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# Mid-Term Evaluation of Accelerated Peer-Support Partnership (PAP-APP) Phase 2: 2020 - 2024

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## Terms of Reference



[DATE]

INTOSAI DEVELOPMENT INITIATIVE  
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| Information in brief |  |
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| Document             | Terms of Reference   |
| Assignment           | Mid-Term Evaluation of Accelerated Peer-Support Partnership (PAP-APP) Phase 2: 2020 - 2024   |
| Principal            | INTOSAI Development Initiative,<br>Stenersgata 2, 0184 Oslo,<br>Norway   |
| Contact Person       | Shourjo Chatterjee, Senior Manager Strategic Support Unit, IDI<br><a href="mailto:shourjo.chatterjee@idi.no">shourjo.chatterjee@idi.no</a> |
| Procurement Method   | Competitive bidding among external consultants/firms   |

### Acronyms:

AFROSAI-E: African Organisation of English Speaking Supreme Audit Institutions

CREFIAF: African Organisation of French Speaking Supreme Audit Institutions

IDI: INTOSAI Development Initiative

## 1. Background

Supreme Audit Institutions can play a key role in promoting good governance and curbing corruption. Through their audits, SAIs seek to provide objective information about major financial irregularities, lack of compliance with laws and regulations, and ways in which public sector entities can improve their service delivery to citizens. Yet several SAIs in *challenging contexts* struggle to conduct relevant audits and provide value and benefits for the Parliament, the Executive and the citizens. This puts at risk both national and global progress towards the Sustainable Development Goals (SDGs). This is because strong SAIs are a part of SDG number 16, as well as an important enabler of achievement of other SDGs.

In 2017 the INTOSAI Donor Cooperation took an initiative to stimulate scaled up support to the most challenged SAIs globally. This was done as a part of the Global Call for Proposals (GCP) - a mechanism seeking to match SAI capacity development proposals with donor or INTOSAI funding. It aims to empower SAIs in developing countries to drive forward their capacity and performance by ensuring proposals for capacity development are SAI-led and aligned with the SAI's strategic plans. The initiative established the Tier 2 of the GCP to ensure scaled-up support to some of the most challenged SAIs.

After a selection process, nine SAIs were invited to join this initiative: the SAIs of the Democratic Republic of the Congo, Madagascar, Guinea, Togo, Niger, Eritrea, Zimbabwe, Sierra Leone, and The Gambia. The Accelerated Peer-support Partnership (PAP-APP) programme was established by IDI, AFROSAI-E and CREFIAF to support these SAIs. In 2020, the PAP-APP partners decided to also include the SAIs of South Sudan and Somalia in the overall partnership, as these SAIs also operate in challenging contexts and the partners have joint peer-support projects for them.

The purpose of the PAP-APP programme is to empower particularly challenged SAIs in urgent need of support to enhance their capacity and to improve their performance, to be able to make a difference to the lives of the citizens in line with ISSAI-P 12.

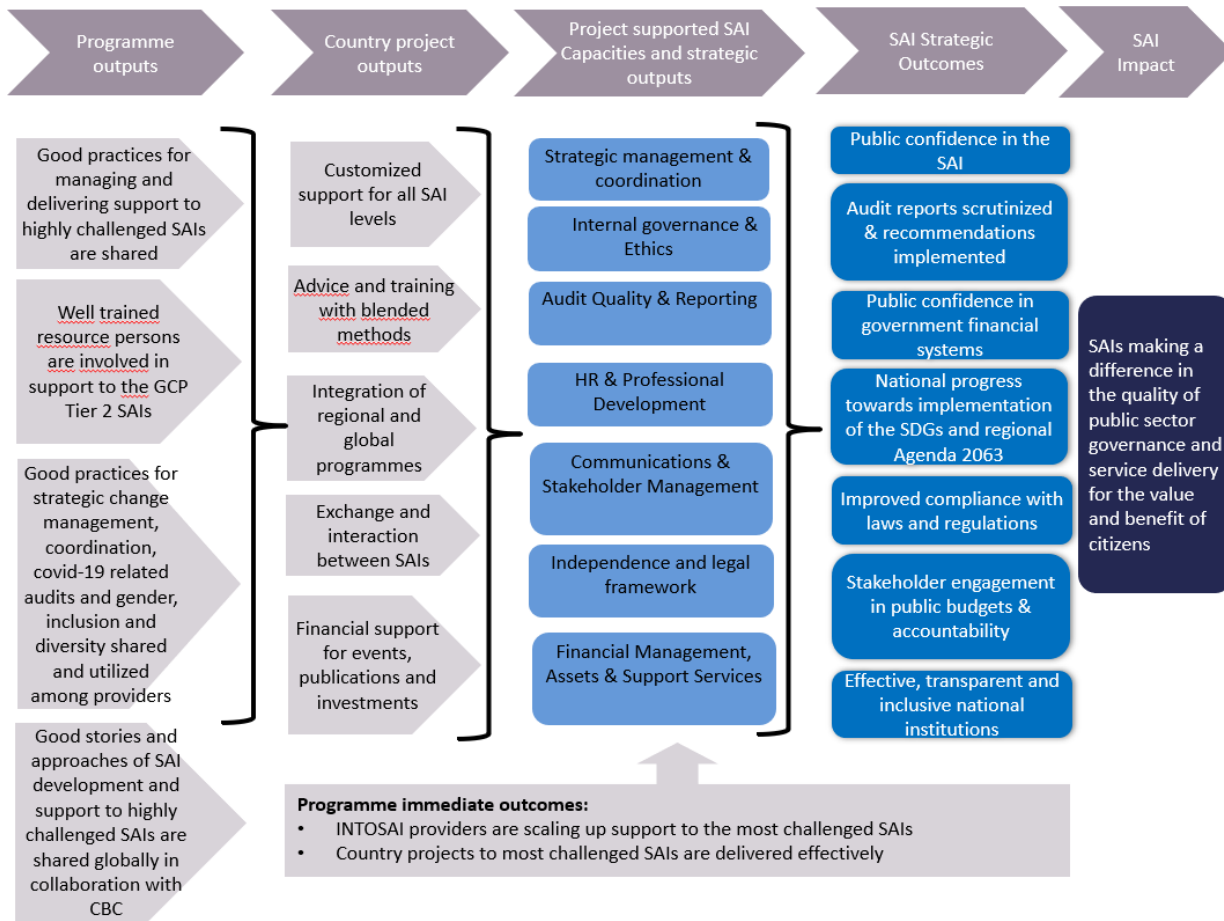
PAP-APP is organised in two phases. Phase 1 supported the SAIs to assess their current situation (including an assessment of their gender situation), define strategic priorities, strengthen strategic management systems, and establish long-term and scaled-up capacity development support. Phase 2 focuses on enabling the SAI to implement the new strategic priorities. This is done through country specific projects, and there is a large variation among the 11 countries on the extent of support as well as technical providers and financial donors involved. The PAP-APP partners are playing a larger role in support to the SAIs of Madagascar, DRC, The Gambia, Eritrea, Somalia and South Sudan, and a smaller role in Guinea, Niger, Sierra Leone, Togo and Zimbabwe. Please see the PAP-APP programme report<sup>1</sup> of 2022 for further information on the projects and partners involved in the different countries.

To ensure synergies across the country projects for the SAIs in phase 2 and enable various providers to succeed in supporting the SAIs, the AFROSAI-E, CREFIAF and IDI have an overarching phase 2 programme. The overall programme results framework is illustrated in Figure 1.

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<sup>1</sup> <http://www.idi.no/en/about-idi/reports>

Figure 1 PAP-APP result framework



The *programme outputs* are expected to give rise to increased and high-quality SAI project support, leading to SAIs establishing capacities and delivering strategic outputs, and then on to SAI Strategic outcomes and finally impact of the SAI's work in their countries. The programme is expected to have *immediate outcomes* in the form of scaled-up support by INTOSAI providers and effective support to the most challenged SAIs, especially the GCP Tier 2 SAIs. Global sharing of good stories and approaches of support to the most challenged SAIs are also expected to contribute to more effective future support to SAIs in similar situations. The country projects for the nine GCP Tier 2 SAIs supported in PAP-APP phase 1 are currently being developed in partnership with financial and technical providers. Each country project will have its own result framework, depending on the prioritized needs of support and ambitions of the SAI.

Funding for the programme is provided in different ways and for different periods by various donors: the European Union, the Austrian Development Agency, the Ministry of Foreign Affairs of Iceland, the Ministry of Europe and Foreign Affairs of France, FCDO, UK, SAI Qatar, Irish Aid and the IDI basket donors including Office of Auditor General Norway and Sida Sweden. There is also in-kind contribution by AFROSAI-E, CREFIAF and peer SAIs providing resource persons. Larger phase 2 country projects (such as Madagascar, DRC, South Sudan and Somalia) have their own funding and in-kind support agreements outside the programme. Donors supporting these country projects through agreements with the respective SAIs/ AFROSAI-E/CREFIAF/ IDI include the African Development Bank, NORAD Norway, Ministry of Foreign Affairs Norway, SAI Latvia, USAID and the World Bank.

For details of the partnership and the programme, please see key documents on the webpage [Accelerated Peer-support Partnership \(PAP-APP\) \(idi.no\)](#).

## 2. Objectives and Scope of the Evaluation

This is a mid-term evaluation, with a focus on the interim results achieved. However, elements of summative evaluation have to be suitably incorporated in the evaluation design. This is necessary as the programme has been in operation since 2018 and the current phase ends in 2024.

The evaluation is to be undertaken with the following objectives:

1. To examine whether the programme design meets the requirement of achieving the programme outputs and outcomes.
2. To examine whether the programme and the country level project deliverables as agreed in SAI PAP-APP Phase 2 Cooperation Agreement and interim results are on track for achieving the programme objectives.
3. To provide recommendations for improving the programme design and ongoing management and coordination for the remainder of the programme period.

The programme is operating at two distinct levels. The overall programme incorporating the common programme design and support to different country SAIs and the second level of country level support to the different country SAIs. The evaluation needs to look at the overall programme design and delivery. In addition, it needs to include findings and recommendations from the country level support initiatives.

Recent evaluations and reviews have been conducted for PAP-APP Phase-I 2018-2020 (2020) and support to the SAIs of Somalia (2021) and South Sudan (2022). In 2023 a mid-term review is expected to be done for the Madagascar country project. Relevant findings from these evaluations/ reviews have to be incorporated in the current evaluation using secondary data. A separate evaluation may also be commissioned in respect of SAI Eritrea.

Primary data will have to be collected for PAP-APP Phase-II programme and the country level support projects which have not been evaluated/reviewed. These country level support includes those provided to the SAIs of Eritrea, Guinea, Niger and Togo.

## 3. Evaluation Focus Areas, Criteria and Questions

As per the IDI evaluation policy and guidance, this evaluation will be conducted as a 'Formative' evaluation with elements of summative evaluation. This is necessary as the programme is running since 2018 and nearing completion. Criteria for the evaluation will be based on the OECD-DAC.<sup>2</sup>

The final methodology for the evaluation will require clarity on the evaluation criteria, evaluation questions, and judgment criteria<sup>3</sup>. Together, these constitute the evaluation framework. A broad draft set of possible evaluation criteria and questions, is included below. This, along with the judgement criteria, should be finalised by the evaluator in the Inception Phase, to focus on the most important issues to meet the evaluation purpose. *In submitting their proposals, bidders are invited to propose an amended and focused evaluation framework, to maximise the impact of the evaluation within the available resources.*

The focus areas and possible evaluation questions are as follows:

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<sup>2</sup> The OECD-DAC defines six standard evaluation criteria: relevance, coherence, efficiency, effectiveness, impact and sustainability. An additional cross-cutting criteria of partnerships has been added for this evaluation, given the importance of partnerships in the delivery model.

<sup>3</sup> Criteria set in relation to each evaluation question, to determine if the assertion being tested is met.

**Focus Areas:**

- a. Performance change in the SAIs from the baseline period. Changes that can be attributed to the PAP-APP programme.
- b. Contribution of the PAP-APP programme and the constituent country projects to the SAIs' efforts in implementing their Strategic Plan.
- c. Sustainability of efforts put into the programme by the different stakeholders and participating SAIs.
- d. Gender, diversity and inclusion issues addressed by the programme and country projects.
- e. Mobilization and utilisation of human and financial resources for support.
- f. Collaboration between partners at programme and country project level.
- g. Project design in light of absorption capacity of beneficiary SAIs.
- h. Application of principles of SAI-led, SAI-owned and well-coordinated support.
- i. Reasons for achieving results or delays at programme and country project level.
- j. Recommendations for further steps in the programme as well as a further round of the programme.

| <b>Evaluation Criteria</b> | <b>Possible Evaluation Questions (Wherever relevant, these questions are to be considered at both the overall programme level and the country support level)</b>  | <b>Applicable at Programme Level</b>   | <b>Applicable at Country Project Level</b>   |
|----------------------------|---|--|--|
| Relevance                  | <ul style="list-style-type: none"> <li>✓ To what extent has the phase 2 programme been relevant in terms of right priorities enabling the country project support to succeed and the SAIs to succeed in their strategic plan implementation?</li> <li>✓ How involved have PAP-APP Phase 2 SAIs and other stakeholders been in the design?</li> <li>✓ How well has lessons learned from PAP-APP Phase-I been utilized for the design and implementation of the programme?</li> <li>✓ To what extent is the programme and country projects informed by an appropriate gender, diversity and/or inclusion analysis? How relevant were recommendations of the analysis? how were they used and how might this be improved?</li> </ul> | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> |
| Coherence                  | <ul style="list-style-type: none"> <li>✓ Could IDI and partners make the necessary resources available to provide support to PAP-APP Phase 2 SAIs?</li> <li>✓ Are the governance arrangements for the country projects clear and easy to implement?</li> <li>✓ Have the synergies between different partners been adequately explored and are the different partners complementing efforts?</li> <li>✓ Have the principles of the PAP-APP programme document been considered and followed in developing and delivering the country projects?</li> </ul>   | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> |

| Evaluation Criteria | Possible Evaluation Questions (Wherever relevant, these questions are to be considered at both the overall programme level and the country support level)  | Applicable at Programme Level                                    | Applicable at Country Project Level                                       |
|---------------------|--|--|---|
|                     | <ul style="list-style-type: none"> <li>✓ Has the PAP-APP programme been able to mobilise sufficient quality and quantity of support peer-SAI partners?</li> <li>✓ Have the grant management processes regarding the different donor funding agreements been appropriate and in sync with the programme and project requirements?</li> </ul>  | ✓  | ✓   |
| Efficiency          | <ul style="list-style-type: none"> <li>✓ Has the programme and country projects established planning, monitoring and reporting arrangements that are appropriate and linked to SAI systems?</li> <li>✓ Have the activities, deliverables and costs been consistent with plans and budgets?</li> <li>✓ Are the results delivered till now keeping the programme and country projects on track for meeting the final expected results?</li> <li>✓ Have risks been appropriately identified and managed at programme and country project level?</li> <li>✓ Have appropriate arrangements been established and followed to ensure quality of support activities?</li> <li>✓ How efficient have the chosen delivery mechanisms been (peer-peer support, mobilisation of resource persons, combination of in-country and remote assistance) compared to other feasible alternatives (e.g. use of consultants, use of IDI staff, increased country presence, long term advisors)?</li> <li>✓ How well has the programme and country projects adopted to the pandemic, and been able to leverage on digital tools and deliver support online?</li> <li>✓ How well has support to new areas as ICT governance and tools been implemented in country projects?</li> <li>✓</li> </ul> | ✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓ | ✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓<br><br>✓ |

| Evaluation Criteria | Possible Evaluation Questions (Wherever relevant, these questions are to be considered at both the overall programme level and the country support level)  | Applicable at Programme Level   | Applicable at Country Project Level  |
|---------------------|--|---|--|
| Effectiveness       | <ul style="list-style-type: none"> <li>✓ What is the performance (audit results and sharing of these) of the SAIs now as compared to 2017, and what difference has PAP-APP made?</li> <li>✓ To what extent have the deliverables contributed to the expected SAI outputs and outcomes, and what factors hindered or contributed to this?</li> <li>✓ How well is strategic management and external support coordination established by the SAIs, and under what conditions have the support to these areas worked well?</li> <li>✓ To what extent did the partners monitor the programme and country project pre-conditions and make adjustments to plans where necessary pre-conditions did not hold during implementation?</li> <li>✓ For the areas where the programme has struggled to achieve the intended results, why is that so?</li> <li>✓ How effective has the support to SAIs been on gender, diversity and inclusion issues?</li> <li>✓ Is the underlying theory of change (including pre-conditions) clear for both programme and country projects?</li> <li>✓ Are the Monitoring, Evaluation and Learning arrangements for the programme and country projects adequate?</li> </ul> | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li></li> <li>✓</li> <li></li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> <li></li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> <li>✓</li> </ul> |
| Sustainability      | <ul style="list-style-type: none"> <li>✓ How sustainable are the capacities supported?</li> <li>✓ Have the main supporters of the PAP-APP Phase 2 SAIs been identified, and efforts to strengthen and harness this support been factored into the country projects?</li> <li>✓ Is the method of support increasing the likelihood that changes to performance and capacity can be sustained?</li> </ul>  | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> </ul>   | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> </ul>  |
| Partnerships        | <ul style="list-style-type: none"> <li>✓ Are the governance arrangements for the programme partnership between IDI, AFROSAI-E, CREFIAF and other stakeholders clear and is there room for improvement in future?</li> <li>✓ Is the programme partnership leading to mutual learning regarding delivery of tailored support to SAIs in challenging environments?</li> <li>✓ How has the partnerships with donors been working at global and country level?</li> </ul>   | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> </ul>   | <ul style="list-style-type: none"> <li>✓</li> <li>✓</li> <li>✓</li> </ul>  |



#### 4. Evaluation Methodology and Approach

To meet the evaluation objectives, a desk-based study is contemplated to examine the selection, design, implementation and interim results of support. The evaluation will not involve any field visit. The evaluation will be conducted primarily as a desk-based exercise, involving document review, survey, teleconference/video conference with SAIs as required, IDI and stakeholder staff, and semi-structured telephone/online interviews and follow-up documentation requests to donors, partners and SAIs as required. It should rely predominantly on documentation and evidence collected as part of the initiative.

Out of the constituent country projects for Phase-2, mid term review of support to SAI South Sudan has been completed. Mid term review of support to SAI Madagascar is being initiated. Results and recommendations from these reviews and evaluations have to be fed into the current evaluation. Support to SAI Somalia and PAP-APP Phase-I have also been evaluated. Results from these evaluations are also to be considered.

For IDI, the implicit theory of change underlying the approach in its Bilateral Policy is crucial, so it is essential that the evaluation approach (re)formulates and tests the theory of change, including project pre-conditions. A proposed theory of change to support the evaluation should be developed as part of the inception report, for confirmation by IDI's Bilateral Support unit before its application.

A theory of change documents the causal chain from inputs to outcomes, with an explicit analysis of the assumptions underlying the theory. Different causal paths and major external factors influencing outcomes are identified. A theory-based evaluation design tests the validity of these assumptions and the various links in the chain are analysed using a variety of methods, building up an argument as to whether the theory has been realized in practice. Evidence is built up as to whether change occurred through the expected mechanisms, to provide evidence as to whether the programme contributed to change at the purpose level. The theory of change should be compatible with the roles and responsibilities of the project partners, to distinguish between the supportive and facilitative role of IDI and other partners, and the implementation responsibility of the respective SAIs.

The evaluation will include an inception phase to develop and agree the approach to the evaluation. This will include the theory of change, and selection of the evaluation criteria and questions to ensure the evaluation purpose is met. While a broad range of possible evaluation questions are provided above, the inception report and discussions on this will be key to focusing on the most important matters to use the evaluation resources effectively. IDI expects the evaluation to commence with a set of initial virtual discussions with relevant staff in its bilateral support unit.

A balance must be struck between quality and quantity of evidence, and cost, with sufficient evidence to draw meaningful conclusions.

#### 5. Responsibilities

The programme is a partnership involving the IDI, AFROSAI-E, CREFIAF, different funding partners and the participating SAIs. IDI is responsible for commissioning the evaluation and following up with the partners regarding the evaluation design, evaluation process and implementation and follow up on the recommendations.

The evaluation will be commissioned and managed by the Strategic Support Unit (SSU) in IDI. The SSU will be responsible for contracting the evaluator and coordinating the evaluation. The IDI evaluation manager will be Shourjo Chatterjee: [shourjo.chatterjee@idi.no](mailto:shourjo.chatterjee@idi.no).

The evaluation will be supported by three PAP-APP programme team representatives: IDI Senior Manager Mr. Jostein Tellnes ([jostein.tellnes@idi.no](mailto:jostein.tellnes@idi.no)), CREFIAF Manager Ms Aïssatou Nom ([assatouabdoulaye@yahoo.fr](mailto:assatouabdoulaye@yahoo.fr)) and AFROSAI-E Manager Mr. Joseph Mumbire ([joseph@afrosai-e.org.za](mailto:joseph@afrosai-e.org.za)). Together, they will be the focal point for providing information on the project, and evidence obtained during project implementation, as well as for liaison with the project partners and participating SAIs.

For discussions with country level stakeholders, the bilateral support team will provide details of relevant contact points.

Ola Hoem, Deputy Director General and Einar Gørrissen, Director General together with the SSU, will be responsible for clearing the final evaluation report.

The evaluator will be responsible for proposing the design of the evaluation (in the inception report), conducting the evaluation, and preparing the draft and final reports.

## 6. Process, Timetables and Deliverables

Indicative key milestones in the evaluation are:

1. Invitation to tender issued (23 June 2023)
2. Technical and financial proposals submitted to IDI (22 August 2023)
3. Preferred evaluator selected (1 September 2023)
4. Initial video conference/meeting between evaluator and IDI Bilateral Support Team (1 November 2023)
5. Inception report, including proposed evaluation approach, submitted (24 November 2023)
6. Comments on inception report (8 December 2023)
7. Revised inception report to IDI (5 January 2024)
8. Draft report 1 to IDI (1 March 2024)
9. Comments on 1<sup>st</sup> draft report to evaluator (15 March 2024)
10. Final report (max 30 pages including executive summary of max 4 pages) submitted to IDI, for sharing with key stakeholders (1 April 2024)

## 7. Budget

The maximum budget for this evaluation is 400,000 NOK.

## 8. Eligibility of Service Providers

Bidding is open to: firms, consultants operating on an individual basis and SAIs. Current permanent employees of SAIs on an individual basis, IDI staff and organisations on sanctions lists shall not be eligible for bidding. SAIs can submit bids and depute their employees on assignments.

All bidders shall make a 'No conflict of interest' declaration in their bids.

**The proposed individual evaluators should be fluent in both French and English. Teams should have skills in both languages. Necessary confirmation is required on this point in the bids.**

## 9. Procurement Method

In accordance with IDI procurement policy for contracts of this value, a minimum of five service providers will be invited to tender.

### Submission of Proposals

Interested service providers should submit a short technical and financial proposal, in English, by email to [shourjo.chatterjee@idi.no](mailto:shourjo.chatterjee@idi.no) with a copy [ola.hoem@idi.no](mailto:ola.hoem@idi.no) by 22 August 2023, 5 pm Oslo time. This should comprise:

- Proposed methodology and timetable for the assignment, including outline evaluation approach.
- Experience in designing and delivering programme and project evaluations.
- Experience in evaluating capacity development initiatives in governance or public financial management.
- Declaration about no involvement in the design or delivery of PAP-APP programme or constituent country level projects
- Understanding of IDI and capacity development of SAIs in developing countries.
- Full CV of the proposed team leader and short CVs of any other proposed team members.
- A financial proposal for the work, on either an input basis or lump sum contract.

## 10. Selection of Service Provider

Selection will be made based on the best price and quality combination, according to the following evaluation matrix.

| Criteria   | Maximum Score |
|--|---------------|
| Methodology  |               |
| Proposed methodology for assignment including evaluation approach  | 30            |
| <b>CV</b>  |               |
| Experience of individual/team in designing and delivering programme and project evaluation   | 15            |
| Experience of individual/team in evaluating SAI capacity development initiatives   | 15            |
| Experience of individual/team in integrating gender, diversity and/or inclusion considerations into the design and delivery or programmes, projects and/or evaluations | 10            |
| Individual/team understanding of IDI and capacity development of SAIs in developing countries  | 20            |
| <b>Financial proposal</b>  |               |
| Financial proposal (based on Norwegian Kroner equivalent at the time of evaluation)  | 10*           |
| <b>TOTAL</b>   | <b>100</b>    |

\* The lowest price proposal considered eligible will be scored at 10, others will be scored according to the following formula: score = lowest fee rate/(quoted fee rate) x 10. The assignment will be contracted in Norwegian kroner.

## 11. Reference Materials

- IDI Bilateral Support Policy: <https://www.idi.no/elibrary/bilateral-programmes/497-idi-bilateral-policy/file>
- PAP-APP programme documentation: <https://www.idi.no/bilateral-support/pap-app>
- IDI Annual Performance and Accountability Reports (Summary report on Bilateral Support included in each Appendix, and report on the GCP under INTOSAI-Donor Secretariat): <http://www.idi.no/en/about-idi/reports>
- IDI Operational Plans (Summary plan on Bilateral Support included in each Appendix, and plan for the GCP under INTOSAI-Donor Secretariat): Upto 2021: <https://www.idi.no/our-resources/filters#sort=position&sortdir=desc&attr.cat.value=95&page=1> 2022: <https://www.idi.no/about-idi/idi-strategic-plan-and-implementation>