

Global Call for Proposals 2013 Final Summary

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Working together to strengthen Supreme Audit Institutions in developing countries

INTOSAI-Donor Cooperation

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1. Introduction

The 2013 Global Call for Proposals (GCP) was launched during XXI INCOSAI in October 2013. It was directed towards individual SAIs, INTOSAI Regions and Sub-Regions, and INTOSAI Committees and Working Groups.

In total, 47 final concept notes were received, including three global initiatives, nine initiatives from INTOSAI regions and sub-regions, and 35 country-level initiatives. Concept notes were received in Arabic, English, French, Portuguese, Russian and Spanish. The sum of the financial support sought was USD 57 million.

2. Monitoring Process; Response Rates and Challenges

Initially, providers are asked to express indicative interest in providing support, and begin dialogue with the applicant. Later, providers are asked to classify the status of their dialogue according to the following categories: no interest, expression of interest, dialogue ongoing, and funding approved / project in progress¹.

The last monitoring survey was distributed in May/June 2016 to all applicants as well as organizations that had communicated indicative interest in providing support. In total 44² concept notes were included in the survey. Figure 1 below shows the distribution of responses.

Figure 1: Responses for the survey conducted in May/June 2016:

Initial expression of interest from donor (update request sent to applicant and donor)				No initial interest from donor (update request only sent to applicant)	
Response from both applicant and donor	Response only from donor	Response only from applicant	No response	Response from applicant	No response
19	10	2	1	8	4

The Secretariat received responses regarding 39 of the 44 concept notes (88 %)³. The response rate for donors was 68 %, and for applicants 66 %. In a follow up survey conducted in August 2016, applicants were asked if they wanted to retain or remove projects in the SAI Capacity Development Database (for further description cf. section 5), in cases where there was no expression of interest from any provider of support.

Challenges in monitoring the projects

There are some difficulties that makes the monitoring process and reporting for the 2013 GCP

¹ This category includes both projects with approved financial support and also in-kind contribution.

² Three concept notes were not included as two projects were completed, and one project was no longer relevant.

³ Response from donor or applicant or both.

challenging. For thirteen projects, we did not receive a response from both donor and applicant and for five projects we did not receive any response at all.

For four concept notes we received different responses from the applicants and providers of support regarding the status of proposed projects. For two projects applicants responded that no funding had been approved, while providers of support responded that funding for the concept note had been approved in part or in full and/or project was in progress. For one project we received the opposite response: the applicant considered the project funded whilst the provider did not. In these cases, the three concept notes have been listed as approved for funding (in part or in full). For the fourth project, the applicant has responded that there is no interest in funding the project while the donor has responded that there is an expression of interest. This proposal has been listed as a ‘no interest’ project.

3. Results in matching 2013 Global Call for Proposals

Results in matching

Figure 2 shows the status of the dialogue for the 47 concept notes sent in under the 2013 GCP.

Figure 2: Status of matching 2013 GCP⁴

	No interest	Expression of interest	Dialogue ongoing	Funding approved or project in progress ⁵
Sept. 2014 IDC Steering Committee Meeting	23 (49 %)	24 (51 %)	0	0
May 2015	18 (38 %)	4 (8 %)	2 (4 %)	23 (49 %)
September 2015	18 (38 %)	2 (4 %)	2 (4 %)	25 (53 %)
September 2016⁶	16 (34 %)	5 (11 %)	4 (9 %)	22 (47 %) ⁷

The table shows that as of September 2016 the number of proposed interventions that have been approved for funding has actually decreased compared to figures obtained one year ago. As at September 2016 just under half (47 %) of the proposed interventions has been approved for funding compared to 53 % in September 2015. For a more detailed overview of the changes, see figure 3.

The data also shows that a considerable number of concept notes were matched between October 2014 and May 2015.

⁴ Concept notes the Secretariat has received no information about are listed under “no interest”. Concept notes listed with funding approved include: proposals fully met, proposals partly met by a new initiative, and proposals incorporated into an expanded or amended scope of an existing initiative.

⁵ This category includes both projects with approved financial support and also in-kind contribution

⁶ Numbers for September 2016 are based on data gathered through the monitoring update requests sent out in the period May/June 2016.

⁷ Includes two projects that has been completed. For the Central African Republic we have not received a response from either applicant or donor, but we assume that funding was approved due to information received earlier in the monitoring process. The project itself is most likely on hold due to worsening political, governance and security situation.

Figure 3: Changes since the last monitoring report in September 2015:

Beneficiary	No interest	Expression of interest	Dialogue ongoing	Funding approved or project in progress	Completed
Chad	Sep 2015			Sep 2016	
Guinea-Bissau	Sep 2015			Sep 2016	
Yemen	Sep 2015		Sep 2016		
OLACEFS (intoSAINT)			Sep 2015	Sep 2016	
OISC/CPLP (SAI PMF)				Sep 2015	Sep 2016
OLACEFS (SAI PMF)				Sep 2015	Sep 2016
Comores	Sep 2015	Sep 2016			
AFROSAI (Environmental Audit)			Sep 2016	Sep 2015	
Benin			Sep 2016	Sep 2015	
Djibouti		Sep 2016		Sep 2015	
Eritrea		Sep 2016		Sep 2015	
Mauritania			Sep 2016	Sep 2015	
Chile ⁸	Sep 2016			Sep 2015	
CREFIAP (Strategic Planning)	Sep 2016		Sep 2015		

In blue is the status of the project in September 2015, and in green is the status of the project in September 2016. The Secretariat has not been able to obtain more extensive information for the change in status for AFROSAI (Environmental audit), Benin, Djibouti, Eritrea and Mauritania and why these projects are no longer approved for funding. We initially received a written response from the donor and applicant regarding the projects AFROSAI (Environmental audit), Benin and Mauritania. The applicant has responded that the projects are not approved for funding and so has the provider of support. Regarding AFROSAI, the provider hasn't responded either yes or no as to whether the project is funded. For Djibouti and Eritrea we initially did not receive any response from the applicants only from the provider of support, and we have reported the projects in line with the response from the provider of support. We have tried to make contact with the provider of support per phone and e-mail to ask for more specific information, but we haven't been able to reach them. The Secretariat considers it a significant concern that projects previously reported as funding approved or in progress could now be reported as being at expression of interest or dialogue stage. To avoid such 'over reporting' in future, the Secretariat may need to consider whether it is prudent to seek copies of the funding agreements to support statements that projects have funding approved.

⁸ The project was interrupted/ended before completion

4. Development from 2011 GCP to 2013 GCP

At this stage in the matching process (3 years since the launch), the proportion of proposals that has been approved for funding is slightly lower for the 2013 GCP than it was for the 2011 GCP. 47 percent of the proposed interventions (22 of 47) in 2013 have so far received approved funding, some of these projects are already in progress. To compare, 51 percent of the proposals had received approved funding at this time in the process of matching in the 2011 GCP.

Figure 4 Comparison of progress in matching - 2011 GCP and 2013 GCP⁹

	Indicative interest in providing support		No interest		Expression of interest		Dialogue ongoing		Funding approved or project in progress ¹⁰	
	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP
Indicative interest after circulating proposals	44/45	24/47								
Sep. 12/Sep. 14 (year 1)			11 (20 %)	23 (49 %)	18 (33 %)	24 (51 %)	14 (25 %)	0	12 (22 %)	0
Sep. 13/Sep. 15 (year 2)			14 (25 %)	18 (38 %)	5 (9 %)	2 (4 %)	11 (20 %)	2 (4 %)	25 (45 %)	25 (53 %)
Sep. 14/Sep. 16 (year 3)			14 (25 %)	16 (34 %)	6 (11 %)	5 (11 %)	7 (13 %)	4 (9 %)	28 (51 %)	22 (47 %)

The figure above demonstrates the process and the length of time taken to turn proposals into concrete initiatives for 2011 GCP and 2013 GCP. For the 2011 GCP most initiatives were approved or commenced from early in the process up to the 2013 update, 18 months after sharing of the proposals. For the GCP 2013, approval of funding has happened at a later stage in the process.

5. SAI Capacity Development Database

The Secretariat has encouraged applicants and providers of support to update status of concept notes in the SAI Capacity Development Database (www.SAIdevelopment.org) during the 2013 GCP. The Database is administered by the Secretariat and is used to facilitate coordination of support and monitoring progress under the GCP. All 47 projects were initially registered in the Database as ‘proposed projects’.

It is important to ensure that proposed initiatives in the database remain relevant to the needs of the applicants. Therefore projects where there is no expression of interest may be treated in one of two ways:

- **Retained:** where there is no ongoing interest in a proposal, applicants have been given the option to retain the concept note in the Database as a ‘proposed project’.

⁹ Concept notes the Secretariat has received no information about are listed under “no interest”. Concept notes listed with funding approved include: proposals fully met, proposals partly met by a new initiative, and proposals incorporated into an expanded or amended scope of an existing initiative.

¹⁰ This category includes both projects with approved financial support and also in-kind contribution

- **Removed:** proposals will be removed from the Database if there is no ongoing interest in a proposal and the applicant confirms that the proposal may be removed from the database as no longer being relevant to its needs.

A request was sent to applicants regarding the projects where no donor has shown an expression of interest to fund the projects. The applicant was asked whether they want to delete or retain the project in the Database. We received response from 10 of 13 applicants where seven applicants wanted to retain the proposal in the Database and three applicants wanted their projects to be deleted. For the three proposals where we did not receive a response these are still retained in the Database, but will be removed if there is no response from the applicant within the timeline given.

For two proposals (Mongolia and Philippines), the initial proposal has been separated into two database entries, one recording the partial support received from a provider, the other recording the remainder of the proposal for which support is still sought.

For an overview of status of all 47 proposals from the 2013 GCP and their treatment in the Database, see Annex 1.

6. Way Forward

Currently, there is an ongoing strategic review of the Global Call for Proposals. A decision concerning the way forward for the Global Call for Proposals will be made at the Steering Committee meeting in Cape Town 5-6th October 2016.

Annex 1: Status of all 47 Proposals from the 2013 Global Call, and their Treatment in the Database

Region	No interest	Expression of Interest	Dialogue Ongoing	Funding Approved or Project in Progress*
AFROSAI-E	Namibia	Eritrea Zambia - Extractive Industries	AFROSAI: Environmental audit	Zambia - Forensic Auditing
ARABOSAI	Algeria Palestine		Mauritania Yemen (<i>GIZ</i>)	
ASOSAI	Maldives Pakistan			Afghanistan Bhutan Philippines Kyrgyzstan Mongolia
CAROSAI				CAROSAI: (Audit Management Software)
CREFIAF	CREFIAF (Strat. Planning) Burundi Congo Brazzaville Guinea-Conakry Sao Tome e Principe Togo	Cape Verde^ Comores Djibouti	Benin	CREFIAF (Performance Audit) Burkina Faso Chad Guinea-Bissau Central African Republic Mali
EUROSAI				Albania Georgia
OLACEFS	OLACEFS (Review of OLACEFS Regulations) Chile El Salvador Uruguay			OLACEFS (ISSAI Implementation) OLACEFS (intoSAINT) OLACEFS (SAI PMF) Honduras
PASAI				PASAI (Strategic Plan Implementation)
Global	Working Group on Environmental Audit			OISC/CPLP (SAI PMF) OISC/CPLP (Audit Training)
TOTAL	16	5	4	22
TOTAL left in database	13	5	4	22

* Indicates that at least part of the proposal has been approved or is in progress, though elements of the proposal may not have been supported. Funding can mean both financial support and in-kind contribution

^ In-kind staff support offered from an SAI, but no donor interest in providing the necessary financial support.

Removed from Database