Global Call for Proposals 2013 Monitoring Report

29 September 2015

INTOSAI-Donor Cooperation

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1. Introduction

About the 2013 Global Call for Proposals
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.

Unlike the 2011 GCP, the 2013 GCP started with the development and submission of project concept notes, prior to full proposals. The benefits of using concept notes are that it requires less potentially abortive efforts from the applicants, while it still gives providers of support the information needed to assess and compare proposals. The concept notes are developed into more comprehensive proposals where there is interest from providers of support. The INTOSAI-Donor Secretariat gave guidance to applicants on the development of the concept notes that were formally received. A summary of lessons learnt from review of draft concept notes is provided in Annex 2.

In total, 47 final concept notes were received for the 2013 GCP. The concept notes include 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 is USD 57 million.

Matching and coordination of support
A document summarizing the concept notes received was simultaneously shared with all potential providers of support on 6th May 2014. These include donor agencies, Supreme Audit Institutions that provide support, INTOSAI Regions, Sub-Regions and Bodies (such as the IDI), the SAI Capacity Development Fund, and others[1]. These organizations were requested to consider their indicative interest in supporting any of the initiatives, and communicate this interest to the applicant, with a copy to the Secretariat, by 15th June 2014. The Secretariat has since then encouraged potential providers of support, applicants and providers to work bilaterally to identify the appropriate actions and timetables to move forward. The Secretariat has offered to provide support in this process where requested and feasible.

Matching and coordination of support for initiatives under the 2013 GCP was discussed by the INTOSAI-Donor Steering Committee in a teleconference on 23rd June 2014, followed by a discussion at the 7th INTOSAI-Donor Steering Committee meeting in Paris in September 2014. For both these meetings, the Secretariat provided a status update on indicative interest expressed in 2013 Concept Notes.

Use of the SAI Capacity Development Database
The SAI Capacity Development Database (www.SAIdevelopment.org) is used to facilitate coordination of support and monitoring progress under the GCP. Summaries of all concept notes have been added to the database marked as originating from the 2013 GCP, with contact information for the applicants and information on status of proposed project. The search function in the database has been amended so it is now possible to search by project origin, e.g. Global Call 2011, Global Call 2013. A single database

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[1] Such as the Canadian Comprehensive Audit Foundation (CCAF)

search can now provide an overview of the current status of all proposed interventions in the 2011 and 2013 GCPs.

Monitoring process

The Secretariat has in the 2013 GCP encouraged applicants and providers of support to update status of concept notes in the SAI Capacity Development Database (www.SAIdevelopment.org), which is administered by the Secretariat. In an attempt to ensure effective coordination among donors and applicants in the cases of multiple expressions of interest, the Secretariat sent out emails in November 2014 asking applicants and providers to communicate and coordinate their efforts.

To get a full update of progress of the 2013 GCP, the INTOSAI-Donor Secretariat sent out a survey in May 2015 to all applicants as well as to organizations that had communicated indicative interest in providing support. An email was also sent out to the donor community asking for potential new interest in concept notes. A follow up survey regarding projects that the Secretariat had not received information about, or for projects that had not received approved funding as of May, was conducted in September 2015. The SAI Capacity Development Database was updated by the Secretariat with the information received in both surveys.

There are some challenges in relation to receiving information about and thereby monitoring status of concept notes submitted for the 2013 GCP. Through the monitoring surveys conducted in May and September 2015, the INTOSAI-Donor Secretariat has received responses regarding 36 of the 47 concept notes (77 percent). About half of the applicant SAIs have responded to the surveys, providing information about the status of their proposed projects. The response rate from donors was higher – almost 75 percent of the donors that had earlier expressed indicative interest (18 of 25 in total) responded. Donor organizations reported new expressions of interest in an additional 8 concept notes.

2. Results in matching 2013 Global Call for Proposals

In the monitoring surveys the respondents were asked to classify the status of their dialogue with the applicants according to the following categories: no interest, expression of interest, dialogue on-going, and funding approved / project in progress. The table below shows the status of the dialogue for the 47 concept notes for proposals sent in under the 2013 GCP as per September 2015.

	No interest	Expression of Interest	Dialogue Ongoing	Funding Approved or Project in Progress
Sep 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%)

Figure 1 Status of matching 2013 GCP[2]

Numbers for May and September 2015 are based on data gathered through the monitoring survey sent out in the respective months (altogether responses covered 36 of 47 concept notes). The table shows that for over half of the proposed interventions funding has been approved as of September 2015 (25 out of 47). This includes: proposals fully met, proposals partly met by a new initiative, and proposals incorporated into an expanded or amended scope of an existing initiative.[3] Of the projects not yet approved for support, two are reported to be in dialogue with applicant and donor. Two projects are reported to remain at the expression of interest stage. The data shows that a considerable number of concept notes were matched between October 2014 and May 2015, i.e. one to one and a half year after the launch of the GCP.

An analysis of funding approved, by region, is shown in the table below. As with 2011, global and regional proposals appear to receive a higher level of interest, with 67 percent of the global/regional proposals matched as compared to 49 percent of the country-level proposals. A high proportion of country-level initiatives have attracted support in ASOSAI and EUROSAI. A lesser proportion of the country-level initiatives have attracted support in ARABOSAI and CREFIAF.

Region	AFROSAI	AFROSAI-E	ARABOSAI	ASOSAI	CAROSAI	CREFIAF	EUROSAI	OLACEFS	PASAI	Global	Total
Regional/global level interest	1/1				1/1	1/2		2/4	1/1	2/3	8/12 (67%)
Country-level interest	-	2/4	1/4	5/7	-	5/14	2/2	2/4	-	-	17/35 (49%)
Total	**1/1**	**2/4**	**1/4**	**5/7**	**1/1**	**6/16**	**2/2**	**4/8**	**1/1**	**2/3**	**25/47 (53 %)**

Figure 2 Funding approved by region[4]

The specific concept notes with funding approved so far are shown in the following map. For a more detailed breakdown showing status of each concept note, see table in annex 1.

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[2] 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.

[3] For three concept notes we received different responses from the applicants and providers of support in regards of status of proposed 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. In these cases, the concept note has been listed as approved for funding (in part or in full).

[4] 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.

Figure 3: Map over funding approved and/or project in progress for 2013 Global Call for Proposals concept notes[5]

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[5] 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.
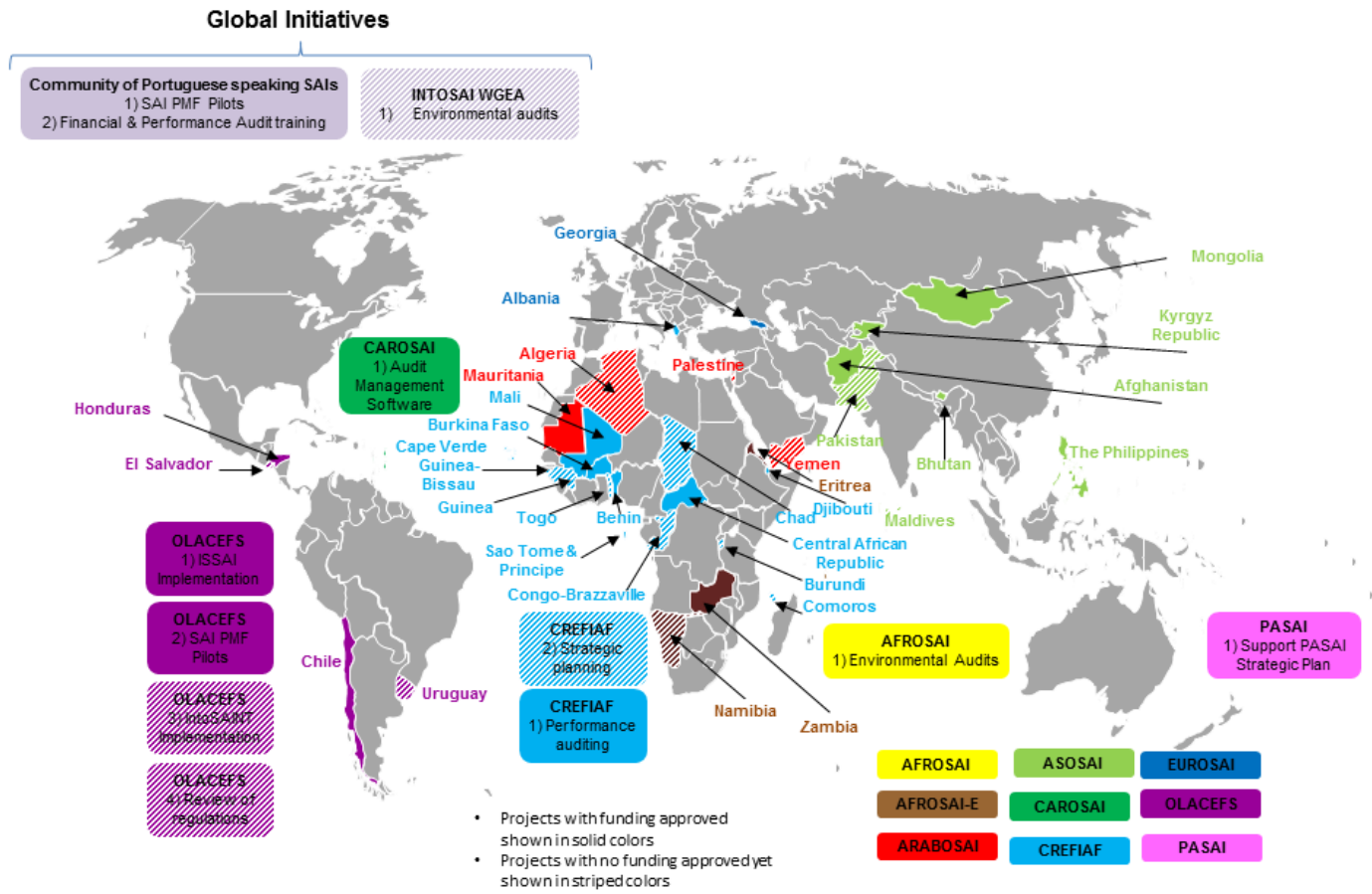
3. Development from 2011 GCP to 2013 GCP

At this stage in the matching process (2 years since the launch), the proportion of proposals that has been approved for funding is slightly higher for the 2013 GCP than it was for the 2011 GCP. 53 percent of the proposed interventions (25 of 47) in 2013 have so far received approved funding, some of these projects are already in progress. To compare, 45 percent of the proposals had received approved funding at this time in the process of matching in the 2011 GCP.

	Indicative Interest in Providing Support		No interest		Expression of Interest		Dialogue Ongoing		Funding Approved or Project in Progress	
	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP	2011 GCP	2013 GCP
Indicative interest after circulation of proposals	44/55	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/ NA (year 3)			14 (25%)		6 (11%)		7 (13%)		28 (51%)	

Figure 4 Comparison of progress in matching - 2011 GCP and 2013 GCP[6]

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. All the approved initiatives were matched between September 2014 and 2015 updates, four to 16 months after sharing of proposals with potential providers of support.

4. Way Forward

The status of the 2013 Global Call for Proposals will be discussed at the 8th INTOSAI-Donor Steering Committee meeting in Brasilia 5-7th October 2015. The future of the GCP is also a topic for discussion[7].

The Secretariat will continue to gather information and monitor the progress in matching, and a final update on progress on matching concept notes under the 2013 global call will be reported at the INTOSAI-Donor Steering Committee meeting in 2016.

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[6] 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.
[7] Please refer to the separate paper for agenda item 8: Options paper for the future of the GCP.

Annex 1: Status of funding of GCP 2013 concept notes (per Sept 2015)[8]

Beneficiary	Region	Financing approved or project in progress	Provider(s) of support
Afghanistan	ASOSAI	YES	IDI/NORAD/ SAI India
AFROSAI (Environmental Audit)	AFROSAI	YES	AfDB
Albania	EUROSAI	YES	EC SAI Poland and SAI Croatia
Algeria	ARABOSAI	NO	
Benin	CREFIAF	YES	AfDB
Bhutan	ASOSAI	YES	SAI CDF
Burkina Faso	CREFIAF	YES	AfDB
Burundi	CREFIAF	NO	
Cape Verde	CREFIAF	NO	
CAROSAI (Audit Management Software)	CAROSAI	YES	IADB
Central African Republic	CREFIAF	YES	AfDB
Chad	CREFIAF	NO	
Chile	OLACEFS	YES	SAI Brazil
Comores	CREFIAF	NO	
Congo Brazzaville	CREFIAF	NO	
CREFIAF (Performance Audit)	CREFIAF	YES	IDI
CREFIAF (Strategic Planning)	CREFIAF	NO	
Djibouti	CREFIAF	YES	AfDB
El Salvador	OLACEFS	NO	
Eritrea	AFROSAI-E	YES	AfDB
Georgia	EUROSAI	YES	MFA (Norway) World Bank
Guinea-Bissau	CREFIAF	NO	
Guinea-Conakry	CREFIAF	NO	
Honduras	OLACEFS	YES	IADB
Working Group on Environmental Audit	GLOBAL	NO	
Kyrgyzstan	ASOSAI	YES	EC WB
Maldives	ASOSAI	NO	

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[8] 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.

Mali	CREFIAF	YES	USAID/Mali
Mauritania	ARABOSAI	YES	AfDB
Mongolia	ASOSAI	YES	SAI CDF
Namibia	AFROSAI-E	NO	
OISC/CPLP (SAI PMF)	GLOBAL	YES	IDI / SAI Brazil / EC-UNDP
OISC/CPLP (Audit Training)	GLOBAL	YES	UNDP (Technical partners SAI Brazil and Portugal)
OLACEFS (ISSAI Implementation)	OLACEFS	YES	IDI
OLACEFS (intoSAINT)	OLACEFS	NO	
OLACEFS (SAI PMF)	OLACEFS	YES	IDI / IADB
OLACEFS (Review of OLACEFS Regulations)	OLACEFS	NO	
Pakistan	ASOSAI	NO	
Palestine	ARABOSAI	NO	
PASAI (Strategic Plan Implementation)	PASAI	YES	ADB, DFAT, MFAT,UNDP
Philipines	ASOSAI	YES	SAI CDF, ADB
Sao Tome e Principe	CREFIAF	NO	
Togo	CREFIAF	NO	
Uruguay	OLACEFS	NO	
Yemen	ARABOSAI	NO	
Zambia - Extractive Industries	AFROSAI-E	NO	
Zambia - Forensic Auditing	AFROSAI-E	YES	Irish Aid

Annex 2: Lessons Learned from Review of Concept Notes

A total of 47 draft concept notes were submitted to the INTOSAI-Donor Secretariat (Secretariat) for feedback by the deadline of 31st January 2014. The Secretariat, with assistance from the SAIs of Norway and Sweden, and SAI-experienced consultants, provided feedback on all proposals during February. While the quality of concept notes varied, they were in general of a higher quality than the proposals in the 2011 round. In the process of giving feedback, the Secretariat identified the following common issues in a number of the proposals. These can be incorporated into guidance and training for any future rounds of the Global Call.

1. The problem analysis either not mentioning or not being linked to the SAI's Strategic Plan.
2. Purpose, outcomes and outputs not set at appropriate levels (purpose too generic and high level, outcomes set at the output level).
3. Limited and weak recognition of the assumptions and risks inherent in the initiative.
4. Lack of identification of phasing and mid-term reviews for long term projects.
5. External implementing partners asked to deliver the outputs (e.g. develop manuals) rather than facilitate the SAI to do this, and/or lack of clarity on how the SAI and implementing partners will work together and share responsibilities.
6. Concept note focuses entirely on professional capacity development (e.g. training), without being clear on how this will lead to organizational capacity development and performance change at the SAI level.
7. Indicators are actually objectives, rather than 'the thing that will be measured', and the source of data for the indicators is unclear.
8. There is no proposal on how the project (and indicators) will be monitored.
9. The link from problem-purpose-outcome-output-activity is not logical, and/or there are things included in the purpose and outcome level which are not addressed by any of the proposed outputs and activities.
10. Other support being received by the SAI, especially participation in relevant global and regional initiatives, is not identified and/or the necessary coordination arrangements are not considered.