



**TERMS OF REFERENCE**

**EXTERNAL EVALUATION OF THE FUNDING AGREEMENT**

**BETWEEN**

**AFROSAI-E**

**AND**

**THE ROYAL NORWEGIAN EMBASSY IN SOUTH AFRICA**



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## 1. Background

This Terms of Reference will give direction for the planning, execution and completion of an independent external evaluation of the African Organisation of English-speaking Supreme Audit Institutions (AFROSAI-E) in accordance with Article 2.4 of the addendum signed to agreement RAF-16/0018 with the Royal Norwegian Embassy (RNE) in Pretoria, South Africa.

Collectively AFROSAI-E and the RNE are referred to as the Parties.

AFROSAI-E is a subregional organisation that assists its 26 member Supreme Audit Institutions (SAIs) in developing capacity according to their needs. It offers a wide range of capacity building interventions, addressing the five domains of its Institutional Capacity Building Framework (ICBF), which are:

- Independence and legal framework,
- Organisational and leadership,
- Human Resources,
- Audit methodology and quality assurance, and
- Communication.

The Parties first entered into an agreement in July 2013 for the period up to 2016. A new agreement was signed for the period July 2017 to June 2021, according to which the planned effect on society is to promote good governance and improve public sector performance in the 26 member countries.

The 2015-2019 strategic goals were:

- professionalising public sector auditing and accounting,
- being a credible voice for beneficial change,
- turning leadership from capacity into capability, and
- driving innovation and creativity.

A new Strategic plan for the period 2020-2024 commenced in January 2020. The Theory of Change was first defined in the 2020-2024 Strategic Plan.

The intended target group is Supreme Audit Institutions (SAIs) in 26 African English-speaking member countries. The planned effect for the target group of the project was for 70% of the member countries to have achieved level 3 (established level) of the AFROSAI-E ICBF by 2019. A full results framework was included as Annex B to the Agreement.

It should be noted that an addendum to the agreement was signed on 28 April 2020 to, amongst others, align the agreement to the new Strategic goals for 2020-2024.

AFROSAI-E's Executive Secretariat is based in Pretoria, South Africa.

## 2. Purpose and use of the evaluation

2.1 The purpose of this independent evaluation is to provide the partners with evidence-based findings and conclusions on whether AFROSAI-E achieved its outcomes and impact in areas affecting the audit of public resources and in promoting good governance, including:

- obtaining information on the interventions' results and impact;
- providing input for the decision on continued support; and
- provide learnings for the parties for future interventions aimed at Supreme Audit Institutions.

2.2 There will be no restrictions placed on either party to use and distribute the report. The evaluation report will be made available to the AFROSAI-E Governing Board, existing donors and development partners. Where AFROSAI-E is approaching other potential donors or development partners the report may be made available to them or referred to in such applications.

## 3. Evaluation questions

The following questions should be answered by the evaluator, with sub-questions that can be agreed upon during the inception period.

### Question 1

Did AFROSAI-E promote its activities to all its members and in doing so increased cooperation and coordination among participating member SAIs?

Objective 1: To determine whether AFROSAI-E's actions increased cooperation and coordination among member SAIs.

### Question 2

Has the use of the ICBF and Quality Assurance Reviews been effective?

Objective 2: To assess whether the SAIs use the ICBF self-assessments data from the five domains for capacity building initiatives and public reporting purposes, and whether they use the Quality Assurance Reports to improve their internal processes.

### Question 3

Did AFROSAI's interventions, such as development of manuals and training material and in-country support, in Financial and Compliance Audit and Human Resources deliver tangible positive results?

Objective 3: To determine whether and to what extent AFROSAI-E interventions in the areas of Financial and Compliance Audit and Human Resources contributed to enhancing the performance of its members and prove to be relevant and useful to member SAIs.

### Question 4

Did AFROSAI-E's support and capacity building initiatives effectively assisted member SAIs to contribute to the planned effect on society?

Objective 4: To determine whether AFROSAI-E's support and capacity building initiatives effectively assisted member SAIs to contribute to the intended societal impact, namely promote good governance and improve public sector performance.

## 4. Scope

The agreement for the period July 2017 to June 2021 will form the basis of the evaluation, but the focus should be on the period 2018 and 2019 (the last two years of the previous Strategic Plan).

An independent evaluation was conducted in 2018 as part of an agreement with the Swedish International Development Cooperation Agency (Sida). That report which covered the period 2015 to 2017 will be made available to the evaluator as a reference/background document. However, this review will be conducted independently of the Sida review.

## 5. Approach and methodology

The evaluator shall provide the Parties with a concept and process description that describes how they intend to conduct this assignment and achieve the stated objectives.

## Content of the tender

The evaluator is asked to formulate a concept and process description, based on the objectives of the evaluation. For each evaluation question describe the necessary processes and methodologies; data collection methods; data analysis methods including qualitative and quantitative methodological approaches. A realistic time frame will be part of the process description. The evaluator should also provide a preliminary list of sources of information, this list will be complemented and more exhaustive in the inception report.

In the process description the evaluator should elaborate on how the methodology chosen will secure that findings of the evaluation are based on triangulated data from observations, interviews, documentary review, and other sources. The evaluation should also identify key success factors for achieved results and impact.

If there are deviations between the intended and achieved results, the conclusions should provide explanation and causes of these. The evaluation should also consider any unintended impact from AFROSAI-E interventions that may not have been planned or foreseen at the inception of the project. The evaluation should also provide explanations and causes of potential challenges in the implementation. Deviations and challenges in the implementation should be supported by information on what the Parties did to mitigate them.

## Inception report

The successful evaluator will be asked to further elaborate on the methodological approaches including scoping in an inception report that will be presented to the Parties.

The inception report must be approved by the Norwegian Embassy before the evaluation can proceed. The Embassy should ensure that the evaluation process will not be delayed due to the approval process. However, in the planning of different deliverables in the evaluation, the approval process must be included.

## 6. Quality standards

### Quality assurance

The evaluator is to provide an overview of the sequence of quality assurance within the evaluation team and procedures for approval of inception report and final report from the Norwegian Embassy.

The evaluation must comply with the OECD/DAC Quality Standards for Development Evaluations, and all findings and conclusions must be backed by reference to evidence (source). The magnitude/representativeness of the findings should also be included (or at least, prepared to be presented on request).

Expected routines within the evaluation team as well procedures for approval of inception report and final report should be described in the tender document.

In the tender document, policies for ethical standards should be addressed, including confidentiality, sensitivity and respect to other stakeholders. Also, independence of the evaluation team should be secured. The evaluator should provide the following information:

- Brief information on the educational and professional background of the members of the evaluation team, including their respective role in this assignment.
- Individual CV's of each evaluation team-members.
- Activity plan that covers all relevant elements that are necessary to carry out this assignment, distributed by estimated hours on desk study, field visit (due to Covid 19 field visits are not foreseen), interviews, reporting and presentation of the inception and final report to the Norwegian Embassy.

## 7. Management of the evaluation

The evaluator should provide information on roles and responsibilities within the evaluation team and management arrangements should also be included. The evaluator should also include a plan for the inception report, the draft report and the final report.

AFROSAI-E will, upon contract approval, appoint a contact person for the evaluation, a steering / advisory group and guidance on who will review the inception and final report. Stakeholder participation will be limited to participation in start-up and final workshops as well as consultation to validate facts and findings. The concept/process note should include planning for these interactions.

Representatives of the Parties should be allowed to comment on the final report before publication.

The final report should contain an executive summary of no more than two pages, which clearly and unambiguously lists the key findings and recommendations. Furthermore, each section of the report will also contain a concise summary that is a maximum length of one page, preferably shorter. The final report will be published on the AFROSAI-E webpage and other media platforms deemed relevant.

The Norwegian Embassy expects the evaluator to participate in the following workshops or presentations (these should be presented as deliverables in the concept/process note and given the current situation, all meetings should be planned as taking place online).

1. Start-up meeting.
2. Stakeholder workshop presenting and discussing the inception report.
3. Consultation process of the draft report.
4. End of project presentation to the Norwegian Embassy.

## 8. Time frames and deliverables

In the concept and process note the evaluator should present a detailed timeline with milestones and/or deadlines for deliverables to be agreed upon with the Parties. AFROSAI-E will be consulted in all stages of the evaluation to enhance the relevance of the process.

Any additions or amendments of the timelines and evaluation questions should be clarified in the inception report.

The following deliverables are mandatory:

- Inception report
- Draft report
- Final report.

AFROSAI-E plans according to the following deadlines:

- |  |   |
|--|---|
| • Submission of proposals                | 16 April 2021   |
| • evaluation and contract signed         | 30 April 2021   |
| • inception report                       | 21 May 2021   |
| • draft report distributed               | 30 June 2021  |
| • publication of final report            | 31 July 2021  |
| • Evaluator briefing / close out meeting | within 10 working days from publication of the final report |

Briefings on all milestones and before deadlines should be given to the parties before distributing reports.



Any deviations from this time frame must be alerted in due time and discussed with the contact person at the Norwegian Embassy.

## 9. Budget

The evaluator is asked to present the budget for the evaluation divided into the following cost categories:

1. Man-hours, divided between management, senior evaluators, junior evaluators.
2. Other costs.

Price is one of the selection criteria for the evaluation.

## 10. Contact details

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