Evaluation of IDI's Bilateral Support 2017-20:

Bilateral Support to South Sudan, the Global Call for Proposals Tier 2, and the Accelerated Peer-Support Partnership Programme (PAP-APP)

Terms of Reference (Draft version 1.0, 11 September 2019)

1. Background to IDI's Bilateral Work

INCOSAI 2013 endorsed an expansion of IDI's mandate to include bilateral support[1] from 2014 onwards. Following some initial small pilot activities, the IDI Board approved IDI's Bilateral Policy in March 2017. Since then, IDI has engaged in the following bilateral support initiatives:

- Peer support to National Audit Chamber (NAC) South Sudan 2017-20 (funded by the Norwegian Ministry of Foreign Affairs – South Sudan Embassy) (Initial budget 3,8m NOK)
- Peer Support to the Office of the Auditor General (OAG) in Somalia 2018-20 (funded by the Norwegian Ministry of Foreign Affairs – Nairobi Embassy) (Initial budget 5,1m NOK)
- Accelerated Peer-Support Partnership Programme (PAP-APP), Phase 1, 2018-20 (funded by the Austrian Development Agency and Ministry of Foreign Affairs Iceland[2]) (Initial budget 13,1m NOK)

The PAP-APP initiative was developed by IDI as a partnership with AFROSAI-E and CREFIAF to support SAIs operating in nine challenging environments which were identified under the Global Call for Proposals (GCP) Tier 2[3]. GCP Tier 2 was led by a small task force of selected INTOSAI and Donor members of the INTOSAI-Donor Cooperation, supported by the INTOSAI-Donor Secretariat in IDI.

2. Stakeholders for IDI's Bilateral Work

IDI's bilateral work impacts on a large and diverse group of stakeholders. Internal stakeholders include the IDI Board (which approved the Bilateral Policy and strategic direction of the IDI portfolio), IDI management and staff (who implement the policy). External stakeholders include:

- the SAIs receiving support and their stakeholders in country (such as legislatures)
- SAIs and INTOSAI regional bodies who partner with IDI for delivery
- development partners (those that fund bilateral work directly and via core support to IDI)
- INTOSAI committees (that develop and disseminate knowledge and good practices on SAI capacity development support).

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[1] The term bilateral support is used for cases where IDI provides support uniquely tailored to a specific SAI, as opposed to traditional IDI global and regional initiatives which support large numbers of SAIs to tackle a specific issue. (Support may also be provided in a partnership led by IDI, with others such as INTOSAI regional bodies and peer SAIs).

[2] DFID and IDI signed a grant agreement in May 2019, after which it was agreed a small part of this grant could be used to fund PAP-APP activities in Sierra Leone and Zimbabwe. The French Ministry of Foreign Affairs and SAI Qatar are currently finalizing grant agreements which may also provide additional funding for PAP-APP. Irish Aid is also in discussion with IDI about funding which may include support to IDI's Bilateral work.

[3] The Global Call for Proposals (GCP) is 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. GCP is under the INTOSAI-Donor Steering Committee. The 2nd Tier of the GCP involves more intensive support to a small group of the most challenged SAIs that struggle with developing strategic capacity development programs, particularly SAIs in politically unstable or fragile and conflict environments.

3. Evaluation Components and Future Evaluations

IDI considers it will be more efficient and useful to evaluate its different bilateral support initiatives together, as far as possible. This will enable lessons from different initiatives to be synthesised to inform lessons for IDI's overall delivery of its bilateral portfolio and provide feedback on its Bilateral policy. IDI therefore wishes to commission an evaluator / evaluation team to undertake an evaluation of support connected to or provided under IDI's bilateral policy, covering the following four components:

I.   Implementation of the GCP Tier 2 strategy[4]
II.   Accelerated Peer-Support Partnership Programme
III.   Support to NAC South Sudan
IV.   Synthesis of findings and lessons for implementation of IDI's bilateral policy

Component 1 relates to the GCP, which is under the governance of the INTOSAI-Donor Cooperation. It was not required to follow the IDI Bilateral Policy, though was designed with similar principles in mind. Components 2-4 fall under IDI's Bilateral Policy, which provides a common framework. IDI would like a single final report of the results from all four components. However, it is important for IDI's stakeholders that there are clearly separated findings, conclusions and recommendations relating to each of the above components. Each component must also be budgeted separately, since specific donor contributions have been provided for the different components.

This evaluation will not cover support to OAG Somalia, which may be evaluated in 2021[5]. However, subject to satisfactory performance on this contract, IDI intends to invite the selected evaluator to respond to a direct request to evaluate support to OAG Somalia. This reflects the potential synergies between all evaluations of IDI's bilateral support. The evaluator may therefore be single sourced for this evaluation should it go ahead and should IDI and the evaluator be able to agree on an approach and budget.

4. Background to Each Component

Component 1: Evaluation of Implementation of the GCP Tier 2 strategy

The GCP Strategy was developed in 2016 by a small task force under the INTOSAI-Donor Cooperation, in response to the 2015 INTOSAI-Donor Cooperation Evaluation. It was approved at the INTOSAI-Donor Steering Committee meeting in 2017. A brief description, from the GCP Strategy 2017-19, is as follows:

Strategic Purpose and Outcomes
The overarching purpose of the *implementation of the GCP* as envisaged in this strategy is *sustainable improvement in SAI performance.* With improved capacity[6] and performance, *the SAIs will increase their capacity to promote accountability, transparency and good governance* and make a difference in the lives of citizens.
Outcome 1: More effective Country-level SAI Capacity Development, due to principles of projects being SAI led, based on needs, linked to strategic planning and coordinated with other support projects.
Outcome 2: Scaled-up capacity development support to SAIs, especially the most challenged SAIs

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[4] Limited to the selection process, the kick off workshops and the establishment and follow-up of project support groups, as the rest was taken up under PAP-APP
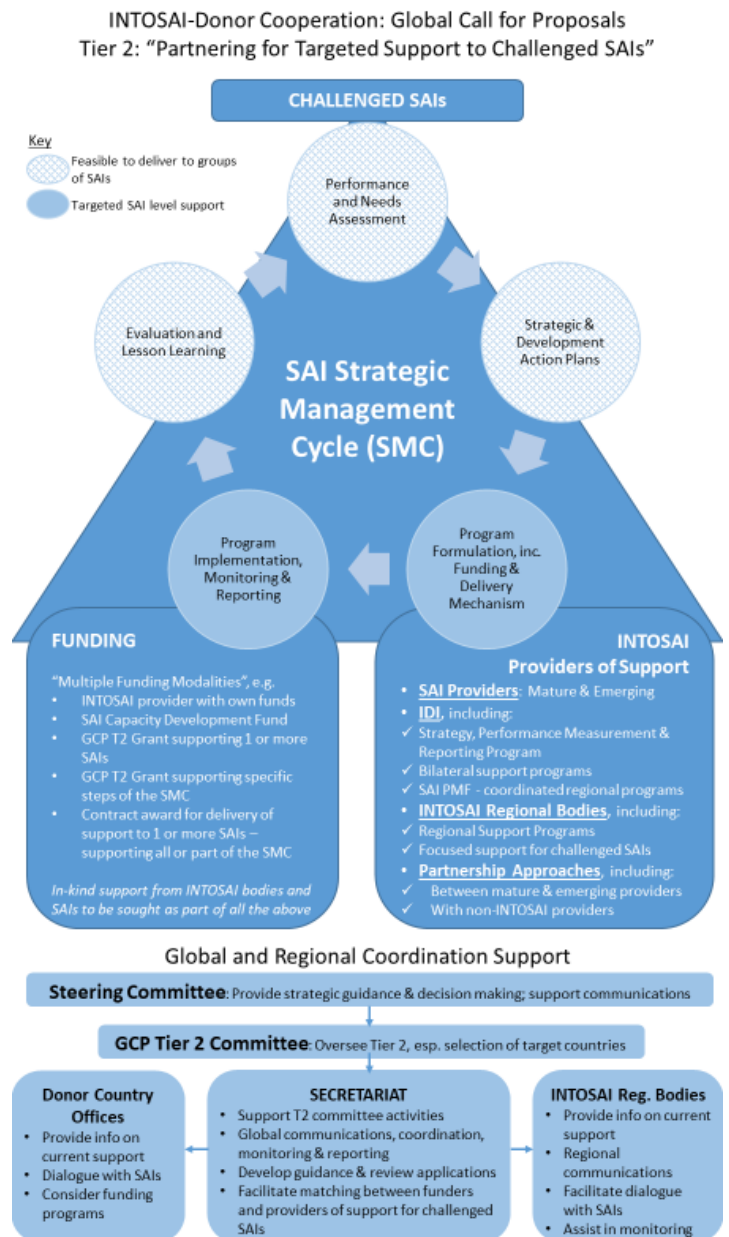[5] This evaluation is tentatively planned but not yet confirmed. No ToRs or budget has yet been set.
[6] Throughout these ToRs, 'capacity' refers to professional staff capacity (including competence), organizational systems capacity, and institutional capacity (the formal and informal 'rules of the game', including SAI independence and the environment in which the SAI operates)

This led to development of a two-tier approach, as follows:

1st Tier: an inclusive rolling process, where applicants could send in draft concept notes, receive feedback from the Secretariat and submit final concept notes at any time, in accordance with the MOU principles. Final concept notes would be shared with potential providers of support on a rolling basis, complemented by batching and circulation twice a year. *(Tier 1 is **not** included in the scope of this evaluation).*

2nd Tier: target a smaller group of the most challenged SAIs, which are most in need of scaled-up and strengthened support. A 2nd tier Committee will be established to oversee the process and identify the target group. The target SAIs are not expected to send in ready proposals to the GCP. The SAIs, funders and potential providers of support will together develop a sound project, based on needs assessments and ensuring adherence to the principles of the INTOSAI-Donor MoU.

The conceptual design of Tier 2 is illustrated in the diagram above. This component of the evaluation is focused on Tier 2 only, specifically the selection of SAIs, the kick off workshops and the establishment and follow-up of project support groups. Implementation of support to the participating SAIs is evaluated under the following component, evaluation of PAP-APP.

INTOSAI-Donor Cooperation: Global Call for Proposals
Tier 2: "Partnering for Targeted Support to Challenged SAIs"

Component 2: Evaluation of the Accelerated Peer-Support Partnership Programme (PAP-APP) – Phase 1, 2018-20

PAP-APP was developed by IDI as a partnership with the sub-regional INTOSAI bodies for SAIs in Africa (AFROSAI-E for the English language sub-group and CREFIAF for the French language sub-group) to support the nine SAIs operating in challenging environments which were identified for scaled-up support under GCP Tier 2. A brief description of the initiative from the PAP-APP programme document is provided below.
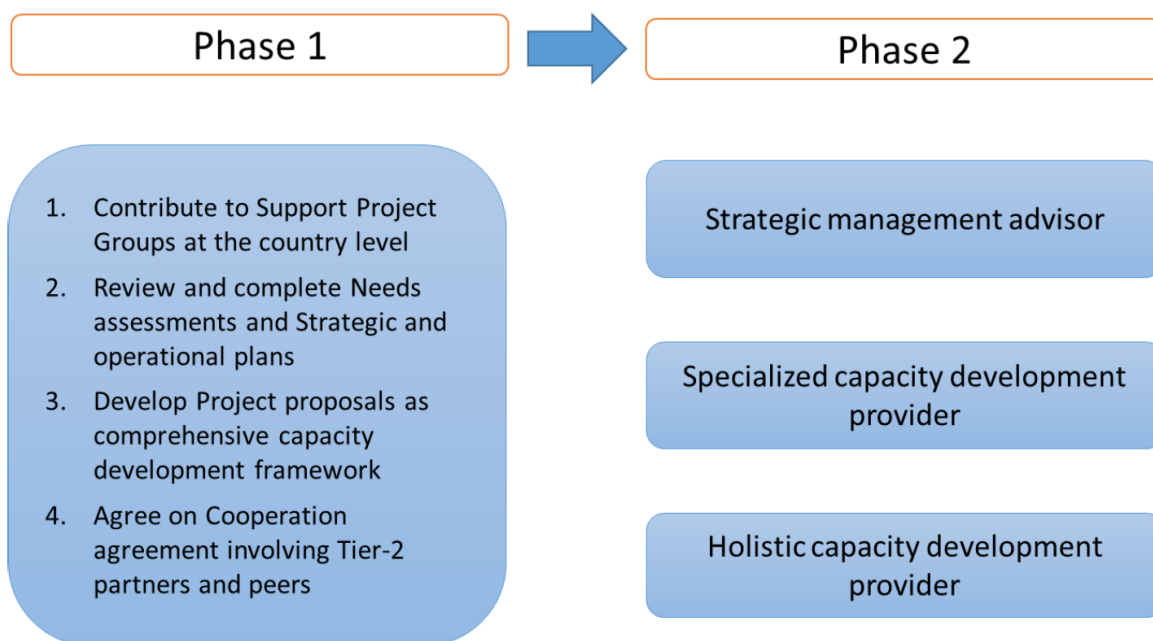
Overall Objective
Empower SAIs in politically unstable and challenging environments to enhance their capacity and to improve their performance, to be able to make a difference to the lives of the citizens in their countries in line with ISSAI 12[7].

Programme Phases and Expected Outputs
Phase 1: PAP-APP partners assist SAIs over 1-2 years leading to project proposals built on SAI-led strategic and operation plans, and cooperation agreements to provide long-term support as needed in phase 2.
Phase 2: Tier 2 partners (including but not limited to the PAP-APP partners) offer different models of engagement to meet the needs of SAIs over the long term.

Phase 1 → **Phase 2**

Phase 1:
1. Contribute to Support Project Groups at the country level
2. Review and complete Needs assessments and Strategic and operational plans
3. Develop Project proposals as comprehensive capacity development framework
4. Agree on Cooperation agreement involving Tier-2 partners and peers

Phase 2:
- Strategic management advisor
- Specialized capacity development provider
- Holistic capacity development provider

This component of the evaluation is intended to assess implementation of phase 1 and contribute to improving the way that the PAP-APP partners provide support in future, including strengthening the partnership.

Component 3: Evaluation of Peer support to the National Audit Chamber South Sudan 2017-20

In December 2016, IDI received a letter from the NAC requesting bilateral support. IDI responded positively to the request and invited other partners including AFROSAI-E to discuss the scope of a possible support programme. The discussions resulted in a joint agreement between the NAC, IDI and AFROSAI-E, funded by the Norwegian embassy in Juba, South Sudan. A brief description of the programme, as recorded in the Grant Agreement, is as follows:

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[7] ISSAI 12 states that the extent to which a SAI is able to make a difference to the lives of citizens depends on the SAI: Strengthening the accountability, transparency and integrity of government and public sector entities; Demonstrating ongoing relevance to citizens, Parliament and other stakeholders; and Being a model organisation through leading by example.

Project Goal

The overall objective of the support is to "**Maintain and strengthen key audit-related capacities in NAC, to prepare NAC to play a strong role in the reform efforts of the Government of South Sudan to improve and sustain Public Financial Management Administration and accounting systems**." Depending on how the challenging situation in South Sudan develops, <u>maintenance of the capacity of the audit office may be the most realistic ambition</u>[8].

Overall indicators of goal achievement:
- Percentage of project supported audit reports finalized and reported to the President and Parliament by NAC by the end of 2019. Target: 50 %
- Staff turnover among auditors and managers in NAC 2017-19. Target: less than 10% annually

The final cooperation agreement included six outcome areas with specific outputs and indicators under each. However, in practice, to reflect the changing environment in South Sudan, annual plans for the support are agreed during annual partner meetings.

Component 4: Synthesis of findings and lessons for implementation of IDI's bilateral policy

The IDI Bilateral Policy provides the overriding framework for all IDI's bilateral support. Key elements of the policy are summarised below.

IDI Bilateral Policy

The objective of IDI's bilateral support is to ensure that the most challenged SAIs with substantial needs for capacity development are assisted and are improving their performance. The target SAIs are characterized by limited internal capacity and lack of support. SAIs with substantial needs for support are commonly in fragile states, but also in other challenged countries.

Under the policy, IDI may take on different roles to support SAIs:

Broker role – short term: Support SAIs in managing their capacity development, and prepare the way for additional support (e.g. GCP Tier 2 and PAP-APP phase 1)

Capacity maintenance and lifeline support – short and medium term: IDI provides support on a limited scale to SAIs operating in particularly unstable and unpromising environments as a means of maintaining competence within the SAI until the situation improves (e.g. NAC South Sudan)

Specialized capacity development provider – short and medium term: IDI supports the implementation of specific strategic priorities of the SAI where IDI has comparative competencies, typically in areas where IDI has carried out a regional or global programme (E.g. support to strategic management under PAP-APP phase 1, support to OAG Somalia, potential support to selected SAIs under PAP-APP phase 2)

Selection of SAIs for bilateral support follows four conditions, and support is delivered based on eight principles, as set out in the Policy.

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[8] I.e. Capacity maintenance and lifeline support, as defined under the IDI Bilateral Policy.

This component will build on the findings from the other three components, and a cross-cutting examination of delivery of IDI's bilateral support

5. Evaluation Purpose

Broadly, the evaluation has two purposes, as follows.

1. To strengthen the future selection, design and implementation of IDI's bilateral support and strengthen IDI's bilateral policy (I.e. *Lessons learned exercise)*
2. Investigate and report on whether IDI's bilateral support contributed to the defined target outputs/outcomes/goals (I.e. *Outcome evaluation)*

IDI considers it too early to make an assessment of impact in this evaluation. According to IDI's approach to results management – and in the DAC evaluation criteria – impact is concerned with the changes in the results produced by the SAIs and the effect these have on the country and citizens. The results expected to have been achieved at this stage (such as SAIs having updated and improved strategic plans) are assessed under the effectiveness criteria (e.g. in components 2 and 3), which in the DAC criteria definitions is "a measure of the extent to which an aid activity attains its objectives." IDI would only expect impact level results to be noticeable some years after this – particularly after the SAI's have had the opportunity to deliver and follow-up on higher quality audit reports.

Broadly, IDI expects the evaluation to be able to answer the following high-level questions:

- Whether GCP Tier 2 was a relevant and effective response to kick-start capacity development support in SAIs in challenged environments, considered at risk of getting left behind – and whether it could be replicated as is, or is in need of adjustment?
- To what extent have country-level project support groups been established and maintained in GCP Tier 2 countries, and how effective are they?
- Whether the PAP-APP programme has succeeded in providing initial support to Tier 2 SAIs to assess their performance, develop SAI-led strategic plans and formulate needs-based proposals – and whether any enhanced SAI capacity in these areas is sustainable?
- Whether it seems likely that funding and peer support will be mobilized to meet the identified needs of Tier 2 SAIs?
- Whether the partnership established for PAP-APP implementation was appropriate and helped deliver high quality support and results, as well as facilitating learning between the partners?
- Whether the decision to provide bilateral support to NAC South Sudan – rather than another SAI – was consistent with IDI's bilateral policy and overall strategy?
- Whether the level of ambition of IDI's support in South Sudan was appropriate, and whether expected results have been achieved and are sustainable?
- Whether IDI's bilateral support has been delivered in line with IDI's bilateral policy – and whether there is a need to adjust the bilateral policy to reflect results to date and lessons learned?

6. Evaluation Scope

The evaluation scope will comprise the four components, and explore the following broad issues:

Component 1: Evaluation of Implementation of the GCP Tier 2 strategy

- Process used to select the most relevant SAIs for support under GCP Tier 2
- Implementation of the initiative by the INTOSAI-Donor Secretariat, including its internal management, monitoring and reporting
- Success or otherwise of initiating country-level project support groups

- Success or otherwise of mobilizing financial support and providers of support for GCP Tier 2

Component 2: Evaluation of the Accelerated Peer-Support Partnership Programme (PAP-APP) – Phase 1, 2018-20

- Design of the programme including SAI and partner involvement and commitment
- Selection and establishment of the delivery partnership (formal partners and in-kind support)
- Implementation of the programme, including its internal management, monitoring and reporting
- Contribution of the programme to enhancing the strategic management of each SAI, including SAI capacity to manage and coordinate support through project support groups.
- Contribution of the programme to enhancing alignment and coordination of donor support (functioning Project Support Groups), and establishing long-term cooperation agreements
- Contribution of the programme to the SAIs' strategies for gender, diversity and inclusion
- Verify the self-assessments of strategic management, especially the SAI PMF indicator 3 scores in early 2020

Component 3: Evaluation of Peer support to the National Audit Chamber South Sudan 2017-20

- Suitability of the NAC for bilateral support and life-line support in particular
- Design of the project including SAI and partner involvement and commitment
- Selection and establishment of the delivery partnership (formal partners and in-kind support)
- Implementation of the project, including its internal management, monitoring and reporting
- Contribution of the project to enhancing the performance and capacity of the NAC
- Contribution of the project to enhancing the sustainability of the NAC as an organization, as well as sustainability of any changes in the SAI

Component 4: Synthesis of findings and lessons for implementation of IDI's bilateral policy

- Has IDI's bilateral policy been applied as intended and implemented efficiently?
- Has IDI's bilateral policy been effective in contributing to SAIs enhancing their performance and capacity, relative to the resources available?
- Is IDI's bilateral policy in need of refinement?

7. Evaluation Criteria and Questions

The final methodology for the evaluation will require clarity on the evaluation criteria[9], evaluation questions, and judgment criteria[10]. Together, these constitute the evaluation framework. A broad, draft set of possible evaluation criteria and questions, under the four components of the evaluation, 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.*

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[9] The OECD-DAC defines five standard evaluation criteria: relevance, 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.
[10] Criteria set in relation to each evaluation question, to determine if the assertion being tested is met.

Evaluation Criteria	Possible Evaluation Questions
Component 1:	**Evaluation of Implementation of the GCP Tier 2 strategy**
Relevance	✓ Was GCP Tier 2 relevant to the needs and priorities of the INTOSAI and Donor communities? ✓ Was the process and criteria for selecting SAIs for Tier 2 appropriate, and how might this be adjusted for a future Tier 2?
Efficiency and Effectiveness	✓ Did communication with the SAIs during the initiative work well and how could it be improved? ✓ To what extent were the SAIs actively involved in the initiative and how did this impact on achievement of the objectives? ✓ To what extent were the prioritized training and guidance activities sufficient, relevant and delivered with quality? ✓ Were the planned project support groups successfully established in each country, and what factors hindered or contributed to this?
Partnerships	✓ To what extent have development partners, to date, lived up to their initial indications of willingness to support GCP Tier 2 globally and in specific countries? ✓ To what extent has the INTOSAI community, to date, successfully mobilised appropriate, high quality peer support to deliver GCP Tier 2? ✓ Were roles and responsibilities between GCP Tier 2 and the PAP-APP programme sufficiently clear once PAP-APP was established?
Component 2:	**Evaluation of the Accelerated Peer-Support Partnership Programme (PAP-APP) – Phase 1, 2018-20**
Relevance	✓ To what extent did the design of the programme meet the initial needs of the participating SAIs, and did it adjust as necessary where SAI's needs changed? ✓ To what extent was the underlying theory of change for PAP-APP clear and suitable? ✓ To what extent was the PAP-APP programme, and individual country-level support, informed by appropriate gender analysis, and how might this be improved in phase 2?
Efficiency	✓ Were project-initiated activities and costs consistent with plans and budgets? ✓ Were planned monitoring mechanisms applied in practice leading to actions to keep the programme on track? ✓ Were risks to planned outputs and contribution to outcomes appropriately identified and managed in practice, including responses to realised risks? ✓ Were appropriate arrangements followed to ensure quality of delivery and outputs by all partners? ✓ How efficient were the chosen delivery mechanisms (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)? ✓ To what extent did the initiative utilise potential synergies with other IDI initiatives and products? ✓ To what extent did the initiative utilise synergies with non-IDI initiatives (at the country, regional and global level) ✓ To what extent were the PAP-APP partners able to mobilise sufficient quality and quantity of support internally and in the form of in-kind support?

Evaluation Criteria	Possible Evaluation Questions

Effectiveness	✓ To what extent have the following expected SAI outcomes[11] been met, what factors hindered or contributed to this, and how could these be further strengthened?
	    ○ Strengthened SAI's Strategic Management[12] (including increased SAI ownership of their own development)
	    ○ SAIs have sufficient, effective and coordinated external support[13]
	    ○ SAIs lead by example in the areas of gender, inclusion and diversity

Sustainability	✓ To what extent did the initiative contribute to enhancing the capacity of each SAI to manage and coordinate support? ✓ Is there now a more sustainable SAI-donor coordination group functioning in each country? ✓ Has the initiative led to appropriate long-term support arrangements with suitable providers of support in each country (or does it look as though such support will be achieved)?
Partnerships	✓ How was the delivery partnership (IDI, AFROSAI-E and CREFIAF) developed and did this partnership have a comparative advantage to deliver the support compared to other (possible) alternative partnerships? ✓ Were the governance arrangements for the PAP-APP partnership between IDI, AFROSAI-E and CREFIAF clear and is there room for improvement in future? ✓ Has the PAP-APP partnership led to mutual learning between the partners regarding delivery of support to SAIs in challenged environments?
Component 3:	**Evaluation of Peer support to the National Audit Chamber South Sudan 2017-20**
Relevance	✓ Was IDI's decision to provide bilateral support to the NAC consistent with the selection principles in the IDI bilateral policy, and appropriate vis-à-vis IDI's limited resources? ✓ Was the decision to aim for life-line support appropriate for the circumstances? ✓ How relevant is the design of the initiative to the needs to the NAC, and how involved was the NAC and delivery partners in the design? ✓ How relevant are the chosen cooperative audit topics to the needs of citizens and to the interests of key stakeholders in South Sudan? ✓ To what extent was initiative informed by appropriate gender analysis, and how might this be improved in future?
Efficiency	✓ Was the underlying theory of change clear, and the design of the initiative including monitoring and reporting arrangements appropriate? ✓ Were IDI activities and deliverables and costs consistent with plans and budgets? ✓ Were risks to planned SAI outputs and contribution to outcomes appropriately identified and managed? ✓ Were appropriate arrangements followed to ensure quality of delivery by IDI and partners, including quality of cooperative audit products? ✓ How efficient were the chosen delivery mechanisms (peer-peer support, mobilisation of resource persons, combination of in-country and remote assistance) compared to other

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[11] SAI outcomes as per the PAP-APP programme document (PD). The PD breaks these down further and identifies suitable indicators and targets for each.

[12] Progress on SAI Strategic Management may be checked by verifying SAI's self-assessments of strategic management, especially the SAI PMF indicator 3 scores in early 2020

[13] The PAP-APP programme document uses the term 'Project Support Groups' (PSGs) to refer to the platform where all the stakeholders involved in providing support to the SAIs can interact and coordinate their actions.

Evaluation Criteria	Possible Evaluation Questions
	feasible alternatives (e.g. use of consultants, use of IDI staff, increased country presence, long term advisors)? ✓ To what extent did the initiative utilise potential synergies with other IDI initiatives and products? ✓ To what extent did the initiative utilise synergies with non-IDI initiatives (at the country and regional level) ✓ To what extent have IDI's partners delivered on their responsibilities under the initiative? ✓ Was IDI able to mobilise sufficient quality and quantity of support from partners, and others in the form of in-kind support?
Effectiveness	✓ To what extent have the expected SAI outputs and outcomes been met, and what factors hindered or contributed to this? ✓ Did outputs from the project contribute to improvements in the performance and capacity of the SAI, and what factors hindered or contributed to this?
Sustainability	✓ Have the main threats to the existence and functioning of the NAC been identified, and efforts to counter these factored into the support? ✓ Have the main supporters of the NAC been identified, and efforts to strengthen and harness this support been factored into the initiative? ✓ Has the initiative contributed to enhancing the reputation of the NAC with key external stakeholders? ✓ To what extent has the initiative contributed to the internal sustainability of the NAC as an organisation? ✓ Has the method of support increased the likelihood that changes to performance and capacity can be sustained?
Partnerships	✓ Were the governance arrangements for the partnership between IDI and AFROSAI-E clear and is there room for improvement in future? ✓ Has the partnership between IDI and AFROSAI-E led to mutual learning regarding delivery of bilateral support to SAIs in challenged environments?
Component 4:	**Synthesis of findings and lessons for implementation of IDI's bilateral policy**
Relevance	✓ Does IDI's bilateral support policy remain relevant and appropriate? ✓ In what ways should IDI's bilateral support policy be adjusted in light of IDI's new strategic plan (especially considering strategic shifts to work streams and integrating gender)? ✓ To what extent have IDI's conditions for provision of bilateral support been followed, and appropriate processes applied to select SAIs for bilateral support?
Efficiency	✓ Are the eight principles of IDI's bilateral policy followed in IDI's provision of bilateral support? ✓ Is the underlying theory of change for IDI's bilateral policy clear and followed? ✓ Is there appropriate monitoring and reporting to stakeholders on implementation under IDI's bilateral policy? ✓ Is IDI's bilateral support unit appropriately resourced and efficiently managed? ✓ To what extent has IDI's bilateral support unit adopted a focus on SAI level results? ✓ To what extent is IDI's bilateral support drawing resources away from IDI's global and regional work? ✓ To what extent are lessons learned from IDI's bilateral work contributing to improvements across the rest of IDI's portfolio?

Evaluation Criteria	Possible Evaluation Questions
	✓ How is IDI's bilateral work influencing and strengthening the way that IDI's partners deliver support to SAIs?
Effectiveness	✓ To what extent has IDI's bilateral policy been effective in contributing to SAIs enhancing their performance and capacity?
Sustainability	✓ Is IDI's approach to bilateral support increasing the likelihood that changes to performance and capacity can be sustained?
Partnerships	✓ Does IDI have appropriate arrangements for the governance of partnerships and to ensure the quality of delivery of bilateral support by IDI and partners? ✓ Is IDI utilising the most appropriate forms of partnerships to ensure quality delivery of its bilateral support and to protect IDI's reputation and brand? ✓ Does IDI have appropriate arrangements for managing its delivery partnerships? ✓ Was IDI able to mobilise sufficient quality and quantity of support from partners, and others in the form of in-kind support?

8. Evaluation Methodology and Approach

To meet the evaluation purpose, IDI suggests combining a desk-based review and one or two field missions to examine the selection, design, implementation and results of each initiative. For IDI, the implicit theory of change underlying the approach in its Bilateral Policy is crucial, so it is <u>essential that the evaluation approach (re)formulates and tests the theory of change</u>. A proposed theory of change – common across all components – to support the evaluation should be developed as part of the inception report, for confirmation by IDI before its application.

A theory of change documents the <u>causal</u> 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 initiative contributed to change at the purpose level.

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. An initial visit to IDI in Oslo is expected, to allow discussion with relevant IDI staff.

For components 1, 2 and 4, this evaluation will be conducted primarily as a desk-based exercise, involving document review, teleconference/video conference with IDI staff, and semi-structured telephone interviews and follow-up documentation requests to donors, partners and SAIs. It should rely predominantly on documentation and evidence collected as part of each initiative. Where specific SAIs can not be effectively contacted through remote means, a short country visit may be required (possibly Eritrea). This should be coordinated with the field mission to South Sudan under component 3. Otherwise, no detailed country visits are anticipated under component 2, and the evaluator is <u>not</u> expected to select a sample of PAP-APP countries for more in-depth analysis.

For component 3, IDI envisages that, in addition to desk work, a one-week mission to South Sudan will be essential to gather evidence and gain a fuller understanding of the initiative and its results to date.

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

9. Evaluability

Component 1 is an ex-post process evaluation of a process which may, or may not, be repeated. Components 2 and 3 are effectively interim evaluations of long-term initiatives which are moving from one phase to another. Component 4 is an implementation evaluation of how IDI delivers bilateral support, drawing on findings from the other three components and examination of cross-cutting elements of IDI's delivery of bilateral support. The evaluations largely examine the design and delivery of IDI initiatives, along with achievement of outputs and contribution to outcomes. They will also examine whether the approach used is expected to contribute to sustainability but will stop short of examining the sustainability of change and impact of the work of the SAIs. IDI considers that for most evaluation criteria, evidence will be available within IDI and through discussions with partners and SAIs.

A site visit to South Sudan may be appropriate to talk to the SAI and national stakeholders in order to gather sufficient evidence. For PAP-APP, IDI does not consider visits to all participating countries necessary, but SAI Eritrea may need to be visited as remote communication with the SAI has often proven ineffective.

10. Responsibilities

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 Martin Aldcroft: martin.aldcroft@idi.no.

Component 1 will be supported by the IDI Global Call for Proposals Manager (Kerry Crawford kerry.crawford@idi.no) and Deputy Director General (Ole Schøyen ole.schoyen@idi.no). They will coordinate any work involving the GCP Tier 2 committee and wider INTOSAI-Donor Cooperation.

Components 2, 3 and 4 of the evaluation will be supported by the Manager – bilateral support (Jostein Tellnes jostein.tellnes@idi.no), Deputy Director General (Ola Hoem: ola.hoem@idi.no) and coordinators (Jianhua Qian jianhua.qian@idi.no and Laurent Soublin laurent.soublin@idi.no). Together, they will be the focal point for providing information on the programme, and evidence obtained during programme implementation, as well as for liaison with the programme partners and participating SAIs.

For discussions on country-level issues under PAP-APP, IDI will provide details of relevant contact points from IDI and its partners for each country.

Ola Hoem, Ole Schøyen (for their respective components) and Director General Einar Gørrissen, 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.

11. Process and Timetables

As noted above, it is important for IDI's stakeholders that there are clearly separated findings, conclusions and recommendations relating to each component. During the evaluation, separate draft reports covering each of components 1, 2 and 3 should be drafted as stand-alone documents, for sharing with relevant stakeholders. For the final report, components 1-3 should be brought together as chapters or annexes within a single evaluation report, which also includes the synthesis and any additional work for component 4.

Broadly, IDI requires that the inception report and draft report on component 1 are completed during 2019. Components 2 and 3 should be delivered in Q1 2020, and the consolidated report including component 4 and an executive summary should be prepared by the end of April 2020. IDI hopes that the report can be reviewed, revised and cleared during May 2020.

Indicative key milestones in the evaluation are:

1. Invitation to tender issued (13 September 2019)
2. Technical and financial proposals submitted to IDI (4 October 2019)
3. Preferred evaluator selected (10 October 2019)
4. Initial video conference between evaluator and IDI (16 October 2019)
5. Inception report, including proposed evaluation approach, submitted to IDI (11 November 2019)
6. Comments on inception report (18 November 2019)
7. Revised inception report to IDI (22 November 2019)
8. 1st draft component 1 to IDI (6 December 2019)
9. Comments on 1st draft component 1 to evaluator (13 December 2019)
10. 2nd draft component 1 to IDI (18 December 2019)
11. Component 1 draft sent by IDI to key stakeholders for comment (20 December 2019)
12. 1st draft components 2 and 3 IDI (31 March 2020)
13. Comments on 1st draft components 2 and 3 to evaluator (7 April 2020)
14. 2nd draft components 2 and 3 to IDI (14 April 2020)
15. Component 2 and 3 sent to key stakeholders for comment (17 April 2020)
16. 1st draft synthesis report (components 1-4) to IDI (30 April 2020)
17. Comments on 1st draft synthesis report to evaluator (including comments from key stakeholders on individual component reports) (7 May 2020)
18. 2nd draft synthesis report to IDI (14 May 2020)
19. (Time left for additional round of comments if necessary: 15-26 May 2020)
20. Synthesis report approved by IDI (27 May 2020)
21. Final synthesis report (max 40 pages including executive summary of max 4 pages) submitted to key stakeholders (29 May 2020)
22. Workshop presenting and discussing results with stakeholders (Possibly mid-June, but likely to be combined with another appropriate event[14])

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[14] The contiguous INTOSAI Capacity Building Committee and INTOSAI-Donor Steering Committee meetings in September 2020 is one possible option for disseminating findings.

12. Budget

The maximum budget for this evaluation is as follows:

Component	Max Budget	Funding Source
Component 1	50 000 NOK	IDI Global Foundations Unit[15]
Component 2	300 000 NOK	PAP-APP budget (Austria and Iceland)
Component 3	250 000 NOK	MFA Norway
Component 4	50 000 NOK	IDI Bilateral Support Unit
Total	**650 000 NOK**	

13. Eligibility of Service Providers

Bidding is open to: firms, consultants operating on an individual basis and SAIs. Non eligible bidders are: 1) Current permanent employees of SAIs on an individual basis, 2) former IDI staff, 3) SAIs that have a formal role in the IDI governance structure or who are beneficiaries of the IDI programmes, 4) consultants, firms or SAIs that have staff members with close family connections to staff in the IDI, and 5) consultants, or firms that that are providing substantial services to the IDI (where the IDI fees received was above 15% of the total income of the company or individual in 2017 or 2018).

14. 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 technical and financial proposal, in English, by email to Martin.Aldcroft@idi.no with a copy to Einar.Gorrissen@idi.no by 4 October 2019, 5 pm Oslo time. This should comprise:

- Proposed methodology and timetable for the assignment, including outline evaluation approach.
- Experience in designing and delivering programme evaluations.
- Experience in evaluating capacity development initiatives in governance or public financial management.
- Understanding of IDI and capacity development of SAIs in Anglophone and Francophone 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, clearly specifying the budget per component.

15. Selection of Service Provider

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

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[15] The INTOSAI-Donor Secretariat has been integrated into IDI from 2019 and is tasks are now delivered by IDI's Global Foundations Unit

Criteria	Maximum Score
Methodology	
Proposed methodology for assignment including evaluation approach	30
CV	
Experience of individual/team in designing and delivering programme evaluations	15
Experience of individual/team in evaluating SAI capacity development initiatives	10
Experience of individual/team in integrating gender considerations into the design and delivery or programmes and/or evaluations	5
Individual/team understanding of IDI and capacity development of SAIs in Anglophone and Francophone developing countries	20
Language	
Fluency of proposed individual/team in English and French[16]	10
Financial proposal	
Financial proposal (based on Norwegian Kroner equivalent at the time of evaluation)	10*
TOTAL	100

* 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.

16. Reference Materials

- IDI Bilateral Support Policy: http://www.idi.no/en/elibrary/cdp/bilateral-programmes/497-idi-bilateral-policy
- Global Call for Proposals documentation: https://intosaidonor.org/what-we-do/global-call-for-proposal-funding-sources/
- PAP-APP documentation: http://www.idi.no/en/idi-cpd/bilateral-support-programme/bilateral-projects/accelerated-peer-support-partnership-pap-app
- Bilateral support to South Sudan documentation: http://www.idi.no/en/idi-cpd/bilateral-support-programme/bilateral-projects/south-sudan
- 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): http://www.idi.no/en/about-idi/plans

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[16] Support to five PAP-APP countries is delivered in French. Any evaluation team must include one individual able to work in French, with an understanding of the Francophone public external audit model.