastructure rehabilitation project implemented in each of 5 selected municipalities (by end of 2020)	<b>5</b> WASH infrastructure community projects completed each in Erbil, Duhok, Sumel, Mosul and Sinjar	Achieved: 100%
<b>2.1.2.</b> Number of houses connected to a reliable water network to facilitate clean drinking and hand washing for hygiene purposes in light of ongoing COVID-19 pandemic ( <b>UN-Habitat</b> )	<b>300</b> houses per municipality have direct access to clean and regular supply water for drinking and hygiene purposes, benefitting an average of 1,800 persons per municipality (average 6 people per household x 5 municipalities = 9,000 people)	<b>1,843</b> houses connected to the water network, providing access to clean and regular water supply to 11,058 persons in the 5 cities	Over-Achieved: 102%

<sup>61</sup> UNDP/UN-Habitat Headway Progress Reports, 2021, p.13

<sup>62</sup> Ibid

<sup>63</sup> Ibid

<sup>64</sup> Ibid



<b>2.1.3.</b> Number of PPE kits distributed, including surgical and N95 masks, gloves boxes, gowns, goggles, face shields and sanitation equipment (COVID-related) ( <b>UN-Habitat</b> )	At least <b>100</b> PPE kits distributed for municipal staff in each of 5 selected municipalities by end of 2020	<b>382</b> PPE kits, including hand sanitizers, distributed per municipality (total 1,910 sets)	Over-Achieved: 382%
<b>2.1.4.</b> Number of service providers' staff trained on operation and maintenance of the WASH infrastructure (UN-Habitat) ( <b>EUTF RF 28</b> )	At least <b>5</b> staff members trained from each of 5 selected municipalities by end 2020	<b>25</b> service providers' staff (7 females & 18 males) trained on operation and maintenance of the WASH infrastructure (5 for each municipality)	Over-Achieved: 500%
<b>2.1.5.</b> Number of individuals reached with outreach, information campaigns and awareness sessions on Covid-19 ( <b>EUTF RF 42</b> )	<b>600,000</b> individuals by end 2020	<b>12.5 M</b> individuals reached with outreach, information campaigns and awareness sessions on Covid-19	Over-Achieved: 2,083%

Table 7: *Achievements of the project within output 2.2.*

<b>Output 2.2:</b> Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>2.2.1.</b> Number of housing units rehabilitated in the selected municipalities ( <b>UN-Habitat</b> )	<b>947</b> housing units rehabilitated in selected municipalities by 2020	<b>976</b> houses completed and handed over to beneficiaries	Over-Achieved: 103%
<b>2.2.2.</b> Number of municipalities benefitting from improved infrastructure and services ( <b>EUTF RF 37</b> )	<b>5</b> municipalities benefitting from improved infrastructure and services by end 2020	<b>5</b> municipalities benefitted from improved water networks in Erbil, Dohuk, Sumel, Mosul and Sinjar through the completed WASH projects	Achieved: 100%
<b>2.2.3.</b> Number of occupancy rights agreements between house owners and tenants in the selected municipalities ( <b>UN-Habitat</b> )	At least <b>200</b> occupancy rights agreements between house owners and tenants in 5 selected municipalities by end 2020	<b>234</b> occupancy rights agreements between owners and tenants of the rehabilitated houses across the 5 target cities.	Over-Achieved: 117%

The main contributing factors for over-achievements of the project outputs are; a) innovative partnerships with private-sector that helped to drive results and ensured water purification products were available to enforce consumer safety; b) close collaboration with the technical staff of the respective Water Directorates and municipalities that led to completion of all activities pertaining to the WASH projects outputs, and b) the quick response to address the impact of COVID-19 pandemic through the delivery of the needed PPE to partner municipalities across the Governorates of Erbil, Dohuk and Ninewa, enabled the municipalities to continue to provide services to the vulnerable populations.<sup>65</sup>

**Strategic Objective 3:** *To empower subnational authorities to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.*

## JOB CREATION GRANT SCHEME

The JOB CREATION GRANT SCHEME (GS) component met or exceeded all its targets. In total, all 9 output targets were achieved. The Job Creation Grant enabled beneficiaries to increase their incomes. In total, 700 persons were provided with employment and apprenticeship (first-time employment) throughout the Grant Scheme. A desk review of the report on beneficiaries' perception of the Job Creation Grant Scheme revealed that in 300 out of 700 beneficiaries surveyed, an additional US\$ 78.31/monthly income per household was realized, and 27% of the beneficiary participants achieved an increase of US\$ 200/month or more compared to their pre-Job Creation Grant scheme.<sup>66</sup> A second survey conducted in April 2022, revealed 283 of the 700 beneficiaries were able to increase their income on average by \$208 per month. Thus, 40% of the beneficiaries increased their income.

<sup>65</sup> UNDP/UN-Habitat Headway Progress Report, 2021, p.13

<sup>66</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2021.

The main contributing factor is that the project enabled Refugees and IDPs to enter the labour market and increase their monthly income through: (i) the Job Creation Grant Scheme which offered tangible work experience to the unemployed and those who had never worked before, enabling them to gain increased work experience that would eventually lead to further employment; (ii) the Missing Entrepreneurship (ME) Component which developed beneficiaries skills in business plans to increase their chances of implementing a sound income-generating project that was more likely to be sustainable and therefore increase their monthly income in the long term; and (iii) the Building Resilience Component which provided vocational training to participants to acquire new skills that enabled them to enter the labour market in sectors that previously closed them out, thus increasing their chances of generating income.<sup>67</sup>

Objective 3 was contributed to by two project outputs: **Output 3.1: Improved knowledge of labour market** and **Output 3.2: Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation**. The analysis of the achievements of the project under Output 3.1 revealed that 100% (2/2) of the project Outputs are achieved, as follows: 1 output indicator target is fully achieved (100%); and 1 output indicator target is over-achieved (112%). (See table 8)

Table 8: Achievements within output 3.1.

<b>Output 3.1: Improved knowledge of labour market</b>			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>3.1.1.</b> Number of rapid labour skills assessments, labour market assessments and labour market analysis conducted (UNDP)	<b>1</b> comprehensive assessment conducted by end 2019	<b>1</b> rapid labour skills assessments, labour market assessments and labour market analysis conducted	Achieved: 100% (2019)
<b>3.1.2.</b> Number of companies trained/coached/consulted (including Covid-19 related) (UNDP)	<b>50</b> companies trained/coached/consulted (by 2021)	<b>56</b> companies trained/coached/consulted	Over-Achieved: 112% (2020)

Analysis of the achievements of the project under Output 3.2 revealed that 100% (7/7) of the project output indicators are achieved, as follows: 3 output indicator targets are fully achieved (43%), and 4 output indicator targets are over-achieved (57%) (See table 9).

Table 9: Achievements within output 3.2.

<b>Output 3.2: Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation.</b>			
<b>Indicator</b>	<b>Target</b>	<b>Progress</b>	<b>Level of Achievement</b>
<b>3.2.1.</b> Number of small business financially supported (UNDP)	At least <b>45</b> small businesses provided with financial grants (by the end of Year 2, 2020).	<b>56</b> small business financially supported with financial grants	Over-Achieved: 124%
<b>3.2.2.</b> Number of small businesses financially supported, which address Covid-19 and/or its impact (UNDP)	TBD (the COVID-19 related activities were emergency-response based and as such no targets were established)	<b>25</b> small businesses financially supported	Target likely surpassed, but no target figure to help in comparison
<b>3.2.3.</b> Number of MSMEs trained (UNDP) (EUTF 11)	<b>45</b> MSMEs trained by end 2020.	<b>179</b> MSMEs trained	Over-Achieved: 398%
<b>3.2.4.</b> Number of temporary working months generated for workers created through the call for proposals (UNDP)	At least <b>1000</b> working months generated.	<b>5987</b> temporary working months generated for workers created	Over-Achieved: 699%
<b>3.2.5.</b> Number of temporary working months generated for workers in jobs that address Covid-19 and/or its impact	TBD (the COVID-19-related activities were emergency-response based and as such no targets were established)	<b>2982</b> temporary working months generated for workers in jobs that address Covid-19 and/or its impact	Target likely surpassed, but no target figure to help in comparison
<b>3.2.6.</b> Number of job opportunities generated (UNDP) (EUTF RF 9)	At least <b>400</b> job opportunities generated by end 2020).	<b>700</b> job opportunities generated	Over-Achieved: 175%
<b>3.2.7.</b> Number of job opportunities generated related to Covid-19 and/or its impact (UNDP)	TBD (the COVID-19 related activities were emergency-response based and as such no targets were established)	<b>368</b> job opportunities generated related to Covid-19 and/or its impact	Target likely surpassed, but no target figure to help in comparison

<sup>67</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2021, p.14

### 6.3.2. *Extent of coordination, cooperation, and capacity at the regional, national and sub-national levels*

**Achieved:** *The evaluation concludes that the project demonstrated efficiency and effectiveness in coordination, cooperation, and capacity at the regional, national and sub-national levels.*

At UNDP and UN-Habitat country offices level, key informant interviews revealed that the project teams communicated systematically and cooperated closely with the Country Office in Baghdad and Erbil Office in KRI. These coordination and cooperation were enhanced through participation in all the phases of work plan development and budgeting, implementation of project activities, reporting, and reviews. Similarly, at the national level, the coordination was done through the Steering Committee (SC) and joint technical meetings between UNDP and UN-Habitat senior Programme Managers and senior GoI officials at the respective Ministries involved in the implementation of the project. This coordination efforts led to the signing of a "Charter of Principles"<sup>68</sup> that guided partner's commitment to delivering results and being accountable to the affected population.

UNDP was the lead UN agency in this response. The Donor (EU), UN-Habitat, Government officials and the project implementing partners saw UNDP as a team player that provided significant support to the coordinated government-led response efforts. The effectiveness of this coordination with project partners was ensured through this leadership, and demonstrated in the achievement of all the output targets by the project end date of 31 December 2021.

At the regional level, the Project Core Team (PCT)<sup>69</sup> was hosted at the offices of the Directorate General of Municipalities (DGM). The PCT was the outreach arm of the UNDP and UN-Habitat technical and coordination efforts with implementing partners at the municipal and the governorates levels. Desk review and key informant interviews revealed that the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>70</sup> The evidence of the cooperation between UNDP and UN-Habitat and GoI/KRI at the sub-regional level is revealed in co-funding mechanism in staff time, office space and community mobilisation.

In terms of capacity building, desk review and key informants interviews revealed that the PCT was the overall driver of the interventions at the municipality levels, and worked closely with the Technical Unit established at the DGM, including developing the capacity of the Technical Unit staff. As revealed during key informant interviews with municipalities technical teams, those capacity development actions and briefing meetings strengthened the partnerships between the Governorates and Municipalities and UNDP and UN-Habitat at the regional and national levels. Not only did they positively influence the achievement of all the output targets, they also improved the visibility and the project response efforts.

### 6.3.3. *Support to government in addressing the refugee challenge*

**Achieved:** *The evaluation concludes that the project strengthened government's ability to respond to current and future crisis, including capability for coordination and planning.*

The project's support to capacity building of the government sectors have not only positively influenced the achievement of the output targets, but also added value to their management capacities.

The project developed the capacity of the Governorate and Municipalities in more accurate data collection on vulnerabilities. Key informant interviews with partners revealed that the GIS and SEVAT improved access to strategic information, and helped in micro-targeting the critically vulnerable individuals or families in the community. The increased capacity of Governorates and Municipalities to conduct GIS and surveys and collect accurate data for proper planning is one of the effective results of the project capacity development support to government. As reported by key informants at the Governorate and Municipal levels, as well as the field engineers that the project had employed, there were appreciation of the capacity development efforts of the various kinds.

---

<sup>68</sup>UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>69</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM). Headway project Document 14 December 2018, p.42)

<sup>70</sup> Ibid

To promote sustainability in water network in the municipalities, the project trained 25 technical staff and engineers (7 female and 18 male) from the Water Directorates and municipalities of Erbil, Dohuk, Sinjar, Sumel and Mosul, on the effective maintenance and operation of the water networks. A 'Manual for Water Distribution Systems and Operations and Maintenance Guidelines' was developed as part of this capacity-building initiative and the trainees were requested to further disseminate this manual among their colleagues in the relevant directorates in the targeted municipalities to maximize knowledge sharing.

#### **6.3.4. Ability of project activities and management systems to mitigate and address needs, expectations and protection concerns of targeted populations**

**Achieved:** *The evaluation concludes that the project was able to mitigate and address needs, expectations and protection concerns of the targeted populations, to a great extent.*

The project had three major results as described earlier in sub-section 6.3.1. Each result area included activities for assessment of the households to identify the most vulnerable households for support. In reaching the most vulnerable groups, the project used GIS and SEVAT tools in identifying the most vulnerable hosts, IDPs and refugee families. By using the GIS and SEVAT tools that included the involvement of the target populations in the selection process, the project demonstrated its ability to be transparent and "Reaching Those Furthest Behind First".

However, as described earlier under **relevance** in subsection 6.1.6, the emergence of and rapid spread of COVID-19 across the Kurdistan Region of Iraq (KRI) contributed to delayed completion of project activities as were originally planned.<sup>71</sup> But the project adapted to the crisis and allowed work to continue by including obligations to keep social distance between beneficiaries, reinforced hygiene measures, and transformation to on-line training and meetings. Thus, the project was able to mitigate the negative impacts of the virus and continue to provide services to the targeted population.

#### **6.3.5. External factors, barriers and bottlenecks that influenced the achievement of project results and mitigations measures applied**

**Achieved:** *Despite all the challenges, the evaluation concludes that all planned project activities undertaken by UNDP and UN-Habitat in Iraq have been completed as of 31 December 2021, original timeline for the end of the project.*

As described earlier under **relevance** in sub-section 6.1.4, the project faced disruptions in implementation caused by the **political** and **security** situation during the Iraqi parliamentary elections of October 2021. This delayed implementation of the last Activity under the Building Resilience component under UNDP. But the project was able to complete this Activity by 31 December 2021.<sup>72</sup> However, in order to utilise the remaining funds, a no cost extension up to 30th April 2022 was agreed between UN-Habitat and EU, to implement additional WASH projects in Mosul in Ninewa and in Erbil Municipality, to maximize the impact of the WASH infrastructure component.

Similarly, as described earlier under **relevance** in sub-section 6.1.4, the change of leadership and key staff in certain governorates, such as Dohuk, resulted in delays in the house rehabilitation works and the handover of completed works by UN-Habitat to the relevant municipalities and water directorates. However, with regular communication and meetings with governorate officials, these challenges were addressed, and smooth handover of the completed works was done.

In addition, as described earlier under **relevance** in sub-section 6.1.4, the emergence and rapid spread of **COVID-19** across the Kurdistan Region of Iraq (KRI) in mid-2020 constrained the completion of UN-Habitat house rehabilitation activities, as originally planned.<sup>73</sup> But, the project adapted to the crisis and allowed work to continue, by enforcing adherence to social distancing, reinforcing hygiene measures, and use of on-line platforms (zoom' and WhatsApp) to keep the project stakeholders engaged. As a result, the project was able to complete all its activities by 31st December 2021.

#### **6.3.6. Extent of stakeholders' participation in the project interventions and mainstreaming of gender issues in the project**

---

<sup>71</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>72</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)

<sup>73</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

**Achieved:** *The evaluation concludes that there was adequate stakeholders' participation in the project interventions, including gender mainstreaming.*

Desk review and key informant interviews revealed that relevant stakeholders' participated in the project interventions. The key stakeholders in the project intervention are; youth (female and male), women, men, NGOs, CSOs, private sector, and local authorities (Governorates and Municipalities). PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

In regards to participation of **Local authorities, NGOs and youth**, desk review revealed that the Responsible Party (RP) for the Job Grant Scheme which was composed of job placement and Missing Entrepreneurship Component, engaged the youth and businesses in the project. The RP is an **Erbil Governorate Joint Crises Center (EJCC)** initiative in consortium with the Rwanga Foundation, an **NGO** specialized in employment-generation activities for youth. As part of its base, the RP mobilized hundreds of youth volunteers to facilitate in the implementation of the project's Job Creation Grant activities and thus had a strong link to the promotion of youth/female employability.<sup>74</sup> Similarly, under UN-HABITAT, an RPA was signed with the **Dohuk Governorate Joint Crises Center (DJCC)**.

**For the Private sector**, both desk review and key informant interviews revealed that the project engaged with private sector players in response to emerging COVID-19 pandemic during project implementation. In the Call for Proposals under the Job Creation Grant Scheme in 2020, at the outset of the spread of the Covid-19 pandemic, UNDP allowed partners to respond to the prevailing crisis through a jobs-generating approach, while keeping the long-term development priorities of Iraq in sight. For example, UNDP funded a **private hospital** with increased staff, an online platform for doctors' appointments and online consultations, a transport company providing land and air transport for repatriation purposes, an ambulance and several companies distributing hygiene and medical items.<sup>75</sup> Accordingly, UNDP was expanding its stakeholder map to include non-traditional stakeholders in its project interventions. Thus, in addition to playing its part in terms of the provision of much-needed economic stability in a crisis, UNDP was encouraging the private sector to intervene in the prevailing health crisis (COVID-19), by re-modelling their business approaches so that they could still continue to function and maintain their workforce. Moreover, by giving the private sector the opportunity to come up with solutions to tackle the public health crisis, the strategy helped to reduce the burden on the health sector service delivery. In addition, it helped businesses to adapt and work under COVID-19.<sup>76</sup>

**In gender mainstreaming**, desk review revealed that UNDP and UN-Habitat used their existing gender analysis in their country programmes to promote gender participation in the project interventions. Gender mainstreaming was evident in all the two project components: WASH, Rehabilitation of Housing Unit and Job Creation Grant Scheme. That gender mainstreaming was being implemented, was evident in the 'Development of Agripreneurship Initiatives' for women's groups, promoted by a local **CSO - New Organization for Protecting Environment and Women's Rights**.<sup>77</sup> This CSO focused on the promotion of agriculture businesses among **female entrepreneurs** in Halabja- an area known for growing crops - building on what the women knew best and exploiting the natural wealth of the area.<sup>78</sup> Further, data disaggregation in progress reports demonstrate the project's effort to mainstream gender in all its interventions.

### **6.3.7. Levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness**

**Achieved:** *The evaluation concludes that the project's responses were satisfactory and appropriate to the needs of the stakeholders. It ensured sustainability and smooth handover of completed works.*

Analysis of the levels of stakeholder satisfaction in the delivery of quality services as well as their appropriateness, was done through desk reviews of progress reports, key informants interviews (KII) and Focus Group Discussions (FGD).

#### **6.3.7.1. Levels of satisfaction of beneficiaries of the Job Creation Grant Scheme**

Desk review of a report of the online perceptions survey conducted in July 2020, among 336 direct and indirect beneficiaries of the UNDP Job Creation Grant activity in the communities of Dohuk, Erbil and Sulaymaniyah, revealed that approximately three-quarters (75%) of the businesses supported had expanded their operations and/or diversified

<sup>74</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>75</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>76</sup> Headway Annual Progress Report, 2020

<sup>77</sup> Ibid

<sup>78</sup> Ibid

into new areas. 87% of the employees indicated they are satisfied with their employment.<sup>79</sup> The spouses of employees hired confirmed the importance of the intervention to their partner for finding jobs and earning money towards the family budget, with 83 percent identifying it as 'timely and relevant', as reported by one of the respondents:

*"Through this project, we now have a monthly income that we can rely on, and our economic situation has improved after my husband became an employee in this factory"*<sup>80</sup>

\_\_\_\_\_ Spouse of beneficiary employed through the Grant Scheme

While beneficiary Perception Survey conducted in 2021, revealed that among the Refugees and IDPs beneficiaries of the Job Creation Grant Scheme, an additional US\$ 78.31/monthly income per household was realized through the Job Creation Grant Scheme, and overall, 40% of the beneficiary participants achieved an increase of US\$ 208/month or more compared to their pre-Job Creation Grant scheme.<sup>81</sup>

Focus Group Discussion with business owners who benefited from UNDP Job Creation Grant Scheme through the Rwanda Foundation, also reported improved revenues and spill-over effects, as reported by different businesses:

*"I deal in cosmetics, but now added mobile phones. I started with the project in 2019. I received a grant of US\$ 48,000 through Rwanda Foundation. Through the grant, my earnings per year increased from an average of US\$ 40,000 in 2019 to US\$ 300,000 in 2021. I had 7 employees (3 IDPs and 4 Syrian refugees). Through training on how to run a business, 3 out of the 7 employees have also started their own businesses. One (IDP) owns a cosmetic shop in Erbil; another (a male Syrian refugee) is a hair dresser in Erbil; and the other (a female Syrian refugee) is engaged in marketing for other businesses."*

\_\_\_\_\_ Owner of Ankawa Rosemary Cosmetic Company in Erbil City

*I deal in medical supplies. I started with the project in 2020. I received a grant of US\$ 36,275 through Rwanda Foundation. Through the Grant, by 2021, I had increased my annual earnings by 25% from that of 2020. I had 4 employees (including 2 IDPs and 1 Syrian refugee) in 2020, but the number grew to 10 employees by 2021. Employees average salary was between US\$ 200-350/ month in 2020, but rose to between US\$ 400-500 by 2021."*

\_\_\_\_\_ Owner of Revaz Company in Dohuk

#### 6.3.7.2. Levels of satisfaction of the beneficiaries of the Water Infrastructure and Housing Units

Focus Group Discussions with beneficiaries of the UN-Habitat water and house rehabilitation support, also reported improved life situations as a result of the project interventions, as reported by the different beneficiaries:

*"We are very happy with the house rehabilitation and water connection. On our own, we would have not been able to do this. Now we have a good house with clean water."*

\_\_\_\_\_ Host family in Mamzawa suburb in Erbil city

*"I am very happy with the house rehabilitation and water connection. Before the rehabilitation, flood water used to come into the house, but now it is beautiful house with clean water."*

\_\_\_\_\_ Syrian female refugee family living in Mamzawa suburb in Erbil city

#### 6.3.7.3. Levels of satisfaction of governmental stakeholders with the project interventions

Key informants from the Governorates and Municipalities felt that the project in partnership with UNDP and UN-Habitat added value to quality service delivery due to its information sharing, new perspectives, good selection of beneficiaries and better collaboration among its implementing partners, as reported by different partners:

*"The EU, UN and Government partnership's ability has been in creating greater influence in the wider community, especially in extending safe and regular water supply to the wider community beyond the IDP and refugee community."*

<sup>79</sup> Refer to Headway project progress report of 2020, section 3: M&E of activities.

<sup>80</sup> Ibid

<sup>81</sup> Headway Annual Progress Report, 2021, p,14



\_\_\_\_\_ Official from Erbil Governorate

*“UN-Habitat selected the most important project (water) to give to the hosts, IDPs, and refugees’ populations. It was the best selection of any project. For example, a community can have houses, but if water sources dry up due to climate change, they will leave the place and move to other places in search of water – Water is life. And also because the communities were engaged to provide labour for water and house rehabilitation works, it was a good opportunity for the community to develop economically”*

\_\_\_\_\_ Official from the Directorate of Sumel Municipality in Dohuk

*“The water project was a very good and timely project. The project came at a time when Dohuk Municipality could not work on the water network. Because of COVID-19 pandemic, Government focused most of its resources to funding the Health Sector. The coming of the Water and Housing project filled that gap, and the water and housing sectors continued to provide services to the hosts, IDPs and refugees populations”*

\_\_\_\_\_ Official from Dohuk Water Directorate

*“This was a very successful project. Local Government is very happy for the Water Network done by UN-Habitat. Coordination between UN-Habitat and Ninewa Governorate was very good. There was a lot of transparency from UN-Habitat team to Government, and this encouraged commitment from Government and also made my work smooth, and also brought success to the project.”*

\_\_\_\_\_ Former UN-Habitat Field Engineer, Sinjar Municipality in Ninewa

#### 6.3.7.4. Levels of satisfaction of the Donor with the project interventions

Interviews with representatives of the European Union Trust Fund (EU TF) in Brussels, Belgium, revealed that the project performance exceeded their expectations, as quoted below:

*“My overall assessment of the performance of the Headway Project in Iraq is that the project performed very well, despite the outbreak of COVID-19 pandemic and uncertainly from the Iraqi parliamentary elections in October 2021. Results were achieved within the project time frame and with good use of funds – a remarkable performance.”*

\_\_\_\_\_ Official from the European Union Trust Fund (EU TF) in Brussels, Belgium

## 6.4. Efficiency

The efficiency assessed the extent to which the project interventions delivered results in an economic and timely way. In particular, the evaluation assessed six key areas: (i) how efficient the functioning of the Headway’s project management, technical support, administrative, procurement and financial management procedures have been; (ii) the Headway’s project management structure in relation to day-to-day and periodical management of project tasks including: planning, management of the budget, management of delivery modalities (contracts, payments, monitoring, supervision etc.), coordination with stakeholders, and adequacy of personnel, expertise, and resources; (iii) whether the communication and visibility strategy for the Headway project was adopted, and its cost-effectiveness in promoting the project and its achievements; (iv) extent to which the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project’s desired effects; (v) potential added value of the “multi-partner and multi-year” approach; and (vi) contribution of the project monitoring and evaluation mechanisms to keep track of project progress and continuous collection and analysis of quality and segregated data on expected results.

### 6.4.1. Efficiency of the project management, technical support, administrative, procurement and financial management procedures

**Achieved:** *The efficiency of the project management, technical support, administrative, procurement and financial management procedures, is demonstrated in the achievement of all project output targets by the project end date of 31, December 2021.*

In terms of **project management**, information from desk reviews and key informant interviews could not lead to conclusion that the project had enough staff to manage it adequately to achieve the objectives. But the achievement of

all project output targets tend to support that the project was staffed appropriately to manage it efficiently. The project field management was ensured through the Project Core Team (PCT)<sup>82</sup> that was hosted at the Office of the Directorate General of Municipalities (DGM). As described earlier under **effectiveness** in sub-section 6.3.2, the PCT provided project coordination and management support to the implementing partners at the municipalities, managing the project at that level. Similarly, as described earlier under **effectiveness** in sub-section 6.3.2, the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>83</sup>

In regards to **technical support** for WASH, Rehabilitation of Housing Units, and Job Creation Grant Scheme, again as described earlier under **effectiveness** in sub-section 6.3.2, the project management arrangement allowed the PCT to develop the capacity of the Technical Unit staff, thus, facilitating the sustainability of the project interventions. The capacity development actions and briefing meetings strengthened partnerships, and the result of the technical support was the successful handover of the rehabilitated water infrastructure networks in Sinjar Water Directorate in November 2020.<sup>84</sup>

In regards to **administrative procedures** used by the project, desk review and key informants revealed that project documents, progress reports, fact sheets, infographs, e-posters and other materials were usually produced in Kurdish and Arabic. To make these materials available and translated for international use requires time. Additionally, documents need to be translated from English to Kurdish or Arabic before submitting to Government for decision-making. While they encourage wider reach and use, all these are administrative challenges that delay their use.

Regarding **procurement procedures**, the project conducted procurement of goods and services in line with individual UN agency procurement rules & regulations. However, for UN-Habitat, solicitations that surpassed its delegation of authority were handled by UNON.

In regards to **financial management**, with the transfer of the project procurement of both goods and services to UNDP, the project followed mostly UNDP financial management procedures. All financial data reported in the progress reports are provisional until certified by UNDP Bureau of Management/Office of Finance and Administration at UNDP headquarters in New York, USA, with an annual certified financial statement as of end of the year (31 December) is posted by UNDP HQ no later than 30 June of the following year and shared with the donor. The utilization of funds cover funds expended and those committed, together termed "*Funds utilized*." The advantage of this financial management process is that it ensures UNDP as the project's lead agency has an overall view of the status of funds budgeted and utilized by components.

#### **6.4.2. Efficiency of the project management structure in managing project tasks, coordination with stakeholders, and adequacy of personnel, expertise, and resources**

**Achieved:** *In terms of efficiency of project management structure, the evaluation concludes that the project demonstrated efficiency in managing project tasks and coordination with stakeholders.*

The project management structure was designed to be based on a Steering Committee (SC) approach, with the Ministry of Planning (MoP) as co-chair and UNDP as chair, with participation of the senior programme managers and project managers from UNDP and UN-Habitat. Desk review and interviews with key informants revealed that the SC was the project management structure tasked with providing the overall policy and programmatic guidance to the Headway project. The SC was established at the start of the Project in 2019. The SC is composed of Government officials from the relevant ministries, a representative from EU Delegation in Iraq, and implementing organizations. The first physical SC meeting was held in Erbil on 11th July 2019.<sup>85</sup> The participants included representatives of the federal Ministry of Planning, the Governorates of Erbil, Dohuk, Ninewa and Sulaymaniyah and both UN agencies (UNDP and UN-Habitat), implementing the Project. A "Charter of Principles" was signed by all participants during the meeting to outline the values, principles and partnership modalities under which all agencies and administrations should operate for the successful implementation of the Project in Iraq. Even during COVID-19 the SC held virtual meetings to keep track of

<sup>82</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM) (source: Headway project Document 14 December 2018, p.42)

<sup>83</sup> Ibid

<sup>84</sup> Refer to Headway project progress report of 2020, section VII: partnership and sustainability.

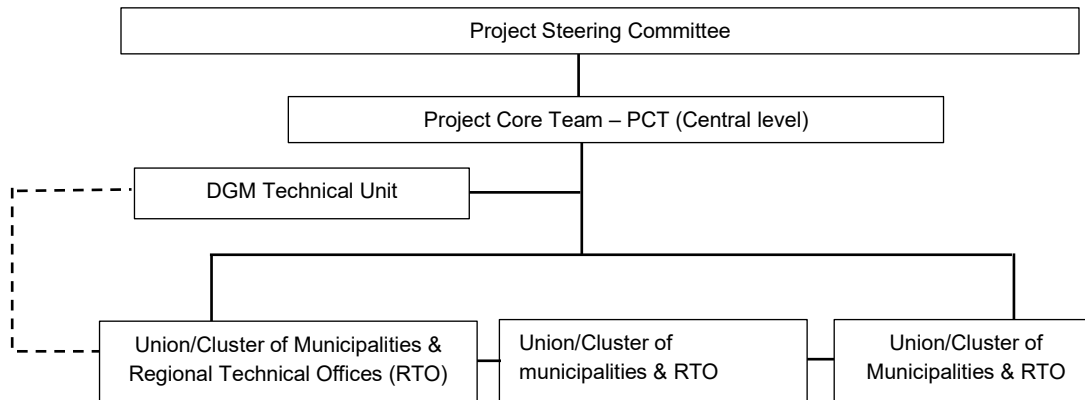
<sup>85</sup> Headway project progress report, 2019, p.54.



the project progress. This commitment demonstrated the seriousness of the SC in the management of the project, and partners' readiness for the successful implementation of the project.

The project management structure is presented in Chart 1.

Chart 1: *Project management structure*



At the central and regional level, the functioning of the project management structure was ensured through the PCT<sup>86</sup> that was hosted at the Office of the DGM. Both UNDP and UN-Habitat balanced their internal coordination with those of the Headway project, through the PCT. The PCT was UNDP and UN-Habitat's project management structure at the municipality level, overseeing the work of implementing partners at that level.

Desk review and key informants interviews revealed that the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>87</sup> For UNDP, these included: a) the Programme Specialist and Programme Support Associate; Senior Communications Specialist and Communications Assistant who committed 50% of their time to all communication and visibility aspects; and other programmatic and reporting staff based between Baghdad and Erbil, who committed 50% of their time to the project activities. And for UN-Habitat, these included: 5 field engineers who worked in close coordination with municipal and governorate counterparts for the daily supervision of activities implemented by the local contractors for the rehabilitation of damaged houses and the small-scale community water infrastructure within the selected neighbourhoods; and a Driver and administrative assistant, who committed 50% of their time to the project activities.

Additionally, the project was supported by a UNDP Regional Programme Specialist, who ensured consistency and coherence of programmatic and financial reporting of the UNDP Headway project components, conducted analysis of results and lessons learned at the regional level and acted as a main interlocutor for the project with the EU, and devoted around 10% of his time for the project. While for UN-Habitat, the Regional Coordinator at UN-Habitat Erbil Office ensured close coordination with regional, governorate and municipal governments involved in the Project and ensured full alignment with other initiatives being implemented by UN-Habitat.

The arrangement of the management structure allowed UNDP and UN-Habitat to develop the capacity of the Technical Unit staff of Government, thus, facilitating the sustainability of the interventions. Key informant interviews revealed that those capacity development actions and briefing meetings strengthened partnerships between the Governorates, Municipalities, and UNDP and UN-Habitat.

In terms of efficiency of the project management structure in managing tasks; completion of all activities within budget and time, and the achievement of all project output targets described under **effectiveness** (in **tables 4, 5, 6, 7, 8, and 9**), demonstrate that the project management structure was appropriate. Key informant interviews revealed that

<sup>86</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/ Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM) (source: Headway project Document 14 December 2018, p.42)

<sup>87</sup> Ibid

implementers were resourceful in considering activities against budget lines and interventions that had the maximum impact. Moreover, as desk review revealed, some interventions related to fighting COVID-19 were introduced to enable the project address the impact of the pandemic and continue to operate effectively.<sup>88</sup> Similarly, as desk review revealed, the effectiveness of the project management structure was also seen in its ability to introduce activities that enabled the project to maximize the impact of the intervention, such as work on flood prevention in Mosul that would have negatively impacted on the newly rehabilitated sewage lines.<sup>89</sup> In general, the key driving forces, as remarked by key informants, are the supportive government structures at the Governorates and Municipalities and, strong leadership of the Ministry of Planning – which pushed project delivery. Within the PCT, the key driving forces are qualified and committed technical staff, who provided proactive, consistent and systematic technical support and influenced positively the inclusiveness of project stakeholders, subsequently the performance.

#### **6.4.3. Communication and visibility strategy adopted and its cost-effectiveness in promoting the project and its achievements**

**Achieved:** *The evaluation concludes that the project demonstrated efficiency in communicating internally and externally, its activities and achievements; and reached a large number of audiences at various levels and geography.*

In terms of **visibility and cost-effectiveness of the communications strategy** adopted by the project in promoting the project and its achievements, desk review and key informant interviews revealed that the project employed various tools and channels for communicating its purpose and achievements to its intended audiences. Key to these are the Steering Committee meetings held regularly to capture lessons learned and discussed opportunities for the scaling up and to socialize the project results and lessons learnt with relevant audiences.

Additionally, desk review revealed that the project used the UNDP social media platforms that have an audience of 214,924 users: 191,725 on Facebook, 20,300 on Twitter, 2,534 on Instagram and 365 on YouTube, for the project visibility. The project's visibility was also expanded by the pages of at least 6 sister and partner organizations, in addition to the pages of partner governorates. The estimated average audience of most of those pages is 73% males and 26% females; 85% of whom are registered in Iraq.<sup>90</sup>

Further, the visibility of the project and all its activities were promoted through multimedia updates (text, photos, videos, info graphs, factsheets, posters, infotainment, and competitions). With engaging content and social media outreach, the programme increased the visibility and expanded the audience reach to a total of 3,321,403 users in 2021, compared to 2,149,950 in 2019. In addition, social media posts (Facebook, YouTube, twitter) by UN-Habitat reached more than 200,000 people.

Similarly, the project activities or updates were promoted, covered, and shared on the websites and social media platforms of UNDP Iraq, UNDP Arab States, UNDP Brussels, UNDP Global, UN-Habitat Iraq, UNAMI, Rwanda Foundation, dozens of local media outlets, NGOs, partner governorates, in addition to the EU and the Coalition pages among others.

#### **6.4.4. Added value from the project communication and visibility actions and their contribution to mainstreaming the project's desired effects**

**Achieved:** *The evaluation concludes that the project demonstrated value addition through its communication and visibility activities, as testimonies and photos posted on social media reflected the desired effects of the project on its beneficiaries and the general stakeholders in Iraq.*

In regards to their contribution to mainstreaming the project's desired effects, awareness campaign – 'Let's Beat Corona', implemented by UNDP from June to September 2020 raised awareness of COVID-19 among an estimated 12.5 million people, through both online and offline across Iraq. The relevance, user-friendly design and highly engaging

---

<sup>88</sup> UNDP and UN-Habitat Headway project progress reports 2021, Section VI: Changes and Modification to the project

<sup>89</sup> Ibid

<sup>90</sup> Refer to Headway annual progress report 2020, section VIII- Communication and Visibility

content of the campaign resulted in an unprecedented increase in reach of UNDP Iraq's Facebook page by 239% and engagement by 44% during the campaign period.<sup>91</sup>

The results and contributions of the job creation activities were reflected in multiple success stories and videos, published by UNDP Arab States, UNDP Brussels and the global website. Similarly, a video on the project's work with and for local communities, developed and shared by UN-Habitat on Twitter received 6,674 impressions, 446 views and 113 engagements. On Facebook, the post reached out to 2,200 viewers with 142 engagements and 36 reactions.<sup>92</sup>

On the day marking the World Water Day on 22 March 2021, UN-Habitat developed and shared a story of completed water infrastructure in Iraq through the EU-funded project on its website. The article featured the continued need of the vulnerable population for regular and safe water supply and how 14,967 IDPs, refugees and vulnerable host community members have benefited from the Headway project in terms of access to safe water supply.<sup>93</sup>

Interviews with representatives of the European Union Trust Fund (EU TF) in Brussels, Belgium, revealed the extent of the quality of the project communication and visibility strategy, as quoted below:

*"The project communication and visibility strategy was excellent. It promoted the project's activities and results and enabled the project effects to be known from within and outside Iraq. It added value to the overall achievements of the project."*

\_\_\_\_\_ Official from the European Union Trust Fund (EU TF) in Brussels, Belgium

#### **6.4.5. Potential added value of the Headway project "multi-partner and multi-year" approach**

**Achieved:** *The evaluation concludes that the project demonstrated value addition in capacity building of the municipal technical teams and sustainability of interventions, and increased individual organization's stature and visibility.*

The Headway project joint action sought to optimize the impact of a range of interventions by multiple actors towards improving the resilience of host and refugee populations by complementing their efforts and accurately targeting to fill the gaps in support, where a UN Partnership have a strong added value.

In regards to the above, both desk review and key informant interviews revealed that because of the multi-partner approach, partners' ambitions to enter new partnerships has increased. Some of the benefits cited by partners interviewed, include;

- Different institutions and organisations involved in the partnership have gained from the other's expertise.
- The partnership brought new capacities to the project, especially to the water directorates of the different municipalities.
- UNDP and UN-Habitat's images regarding inter-agency team work and inclusiveness have increased.
- The partnership has increased individual organization's stature and visibility.

Further, according to key informant interviews, the project's most important added values were in the areas of; capacity building, building trust among partners, improving regular consultations, setting clear goals and targeting the most vulnerable, and complementarity roles, which were well addressed. Collectively, these contributed to achieving all the results. For example, all project activities were completed by end date of 31 December 2021; all output targets were either fully achieved or over-achieved by the project end date of 31 December 2021.

Similarly, feedback from key informants revealed that the partnership added value due to good collaboration, very good targeting and capacity building efforts, as reported by some of the partners:

*"This was a very participatory project, with clear focus on the most needy and addressed the real needs of the vulnerable population – water and housing. But in future, more focus should be moving away from humanitarian to development work – building schools, health centres, and roads"*

---

<sup>91</sup> Refer to Headway annual progress report 2020, section VIII- Communication and Visibility

<sup>92</sup> Ibid

<sup>93</sup> Refer to Headway annual progress report 2021, section VIII- Communication and Visibility

\_\_\_\_\_ Official from Dohuk Joint Crisis Coordination Centre

*"This project was very good for building the capacity of my staff at the Water Directorate. The capacities built helped us a lot in the implementation of the project. Rarely does Government take us for refresher trainings"*

\_\_\_\_\_ Official from Dohuk Water Directorate

#### **6.4.6. Contribution of project monitoring and evaluation mechanisms to keep track of project progress and continuous collection and analysis of quality and segregated data on expected results**

**Achieved:** *The evaluation concludes that the project monitoring and evaluation mechanisms demonstrated strength in results-based management and the use of strategic information for planning, decision-making and visibility.*

In keeping track of project progress on expected outputs and outcomes, it is worth noting that the project scores well in terms of monitoring, evaluation and learning (MEL), although it did not have a designated M&E Officer.<sup>94</sup> It is mostly due to the robust M&E systems of the UNDP and UN-Habitat as organizations. The following actions represent how the project kept track of progress on expected outputs and outcomes and allowed for continuous collection and analysis of quality and segregated data on expected results and learning:

- UNDP Regional Bureau of Arab States (RBAS) in coordination with respective UNDP and UN-Habitat Country Offices will submit to EU the following reports:
  - Quarterly Information Note (QIN) to be filled every three months.
  - Progress and Final Reports as per donor reporting requirement.
  - Monthly, quarterly and annual progress reports, shared and presented to UNDP and UN-Habitat senior management, Steering Committee, EU TF, and targeted Government sectors.
  - Steering Committee review meetings of project progress and feedback for policy, practice, and programme improvements and decision-making.
  - EU TF review of project progress reports and feedback provided for quality improvements.
- Dissemination of various studies, surveys and assessments reports.
- Bi-lateral (zoom or WhatsApp) conversations with offices, including senior management, donor, project staff, and technical experts – global, regional and national experts.
- Beneficiary satisfaction and perception surveys, conducted annually.

Regarding reporting, progress reports reviewed are well structured in terms of reporting on what has been done and achievement of targets, and are connected with the six outputs and three outcomes of the project. The project has demonstrated the ability to disaggregate data by sex (male and female), and gender (women, men, youth). Together with the use of GIS and SEVAT tool, the disaggregated data enabled micro-targeting of critically vulnerable populations in the community.

Although the project did not have qualitative indicators to capture qualitative statements of the impact and outcomes, the project's annual beneficiary satisfaction and perception surveys, helped to get direct feedback about the project performance, a commendable practice, that also helped to inform and redirect resource allocations to beneficiaries and families most vulnerable.<sup>95</sup>

### **6.5. Impact**

The **impact** assessed the extent to which the project interventions generated significant positive or negative, intended or unintended, higher-level effects. In particular, the evaluation assessed: (i) the extent to which the project interventions generated significant positive or negative, intended or unintended, higher-level effects; (ii) effects of the project actions in reversing the process of non-achievement of results; (iii) key achievements of the project in policy, practice, and behaviour change and main challenges to achieving them; (iv) the countermeasures taken against unanticipated developments that affected the quality of the implementation; (v) project impact on the primary stakeholder groups and institutions at local and national levels, respectively; and (vi) the extent to which the project addressed the negative impacts of the Covid-19 pandemic.

<sup>94</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)

<sup>95</sup> Results of the Project Output 1.1 on Socio-economic and Vulnerability Assessment survey reported in the Annual Report of 2021.

### 6.5.1. Extent of generation of positive or negative, intended or unintended, higher-level effects

The assessment of impact of the project was defined through issues identified by experts at project design, and whether they were influenced through the Headway project interventions, by analysis of opinions from experts, key interventions proposed to address those issues, and outcomes and impacts achieved (**see Annex 6.4**). The rating of **significance of the impact** provided the basis for estimation of the effectiveness of the project components or actions. This is defined as the **gap** between **intended** and **actual significance**. A small gap implies significant of impact of the component is high, while a large gap implies significant of the impact is low (**see Table 10**).

Table 10: *Effects of the project actions on impact*

Project Component or Actions)	Rating of Significance	Supporting Narrative
<b>WASH</b>	High (9)	<p><b>Relevance of impact (R): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• 'Water is life' and it was and still relevant. Every one interviewed from beneficiaries to governmental officials express water is the best of the interventions the project implemented.</li> <li>• Community participation in WASH infrastructure and housing rehabilitation works is key to unskilled and skills labour development, social cohesion and ownership.</li> </ul> <p><b>Extent of impact (E): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Project addressed real recovery needs of vulnerable populations through the upgrade of water network infrastructure to the wider community beyond just the IDP and refugee populations.</li> <li>• Direct and indirect beneficiaries have equitable access to sufficient, safe and durable water supply through government bodies responsible to provide water services.</li> </ul> <p><b>Duration of impact (D): 2 (MEDIUM)</b></p> <ul style="list-style-type: none"> <li>• Medium to long-term sustainability ensured by handing over completed WASH infrastructure projects with a Manual for Water Distribution Systems and Operations and Maintenance Guidelines to respective Water Directorates in target Governorates.</li> <li>• Local Governments have assumed responsibility for the operation and maintenance of the rehabilitated water networks.</li> <li>• Long-term sustainability of water networks may be interrupted as resources to ensure systems operations and maintenance may be limited.</li> </ul> <p><b>Actual Significance = <math>R \times E \times D</math> or <math>3 \times 3 \times 2 = 18</math>; Intended Significance = <math>3 \times 3 \times 3 = 27</math></b>  <b>Significance of impact of component (Intended Significance - Actual Significance): <math>27 - 18 = 9</math></b></p>
<b>REHABILITATION OF HOUSING UNITS</b>	High (9)	<p><b>Relevance of impact (R): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Housings were and still relevant. Every one interviewed from beneficiaries to governmental officials express happiness with housing rehabilitation and water connection.</li> <li>• Community participation in selection of houses to be rehabilitated is key to social cohesion.</li> </ul> <p><b>Extent of impact (E): 2 (MEDIUM)</b></p> <ul style="list-style-type: none"> <li>• Rehabilitating houses for both the hosts and IDPs and refugees population eliminates discrimination and prolongs social-cohesion between hosts and IDPs and refugees populations.</li> <li>• Safety and better protection for the IDP and the Refugee families.</li> <li>• IDPs and refugees will continue to live in the rented houses as long as the hosts respect the agreement that rent should not be raised for 1 year.</li> </ul> <p><b>Duration of impact (D): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Houses will continue to provide shelter and protection as long as the IDPs and Refugees live in them.</li> </ul> <p><b>Actual Significance = <math>R \times E \times D</math> or <math>3 \times 2 \times 2 = 12</math>; Intended Significance = <math>3 \times 3 \times 3 = 27</math></b>  <b>Significance of impact of the component (Intended Significance - Actual Significance): <math>27 - 12 = 15</math></b></p>
<b>JOB CREATION GRANT SCHEME</b>	High (9)	<p><b>Relevance of impact (R): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Vulnerable populations enabled to enter the labor market and increase their monthly income, through training and grants provision. Strong livelihood is key to sustainable development.</li> <li>• Employees of businesses are satisfied with their employment.</li> </ul> <p><b>Extent of impact (E): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Supported businesses have expanded their operations and/or diversified into new areas.</li> <li>• Employees are earning more income compared to their pre-job period, and are supporting some of the needs of their families.</li> <li>• Employees have also started their own businesses.</li> </ul> <p><b>Duration of impact (D): 2 (MEDIUM)</b></p> <ul style="list-style-type: none"> <li>• Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market forces. However, duration of impact will depend on the recovery of the economy of the Kurdistan Region of Iraq.</li> </ul>

		<b>Actual Significance</b> = R x E x D or 3 x 3 x 2 = 18; <b>Intended Significance</b> = 3 x 3 x 3 = 27 <b>Significance of impact of the component (Intended Significance - Actual Significance):</b> 27-18 = 9
--	--	--

From **table 10**, high impacts were achieved under all the components (WASH, Job Creation Grant Scheme, and Rehabilitation of Housing Units). Effective partnerships contributed to impact, including effective use of the GIS and SEVAT tool in generating accurate data for correct targeting and planning; and quick response to the outbreak of COVID-19 also allowed project work to continue. The GIS and SEVAT tools can be mainstreamed into relevant institutions to address gaps in data and vulnerability assessments in future.

### 6.5.2. Effects of the project actions in reversing the process of non-achievement of results

**Achieved:** *The evaluation concludes that despite the challenges faced, including the impact of COVID-19, the project's actions demonstrate one of the key strengths of the project, when judged from their effects on results.*

Based on desk review and key informant interviews, the evaluation identifies these project actions as having had positive effects on the achievements of the results: (a) prioritizing working with and strengthening of existing structures, (b) strengthening generation of strategic data and use for planning, (c) strengthening local NGOs and private sector entities, and (d) engaging and empowering people.

#### 6.5.2.1. Prioritizing working with and strengthening of existing structures

This action was implemented by embedding the Project Core Team (PCT) staff into the Office of the Directorate General of Municipalities (DGM). This allowed for close coordination with the Municipalities to mobilize the target populations for involvement in WASH, Rehabilitation of Housing Units and Job Creation activities. It also contributed to building the capacities of technical staff of the Municipalities to deliver quality services. For example, when the project realized that the Municipalities technical teams did not have adequate capacity to collect accurate data on vulnerability, UN-Habitat conducted the SEVAT assessment through an implementing partner for prioritization of the most vulnerable families. Also, UN-Habitat shared the GIS mapping with the concerned municipalities with regard to the prioritisation of the selected housing units to be rehabilitated. The use of GIS and SEVAT tools, allowed municipalities to target the most vulnerable hosts, IDPs and refugee populations.<sup>96</sup>

Moreover, key informants from the Municipalities technical teams revealed that the capacities built in GIS and SEVAT, including for WASH operations and maintenance, will remain within the Municipal Offices, and will ensure continuity in technical support, as well as mentorship or skills transfer to new or other technical staff within the municipalities.

#### 6.5.2.2. Strengthening generation of strategic data and use for planning

Key informant interviews with the project partners revealed that this action was very useful. Access to strategic data was instrumental for timely decision-making and planning and, guided project response and project quality improvements. Key informants from the project partners and the municipalities revealed that most decisions to change project strategies were informed by data.

Applying various data collection tools, such as GIS and SEVAT, focused project reach and significance. The effect was that the repeated vulnerability assessments generated more accurate data that enabled selection of most critically vulnerable families for support. Since selection was based on data, it also projected how transparent and fair UNDP and UN Habitat, and their implementing partners are. Desk review revealed that houses where rehabilitation was no longer required for reasons such as the shift to another location by beneficiary tenants, change of ownership, rehabilitation by owner or another donor; were removed from the list and information updated by comparing to the SEVAT information conducted earlier in 2019.<sup>97</sup>

Further, the generation and use of strategic data helped to inform and redirect resource allocations to beneficiaries and areas still in need. For example, the project was subjected to a no-cost extension when financial data or statements mid-way 2021 revealed that some unspent funds remained, in particular, for UN-Habitat.<sup>98</sup> Accordingly, in November 2021, UN-Habitat requested the extension of the implementation period from 31st December 2021 to 30th April 2022

<sup>96</sup> Headway project progress report, 2019, section, III. Progress Review.

<sup>97</sup> Results of the Project Output 1.1 on Socio-economic and Vulnerability Assessment survey reported in the Annual Report of 2021.

<sup>98</sup> Headway project progress report, 2021, section, VI. Challenges and modification to the project.



to allow the project utilise the funds to maximise WASH impact on vulnerable communities in Ninewa Governorate, including provision of equipment to Ninewa Water and Sewage Directorates to enhance their operational capacity.<sup>99</sup>

In general, increased access to and strategic use of data at partners and municipal levels, was one of the most effective actions deployed by the Headway project, as it contributed to making better decisions in allocating resources (human and financial) to areas most in need, and generally to the successes observed and reported.

#### 6.5.2.3. *Strengthening local NGOs and private sector entities*

Document reviews revealed that UNDP and UN-Habitat worked with local NGOs and the private sector entities familiar with the context. This allowed the project to mobilise and reach deeper to critically vulnerable persons in the hosts, IDP and Refugee populations. Similarly, working with NGOs and local contractors allowed better division of labour. It gave the project technical team (i.e. PCT) more time to focus their technical assistance at the municipality levels. While the NGO - Rwanga Foundation, for example, focused its attention on strengthening the business capabilities of companies at the community levels.<sup>100</sup> This contributed considerably to improving capacity for management of businesses. It also got women's groups to add business structures to their otherwise purely social concerns.

#### 6.5.2.4. *Engaging and empowering people*

The project engaged with stakeholders at both the community, municipal and governorates levels. Both desk review and interviews with project stakeholders revealed positive gains through these engagements. At the community level, the project engaged unskilled and skilled labour in the rehabilitation of houses in their respective neighbourhoods.<sup>101</sup> The impact of this action has been substantial. In addition to supporting the livelihood and local economic development in target locations, engaging labour from among direct beneficiaries of the water and house rehabilitation components resulted in more social cohesion between the host community members and refugees and IDPs.<sup>102</sup> Further, the recruitment of field engineers from the same city where activities were being implemented, helped in strengthening local capacities and in ensuring effective and efficient communication with technical staff of municipalities and other sub-national agencies. As key informants reported, the use of local expertise is accredited for the success of the project.

#### 6.5.2.5. *Communications and visibility*

As described earlier under **efficiency** in subsection 6.4.3, the project communication and visibility plan focused on multiplying the impact of the Project objectives by using the most efficient and relevant means to reach out to the project's beneficiaries and key stakeholders at all levels.<sup>103</sup> The project and its activities were promoted through multimedia updates (text, photos, videos, factsheets, posters, and competition). Again, as described earlier under **efficiency** in subsection 6.4.3, engaging content and social media increased the visibility and expanded the project audience to 3,321,403 users in 2021, compared to 2,149,950 in 2019.<sup>104</sup> The *Let's Beat Corona* campaign initiated by UNDP and UN-Habitat extended the outreach of COVID-19 in the cities of Mosul, Sinjar, Dohuk, Sumel and Erbil, and worked out to raise consciousness on aspects of COVID-19. As described earlier under **efficiency** in subsection 6.4.3, this provided opportunity and hope in an uncertain time and reduced cultural stigma to those that contracted the virus. The outcome was that the COVID-19 awareness positively allowed the project partners to continue providing services and contributed to completion of all activities and achieving the project objectives.

#### 6.5.3. *Key achievements of the project in policy, practice, and behaviour change and main challenges to achieving them*

A policy is a broad guideline for decision-making that links the formulation of a strategy and its implementation.<sup>105</sup> In terms of **influencing policy**, desk review and key informants revealed that the project helped to integrate lessons learnt into the broader recovery and development planning of the target municipalities and governorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar. For example, the project supported the development and dissemination of the *Manual for Water Distribution Systems and Operations and Maintenance Guidelines*, already in use by respective Water Directorates in the listed municipalities.

<sup>99</sup> Headway project progress report, 2021, section, VI. Challenges and modification to the project

<sup>100</sup> Headway Annual Progress Report, 2020

<sup>101</sup> Headway Project progress report, 2021. Section IV. Challenges and lesson learnt

<sup>102</sup> Ibid

<sup>103</sup> Refer to Annex VI: Project Communications and Visibility Plan

<sup>104</sup> Refer to Headway project progress report, 2020 & 20201. Section VIII: Communications and Visibility

<sup>105</sup> Thomas L. Wheelen and J. David Hunger (2007). Concepts in Strategic Management and Business Policy. Pearson International Edition.p.15

In terms of **influencing practice**, desk review revealed that the project supported 300 persons (86 women and 114 men) to acquire new business skills through the Building Resilience Component's vocational training. Similarly, 179 persons (98 women and 81 men) were supported to develop business plans through the Missing Entrepreneurship (ME) Component that aimed to support small businesses, start-ups and self-employment businesses, with a focus on the inclusion of vulnerable groups.<sup>106</sup> Further, 500 persons (271 women, 4 IDPs, 20 refugees, 437 vulnerable host communities-VHC) were trained on job creation initiatives to increase their self-reliance.<sup>107</sup> Consequently, 700 beneficiaries were employed through the Job Creation Grant Scheme (241 women, 97 IDPs, 101 refugees, 502 VHCs) of which 258 people (163 women and 95 men) remained employed in the companies after completion of the projects.<sup>108</sup> By having more women participate, learn, practice and remain in employable businesses, the project influenced the social inclusion and the participation of women in the public space through its ME Component.

In regards to **influencing behaviour**, desk review revealed that the project trained 200 school teachers (115 men and 85 women) from the different Directorates of Erbil Governorate on how to reduce the risk of COVID-19 spread within schools, and to make them agents of change in the community. Through the awareness campaigns, focusing on good cleaning and hygiene habits in fighting the COVID-19 pandemic, the trained staff were able to influence the behaviour of over 1,919 men and women in good cleaning and hygiene habits.<sup>109</sup> This contributed to reducing further spread of COVID-19.

#### **6.5.4. Countermeasures taken against unanticipated developments that affected the quality of the implementation**

As described earlier under **effectiveness** in subsection 6.3.4, KRI experienced substantial increase of confirmed COVID-19 cases. This had a negative impact on the completion of house rehabilitation works in Erbil, Dohuk and Sumel on time.<sup>110</sup> As a countermeasure, adherence to social distance between beneficiaries, reinforced hygiene measures or the transformation of face-to-face training into distance/online training had to be put in place, and this allowed project work to continue.

In addition, as described earlier under **effectiveness** in subsection 6.3.5, the political and security situation in Iraq required certain forms of adaptation. In particular, the parliamentary elections of October 2021 somewhat delayed the implementation of the last Activity undertaken by UNDP (Building Resilience component) due to the security rules that accompanied these elections. Nevertheless, the consistent follow-up and communication with political leaders allowed this activity to be completed on time.

Again, as described earlier under **effectiveness** in subsection 6.3.5, the change of leadership and key staff in certain governorates, such as Duhok, resulted in delaying the water rehabilitation works and the handover of completed works to the relevant municipalities and water directorates.<sup>111</sup> Nevertheless, the consistent follow-up and communication with higher authorities allowed the handover of completed to be done on time.

As described earlier under **effectiveness** in subsection 6.3.4, KRI experienced substantial increase of confirmed COVID-19 cases. This had a negative impact on the completion of house rehabilitation works in Erbil, Dohuk and Sumel on time.<sup>112</sup> As a countermeasure, adherence to social distance, reinforced hygiene measures or the transformation of physical meetings and trainings into online trainings was adapted and allowed the project to continue operating.

#### **6.5.5. Project impact on the primary stakeholder groups and institutions at local and national levels**

##### **6.5.5.1. Perceptions of primary stakeholders about the project impact**

From the point of view of stakeholders at the local level, the project impact is substantial because it engaged with the affected community in the crisis response, making a greater impact through creating temporary employment and

<sup>106</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>107</sup> Refer to Headway project progress report, 2021, Output 3.2

<sup>108</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>109</sup> Refer to Headway project progress report, 2021, key results under Key Activity 2.1.5

<sup>110</sup> Headway project progress report, 2020 & 2021, section, VI. Challenges and modification to the project.

<sup>111</sup> Ibid

<sup>112</sup> Headway project progress report, 2020 & 2021, section, VI. Challenges and modification to the project.



promoting skills transfer through “learning by doing”. As desk review and key informant interviews revealed, the technical and social impacts have been substantial because the project was built on incorporating local labour in the rehabilitation of houses in their respective neighbourhoods, as reported by a Field Engineer who was involved in the UN-Habitat house rehabilitation processes:

*“In addition to supporting the livelihood and local economic development in target locations, engaging labour from among direct beneficiaries of the house rehabilitation component resulted in creating unskilled and skilled labour, and better social cohesion between the host community members, refugees and IDPs.”*

Similarly, the spouses of employees hired as a result of the Job Creation Grant Scheme, confirmed the importance of the project intervention to their partners for finding jobs and earning income that has helped to support the family budget, as quoted from the project report of a spouse of a beneficiary employed through the Grant Scheme:

*“Through this project, we now have a monthly income that we can rely on, and our economic situation has improved after my husband became an employee of a factory”<sup>113</sup>*

Additionally, as desk review revealed, and as an outcome of the WASH project, 1,843 households across the 5 target cities of Dohuk, Erbil, Sumel, Mosul, and Sinjar, have been connected to the water networks. Accordingly, aggregate total of 14,967 people among the host community members, refugees and returnees are now having access to clean and regular water supply.<sup>114</sup>

#### 6.5.5.2. Perceptions of institutions at local and national levels about the project impact

From the point of view of stakeholders at the governorates and municipalities levels, the project impact is substantial because it developed from simply being a joint project into a 'collective of engaged emergency response professionals that make a greater impact through knowledge transfer and use. One key aspect that has been of impact is the recruitment of field engineers from the same city where water and housing rehabilitation activities were being implemented. This helped the project to connect better and quickly with the municipality and the local community, as reported by Erbil Water Directorate:

*“The project’s move of recruiting field engineers from the same location where activities were being implemented helped to strengthen local capacities and in ensuring effective and efficient communication with technical staff of municipalities and other subnational agencies”.*

The Building Resilience Component and support to capacity development of NGOs in writing fundable proposals/business plans that meet international donor criteria was well appreciated, as reported by an official from Rwanga Foundation:

*“Through the project, companies now have better capacities to develop quality business plans (proposals) that attract external resources.”*

Similarly, the rehabilitation of houses has contribution to the IDPs return to their original homes, in houses which are much safer, better, and with water connection, as the official from Mosul Municipality, expressed:

*“Through the house project, housing and settlements are coming up again in Mosul City. We are asking for the continuation of this project, especially in the rehabilitation of homes in Mosul so that more IDPs can return to their homes.”*

To further demonstrate the positive impact of the project in the Governorate and Municipality, in particular, the WASH component, desk review and key informant interviews revealed that an additional water well was constructed in the Qatawi underserved neighbourhood in Erbil. This was in response to an appeal from the Governorate of Erbil, Erbil Water Directorate and Municipality No. 6 in light of the drought season across Iraq in 2021. Through this intervention, an additional 352 households (or 2,800 people) residing by IDPs, refugees and host community members in Erbil are accessing regular and clean water supply.

#### 6.5.6. Extent to which the project addressed the negative impacts of the Covid-19 pandemic

<sup>113</sup> Headway project progress report, 2020 & 2021, section, III. Progress review: Key Activities and Results.

<sup>114</sup> Ibid

In addition to measures described earlier under **effectiveness** in subsection 6.3.4, desk review and key informant interviews revealed that the project responded to the COVID-19 pandemic and its negative impact on the operational capacities of local institutional partners. It did this by providing municipalities of Erbil, Dohuk, Sumel, Mosul and Sinjar with Personal Protective Equipment (PPEs) supplies to enhance their capacities to safely provide services to the most vulnerable populations. In addition, as a counter measure and in light of the continued COVID-19 pandemic in 2021, UN-Habitat provided additional PPEs and water purification materials to the municipalities and water directorates in Erbil, Mosul and Sinjar.

## 6.6. Sustainability

The evaluation assessed the extent to which the benefits of the project's technical assistance continue or will likely continue. It included an examination of: (i) the extent to which lessons learned documented were shared with appropriate parties for learning purposes; (ii) the risks (financial, social, political, or otherwise) resulting from the intervention may potentially jeopardize continuity of the project's contributions; (iii) the extent to which results of the intervention are likely to be sustained in the long-term after completion of activities and handover to end-user; (iv) the extent to which the project is likely to be replicated at national level with national resources; (v) the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables; and (vi) project actions that posed environmental threat to the sustainability of project outputs.

### 6.6.1. Lessons learned documented and shared with appropriate parties for learning purposes

Desk review reveal that documentation of lessons learned and sharing with appropriate parties was conducted all through the years of the project: 2019, 2020 and 2021. Table 11 illustrates the status of the lessons learnt documented and shared with stakeholders.

Table 11: Status of lessons learnt documented

Period of Progress Report	Lessons learnt documented	Channel through which it was shared	Partners shared with
January – December 2019	1. The use of the SEVAT, developed by the Cash Working Group and officially endorsed for use by national Shelter/NFI cluster, for assessing household vulnerability levels proved to be a very effective tool to ensure a standardized assessment of target beneficiaries	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities
	2. Briefing of Governors at the inception phase on the strategic objectives, output and activities guaranteed the political support needed throughout implementation. Seeking endorsement from Governors for the damaged houses to be rehabilitated in their respective governorates continues to be a good practice in this regard.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities
	3. The recruitment of field engineers from the local municipality, or where not possible the same governorate, where activities are being implemented helps in strengthening local capacities and in ensuring effective and efficient communication with technical staff of municipalities and other subnational agencies.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities
	4. The close coordination with local authorities and Mukhtars / community leaders during the vulnerability assessment phase helped in avoiding tension between host communities and the target IDPs and refugees.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities
January – December 2020	1. Engaging locally hired labour in the rehabilitation of houses has positive impact. In addition to supporting the livelihood and local economic development in target locations, engaging labour from among direct beneficiaries of the house rehabilitation component resulted in more social cohesion between the host community members, refugees and IDPs.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities

	2. The Job Creation Grant Scheme has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market. Similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development. In that respect, the GS (inclusive of the Missing Entrepreneurship (ME) component) should be seen as a flagship initiative to be replicated and expanded by local authorities and international donors.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Gol/KRG, Governorates, Municipalities
January – December 2021	1. UNDP support to Erbil Joint Crisis Coordination Centre (EJCC) in developing their Proposal for the Building Resilience Component enabled the project to build the capacity of Governorate officers and NGO to write Proposals that meet international donor criteria.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Governorates, Municipalities, Gol/KRG
	2. Coordinating with relevant clusters, working groups and stakeholders was an important take-away from the implementation of the Project. The Shelter/NFI Cluster provided technical guidance to UN-Habitat and other implementation agencies on the use of SEVAT and shelter rehabilitation. Similarly, the WASH Cluster provided access to a wide range of expertise through its member organizations on the most urgent water and hygiene priorities in areas of return and this has ensured complementarity of the Action with other stakeholders.	Online & Hard Copy	SC, UNDP, UN-Habitat, EU, Governorates, Municipalities, Gol/KRG

#### 6.6.2. *Risks resulting from the intervention and potential effect on the continuity of the project's contributions*

The evaluation looked mainly at the **financial risk** and risk related to **managing expectations from stakeholders**; two key factors likely to affect the continuation of the Headway project's contributions.

In terms of **financial risks**, the outlook is mix. The impact of the Headway project on stakeholders leaves behind a strong memory of a very successful project. This memory has motivated the Governorates to ask for its continuation, as was evident in almost all the key informant interviews. Key informant interviews also revealed that given the continued conflict in Syria, it is likely that more refugees will cross over to the Kurdistan Region of Iraq (KRI). This will overwhelm the resources that the KRI has. The implication is that further external assistance is required to address these needs.

Desk review and key informant interviews revealed that the financial risk to addressing the current refugees' crisis is low at least up to 2024. The response to refugee crisis is UNDP's strategic priority for Iraq. This is evident in the **UNDP Country Programme Document (2020-2024): Output 2.2: Promote social cohesion, prevention of violent extremism and sustainable development; Output 2.2: Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict**. Similarly, it is **UN-Habitat Iraq (2020-2023) Strategic Priority 5: Strengthened stabilization, development and peace building initiatives support area-based interventions in locations of displacement, return or relocation to enhance the achievement of voluntary, safe and dignified durable solutions for displacement affected populations, with focus on; supporting IDPs in areas of return with core-housing solutions, rehabilitation of infrastructure, vocational training and HLP solutions**.<sup>115</sup> These UN strategies correspond to the **Iraq National Priority of Goal: Framework of Government Programme (2014-2018): Priority 1: Working to achieve Iraq's security, stability, and protection of its facilities; and Priority 2: Upgrade living standard and services provision for citizens**.<sup>116</sup> These actions demonstrate the ability of the partnership to foresee financial risks and draw plans to address them. It also demonstrates the partnership's ability for preparedness in anticipation of further crisis, and these have been addressed at the policy and strategic levels.

#### 6.6.3. *How results of the intervention are likely to be sustained in the long-term after completion of activities and handover to end-user*

Desk review revealed that the Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market. Desk review also

<sup>115</sup> UN-Habitat Iraq Programme Overview for Iraq (2020-2023), p.6.

<sup>116</sup> National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)

revealed that similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development. In that respect, the GS, inclusive of the Missing Entrepreneurship (ME) component should be seen as a flagship initiative to be replicated and expanded by local authorities and international donors.

In regards to sustenance of the employments created, desk review and key informant interviews revealed that this will very much depend on the economic growth and overall business environment in KRG. Therefore, partnerships with SMEs are essential in order for the companies that benefit from these programmes to also benefit from using common instruments of the labour market – announcements and interviews.

From a policy perspective, desk review revealed that the project helped to integrate lessons learnt into the broader recovery and development planning of the target municipalities and governorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar. As described earlier under **impact** in subsection 6.5.2, the project supported the development and dissemination of the *Manual for Water Distribution Systems and Operations and Maintenance Guidelines*, already in use by respective Water Directorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar municipalities. These municipalities have also assumed responsibility for the operation and maintenance of the rehabilitated water networks.

#### **6.6.4. Extent to which the project is likely to be replicated at national level with national resources**

As described earlier under **impact** in subsection 6.6.3., the project Job Creation Grant Scheme (GS), inclusive of the Missing Entrepreneurship (ME) component had been implemented with the active participation of the local authorities and in partnership with private businesses. In this way, it can be modelled as a pilot and is easily replicable in the future.

Again, as described earlier under **impact** in subsection 6.6.3, the Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market.

#### **6.6.5. Ownership of beneficiaries of the project's outcomes and deliverables**

As described earlier under **impact** in subsection 6.5.4, the technical and social impacts of the project on the community structures has been substantial because the project was built on incorporating local labour in the rehabilitation of houses in their respective neighbourhoods, thus encouraging community ownership.

In addition, as described earlier under **effectiveness** in subsection 6.3.7, approximately three-quarters (75%) of the businesses supported by the Job Creation Grant Scheme expanded their operations and/or diversified into new areas. Moreover, some of the employees of companies have also established their own business. This is evidence that beneficiaries are already owning the outcomes of the project.

#### **6.6.6. Project actions that posed environmental threat to the sustainability of project outputs**

The project anticipated that its activities may deteriorate the environment conditions, especially in as far as use of groundwater resources and removal of green cover in areas where drilling of boreholes and construction of wells were carried out. However, as desk review and key informant interviews revealed, the negative effects were low, as potential for rejuvenation of green cover is high.

#### **6.6.7. Project transition and exit strategy**

From the stakeholders' point of view, the project needs to prioritize these key areas as it closes:

- a) Organize a stakeholders' engagement and transition and exit meeting – another opportunity to speak to stakeholders as part of the project transition and exit process. This should be an opportunity to present a summary of the final evaluation report to project stakeholders. Breakaway group meetings could be used to discuss each of the recommendations and lessons learnt, as they could inform new areas for new response and project development.
- b) As part of the transition and exit strategy, UNDP and UN-Habitat could continue to provide technical oversight to municipalities under the project components. This is especially possible given that both UNDP and UN-

Habitat are still involved in the LADP III implementation in the same Governorates with similar interventions. This can range from joint monitoring to joint reviews.

## 6.7. Inclusion and Intersectionality

In assessing **inclusion and Intersectionality** of the project, the evaluation looked at the extent to which the project has endeavoured to reflect gender mainstreaming for equality and inclusion of diverse groups to “leave no one behind” through a human rights-based approach, and the extent to which the project was able to apply an intersectional lens.

**6.7.1. Human Rights:** The evaluation assessed: (i) the extent to which groups with diverse identities (i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups) have been considered during the design, implementation, and monitoring phase; (ii) the extent to which the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq; and (iii) what avenues for improvements in promoting human rights standards across similar interventions in future have been put in place.

### 6.7.1.1. *Extent to which groups with diverse identities have been considered during the design, implementation, and monitoring of the project*

**Achieved:** *The evaluation concludes that the project included vulnerable hosts, IDPs and refugees during the design, and was also inclusive during project implementation and monitoring, as almost an equal number of women, youth and men, from the hosts, IDPs and refugee community, participated.*

The project involved the vulnerable host communities (VHC), the IDPs and Syrian refugees (women, men, and youth), during the rapid needs assessments conducted in 2016 and repeated in 2019.<sup>117</sup> In regards to their involvement in the project implementation, desk review revealed that of the 700 persons employed through the Job Creation Grant Scheme, 241 (34%) were women, 97 (14%) were IDPs, 114 (14%) were refugees, and 502 (72%) were VHC.<sup>118</sup> Of the 258 people who remained employed in the companies after completion of the projects, 163 (63%) were women and 95 (37%) were men.<sup>119</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies and influenced their participation in both the market and public spaces.

Similarly, desk review revealed that of a total of 227 persons who participated in the project monitoring through Focus Group Discussions (FGD) <sup>120</sup>, there was almost an equal participation of women (77 or 34%), men (74 or 33%) and youth (76 or 33%) in the monitoring of project performance. By including minority groups (youth and women) in the project implementation and monitoring, the project demonstrated a human right-based approach (HRBA) and Leave No One Behind, a policy priority of the Agenda 2030 for Sustainable Development.

### 6.7.1.2. *Extent to which the project promoted a rights-based approach for all groups of persons and especially promotion of international laws and commitments made by Iraq*

**Achieved:** *The evaluation concludes that the project promoted international laws that requires inclusiveness in participation and universal access to services for all persons.*

In assessing the promotion of a rights-based approach in the project, the Evaluator examined three categories of rights: (a) economic, social and cultural rights, (b) security rights, and (c) political rights.

In terms of cultural rights, the project applied local house designs and used local expertise within the community in its housing rehabilitation initiatives that also encouraged the development of local skills and economy.<sup>121</sup> This community-based approach allowed the hosts, IDPs and refugee communities to have control of their own recovery processes as they become part of the solution and implementation processes.

<sup>117</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

<sup>118</sup> Refer to Headway project progress report, 2021, Output 3.2

<sup>119</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>120</sup> Headway Progress Report 2020: Section 3 for Iraq: Monitoring and Evaluation of Activities; numbers computed from the table of FGD participants.

<sup>121</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

Further, in terms of economic rights, the project's support through increased access to employment benefits for the most vulnerable groups, has partially lifted the financial burden on local authorities to provide all services to these groups. Similarly, the political tension between the host community members, and IDPs and refugee populations, for access to economic opportunities has also been reduced.

Similarly, by linking the humanitarian interventions with the recovery needs of affected populations in the neighbourhoods, the project was responding to the social rights for all groups of persons. In addition to rehabilitating houses in targeted areas, the project also addressed recovery needs of the neighbouring local populations through the upgrade of water network infrastructure to ensure regular supply of clean water to the wider community.

In addressing the above, the project supported the Government of Iraq's commitment to meeting the economic, social, cultural, security, and political rights of the vulnerable hosts, IDPs and refugee populations; and to key International Human Rights Treaties:

- a) Geneva Convention on Protection of Victims of International Armed Conflicts (Protocol I), ratified on 4 January 2010.<sup>122</sup>
- b) International Convention on Civil and Political Rights, ratified on 25 January 1971.<sup>123</sup>

#### 6.7.1.3. *Avenues for improvements in promoting human rights standards across similar interventions in future.*

**Achieved:** *This evaluation concludes that PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.*

The International Human Rights Treaty Article 2, states: *"Everyone is entitled to the rights and freedom set forth, without distinction of any kind, such as race, colour, sex, language, religion, political, or other opinion, national or social origin, property, birth or other status"*.<sup>124</sup> As described earlier under **Relevance**, persons with disabilities (PWDs) have been mentioned in the project design. Key informants and Focus Group Discussions also revealed that PWDs do exist among hosts, IDPs and refugee populations.<sup>125</sup> But lack of disaggregated data on disability in both the project Results Framework and in progress reports, hindered any conclusion that the project design was relevant for this vulnerable group.<sup>126</sup> The evaluation finds this as a gap in the project design, as the inclusion of PWDs through data disaggregation would have revealed how the intervention enabled them to access some of the project services.

**6.7.2. Gender:** The evaluation assessed: (i) the extent to which gender has been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project; (ii) the reality of the gender marker assigned to this project representative of reality; the extent to which the project promoted positive changes in gender equality and advanced the empowerment of women; (iii) if there were any unintended effects and what were its impact on the project and the community of engagement; and (iv) whether sufficient resources have been made available for gender mainstreaming; (v) and what avenues for improvement in considerations for gender and its intersectional effects across the project has been put in place.

#### 6.7.2.1. *Mainstreaming of gender and sufficiency of consideration within the design, implementation and monitoring of the project*

**Achieved:** *This evaluation concludes that the project demonstrated significant contribution in gender mainstreaming.*

The evaluation assessed mainstreaming of gender through gender-responsive indicators such as sex and gender disaggregated data in the progress reports. At project design, the gender dimension of vulnerability was assessed through desk review of the project document and key issues were identified.<sup>127</sup>

---

<sup>122</sup> Source: [hrlibrary.umn.edu](http://hrlibrary.umn.edu)

<sup>123</sup> Ibid

<sup>124</sup> Office of the United Nations High Commissioner for Human Rights. The Core International Human Rights Treaties. UNITED NATIONS, New York and Geneva, 2006.

<sup>125</sup> On-site observations by the Evaluator

<sup>126</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<sup>127</sup> UNDP and UN-Habitat Headway Project Document (14 December 2018, p.6)



While the activities in the project work plan do not disaggregate gender data (women, men, and youth), the progress reports of 2020 and 2021 do, as desk review revealed. For example, through assessment of gender-disaggregated data, over 30% of the beneficiaries of the Job Creation Grant who participated in a Focus Group Discussion (FGD) in this evaluation in Erbil Governorate, were women and 70% were men. This demonstrated the level at which the project attempted to ensure that the low gender participation identified at project design was addressed during project implementation.

In regards to mainstreaming gender in project implementation, desk review revealed that in the Job Creation Grant Scheme (Missing Enterprise component), where 258 people remained employed in the companies after completion of the projects, a greater proportion (63% or 163) were women, and 37% (or 95) were men.<sup>128</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies and influenced their participation in both the market and public spaces.

#### *6.7.2.2. Reality of the gender marker assigned to the project*

**Achieved:** *This evaluation concludes that project demonstrated significant contribution in gender mainstreaming (Gender Equality Marker, GEM 2)*

As described earlier in subsection 6.7.2.1 above, at project design, the gender dimension of the vulnerability was assessed and key issues were identified. During project implementation, gender was mainstreamed in the project implementation, and so was gender mainstreamed in the monitoring of the project. Based on the above, the evaluation found that the project demonstrated significant contribution (**Gender Equality Marker, GEM 2**<sup>129</sup>) in mainstreaming gender, and empowering and protecting women's rights.

#### *6.7.2.3. Promotion of positive changes in gender equality and empowerment of women*

**Achieved:** *This evaluation concludes that the project promoted gender equality and women's empowerment through its implementation and monitoring.*

As described earlier under **Human Rights** in subsection 6.7.1.1, of a total of 227 persons who participated in the project monitoring, there was almost an equal number of women (77 or 34%), men (74 or 33%) and youth (76 or 33%) in the monitoring of the project performance. Further, as described under **Gender** in subsection 6.7.2.1, of the 258 people who remained employed in the companies after completion of the projects, a greater proportion (63% or 163) were women, and 37% (or 95) were men.<sup>130</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies.

Similarly, as described earlier under **effectiveness** in subsection 6.3.3, of the 25 technical staff and engineers from Erbil, Dohuk, Mosul, Sumel, and Sinjar municipalities trained on the effective operations and maintenance of the WASH infrastructure, 7 were females and 18 were males.

#### *6.7.2.4. Sufficiency of resources made available for gender mainstreaming*

**Achieved:** *This evaluation concludes that the project allocated sufficient resources for gender mainstreaming activities.*

Based on the Evaluator's professional rating of the project's contribution to gender mainstreaming at **Gender Equality Marker, GEM 2**, which value represents "significant contribution", the evaluation concludes that the project indeed allocated sufficient resources within its budget to mainstream gender, and empower and protect women's rights, within its design, implementation and monitoring.

#### *6.7.2.5. Avenues for improvement in gender considerations and its intersectional effects across the project*

**Achieved:** *This evaluation concludes that the project has promoted avenues for gender considerations and its intersectional effects.*

---

<sup>128</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>129</sup> GEM 2 implies the project was Gender Responsive (i.e. deliberately addresses gender differences and gender inequalities in roles, responsibilities, rights and relations)

<sup>130</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1



Assessment of the project's gender responses were limited by absence of disaggregated baseline data on gender (women, youth and men) in the Results Framework.<sup>131</sup> It was, therefore, not easy to assess actual progress in gender participation in the project since there was no benchmark. This is one area in gender-responsive monitoring and evaluation that needs to be improved in future project designs.

**6.7.3. Disability:** The evaluation assessed: (i) the extent to which persons with disabilities were consulted and involved in project planning and delivery; (ii) the proportion of the beneficiaries of the project who were persons with disabilities; and (iii) the barriers that persons with disabilities faced during the project delivery.

Desk review and key informant interviews revealed that PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

## 7. CONCLUSIONS

The two project components – WASH infrastructure and Housing Units and the Job Creation Grant Scheme, in similar degrees, were efficient, coherent, effective, make a positive impact, relevant and sustainable. Common to them all, in similar degrees, was an emphasis on participatory planning in which the rights and responsibilities of implementing agencies and partners and of beneficiaries were fully recognized. This was key to cost-sharing between the donor, UNDP, UN-Habitat, government and vulnerable communities. It is difficult to assess what would have happened if the European Union, UNDP and UN-Habitat had not intervened in the Governorates of Erbil, Dohuk, Ninewa and Sulaymaniyah, in response to the IDPs and Syrian refugee crisis. The probabilities are that, the crisis would have been worse than it is now. Access to water, housing units and employment opportunities would have been lower.

In terms of relevance, the two project components – WASH infrastructure and Housing Units and the Job Creation Grant Scheme, in similar degrees, were relevant. The government's smooth takeover of the management of WASH interventions is a demonstration of its high relevance. The housing units offered solutions to safety and protection

---

<sup>131</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

concerns of the vulnerable women and girls against potential exposure to sexual violence at night. While the Job Creation Grant Scheme enabled vulnerable population to realize that one can still do business even when in a crisis situation. In many ways, the project aligned with both the national and UNDP and UN-Habitat strategic priorities for Iraq, and the 2030 Agenda for Sustainable Development.

In terms of coherence, the project design contributed to complementary work with other entities. Its strong engagement in coordination both internally and externally, and nationally and sub-nationally with other actors with similar interventions at the design phase, helped to avoid later duplication in interventions, and so encouraged best use of resources. It was delivered through a government-led response and with international obligations. It demonstrated high level of responsiveness by responding quickly to the outbreak of the COVID-19 pandemic.

The effectiveness is the key strength of the project when judged from the full or over-achievement of all project outputs targets. The project's coordination, cooperation and capacity building efforts not only influenced these achievements, but also improved the project visibility and institutionalization of the knowledge management from the project implementation. Most negative effects, such the impact of COVID-19 pandemic, were, however, addressed by the participatory planning process by modifying the approach to project interventions, and so enabled the project to continue to address the protection concerns of the vulnerable populations.

The efficiency in project management is demonstrated in the project's success in implementing and completing all its activities by the project end date of 31 December 2021. The quality of implementation was overall good, with expenditure kept within the overall budget. The capacity development actions that strengthened partnerships between Governorates, Municipalities, NGOs and the private sector, increased the project's decision-making, planning and implementation processes. The most important added values of the project multi-partners approach were in the areas of; capacity building, building trust, increased partners' ambitions to enter new partnerships, increased individual organization's stature, and contribution to completing all project activities and achieving all results by project end date.

Impact was heightened by linkages to Governorates and Municipalities structures and was greater when participatory planning set realistic targets and implemented reliable interventions. High impacts were achieved under all the components. The project impacts were ably communicated through a wide array of channels that suited and reached a variety of project and non-project stakeholders.

Sustainability was demonstrated by a strong sense of local ownership in the project and highly visible Iraqi technical management. Participatory planning, in which rights and responsibilities were negotiated, best demonstrated in the WASH and Rehabilitation of Housing Units, was critical to the sense of ownership. The Job Creation activities should survive without EU and UNDP funding, as business ideas created came from the individuals and beneficiary companies themselves.

The project was implemented with human-rights and gender lens in focus, and within Iraqi Government's commitment to the key International Human Rights Treaties: (a) Geneva Convention on Protection of Victims of International Armed Conflicts (Protocol I), ratified on 4 January 2010, and (b) International Convention on Civil and Political Rights, ratified on 25 January 1971. It mainstreamed gender as judged from gender-responsive indicators such as sex and gender disaggregated data. However, PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.

## **8. RECOMMENDATIONS**

These recommendations presented are meant to enhance the relevance and performance, stimulate learning and consolidate the sustainability prospects of the project achievements.

### **8.1. Follow on the achievements made so far**

**Recommendation No.1:** *Follow on the achievements made so far and scale up the project, keeping both the WASH infrastructure and Job Creation components, but adding to the WASH infrastructure more environmentally friendly, sustainable and cheaper energy sources for pumping water.*

The Syrian refugee crisis is not ending soon. Both short-term and long-term strategies are required to address the influx of refugees into to KRI. For similar future interventions, it is recommended to keep the WASH infrastructure and Job Creation components. In this case, UNDP and UN-Habitat should maintain and further develop their strategic

partnership with GoI/KRG. And given the rise in food insecurity and challenges in global food supply, UNDP can also set up partnerships with other UN entities (e.g. FAO for developing modern agriculture for sustainable food supply and improvements in incomes). This is in line with the UN system which requires UN entities to undertake complementary thematic activities. For UNDP and UN-Habitat, this represents an opportunity to share the project achievements, lessons learnt, good practices, and experiences to other UN entities.

## 8.2. Project design

**Recommendation No.2:** *Improve future project design with clarity on the engagement with persons with disabilities and disaggregation of data at baseline, and during implementation and reporting.*

It is recommended to eliminate the gaps described in section 6.1.2 under **relevance** of the project regarding engagement with persons with disabilities and disaggregation of baseline and target data. The evaluation also recommends increasing disability sensitiveness of such similar projects in future. It is recommended to set disability sensitive baselines and targets, and reflect the disability dimension in the design, implementation and monitoring of the project.

## 8.3. Project implementation and scope of intervention

**Recommendation No.3:** *Future interventions should be more developmental rather than relief-oriented, which may require less funding but have a more structural impact.*

Although the humanitarian needs in the Kurdistan Region of Iraq are still extremely high and not easy to cover, regardless of the amount of money invested in the area, the outcome support with a nexus between relief and development, is likely to support the status quo. The decision by the Iraqi Government to close some of the IDPs camps and informal settlements in various locations across Iraq in 2021, while it was not completely voluntary, was a step towards encouraging IDPs to return to their homes and start developmental interventions. It is recommended to eliminate this gap described in section 6.3.1 under **effectiveness** of the project. This point should be reinforced by the need to influence both the victims and actors in the conflict through developmental incentives.

## 8.4. Project Monitoring and Evaluation

**Recommendation No.4:** *Improve measurement of the impact and outcome.*

The existing monitoring system did not include qualitative indicators and so did not allow qualitative statements from beneficiaries about achieved changes or outcomes. It is recommended to eliminate this information gaps described in section 6.4.6 under **efficiency** of the project. With the implicit understanding that change primarily happens at an individual or community level, where delivered resources turn into activities and services provided to the target groups, a future outcome-monitoring should orientate towards these changes. Future programmes should also focus on beneficiaries as additional information providers and take care to integrate qualitative indicators into the Results Framework and beneficiaries in the outcome-monitoring process.

# 9. LESSONS LEARNED AND GOOD PRACTICES

## 9.1. Lessons learned

The first lesson learned is that UNDP, UN-Habitat and their partners implementing the project were already in the country and they will remain active even as the project has ended. This will allow implementing partners to work with the community and build long lasting relationships. The Headway project was quickly operational after awarding the grant, and so allowed fast service provision to beneficiaries and affected communities. Furthermore, most of the components of the Headway project require long-term commitment for achieving change and the choice of awarding Headway to established organizations in Iraq has supported this commitment.

The second lesson is that the relegation of responsibilities and management decisions to the Headway project reduced the control of EU over activities and the project on the service-delivery level. As a decentralized model, the Headway joint action gained its own momentum independently from EU's influence. On the other hand, the lower level of control

provided the Headway agencies (UNDP and UN-Habitat) with more flexibility while interacting with their implementing partners. That the joint action worked out at the end can be seen as a positive indicator of the mutual trust between EU and UNDP and UN-Habitat.

The third lesson is that the involvement of governmental structures in service delivery had a double advantage. On one side, local structures have received much needed capacity building. On the other hand, it has concerned regional governmental institutions and employees in service delivery in areas perceived by their inhabitants as marginalized from the Federal Government of Iraq.

The fourth lesson is that by focusing on the livelihoods of the very poor households, the project interventions met the needs of the hosts, IDPs and refugee populations because they were directly involved in defining them.

Lessons specific to each component are described below:

#### **Rehabilitation of Housing Units (UN-Habitat)**

- The SEVAT's participatory approach to social issues of most kinds is of the first importance. It is of particular value in any targeting of the very poor, because only thus can discrimination and branding be dealt with.

#### **WASH (UN-Habitat)**

- Working with local institutions, and thus developing local solutions is clearly important. The local technical capacity in Iraq/KRI was considerable, and future technical cooperation will best be focused on providing management support systems that continues to allow Iraqi/KRI to lead the response in the broader frame of service delivery.

#### **Job Creation Grant Scheme (UNDP)**

- The Missing Entrepreneurship (ME) component demonstrates that Micro, Small, Medium Scale Enterprises (MSMES) are appropriate and effective in reaching a diversity of families in a difficult environment such as that in the Kurdistan Region of Iraq (KRI). It also made clear that there are some areas (in this case Grants management) in which it is unwise to rely heavily on inexperienced persons to administer, but recruit a reputable private sector provider (in this case, Rwanga Foundation) to select beneficiaries for the seed grants through a call for proposals, vetted by a transparent committee.

#### **Monitoring, Evaluation and Learning (UNDP & UN-Habitat)**

- Beneficiary qualitative statements make impact monitoring easier as information fed into the monitoring system comes from a different source (i.e. beneficiaries) and not the same entities (staff) that receive funding from EU, as their commitment would be to prove success to the commissioning organizations (UNDP & UN-Habitat). Future monitoring and evaluation system should include qualitative indicators in the Results Framework that would allow systematic capture of beneficiary qualitative statements about achieved changes or outcomes.

## **9.2. Good practices**

The good practices specific to each component are described below:

#### **WASH (UN-Habitat)**

- Linking the humanitarian interventions with the recovery needs of affected neighbourhoods is a good practice. In addition to the rehabilitation of houses in targeted areas, the Project also addressed recovery needs of local populations through the upgrade of water network infrastructure to ensure regular supply of clean water to the wider community.

#### **Rehabilitation of Housing Units (UN-Habitat)**

- Engaging of locally hired labour in the rehabilitation of houses in their respective neighbourhoods had substantial impact. In addition to supporting the livelihood and local economic development in the target

locations, engaging labour from among direct beneficiaries of the house rehabilitation component results in more social cohesion between the host community members, refugees and IDPs.

- Similarly, the in-kind contribution of the Ninewa Sewage and Water Directorates that the team managed to successfully leverage for the implementation of the flood protection works and upgrading and extension of the water network in Maghreb, Mosul, was another good practice that project promoted.

#### **Job Creation Grant Scheme (UNDP)**

- The Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market. Similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development. In that respect, the GS inclusive of the Missing Entrepreneurship (ME) component should be seen as a flagship initiative to be replicated and expanded by local authorities and international donors.

#### **Monitoring, Evaluation and Learning (UNDP & UN-Habitat)**

- The annual outcome monitoring of beneficiary perception of and satisfaction with the project approach through Focus Group Discussions was clearly a good practice. It enabled the Donor (EU), UNDP and UN-Habitat and their implementing partners to gain more reliable information about the outcome and impact of activities as project implementation goes on. Future programmes should focus on the beneficiaries as additional information providers and take care to integrate them into the outcome-monitoring process and in the Results Framework.

## **ANNEXES**

### *Annex 1. Terms of Reference for International Consultant to conduct Final Evaluation of the Headway Project, UNDP Iraq*

Location:	Erbil, Iraq
Type of Contract:	Individual Contract
Contract Start Date:	12 June 2022
Contract End Date:	22 September 2022
Post Type:	International Consultant

#### **1. BACKGROUND AND CONTEXT**

##### **1.1. Project summary**

<b>Project title:</b>	Strengthening the long-term resilience of sub-national authorities in countries affected by the Syrian and Iraqi Crises	
<b>Project overall objective:</b>	To strengthen the long-term resilience of targeted subnational authorities and their host/refugee populations in countries affected by the Syrian and Iraqi crises.	
<b>UNDP Atlas Project ID:</b>	00117563	
<b>UNDP Atlas Output ID:</b>	00114309	
<b>EU reference:</b>	TF-MADAD/2018/T04.132	
<b>Country / Geographical coverage<sup>132</sup>:</b>	<b>Iraq:</b> Governorates of Dohuk, Erbil, Sulaymaniyah and Ninewa	
<b>Beneficiaries:</b>	Overall project target of <b>427,820</b> direct beneficiaries (Iraq only) comprising the following <sup>133</sup> : <ul style="list-style-type: none"> <li>• Underserved host community members, IDPs, Syrian refugees.</li> <li>• Authorities of Governorates of Dohuk, Erbil, Sulaymaniyah and Ninewa, and Municipal Departments of Dohuk Center, Sumel, Erbil No.6, Sinjar and Mosul.</li> <li>• SMEs and NGOs.</li> </ul>	
<b>Date of signature:</b>	14 December 2018	
<b>Project dates:</b>	<b>Start:</b> 01 January 2019	<b>Planned end date:</b> 30 April 2022
<b>Project budget:</b>	EUR € 24,971,363 (approx. USD 28,397,524 for both Iraq and Lebanon).	
<b>Project budget (Iraq):</b>	EUR € 9,999,999 (approx. USD 11,372,035)	
<b>Resources mobilized:</b>	USD 11,372,035 (as of 30 June 2021)	
<b>Project delivery:</b>	USD 9,303,037.05 (as of 30 June 2021)	
<b>Funding Partners/Donors:</b>	EU Regional Trust Fund in Response to the Syrian Crisis 'Madad Fund'.	
<b>Implementing agencies:</b>	United Nations Development Programme (UNDP) and United Nations Human Settlements Programme (UN-Habitat).	

## 1.2. Brief context

The Syria refugee crisis remains the largest humanitarian and development crises in the world. United Nations agencies and NGOs continue to warn that the situation of the Syrian refugees and their host communities is increasingly becoming critical. According to the latest estimates in the Regional Refugee and Resilience Plan (3RP), there are more than 10 million people – including more than 5.5 million Syrian refugees and 4.8 million members of their host communities – that need urgent support<sup>134</sup>. This is the highest number of people in need in these countries since the crisis began in 2011, against the backdrop of the COVID-19 pandemic and tough socio-economic conditions. In addition, the number of those in Iraq who remain internally displaced in 2021 is around 1.2 million people (70% of which have remained displaced for over three years) with 4.1 million still in need of humanitarian assistance.<sup>135</sup>

Since the Covid-19 outbreak, restrictions on movement and enterprise affected the economy and put increasing pressures on governorates and municipalities and forced them to re-adjust priorities – which strained the relationship between state and citizens/community groups further. Thus, a virus that forces people to remain at home heightened the need for access to housing, basic services, and sustainable jobs – including those that respond to emerging market opportunities and can withstand crisis shocks.

## 1.3. The project to be evaluated

The action: “*Strengthening the Long-Term Resilience of Subnational Authorities in countries affected by the Syrian and Iraqi Crises*”, is a multi-country, multi-partner, and multi-year initiative implemented by UNDP and UN-Habitat country offices in Iraq and Lebanon. The action is based on the objectives of the EUTF MADAD: “*To address longer-term resilience needs of Syrian refugees in neighbouring countries, as well as supporting host communities and their administrations*”, and as such it is aligned to the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019) and the related national response plans. The action responds to the “3RP Resilience/Stabilization component”, specifically its Livelihoods/Social Cohesion sector.

Overall, the joint action seeks to optimize the impact of a range of interventions by multiple actors towards improving the resilience of host and refugee populations by complementing their efforts and accurately targeting to fill the gaps in support, where a UN Partnership have a strong added value. Such complementarity required supporting institutionalization and operationalization of integrated multi-level planning and implementation of cross-sectoral actions covering basic social services as well as local economic development, including inducing employment opportunities, availing affordable housing, and improving the management of natural resources.

The action further seeks to addresses the resilience and stabilization needs of impacted and vulnerable communities in all sectors through a balanced approach between supporting longer term efforts for better systems and capacities for local development and

<sup>132</sup> The municipal resilience programme in response to the Syria crisis is a UNDP/UN-Habitat joint action intervening in two countries affected by the impact of the crisis: Lebanon and Iraq. The Lebanon component of the programme, the ‘Municipal Empowerment and Resilience Project (MERP)’, has a different implementation timeline and will be evaluated in July 2022.

<sup>133</sup> Details of disaggregated data of beneficiaries are available in the Headway PRODOC accessible here: <https://open.undp.org/projects/00117563>

<sup>134</sup> Source: Regional needs overview 2021 accessible here: [https://reliefweb.int/sites/reliefweb.int/files/resources/RNO\\_17Dec2020\\_0.pdf](https://reliefweb.int/sites/reliefweb.int/files/resources/RNO_17Dec2020_0.pdf)

<sup>135</sup> Source: Euro-Med Human Rights Monitor report titled: Exiled at Home accessible here: <https://reliefweb.int/sites/reliefweb.int/files/resources/IraqReportEN.pdf>

facilitating shorter and more immediate results that would help host communities and refugees improve their state of living with tangible benefits.

Both country components adopted shortened names that were agreed on with the EU Delegations to better identify the programme at the country level and for communication purposes, namely Headway for the Iraq component and Municipal Empowerment and Resilience Project (MERP) for the Lebanon component.

The scope of this evaluation will cover the Headway project only. In Iraq, the project was designed to address needs, both thematically and geographically, that were not covered by the projects and activities existing then such as Local Area Development Programme (LADP), Funding Facility for Immediate Stabilization (FFIS), Iraq Crisis Response and Resilience Programme (ICRRP) and the Madad-funded actions implemented by other agencies and organizations. As such, the project in Iraq was built on activities and good practices under the LADP project, and interventions implemented by UNDP and UN-Habitat in the four Governorates of Dohuk, Erbil, Sulaymaniyah and Ninewa.

Overall, interventions implemented by UN-Habitat in Iraq included “*Rehabilitation of water, sanitation and hygiene infrastructure and housing units*”, with a specific focus on promoting community engagement. The UNDP interventions in Iraq included the “*Job creation grant scheme*” aimed at generating income for the targeted communities and address a vital need to earn living with dignity and achieve social inclusion.

### 1.3.1 Main objective of the project

The **main objective** of the project is to improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing<sup>136</sup> and economic opportunities.

### 1.3.2 Specific objectives of the project

The **specific objectives** of the project are:

- a) Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations.
- b) Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations.
- c) Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.

### 1.3.3 Expected results of the project

#### (a) Iraq only

**Outcome 1: Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations.**

Output 1-1: Improved and updated knowledge of vulnerabilities and risks.

Output 1-2: Strengthened local capacity to prioritize resilience building interventions.

**Outcome 2: Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations.**

Output 2-1: Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure.

Output 2-2: Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households.

**Outcome 3: Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.**

Output 3-1: Improved knowledge of labor market

Output 3-2: Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation.

Overall, the project contributes to the following:

Applicable Key Result Area/output (2018-2021 UNDP Strategic Plan):	<b>Output 1.1.2:</b> Marginalized groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs.
UN-Habitat Strategic Plan (2020-2023):	<b>Domain of Change:</b> Effective Urban Crisis Prevention and Response.
UNDP Country Programme Document (2020-2024):	<b>Output 1.2:</b> Civil society and academic institutions strengthened to promote social cohesion, prevention of violent extremism and sustainable development. <b>Output 2.2:</b> Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict.

<sup>136</sup> Only in Iraq.



National Priority or Goal: Framework of Government Programme (2014-2018)	<p><b>Priority 1:</b> Working to achieve Iraq's security, stability, and protection of its facilities; and</p> <p><b>Priority 2:</b> Upgrade living standard and services provision for citizens</p>
Sustainable Development Goals (SDGs)	<p><b>Goal 1:</b> End poverty in all its forms everywhere.</p> <p><b>Goal 11:</b> Make cities and human settlements inclusive, safe, resilient, and sustainable and</p> <p><b>Goal 16:</b> Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.</p>

Full details of the project are available in the Headway Project Document (PRODOC) available in the annexes.

## 2. EVALUATION PURPOSE, SCOPE AND OBJECTIVES

### A. Purpose and scope of the evaluation

UNDP Iraq and UN-Habitat Iraq propose to conduct a final evaluation looking at the Headway project since inception in January 2019 to 30 April 2022. The final evaluation is part of the project's commitment to assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of similar future programming. The evaluation report promotes accountability and transparency and assesses the extent of Headway project accomplishments. The final evaluation will also consider linkages and intersections of UNDP Country Programme Document (CPD) and UN-Habitat's CPD with result areas spearheaded by the United Nations Sustainable Development Cooperation Framework (UNSDCF) for Iraq.<sup>137</sup>

Geographically, the final evaluation of the Headway project will assess the interventions in project intervention areas only in Iraq specifically in the four target Governorates of Dohuk, Erbil, Sulaymaniyah and Ninewa in Iraq.

Evaluation stakeholders include individuals and organizations from the public and private sectors, as well as civil society, and development partners. The evaluation consultant will be expected to identify these groups of stakeholders in coordination with UNDP and UN-Habitat and contact identified groups for data collection and/or consultations. Key findings and recommendations of the final evaluation will be shared with them for validation as relevant.

### B. Objectives of the evaluation

The specific objectives of this Headway project final evaluation are to:

- Take stock of the overall Headway project progress in Iraq, achieved against the project's expected results, and contribution towards the UNDP and UN-Habitat CPDs.
- Outline lessons learned and good practices that can be used in future identification, design, regular review, implementation, and monitoring of similar interventions.
- Provide constructive and practical recommendations on factors that can contribute to Headway project sustainability and develop project transition and exit strategy.
- Appraise Headway project achievements against its expected outputs and recommend ways to improve future partnerships with project's implementing partners/ target groups.
- Assess relevance, coherence, effectiveness, efficiency, impact, and sustainability of the project.
- Identify insights on the potential added value of the "multi-country, multi-partner, and multi-year" approach taken to implement the initiative in Iraq. Besides, assess the degree to which the project made a difference, positively or negatively.

The intended users of this Headway final evaluation include:

- Headway project staff and senior management of UNDP and UN-Habitat, including at the country and regional levels,
- Government of Iraq counterparts,
- Development partners and donors, and
- The general Iraqi public and beneficiaries.

Information from the evaluation will be used to:

- improve future project design and implementation,
- ensure accountability, and
- increase knowledge and understanding of the benefits and challenges of similar interventions in future.

## 3. EVALUATION CRITERIA AND KEY GUIDING QUESTIONS

The final evaluation will generate evidence of progress and challenges, helping to ensure accountability for the implementation of the Headway project, as well as identifying and sharing knowledge and good practices. The Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) criteria of relevance, coherence, effectiveness, efficiency, impact, and sustainability will be used to frame the questions<sup>138</sup> and methodology of the evaluation.

<sup>137</sup> UNSDCF for Iraq is available here: <https://unsdg.un.org/un-in-action/iraq>

<sup>138</sup> ODAC criteria available here: <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

An indicative list of evaluation questions is presented below and will be broadened and agreed further by the evaluation team, UNDP and UN-Habitat through the inception report. The consultant is expected to critically reflect on them during the development of the evaluation questionnaires.

- A. **Relevance:** looks at the extent to which the Headway project strategy, proposed activities and expected outputs and outcomes are justified and respond to beneficiaries' assessed needs, country's policies, and donor's priorities. More specifically, the relevance of the Headway project should be assessed through the following guiding questions:
  - To what extent was the Headway project in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs?
  - To what extent was the Headway project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?
  - Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).
  - To what extent was the Headway project appropriately responsive to security, political, economic, institutional, and other changes in Iraq? To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment?
  - Assess the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.
- B. **Coherence:** looks at the extent to which other interventions (particularly policies) support or undermine the intervention. Specifically, the coherence of the Headway project should be assessed through the following guiding questions:
  - To what extent has the project complemented work among different entities, including development partners and civil society, with similar interventions?
  - What is the quality and extent of coordination with other national/sub-national programmes/initiatives conducive for the achievement of the project's objectives?
  - To what extent do other or similar interventions or policies support or undermine the project?
  - To what extent were the project design and delivery coherent with international obligations?
- C. **Effectiveness:** looks at the extent to which the planned objectives and results were achieved, including the factors that contributed to or detracted its achievement. More specifically, the effectiveness of the Headway project should be assessed through the following guiding questions:
  - Assess whether the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project.
  - To what extent did the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels? Comment on how the Headway project supported governments to address the challenge.
  - To what extent did the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?
  - What were the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results? Comment on how they were mitigated or can be mitigated in future? Assess the degree of stakeholders' participation in Headway project interventions and mainstreaming of gender issues in the Headway project. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.
- D. **Efficiency:** looks at the extent to which the Headway project resources (funds, expertise/human resources, time, etc.) are optimally used to achieve the intended results. More specifically, the efficiency of the Headway project should be assessed through the following guiding questions:
  - How efficient was the functioning of the Headway's project management, technical support, administrative, procurement and financial management procedures?
  - Assess the Headway's project management structure in relation to day-to-day and periodical management of project tasks including (i) planning (ii) management of the budget (iii) management of delivery modalities (contracts, payments, monitoring, supervision etc.) (iv) coordination with stakeholders, and (v) adequacy of personnel, expertise, and resources,
  - Was the communication and visibility strategy for the Headway project adopted? Was it cost-effective in terms of promoting the project and its achievements? To what extent the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project's desired effects?
  - How is the Headway project track progress towards achieving expected results? Did the monitoring and evaluation mechanisms put in place allow for continuous collection and analysis of quality and segregated data on expected results?
- E. **Impact:** looks at the extent to which the Headway project generated or is likely to bring differences at different levels directly or indirectly, positive, or negative, intended, or unintended, or higher-level effects. The evaluation will focus on the main changes/effects resulting from the Headway project to strengthen resilience of sub-national authorities in respective governorates, in relation to the reform agenda of national governments and development partners. More specifically, the impact of the Headway project should be assessed through the following guiding questions:
  - To what extent were there positive benefits and what were the negative effects, if any? Comment on actions that could be implemented to reverse the process of non-achievement. What were the key achievements of the Headway project in terms of policy, practice, and behavior change? Comment on the main challenges to achieving policy, practice, and behavior change?
  - What countermeasures were taken against the unanticipated developments (if any) that affected the quality of the implementation?
  - To what extent the project addressed the negative impacts of the Covid-19 pandemic?
  - Assess the outcomes, based on Headway's project actual and potential development impact on the primary stakeholder groups, and institutions. To what extent were the project benefits felt at national and local levels so far?

- F. **Sustainability:** analyses whether benefits of Headway project activities are likely to continue in the long-term after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable. More specifically, the sustainability of the Headway project should be assessed through the following guiding questions:
- To what extent were lessons learned documented by the project team and shared with appropriate parties for learning purposes?
  - Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?
  - To what extent are the results of the intervention likely to be sustained in the long-term after completion of activities and handover to end-user?
  - To what extent the project is likely to be replicated at national level with national resources?
  - Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.
  - Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?
- G. **Inclusion and Intersectionality:** The extent to which the project has endeavoured to reflect gender mainstreaming for equality and inclusion of diverse groups to "leave no one behind" through a human rights-based approach. The extent to which the project was able to apply an intersectional lens.

#### Human Rights:

- To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?
- To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?
- What are the avenues for improvements in promoting human rights standards across similar interventions in future?

#### Gender

- To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?
- Is the gender marker assigned to this project representative of reality?
- To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?
- Were sufficient resources made available for gender mainstreaming?
- What are the avenues for improvement in considerations for gender and its intersectional effects across the project?

#### Disability

- Were persons with disabilities consulted and involved in project planning and delivery?
- What proportion of the beneficiaries of a project were persons with disabilities?
- What barriers did persons with disabilities face during the project delivery?
- Was a twin-track approach adopted?<sup>139</sup>.

Guiding evaluation questions will be further refined by the evaluation team and agreed with UNDP and UN-Habitat evaluation stakeholders.

## 4. METHODOLOGY

The consultant will propose a project evaluation methodology and agree on a detailed plan for the assignment as part of the application process. The methodology will be further updated after the selection process is completed, and the inception report is developed. However, in general, the consultant should adopt an integrated approach involving mixed methods of data collection and analysis tools to capture both the quantitative and qualitative results and generate evidence to substantiate all findings.

Given the multi-governorate/city nature of Headway project activities, it is important that the consultant design a data collection methodology that is representative of all components of the project in Iraq and analyse in a consistent manner within the given timeframe. The methodology should be robust enough to ensure high quality, triangulation of data sources, and verifiability of information.

It is expected that the evaluation methodology would include, but would not be limited to the following elements:

- Desk review of Headway PRODOC and programme Description of Action (DOA), progress reports and other relevant documents.
- In-depth interviews with key informants such as government officials, and members of local, national, coordination bodies; and questionnaires.
- Focus Group Discussions (FGDs) with the targeted beneficiaries, whenever possible.
- Interviews with the Headway's project teams within UNDP and UN-Habitat, and respective senior management.
- Consultations with donors/ international partners and as relevant national Implementing Partners/Non-Governmental Organizations (NGOs) that were engaged in Headway project implementation.

<sup>139</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>

- Survey with sample and sampling frame (if a sample is used). This could include the sample size and characteristics; the sample selection criteria; the process for selecting the sample (e.g., random, purposive).

All field-related work and relevant logistical arrangements should be made by the consultant and are under their responsibility. Assistance will be provided by the joint UNDP/UN-Habitat Headway project teams in identifying key stakeholders and facilitating the schedule of interviews, focus groups and site visits, when and where required. In case of extreme and unavoidable challenges occasioned by COVID-19 health pandemic related international travel restrictions affecting field visits, the issue will be discussed and agreed jointly between the evaluation commissioner/s and the consultant.

Findings from the above assessment tools will be triangulated to appraise and conclude findings. All analysis must be based on observed facts, evidence, and data. Findings should be specific and concise and supported by information that is reliable and valid. Cross-cutting issues and the SDGs should be integrated into the final evaluation report. The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and fully discussed and agreed between UNDP and UN-Habitat key stakeholders and the evaluator.

The consultant will be assisted by respective Project Managers. An Evaluation Reference Group (ERG) will be constituted comprising of key internal and external Headway project stakeholders who will review and comment on the inception and evaluation reports.

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

## 5. EVALUATION PRODUCTS (DELIVERABLES)

The Consultant will produce the following:

- Evaluation inception Report (15 pgs. max) and presentation:** based on the terms of reference (TOR) and preliminary discussions with UNDP/UN-Habitat teams after the desk review, the consultant is expected to develop an inception report to be presented to the ERG members for comments. This inception report should detail out the *evaluator's understanding of what is being evaluated and why, the evaluation methodology* that describes data collection methods and sampling plan, together with the rationale for their selection and limitations. The report should also include an *evaluation matrix* identifying the key evaluation questions and how they will be answered by the selected methods. Annexed *work plan* should include detailed schedule and resource requirements tied to evaluation activities and milestone deliverables. The presentation of the inception report is an opportunity for the Consultant and UNDP/UN-Habitat teams, for discussion and clarification prior to visiting to Iraq.
- Evaluation debriefing** after completion of the field work in Iraq.
- Draft evaluation report (50 pgs. max, including executive summary) and presentation** to be submitted to the evaluation commissioner and presented to the ERG members outlining the key aspects including the overall evaluation findings, the structural implementation mechanisms created and institutionalized, an in-depth analysis of the results realized by the Headway project, and recommended next steps, if any, that could be operationalized in future through technical assistance. Feedback received from the presentation of this draft evaluation report should be considered when preparing the final report. The evaluator should produce an *audit trail* indicating whether and how each comment received was addressed in revisions to the final evaluation report.
- Final evaluation report and two summary reports:** guided by the minimum requirements for a UNDP and UN-Habitat evaluation report, the draft evaluation report should be submitted to the evaluation commissioner (see annexes for proposed evaluation report format). It also includes **two summary reports:** (2 pgs. max each for UNDP and UN-Habitat) linking the final evaluation findings to the relevant outcome in the United Nations Sustainable Development Cooperation Framework (UNSDCF), upon review of the relevant sections of the UNDP and UN-Habitat CPDs.

The above list of deliverables, together with bellow evaluation implementation timelines and process flow, might be subject to review and revision in discussion with the consultant in the event of unexpected and unavoidable changes to the context and the working environment in Iraq during the consultancy period.

It is important to note that interventions in Lebanon have a different implementation timeline, and as such, the final evaluation of the MERP project will be conducted separately around July 2022. However, it is expected that the final evaluation report for Lebanon will reflect on common lessons learnt/results/impact emerging from both the Iraq and Lebanon evaluations, vis-à-vis the overall objective of the action "*Strengthen the long-term resilience of targeted subnational authorities and their host/refugee populations in countries affected by the Syrian and Iraqi crises*". The consultant should ensure the Iraq final evaluation report is flexible to allow synergies with the Lebanon final evaluation report.

In line with the UNDP's financial regulations, when determined by the Country Office and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the evaluation, that deliverable or service will not be paid. Additionally, due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete it, due to circumstances beyond their control.

## 6. EVALUATION TEAM COMPOSITION AND REQUIRED COMPETENCIES

### Education:

- Minimum **Master's degree** in Governance, Sociology, Development studies, Public Administration, Peace and conflict studies or any other field relevant to the assignment.

### Experience:

- At least **10 years of professional expertise** in evaluation of socio-economic stabilization, crisis response and recovery, development, or social transformation projects in post-conflict environments.

- At least **10 years of** experience on project design, Results-Based Management (RBM) and participatory Monitoring and Evaluation methodologies and approaches is essential.
- Experience in data collection, instrument development and data analysis both qualitative and quantitative is essential.
- Experience in conducting evaluations for large, and complex projects in post-conflict settings is essential.
- Experience working in, and knowledge of the Arab region is essential.
- Experience in working with UN or other international organizations would be an asset.
- Excellent analytical and problem-solving skills and proven ability to draft recommendations stemming from key findings.
- Excellent report writing skills (supported by similar sample of evaluation reports) is essential.
- Experience using ICT equipment, office software packages and online meeting software.
- Experience in implementing evaluations remotely.

#### **Corporate Competencies:**

- Knowledge on UNDP and UN-Habitat programming principles and procedures, the UN evaluation framework, norms, and standards; human rights-based approach (HRBA).
- Demonstrates commitment to the UN values and ethical standards.
- Displays cultural, gender, religion, race, nationality, and age sensitivity and adaptability.
- Treats all people fairly and with impartiality.
- Good communication, presentation and report writing skills including proven ability to write concise, readable, and analytical reports and high-quality publications in English.
- Ability to work under pressure and to meet deadlines.
- Flexible and responsive to changes and demands.
- Client-oriented and open to feedback.

#### **Functional Competencies:**

##### **Knowledge Management and Learning:**

- Demonstrates good knowledge of the Iraq economic issues, challenges, and opportunities.
- Shares knowledge and experience and contributes to overall reform programmes.
- Develops deep knowledge in practice area.
- Actively works towards continuing personal learning and development in one or more Practice Areas, acts on learning plan and applies newly acquired skills.
- Networks in Government, NGOs, and private sector.

##### **Key Performance Indicators:**

- **Planning and organizing:** Identifies priority activities and assignments; allocates appropriate amount of time and resources for completing work; foresees risks and allows for contingencies when planning; monitors and adjusts plans and actions as necessary and, uses time efficiently.
- **Communication:** Speaks and writes clearly and effectively; listens to others, correctly interprets messages from others and, responds appropriately; asks questions to clarify and, exhibits interest in having two-way communication; tailors language, tone, style and, format to match the audience and, demonstrates openness in sharing information and keeping people informed.
- **Client orientation:** Considers all those to whom services are provided to be “clients” and seeks to see things from clients’ point of view; establishes and maintains productive partnerships with clients by gaining their trust and respect.
- **Quality of deliverables:** Professional skill required for delivering outputs will be assessed.
- **Satisfactory and timely deliverables:** Satisfactory and timely completion of tasks and submission of the deliverables within the provision of above explained deliverables and, outputs.

## **7. EVALUATION ETHICS**

Evaluations in the UN are conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) ‘Ethical Guidelines for Evaluations’<sup>140</sup>. The consultant must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and UN-Habitat.”

## **8. IMPLEMENTATION ARRANGEMENTS**

The final Headway project evaluation is jointly commissioned by UNDP and UN-Habitat and the joint commissioners are UNDP Iraq’s Resident Representative and UN-Habitat’s Head of Country Programme. Principally, the evaluation consultant will be reporting to the UNDP Resident Representative who will continuously collaborate with UN-Habitat counterpart and respective Headway project managers who will support the process by providing both substantive and logistical support to the consultant. Additional assistance will be provided jointly by UNDP/UN-Habitat Headway project teams in supporting the consultant advance the evaluation plan including contacting and organizing meetings with key partners and facilitating field visits, when necessary and if the security and COVID-19 situation permits. Moreover, backstopping might be provided by UNDP Regional Bureau for Arab states (RBAS), as needed.

This TOR forms the basis upon which compliance with assignment requirements and overall quality of services provided by the consultant will be assessed by UNDP and UN-Habitat.

<sup>140</sup> See here for details of UNEG guidelines: <http://www.unevaluation.org/document/detail/100>

As part of the assignment:

- UNDP will provide office space with access to the internet and printer when in-country in Erbil in Iraq.
- UNDP and UN-Habitat will provide list of additional documents as per TOR Annexes.
- The Consultant is expected to:
  - Use their own laptop/s, and other relevant software/equipment.
  - Use their own communication platforms, mobile, personal email address etc., during the consultancy period, including when in-country.
  - Make own travel arrangements to fly in-country and transportation arrangements outside work hours.
  - Be fluent in Arabic or arrange for a translator to facilitate interviews with counterparts and other respondents.

#### **9. TIME FRAME FOR THE EVALUATION PROCESS**

The detailed timelines for this Headway project evaluation will be agreed upon between the UNDP/UN-Habitat and the selected Consultant. The final evaluation will take place between **12 June 2022 to 22 September 2022**, including a combination of the three phases of desk-review (home-based), data-collection mission (one in-country) and evaluation report writing (home-based). The consultant will be based in Erbil (Iraq) as per the requirements. Whenever possible, the consultant will be required to visit partners and activities on locations. The security situation in each location will be reviewed prior to roll out of the final field visit plan. The final deliverable is expected to be completed no later than **22 September 2022**.

### Indicative timeframe for evaluation deliverables

Activity description and expected workflow	Estimated # of days	Date of completion	Place	Responsible Party
<b>Phase One: Desk review and inception report</b>				
Organize a Joint briefing between consultant and Headway project teams (project managers and project staff as needed)	-	At the time of signing the contract	Home-based (virtual)	UNDP & UN-Habitat teams
Share relevant documentation with the evaluation team	-	At the time of signing the contract	Remote (via e-mail)	UNDP & UN-Habitat teams
Desk review, draft inception report including evaluation design, methodology, updated workplan and proposed list of stakeholders to be interviewed.	7 days	Within two weeks of contract signing	Home-based (virtual)	Evaluation consultant
Submission and PPT <b>presentation of the inception report</b> (15 pgs. max) including all annexes ( <b>deliverable 1</b> )	1 day	Within five days of submitting inception report	Home-based (virtual)	Evaluation consultant
Comments and approval of inception report	-	Within one week of submission of inception report	Home-based (virtual)	UNDP, UN-Habitat teams & ERG
<b>Phase Two: Data-collection mission</b>				
Consultations and field visits, in-depth interviews, and Focus Group Discussions etc.	10 days	Within four weeks of contract signing	In country (with field visits)	UNDP & UN-Habitat to organize
Debriefing on <b>field work</b> to joint teams of UNDP/UN-Habitat and ERG members ( <b>deliverable 2</b> )	1 day	Within three days of completing field work	In country (UNDP office)	Evaluation consultant
<b>Phase Three: Evaluation report writing</b>				
Preparation of <b>draft evaluation report</b> (50 pgs. max excluding annexes), & <b>two separate summaries</b> (max 3 pgs. each) ( <b>deliverable 3</b> )	8 days	Within two weeks of completion of field mission	Home- based (virtual)	Evaluation consultant
PPT presentation of the <b>draft evaluation report</b> and the <b>two separate summaries</b> each for UNDP & UN-Habitat	1 day	Within four days of submission of draft report	Home- based (virtual)	Evaluation consultant
Comments to draft evaluation report	-	Within one week of submission of draft report	Remote (via e-mail)	UNDP/ UN-Habitat & ERG members
Consolidate UNDP, UN-Habitat, and ERG comments to the draft evaluation report and the two summaries	1 day	Within three days of receipt of draft report with comments	Home- based (virtual)	Evaluation consultant
Debriefing with UNDP and UN-Habitat (including Senior Management)	1 day	Within one week of revising draft report	Home-based & In-country (virtual)	Evaluation consultant
Finalization & submission of <b>Final evaluation report &amp; Two final summaries</b> incorporating additions and comments provided by project staff, stakeholders, & UNDP/UN-Habitat ( <b>deliverable 4</b> )	1 day	Within one week from the debriefing date	Home-based (virtual)	Evaluation consultant
<b>Estimated total workdays for the evaluation</b>	<b>31 days</b>			



## Indicative payment schedule and modalities

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

Terms of Payment	Percentage (%)
<ul style="list-style-type: none"> <li>First payment will be paid upon submission and acceptance of <b>inception report</b> including work plan and methodology (<b>deliverable 1</b>) (by 26/06/2022) (<i>INBOUND: the expected travel date is 27/06/2022 with +/- 1 day flexibility</i>)</li> </ul>	15%
<ul style="list-style-type: none"> <li>Second payment will be paid upon finalization of field visit to Iraq and debrief of the joint teams of UNDP/UN-Habitat &amp; ERG (<b>deliverable 2</b>) (by 21/07/2022) (<i>OUTBOUND: the expected travel date is 23/07/2022 with +/- 1 day flexibility</i>)</li> </ul>	30%
<ul style="list-style-type: none"> <li>Third payment will be paid upon submission and acceptance of the <b>draft evaluation report</b> and the <b>two summaries (deliverable 3)</b> (by 07/08/2022)</li> </ul>	35%
<ul style="list-style-type: none"> <li>Fourth and final payment will be paid upon submission and acceptance of <b>final evaluation report</b> and the <b>two summaries (deliverable 4)</b> (by 12/08/2022)</li> </ul>	20%
<b>Notes:</b> <ul style="list-style-type: none"> <li>The payment is deliverable based, i.e., upon satisfactory completion and acceptance of the deliverable by the UNDP focal point.</li> <li>Each payment claims must be approved by the UNDP focal point.</li> <li>UNDP focal point will make the payments within 20 days from receipt of invoice.</li> </ul>	

### Note on travel and accommodation

- All envisaged travel costs must be included in the financial proposal including all travel within Iraq or outside the duty station/repatriation travel. In general, UNDP does not accept travel costs exceeding those of an economy class ticket.
- In cases where UNDP arranges and provides travel and/or accommodation due to security and other reasons, it should be noted that these costs will be deducted from the payments to the consultant. UN rates applies.
- In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon in writing, between UNDP and the consultant prior to travel and will be reimbursed.

## 10. APPLICATION SUBMISSION PROCESS AND CRITERIA FOR SELECTION

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

- Letter of Confirmation of interest and availability using the template provided by UNDP.
- Most Updated Personal detailed CV including previous experience in similar assignment and at least 3 references.
- Standard UN P11 Form ("CV Form")
- A detailed methodology on how the candidate will approach and conduct the work and
- Two samples of evaluation reports done/authored within the past three years.

**Note: Please group them into one (1) single PDF document as the application system only allows one to upload a maximum of one document.**

**\*\*Failure to submit the above-mentioned documents or incomplete proposals shall result in disqualification**

Applicants must not have worked in the design or implementation of this Headway project or in an advisory capacity for any of the interventions, directly as consultants or through UNDP/UN-Habitat service providers.

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

Evaluation Criteria		Max. Point 100	Weight
<b>Technical</b>	<p><b>Criteria A:</b> relevance and responsiveness of candidate's previous experience, Qualification based on submitted documents:</p> <ul style="list-style-type: none"> <li>Minimum Master's degree in Governance, Sociology, Development studies, Public Administration, Peace and conflict studies or any other field relevant to the assignment <b>(10 points)</b></li> </ul> <p>In addition, the Consultant must possess the following competencies:</p> <ul style="list-style-type: none"> <li>At least 10 years' experience in evaluation of socio-economic stabilization, crisis response and recovery, or social transformation projects/programmes in post-conflict environments <b>(10 points)</b></li> <li>At least 10 years of previous experience on project design, Results-Based Management (RBM) and participatory monitoring and evaluation methodologies and approaches <b>(10 points)</b></li> <li>Experience in conducting evaluations for large, and complex projects in post-conflict settings <b>(10 points)</b>.</li> <li>Experience working in, and knowledge of the Arab region <b>(10 points)</b>.</li> <li>Excellent report writing skills (supported by sample of similar evaluation reports) <b>(10 points)</b></li> </ul>	<b>60 Points</b>	<b>70%</b>

Evaluation Criteria		Max. Point 100	Weight
	<b>Criteria B:</b> relevance and responsiveness of candidate's approach, technical proposal and submitted work plan and Methodologies: <ul style="list-style-type: none"> <li>Time plan, methodology on how the Consultant will conduct the required tasks <b>(30 points)</b></li> <li>Experience in the usage of computers and office software packages and online meeting software (MS Word, Excel, etc) <b>(10 points)</b></li> </ul>	40 Points	
<b>Financial</b>	<b>Lowest Offer / Offer*100</b>		30%
<b>Total Score = (Technical Score * 0.7 + Financial Score * 0.3)</b>			

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

## 11. ANNEXES

**Annex 1:** Programme Description of Action, DOA (to be provided) and Headway Project document (PRODOC) accessible here: <https://open.undp.org/projects/00117563>

**Annex 2:** Headway Project quarterly and annual reports for 2019, 2020 and 2021.

**Annex 3:** Headway Project Annual Work Plans (AWP) for 2019, 2020 and 2021.

**Annex 4:** Other documents to be consulted include:

- UNDP Handbook on Monitoring and Evaluation for development results accessible here: <http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>
- UNDP Evaluation Guidelines (2021) accessible here: [http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\\_Evaluation\\_Guidelines.pdf](http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf)
- UN Ethical Guidelines for Evaluation. <http://www.unevaluation.org/document/download/547>
- UNDP Country Programme Document (CPD) 2020-2024: <https://www.iq.undp.org/content/iraq/en/home/library/iraq-cpd-2020-2024.html>
- National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)
- UN-Habitat Evaluation Manual: <https://unhabitat.org/sites/default/files/2018/07/UN-Habitat-Evaluation-Manual-April-2018.pdf>
- Monitoring and Evaluation guidelines of the EU Regional Madad Trust Fund: [https://ec.europa.eu/trustfund-syria-region/monitoring-evaluation\\_en](https://ec.europa.eu/trustfund-syria-region/monitoring-evaluation_en)

**Annex 5:** Sample evaluation matrix (Pg. 113) - to be included in the inception report, accessible here: [http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\\_Evaluation\\_Guidelines.pdf](http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf)

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

**Annex 6:** "UN Code of conduct" forms accessible here: <http://www.unevaluation.org/document/detail/100>  
*The Consultant and each member of the evaluation team will be requested to read carefully, understand, and sign the "UN Code of Conduct."*

**Annex 7:** Guidance on Evaluation Report Template, Refer to Annex 4, PDF pgs. 118-122 for minimum report requirements.  
The guidance is accessible here: <http://web.undp.org/evaluation/guideline/documents/PDF/section-6.pdf>

**Annex 8:** UNDP Evaluation guidelines during COVID-19 accessible here: <http://web.undp.org/evaluation/guideline/covid19.shtml>

**Annex 9:** Integrating Gender Equality and Human Rights in Evaluation - UN-SWAP Guidance, Analysis and Good Practices accessible here:

- <http://www.unevaluation.org/document/detail/1452>
- <http://www.unevaluation.org/document/download/2107>
- <http://www.unevaluation.org/document/download/2695>

**Annex 10:** Audit trail template accessible here:

<http://web.undp.org/evaluation/guideline/documents/Template/section-4/Sec 4 Template 7 Evaluation Audit trail form.docx>

**Annex 11:** Quality Assessment Checklists-June 2021 accessible here:

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

**Annex 12:** Dispute and wrongdoing resolution process and contact details (to be provided at the time of signing the contract)

**Annex 13:** UNDP evaluation report template and quality standards (pages 117-121) accessible here:

[http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\\_Evaluation\\_Guidelines.pdf](http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf)

Annex 2: Evaluation matrix

Evaluation Criteria	Evaluation Questions	What to look for/sub-questions	Data source	Data collection methods & Tools, and Analysis methods
<b>1. Relevance</b> (looks at the extent to which the Headway project strategy, proposed activities and expected outputs and outcomes are justified and respond to beneficiaries' assessed needs, country's policies, and donor's priorities)	1.1. To what extent was the Headway project in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs?	<ul style="list-style-type: none"> <li>Is the intervention relevant to the regional, national and global policies and priorities (i.e. contribution to overall national and global goals)?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP CPD &amp; UN-Habitat Iraq Programme Overview Document</li> <li>UNDP &amp; UN-Habitat Strategic Plans</li> <li>SDGs,</li> <li>Government Officials; NGOs, SMEs, Project Donors, &amp; International partners</li> <li>UNDP/UN Habitat Headway teams</li> </ul>	<b>Data Methods:</b> Desk review of project documents, literature.; KII, & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides; KII Guides & Consultations. <b>Data Analysis method:</b> Responsibility assignment mapping
	1.2. To what extent was the Headway project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?	<ul style="list-style-type: none"> <li>Have project interventions been focused on areas of greatest need, or in the language of the 2030 Agenda: reaching the furthest behind first? (Women, girls, boys, PWD, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs, SMEs</li> </ul>	<b>Data Methods:</b> Desk review of project documents; KII, & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides, KII Guides. <b>Data Analysis method:</b> Responsibility assignment mapping
	1.3. Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).	<ul style="list-style-type: none"> <li>Have stakeholders (regional, national govts, NGOs, etc) priorities and needs been articulated in the project intervention's objectives, underlying theory of change, implementation and monitoring and ownership?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<b>Data Methods:</b> Desk review of project documents,; KII & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides; KII Guides. <b>Data Analysis method:</b> Responsibility assignment mapping
	1.4. To what extent was the Headway project appropriately responsive to security, political, economic, institutional, and other changes in Iraq? To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment	<ul style="list-style-type: none"> <li>Has there been consideration into any fluctuations in the relevance of the intervention as circumstances change?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	1.5. Assess the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.	<ul style="list-style-type: none"> <li>Has there been consideration into any fluctuations in the relevance of the intervention as circumstances change?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>2. Coherence</b> (looks at the extent to which other interventions, particularly, policies support or undermine the intervention)	2.1. To what extent has the project complemented work among different entities, including development partners and civil society, with similar interventions?	<ul style="list-style-type: none"> <li>How has the project coordination hindered the achievement of complementarity or prevention of duplication of interventions?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> </ul>	<b>Data Methods:</b> Desk review of project documents; KII & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides; KII Guides. <b>Data Analysis method:</b> Responsibility assignment mapping; Contribution analysis
	2.2. What is the quality and extent of coordination with other national/sub-national programmes/initiatives conducive for the achievement of the project's objectives?	<ul style="list-style-type: none"> <li>Has there been contradictions with other policies or initiatives that prevented achievement of the development objective?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	2.3. To what extent do other or similar interventions or policies support or undermine the project?	<ul style="list-style-type: none"> <li>Has there been challenges of aligning interventions with the national policy of government? (e.g. trade, investments, climate change)</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>

	2.4. To what extent were the project design and delivery coherent with international obligations?	<ul style="list-style-type: none"> <li>Has the project been in contradictions with international commitments?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>SDGs</li> <li>UNDP &amp; UN-Habitat Strategic Plans</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>3. Effectiveness</b> (looks at the extent to which the planned objectives and results were achieved, including the factors that contributed to or detracted its achievement)	3.1. Assess whether the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project.	<ul style="list-style-type: none"> <li>What outcomes does the project intend to achieve?</li> <li>What outputs has the project achieved?</li> <li>What percentage of the project results at the output level has been achieved?</li> <li>What changes can be observed as a result of these outputs?</li> <li>In addition to UNDP/UN-Habitat initiatives, what other factors may have affected the results?</li> <li>What were the unintended results (+ or -)?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Underserved host community members, IDPs &amp; Syrian refugees</li> </ul>	<p><b>Data Methods:</b> Desk review of project documents; KII, FGD, Observations &amp; Consultations; Content Analysis..</p> <p><b>Data Collection Tools:</b> Desk review guides; KII &amp; FGD Guides.</p> <p><b>Data Analysis method:</b> Responsibility assignment mapping, Contribution analysis, Change analysis</p>
	3.2. To what extent did the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels? Comment on how the Headway project supported governments to address the challenge.	<ul style="list-style-type: none"> <li>Have responsibilities been properly delineated and implemented in a complementary manner?</li> <li>Has UNDP/UN-Habitat coordination mechanisms ensured coherence, harmonization, and synergy in functions among project partners?</li> <li>Has UNDP/UN-Habitat improved project management capacities among project partners?</li> <li>Are strategies employed by project partners complementary and synergistic?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	2.1. To what extent did the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?	<ul style="list-style-type: none"> <li>How have the particular needs of disadvantaged groups been taken into account in the implementation, benefits sharing, and monitoring of the project?</li> <li>How far has social inclusion been taken into account in the project management?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	3.4. What were the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results? Comment on how they were mitigated or can be mitigated in future? Assess the degree of stakeholders' participation in Headway project interventions and mainstreaming of gender issues in the Headway project. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.	<ul style="list-style-type: none"> <li>What unanticipated threats emerged during implementation?</li> <li>What corrective measures did UNDP/UN-Habitat take?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>

<b>4. Efficiency</b> (looks at the extent to which the Headway project resources; funds, expertise/human resources, time, are optimally used to achieve the intended results)	4.1. How efficient was the functioning of the Headway's project management, technical support, administrative, procurement and financial management procedures?	<ul style="list-style-type: none"> <li>Has there been over-expenditure or under-expenditure on the project?</li> <li>What mechanisms does UNDP have in place to monitor implementation? Are these effective?</li> </ul>	<ul style="list-style-type: none"> <li>Project document, and Progress &amp; financial reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> </ul>	<b>Data Methods:</b> Desk review of narrative and financial annual reports; annual work plans; allocation memos; steering committee minutes; other financial documents of the project; KII, FGD & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides, KII & FGD Guides. <b>Data Analysis method:</b> Contribution analysis, Responsibility assignment mapping
	4.2. Asses the Headway's project management structure in relation to day-to-day and periodical management of project tasks including (i) planning (ii) management of the budget (iii) management of delivery modalities (contracts, payments, monitoring, supervision etc.) (iv) coordination with stakeholders, and (v) adequacy of personnel, expertise, and resources,	<ul style="list-style-type: none"> <li>Are resources (human &amp; financial) concentrated on the most important initiatives or are they scattered/spread thinly across initiatives?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	4.3. Was the communication and visibility strategy for the Headway project adopted? Was it cost-effective in terms of promoting the project and its achievements? To what extent the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project's desired effects?	<ul style="list-style-type: none"> <li>What mechanisms does UNDP/UN-Habitat have in place to communicate project achievements to the stakeholders? Are these effective?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	4.4. How is the Headway project track progress towards achieving expected results? Did the monitoring and evaluation mechanisms put in place allow for continuous collection and analysis of quality and segregated data on expected results?	<ul style="list-style-type: none"> <li>What mechanisms does UNDP/UN-Habitat have in place to monitor implementation and results? Are these effective?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>5. Impact</b> (looks at the extent to which the Headway project generated or is likely to bring differences at different levels directly or indirectly, positive, or negative, intended, or unintended, or higher-level effects. The evaluation will focus on the main changes/effects resulting from the Headway project to strengthen resilience of sub-national authorities in respective governorates, in relation to the reform agenda of national governments and development partners)	5.1. To what extent were there positive benefits and what were the negative effects, if any? Comment on actions that could be implemented to reverse the process of non-achievement. What were the key achievements of the Headway project in terms of policy, practice, and behavior change? Comment on the main challenges to achieving policy, practice, and behavior change?	<ul style="list-style-type: none"> <li>What positive effects and negative effects arose from project interventions?</li> <li>What corrective measures did UNDP/UN-Habitat take to address the negative effects?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Underserved host community members, IDPs &amp; Syrian refugees</li> </ul>	<b>Data Methods:</b> Desk review of project documents; KII, FGD, Observations & Consultations. Content Analysis. <b>Data Collection Tools:</b> Desk review guides, KII & FGD Guides, Impact Assessment tool, and On-site observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping
	5.3. What countermeasures were taken against the unanticipated developments (if any) that affected the quality of the implementation?	<ul style="list-style-type: none"> <li>What mechanisms does UNDP/UN-Habitat have in place to mitigate threats to project implementation? Are these effective?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	5.4. To what extent has the project addressed the negative impacts of the Covid-19 pandemic?	<ul style="list-style-type: none"> <li>What mechanisms does UNDP/UN-Habitat have in place to mitigate the impact of COVID-19 pandemic?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	5.5. Assess the outcomes, based on Headway's project actual and potential development impact on the primary stakeholder groups, and institutions. To what extent were the project benefits felt at national and local levels so far?	<ul style="list-style-type: none"> <li>What impact can be observed at national and local levels as a result of the project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>

<b>6. Sustainability</b> (analyzes whether benefits of Headway project activities are likely to continue in the long-term after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable)	6.1. To what extent were lessons learned documented by the project team and shared with appropriate parties for learning purposes?	<ul style="list-style-type: none"> <li>What mechanisms does UNDP/UN-Habitat have in place to document and communicate lessons learnt to stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>Project document, progress &amp; financial reports</li> <li>Risks &amp; Lessons learned logs, exit strategy.</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> </ul>	<b>Data Methods:</b> Desk review of project documents, risks & lessons learned logs; Content Analysis; KII, & Consultations. <b>Data Collection Tools:</b> Desk review guides, KII & FGD Guides and observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping
	6.2. Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?	<ul style="list-style-type: none"> <li>Does the project have an exit strategy?</li> <li>To what extent does the exit strategy take into account the following: political factors (support from national authorities), financial factors (available budgets), technical factors (skills and expertise needed), environmental factors (environmental appraisal)</li> <li>What unanticipated sustainability threats emerged during implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	6.3. To what extent are the results of the intervention likely to be sustained in the long-term after completion of activities and handover to end-user?	<ul style="list-style-type: none"> <li>What unanticipated sustainability threats emerged during implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	6.4. To what extent is the project likely to be replicated at national level with national resources?	<ul style="list-style-type: none"> <li>What actions have been taken to scale up the project?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	6.5. Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.	<ul style="list-style-type: none"> <li>To what extent have the target beneficiaries been reached by the project?</li> <li>What evidence is there to show ownership of the project results?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Underserved host community members, IDPs &amp; Syrian refugees</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	6.6. Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?	<ul style="list-style-type: none"> <li>What unanticipated threats emerged during implementation?</li> <li>What corrective measures did UNDP/UN-Habitat take?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>7. Inclusion and Intersectionality</b> (extent to which the project has endeavoured to reflect gender mainstreaming for equality and inclusion of diverse groups to "leave no one behind" through a human rights-based approach. The extent to which the project was able to apply an intersectional lens)				
<b>7.1. Human Rights</b>	<ul style="list-style-type: none"> <li>To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?</li> </ul>	<ul style="list-style-type: none"> <li>How far has social inclusion been taken into account in the project right from project design?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; Progress Reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Underserved host community members, IDPs &amp; Syrian refugees</li> </ul>	<b>Data Methods:</b> Desk review of project documents,, international commitments to human rights; KII, FGD, & Consultations; Content Analysis. <b>Data Collection Tools:</b> Desk review guides; Content Analysis; KII & FGD Guides, Observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping



	<ul style="list-style-type: none"> <li>To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?</li> </ul>	<ul style="list-style-type: none"> <li>What assistance has the initiative provided supported the government in promoting human rights based approach? Comment on how effective this support has been</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	<ul style="list-style-type: none"> <li>What are the avenues for improvements in promoting human rights standards across similar interventions in future?</li> </ul>	<ul style="list-style-type: none"> <li>Can the results of the human rights approach be scaled up?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>7.2. Gender</b>	<ul style="list-style-type: none"> <li>To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?</li> </ul>	<ul style="list-style-type: none"> <li>Provide example(s) of how project contributed to gender equality</li> <li>Can results of the project be disaggregated by sex?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; progress reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> </ul>	<b>Data Methods:</b> Desk review of project documents,, international commitments to gender equality and women empowerment; KII, FGD, & Consultations; Content Analysis <b>Data Collection Tools:</b> Desk review guides; Content Analysis; KII & FGD Guides, Observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping
	<ul style="list-style-type: none"> <li>Is the gender marker assigned to this project representative of reality?</li> </ul>	<ul style="list-style-type: none"> <li>How has UNDP/UN-Habitat programmed gender equality into the project?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	<ul style="list-style-type: none"> <li>To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?</li> </ul>	<ul style="list-style-type: none"> <li>How has UNDP/UN-Habitat programmed gender equality into the project?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	<ul style="list-style-type: none"> <li>Were sufficient resources made available for gender mainstreaming?</li> </ul>	<ul style="list-style-type: none"> <li>Provide example(s) of how resources (human &amp; financial) have been allocated for gender sensitive outputs?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	<ul style="list-style-type: none"> <li>What are the avenues for improvement in considerations for gender and its intersectional effects across the project?</li> </ul>	<ul style="list-style-type: none"> <li>How has UNDP/UN-Habitat programmed gender equality into the project? Programme management? Implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
<b>7.3. Disability</b>	<ul style="list-style-type: none"> <li>Were persons with disabilities consulted and involved in project planning and delivery?</li> </ul>	<ul style="list-style-type: none"> <li>How has UNDP/UN-Habitat programmed social inclusion (PWD) into the project?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; progress reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Project beneficiaries</li> </ul>	<b>Data Methods:</b> Desk review of project documents,, international commitment to UN Disability and Inclusion; Content Analysis; KII, FGD, & Consultations. <b>Data Collection Tools:</b> Desk review guides; KII & FGD Guides, Observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping
	<ul style="list-style-type: none"> <li>What proportion of the beneficiaries of a project were persons with disabilities?</li> </ul>	<ul style="list-style-type: none"> <li>Provide example(s) of how the project contributed to disability inclusion</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; progress reports</li> <li>Project beneficiaries</li> </ul>	<b>Data Methods:</b> Desk review of project documents,, FGD; Content Analysis;. <b>Data Collection Tools:</b> Desk review guides; FGD Guides, Observations. <b>Data Analysis method:</b> Change analysis, Contribution analysis, Responsibility assignment mapping

	<ul style="list-style-type: none"> <li>What barriers did persons with disabilities face during the project delivery?</li> </ul>	<ul style="list-style-type: none"> <li>Provide example(s) of how project contributed to disability inclusion</li> <li>Can results of the project be disaggregated by disability?</li> </ul>	<ul style="list-style-type: none"> <li>Project document &amp; progress reports</li> <li>UNDP/UN Habitat Headway teams</li> <li>Project Donors &amp; International partners</li> <li>Government Officials, NGOs &amp; SMEs</li> <li>Project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>
	<ul style="list-style-type: none"> <li>Was a twin-track approach adopted?<sup>141</sup></li> </ul>	<ul style="list-style-type: none"> <li>Provide example(s) of how the project contributed to disability inclusion through UNDP CPD and UN-Habitat Iraq Programme Overview.</li> <li>Does UNDP CPD and UN-Habitat Iraq Programme Overview disaggregate data by disability?</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	<ul style="list-style-type: none"> <li>Same as above</li> </ul>

<sup>141</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>

Annex 3: Work plan / key milestones, deliverables and responsibilities

The tasks, milestones, and deliverables of the evaluation based on 31 working days spread over from 12<sup>th</sup> June to 22nd September 2022 timeframe is as outlined below:

Phase / Activity / Milestone/ Deliverables	Estimated number of days	Date of completion	Place	Responsibility
<b>1. Phase One: Desk review and Inception Phase</b>				
1.1. Joint Briefing meeting with UNDP/UN Habitat project managers and project staff	1 day	Within five days of contract signing	UNDP or remote	UNDP/UN Habitat teams & Evaluator
1.2. Sharing of the relevant documents with Evaluator	-	At the time of contract signing	Via email	UNDP/UN Habitat teams
1.3. Desk review, draft inception report, including evaluation design, methodology, work plan and proposed list of stakeholders to be interviewed	5 days	Within one week of contract signing	Home-based (Virtual)	Evaluator
1.4. <b>Deliverable 1: Submission and Power Point Presentation of inception report</b> (15 pages maximum excluding annexes)	1 day	Within five days of submitting inception report	Home-based (Virtual)	Evaluator
1.5. Comments and approval of inception report	-	Within seven days of submission of inception report	Home-based (Virtual)	UNDP/UN Habitat teams & ERG members
<b>3. Phase Two: Data Collection Phase</b>				
3.1. In-Country Mission to hold Consultations and field visits, in-depth interviews, and focus groups, etc.	10 days	Within four weeks of contract signing	In country (with field visits)	UNDP/UN Habitat to organize with partners, project staff, including visa
3.2. <b>Deliverable 2: Debriefing to UNDP/UN Habitat project teams &amp; ERG members</b>	1 day	Within 10 days of in-country visit	UNDP Office in Erbil	Evaluator
<b>4. Phase Three: Data Analysis and Report Synthesis Phase</b>				
4.1. <b>Deliverable 3: Preparation of draft evaluation report</b> (50 pages max excluding annexes), & <b>two separate summaries</b> (3 pages each)	8 days	Within two weeks of completion of field mission	Home-based (Virtual)	Evaluator
4.2. <b>Power Point Presentation of the draft evaluation report &amp; two separate summaries</b> each for UNDP and UN Habitat	1 day	Within four days of submission of draft evaluation report	Home-based (Virtual)	Evaluator
3.3. Comments to draft evaluation report	1 day	Within one week of submission of draft evaluation report	Remote (via email)	UNDP/UN Habitat teams & ERG members
3.4. Consolidate UNDP, UN Habitat, and ERG comments to the draft report and the two summaries	1 day	Within three days of receipt of draft report with comments	Home-based (Virtual)	Evaluator
3.5. Final debriefing with UNDP and UN Habitat teams (including Senior Management)	1 day	Within one week of revising draft report	Home-based & In-Country	Evaluator
3.6. <b>Deliverable 4: Finalization &amp; submission of Final evaluation report &amp; Two final Summaries</b> incorporating additions and comments provided by project staff, stakeholders, & UNDP/UN Habitat	1 day	Within one week of the final debriefing date	Home-based (Virtual)	Evaluator
<b>Total Workdays</b>	<b>31 days</b>			

**Evaluator:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact during the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings, and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form<sup>142</sup>**

**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** Dr. Patrick Orotin

**Name of Consultancy Organization** (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at United Nations Development Programme (UNDP), Iraq on 12<sup>th</sup> June 2022

Signature: 

<sup>142</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

Annex 5. Data source and method of collection, and rationale for choice of data collection method

Data source	Methods of data collection	Rationale for selection of data collection methods
<ul style="list-style-type: none"> <li>Headway project document &amp; Progress Reports</li> <li>UNDP CPD &amp; UN-Habitat Programme Overview Document</li> <li>UNDP &amp; UN-Habitat Strategic Plans</li> </ul>	UNDP/ UNDP/ UN Habitat Monitoring systems	Since it uses project performance indicators to measure progress, and so is a reliable, cost-efficient, objective method to assess progress of the project outputs and contribution to UNDP CPD outputs and UN-Habitat Programme Overview outputs.
<ul style="list-style-type: none"> <li>Headway project document &amp; Progress Reports</li> <li>National Policy and legal frameworks</li> <li>SDGs</li> <li>International Commitments</li> </ul>	Reports and Documents review	It is cost-efficient because it relies on existing project documentation, including quantitative and descriptive information about the project, its outputs, and UNDP CPD and UN-Habitat Programme Overview outputs it contributes to.
<ul style="list-style-type: none"> <li>Headway Project Managers, Pillar Heads, and senior management</li> </ul>	Inception Meeting	Since it takes place before actual data collection, it helps to clarify to the Evaluator, UNDP/ UN Habitat and their stakeholders the understanding of the objectives, and scope of the evaluation. It too helps in the identification of the project stakeholders for interviews, and methods and tools to be used to collect data. The product of the meeting will be the final Evaluation Inception Report.
<ul style="list-style-type: none"> <li>Government officials engaged in the project,</li> <li>NGOs, and members of local, national and coordination bodies.</li> <li>Small and Medium Scale Enterprises (SMSE)</li> </ul>	Key Informants Interview (KII)	It engages with a wide range of project stakeholders who have first-hand knowledge about the project's operations, programming and context, and so will provide in-depth particular knowledge and understanding of the problems the project faced and recommend comprehensive solutions. 'Snowball sampling' method could be used to engage existing interview participants to recruit additional subjects from among their networks.
<ul style="list-style-type: none"> <li>Project Donors</li> <li>International partners</li> <li>Heads of UNDP and UN Habitat</li> <li>Pillar Heads</li> <li>Headway Project Managers</li> <li>Government officials</li> </ul>	Consultations	This process engages Donors and International partners to identify emerging issues and links between different projects impacting on the results, UN agencies' individual and joint contributions to achievement of the Headway Project outcomes, and obtain information on performance and future strategies and opportunities for resources mobilization. This will be done during data collection and at the presentation of the Draft Evaluation Report.
<ul style="list-style-type: none"> <li>Representatives of Beneficiaries:</li> <li>IDPs (women, girls, boys, men, &amp; disabled)</li> <li>Refugees (women, girls, boys, men, &amp; disabled)</li> </ul>	Focus Group Discussion (FGD)	It is quick, reliable method to obtain in-depth stakeholders' perceptions, opinions, beliefs and attitudes regarding the evaluation questions in the conflict context, to collect information around tangible and non-tangible changes resulting from the project intervention, in a single gathering, involving 3-5 participants <sup>143</sup> .
<ul style="list-style-type: none"> <li>Project and Activities of beneficiaries</li> </ul>	On-site observations  Photography	Can see the operations of the project as they are occurring. Observations may help to reveal effectiveness and efficiency of the project delivery systems, utilization of the project outputs, and sustainability and potential impact of the project interventions.
<ul style="list-style-type: none"> <li>Key stakeholders with expertise on the situation</li> <li>Project Document and Progress reports</li> </ul>	Impact Mapping <sup>144</sup> Assessment	It is a participatory process. Can elicit unprepared opinions and knowledge of key project stakeholders to identify key interventions which have contributed to the level of project effect on the stakeholders and the interaction of the key interventions in the specific location and in the current situation. It also allows analysis of previous and in-crisis secondary data, and identification of information gaps per component/outcome, as well as capture perceptions of beneficiaries on services provided and needs gaps. The assessment of project impact is defined through the linkages between the key interventions and outcomes and impacts identified. The detail process is presented in <b>Annex 4.4</b> .
<ul style="list-style-type: none"> <li>Consultation, KII &amp; FGD notes</li> <li>Documents and Desk review notes</li> </ul>	Content Analysis <sup>145</sup>	If computer aided, it is a quick and low cost method in that it relies on existing project documents or progress reports. Uses the " <b>Word frequency list</b> " and <b>Category counts</b> <sup>146</sup> , referred to as "recording unit" (e.g. "individual word", "paragraph", "themes, or actors mentioned in the document"). All occurrences of the "word" would be treated as equal, and counts of them made and compared.

<sup>143</sup> UNICEF Guidance on Risk-informed programming, GRIP.

<sup>144</sup> Adapted from the methodological approach used in the final evaluation of the Community Resilience and Dialogue programme (CRD) and Northern Uganda Peace Initiative (NUPI) in Uganda. USAID Uganda, 2007. Final Evaluation Report. p 7.

<sup>145</sup> Robson, Colins, (2002). Real World Research: a resource for social scientists and practitioner-researchers/Colins Robson – 2<sup>nd</sup> Edition. P.351.

<sup>146</sup> Colin Robson (2002). Real World Research: A resource for Social research and practitioner – researchers. Blackwell Publishing. 2<sup>nd</sup> Edition. p.353-354, 359

Evaluation Criteria	Evaluation Questions	Desk Review Notes
<b>1. Relevance</b>	1.1. To what extent was the Headway project in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs?	
	1.2. To what extent was the Headway project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?	
	1.3. Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).	
	1.4. To what extent was the Headway project appropriately responsive to security, political, economic, institutional, and other changes in Iraq? To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment?	
	1.5. Assess the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.	
<b>2. Coherence</b>	2.1. To what extent has the project complemented work among different entities, including development partners and civil society, with similar interventions?	
	2.2. What is the quality and extent of coordination with other national/sub-national programmes/initiatives conducive for the achievement of the project's objectives?	
	2.3. To what extent do other or similar interventions or policies support or undermine the project?	
	2.4. To what extent were the project design and delivery coherent with international obligations?	
<b>3. Effectiveness</b>	3.1. Assess whether the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project.	
	3.2. To what extent did the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels? Comment on how the Headway project supported governments to address the challenge.	
	3.3. To what extent did the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?	
	3.4. What were the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results? Comment on how they were mitigated or can be mitigated in future? Assess the degree of stakeholders' participation in Headway project interventions and mainstreaming of gender issues in the Headway project. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.	
<b>4. Efficiency</b>	4.1. How efficient was the functioning of the Headway's project management, technical support, administrative, procurement and financial management procedures?	
	4.2. Assess the Headway's project management structure in relation to day-to-day and periodical management of project tasks including (i) planning (ii) management of the budget (iii) management of delivery modalities (contracts, payments, monitoring, supervision etc.) (iv) coordination with stakeholders, and (v) adequacy of personnel, expertise, and resources,	
	4.3. Was the communication and visibility strategy for the Headway project adopted? Was it cost-effective in terms of promoting the project and its achievements? To what extent the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project's desired effects?	
	4.4. How is the Headway project track progress towards achieving expected results? Did the monitoring and evaluation mechanisms put in place allow for continuous collection and analysis of quality and segregated data on expected results?	
<b>5. Impact</b>	5.1. To what extent were there positive benefits and what were the negative effects, if any? Comment on actions that could be implemented to reverse the process of non-achievement. What were the key achievements of the Headway project in terms of policy, practice, and behavior change?	

	Comment on the main challenges to achieving policy, practice, and behavior change?	
	5.2. What countermeasures were taken against the unanticipated developments (if any) that affected the quality of the implementation?	
	5.3. To what extent the project addressed the negative impacts of the Covid-19 pandemic?	
	5.4. Assess the outcomes, based on Headway's project actual and potential development impact on the primary stakeholder groups, and institutions. To what extent were the project benefits felt at national and local levels so far?	
<b>6. Sustainability</b>	6.1. To what extent were lessons learned documented by the project team and shared with appropriate parties for learning purposes?	
	6.2. Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?	
	6.3. To what extent are the results of the intervention likely to be sustained in the long-term after completion of activities and handover to end-user?	
	6.4. To what extent the project is likely to be replicated at national level with national resources?	
	6.5. Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.	
	6.6. Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?	
<b>7. Inclusion and Intersectionality</b>		
<b>7.1. Human Rights</b>	<ul style="list-style-type: none"> <li>To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvements in promoting human rights standards across similar interventions in future?</li> </ul>	
<b>7.2. Gender</b>	<ul style="list-style-type: none"> <li>To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?</li> </ul>	
	<ul style="list-style-type: none"> <li>Is the gender marker assigned to this project representative of reality?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?</li> </ul>	
	<ul style="list-style-type: none"> <li>Were sufficient resources made available for gender mainstreaming?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvement in considerations for gender and its intersectional effects across the project?</li> </ul>	
<b>7.3. Disability</b>	<ul style="list-style-type: none"> <li>Were persons with disabilities consulted and involved in project planning and delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>What proportion of the beneficiaries of a project were persons with disabilities?</li> </ul>	
	<ul style="list-style-type: none"> <li>What barriers did persons with disabilities face during the project delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>Was a twin-track approach adopted?<sup>147</sup></li> </ul>	

<sup>147</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>



## PROTOCOL:

### Greetings!!

My name is \_\_\_\_\_. I am a Consultant working on behalf of The UNDP and UN Habitat Headway Project in Iraq, who is conducting a Final Evaluation of the project implementation with national and subnational partners, Non-governmental organizations (NGOs), and small to medium scale enterprises (SMEs). The project intention is improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing<sup>148</sup> and economic opportunities.

**Purpose of the Final Evaluation:** Is to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of similar future programming.

### The objectives of the Final Evaluation:

- Take stock of the overall Headway project progress and recommend ways to improve future partnerships with project's implementing partners/ target groups,
- Derive lessons learned and good practices that can be used in future identification, design, regular review, implementation, and monitoring of similar interventions,
- Provide constructive and practical recommendations on factors that can contribute to Headway project sustainability and develop project transition and exit strategy,
- Assess **relevance, coherence, effectiveness, efficiency, impact, and sustainability** of the project,
- Identify insights on the potential added value of the "multi-partner and multi-year" approach taken to implement the initiative in Iraq, and
- Assess the degree to which the project made a difference, positively or negatively.

### Benefits:

Currently, there are No direct benefits to you as a participant in this review. However, there are indirect social benefits; for example, it will help the project best align its priorities and strategies to better facilitate shorter and more immediate results that would help host communities and refugees improve their state of living with tangible benefits.

### Confidentiality and Consent:

The answers you give will be known to us only and kept strictly confidential, with your name not being reported. Results will be reported in general terms. The interview will take about 1 hour to complete. All participants will be 18 years, and above and participation is voluntary. However, I request your full participation given that your views are very important. Thank you!!

I have a set of questions to guide the interview. May I begin the interview (Yes/No)?

Date of Interview:-----Time of the Interview:-----

### Details of the respondent:

Name of respondent:----- Position in the project:----- Sex:-----

Duration with the project:----- Organization/Sector:-----

Location:-----

## Key Informant Interview Guide

Evaluation Criteria	Evaluation Questions	Key Informant Interview Notes
<b>1. Relevance</b>	1.1. To what extent was the Headway project in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs?	
	1.2. To what extent was the Headway project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?	
	1.3. Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).	

<sup>148</sup> Only in Iraq.

	1.4. To what extent was the Headway project appropriately responsive to security, political, economic, institutional, and other changes in Iraq? To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment?	
	1.5. Assess the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.	
<b>2. Coherence</b>	2.1. To what extent has the project complemented work among different entities, including development partners and civil society, with similar interventions?	
	2.2. What is the quality and extent of coordination with other national/sub-national programmes/initiatives conducive for the achievement of the project's objectives?	
	2.3. To what extent do other or similar interventions or policies support or undermine the project?	
	2.4. To what extent were the project design and delivery coherent with international obligations?	
<b>3. Effectiveness</b>	3.1. Assess whether the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project.	
	3.2. To what extent did the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels? Comment on how the Headway project supported governments to address the challenge.	
	3.3. To what extent did the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?	
	3.4. What were the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results? Comment on how they were mitigated or can be mitigated in future? Assess the degree of stakeholders' participation in Headway project interventions and mainstreaming of gender issues in the Headway project. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.	
<b>4. Efficiency</b>	4.1. How efficient was the functioning of the Headway's project management, technical support, administrative, procurement and financial management procedures?	
	4.2. Assess the Headway's project management structure in relation to day-to-day and periodical management of project tasks including (i) planning (ii) management of the budget (iii) management of delivery modalities (contracts, payments, monitoring, supervision etc.) (iv) coordination with stakeholders, and (v) adequacy of personnel, expertise, and resources,	
	4.3. Was the communication and visibility strategy for the Headway project adopted? Was it cost-effective in terms of promoting the project and its achievements? To what extent the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project's desired effects?	
	4.4. How is the Headway project track progress towards achieving expected results? Did the monitoring and evaluation mechanisms put in place allow for continuous collection and analysis of quality and segregated data on expected results?	
<b>5. Impact</b>	5.1. To what extent were there positive benefits and what were the negative effects, if any? Comment on actions that could be implemented to reverse the process of non-achievement. What were the key achievements of the Headway project in terms of policy, practice, and behavior change? Comment on the main challenges to achieving policy, practice, and behavior change?	
	5.3. What countermeasures were taken against the unanticipated developments (if any) that affected the quality of the implementation?	
	5.4. To what extent the project addressed the negative impacts of the Covid-19 pandemic?	
	5.5. Assess the outcomes, based on Headway's project actual and potential development impact on the primary stakeholder groups, and institutions. To what extent were the project benefits felt at national and local levels so far?	
<b>6. Sustainability</b>	4.5. To what extent were lessons learned documented by the project team and shared with appropriate parties for learning purposes?	
	4.6. Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?	
	4.7. To what extent are the results of the intervention likely to be sustained in the long-term after completion of activities and handover to end-user?	

	4.8. To what extent the project is likely to be replicated at national level with national resources?	
	4.9. Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.	
	4.10. Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?	
<b>5. Inclusion and Intersectionality</b>		
<b>5.3. Human Rights</b>	<ul style="list-style-type: none"> <li>To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvements in promoting human rights standards across similar interventions in future?</li> </ul>	
<b>5.4. Gender</b>	<ul style="list-style-type: none"> <li>To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?</li> </ul>	
	<ul style="list-style-type: none"> <li>Is the gender marker assigned to this project representative of reality?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?</li> </ul>	
	<ul style="list-style-type: none"> <li>Were sufficient resources made available for gender mainstreaming?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvement in considerations for gender and its intersectional effects across the project?</li> </ul>	
<b>5.5. Disability</b>	<ul style="list-style-type: none"> <li>Were persons with disabilities consulted and involved in project planning and delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>What proportion of the beneficiaries of a project were persons with disabilities?</li> </ul>	
	<ul style="list-style-type: none"> <li>What barriers did persons with disabilities face during the project delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>Was a twin-track approach adopted?<sup>149</sup></li> </ul>	

<sup>149</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>

# **PROTOCOL:**

## **Greetings!!**

My name is \_\_\_\_\_. I am a Consultant working on behalf of The UNDP and UN Habitat Headway Project in Iraq, who is conducting a Final Evaluation of the project implementation with national and subnational partners, Non-governmental organizations (NGOs), and small to medium scale enterprises (SMEs). The project intention is improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing<sup>150</sup> and economic opportunities.

**Purpose of the Final Evaluation:** Is to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of similar future programming.

## **The objectives of the Final Evaluation:**

- a) Take stock of the overall Headway project progress and recommend ways to improve future partnerships with project's implementing partners/ target groups,
- b) Derive lessons learned and good practices that can be used in future identification, design, regular review, implementation, and monitoring of similar interventions,
- c) Provide constructive and practical recommendations on factors that can contribute to Headway project sustainability and develop project transition and exit strategy,
- d) Assess **relevance, coherence, effectiveness, efficiency, impact, and sustainability** of the project,
- e) Identify insights on the potential added value of the "multi-partner and multi-year" approach taken to implement the initiative in Iraq, and
- f) Assess the degree to which the project made a difference, positively or negatively.

## **Benefits:**

Currently, there are No direct benefits to you as a participant in this review. However, there are indirect social benefits; for example, it will help the project best align its priorities and strategies to better facilitate shorter and more immediate results that would help host communities and refugees improve their state of living with tangible benefits.

## **Confidentiality and Consent:**

The answers you give will be known to us only and kept strictly confidential, with your name not being reported. Results will be reported in general terms. The interview will take about 1 hour to complete. All participants will be 18 years, and above and participation is voluntary. However, I request your full participation given that your views are very important. Thank you!!

I have a set of questions to guide our discussion. May we start the discussion (Yes/No)?

Date of FGD:-----Time of the FGD:-----

## **Details of the respondents:**

Males:----- Females:-----

Location:-----

## *Focus Group Discussion Guide*

Evaluation Criteria	Evaluation Questions	Focus Group Discussion Notes
<b>1. Relevance</b>	1.1. To what extent did the project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?	
	1.2. Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).	
	1.3. To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment?	
<b>3. Effectiveness</b>	3.1. To what extent did the project activities and management systems mitigate, and address needs, expectations and protection concerns of	

<sup>150</sup> Only in Iraq.

	targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?	
	3.2. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.	
<b>5. Impact</b>	5.1. To what extent were there positive benefits and what were the negative effects of the project, if any?	
	5.2. To what extent did the project address the negative impacts of the Covid-19 pandemic?	
	5.3. To what extent were the project benefits felt at the local levels so far?	
<b>6. Sustainability</b>	6.1. Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?	
	6.2. Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.	
	6.3. Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?	
<b>7. Inclusion and Intersectionality</b>		
○ <b>Human Rights</b>	<ul style="list-style-type: none"> <li>To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvements in promoting human rights standards across similar interventions in future?</li> </ul>	
○ <b>Gender</b>	<ul style="list-style-type: none"> <li>To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?</li> </ul>	
	<ul style="list-style-type: none"> <li>Is the gender marker assigned to this project representative of reality?</li> </ul>	
	<ul style="list-style-type: none"> <li>To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?</li> </ul>	
	<ul style="list-style-type: none"> <li>Were sufficient resources made available for gender mainstreaming?</li> </ul>	
	<ul style="list-style-type: none"> <li>What are the avenues for improvement in considerations for gender and its intersectional effects across the project?</li> </ul>	
○ <b>Disability</b>	<ul style="list-style-type: none"> <li>Were persons with disabilities consulted and involved in project planning and delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>What proportion of the beneficiaries of a project were persons with disabilities?</li> </ul>	
	<ul style="list-style-type: none"> <li>What barriers did persons with disabilities face during the project delivery?</li> </ul>	
	<ul style="list-style-type: none"> <li>Was a twin-track approach adopted?<sup>151</sup></li> </ul>	

<sup>151</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>

#### Annex 6.4. Impact Assessment Mapping

This is a participatory analytical tool that is used to elicit unprepared opinions and knowledge of project stakeholders (**with expertise on the situation**) to identify key interventions which have contributed to the level of project effect on the beneficiary stakeholders and the interaction of the key interventions in the specific location and in the current situation. It will be conducted through in person or virtual key informant interviews or in a workshop setting. Since gathering of people will be difficult, key informant interviews approach will be applied. Where no interviews will not be possible due to whatever reasons, previous analysis of issues leading to the Project design will be used.

In the governorates and municipalities targeted by the project, assessment will be done with 10-15 key informants (NGOs, CSOs, Government Officials, and local leaders) and covering the 4 Governorates and three outcomes of the project. Key issues brought out by the mapping exercise become key indicators to gauge whether the UNDP/UN-Habitat Headway project under evaluation were **relevant** to the context and people by assessing if issues considered pertinent by the people were addressed/influenced by the project implementation. The frequency of mention of the issue becomes the score for the issue.

The table below demonstrates how the issues resulting from the mapping exercise will be summarized.

Location/Component	Issues identified	Score (1-15)	Influence through the Headway project (Yes/No)
Dohuk			
Erbil			
Sulaymaniyah			
Ninewa			

The assessment of the project impact is defined through the linkages between the key interventions and outcomes and impacts identified. These linkages are assessed through the following questions:

1. **R: Relevance of impact:** How did the influence of the project relate to the key needs of the IDPs and refugees defined by key stakeholders with expertise on the situation?
2. **E: Extent of impact:** What was the depth and breadth of impact? This will most probably be defined in population terms, for example, by detecting the numbers of direct beneficiaries (persons trained), the outcome (persons using the training), and the beneficiaries impacted (number of people affected by the conflict).
3. **D: Duration of impact:** Was the impact temporary and how long will it probably last? This is a time-based assessment which will be defined by looking at all the results, and estimating their longevity.

The assessment of **significance of impact** is calculated with the following equation: = **R x E x D**

Relevance (R)	Extent (E)	Duration (D)	Significance

The respective value for each variable is identified through a professional judgment, based on the information and data gathered during the assessment. The ranking of the values varies between **low (1)**, **medium (2)**, and **high (3)**. The rating of significance provides the basis for an estimation of the effectiveness of the project. This is defined as the **gap** between **intended significance** and **actual significance**. A small gap implies the the significant of the impact is high, while a large gap implies the significant of the impact is low.

The **intended significance** is the multiplication of high value (3) of Relevance, Extent of impact, and Duration of Impact, that is;  $R \times E \times D$  or  $3 \times 3 \times 3 = 27$ . The **actual significance** is based on the multiplication of actual values obtained through the impact mapping process. The impact assessment rating of the project was based on professional judgment by the Evaluator.

By relating the impacts back to the programming process, it also allows an appraisal of the overall quality of the Headway project design and implementation.

The result of the Impact Assessments is presented in the table on the next page.

## Results of the Impact Assessment Mapping

Component	Issues identified	Score (1-15)	Influence through the Headway project (Yes/No)	Actual Significance (A)	Intended Significance (I) = (R =3 x E=3 x D= 3 or 27):	Significance of Impact (I-A)
HOUSING UNITS	<ul style="list-style-type: none"> <li>Large increase in population of displaced persons and refugees exert extreme pressure on public institutions to deliver basic services</li> </ul>	8	Yes	<b>Relevance of impact (R): 3 (HIGH)</b> <ul style="list-style-type: none"> <li>Housings were and still relevant. Every one interviewed from beneficiaries to governmental officials express happiness with housing rehabilitation and water connection.</li> <li>Community participation in selection of houses to be rehabilitated is key to social cohesion.</li> </ul> <b>Extent of impact (E): 2 (MEDIUM)</b> <ul style="list-style-type: none"> <li>Rehabilitating houses for both the hosts and IDPs and refugees population eliminates discrimination and prolongs social-cohesion between hosts and IDPs and refugees populations.</li> <li>Safety and better protection for the IDP and the Refugee families.</li> <li>IDPs and refugees will continue to live in the rented houses as long as the hosts respect the agreement that rent should not be raised for 1 year.</li> </ul> <b>Duration of impact (D): 3 (HIGH)</b> <ul style="list-style-type: none"> <li>Houses will continue to provide shelter and protection as long as the IDPs and Refugees live in them.</li> </ul> <b>Actual Significance = R x E x D or 3 x 2 x 2 = 18</b>	27	27-18 =9 (High)
	<ul style="list-style-type: none"> <li>Overwhelming number of IDPs and refugees; existing housing units dilapidated and cannot host extra vulnerable population</li> </ul>	7	Yes			
	<ul style="list-style-type: none"> <li>Conflict between hosts, IDPs and refugee populations is real; clan structures and civil society are not equipped for local conflicts resolution</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>Housing units not connected to regular supply of safe water; vulnerable populations exposed to waterborne diseases</li> </ul>	6	Yes			
	<ul style="list-style-type: none"> <li>Local Governments do not have exclusive mandates over all these issues (services, social cohesion and security, economic, livelihood)</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>Municipalities and Communities continue to bear burden of political, economic, social and security spill overs of the crisis; public infrastructure already fragile before the influx of refugees</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>Sub-national authorities yet to play effective role in guiding response, coordinating and tracking diverse range of interventions being implemented by different partners</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>A significant level of inefficiency and redundancy on the side of government to deliver the much needed aid; and in many cases if done, it is to less vulnerable</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>Central ministries in most cases continue to hold most mandates in the delivery of basic social and economic services and infrastructure, delaying service delivery at the local level.</li> </ul>	5	No/May be advocacy			
WASH	<ul style="list-style-type: none"> <li>Large increase in population of displaced persons and refugees exert extreme pressure on public water resources</li> </ul>	9	Yes	<b>Relevance of impact (R): 3 (HIGH)</b> <ul style="list-style-type: none"> <li>'Water is life' and it was and still relevant. Every one interviewed from beneficiaries to governmental officials express water is the best of the interventions the project implemented.</li> <li>Community participation in WASH infrastructure and housing rehabilitation works is key to unskilled and skills labour development, social cohesion and ownership.</li> </ul> <b>Extent of impact (E): 3 (HIGH)</b> <ul style="list-style-type: none"> <li>Project addressed real recovery needs of vulnerable populations through the upgrade of water network infrastructure to the wider community beyond just the IDP and refugee populations.</li> <li>Direct and indirect beneficiaries have equitable access to sufficient, safe and durable water supply through government bodies responsible to provide water services.</li> </ul>	27	27-18 =9 (High)
	<ul style="list-style-type: none"> <li>Settlements not connected to regular supply of safe water; vulnerable populations exposed to disease risks</li> </ul>	8	Yes			
	<ul style="list-style-type: none"> <li>Conflict between hosts, IDP and refugee populations for water is real; and clan structures and civil society are not equipped for local conflicts resolution</li> </ul>	7	Yes			
	<ul style="list-style-type: none"> <li>Municipalities and Communities continue to bear burden of political, economic, social and security spill overs of the crisis</li> </ul>	6	Yes			
	<ul style="list-style-type: none"> <li>Sub-national authorities yet to play effective role in guiding response, coordinating and tracking diverse range of interventions being implemented by different partners</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>A significant level of inefficiency and redundancy on the side of government to deliver the much needed aid; and in many cases if done, it is to less vulnerable targets</li> </ul>	5	Yes			
	<ul style="list-style-type: none"> <li>Central ministries in most cases continue to hold most mandate in the delivery of basic social and economic services and infrastructure, delaying service delivery at the local level.</li> </ul>	5	No/May be advocacy			



				<p><b>Duration of impact (D): 2 (MEDIUM)</b></p> <ul style="list-style-type: none"> <li>• Medium to long-term sustainability ensured by handing over completed WASH infrastructure projects with a Manual for Water Distribution Systems and Operations and Maintenance Guidelines to respective Water Directorates in target Governorates.</li> <li>• Local Governments have assumed responsibility for the operation and maintenance of the rehabilitated water networks.</li> <li>• Long-term sustainability of water networks may be interrupted as resources to ensure systems operations and maintenance may be limited.</li> </ul> <p><b>Actual Significance = R x E x D or 3 x 3 x 2 = 18</b></p>		
<b>JOB CREATION GRANT SCHEME</b>	<ul style="list-style-type: none"> <li>• Large increase in population of displaced persons and refugees exert extreme pressure on public institutions to deliver basic services</li> <li>• No economic and livelihood opportunities for hosts, IDP and refugee populations</li> <li>• Municipalities and Communities continue to bear burden of political, economic, social and security spill overs of the crisis</li> <li>• Conflict between hosts, IDP and refugee populations for livelihood is real; and clan structures and civil society are not equipped for local conflicts resolution</li> <li>• Currently no private sector participation in the local economy</li> <li>• No available skills to help vulnerable populations to expand their opportunities; no access to employment opportunities, impacting access to food and health</li> <li>• Sub-national authorities yet to play effective role in guiding response, coordinating and tracking diverse range of interventions being implemented by different partners</li> <li>• A significant level of inefficiency and redundancy on the side of government to deliver the much needed aid; and in many cases if done, it is to less vulnerable targets</li> <li>• Central ministries in most cases continue to hold most mandate in the delivery of most basic social and economic services and infrastructure, delaying service delivery at the local level.</li> </ul>	<p>9</p> <p>8</p> <p>7</p> <p>6</p> <p>5</p> <p>5</p> <p>5</p> <p>5</p> <p>5</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>No/May be advocacy</p>	<p><b>Relevance of impact (R): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Vulnerable populations enabled to enter the labor market and increase their monthly income, through training and grants provision. Strong livelihood is key to sustainable development.</li> <li>• Employees of businesses are satisfied with their employment.</li> </ul> <p><b>Extent of impact (E): 3 (HIGH)</b></p> <ul style="list-style-type: none"> <li>• Supported businesses have expanded their operations and/or diversified into new areas.</li> <li>• Employees are earning more income compared to their pre-job period, and are supporting some of the needs of their families.</li> <li>• Employees have also started their own businesses.</li> </ul> <p><b>Duration of impact (D): 2 (MEDIUM)</b></p> <ul style="list-style-type: none"> <li>• Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market forces. However, duration of impact will depend on the recovery of the economy of the Kurdistan Region of Iraq.</li> </ul> <p><b>Actual Significance = R x E x D or 3 x 3 x 2 = 18</b></p>	27	27-18 =9 (High)

## Annex 7. Data analysis plan

Evaluation Criteria	Evaluation Questions	Summary of Notes from Desk review, Consultations, KII, FGD, Impact Mapping Assessment, & On-site Observations & Interpretation
<b>1. Relevance</b> (looks at the extent to which the Headway project strategy, proposed activities and expected outputs and outcomes are justified and respond to beneficiaries' assessed needs, country's policies, and donor's priorities)	1.1. To what extent was the Headway project in line with respective humanitarian, development and reform priorities and policies, country programme's outputs and outcomes, the UNDP and UN-Habitat Strategic Plans and the applicable SDGs?	<p>As mentioned in the project overview, the project addressed the resilience and stabilization needs of the impacted and vulnerable populations through supporting longer term efforts for better systems and capacities for local development. It also facilitated shorter and more immediate results that would help host communities and refugees improve their state of living.<sup>152</sup> Moreover, the project is based on the objectives of the donor-EUTF MADAD: "To address longer-term resilience needs of the Syrian refugees in neighbouring countries, as well as supporting host communities and their administration"<sup>153</sup>, and is aligned to the regional framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019).<sup>154</sup> It also aligned to the Iraq National Priority or Goal: Framework of Government Programme (2014-2018): <b>Priority 1: Working to achieve Iraq's security, stability, and protection of its facilities;</b> and <b>Priority 2: Upgrade living standard and services provision for citizens.</b><sup>155</sup></p> <p>Among the priority needs, the project design focused on attending to two components: WASH Infrastructure and Housing, and the Job Creation Grant Scheme, two key livelihood areas that appeal to the life of vulnerable populations. These are also strategic priorities of the UNDP and UN-Habitat programmes in Iraq, as described in their country programmes and strategic plans: <b>UNDP Country Programme (2020-2024) Output 2.2: Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict,</b><sup>156</sup> and <b>UNDP Strategic Plan (2018-2021) Output 1.1.2: Marginalized groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs.</b><sup>157</sup> It is also in line with <b>UN-Habitat Iraq (2020-2023) Strategic Priority 3: Promoting Effective, Inclusive and Efficient Institutions and Services with focus on; housing solutions, infrastructure, informal settlements law, and support municipal, directorate, governorate and central levels;</b> and <b>Strategic Priority 5 (2020-2023): Strengthened stabilization, development and peace building initiatives support area-based interventions in locations of displacement, return or relocation to enhance the achievement of voluntary, safe and dignified durable solutions for displacement affected populations, with focus on; supporting IDPs in areas of return with core-housing solutions, rehabilitation of infrastructure, vocational training and HLP solutions.</b><sup>158</sup></p> <p>As consultations with key informants at UNDP and UN-Habitat revealed, the project also reflects the strategic priorities of the donor, EUTF MADAD, who is committed to support further the inclusion of communities in crisis within its regional strategy for strengthening resilience among populations who continue to be affected by the Iraqi and Syrian crises.</p> <p>By complementing and integrating into the ongoing EUTF MADAD-funded actions, UNDP and UN-Habitat aimed at strengthening and scaling-up their resilience response to the crisis through a multi-partner and multi-year action for greater effectiveness, accountability and consistency in delivery through their country offices in Iraq.<sup>159</sup> At the global level, the Headway project outcomes contribute to the SDGs priority <b>Goal 1: End poverty in all its forms everywhere;</b> <b>Goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable;</b> and <b>Goal 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels.</b><sup>160</sup></p>
	1.2. To what extent was the Headway project interventions (i.e., the major activities) appropriately designed and executed to meet the needs of target beneficiaries?	<p>The UNDP and UN-Habitat response plan was an example of an overall UN country strategy that recognised the need for hosts, IDPs and refugee populations to restart livelihoods without waiting for large-scale recovery programmes. Its design represents a good attempt to achieve greater coherence that supports national priorities and needs, minimize duplication in interventions, and fosters the added value of applying different capacities and mandates within the two UN agencies and their partners, to achieve collective results.</p> <p>The Headway represents a well-designed project. It is consistent regarding the results chain, baselines, indicators, realistic targets<sup>161</sup>, and in many ways incorporated the human rights-based approach (HRBA) and Leave No One Behind (LNOB), a policy priority of the Agenda 2030 for Sustainable Development.</p>

<sup>152</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.2)

<sup>153</sup> Ibid., p.2.

<sup>154</sup> Ibid., p.2.

<sup>155</sup> National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)

<sup>156</sup> UNDP Country Programme Document (CPD) 2020-2024: <https://www.iq.undp.org/content/iraq/en/home/library/iraq-cpd-2020-2024.html>

<sup>157</sup> UNDP Strategic Plan (2018-2021), Annex 2: Integrated results and resources framework.

<sup>158</sup> UN-Habitat Iraq Programme Overview for Iraq (2020-2023), p.6.

<sup>159</sup> Ibid., p.2.

<sup>160</sup> Headway Project Final Evaluation Terms of Reference. April 2022, p.4

<sup>161</sup> Reference to the Headway project Results Framework for Iraq.

		<p>The theory of change is well articulated, pointing to collaborative work as a mode of drawing different skills and knowledge to design realistic interventions to achieve collective results.</p> <p>In terms of Results-Based Management (RBM), as reflected in the project Results Framework, the project contains a defined results chain consisting of two types of results: Outputs (6) and Outcomes (3), with distinct sets of baselines, targets and performance indicators. The targets are annualized, that is, for each of year 2019, 2020, and 2021. Setting targets on annual basis allows the project managers and partners to take corrective actions sooner than if targets were set for the entire life of the project.</p> <p>There are 22 indicators<sup>162</sup>, which have been framed based on the RBM principles, and are all quantitative indicators. Adding qualitative indicators would have enhanced the project's ability to measure "impact" and "sustainability" that largely rely on satisfaction and perceptions of changes in social and economic conditions of the beneficiaries. However, desk review revealed that beneficiary satisfaction and perceptions of the project effects and impact were conducted during project implementation, employing Focus Group Discussions (FGD). But, the results were not linked to any qualitative indicators.</p> <p>The project design demonstrated fostering partnerships even at the local levels. It aimed at working with clan structures and civil society on reducing conflicts and to prevent violence. Drawing and building on local knowledge and skills in resilience building created a level of recognition that local capacities do exist for resolving conflicts and preventing violence. By including local knowledge in resilience building, the project design demonstrated inclusiveness and 'exit strategy', meant to foster social, political, and institutional sustainability for continued resilience building and prevention of potential conflicts during project implementation and beyond.</p> <p>Moreover, by including the private sector (micro small, and medium enterprises - MSMEs) as active stakeholders in the project design, the project demonstrated determination to grow local economies to generate employment opportunities for the hosts, IDPs and refugee populations.<sup>163</sup> Further, by designing interventions, such as community WASH infrastructure and housing units rehabilitation, that bring communities to work together, the project indirectly contributed to peaceful co-existence and strengthened relationships and partnerships with local authorities, fostered acquisition of new skills and knowledge that empowers hosts, IDPs and refugees populations to expand their opportunities and choices at stable later stages in life.</p> <p>Bringing on board the government partners at the design phase, not only increased transparency, but too increased the potential for ownership of the project outputs and stronger partnerships for future such initiatives. Similarly, since they play a key role as conveners of local problem-solving, including issues to do with IDPs and refugees, and recovery planning, the local governments had a direct contribution to the social peace noted, and as well strengthened the social contract among the conflict affected populations.</p> <p>The project design and implementation benefited from a policy that allowed free movement in and out of the camps and facilitation of work permits that allow refugees to freely pursue employment opportunities outside the camps.<sup>164</sup> Although these free movements were not part of the project resilience strategy, they facilitated resilience building amongst the hosts, IDPs and refugee populations.<sup>165</sup> Desk review revealed that surveys conducted in four camps showed that both hosts and refugee communities benefited from this conducive policy environment; 32% of people aged 16-59 got employed, 57% were men and 6% women.<sup>166</sup> The low employment rate for women (6%), to a great extent, pointed to the need to micro-target (reaching those farthest behind first), as progress reports show more women participated in enterprises during the project implementation.<sup>167</sup> The evidence, further revealed that the quality of the project design led to reaching more women and youth in the camps and host communities with economic and other project empowerment initiatives.<sup>168</sup></p> <p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>
	1.3. Assess the level of relevant stakeholders' participation in the Headway project (design, implementation and monitoring and ownership).	<p>Desk review and key informants revealed that the identification and formulation of the project has been done in consultations with a wide diversity of stakeholders, including the Federal Government of Iraq and the Kurdistan Regional Government (KRG), the target governorates and municipalities, private sector, civil society, and EU TF.<sup>169</sup></p>

<sup>162</sup> Ibid.

<sup>163</sup> Key informants

<sup>164</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<sup>165</sup> Key informants

<sup>166</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<sup>167</sup> Refer to disaggregated data reported under key results areas in the progress reports for Iraq: 2019, 2020 & 2021

<sup>168</sup> Ibid

<sup>169</sup> Ibid., p.9

		<p>Further, both desk review and key informants revealed that Governors of the targeted Governorates were briefed at the inception phase on the project strategic objectives, output and activities. This guaranteed the political support needed throughout implementation. Moreover, seeking endorsement from Governors for the damaged houses to be rehabilitated in their respective governorates further strengthened the community engagement.</p> <p>Even after engaging with key project partners at the design phase, the project continued to engage with the stakeholders during implementation. This too ensured the most vulnerable households are targeted with interventions first. This is demonstrated in the vulnerability assessment conducted at the project start in early 2019 that ensured the most critically vulnerable households were prioritized based on socio-economic criteria of: living below the official poverty line (Iraqi Dinar, IQD 100), number of persons within the household, and status of employment.<sup>170</sup> This also ensured resources go to support those in most need.</p> <p>On the other hand, PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p> <p>The project is jointly monitored at the policy and programme levels through the Steering Committee (SC), whose members are drawn from the donor (EU), UNDP, UN-Habitat, and the Government. At the project level, monitoring was done through joint field missions and in-person and online meetings and discussions with implementing partners, and joint quarterly and annual progress reports.<sup>171</sup> These approaches demonstrate the inclusiveness of the project monitoring system in assessing progress, and in identifying weaknesses and addressing them as project implementation progressed.</p> <p>The project also engaged with stakeholders in its monitoring and evaluation mechanism, by conducting regular meetings and satisfaction and perception surveys with beneficiaries, and sharing reports with the donor - EU TF. This practice demonstrated the project's intent to be inclusive, and increase learning from the project implementation. The engagement was evident in the reports reviewed by the donor- EU TF and feedback provided on all annual reports produced in the last 3 years of the project implementation<sup>172</sup>. By involving the beneficiaries in the annual performance reviews, the project demonstrated transparency, inclusiveness, and accountability to the affected populations (AAP).<sup>173</sup> This is a commendable practice, as desk review of the annual reports of 2019, 2020 and 2021, revealed significant progress in result-based reporting in the subsequent years of the project implementation.<sup>174</sup></p> <p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>
	1.4. To what extent was the Headway project appropriately responsive to security, political, economic, institutional, and other changes in Iraq? To what extent did the Headway project contribute to the human rights-based approach, gender equality and women's empowerment?	<p>Desk review and key informant interviews revealed that the project faced disruptions in implementation caused by the <b>political and security</b> situation in Iraq in 2021. In particular, the parliamentary elections of October 2021 delayed implementation of the last Activity of UNDP (Building Resilience component) due to the strict security rules that accompanied these elections and, the holidays put in place to allow the population to go to the polling places. Despite the delays, constant communication and meetings with Government officials led to the agreement that the project continues providing services. Subsequently, the project was able to complete the Activity by 31 December 2021. Desk review also revealed that in the project risk monitoring log, key assumptions and security risks were identified, and close monitoring of political developments in Iraq, and security situation in locations at the border with Syria were on-going, to protect partners delivering the project services in those locations.<sup>175</sup></p> <p>With the continuing conflict in Syria, and the influx of refugees to the KRI, it becomes challenging to provide adequate <b>socio-economic services</b>, such as housing, public services, and jobs to both hosts and refugees populations. Both desk review and interviews with key informants, revealed that the economy of the KRI that kept the Syrian refugees in Iraq employed since 2011 has severely shrunk since 2014 when funding from the Federal Government of Iraq to KRG stopped. Key informant interviews further revealed that since 2014, the Federal Government is only allocating budget to KRG for salaries, and not for delivery of public services. The evaluation finds that the Headway interventions (WASH infrastructure and Rehabilitation of housing units and Job Creation Grant Scheme) has also helped to fill these gaps in public services provision, especially to the hosts, IDPs and refugees populations.</p> <p>From the <b>institutional</b> perspective, the change of leadership and key staff in certain governorates, especially, in Dohuk, Governorate resulted in delays in the house rehabilitation works and the handover of completed works to the relevant municipalities and water directorates. However, with regular communication and meetings with governorate officials, these challenges were addressed, and UN-Habitat was able to smoothly handover the completed works.</p> <p>Further, as revealed from desk reviews and by key informant, the emergence and rapid spread of <b>COVID-19</b> across the Kurdistan Region of Iraq (KRI) during the months of July and August 2020 had a negative impact on the completion of project activities as were originally planned.<sup>176</sup> In particular, with the indoor</p>

<sup>170</sup> Refer to key results areas under outcome 3 in the progress report for Iraq: Jan-December, 2021

<sup>171</sup> Refer to project MADAD Steering Committee Work plan and M&E plan

<sup>172</sup> Refers to Headway progress reports of 2019, 2020 and 2021

<sup>173</sup> Accountability to affected population. <http://www.iom.int>AAP>

<sup>174</sup> Refers to Headway progress reports of 2019, 2020 and 2021

<sup>175</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)

<sup>176</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

		<p>nature of house rehabilitation activities, the high number of family members in each household and the high likelihood of virus transmission between beneficiary families and the local contractor's team members, caused the project to put on hold the house rehabilitation works across KRI, to ensure the safety of all parties involved. However, over time, the project adapted to the crisis and allowed work to continue. This included adherence to social distancing between persons, reinforced hygiene measures, and making all possible efforts such as use of 'zoom' and 'WhatsApp' to keep the project stakeholders engaged. Subsequently, the project was able to complete all its activities by 31st December 2021.</p>
	<p>1.5. Assess the coherence of the Headway project design in relation to the issues to be solved, considering the emergence of COVID-19 pandemic, and resulting changes in the Headway project environment since the initial design.</p>	<p>The project was designed in response to the massive influx of refugees into Iraq from Syria, and IDPs in Iraq due to ISIS occupation in Mosul in October 2016.<sup>177</sup> A large proportion of the displaced persons are women, girls, and boys. Its design and the activities identified for implementation, demonstrated key elements of the human rights-based approach (HRBA), which are; <b>Respect, Protect, Provide, and Fulfil the rights of the right holders</b> to claim their rights to basic services (housing, water, jobs, health, training and information, and participation).</p> <p>These key human rights elements are reflected in the project design, with both '<i>right holders</i>' (hosts, IDPs, and refugee populations) presenting their priorities to be addressed, and '<i>duty bearers</i>' (EU TF, UNDP, UN-Habitat, NGOs, private sector, Gol and KRI and its governorates and municipalities) responding to these priorities. Moreover, in terms of expertise, budget allocations, and duration of intervention, the greater focus was on the '<i>right holders</i>'. This is justified given the priorities identified and described in the project document and confirmed by interviewed stakeholders, are reasons for the design of the project.</p> <p>The project design also demonstrated UNDP and UN-Habitat's commitment to key International Human Rights Treaty in article 2: "<i>Everyone is entitled to the rights and freedom set forth, without distinction of any kind, such as race, colour, sex, language, religion, political, or other opinion, national or social origin, property, birth or other status</i>".<sup>178</sup> Further, the project delivery methods, targeting the most vulnerable hosts, IDPs, and refugee populations, demonstrated clear sensitivity to "<i>Reaching the Furthest Behind First</i>".<sup>179</sup></p> <p>The project design included a range of actions tailored to both the '<i>right holders</i>' and '<i>duty bearers</i>', such as job creation grant schemes; WASH infrastructure and Rehabilitation of housing units, and training and information, tailored to the hosts, IDPs and refugee populations. While capacity development, planning workshops and training; basic services delivery, knowledge sharing, remote consultations, and monitoring actions, were tailored to the Gol/KRG and its target governorates and municipalities, and NGOs, to better provide services to the <i>rights holders</i>. Analysis of the planned interventions lead to the overall conclusion that the type of actions planned for achievement were relevant, and in congruent with the needs of the '<i>right holders</i>'.</p> <p>In as far as cross-cutting issues of gender equality and women's empowerment are concerned, desk review revealed that the project was designed from a gender lens, and promotes gender-responsive implementation, and monitoring and evaluation. An example is seen in the indicator: "<i>No of officials from local government staff trained on Municipal Finance, including subjects such as budgeting, revenue collection, and transparency and gender sensitive budgeting (sex disaggregated)</i>".<sup>180</sup> Further, gender-disaggregated data (women, men, youth) reflected in progress reports, is evidence of the project's intention to contribute to the SDG 2030 policy priority: '<i>Leave No One Behind</i>' (LNOB).</p>
<p><b>2. Coherence</b> (looks at the extent to which other interventions, particularly, policies support or undermine the intervention)</p>	<p>2.1. To what extent has the project complemented work among different entities, including development partners and civil society, with similar interventions?</p>	<p>The Headway project focused on Job Creation, implemented by UNDP; and WASH infrastructure and Rehabilitation of housing units, implemented by UN-Habitat in Iraq. Desk review revealed that UNDP and UN-Habitat in Iraq have operated in the context of the Syrian crisis (i.e. 3RP<sup>181</sup>) since 2015, and both agencies have been at the forefront of new initiatives, working with local, national and international partners and actors and across the UN system in Iraq.<sup>182</sup></p> <p>In terms of complementarity, both desk review and key informants revealed that the Headway project built on the ongoing activities under the Local Area Development Programme (LADP II), being implemented by UNDP and UN-Habitat in the three Governorates of Dohuk, Erbil, and Ninewa.<sup>183</sup> LADP II aims at strengthening good governance and capacity to cope with the IDPs and refugees crisis. In addition, desk review revealed that major activities of LADP II such as capacity development in provincial strategic, development, response and sectoral planning, provided the foundation for kick-starting the Headway project in the three Governorates<sup>184</sup>. Because the LADP II focused on building policy and strategies, and aligning Governorates plans with national development priorities and goals of the Federal Government of Iraq and the Kurdistan Ministry of Planning,<sup>185</sup> the Headway did not have to invest in these foundational activities completed by LADP II. This allowed the Headway project to invest most resources at the local level, on addressing the priority needs of the host communities, IDPs and refugees - functionality of WASH infrastructure and Rehabilitation of Housing Units and shelter, and Job Creation.</p>

<sup>177</sup> Ibid., p.5

<sup>178</sup> Office of the United Nations High Commissioner for Human Rights. The Core International Human Rights Treaties. UNITED NATIONS, New York and Geneva, 2006.

<sup>179</sup> <https://www.un.org/sustainable>

<sup>180</sup> EU TF MADAD 1<sup>st</sup> Annual Report 2019, p.31

<sup>181</sup> The 3RP is the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019). It responds to the "3RP Resilience and Stabilisation Component", specifically its Livelihood/Social Cohesion sector.

<sup>182</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>183</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>184</sup> Ibid., p.11

<sup>185</sup> Ibid., p.11

		<p>Further, to ensure coordination and avoid duplication of activities under the same thematic area, and in the same geographical location, both desk review and key informant interviews revealed that UNDP takes an active role in the Inter-Agency coordination mechanisms within the 3RP<sup>186</sup>, i.e., through the UNDP-UNHCR 3RP Secretariat, and through its ongoing partnerships with other humanitarian actors. It is also the co-lead of the livelihood sector working group under the 3RP country plans in Iraq. Through these coordination platforms, UNDP and UN-Habitat ensured that issues addressed by the Headway project were not leading to duplication across the UN system, and with other non-UN actors. Moreover, by avoiding duplication, UNDP and UN-Habitat ensured the best use of resources.</p> <p>Moreover, desk review revealed that UNDP and UN-Habitat deliberately shared information about the project design with other UN entities through the platform of the United Nations Country Team (UNCT), as well as with international and national NGOs, through the National Coordination Committee platform. Further, both desk review and key informants revealed that both UNDP and UN-Habitat maintained regular coordination with the EU Delegation in Iraq.<sup>187</sup> Key informants interviews also revealed that these coordination mechanisms were not only utilized during the design phase of the project, but also continued to be utilised during project implementation, and ensured complementarity of the Headway project's actions with those of other actors.</p>
	2.2. What is the quality and extent of coordination with other national/sub-national programmes/initiatives conducive for the achievement of the project's objectives?	<p>Desk review revealed that the day-to-day implementation of the Headway project was to be carried out by the respective UNDP and UN-Habitat country offices. Interviews with key informants confirmed that this was the case, with UNDP and UN-Habitat using their comparative advantages to support the local government's coordination role in the three Governorates of Dohuk, Erbil and Ninewa.</p> <p>The humanitarian community recognized UNDP and UN-Habitat as team players, who provided significant support to the coordinated government-led response and inter-agency initiatives, with partners working together as a team. The effectiveness of coordination with implementing partners and project component members correlated with the effectiveness of each Governorate/Municipality's internal coordination. As described earlier under <b>relevance</b> in sub-section 6.1.4, some of the targeted municipalities still face challenges of low staffing and lack of administrative structures to support the coordination efforts. Desk review and key informants revealed that the project actions were, thus, focused on improving the institutional capacity of those local authorities. For example, because UN-Habitat hands over completed works as implementation goes on, 25 technical staff and engineers (7 female and 18 male) from Erbil, Dohuk and Sinjar, were trained on the operations and maintenance of water networks before handing over the completed water networks to the targeted municipalities.</p> <p>For the case of UNDP, in particular, a combination of UNDP's leading role in multiple coordination mechanisms, its wide geographical coverage and strong operational capacity and, its total fund requirement for the response translated into UNDP's strong influence on the overall crisis response. Since UNDP, in particular, viewed itself as a part of a collective effort, there were a number of examples where the agency used its comparative advantage to benefit the wider humanitarian community (e.g. leadership role in the UNCT, peace building, crisis response, stabilisation work, and capacity building). As reported by a key informant, these multiple UNDP roles allowed it to draw national/sub-national support for achievement of the project objectives. Agencies, such as UN-Habitat that worked with UNDP in this project, also applauded the inter-agency teamwork that contributed to the success of the Headway project.</p>
	2.3. To what extent do other or similar interventions or policies support or undermine the project?	<p>UNDP and UN-Habitat programmes in Iraq commit to ensuring policy coherence for development in their interventions.<sup>188</sup> Other than the Headway project, both desk review and key informant interviews revealed that UNDP and UN-Habitat work on wider aspects of development that includes climate change, economic reform, urban planning, governance, strategic, development, response and sectoral planning.</p> <p>In terms of <b>internal coherence</b>, the project interventions were supported by other UNDP and UN-Habitat interventions in Iraq. As described earlier under <b>relevance</b> in sub-section 6.2.1, the LADP II being implemented by UNDP and UN-Habitat, supported capacity development in provincial strategic, development, response and sectoral planning in the three Governorates of Dohuk, Erbil, and Ninewa.<sup>189</sup> Again, as described earlier under <b>relevance</b> in sub-section 6.2.1, the LADP II interventions provided the foundation for a quick start of the Headway project. Because the LADP II planned to achieve its objective through top-down policy-and strategic-level interventions, the Headway project took a bottom-up approach, targeting and engaging with specific municipalities,<sup>190</sup> which contributed to complementing the interventions under LADP II rather than hampering.<sup>191</sup></p>

<sup>186</sup> The 3RP is the framework of the Regional Refugee and Resilience Plan (3RP, 2018-2019). It responds to the "3RP Resilience and Stabilisation Component", specifically its Livelihood/Social Cohesion sector

<sup>187</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.12)

<sup>188</sup> The Country Programmes of UNDP and UN-Habitat in Iraq align with the relevant policy and strategic documents of Iraq, and UN agencies actions are guided by these frameworks.

<sup>189</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>190</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.11)

<sup>191</sup> Ibid., p.11

		<p>The evaluation also looked at <b>external coherence</b> of the Headway with other policies related to development cooperation in Iraq, including Italy, Norway<sup>192</sup>, Denmark, The Netherlands<sup>193</sup>, France and Sweden (SIDA).<sup>194</sup> Based on desk review and key informant interviews, the evaluation finds that SIDA, Norway, Italian, Danish, and French initiatives also supported the Regional Refugee and Resilience Plan (3RP) on protection as well as livelihoods, water, and empowerment and recovery support for Syrian refugees, IDPs and affected host communities in Iraq.<sup>195</sup> For example, to avoid duplication with other WASH active actors who have done similar training in the KRI, UN-Habitat consulted with UNICEF and the Danish Refugee Council (DRC), who had experience conducting WASH capacity building trainings in the KRI. UN-Habitat also coordinated the planned training with VNG International (VNGI) of the Netherlands, who had previously implemented WASH capacity building components under the EU MADAD-funded Programme: 'Masar for Local Governments in Iraq',<sup>196</sup> to conduct WASH training for its WASH implementing partners. Thus, this evaluation finds that UNDP and UN-Habitat leveraged the support of interventions implemented by other UN and other international actors in support of the implementation of the Headway project.</p>
	2.4. To what extent were the project design and delivery coherent with international obligations?	<p>UNDP and UN-Habitat played key roles in inter-agency assessments, which helped ensure that their responses to the IDPs and refugee crisis were aligned with priority needs in all the three Governorates of Dohuk, Erbil and Ninewa. Both desk review and key informants revealed that the prioritization of the crisis response by the two UN agencies was participatory and appropriate and helped to maximise the humanitarian principle of "Do No Harm". Thus, avoided exposing the target population groups to additional risks through the project actions.</p> <p>Further, key informant interviews with government counterparts revealed that UNDP and UN-Habitat response strategies were designed to support the Government of Iraq's lead role, and there was widespread appreciation by the governorates and municipalities at that level, of UNDP and UN-Habitat support. In common with other humanitarian response, UNDP and UN-Habitat's strategies through the two project components (WASH infrastructure and renovation of housing units, and Job Creation Grant Scheme) concentrated on the most vulnerable hosts, IDPs and refugee populations, and in the most crisis-affected Governorates of Dohuk, Erbil and Ninewa.</p> <p>The project delivery modality, therefore, demonstrated EU, UNDP and UN-Habitat's commitment to the 2030 Agenda for Sustainable Development: "<i>Reaching the Furthest Behind First</i>."<sup>197</sup> Similarly, by EU, UNDP and UN-Habitat focusing on the most vulnerable families with job creation grant scheme, WASH infrastructure and Rehabilitation of housing units, they were contributing to: <b>SDG 1: End poverty in all its forms everywhere</b>"; <b>SDG 11: Make cities and human settlements inclusive, safe, resilient, and sustainable</b>"; and <b>SDG 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable, and inclusive institutions at all levels</b>.</p>
3. Effectiveness (looks at the extent to which the planned objectives and results were achieved, including the factors that contributed to or detracted its achievement)	3.1. Assess whether the planned results were delivered by each component, and if they contributed to achieving the overall purpose of the Headway project.	<p>Performance varied by component, with full achievements in all the components: WASH infrastructure and rehabilitation of housing units and Job Creation Grant. Effective partnerships contributed to the success of the response, including the effective response to COVID-19. The immediate allocation from both UNDP and UN-Habitat reserve funds helped kick-start the response to the IDPs and refugee crisis. While the leadership of senior management from both agencies facilitated strategic decision-making. The government can potentially mainstream some of the intervention elements and replicate them in future responses. Notable among these are co-opting of the GIS and SEVAT tools, which should help address data and assessment gaps during future emergencies.</p> <p><b>REHABILITATION OF HOUSING UNITS</b></p> <p>The REHABILITATION OF HOUSES component achieved all its targets for construction of housing units. In total, rehabilitation of 976 houses were completed and handed over to the beneficiary hosts, IDPs and refugees populations in Ninewa and Dohuk Governorates. The close working collaboration with technical staff of the respective governorates, municipalities, water directorates and neighbourhood communities in Erbil, Duhok, Sumel, and Sinjar, contributed to the success.</p> <p>The housing units supported partner municipalities' efforts to build social cohesion among the host, IDP and refugees populations.<sup>198</sup> However, a complication to the housing project was the decision by the Iraqi Government to close some of the camps and informal settlements in various locations across Iraq in 2021. This negatively impacted the capacity of the municipalities and other service providers to provide housing units to the IDPs returning to their home locations. As a result of this government action, the number of IDPs wishing to return to their original cities once their war-damaged houses are rehabilitated increased dramatically, especially in the cities of Sinjar and Mosul in Ninewa Governorate. Desk review and key informants revealed that the project was only able to rehabilitate 352 houses belonging to IDPs.<sup>199</sup></p>

<sup>192</sup> Norway support through the Norwegian Refugee Council (NRC) reaches IDPs and refugees in areas with high levels of severe needs in Dohuk and Ninewa Governorates. Source: OCHA Global Humanitarian Overview, 2022

<sup>193</sup> UN-Habitat collaborated with the International Cooperation Agency of the Association of Netherlands Municipalities (VNGI) in SEVAT surveys, and training municipal technical staff in WASH.

<sup>194</sup> SIDA support to the Iraqi crisis goes toward shelter, health care, and water; and durable solutions such as livelihood support and vocational training in Dohuk and Ninewa Governorates. Source: OCHA Global Humanitarian Overview, 2022.

<sup>195</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.12)

<sup>196</sup> Refer to UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience progress report 2020, section VII, partnership and sustainability.

<sup>197</sup> <https://www.un.org/sustainable>

<sup>198</sup> UNDP/UN-Habitat Headway Progress Report, p.13

<sup>199</sup> Ibid



		<p>Objective 1 was contributed to by two project outputs: <b>Output 1.1:</b> <i>Improved and updated knowledge of vulnerabilities and risks</i>; and <b>Output 1.2:</b> <i>Strengthened local capacity to prioritize resilience building interventions</i>.</p> <p>The analysis of the achievements of the project outputs under this objective, revealed that the output indicator in Output 1.1 is fully achieved (100%). Similarly, the output indicator in Output 1.2 is also fully achieved (100%). Efficiency and effectiveness were influenced by COVID-19 and to a lesser extent, delays in procurement, which resulted in delayed and fast-tracking of activities. Nonetheless, all activities were completed well before the project end date.</p> <p>The main contributing factors for achievements of the project outputs are; a) close collaboration with the technical staff of the respective governorates and municipalities that led to completion of all activities pertaining to the two outputs as of 31 December 2021, and b) the quick response to COVID-19 pandemic through the delivery of the needed PPE and other emergency supplies to partner municipalities in the Governorates of Erbil, Dohuk and Ninewa. This allowed continuation of services provision to the host, IDPs and refugee populations, safely.<sup>200</sup></p> <p><b>Strategic Objective 2:</b> <i>To improve service delivery through increased responsiveness and greater social stability outcomes, based on the needs of host, refugee and IDP populations.</i></p> <p><b>WASH</b></p> <p>The WASH component met or exceeded its targets. In total, all 5 WASH community infrastructure projects were completed and handed over to respective Water Directorates in Erbil, Dohuk, and Ninewa, who assumed responsibility for the operation and maintenance of the rehabilitated water network.<sup>201</sup></p> <p>A major contributing factor to the overall success of the WASH component was the clear intervention criteria set up regionally that applied. Good preparation and bringing the Governorates authorities and other partners on board early in the project design were major contributing factors to an effective response and ownership. Effective partnership with the technical staff of the respective governorates, municipalities, water directorates and neighbourhood communities in Erbil, Dohuk, Sumel, and Sinjar; implementing partners and the private-sector contractors, not just during implementation, but also in joint preparation prior to implementation, was also instrumental to the success. Moreover, the enhanced capacity of municipalities and Water Directorate to deliver services to their respective host, IDPs and refugees populations in the 5 target cities, was also instrumental for the success.<sup>202</sup></p> <p>With the rehabilitated water networks, beneficiary populations have equitable access to sufficient, safe and durable water supply.<sup>203</sup> In addition, 6,565 working days in WASH activities in 2021 of skilled and un-skilled workers were created in the 5 target cities.</p> <p>Objective 2 was contributed to by two project outputs: <b>Output 2.1:</b> <i>Improved access of host communities, IDPs and refugees to basic municipal services and social, public, and economic infrastructure</i>; and <b>Output 2.2:</b> <i>Adequate housing is made available for low-middle income host community, IDPs and vulnerable refugee households</i>.</p> <p>The analysis of the achievements of the project outputs under this objective, revealed that 80% (4/5) of the output indicators in Output 2.1 are over-achieved, and 20% (1/5) fully achieved. 67% (2/3) of the output indicators in Output 2.2 are over-achieved, and 33% (1/3) fully achieved.</p> <p>The main contributing factors for over-achievements of the project outputs are; a) innovative partnerships with private-sector that helped to drive results and ensured water purification products were available to enforce consumer safety; b) close collaboration with the technical staff of the respective Water Directorates and municipalities that led to completion of all activities pertaining to the WASH projects outputs, and b) the quick response to address the impact of COVID-19 pandemic through the delivery of the needed PPE to partner municipalities across the Governorates of Erbil, Dohuk and Ninewa, enabled the municipalities to continue to provide services to the vulnerable populations.<sup>204</sup></p> <p><b>Strategic Objective 3:</b> <i>To empower subnational authorities to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.</i></p>
--	--	---

<sup>200</sup> UNDP/UN-Habitat Headway Progress Reports, 2021, p.13

<sup>201</sup> Ibid

<sup>202</sup> Ibid

<sup>203</sup> Ibid

<sup>204</sup> UNDP/UN-Habitat Headway Progress Report, 2021, p.13

		<p><b>JOB CREATION GRANT SCHEME</b></p> <p>The JOB CREATION GRANT SCHEME (GS) component met or exceeded all its targets. In total, all 9 output targets were achieved. The Job Creation Grant enabled beneficiaries to increase their incomes. In total, 700 persons were provided with employment and apprenticeship (first-time employment) throughout the Grant Scheme. A desk review of the report on beneficiaries' perception of the Job Creation Grant Scheme revealed that in 300 out of 700 beneficiaries surveyed, an additional US\$ 78.31/monthly income per household was realized, and 27% of the beneficiary participants achieved an increase of US\$ 200/month or more compared to their pre-Job Creation Grant scheme.<sup>205</sup></p> <p>The main contributing factor is that the project enabled Refugees and IDPs to enter the labour market and increase their monthly income through: (i) the Job Creation Grant Scheme which offered tangible work experience to the unemployed and those who had never worked before, enabling them to gain increased work experience that would eventually lead to further employment; (ii) the Missing Entrepreneurship (ME) Component which developed beneficiaries skills in business plans to increase their chances of implementing a sound income-generating project that was more likely to be sustainable and therefore increase their monthly income in the long term; and (iii) the Building Resilience Component which provided vocational training to participants to acquire new skills that enabled them to enter the labour market in sectors that previously closed them out, thus increasing their chances of generating income.<sup>206</sup></p> <p>Objective 3 was contributed to by two project outputs: <b>Output 3.1: Improved knowledge of labour market</b> and <b>Output 3.2: Self-reliance of refugees, IDPs and vulnerable host communities are increased through job creation</b>. The analysis of the achievements of the project under Output 3.1 revealed that 100% (2/2) of the project Outputs are achieved, as follows: 1 output indicator target is fully achieved (100%); and 1 output indicator target is over-achieved (112%).</p> <p>Analysis of the achievements of the project under Output 3.2 revealed that 100% (7/7) of the project output indicators are achieved, as follows: 3 output indicator targets are fully achieved (43%), and 4 output indicator targets are over-achieved (57%)</p>
	3.2. To what extent did the Headway's project activities lead to improved coordination, cooperation, and capacity at the regional, national and sub-national levels?	<p>At UNDP and UN-Habitat country offices level, key informant interviews revealed that the project teams communicated systematically and cooperated closely with the Country Office in Baghdad and Erbil Office in KRI. These coordination and cooperation were enhanced through participation in all the phases of work plan development and budgeting, implementation of project activities, reporting, and reviews. Similarly, at the national level, the coordination was done through the Steering Committee (SC) and joint technical meetings between UNDP and UN-Habitat senior Programme Managers and senior GoI officials at the respective Ministries involved in the implementation of the project. This coordination efforts led to the signing of a "Charter of Principles"<sup>207</sup> that guided partner's commitment to delivering results and being accountable to the affected population.</p> <p>UNDP was the lead UN agency in this response. The Donor (EU), UN-Habitat, Government officials and the project implementing partners saw UNDP as a team player that provided significant support to the coordinated government-led response efforts. The effectiveness of this coordination with project partners was ensured through this leadership, and demonstrated in the achievement of all the output targets by the project end date of 31 December 2021.</p> <p>At the regional level, the Project Core Team (PCT)<sup>208</sup> that was hosted at the offices of the Directorate General of Municipalities (DGM). The PCT was the outreach arm of the UNDP and UN-Habitat technical and coordination efforts with implementing partners at the municipal and the governorates levels. Desk review and key informant interviews revealed that the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>209</sup> The evidence of the cooperation between UNDP and UN-Habitat and GoI/KRI at the sub-regional level is revealed in co-funding mechanism in staff time, office space and community mobilisation.</p> <p>In terms of capacity building, desk review and key informants interviews revealed that the PCT was the overall driver of the interventions at the municipality levels, and worked closely with the Technical Unit established at the DGM, including developing the capacity of the Technical Unit staff. As revealed during key informant interviews with municipalities technical teams, those capacity development actions and briefing meetings strengthened the partnerships between the Governorates and Municipalities and UNDP and UN-Habitat at the regional and national levels. Not only did they positively influence the achievement of all the output targets, but also improved the visibility and the project response efforts.</p>
	3.3. Comment on how the Headway project supported governments to address the challenge.	<p>The project's support to capacity building of the government sectors have not only positively influenced the achievement of the output targets, but also added value to their management capacities.</p>

<sup>205</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2021.

<sup>206</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2021, p.14

<sup>207</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>208</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/ Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM). Headway project Document 14 December 2018, p.42)

<sup>209</sup> Ibid

		<p>The project developed the capacity of the Governorate and Municipalities in more accurate data collection on vulnerabilities. Key informant interviews with partners revealed that the GIS and SEVAT improved access to strategic information, and helped in micro-targeting the critically vulnerable individuals or families in the community. The increased capacity of Governorates and Municipalities to conduct GIS and surveys and collect accurate data for proper planning is one of the effective results of the project capacity development support to government. As reported by key informants at the Governorate and Municipal levels, as well as the field engineers that the project had employed, there were appreciation of the capacity development efforts of the various kinds.</p> <p>To promote sustainability in water network in the municipalities, the project trained 25 technical staff and engineers (7 female and 18 male) from the Water Directorates and municipalities of Erbil, Dohuk, Sinjar, Sumel and Mosul, on the effective maintenance and operation of the water networks. A 'Manual for Water Distribution Systems and Operations and Maintenance Guidelines' was developed as part of this capacity-building initiative and the trainees were requested to further disseminate this manual among their colleagues in the relevant directorates in the targeted municipalities to maximize knowledge sharing.</p>
	3.4. To what extent did the Headway's project activities and management systems mitigate, and address needs, expectations and protection concerns of targeted populations (underserved host community, returnees, refugees etc.) in the targeted areas?	<p>The project had three major results as described earlier in sub-section 6.3.1. Each result area included activities for assessment of the households to identify the most vulnerable households for support. In reaching the most vulnerable groups, the project used GIS and SEVAT tools in identifying the most vulnerable hosts, IDPs and refugee families. By using the GIS and SEVAT tools that included the involvement of the target populations in the selection process, the project demonstrated its ability to be transparent and "Reaching Those Furthest Behind First".</p> <p>However, as described earlier under <b>relevance</b> in subsection 6.1.6, the emergence of and rapid spread of COVID-19 across the Kurdistan Region of Iraq (KRI) contributed to delayed completion of project activities as were originally planned.<sup>210</sup> But the project adapted to the crisis and allowed work to continue by including obligations to keep social distance between beneficiaries, reinforced hygiene measures, and transformation to on-line training and meetings. Thus, the project was able to mitigate the negative impacts of the virus and continue to provide services to the targeted population.</p>
	3.5. What were the external factors, barriers and bottlenecks that may have influenced the achievement or non-achievement of the Headway project objectives and results? Comment on how they were mitigated or can be mitigated in future?	<p>As described earlier under <b>relevance</b> in sub-section 6.1.4, the project faced disruptions in implementation caused by the <b>political</b> and <b>security</b> situation during the Iraqi parliamentary elections of October 2021. This delayed implementation of the last Activity under the Building Resilience component under UNDP. But the project was able complete this Activity by 31 December 2021.<sup>211</sup></p> <p>Similarly, as described earlier under <b>relevance</b> in sub-section 6.1.4, the change of leadership and key staff in certain governorates, such as Dohuk, resulted in delays in the house rehabilitation works and the handover of completed works to the relevant municipalities and water directorates. However, with regular communication and meetings with governorate officials, these challenges were addressed, and smooth handover the completed works was done.</p> <p>In addition, as described earlier under <b>relevance</b> in sub-section 6.1.4, the emergence and rapid spread of <b>COVID-19</b> across the Kurdistan Region of Iraq (KRI) in mid-2020 constrained the completion of project activities as originally planned.<sup>212</sup> But, the project adapted to the crisis and allowed work to continue, by enforcing adherence to social distancing, reinforcing hygiene measures, and use of on-line platforms (zoom' and WhatsApp) to keep the project stakeholders engaged. As a result, the project was able to complete all its activities by 31st December 2021.</p>
	3.6. Assess the degree of stakeholders' participation in Headway project interventions and mainstreaming of gender issues in the Headway project.	<p>Desk review and key informant interviews revealed that relevant stakeholders' participated in the project interventions. The key stakeholders in the project intervention are; youth (female and male), women, men, NGOs, CSOs, private sector, and local authorities (Governorates and Municipalities). PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p> <p>In regards to participation of <b>Local authorities, NGOs and youth</b>, desk review revealed that the Responsible Party (RP) for the Job Grant Scheme which was composed of job placement and Missing Entrepreneurship Component, engaged the youth and businesses in the project. The RP is an <b>Erbil Governorate Joint Crises Center (EJCC)</b> initiative in consortium with the Rwanda Foundation, an <b>NGO</b> specialized in employment-generation activities for youth. As part of its base, the RP mobilized hundreds of youth volunteers to facilitate in the implementation of the project's Job Creation Grant activities and thus had a strong link to the promotion of youth/female employability.<sup>213</sup></p> <p><b>For the Private sector</b>, both desk review and key informant interviews revealed that the project engaged with private sector players in response to emerging COVID-19 pandemic during project implementation. In the Call for Proposals under the Job Creation Grant Scheme in 2020, at the outset of the spread of the Covid-19 pandemic, UNDP allowed partners to respond to the prevailing crisis through a jobs-generating approach, while keeping the long-term development priorities of Iraq in sight. For example, UNDP funded a <b>private hospital</b> with increased staff, an online platform for doctors' appointments and online consultations, a transport company providing land and air transport for repatriation purposes, an ambulance and several companies distributing hygiene and medical items.<sup>214</sup> Accordingly, UNDP was expanding its stakeholder map to include non-traditional stakeholders in its project interventions. Thus, in addition</p>

<sup>210</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>211</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)

<sup>212</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>213</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

<sup>214</sup> UNDP and UN-Habitat Headway project Annual Progress Report, January–December 2020

		<p>to playing its part in terms of the provision of much-needed economic stability in a crisis, UNDP was encouraging the private sector to intervene in the prevailing health crisis (COVID-19), by re-modelling their business approaches so that they could still continue to function and maintain their workforce. Moreover, by giving the private sector the opportunity to come up with solutions to tackle the public health crisis, the strategy helped to reduce the burden on the health sector service delivery. In addition, it helped businesses to adapt and work under COVID-19.<sup>215</sup></p> <p><b>In gender mainstreaming</b>, desk review revealed that UNDP and UN-Habitat used their existing gender analysis in their country programmes to promote gender participation in the project interventions. Gender mainstreaming was evident in all the two project components: WASH, Rehabilitation of Housing Unit and Job Creation Grant Scheme. That gender mainstreaming was being implemented, was evident in the 'Development of Agripreneurship Initiatives' for women's groups, promoted by a local <b>CSO - New Organization for Protecting Environment and Women's Rights</b>.<sup>216</sup> This CSO focused on the promotion of agriculture businesses among <b>female entrepreneurs</b> in Halabja- an area known for growing crops - building on what the women knew best and exploiting the natural wealth of the area.<sup>217</sup> Further, data disaggregation in progress reports demonstrate the project's effort to mainstream gender in all its interventions.</p> <p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>
	3.7. Comment on levels of stakeholder satisfaction in delivery of quality services as well as their appropriateness.	<p>A project is not a success when it finishes on time and within budget: the real test of its success or failure is stakeholders' satisfaction. Analysis of the levels of stakeholder satisfaction in the delivery of quality services as well as their appropriateness, was done through desk reviews of progress reports, key informants interviews (KII) and Focus Group Discussions (FGD).</p> <p><i>Levels of satisfaction of beneficiaries of the Job Creation Grant Scheme</i></p> <p>Desk review of a report of the online perceptions survey conducted in July 2020, among 336 direct and indirect beneficiaries of the UNDP Job Creation Grant activity in the communities of Dohuk, Erbil and Sulaymaniyah, revealed that approximately three-quarters (75%) of the businesses supported had expanded their operations and/or diversified into new areas. 87% of the employees indicated they are satisfied with their employment.<sup>218</sup> The spouses of employees hired confirmed the importance of the intervention to their partner for finding jobs and earning money towards the family budget, with 83 percent identifying it as 'timely and relevant', as reported by one of the respondents:</p> <p><i>"Through this project, we now have a monthly income that we can rely on, and our economic situation has improved after my husband became an employee in this factory"</i><sup>219</sup> _____ Spouse of beneficiary employed through the Grant Scheme</p> <p>While beneficiary Perception Survey conducted in 2021, revealed that among the Refugees and IDPs beneficiaries of the Job Creation Grant Scheme, an additional US\$ 78.31/monthly income per household was realized through the Job Creation Grant Scheme, and 27% of the beneficiary participants achieved an increase of US\$ 200/month or more compared to their pre-Job Creation Grant scheme.<sup>220</sup></p> <p>Focus Group Discussion with business owners who benefited from UNDP Job Creation Grant Scheme through the Rwanda Foundation, also reported improved revenues and spill-over effects, as reported by different businesses:</p> <p><i>"I deal in cosmetics, but now added mobile phones. I started with the project in 2019. I received a grant of US\$ 48,000 through Rwanda Foundation. Through the grant, my earnings per year increased from an average of US\$ 40,000 in 2019 to US\$ 300,000 in 2021. I had 7 employees (3 IDPs and 4 Syrian refugees). Through training on how to run a business, 3 out of the 7 employees have also started their own businesses. One (IDP) owns a cosmetic shop in Erbil; another (a male Syrian refugee) is a hair dresser in Erbil; and the other (a female Syrian refugee) is engaged in marketing for other businesses."</i> _____ Owner of Ankawa Rosemary Cosmetic Company in Erbil City</p> <p><i>"I deal in medical supplies. I started with the project in 2020. I received a grant of US\$ 36,275 through Rwanda Foundation. Through the Grant, by 2021, I had increased my annual earnings by 25% from that of 2020. I had 4 employees (including 2 IDPs and 1 Syrian refugee) in 2020, but the number grew to 10 employees by 2021. Employees average salary was between US\$ 200-350/ month in 2020, but rose to between US\$ 400-500 by 2021."</i> _____ Owner of Revaz Company in Dohuk</p> <p><i>Levels of satisfaction of the beneficiaries of the Water Infrastructure and Housing Units</i></p>

<sup>215</sup> Headway Annual Progress Report, 2020

<sup>216</sup> Ibid

<sup>217</sup> Ibid

<sup>218</sup> Refer to Headway project progress report of 2020, section 3: M&E of activities.

<sup>219</sup> Ibid

<sup>220</sup> Headway Annual Progress Report, 2021, p, 14

		<p>Focus Group Discussions with beneficiaries of the UN-Habitat water and house rehabilitation support, also reported improved life situations as a result of the project interventions, as reported by the different beneficiaries:</p> <p><i>"We are very happy with the house rehabilitation and water connection. On our own, we would have not been able to do this. Now we have a good house with clean water."</i> _____ Host family in Mamzawa suburb in Erbil city</p> <p><i>"I am very happy with the house rehabilitation and water connection. Before the rehabilitation, flood water used to come into the house, but now it is beautiful house with clean water."</i> _____ Syrian female refugee family living in Mamzawa suburb in Erbil city</p> <p><i>Levels of satisfaction of governmental stakeholders with the project interventions</i></p> <p>Key informants from the Governorates and Municipalities felt that the project in partnership with UNDP and UN-Habitat added value to quality service delivery due to its information sharing, new perspectives, good selection of beneficiaries and better collaboration among its implementing partners, as reported by different partners:</p> <p><i>"The EU, UN and Government partnership's ability has been in creating greater influence in the wider community, especially in extending safe and regular water supply to the wider community beyond the IDP and refugee community."</i> _____ Official from Erbil Governorate</p> <p><i>"UN-Habitat selected the most important project (water) to give to the hosts, IDPs, and refugees' populations. It was the best selection of any project. For example, a community can have houses, but if water sources dry up due to climate change, they will leave the place and move to other places in search of water – Water is life. And also because the communities were engaged to provide labour for water and house rehabilitation works, it was a good opportunity for the community to develop economically"</i> _____ Official from the Directorate of Sumel Municipality in Dohuk</p> <p><i>"The water project was a very good and timely project. The project came at a time when Dohuk Municipality could not work on the water network. Because of COVID-19 pandemic, Government focused most of its resources to funding the Health Sector. The coming of the Water and Housing project filled that gap, and the water and housing sectors continued to provide services to the hosts, IDPs and refugees populations"</i> _____ Official from Dohuk Water Directorate</p> <p><i>"This was a very successful project. Local Government is very happy for the Water Network done by UN-Habitat. Coordination between UN-Habitat and Ninewa Governorate was very good. There was a lot of transparency from UN-Habitat team to Government, and this encouraged commitment from Government and also made my work smooth, and also brought success to the project."</i> _____ Former UN-Habitat Field Engineer, Sinjar Municipality in Ninewa</p> <p><i>Levels of satisfaction of the Donor with the project interventions</i></p> <p>Key informant interviews with representatives of the European Union Trust Fund (EU TF) in Brussels, Belgium, revealed that the project performance exceeded expectations, as reported by a key informant:</p> <p><i>"My overall assessment of the performance of the Headway Project in Iraq is that the project performed very well, despite the outbreak of COVID-19 pandemic and uncertainty from the Iraqi parliamentary elections in October 2021. Results were achieved within the project frame with good use of funds – a remarkable performance."</i> _____ Official from the European Union Trust Fund (EU TF) in Brussels, Belgium</p>
<p><b>4.Efficiency</b> (looks at the extent to which the Headway project resources; funds, expertise/human resources, time, are optimally used to achieve the intended results)</p>	<p>4.1. How efficient was the functioning of the Headway's project management, technical support, administrative, procurement and financial management procedures?</p>	<p>In terms of <b>project management</b>, information from desk reviews and key informant interviews could not lead to conclusion that the project had enough staff to manage it adequately to achieve the objectives. But the achievement of all project output targets tend to support that the project was staffed appropriately to manage it efficiently. The project field management was ensured through the Project Core Team (PCT)<sup>221</sup> that was hosted at the Office of the Directorate General of Municipalities (DGM). As described earlier under <b>effectiveness</b> in sub-section 6.3.2, the PCT provided project coordination and management support to the implementing partners at the municipalities, managing the project at that level. Similarly, as described earlier under <b>effectiveness</b> in sub-section 6.3.2, the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>222</sup></p>

<sup>221</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/ Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM) (source: Headway project Document 14 December 2018, p.42)

<sup>222</sup> Ibid

		<p>In regards to <b>technical support</b> for WASH, Rehabilitation of Housing Units, and Job Creation Grant Scheme, again as described earlier under <b>effectiveness</b> in sub-section 6.3.2, the project management arrangement allowed the PCT to develop the capacity of the Technical Unit staff, thus, facilitating the sustainability of the project interventions. The capacity development actions and briefing meetings strengthened partnerships, and the result of the technical support was the successful handover of the rehabilitated water infrastructure networks in Sinjar Water Directorate in November 2020.<sup>223</sup></p> <p>In regards to <b>administrative procedures</b> used by the project, desk review and key informants revealed that project documents, progress reports, fact sheets, infographs, e-posters and other materials were usually produced in Kurdish and Arabic. To make these materials available and translated for international use requires time. Additionally, documents need to be translated from English to Kurdish or Arabic before submitting to Government for decision-making. While they encourage wider reach and use, all these are administrative challenges that delay their use.</p> <p>Regarding <b>procurement procedures</b>, the project conducted procurement of goods and services in line with individual UN agency procurement rules &amp; regulations. However, for UN-Habitat, solicitations that surpassed its delegation of authority were handled by UNON.</p> <p>In regards to <b>financial management</b>, with the transfer of the project procurement of both goods and services to UNDP, the project followed mostly UNDP financial management procedures. All financial data reported in the progress reports are provisional until certified by UNDP Bureau of Management/Office of Finance and Administration at UNDP headquarters in New York, USA, with an annual certified financial statement as of end of the year (31 December) is posted by UNDP HQ no later than 30 June of the following year and shared with the donor. The utilization of funds cover funds expended and those committed, together termed "<i>Funds utilized</i>." The advantage of this financial management process is that it ensures UNDP as the project's lead agency has an overall view of the status of funds budgeted and utilized by components.</p>
	<p>4.2. Asses the Headway's project management structure in relation to day-to-day and periodical management of project tasks including (i) planning (ii) management of the budget (iii) management of delivery modalities (contracts, payments, monitoring, supervision etc.) (iv) coordination with stakeholders, and (v) adequacy of personnel, expertise, and resources,</p>	<p>The project management structure was designed to be based on a Steering Committee (SC) approach, with the Ministry of Planning (MoP) as co-chair and UNDP as chair, with participation of the senior programme managers and project managers from UNDP and UN-Habitat. Desk review and interviews with key informants revealed that the SC was the project management structure tasked with providing the overall policy and programmatic guidance to the Headway project. The SC was established at the start of the Project in 2019. The SC is composed of Government officials from the relevant ministries, a representative from EU Delegation in Iraq, and implementing organizations. The first physical SC meeting was held in Erbil on 11th July 2019.<sup>224</sup> The participants included representatives of the federal Ministry of Planning, the Governorates of Erbil, Dohuk, Ninewa and Sulaymaniyah and both UN agencies (UNDP and UN-Habitat), implementing the Project. A "Charter of Principles" was signed by all participants during the meeting to outline the values, principles and partnership modalities under which all agencies and administrations should operate for the successful implementation of the Project in Iraq. Even during COVID-19 the SC held virtual meetings to keep track of the project progress. This commitment demonstrated the seriousness of the SC in the management of the project, and partners' readiness for the successful implementation of the project.</p> <p>At the central and regional level, the functioning of the project management structure was ensured through the PCT<sup>225</sup> that was hosted at the Office of the DGM. Both UNDP and UN-Habitat balanced their internal coordination with those of the Headway project, through the PCT. The PCT was UNDP and UN-Habitat's project management structure at the municipality level, overseeing the work of implementing partners at that level.</p> <p>Desk review and key informants interviews revealed that the PCT was supported by existing UNDP and UN-Habitat technical and admin/finance staff, who were partly engaged in the implementation of the project.<sup>226</sup> For UNDP, these included: a) the Programme Specialist and Programme Support Associate; Senior Communications Specialist and Communications Assistant who committed 50% of their time to all communication and visibility aspects; and other programmatic and reporting staff based between Baghdad and Erbil, who committed 50% of their time to the project activities. And for UN-Habitat, these included: 5 field engineers who worked in close coordination with municipal and governorate counterparts for the daily supervision of activities implemented by the local contractors for the rehabilitation of damaged houses and the small-scale community water infrastructure within the selected neighbourhoods; and a Driver and administrative assistant, who committed 50% of their time to the project activities.</p> <p>Additionally, the project was supported by a UNDP Regional Programme Specialist, who ensured consistency and coherence of programmatic and financial reporting of the UNDP Headway project components, conducted analysis of results and lessons learned at the regional level and acted as a main interlocutor for the project with the EU, and devoted around 10% of his time for the project. While for UN-Habitat, the Regional Coordinator at UN-Habitat Erbil Office ensured close coordination with regional, governorate and municipal governments involved in the Project and ensured full alignment with other initiatives being implemented by UN-Habitat.</p>

<sup>223</sup> Refer to Headway project progress report of 2020, section VII: partnership and sustainability.

<sup>224</sup> Headway project progress report, 2019, p.54.

<sup>225</sup> PCT (Project Core Team) comprised of: a Project manager, a Municipal Finance Specialist, a Local Economic Development (LED) Specialist, a Capacity Building Coordinator, an Engineer, Field Coordinators, Media and Communication Officer, M&E/Reporting Officer, and an Administrative/ Finance Assistant. It is hosted at the office of the Directorate General of Municipalities (DGM) (source: Headway project Document 14 December 2018, p.42)

<sup>226</sup> Ibid

		<p>The arrangement of the management structure allowed UNDP and UN-Habitat to develop the capacity of the Technical Unit staff of Government, thus, facilitating the sustainability of the interventions. Key informant interviews revealed that those capacity development actions and briefing meetings strengthened partnerships between the Governorates, Municipalities, and UNDP and UN-Habitat.</p> <p>In terms of efficiency of the project management structure in managing tasks; completion of all activities within budget and time, and the achievement of all project output targets, demonstrate that the project management structure was appropriate. Key informant interviews revealed that implementers were resourceful in considering activities against budget lines and interventions that had the maximum impact. Moreover, as desk review revealed, some interventions related to fighting COVID-19 were introduced to enable the project address the impact of the pandemic and continue to operate effectively.<sup>227</sup> Similarly, as desk review revealed, the effectiveness of the project management structure was also seen in its ability to introduce activities that enabled the project to maximize the impact of the intervention, such as work on flood prevention in Mosul that would have negatively impacted on the newly rehabilitated sewage lines.<sup>228</sup> In general, the key driving forces, as remarked by key informants, are the supportive government structures at the Governorates and Municipalities and, strong leadership of the Ministry of Planning – which pushed project delivery. Within the PCT, the key driving forces are qualified and committed technical staff, who provided proactive, consistent and systematic technical support and influenced positively the inclusiveness of project stakeholders, subsequently the performance.</p>
	<p>4.3. Was the communication and visibility strategy for the Headway project adopted? Was it cost-effective in terms of promoting the project and its achievements?</p>	<p>In terms of <b>visibility and cost-effectiveness of the communications strategy</b> adopted by the project in promoting the project and its achievements, desk review and key informant interviews revealed that the project employed various tools and channels for communicating its purpose and achievements to its intended audiences. Key to these are the Steering Committee meetings held regularly to capture lessons learned and discussed opportunities for the scaling up and to socialize the project results and lessons learnt with relevant audiences.</p> <p>Additionally, desk review revealed that the project used the UNDP social media platforms that have an audience of 214,924 users: 191,725 on Facebook, 20,300 on Twitter, 2,534 on Instagram and 365 on YouTube, for the project visibility. The project's visibility was also expanded by the pages of at least 6 sister and partner organizations, in addition to the pages of partner governorates. The estimated average audience of most of those pages is 73% males and 26% females; 85% of whom are registered in Iraq.<sup>229</sup></p> <p>Further, the visibility of the project and all its activities were promoted through multimedia updates (text, photos, videos, info graphs, factsheets, posters, infotainment, and competitions). With engaging content and social media outreach, the programme increased the visibility and expanded the audience reach to a total of 3,321,403 users in 2021, compared to 2,149,950 in 2019. In addition, social media posts by UN-Habitat reached 21,274 people.</p> <p>Similarly, the project activities or updates were promoted, covered, and shared on the websites and social media platforms of UNDP Iraq, UNDP Arab States, UNDP Brussels, UNDP Global, UN-Habitat Iraq, UNAMI, Rwanga Foundation, dozens of local media outlets, NGOs, partner governorates, in addition to the EU and the Coalition pages among others.</p>
	<p>4.4. To what extent the communication and visibility actions provided an added value in terms of contributing to mainstreaming the project's desired effects?</p>	<p>In regards to their contribution to mainstreaming the project's desired effects, awareness campaign – '<i>Let's Beat Corona</i>', implemented by UNDP from June to September 2020 raised awareness of COVID-19 among an estimated 12.5 million people, including 31.7 million reached online and offline across Iraq. The relevance, user-friendly design and highly engaging content of the campaign resulted in an unprecedented increase in reach of UNDP Iraq's Facebook page by 239% and engagement by 44% during the campaign period.<sup>230</sup></p> <p>The results and contributions of the job creation activities were reflected in multiple success stories and videos, published by UNDP Arab States, UNDP Brussels and the global website. Similarly, a video on the project's work with and for local communities, developed and shared by UN-Habitat on Twitter received 6,674 impressions, 446 views and 113 engagements. On Facebook, the post reached out to 2,200 viewers with 142 engagements and 36 reactions.<sup>231</sup></p> <p>On the day marking the World Water Day on 22 March 2021, UN-Habitat developed and shared a story of completed water infrastructure in Iraq through the EU-funded project on its website. The article featured the continued need of the vulnerable population for regular and safe water supply and how 11,058 IDPs, refugees and vulnerable host community members have benefited from the Headway project in terms of access to safe water supply.<sup>232</sup></p> <p>Interviews with representatives of the European Union Trust Fund (EU TF) in Brussels, Belgium, revealed the extent of the quality of the project communication and visibility strategy, as reported by the key informant:</p>

<sup>227</sup> UNDP and UN-Habitat Headway project progress reports 2021, Section VI: Changes and Modification to the project

<sup>228</sup> Ibid

<sup>229</sup> Refer to Headway annual progress report 2020, section VIII- Communication and Visibility

<sup>230</sup> Refer to Headway annual progress report 2020, section VIII- Communication and Visibility

<sup>231</sup> Ibid

<sup>232</sup> Refer to Headway annual progress report 2021, section VIII- Communication and Visibility

		<p><i>"The project communication and visibility strategy was excellent. It promoted the project's activities and results and enabled the project effects to be known from within and outside Iraq. It added value to the overall performance of the project."</i> _____ Official from the European Union Trust Fund (EU TF) in Brussels, Belgium</p>
4.5. What is the potential added value of the Headway "multi-partner" and "multi-year" approach?	<p>The Headway project joint action sought to optimize the impact of a range of interventions by multiple actors towards improving the resilience of host and refugee populations by complementing their efforts and accurately targeting to fill the gaps in support, where a UN Partnership have a strong added value. In regards to the above, both desk review and key informant interviews revealed that because of the multi-partner approach, partners' ambitions to enter new partnerships has increased. Some of the benefits cited by partners interviewed, include;</p> <ul style="list-style-type: none"> <li>• Different institutions and organisations involved in the partnership have gained from the other's expertise.</li> <li>• The partnership brought new capacities to the project, especially to the water directorates of the different municipalities.</li> <li>• UNDP and UN-Habitat's images regarding inter-agency team work and inclusiveness have increased.</li> <li>• The partnership has increased individual organization's stature and visibility.</li> </ul> <p>Further, according to key informant interviews, the project's most important added values were in the areas of; capacity building, building trust among partners, improving regular consultations, setting clear goals and targeting the most needy, and complementarity roles, which were well addressed. Collectively, these contributed to achieving all the results. For example, all project activities were completed by end date of 31 December 2021; all output targets were either fully achieved or over-achieved by the project end date of 31 December 2021.</p> <p>Similarly, feedback from key informants revealed that the partnership added value due to good collaboration, very good targeting and capacity building efforts, as reported by some of the partners:</p> <p><i>"This was a very participatory project, with clear focus on the most needy and addressed the real needs of the vulnerable population – water and housing. But in future, more focus should be moving away from humanitarian to development work – building schools, health centres, and roads"</i> _____ Official from Dohuk Joint Crisis Coordination Centre</p> <p><i>"This project was very good for building the capacity of my staff at the Water Directorate. The capacities built helped us a lot in the implementation of the project. Rarely does Government take us for refresher trainings"</i> _____ Official from Dohuk Water Directorate</p>	
4.6. How is the Headway project track progress towards achieving expected results? Did the monitoring and evaluation mechanisms put in place allow for continuous collection and analysis of quality and segregated data on expected results?	<p>In keeping track of project progress on expected outputs and outcomes, it is worth noting that the project scores well in terms of monitoring, evaluation and learning (MEL), although it did not have an M&amp;E Officer.<sup>233</sup> It is mostly due to the robust M&amp;E systems of the UNDP and UN-Habitat as organizations. The following actions represent how the project kept track of progress on expected outputs and outcomes and allowed for continuous collection and analysis of quality and segregated data on expected results and learning:</p> <ul style="list-style-type: none"> <li>• UNDP Regional Bureau of Arab States (RBAS) in coordination with respective UNDP and UN-Habitat Country Offices will submit to EU the following reports: <ul style="list-style-type: none"> <li>◦ Quarterly Information Note (QIN) to be filled every three months.</li> <li>◦ Progress and Final Reports as per donor reporting requirement.</li> <li>◦ Monthly, quarterly and annual progress reports, shared and presented to UNDP and UN-Habitat senior management, Steering Committee, EU TF, and targeted Government sectors.</li> <li>◦ Steering Committee review meetings of project progress and feedback for policy, practice, and programme improvements and decision-making.</li> <li>◦ EU TF review of project progress reports and feedback provided for quality improvements.</li> </ul> </li> <li>• Dissemination of various studies, surveys and assessments reports.</li> <li>• Bi-lateral (zoom or WhatsApp) conversations with offices, including senior management, donor, project staff, and technical experts – global, regional and national experts.</li> <li>• Beneficiary satisfaction and perception surveys, conducted annually.</li> </ul>	

<sup>233</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.44)



		<p>Regarding reporting, progress reports reviewed are well structured in terms of reporting on what has been done and achievement of targets, and are connected with the six outputs and three outcomes of the project. The project has demonstrated the ability to disaggregate data by sex (male and female), and gender (women, men, youth). Together with the use of GIS and SEVAT tool, the disaggregated data enabled micro-targeting of critically vulnerable populations in the community.</p> <p>Although the project did not have qualitative indicators to capture qualitative statements of the impact and outcomes, the project's annual beneficiary satisfaction and perception surveys, helped to get direct feedback about the project performance, a commendable practice, that also helped to inform and redirect resource allocations to beneficiaries and families most vulnerable<sup>234</sup></p>
<p><b>5. Impact</b> (looks at the extent to which the Headway project generated or is likely to bring differences at different levels directly or indirectly, positive, or negative, intended, or unintended, or higher-level effects. The evaluation will focus on the main changes/effects resulting from the Headway project to strengthen resilience of sub-national authorities in respective governorates, in relation to the reform agenda of national governments and development partners)</p>	<p>5.1. To what extent were there positive benefits and what were the negative effects, if any?</p>	<p>The assessment of impact of the project was defined through issues identified by experts at project design, and whether they were influenced through the Headway project interventions, by analysis of opinions from experts, key interventions proposed to address those issues, and outcomes and impacts achieved. The rating of <b>significance of the impact</b> provided the basis for estimation of the effectiveness of the project components or actions. This is defined as the <b>gap</b> between <b>intended</b> and <b>actual significance</b>. A small gap implies significant of impact of the component is high, while a large gap implies significant of the impact is low.</p>
	<p>5.2. Comment on actions that could be implemented to reverse the process of non-achievement.</p>	<p>Based on desk review and key informant interviews, the evaluation identifies these project actions as having had positive effects on the achievements of the results: (a) prioritizing working with and strengthening of existing structures, (b) strengthening generation of strategic data and use for planning, (c) strengthening local NGOs and private sector entities, and (d) empowering and engaging people.</p> <p><i>Prioritizing working with and strengthening of existing structures</i></p> <p>This action was implemented by embedding the Project Core Team (PCT) staff into the Office of the Directorate General of Municipalities (DGM). This allowed for close coordination with the Municipalities to mobilize the target populations for involvement in WASH, Rehabilitation of Housing Units and Job Creation activities. It also contributed to building the capacities of technical staff of the Municipalities to deliver quality services. For example, when the project realized that the Municipalities technical teams did not have adequate capacity to collect accurate data on vulnerability, UN-Habitat project teams conducted the SEVAT assessment through an implementing partner for prioritization of the most vulnerable families. Also, UN-Habitat shared the GIS mapping with the concerned municipalities with regard to the priority of the selected housing units to be rehabilitated. The use of GIS and SEVAT tools, allowed municipalities to target the most vulnerable hosts, IDPs and refugee populations.<sup>235</sup></p> <p>Moreover, key informants from the Municipalities technical teams revealed that the capacities built in GIS and SEVAT, including for WASH operations and maintenance, will remain within the Municipal Offices, and will ensure continuity in technical support, as well as mentorship or skills transfer to new or other technical staff within the municipalities.</p> <p><i>Strengthening generation of strategic data and use for planning</i></p> <p>Key informant interviews with the project partners revealed that this action was very useful. Access to strategic data was instrumental for timely decision-making and planning and, guided project response and project quality improvements. Key informants from the project partners and the municipalities revealed that most decisions to change project strategies were informed by data.</p> <p>Applying various data collection tools, such as GIS and SEVAT, focused project reach and significance. For example, when the project realized that the Municipals' technical teams did not have adequate capacity to collect accurate data on vulnerability, SEVAT was conducted by UN-Habitat through an implementing partner and the selection of the houses for rehabilitation were based on the results of this assessment. Desk review revealed that houses where rehabilitation was no longer required for reasons such as the shift to another location by beneficiary tenants, change of ownership, rehabilitation by owner or another donor; these were removed from the list and information updated by comparing to the SEVAT information conducted earlier in 2019.<sup>236</sup></p> <p>Further, the generation and use of strategic data helped to inform and redirect resource allocations to beneficiaries and areas still in need. For example, the project was subjected to a no-cost extension when financial data or statements mid-way 2021 revealed that some unspent funds remained, in particular, for</p>

<sup>234</sup> Results of the Project Output 1.1 on Socio-economic and Vulnerability Assessment survey reported in the Annual Report of 2021.

<sup>235</sup> Headway project progress report, 2019, section, III. Progress Review.

<sup>236</sup> Results of the Project Output 1.1 on Socio-economic and Vulnerability Assessment survey reported in the Annual Report of 2021.

		<p>UN-Habitat.<sup>237</sup> Accordingly, in November 2021, UN-Habitat requested the extension of the implementation period from 31st December 2021 to 30th April 2022 to allow the project utilise the funds to maximise WASH impact on vulnerable communities in Ninewa Governorate, including provision of equipment to Ninewa Water and Sewage Directorates to enhance their operational capacity.<sup>238</sup></p> <p>In general, increased access to and strategic use of data at partners and municipal levels, was one of the most effective actions deployed by the Headway project, as it contributed to making better decisions in allocating resources (human and financial) to areas most in need, and generally to the successes observed and reported.</p> <p><i>Strengthening local NGOs and private sector entities</i></p> <p>Document reviews revealed that UNDP and UN-Habitat worked with local NGOs and the private sector entities familiar with the context. This allowed the project to mobilise and reach deeper to critically vulnerable persons in the hosts, IDP and Refugee populations. Similarly, working with NGOs and local contractors allowed better division of labour. It gave the project technical team (i.e. PCT) more time to focus their technical assistance at the municipality levels. While the NGO - Rwanga Foundation, for example, focused its attention on strengthening the business capabilities of companies at the community levels.<sup>239</sup> This contributed considerably to improving capacity for management of businesses. It also got women's groups to add business structures to their otherwise purely social concerns.</p> <p><i>Empowering and engaging people</i></p> <p>The project engaged with stakeholders at both the community, municipal and governorates levels. Both desk review and interviews with project stakeholders revealed positive gains through these engagements. At the community level, the project engaged unskilled and skilled labour in the rehabilitation of houses in their respective neighbourhoods.<sup>240</sup> The impact of this action has been substantial. In addition to supporting the livelihood and local economic development in target locations, engaging labour from among direct beneficiaries of the water and house rehabilitation components resulted in more social cohesion between the host community members and refugees and IDPs.<sup>241</sup> Further, the recruitment of field engineers from the same city where activities were being implemented, helped in strengthening local capacities and in ensuring effective and efficient communication with technical staff of municipalities and other sub-national agencies. As key informants reported, the use of local expertise is accredited for the success of the project.</p> <p><i>Communications and visibility</i></p> <p>As described earlier under <b>efficiency</b>, the project communication and visibility plan focused on multiplying the impact of the Project objectives by using the most efficient and relevant means to reach out to the project's beneficiaries and key stakeholders at all levels.<sup>242</sup> The project and its activities were promoted through multimedia updates (text, photos, videos, factsheets, posters, and competition). Again, as described earlier under <b>efficiency</b> in subsection 6.4.3, engaging content and social media increased the visibility and expanded the project audience to 3,321,403 users in 2021, compared to 2,149,950 in 2019.<sup>243</sup> The <i>Let's Beat Corona</i> campaign initiated by UNDP and UN-Habitat extended the outreach of COVID-19 in the cities of Mosul, Sinjar, Dohuk, Sumel and Erbil, and worked out to raise consciousness on aspects of COVID-19. As described earlier under <b>efficiency</b>, this provided opportunity and hope in an uncertain time and reduced cultural stigma to those that contracted the virus. The outcome was that the COVID-19 awareness positively allowed the project partners to continue providing services and contributed to completion of all activities and achieving the project objectives.</p> <p>5.3. What were the key achievements of the Headway project in terms of policy, practice, and behavior change? Comment on the main challenges to achieving policy, practice, and behavior change?</p> <p>A policy is a broad guideline for decision-making that links the formulation of a strategy and its implementation.<sup>244</sup> In terms of <b>influencing policy</b>, desk review and key informants revealed that the project helped to integrate lessons learnt into the broader recovery and development planning of the target municipalities and governorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar. For example, the project supported the development and dissemination of the <i>Manual for Water Distribution Systems and Operations and Maintenance Guidelines</i>, already in use by respective Water Directorates in the listed municipalities.</p> <p>In terms of <b>influencing practice</b>, desk review revealed that the project supported 300 persons (86 women and 114 men) to acquire new business skills through the Building Resilience Component's vocational training. Similarly, 179 persons (98 women and 81 men) were supported to develop business plans through the Missing Entrepreneurship (ME) Component that aimed to support small businesses, start-ups and self-employment businesses, with a focus on</p>
--	--	---

<sup>237</sup> Headway project progress report, 2021, section, VI. Challenges and modification to the project.

<sup>238</sup> Headway project progress report, 2021, section, VI. Challenges and modification to the project

<sup>239</sup> Headway Annual Progress Report, 2020

<sup>240</sup> Headway Project progress report, 2021. Section IV. Challenges and lesson learnt

<sup>241</sup> Ibid

<sup>242</sup> Refer to Annex VI: Project Communications and Visibility Plan

<sup>243</sup> Refer to Headway project progress report, 2020 & 20201. Section VIII: Communications and Visibility

<sup>244</sup> Thomas L. Wheelen and J. David Hunger (2007). Concepts in Strategic Management and Business Policy. Pearson International Edition.p.15

		<p>the inclusion of vulnerable groups.<sup>245</sup> Further, 500 persons (271 women, 4 IDPs, 20 refugees, 437 vulnerable host communities-VHC) were trained on job creation initiatives to increase their self-reliance.<sup>246</sup> Consequently, 700 beneficiaries were employed through the Job Creation Grant Scheme (241 women, 97 IDPs, 101 refugees, 502 VHCs) of which 258 people (163 women and 95 men) remained employed in the companies after completion of the projects.<sup>247</sup> By having more women participate, learn, practice and remain in employable businesses, the project influenced the social inclusion and the participation of women in the public space through its ME Component.</p> <p>In regards to <b>influencing behaviour</b>, desk review revealed that the project trained 200 school teachers (115 men and 85 women) from the different Directorates of Erbil Governorate on how to reduce the risk of COVID-19 spread within schools, and to make them agents of change in the community. Through the awareness regarding good cleaning and hygiene habits in fighting the COVID-19 pandemic, the trained staff were able to influence the behaviour of over 1,919 men and women in good cleaning and hygiene habits.<sup>248</sup> This contributed to reducing further spread of COVID-19.</p>
	5.4. What countermeasures were taken against the unanticipated developments (if any) that affected the quality of the implementation?	<p>As described earlier under <b>effectiveness</b>, KRI experienced substantial increase of confirmed COVID-19 cases. This had a negative impact on the completion of house rehabilitation works in Erbil, Dohuk and Sumel on time.<sup>249</sup> As a countermeasure, adherence to social distance between beneficiaries, reinforced hygiene measures or the transformation of face-to-face training into distance/online training had to be put in place, and this allowed project work to continue.</p> <p>In addition, as described earlier under <b>effectiveness</b>, the political and security situation in Iraq required certain forms of adaptation. In particular, the parliamentary elections of October 2021 somewhat delayed the implementation of the last Activity undertaken by UNDP (Building Resilience component) due to the security rules that accompanied these elections. Nevertheless, the consistent follow-up and communication with political leaders allowed this activity to be completed on time.</p> <p>Again, as described earlier under <b>effectiveness</b>, the change of leadership and key staff in certain governorates, such as Duhok, resulted in delaying the water rehabilitation works and the handover of completed works to the relevant municipalities and water directorates.<sup>250</sup> Nevertheless, the consistent follow-up and communication with higher authorities allowed the handover of completed to be done on time.</p> <p>As described earlier under <b>effectiveness</b>, KRI experienced substantial increase of confirmed COVID-19 cases. This had a negative impact on the completion of house rehabilitation works in Erbil, Dohuk and Sumel on time.<sup>251</sup> As a countermeasure, adherence to social distance between beneficiaries, reinforced hygiene measures or the transformation of physical meetings of trainings into online trainings was adapted and allowed the project to continue operating.</p>
	5.5. Assess the outcomes, based on Headway's project actual and potential development impact on the primary stakeholder groups, and institutions. To what extent were the project benefits felt at national and local levels so far?	<p><i>Perceptions of primary stakeholders about the project impact</i></p> <p>From the point of view of stakeholders at the local level, the project impact is substantial because it engaged with the affected community in the crisis response, making a greater impact through creating temporary employment and promoting skills transfer through "learning by doing". As desk review and key informant interviews revealed, the technical and social impacts have been substantial because the project was built on incorporating local labour in the rehabilitation of houses in their respective neighbourhoods, as reported by a Field Engineer who was involved in the UN-Habitat house rehabilitation processes:</p> <p><i>"In addition to supporting the livelihood and local economic development in target locations, engaging labour from among direct beneficiaries of the house rehabilitation component resulted in creating unskilled and skilled labour, and better social cohesion between the host community members, refugees and IDPs."</i></p> <p>Similarly, the spouses of employees hired as a result of the Job Creation Grant Scheme, confirmed the importance of the project intervention to their partners for finding jobs and earning income that has helped to support the family budget, as quoted from the project report of a spouse of a beneficiary employed through the Grant Scheme:</p>

<sup>245</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>246</sup> Refer to Headway project progress report, 2021, Output 3.2

<sup>247</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>248</sup> Refer to Headway project progress report, 2021, key results under Key Activity 2.1.5

<sup>249</sup> Headway project progress report, 2020 & 2021, section, VI. Challenges and modification to the project.

<sup>250</sup> Ibid

<sup>251</sup> Headway project progress report, 2020 & 2021, section, VI. Challenges and modification to the project.

		<p><i>"Through this project, we now have a monthly income that we can rely on, and our economic situation has improved after my husband became an employee of a factory"</i><sup>252</sup></p> <p>Additionally, as desk review revealed, and as an outcome of the WASH project, 1,843 households across the 5 target cities of Dohuk, Erbil, Sumel, Mosul, and Sinjar, have been connected to the water networks. Accordingly, aggregate total of 14,967 people among the host community members, refugees and returnees are now having access to clean and regular water supply.<sup>253</sup></p> <p><i>Perceptions of institutions at local and national levels about the project impact</i></p> <p>From the point of view of stakeholders at the governorates and municipalities levels, the project impact is substantial because it developed from simply being a joint project into a 'collective of engaged emergency response professionals that make a greater impact through knowledge transfer and use. One key aspect that has been of impact is the recruitment of field engineers from the same city where water and housing rehabilitation activities were being implemented. This helped the project to connect better and quickly with the municipality and the local community, as reported by Erbil Water Directorate:</p> <p><i>"The project's move of recruiting field engineers from the same location where activities were being implemented helped to strengthen local capacities and in ensuring effective and efficient communication with technical staff of municipalities and other subnational agencies".</i></p> <p>The Building Resilience Component and support to capacity development of NGOs in writing fundable proposals/business plans that meet international donor criteria was well appreciated, as reported by an official from Rwanga Foundation:</p> <p><i>"Through the project, companies now have better capacities to develop quality business plans (proposals) that attract external resources."</i></p> <p>Similarly, the rehabilitation of houses have contribution to the IDPs return to their original homes, in houses which are much safer, better, and with water connection, as the official from Mosul Municipality, expressed:</p> <p><i>"Through the house project, housing and settlements are coming up again in Mosul City. We are asking for the continuation of this project, especially in the rehabilitation of homes in Mosul so that more IDPs can return to their homes."</i></p> <p>To further demonstrate the positive impact of the project in the Governorate and Municipality, in particular, the WASH component, desk review and key informant interviews revealed that an additional water well was constructed in the Qatawi underserved neighbourhood in Erbil. This was in response to an appeal from the Governorate of Erbil, Erbil Water Directorate and Municipality No. 6 in light of the drought season across Iraq in 2021. Through this intervention, an additional 352 households (or 2,800 people) residing by IDPs, refugees and host community members in Erbil are accessing regular and clean water supply.</p>
	5.6. To what extent did the project address the negative impacts of the Covid-19 pandemic?	In addition to measures described earlier under <b>effectiveness</b> , desk review and key informant interviews revealed that the project responded to the COVID-19 pandemic and its negative impact on the operational capacities of local institutional partners. It did this by providing municipalities of Erbil, Dohuk, Sumel, Mosul and Sinjar with Personal Protective Equipment (PPEs) supplies to enhance their capacities to safely provide services to the most vulnerable populations. In addition, as a counter measure and in light of the continued COVID-19 pandemic in 2021, UN-Habitat provided additional PPEs and water purification materials to the municipalities and water directorates in Erbil, Mosul and Sinjar.
6. Sustainability (analyzes whether benefits of Headway project activities are likely to continue in the long-term after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable)	6.1. To what extent were lessons learned documented by the project team and shared with appropriate parties for learning purposes?	Desk review reveal that documentation of lessons learned and sharing with appropriate parties was conducted all through the years of the project: 2019, 2020 and 2021.
	6.2. Are there any risks (financial, social, political, or otherwise) resulting from the intervention that may potentially jeopardize continuity of the project's contributions?	<p>The evaluation looked mainly at the <b>financial risk</b> and risk related to <b>managing expectations from stakeholders</b>; two key factors likely to affect the continuation of the Headway project's contributions.</p> <p>In terms of <b>financial risks</b>, the outlook is mix. The impact of the Headway on stakeholders leaves behind a strong memory of a very successful project. This memory has motivated the Governorates to ask for its continuation, as was evident in almost all the key informant interviews. Key informant interviews also revealed that given the continued conflict in Syria, it is likely that more refugees will cross over to the Kurdistan Region of Iraq (KRI). This will overwhelm the resources that the KRI has. The implication is that further external assistance is required to address these needs.</p>

<sup>252</sup> Headway project progress report, 2020 & 2021, section, III. Progress review: Key Activities and Results.

<sup>253</sup> Ibid

		<p>Desk review and key informant interviews revealed that the financial risk to addressing the current refugees' crisis is low at least up to 2024. The response to refugee crisis is UNDP's strategic priority for Iraq. This is evident in the <b>UNDP Country Programme Document (2020-2024): Output 2.2: Promote social cohesion, prevention of violent extremism and sustainable development; Output 2.2: Access to livelihood and employment creation opportunities increased in locations affected by and vulnerable to conflict.</b> Similarly, it is <b>UN-Habitat Iraq (2020-2023) Strategic Priority 5: Strengthened stabilization, development and peace building initiatives support area-based interventions in locations of displacement, return or relocation to enhance the achievement of voluntary, safe and dignified durable solutions for displacement affected populations, with focus on; supporting IDPs in areas of return with core-housing solutions, rehabilitation of infrastructure, vocational training and HLP solutions.</b><sup>254</sup> These UN strategies correspond to the <b>Iraq National Priority of Goal: Framework of Government Programme (2014-2018): Priority 1: Working to achieve Iraq's security, stability, and protection of its facilities; and Priority 2: Upgrade living standard and services provision for citizens.</b><sup>255</sup> These actions demonstrate the ability of the partnership to foresee financial risks and draw plans to address them. It also demonstrates the partnership's ability for preparedness in anticipation of further crisis, and these have been addressed at the policy and strategic levels.</p>
	6.3. To what extent are the results of the intervention likely to be sustained in the long-term after completion of activities and handover to end-user?	<p>Desk review revealed that the Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market. Desk review also revealed that similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development. In that respect, the GS, inclusive of the Missing Entrepreneurship (ME) component should be seen as a flagship initiative to be replicated and expanded by local authorities and international donors.</p> <p>In regards to sustenance of the employments created, desk review and key informant interviews revealed that this will very much depend on the economic growth and overall business environment in KRG. Therefore, partnerships with SMEs are essential in order for the companies that benefit from these programmes to also benefit from using common instruments of the labour market – announcements and interviews.</p> <p>From a policy perspective, desk review revealed that the project helped to integrate lessons learnt into the broader recovery and development planning of the target municipalities and governorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar. As described earlier under <b>impact</b>, the project supported the development and dissemination of the <i>Manual for Water Distribution Systems and Operations and Maintenance Guidelines</i>, already in use by respective Water Directorates in Dohuk, Erbil, Sumel, Mosul, and Sinjar municipalities. These municipalities have also assumed responsibility for the operation and maintenance of the rehabilitated water networks.</p>
	6.4. To what extent the project is likely to be replicated at national level with national resources?	<p>As described earlier under <b>impact</b>, the project Job Creation Grant Scheme (GS), inclusive of the Missing Entrepreneurship (ME) component had been implemented with the active participation of the local authorities and in partnership with private businesses. In this way, it can be modelled as a pilot and is easily replicable in the future.</p> <p>Again, as described earlier under <b>impact</b>, the Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market.</p>
	6.5. Assess the ownership of beneficiaries (vulnerable host communities, IDPs and Syrian refugees) of the project's outcomes and deliverables.	<p>As described earlier under <b>impact</b>, the technical and social impacts of the project on the community structures has been substantial because the project was built on incorporating local labour in the rehabilitation of houses in their respective neighbourhoods, thus encouraging community ownership.</p> <p>In addition, as described earlier under <b>effectiveness</b>, approximately three-quarters (75%) of the businesses supported by the Job Creation Grant Scheme expanded their operations and/or diversified into new areas. Moreover, some of the employees of companies have also established their own business. This is evidence that beneficiaries are already owning the outcomes of the project.</p>
	6.6. Are there any Headway project actions that posed environmental threat to the sustainability of project outputs?	<p>The project anticipated that its activities may deteriorate the environment conditions, especially in as far as use of groundwater resources and removal of green cover in areas where drilling of boreholes and construction of wells were carried out. However, as desk review and key informant interviews revealed, the negative effects were low.</p>
	6.7. Project transition and exit strategy	<p>From the stakeholders' point of view, the project needs to prioritize these key areas as it closes:</p> <ol style="list-style-type: none"> <li>Organize a stakeholders' engagement and transition and exit meeting – another opportunity to speak to stakeholders as part of the project transition and exit process. This should be an opportunity to present a summary of the final evaluation report to project stakeholders. Breakaway groups could be used to discuss each of the recommendations and lessons learnt, as they could inform new areas for new response and project development.</li> </ol>

<sup>254</sup> UN-Habitat Iraq Programme Overview for Iraq (2020-2023), p.6.

<sup>255</sup> National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)

		<p>b) As part of the transition and exit strategy, UNDP and UN-Habitat could continue to provide technical oversight to municipalities under the project components. This is especially possible given that both UNDP and UN-Habitat are still involved in the LADP III implementation in the same Governorates with similar interventions. This can range from joint monitoring to joint reviews.</p>
<b>7.1. Human Rights</b>	<ul style="list-style-type: none"> <li>To what extent have groups with diverse identities i.e., persons with differing characteristics based on their socio – economic class, political ideology, religious identity/ethnicity, physical ability, and other disadvantaged and marginalized groups been considered during the design, implementation, and monitoring phase?</li> </ul>	<p>The project involved the vulnerable host communities (VHC), the IDPs and Syrian refugees (women, men, and youth), during the rapid needs assessments conducted in 2016 and repeated in 2019.<sup>256</sup> In regards to their involvement in the project implementation, desk review revealed that of the 700 persons employed through the Job Creation Grant Scheme, 241 (34%) were women, 97 (14%) were IDPs, 114 (14%) were refugees, and 502 (72%) were VHC.<sup>257</sup> Of the 258 people who remained employed in the companies after completion of the projects, 163 (63%) were women and 95 (37%) were men.<sup>258</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies and influenced their participation in both the market and public spaces. Similarly, desk review revealed that of a total of 227 persons who participated in the project monitoring through Focus Group Discussions (FGD) <sup>259</sup>, there was almost an equal participation of women (77 or 34%), men (74 or 33%) and youth (76 or 33%) in the monitoring of project performance. By including minority groups in the project implementation and monitoring, the project demonstrated the human right-based approach (HRBA) and Leave No One Behind, a policy priority of the Agenda 2030 for Sustainable Development.</p>
	<ul style="list-style-type: none"> <li>To what extent has the project promoted a rights-based approach for all groups of persons and especially promote international laws and commitments made by Iraq?</li> </ul>	<p>In assessing the promotion of a rights-based approach in the project, the Evaluator examined three categories of rights: (a) economic, social and cultural rights, (b) security rights, and (c) political rights.</p> <p>In terms of cultural rights, the project applied local house designs and used local expertise within the community in its housing rehabilitation initiatives that also encouraged the development of local skills and economy.<sup>260</sup> This community-based approach allowed the hosts, IDPs and refugee communities to have control of their own recovery processes as they become part of the solution and implementation process.</p> <p>Further, in terms of economic rights, the project's support through increased access to employment benefits for the most vulnerable groups, has partially lifted the financial burden on local authorities to provide all services to these groups. Similarly, the political tension between the host community members, and IDPs and refugee populations, for access to economic opportunities has also been reduced.</p> <p>Also, by linking the humanitarian interventions with the recovery needs of affected populations in the neighbourhoods, the project was responding to social rights for all groups of persons. In addition to rehabilitating houses in targeted areas, the project also addressed recovery needs of the neighbouring local populations through the upgrade of water network infrastructure to ensure regular supply of clean water to the wider community.</p> <p>In addressing the above, the project demonstrated Iraqi Government's commitment to meeting the economic, social, cultural, security, and political rights of the host community members, and IDPs and refugee populations; and to key International Human Rights Treaties:</p> <ol style="list-style-type: none"> <li>Geneva Convention on Protection of Victims of International Armed Conflicts (Protocol I), ratified on 4 January 2010.<sup>261</sup></li> <li>International Convention on Civil and Political Rights, ratified on 25 January 1971.<sup>262</sup></li> </ol>
	<ul style="list-style-type: none"> <li>What are the avenues for improvements in promoting human rights standards across similar interventions in future?</li> </ul>	<p>The International Human Rights Treaty Article 2, states: <i>"Everyone is entitled to the rights and freedom set forth, without distinction of any kind, such as race, colour, sex, language, religion, political, or other opinion, national or social origin, property, birth or other status"</i>.<sup>263</sup> As described earlier under <b>Relevance</b>, persons with disabilities (PWDs) have been mentioned in the project design. Key informants and Focus Group Discussions also revealed that PWDs do exist among hosts, IDPs and refugee populations.<sup>264</sup> But lack of disaggregated data on disability in both the project Results Framework and in progress reports, hindered any conclusion that the project design was relevant for this vulnerable group.<sup>265</sup> The evaluation finds this as a gap in the project design, as the inclusion of PWDs through data disaggregation would have revealed how the intervention enabled then to access some of the project services.</p>

<sup>256</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

<sup>257</sup> Refer to Headway project progress report, 2021, Output 3.2

<sup>258</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>259</sup> Headway Progress Report 2020: Section 3 for Iraq: Monitoring and Evaluation of Activities; numbers computed from the table of FGD participants.

<sup>260</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

<sup>261</sup> Source: [hrlibrary.umn.edu](http://hrlibrary.umn.edu)

<sup>262</sup> Ibid

<sup>263</sup> Office of the United Nations High Commissioner for Human Rights. The Core International Human Rights Treaties. UNITED NATIONS, New York and Geneva, 2006.

<sup>264</sup> On-site observations by the Evaluator

<sup>265</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, p.5)

<b>7.2. Gender</b>	<ul style="list-style-type: none"> <li>To what extent has gender been mainstreamed, in addition to sufficient consideration provided for its intersectional effects within the design, implementation and monitoring of the project?</li> </ul>	<p>The evaluation assessed mainstreaming of gender through gender-responsive indicators such as sex and gender disaggregated data in the progress reports. At project design, the gender dimension of vulnerability was assessed through desk review of the project document and key issues were identified.<sup>266</sup></p> <p>While the activities in the project work plan do not disaggregate gender data (women, men, and youth), the progress reports of 2020 and 2021 do, as desk review revealed. For example, through assessment of gender-disaggregated data, over 30% of the beneficiaries of the Job Creation Grant who participated in a Focus Group Discussion (FGD) in this evaluation in Erbil Governorate, were women and 70% were men. This demonstrated the level at which the project attempted to ensure gender low participation identified at project design was addressed during project implementation.</p> <p>In regards to mainstreaming gender in project implementation, desk review revealed that in the Job Creation Grant Scheme (Missing Enterprise component), where 258 people remained employed in the companies after completion of the projects, a greater proportion (163 or 63%) were women, and 95 (or 37%) were men.<sup>267</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies and influenced their participation in both the market and public spaces. In the sex dimension, of the 258 persons who remained employed for more than 6 months, 109 were males and 73 were females.</p>
	<ul style="list-style-type: none"> <li>Is the gender marker assigned to this project representative of reality?</li> </ul>	<p>As described earlier above, at project design, the gender dimension of the vulnerability was assessed and key issues were identified. During project implementation, gender was mainstreamed in the project implementation, and so was gender mainstreamed in the monitoring of the project. Based on the above, the evaluation found that the project demonstrated significant contribution (<b>Gender Equality Marker, GEM =2<sup>268</sup></b>) in mainstreaming gender, and empowering and protecting women's rights.</p>
	<ul style="list-style-type: none"> <li>To what extent has the project promoted positive changes in gender equality and advanced the empowerment of women? Were there any unintended effects and what were its impact on the project and the community of engagement?</li> </ul>	<p>As described earlier under <b>Human Rights</b>, of a total of 227 persons who participated in the project monitoring, there was almost an equal number of women (77 or 34%), men (74 or 33%) and youth (76 or 33%) in the monitoring of the project performance. Further, as described under <b>Gender</b>, of the 258 people who remained employed in the companies after completion of the projects, a greater proportion (163 or 63%) were women, and 95 (or 37%) were men.<sup>269</sup> By having more women remain in employment after project closure, the project empowered women to take charge of their destinies and influenced their participation in both the market and public spaces.</p> <p>Similarly, as described earlier under <b>effectiveness</b>, of the 25 technical staff and engineers from Erbil, Dohuk, Mosul, Sumel, and Sinjar municipalities trained on the effective operations and maintenance of the WASH infrastructure, 7 were females and 18 were males.</p>
	<ul style="list-style-type: none"> <li>Were sufficient resources made available for gender mainstreaming?</li> </ul>	<p>Based on the Evaluator's professional rating of the project's contribution to gender mainstreaming at <b>Gender Equality Marker, GEM = 2</b>, which value represents "significant contribution", the evaluation concludes that the project indeed allocated sufficient resources within its budget to mainstream gender, and empower and protect women's rights, within its design, implementation and monitoring.</p>
	<ul style="list-style-type: none"> <li>What are the avenues for improvement in considerations for gender and its intersectional effects across the project?</li> </ul>	<p>Information derived from desk review and key informants revealed that much as women are being engaged in projects of national interest, their number and participation in decision-making and planning processes is still low. A component of advocacy in the project design led by a woman to encourage women's equal participation in decisions that affect the whole community is essential in addressing this gap.</p> <p>UNDP and UN-Habitat's gender responses were constrained by lack of disaggregated baseline data on gender (women, youth and men).<sup>270</sup> It was, therefore, difficult to assess the trend in gender participation in the project since there was no benchmark. This is one area in gender-responsive monitoring and evaluation that needs to be improved in future project designs.</p>
<b>7.3. Disability</b>	<ul style="list-style-type: none"> <li>Were persons with disabilities consulted and involved in project planning and delivery?</li> </ul>	<p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>
	<ul style="list-style-type: none"> <li>What proportion of the beneficiaries of a project were persons with disabilities?</li> </ul>	<p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>
	<ul style="list-style-type: none"> <li>What barriers did persons with disabilities face during the project delivery?</li> </ul>	<p>PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.</p>

<sup>266</sup> UNDP and UN-Habitat Headway Project Document (14 December 2018, p.6)

<sup>267</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>268</sup> GEM 2 implies the project was Gender Responsive (i.e. deliberately addresses gender differences and gender inequalities in roles, responsibilities, rights and relations)

<sup>269</sup> Refer to Headway project progress report, 2021, key results under Key Activity 3.2.1

<sup>270</sup> UNDP/UN-Habitat Headway and Municipal Empowerment and Resilience Project Document (14 December 2018, Output 2.2., Activity 2.23, p.28)

	<ul style="list-style-type: none"> <li>Was a twin-track approach adopted?<sup>271</sup></li> </ul>	PWDs were considered under the project as household beneficiaries as per SEVAT results, but they were not involved in the implementation.
--	--	---

---

<sup>271</sup> The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>



Annex 8. *Audit trail form*

Chapter and section number	Paragraph number/ line number	Comments	Evaluation team responses and/ or actions taken

Annex 9: List of stakeholders interviewed

Stakeholders	Entity/Position	Mode of Interview / Methods of Data Collection	Number of Persons interviewed	
			Male	Female
United Nations	<b>UNDP</b>			
	Deputy Resident Representative	Online platform/Consultations	1	
	Programme Management Support Unit	Online platform/Consultations	1	
	Programme Manager	Face to face/Consultations	1	
	Programme Analyst	Face to face/Consultations	1	
	M&E Specialist		1	
	<b>UN-HABITAT</b>			
	Head of Iraq Programme	Online platform/Consultations	1	
	Deputy Head of Iraq Programme	Online platform/Consultations		1
	Project Manager	Face to face/Consultations	1	
Donor	<b>EU</b>			
	Representation from EU TF for the Syrian Crisis	Online platform/Consultations	1	1
Governorate	<b>Partner and Position</b>			
Erbil	<b>Governorate Authorities:</b>			
	Former Head of Erbil Joint Crisis Coordination Centre (EJCC)	Online platform/KII		1
	Current Head of Erbil Joint Crisis Coordination Centre (EJCC)	Face to face/KII		1
	Deputy Governor of Erbil Governorate	Face to face/KII	1	
	<b>Municipals:</b>			
	Director of Erbil Municipality No. 6	Face to face/KII	1	
	Director of Erbil Water Directorate	Face to face/KII	1	
	<b>Implementing Partner (UN-Habitat):</b>			
	Field Engineer of the Project in Erbil	Online platform/KII	1	
	<b>NGOs (UNDP):</b>			
	Project Coordinator, Rwanga Foundation	Face to face/KII		1
	<b>Private Sector(UNDP):</b>			
	Management, Businesses (SMSE)	Face to face/FGD	3	
	<b>Beneficiaries (UNDP)</b>			
	Beneficiary Employees (4 IDPs, 2 Refugees)	Face to face/FGD	4	2
	<b>Beneficiaries (UN-Habitat)</b>			
	Housing Beneficiaries (2 IDPs, 1 Refugee, and 1 Host)	Face to face/FGD	2	2
	<b>Governorate Authorities:</b>			
	Head of Dohuk Joint Crisis Coordination Centre (DJCC)	Online platform/KII		1
	<b>Municipals:</b>			

Dohuk	Director of Dohuk Municipality	Online platform//KII	1	
	Director of Dohuk Water Directorate	Online platform//KII	1	
	Director of Sumel Municipality	Online platform//KII	1	
	<b>Implementing Partner (UN-Habitat)</b>			
	Field Engineer of the Project in Dohuk	Online platform//KII	1	
	Field Engineer of the Project in Sumel	Online platform//KII	1	
	<b>Private Sector (UNDP):</b>			
	Management, Businesses (SMSE)	Online platform//FGD	2	
	<b>Beneficiaries (UNDP)</b>			
	Beneficiary Employees (2 Hosts, 1 IDP)	Online platform//FGD	1	2
Ninewa	<b>Governorate Authorities:</b>			
	Deputy Governor of Ninewa for Displaced Affairs and Organizations	Online platform/KII	1	
	<b>Municipals:</b>			
	Assistant Director of Mosul Municipality	Online platform/KII	1	
	Assist Director of Planning & Head of Coordination Unit at Water Directorate of Mosul	Online platform/KII	1	
	Director of Sinjar Municipality		1	
	Director of Sinjar Water Directorate	Online platform/KII	1	
	<b>Implementing Partner (UN-Habitat)</b>			
	Field Engineer of the Project in Mosul	Online platform/KII	1	
	Field Engineer of the Project in Sinjar	Online platform/KII	1	
	<b>Beneficiaries (UN-Habitat)</b>			
	Housing Beneficiaries (Returnees families)	Online platform/FGD	4	2
Sulaymaniyah	<b>Private Sector (UNDP)</b>			
	Management, Businesses (SMSE)	Face to face/FGD	1	1
	<b>Beneficiaries (UNDP)</b>			
	Beneficiary Employees (2 Host, 1 Refugee)	Face to face/FGD		3
<b>SUB-TOTAL</b>			<b>41 (69%)</b>	<b>18 (31%)</b>
<b>GRAND TOTAL</b>			<b>59</b>	

## Annex 10. List of documents reviewed

Accountability to affected population. accessible here: <http://www.iom.int>AAP>

Entity Accountability Framework. UN Disability and Inclusion Strategy: <https://www.un.org/en/disabilitystrategy/resources>

Euro-Med Human Rights Monitor report titled: Exiled at Home, accessible here: <https://reliefweb.int/sites/reliefweb.int/files/resources/IraqReportEN.pdf>

Evaluation Guidelines of the United Nations Development Programme. Source: <http://www.undp.org/evaluation>

Headway PRODOC: Source: <https://open.undp.org/projects/00117563>

Integrating Gender Equality and Human Rights in Evaluation - UN-SWAP Guidance, Analysis and Good Practices. Source: <http://www.unevaluation.org/document/detail/1452>

Monitoring and Evaluation guidelines of the EU Regional Madad Trust Fund. Source: [https://ec.europa.eu/trustfund-syria-region/monitoring-evaluation\\_en](https://ec.europa.eu/trustfund-syria-region/monitoring-evaluation_en)

National Development Plan for Iraq (2018-2022) and National Development Plan for the Kurdistan Region of Iraq, KRI (2018-2022)

ODAC criteria: source: <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

OECD (FEBRUARY 2020). BETTER CRITERIA FOR BETTER EVALUATION. Source: <https://www.oecd.org>dac>

Office of the United Nations High Commissioner for Human Rights. The Core International Human Rights Treaties. UNITED NATIONS, New York and Geneva, 2006.

Ritche, J; Lewis, J, & Elam, G. (2003). Designing and selecting samples. In Jane Ritche & Jane Lewis (Eds.), Qualitative research practice. A guide for social science students and researchers (pp. 77-108). Sage.

Thomas L. Wheelen and J. David Hunger (2007). Concepts in Strategic Management and Business Policy. Pearson International Edition.p.15

UNDP Audit trail template accessible here. Source: <http://web.undp.org/evaluation/guideline/documents/Template/section-4/Sec 4 Template 7 Evaluation Audit trail form.docx>

UNDP Evaluation Guidelines (2021). Source: [http://web.undp.org/evaluation/guideline/documents/PDF/UNDP\\_Evaluation\\_Guidelines.pdf](http://web.undp.org/evaluation/guideline/documents/PDF/UNDP_Evaluation_Guidelines.pdf)

UNDP IEO|Independent Evaluation Office, New York, USA. Annex 2: Summary of common data collection methods/sources used in UNDP evaluations. UNDP Evaluation Guidelines, version 2019.

UNDP, Iraq Country Office (2022). Final Report of the Midterm Evaluation of the UNDP Funding Facility for Economic Reform in KRG, June 2022.

UNDP, Iraq Country Office. Terms of Reference for the Final Evaluation of the Headway Project, 15 February 2022.

UNDP Iraq Country Programme Document (CPD) 2020-2024. Source: <https://www.iq.undp.org/content/iraq/en/home/library/iraq-cpd-2020-2024.html>

UNDP, Iraq Country Office. Suggested minimum content/guidance on Inception Report Template.

UNDP Outcome–level evaluation: A Companion Guide – Sample Evaluation Matrix, p.33-35.

UNDP (2009). Handbook on Planning, Monitoring and Evaluating for Development results, Source: <http://www.undp.org/eo/handbook>

UNDP Quality Assessment Checklists-June 2021 accessible here: <http://web.undp.org/evaluation/guideline/section-6.shtml>

UNDP Strategic Plan (2018-2021), Annex 2: Integrated results and resources framework. Pp.9-12.

UNDP Evaluation guidelines during COVID-19: Source: <http://web.undp.org/evaluation/guideline/covid19.shtml>

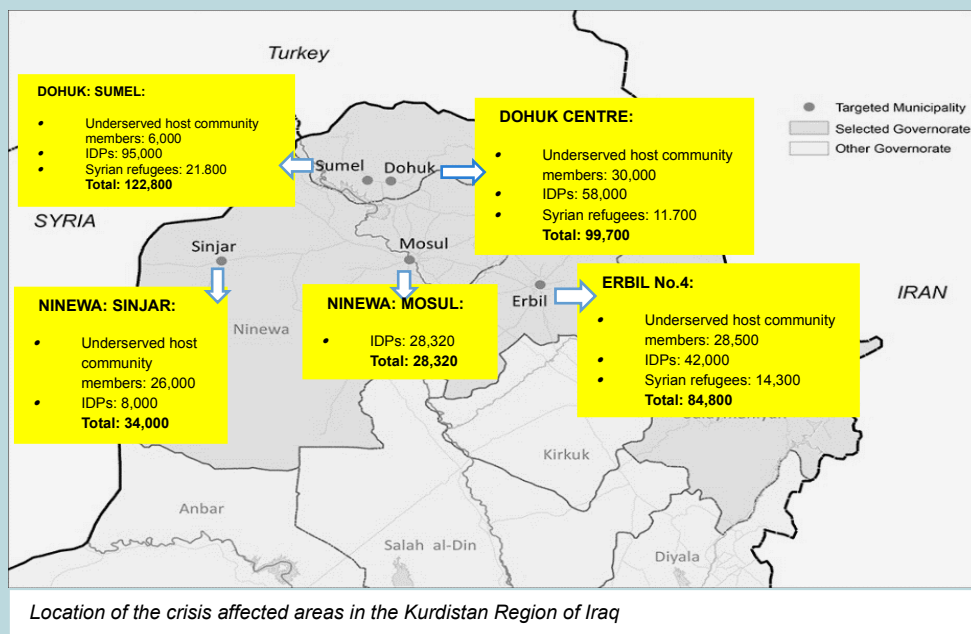
UNDP Evaluation report template and quality standards (pages 117-121). Source: <http://www.unevaluation.org/document/detail/100>

UNEG guidelines, Source: <http://www.unevaluation.org/document/detail/100>

UN Code of conduct" forms. Source: <http://www.unevaluation.org/document/detail/100>

UNDP Audit trail template. Source: <http://web.undp.org/evaluation/guideline/documents/Template/section-4/Sec 4 Template 7 Evaluation Audit trail form.docx>

UN-Habitat Evaluation Manual. Source: <https://unhabitat.org/sites/default/files/2018/07/UN-Habitat-Evaluation-Manual-April-2018.pdf>



## Strengthening the Long-term Resilience of Sub-national Authorities in countries affected by the Syrian and Iraqi Crisis – The Headway Project in Iraq

### Final Evaluation

22 September 2022

#### INTRODUCTION

The **main objective** of the **Headway Project** is to improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing and economic opportunities.

The **specific objectives** are: (a) Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations, (b) Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations, and (c) Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.

The **Project duration** was from 01 January 2019 - 30 April 2022, with a **total funding** of EUR € 9,999,999 (approx. US\$ 11,372,035), all funds coming from EU Regional Trust Fund in Response to the Syrian Crisis 'Madad Fund'. The overall expenditure by project end on 30 April 2022 for the UNDP Component of the Job Creation Grant Scheme was US\$ 5,263,634.52.

Between June and September, 2022, a Final Evaluation of the Headway Project was undertaken. The evaluation was initiated by the UNDP and UN-Habitat Country Offices in Iraq, and conducted under the supervision and guidance of UNDP and UN-Habitat Senior and Project Management Teams in Iraq.

#### EVALUATION PURPOSE, SCOPE, AND OBJECTIVES

##### PURPOSE

##### LEARNING, ACCOUNTABILITY AND TRANSPARENCY

Generate actionable recommendations and, lessons learnt and good practices that can improve the sustainability of benefits from the project, and aid in the overall enhancement of similar future programming.

##### SCOPE

**TIMEFRAME:** 12 June – 22 September 2022

**GEOGRAPHY:** Iraq, in the Governorates of: Erbil, Dohuk, and Sulaymaniyah

**COMPONENT:** Job Creation Grant Scheme

**PERIOD EVALUATED:** 01 January 2019 – 30 April 2022

##### OBJECTIVES

##### RELEVANCE, COHERENCE, EFFECTIVENESS, EFFICIENCY, IMPACT, AND SUSTAINABILITY

Assess project achievements, human rights, gender mainstreaming and equality, and inclusion of diverse groups, potential added value, and improvements for future design and partnerships

## EVALUATION APPROACH AND METHODS

A qualitative design was used, and a mixed method for data collection was applied. Primary data was collected through face-to-face interviews and on-line platforms (WhatsApp, Zoom, and Ms Teams). A total of 36 persons (23 male and 13 female), including UNDP senior management and project teams, European Union, Governorates and Municipalities, NGOs and beneficiaries, were interviewed. Secondary data was gathered through desk review of project documents and literature, progress reports, knowledge products, and other documents and reports provided by the project teams. Data analysis was done using three methods: contribution analysis, change analysis, and responsibility

## EVALUATION FINDINGS

In terms of relevance, the Job Creation Grant Scheme was relevant. The Job Creation Grant Scheme tailored towards the vulnerable IDPs and refugee populations, has enabled them to realize to enter the labour market.

In terms of coherence, the project's strong engagement with other actors with similar interventions at the design phase, helped to avoid duplication in interventions, and so ensured best use of resources..

The effectiveness is key strength of the project when judged from the full or over-achievement of all project output targets. Most negative effects, such as the impact of COVID-19 pandemic, were addressed by the participatory planning process by modifying the approach to project interventions, and so enabled the project to continue to provide services to the vulnerable populations.

The efficiency in project management is demonstrated in the project's success in implementing and completing all its activities with high quality, with expenditure kept within the overall total budget. The capacity development actions that strengthened partnerships with partners was a key factor in increasing the project's planning and implementation processes..

Impact was heightened by linkages to Governorates and Municipalities structures and was greater when participatory planning set realistic targets and implemented reliable interventions. The project impact was ably communicated and reached a variety of project and non-project stakeholders - from global, national, to community levels.

Sustainability was demonstrated by a strong sense of local ownership in the project and highly visible Iraqi technical management. The businesses supported through the Job Creation Grant Scheme should survive without EU and UNDP funding, as the Grant mostly built on already existing businesses.

The project mainstreamed gender as judged from gender-responsive indicators that measure the participation of the community by sex (male & female) and gender (women, men and youth). It scored well in mainstreaming gender in its interventions (Gender Equality Marker, GEM = 2).

## CONCLUSIONS

The Job Creation Grant Scheme was efficient, coherent, inclusive, effective, make a positive impact, relevant and sustainable. It emphasized participatory planning in which the rights and responsibilities of implementing agencies and partners and of beneficiaries were fully recognized. It is difficult to assess what would have happened if the European Union, UNDP and UN-Habitat had not intervened in the Kurdistan Region of Iraq, in response to the IDPs and refugees crisis. The probabilities are that, the crisis would have been worse than it is now. Access to water, housing units and employment opportunities would have been lower. The following recommendations are worth paying attention to for future similar project designs:

## RECOMMENDATIONS

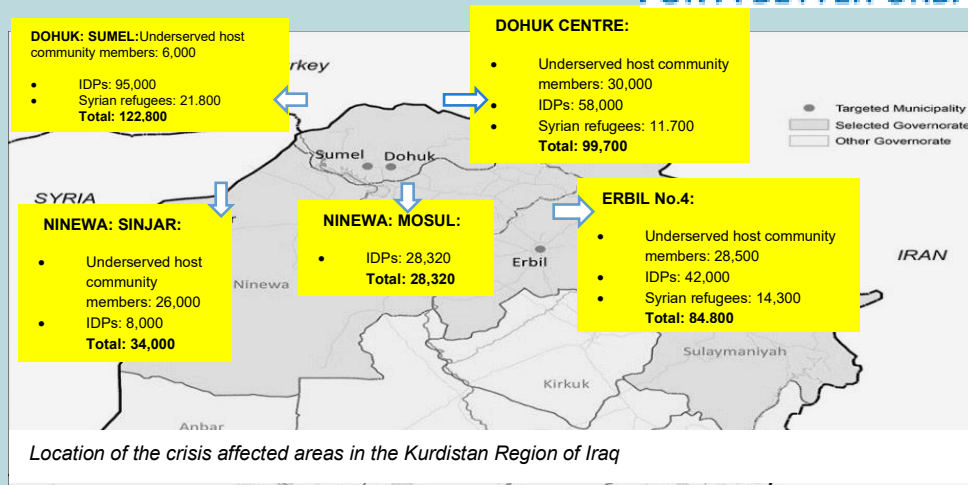
- a) Follow on the achievements made so far:
  - Scale up the project, keeping the Job Creation components. In addition, FAO would be an important partner in the development of appropriate agricultural interventions for both hosts and refugee populations for sustainable food supply and improvements in incomes.
- b) Project Design:
  - Improve future project design with clarity on the engagement with persons with disabilities and disaggregation of disability data at baseline, targets and during implementation and reporting.
- c) Project Implementation:
  - Future interventions should be more developmental-oriented rather than relief-oriented, which may require less funding but have a more structural impact.
- d) Monitoring and Evaluation:
  - Improve measurement of project impact and outcome

## LESSONS LEARNED

- UNDP and its partners implementing the project were already in the country, and even in locations where the project was being implemented. This allowed the Headway project to quickly become operational after awarding the grant, and so allowed fast service delivery to beneficiaries and affected communities.
- Involvement of governmental structures in service delivery had an added advantage. Local structures have received much needed capacity building.
- By focusing on the livelihoods of the very poor households, the project interventions met the needs of the hosts, IDPs and refugee populations because they were directly involved in defining them.
- The Missing Entrepreneurship (ME) component demonstrates that Micro, Small, Medium Scale Enterprises are appropriate and effective in reaching a diversity of families in a difficult environment such as that in the Kurdistan Region of Iraq.

## GOOD PRACTICES

- The Job Creation Grant Scheme (GS) has a long-term effect on the improvement of the labour market, thus creating an environment for sustainable economic development based on market. Similar interventions will start to replace the humanitarian and resilience instruments like cash-for-work as far as KRG is prepared to move from humanitarian assistance to support for development.
- The annual outcome monitoring of beneficiary perception of and satisfaction with the project interventions through Focus Group Discussions was clearly a good practice. It enables the Donor (EU) and UNDP and its implementing partners to gain more reliable information about the outcome and impact of interventions as project implementation goes on.



## Strengthening the Long-term Resilience of Sub-national Authorities in countries affected by the Syrian and Iraqi Crisis – The Headway Project in Iraq

**Final Evaluation**  
 22 September 2022

### INTRODUCTION

The **main objective** of the **Headway Project** is to improve the resilience of host and refugee population in communities impacted by the Syrian crisis, through strengthened local multi-level governance systems, and improved access to basic services, affordable housing and economic opportunities.

The **specific objectives are:** (a) Subnational authorities have enhanced capacities to engage in holistic, area-based planning and consider different scenarios that respond to the needs of host, refugee and IDP populations, (b) Service delivery is increasingly responsive, and generates greater social stability outcomes, based on the needs of host, refugee and IDP populations, and (c) Subnational authorities are empowered to facilitate local economic development and have better access to municipal investment that benefits the extension of safe public services and economic opportunities for host, refugee and IDP populations.

The **Project duration** was from 01 January 2019 - 30 April 2022, with a **total funding** of EUR € 9,999,999 (approx. US\$ 11,372,035), all funds coming from EU Regional Trust Fund in Response to the Syrian Crisis 'Madad Fund'. The overall expenditure by project end on 30 April 2022 for the Water, Sanitation and Hygiene Infrastructure and Housing Units Component was US\$ 5,620, 240.

Between June and September, 2022, a Final Evaluation of the Headway Project was undertaken. The evaluation was initiated by the UNDP and UN-Habitat Country Offices in Iraq, and conducted under the supervision and guidance of UNDP and UN-Habitat Senior and Project Management Teams in Iraq.

### EVALUATION PURPOSE, SCOPE, AND OBJECTIVES

#### PURPOSE

#### LEARNING, ACCOUNTABILITY AND TRANSPARENCY

Generate actionable recommendations and, lessons learnt and good practices that can improve the sustainability of benefits from the project, and aid in the overall enhancement of similar future programming.

#### SCOPE

**TIMEFRAME:** 12 June – 22 September 2022

**GEOGRAPHY:** Iraq, in the Governorates of: Erbil, Dohuk, and Ninewa

**COMPONENTS:** Water, Sanitation and Hygiene Infrastructure • Rehabilitation of Housing Units

**PERIOD EVALUATED:** 01 January 2019 – 30 April 2022

#### OBJECTIVES

### EVALUATION APPROACH AND METHODS

A qualitative design was used, and a mixed method for data collection was applied. Primary data was collected through face-to-face interviews and on-line platforms (WhatsApp, Zoom, and Ms Teams). A total of 39 persons (26 male and 13 female), including UN-Habitat senior management and project teams, European Union, Governorates and Municipalities, and beneficiaries, were interviewed. Secondary data was gathered through desk review of project documents and literature, progress reports, knowledge products, and other documents and reports provided by the project teams. Data analysis was done using three methods: contribution analysis, change analysis, and responsibility assignment mapping.



## EVALUATION FINDINGS

In terms of relevance, the WASH Infrastructure and Rehabilitation of Housing Units were relevant. The high relevance of the components is well demonstrated in the WASH infrastructure by the increased demand for water from not only the hosts, IDPs and refugees populations, but also the wider community. The housing units offered solutions to the safety and protection concerns of the vulnerable women and girls against potential exposure to sexual violence at night.

In terms of coherence, the project's strong engagement with other actors with similar interventions at the design phase, helped to avoid duplication in interventions, and so ensured best use of resources.

The effectiveness is key strength of the project when judged from the full or over-achievement of all project output targets. Most negative effects, such as the impact of COVID-19 pandemic, were addressed by the participatory planning process by modifying the approach to project interventions, and so enabled the project to continue to provide services to the vulnerable populations.

The efficiency in project management is demonstrated in the project's success in implementing and completing all its activities with high quality, and with expenditure within the overall total budget. The capacity development actions that strengthened partnerships with partners was a key factor in increasing the project's planning and implementation processes..

Impact was heightened by linkages to Governorates and Municipalities structures and was greater when participatory planning set realistic targets and implemented reliable interventions. The project impact was ably communicated and reached a variety of project and non-project stakeholders - from global, national, to community levels.

Sustainability was demonstrated by a strong sense of local ownership in the project results and highly visible Iraqi technical management. Participatory planning, in which rights and responsibilities were negotiated, best demonstrated in the WASH infrastructure and rehabilitation of housing units, was critical to the sense of ownership.

The project mainstreamed gender as judged from gender-responsive indicators that measure the participation of the community by sex (male & female) and gender (women, men and youth). It scored well in mainstreaming gender in its interventions (Gender Equality Marker, GEM = 2).

## CONCLUSIONS

The WASH infrastructure and rehabilitation of housing units were efficient, coherent, inclusive, and effective, make a positive impact, relevant and sustainable. They emphasized participatory planning in which the rights and responsibilities of implementing agencies and partners and of beneficiaries were fully recognized. It is difficult to assess what would have happened if the European Union and UN-Habitat had not intervened in the Kurdistan Region of Iraq, in response to the IDPs and refugees crisis. The probabilities are that, the crisis would have been worse than it is now. Access to WASH infrastructure and housing units would have been lower. The following recommendations are worth paying attention to for future similar project designs:

## RECOMMENDATIONS

- a) Follow on the achievements made so far:
  - Scale up the project, keeping the WASH infrastructure and rehabilitation of housing units components.
- b) Project Design:
  - Improve future project design with clarity on the engagement with persons with disabilities and disaggregation of disability data at baseline, targets and during implementation and reporting.
- c) Project Implementation:
  - Future interventions should be more developmental-oriented rather than relief-oriented, which may require less funding but have a more structural impact.
- d) Monitoring and Evaluation:
  - Improve measurement of project impact and outcome

## LESSONS LEARNED

- UN-Habitat and its partners implementing the project were already in the country, and even in locations where the project was being implemented. This allowed the Headway project to quickly become operational after awarding the grant, and so allowed fast service delivery to beneficiaries and affected communities.
- Involvement of governmental structures in service delivery had an added advantage. Local structures have received much needed capacity building.

## GOOD PRACTICES

- Linking the humanitarian interventions with the recovery needs of affected neighborhoods is a good practice. In addition to the rehabilitation of houses in targeted areas, the Project also addressed recovery needs of local populations through the upgrade of water network infrastructure to ensure regular supply of clean water to the wider community.
- Engaging locally hired labour in the rehabilitation of houses in their respective neighborhoods had substantial impact. In addition to supporting the livelihood and local economic development in the target locations, engaging labour from among direct beneficiaries of the house rehabilitation component results in more social cohesion between the host community members, refugees and IDPs.
- The annual outcome monitoring of beneficiary perception of and satisfaction with the project interventions through Focus Group Discussions was clearly a good practice. It enables the Donor (EU) and UN-Habitat and its implementing partners to gain more reliable information about the outcome and impact of interventions as project implementation goes on.