

Annex I Governance Assessment Survey (GAS) Details, Subcontract Role and Methodology

Survey Population:

The Governance Assessment Survey (GAS) target population is the President office, The Federal Supreme Court (FSC), the Supreme Judiciary Council (SJC), the Office of the Prime Minister (PM) and Council of Ministers' Secretariat (COMSec), and the Iraqi Council of Representatives (COR). In addition, the GAS will also focus on three ministries that are related and mandated with fulfilling various aspects of service delivery, these ministered are; Ministry of Finance (MoF), Ministry of Planning (MoP), and Ministry of Reconstruction, Housing, Municipalities, and Public Work (MoRHMPW).

Subject of Survey:

The (GAS) aims at collecting data on the impact of contradictory and fluctuated legal interpretations on the performance of the Federal and Provincial governments in terms of service delivery.

Subcontractor Role

The Subcontractor will conduct a GAS in the Iraqi sovereign and high-level national institutions as indicated above, covering the legal and political dynamics behind the fluctuating legal interpretations and their impact on government performance regarding service delivery. This Scope of Work (SoW) may also extend to the Subcontractor conducting annual ad-hoc PEA dealing with other related issues. Such repetitions may require the inclusion of additional institutions, provinces of Iraq.

The following section provides a detailed overview of indicative deliverables the Subcontractor will carry out in the execution of the assignment. It must be noted that (i) this is not an exhaustive list; and (ii) DAI will approve specific deliverables for each Task outlined below prior to the Subcontractor proceeding with the next Task.

Methodology and Data Collection Tools

1. The Subcontractor will prepare a survey methodology with detailed and comprehensive descriptions of methodology and approach, including at least:
 - a. Proposed sampling methodology, within the sovereign and high-level national institutions, and how sampling will be made per each sampling unit.
 - b. Relevant data collection methods to ensure full coverage of specific data requirements.
 - c. Proposed data collection tools that covers the required areas of inquiry while maintaining a realistic volume. The Subcontractor may include a range of different data collection tools it considers necessary to ensure valid and reliable data is captured to evaluate the aspects covered under the heading 'Objectives of the Survey' above.
 - d. The proposed instruments of measurement (i.e. paper-based or technology -based) the Subcontractor considers most relevant for data collection.
2. The Subcontractor will prepare and submit the survey methodology and tools to IGPA/DAI for approval.
3. Following results of consultations with the IGPA Team, the Subcontractor will finalize the methodology and tools.
4. The set of tools must be developed in English, and Arabic.
5. The Subcontractor drafts the questionnaire, and it must be approved by IGPA/DAI.
6. The Subcontractor will be responsible for formatting and initial coding. Any subsequent changes in the draft questionnaire must be approved by IGPA/DAI.

7. While it is DAI's experience that for this type of survey (coverage and length of questionnaire) the preferred data collection method would be paper- or technology-based face-to-face interviews (and focus groups if necessary), the Subcontractor in its proposal in response to this RFP should propose a suitable data collection approach based on its practical experience in Iraq.

Data Collection and Analysis Team:

1. The Subcontractor will propose in its response to this RFP, and in addition to its overall management and project implementation approach, a Data Collection and Analysis Team that includes at a minimum:

Role	Description	Skills and training needed
Survey manager	This person will oversee the whole process, recruiting for and supervising the four roles below and ensuring that the project is completed on time and to the required standard.	Project management experience. Understanding of survey methods – at least thorough knowledge of the proposed tool(s)
Political Analyst	He/she will develop the political analysis based on the data outcome	10 years or prior experience working in Iraqi politics Worked in High level national institutions Objective and impartial
Legal Analyst	He/she will develop the legal analysis based on the data outcome	10 years or prior experience working in Iraqi legal institutions Worked in High level national institutions Objective and impartial
Data Team Leader	These people will supervise the different data collection teams	Minimum requirement: 1 Data Team Leader per institution/ministry Past experience of survey data collection and managing a data collection team
Field Monitor	These people will supervise the actual data collection, including performing 'spot verification checks'	Minimum requirement: 1 Field Monitors per institution/ministry. At least 1 Field Monitor per 5 Enumerators/Interviewers. Past experience of survey data collection and managing a data collection team

Data collection team (interviewers or enumerators)	These people will conduct the interviews and run the survey on the sample unit	Minimum requirement: The Subcontractor will propose the number of Enumerators/Interviewers per institution/. The number of persons must be commensurate to the number of sample unit at institution/ministry to be surveyed/interviews to be conducted. Bright and trustworthy Prior quantitative data collection experience is preferred but not essential Must undergo training Social Sciences students are considered ideal
Data entry clerks (optional if using technology-based data collection)	These people will enter data from the questionnaires into a pre-prepared data entry software (to be proposed by the Consultant)	Computer literate Attention to detail
Data analyst (optional if using technology-based data collection)	This person will clean the dataset and then analyze it, using the pre-prepared analysis syntax	Trained and experienced in statistical analysis of survey data

2. The Subcontractor will propose by name candidates for the positions indicated below (key positions). The proposal will include CVs illustrating the qualifications and experience of candidates proposed for these key positions. Proposed candidates will be subject to approval by DAI. Key positions for this assignment are:
 - a. Assignment Manager: This will be a full-time employee of the Subcontractor with relevant qualifications and experience to oversee and coordinate the implementation of this assignment in a responsible, responsive and timely manner;
 - b. Survey Manager: This will be a full-time employee of the Subcontractor with relevant qualifications and experience to assume full responsibility for the implementation of the methodology and the survey, including supervision of the Data Collection Team, and ensuring that the project is completed in a professional and scientific manner within the agreed timeframe. The Subcontractor may propose the same individual to assume the dual roles of Assignment Manager and Survey Manager.
 - c. Political Analyst (Advisor): This will be a full-time employee of the Subcontractor with relevant qualifications and experience to assume full responsibility for developing a comprehensive political analysis based on GAS outcome.
 - d. Legal Analyst (Advisor): This will be a full-time employee of the Subcontractor with relevant qualifications and experience to assume full responsibility for developing a comprehensive legal analysis based on GAS outcome.
3. Following contract signature, the Subcontractor will propose specific candidates for the number of Data Team Leader positions in its proposal, including CVs for these candidates. Proposed candidates will be subject to approval by DAI.
4. The Subcontractor is not required to identify candidates for other positions, nor to include CVs in his/her proposal. However, CVs of staff who do not fill key positions and positions not subject

to specific DAI approval must be available and may be requested by DAI at any time during implementation of the assignment.

Enumerators/interviewers Training and Orientation

Prior to commencing field work the Subcontractor will provide DAI with a detailed schedule for training of enumerators/interviewers. IGPA/DAI may take part in this training. The Subcontractor will ensure that:

1. Given that GAS is conducted on the highest level, the enumerators/interviewers should be of appropriate work experience or accompanied by the data collection team lead, who should be of appropriate work experience to be able to interact with such high-level institutions.
2. All the Enumerators/Interviewers pass intensive training.
3. All Data Collection Team staff must be trained to devices operation, allowing accurately identifying the GPS coordinates of the survey's object (to a precision of 8 meters);
4. The Subcontractor will develop a suitable package for the Data Collection Team and organize interactive training for mobilized interviewers and all field supervisors to make sure that they understand objectives of the survey, tools, sampling methods, geo-tagging methods and proper implementation thereof in accordance with this Scope of Work;
5. During data collection, enumerators/interviewers will introduce themselves to the respondents as acting on behalf of the Subcontractor only and will inform each respondent about full anonymity of responses and guarantee such anonymity in practice;
6. Enumerators/Interviewers may not under any circumstances disclose the identity of a respondent surveyed except to their direct supervisors.

Activity-Implementation Roadmap

Following approval by DAI of the Methodology and overall approach, including specific data collection tools, the Subcontractor will present the Activity-Implementation Roadmap, as detailed in the SoW-Deliverable Section. The report will include a time table for the roll-out of field work, including date- and location-specific activities. This is required to ensure both (IGPA) internal and external monitoring of the data collection phase, and any subsequent changes to this time table must be communicated to the Senior PEA Advisor and Senior M&E Advisor at least 2 days in advance.

Activity Update Report

Amidst the data collection and the on-going implementation, the Subcontractor and PEA team members will jointly conduct a stock-taking exercise to assess the quality of data collected and the suitability of analysis based on the formatting and original coding of data collection tools. This joint exercise will be done upon the delivery of a three-page (maximum) report that presents the subcontractor's implementation progress. Based on this review and DAI/PEA team consultation, the Subcontractor will adapt the methodology, including data collection tools accordingly.

Specific Deliverables and Measures

1. The Subcontractor will commence main data collection in accordance with the approved methodology and tools only after explicit approval from IGPA/DAI.
2. The Subcontractor will proceed with field work to collect data with due consideration to regular joint review with DAI's PEA team to assess progress and address any emerging issues appropriately.
3. The Subcontractor will notify DAI timely of any concerns and/or changes to proposed approach and/or timetable.

4. The Subcontractor will pay specific attention to the following:
 - a. All Enumerators/Interviewers must be equipped with devices allowing identifying the GPS coordinates of the household (to a precision of 8 meters).
 - b. The Enumerators/Interviewers must record the geographical location of each institutions/ministries- the object of questionnaire-based interviewing.
 - c. Pursuant to the results of the field survey, the Subcontractor must submit the data collected during the survey in Excel format consisting of two matrices; 1) the first matrix on institution, such as PM, COMSec, President Office, FSC ...etc., and 2) the second on ministries. The Excel file must contain the information on geo-localization and must indicate the number of respondents who refused to answer in percentage (the share of non-answered respondents) and any difficulties faced by the interviewers during the survey, including reasons for unwillingness of the respondents to answer the questions posed.
 - d. The Subcontractor must also submit data in KML format. This geospatial data is to be used for verification of compliance with predetermined enumeration areas and enumeration units only.
 - e. The Subcontractor must submit all documents containing data collected in both English and the language in which data was collected (i.e. Arabic)

Quality Control

The Subcontractor will propose as part of its methodology, a suitable survey quality control mechanism (scheme) to be applied in practice to ensure correct behavior of the Enumerators/Interviewers and introduce a set of measures on identification and elimination of potential errors. The quality control mechanism will at minimum include:

1. Quality control among at least 10% of the respondents to check participation thereof in the survey and some questions in terms of contents.
2. Where exceptions are found, the verification rate will be increased to 25% within the total sample covered by the relevant Enumerator/Interviewer.
3. If further exceptions are found within the expanded coverage, all data collected by the relevant Enumerator/Interviewer must be discarded and a new sample selected to cover the affected areas.
4. Inspections (checks) will be undertaken by a Field Monitor personally and cover some basic demographic data about a specific institution/ministry. A specific percentage share will be applied to all settlements of the sampling.
5. In the event of exceptions found, further verification will be carried out by the Data Team Leader.

Data Processing and Analysis

The Subcontractor will commence processing and analysis of data in parallel with ongoing field work and data collection and will keep DAI informed of observed emerging patterns and any issues or concerns during data processing and analysis. Data analysis will include at least:

1. Two comprehensive analyses must be provided as part of the final report; political and legal analyses.
2. All data must be subject to "cleaning" i.e. check for omissions, inconsistencies and other errors using the most relevant and appropriate data processing/cleaning and analysis techniques, tools and software. Missing data must be divided into the following categories:
 - a. No response (for instance, "no response", «I do not know" or "no response")
 - b. Non-applicable questions.

3. The following sampling data must be provided per each case: unique number of sampling point, which allows identifying a number of primary sampling unit, unique number of the interviewer, date of interview, time of interview and duration thereof.
4. Statistical analysis of the information obtained (dispersion, average values, etc.) per institution/ministry and question topic/legal or political.
5. Consolidated statistical data by topics (based on modules) including comparison of conditions in the selected institutions/ministries.

This province-by-province analysis and commentary will be followed by a consolidation of all provinces to highlight any commonalities, patterns, correlations or concerns.
Consolidated conclusions and recommendations.

Subcontractor's Qualifications and Proposal

The Subcontractor must demonstrate all qualifications and experience indicated below in its proposal:

1. The Subcontractor shall have relevant experience in legal and political Iraqi context
2. The Subcontractor must demonstrate experience in planning and conducting surveys in this area.
3. The Subcontractor shall have experience in working in and have access to sovereign high-level national institutions.
4. The Subcontractor shall have demonstrated relevant experience in conducting surveys / collecting data, developing analytical reports. A list of major surveys/studies involving primary data collection carried out during the past 2 years (including details of population/sample size, commissioning entity, duration of contract and contract value) could be provided together with the Subcontractor's proposal.
5. The Subcontractor must have full in-house command of English, and Arabic.
6. The Subcontractor will demonstrate in its proposal that it has the capacity (through in-house full-time staff and/or specific recruitment) to comply with minimum team requirements.
7. The proposal will contain a narrative research description with proposed methodology, sample data collection methods/tools and the Subcontractor's proposed timeline. While it is DAI's experience that for this type of survey (coverage and length of questionnaire) the preferred data collection method would be paper- or technology-based face-to-face interviews (and focus groups if necessary), the Subcontractor in its proposal in response to this RFP should propose a suitable data collection approach based on its practical experience in Iraq
8. The proposal will further include;
 - A. Organizational Chart – An organizational chart containing the names of all key personnel, joint venture partners, and sub-consultants with titles and their specific roles for this assignment.
 - B. Example of Most Recent Work – the Subcontractor must provide three examples of the most recently completed work related to the nature of this activity.
 - C. Work Plan and Schedule – the Subcontractor shall provide a work plan identifying the major tasks and subtasks anticipated by the Subcontractor associated with the completion of the assignment.
- D. The Subcontractor's proposal must include a detailed cost proposal.