
Study on the Collaboration between SAIs and ACAs in six East- African Countries & Development of a Collaboration Framework for SAIs and ACAs	Project number/ cost centre: 17.2088.7.-007.00
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0. List of abbreviations

AUC	African Union Commission
AVB	General Terms and Conditions of Contract (AVB) for supplying services and work 2018
ACA	Anti-Corruption Authority
AFROSAI	African Organization of Supreme Audit Institutions
AFROSAI-E	African Organization of English-speaking Supreme Audit Institutions
BMZ	German Federal Ministry for Economic Cooperation and Development
COSP	Conference of the State Parties
EAAACA	East-African Association of Anti-Corruption Authorities
ETIM	AUC Department for Economic Affairs, Trade, Industry and Mining
GFG	Good Financial Governance
GIZ	Gesellschaft für internationale Zusammenarbeit
GCSP	Strengthening Governance and Civil Society Programme
IG	Inspectorate of Government
IFF	Illicit Financial Flows
INTOSAI	International Organization of Supreme Audit Institutions
ISSAIs	INTOSAI Standards for Supreme Audit Institutions
PPDA	Public Procurement and Disposal of Public Assets Authority of Uganda
SAC	Strengthening Accountability Component
SAI	Supreme Audit Institution
ToRs	Terms of reference
UNCAC	United Nations Convention Against Corruption
UNODC	United Nations Office on Drugs and Crime

1. Context

The GFG in Africa programme promotes transparency and accountability in public financial management. It is implemented by the *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH* on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ). The programme supports African networks of revenue authorities, ministries of finance, external audit agencies and parliaments in the areas of taxation, budgeting, auditing and oversight. One of its main partners is the African Organisation of Supreme Audit Institutions (AFROSAI), a pan-African network of Supreme Audit Institutions (SAIs) with the aim of strengthening the capacities of its member institutions. AFROSAI-E is the English language sub-group under the AFROSAI structure. Furthermore, the programme is co-financed by the European Union and the Ministry of Foreign Affairs of Finland in the context of a Multi-Donor Action. The Multi-Donor Action aims to combat illicit financial flows (IFF) in Africa. To this end it works with the programme's implementing partners, the aforementioned pan-African public finance networks and the African Union Commission (AUC) – Department for Economic Affairs, Trade, Industry and Mining (ETIM).

In Uganda, GIZ implements the Strengthening Governance and Civil Society Programme (GCSP) which includes the Strengthening Accountability Component (SAC). SAC supports the collaboration between the SAI, the Anti-Corruption Authority (ACA) and the procurement authority (PPDA) in Uganda. The collaboration has been in place since 2014. In 2021 the heads of institutions signed a 5-year collaboration strategy to further enhance the collaboration.

AFROSAI-E is a member-based institution with 26 Auditors-General from English and Portuguese-speaking African countries making up the Governing Board. The organisation was established in 2005 with the shared vision to make a difference in the performance of its member Supreme Audit Institutions (SAIs). A Secretariat was established to support the 26 member SAIs in Africa with capacity building initiatives to fulfil their mandates. The Secretariat is hosted by a member SAI (currently the Auditor General of South Africa) and the head of that SAI has an oversight responsibility in terms of article 11(3) of the Statutes and reports to the Governing Board on an annual basis. The Secretariat, which is based in Pretoria, South Africa, is made up of 23 permanent staff members. The Secretariat is led by a Chief Executive Officer appointed by the Governing Board. Through capacity building interventions, the Secretariat empowers members to optimise their audit performance to comply with the Standards for Supreme Audit Institutions (ISSAIs) of the International Organization of Supreme Audit Institutions (INTOSAI) and to strengthen their institutional capacity to effectively implement their mandate.

The Eastern Africa Association of Anti-Corruption Authorities (EAAACA) was formed in 2007. The organization has 8 member countries in East Africa. The EAAACA secretariat is currently hosted by the Inspectorate of Government (IG), the biggest ACA in Uganda. The objective of EAAACA is to promote and facilitate regional cooperation, mutual legal and technical assistance in the prevention and combating of corruption in the region, to share information, hold trainings and carry out joint research.

The Conference of the State Parties (COSP) is the main policy making body of the United Nations Convention Against Corruption (UNCAC). The COSP gives policy guidance to the United Nations Office on Drugs and Crime (UNODC) to develop and implement anti-corruption activities. At the 8th COSP in December 2019 in Abu Dhabi, a declaration was endorsed to enhance the collaboration between SAIs and ACAs to more effectively prevent and fight corruption (Resolution 8/13).

Against this backdrop, AFROSAI-E, EAAACA and GIZ came together in March and April 2022 for a brainstorming and planning workshop aimed at fast-tracking the implementation of the above-mentioned resolution on the collaboration between SAIs and ACAs. The workshop participants agreed that the first priority was to assess the state of collaboration between SAIs and ACAs before moving on to developing a collaboration framework to strengthen the effectiveness of national anti-corruption efforts. The organizations agreed to focus on the six (6) countries in East Africa which share membership in AFROSAI-E and EAAACA. These are Ethiopia, Kenya, Rwanda, South Sudan, Tanzania, Uganda. These six countries all follow the Westminster model (also referred to as parliamentary model) of SAIs. The shared membership allows AFROSAI-E and EAAACA to leverage their relationships with their members for the effective implementation of this collaboration between the two organizations.

The primary objective the research is attempting to realize is **to establish the state of collaboration between SAIs and ACAs in East Africa by identifying enabling and limiting factors so that a framework for effective collaboration between SAIs and ACAs in fighting corruption and enhance accountability can be developed.**

AFROSAI-E and EAAACA have established a technical working group of focal points from SAIs and ACAs in each of the 6 countries, hence making a total of 12 focal points. This is complemented with one technical representative each from the secretariats of AFROSAI-E and EAAACA. Furthermore, two GIZ technical advisors (GFG in Africa and GCSP in Uganda) are supporting the technical working group in carrying out their work.

The preliminary results of the research shall first be presented at the AFROSAI-E technical update (an annual technical conference) in Durban, South African between the 17th and 21st of October. In November 2022, the results shall also be presented and discussed at the EAAACA Annual General Meeting in Bujumbura, Burundi.

After the identification of enabling and limiting factors, the contractor will facilitate the development of a collaboration framework for SAIs and ACAs in close partnership with the technical working group.

2. Tasks to be performed by the contractor

Phase I – Research (90 expert days)

To achieve the aforementioned research objective, the research of the contractor shall be led by the following questions in Phase I of the assignment:

1. To what extent do SAIs and ACAs collaborate in preventing and fighting corruption formally and informally?
2. To what extent and to what end do SAIs and ACAs exchange information?
3. What are the enabling and limiting factors for cooperation between ACAs and SAIs?
4. Which other state actors are involved in the fight against corruption?

The above research questions pertain to the six selected countries mentioned in the introduction. In Phase II of the assignment, the contractor shall be guided by the question below:

5. What are the key components of an effective collaboration framework for ACAs and SAIs?

In the first phase of the assignment, the contractor shall carry out the following tasks:

1. Inception phase

- a. Literature review (incl. documents provided by AFROSAI-E, EAAACA and GIZ, e.g. the organization's strategic plan, the UNODC draft SAI-ACA guidelines, etc.)
- b. Interviews with the technical working group, management and technical staff of AFROSAI-E and EAAACA, the responsible GIZ technical advisors and other relevant experts
- c. Development of a research proposal which further develops the original research objective and research questions. The proposal shall outline the envisioned research methodology, scope and timelines.

2. In-country research

- a. The contractor shall work concurrently in the six selected countries at the same time to meet the envisioned timeline.
- b. Through the facilitation of the nominated focal points for the technical working group, the contractor shall have one combined inception meeting per country with the heads of institution before commencing his research.
- c. The contractor shall conduct interviews with management and technical staff of SAIs and ACAs in the respective countries. Furthermore, the contractor shall identify other relevant bodies involved in the countries' anti-corruption framework.
- d. The contractor shall apply other methods as outlined and agreed on in the research proposal, e.g. process tracing, document reviews, etc.
- e. Throughout the process, the contractor shall liaise closely with the focal points from the SAIs and ACAs at country level
- f. The contractor shall consider the following dimensions:
 - i. Existence and functioning of a referral mechanism between SAIs and ACAs (and possibly other state actors involved in the fight against corruption)
 - ii. Nature and frequency of formal exchanges between the two institutions
 - iii. Degree of informal working relationships between SAIs and ACAs at managerial and technical level
 - iv. Political willingness and buy-in from the leadership of the organizations to collaborate
 - v. Existence of collaborative audits or joint investigations
 - vi. Degree of (real time) information sharing allowing for complementary gathering of evidence and documentation
 - vii. Existence of a shared strategic framework developed jointly by SAIs and ACAs
 - viii. Individual and organizational capacity needs
 - ix. Mutual understanding of each other's roles and responsibilities
 - x. Public awareness on the respective roles, mandates and collaboration
 - xi. Legal and regulatory framework conditions
 - xii. The contractor shall go beyond the aforementioned dimensions which are not exhaustive. They are encouraged to identify additional areas of collaboration.

3. Data analysis and report writing

- a. The contractor shall analyse the in-country data, systematize the information gathered, identify enabling and limiting factors for collaboration, identify success stories and compile good practices for collaboration
- b. A draft report shall be written and shared as preliminary research findings with the technical working group.

4. Validation workshop

- a. Develop a workshop concept and agenda (conducted face to face) which will take place in one of the six participating countries or South Africa. The workshop objectives are:
 - i. Research results are presented and discussed.
 - ii. Participants validate results and/or identify gaps in the research process and results.
 - iii. Participants discuss implications, lessons learnt in the context of enablers and limiting factors.
 - b. The contractor shall moderate the entire workshop and make use of interactive facilitation methods.
 - c. Participants' feedback throughout the workshop shall be systematically documented.
 - d. The workshop shall take between 3 – 5 days.
 - e. A presentation summarizing the research results as well as the feedback from the technical working group will be shared with AFROSAI-E, EAAACA and GIZ. This will be the basis for the presentation of the results at the AFROSAI-E Technical Update and the EAAACA Annual General Meeting in October and November respectively.
5. Finalization of study
- a. The contractor will be provided with feedback from the AFROSAI-E Technical Update and EAAACA Annual General Meeting.
 - b. Based on all collected feedback, the contractor shall close gaps in his research including through direct engagements with country representatives. This shall be done virtually.
 - c. The final research study, the synthesis report and the PowerPoint presentation shall be prepared and submitted to AFROSAI-E, EAAACA and GIZ.

Phase I Deliverables:

- Comprehensive research in line with state-of-the-art research methodologies and referencing (maximum of 60 pages excl. references)
- A synthesis report (maximum of 10 pages excl. cover page) summarizing the results from the research
- A PowerPoint presentation summarizing the research process and results and recommendations

Phase II – Development of Collaboration Framework (50 days)

The collaboration framework shall take the form of a concise guideline complemented with a toolkit for the use of both SAIs and ACAs. In the second phase of the assignment, the contractor shall carry out the following tasks:

6. Implementation of the development workshop
 - a. Draft a concept and agenda for a workshop with the technical working group to develop the SAI-ACA collaboration framework based on the results from the research and inputs gathered at the AFROSAI-E and EAAACA conferences. The participation of other relevant experts is subject to discussion.
 - b. The workshop shall take no longer than five days and will take place in one of the six participating countries or South Africa.
 - c. Moderate the workshop in an interactive, open, fair and engaging manner. All inputs shall be captured systematically.
7. Development of the collaboration framework:

- a. Based on the results from the initial workshop, develop a first draft of the collaboration framework in form of a SAI-ACA guideline and toolkit (as outlined under deliverables below).
- b. Present the first draft of the collaboration framework to the technical working group and incorporate the feedback accordingly.
- c. Present the second draft of the collaboration framework to the leadership of AFROSAI-E and EAAACA and incorporate the feedback accordingly.

Phase II Deliverables:

- SAI-ACA collaboration guideline
 - A guideline of 10 pages (approx. 350 word per page; excl. cover page) that expounds on the results of the research
 - Discusses the implications of the research and provides clear recommendations
 - Makes use of innovative figures and graphs
 - The guideline shall be of use for both, SAIs and ACAs. Furthermore, it should also function as guidance for external partners looking at strengthening this specific nexus in combating corruption.
- SAI-ACA toolkit
 - A practical toolkit of 20 pages (approx. 350 word per page; excl. cover page) which provides examples from the six pilot countries (and possibly beyond if available)
 - Provides SAIs and ACAs alike with instruments that strengthen their collaboration in combating corruption.
- Country implementation roadmaps
 - Based on the guideline, toolkit and research results for each country, the contract shall develop implementation roadmaps for each country.
 - These roadmaps shall provide GIZ with clear recommendations for the steps needed for the implementation of the collaboration frameworks.
 - Country specific roadmaps are needed as baselines and capacities per country may vary.
- A two-page factsheet summarizing the collaboration between AFROSAI-E and EAAACA, the GIZ support and key recommendations for improved SAI-ACA collaboration

The service provider will regularly report to the core group (GIZ, AFROSAI-E and EAAACA) and also present updates to the entire technical working group.

Certain milestones, as laid out in the table below, are to be achieved by certain dates during the contract term, and at particular locations:

Milestone	Deadline/place/person responsible
Submission of Inception Report & presentation to the core group	3 weeks after contract signing
In-country research: data collection in six East-African countries	7 weeks after contract signing
Analysis of preliminary results & submission of draft report to the core group	9 weeks after contract signing
Validation workshop of preliminary results and agreement on next steps	11 weeks after contract signing

Finalization of research paper and submission to AFROSAI-E, EAAACA and GIZ	16 weeks after contract signing
Development workshop for collaboration framework	20 weeks after contract signing
First draft of SAI-ACA collaboration framework defined	24 weeks after contract signing
Final draft of SAI-ACA collaboration framework developed and submitted	28 weeks after contract signing

Period of assignment: From 12.09.2022 until 31.07.2023.

3. Concept

In the bid, the bidder is required to show how the objectives defined in Chapter 2 are to be achieved, if applicable under consideration of further specific method-related requirements (technical-methodological concept). In addition, the bidder must describe the project management system for service provision.

Technical-methodological concept

Strategy: The bidder is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1). Following this, the bidder presents and justifies the strategy with which it intends to provide the services for which it is responsible (see Chapter 2).

The bidder is required to present the actors relevant for the services for which it is responsible and describe the **cooperation** with them.

The bidder is required to present and explain its approach to **steering** the measures with the project partners and its contribution to the results-based monitoring system.

The bidder is required to describe the key **processes** for the services for which it is responsible and create a schedule that describes how the services according to Chapter 2 are to be provided. In particular, the bidder is required to describe the necessary work steps and, if applicable, take account of the milestones and contributions of other actors in accordance with Chapter 2.

The bidder is required to describe its contribution to knowledge management for the partner and GIZ and promote scaling-up effects (**learning and innovation**).

Other specific requirements

In their technical proposal, bidders shall present their strategies to ensure consistent buy-in from all parties involved: the two regional organizations AFROSAI-E and EAAACA as well as the nominated focal points from their members.

Project management of the contractor

The bidder is required to explain its approach for coordination with the GIZ project.

- The contractor is responsible for selecting, preparing, training and steering the experts (international and national, short and long term) assigned to perform the advisory tasks.

The bidder is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the bid; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

The bidder is required to describe its backstopping concept. The following services are part of the standard backstopping package, which (like ancillary personnel costs) must be factored into the fee schedules of the staff listed in the bid in accordance with section 5.4 of the AVB:

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between GIZ and field staff
- Process-oriented technical-conceptual steering of the consultancy inputs
- Securing the administrative conclusion of the project

4. Personnel concept

The bidder is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 7), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points.

Team leader

Tasks of the team leader

- The team leader will be responsible for the implementation of all tasks and deliverables, the overall coordination and quality assurance.
- Liaise closely and ensure regular communication with GIZ, AFROSAI-E and EAAACA as well as the technical working group to provide regular updates.
- Ensure that the consultancy team is available to commence work immediately
- Take full responsibility of data collection and analysis.
- Monitor the tasks being performed and provide technical guidance on data quality and the write up.
- Personnel management
- Regular reporting in accordance with deadlines

Qualifications of the team leader

- Education/training (2.1.1): University qualification (German 'Diplom'/Master) in Social Sciences, Public Administration, Economics, Political sciences or another field relevant to the subject of the assignment
- Language (2.1.2): Good business language skills in English
- General professional experience (2.1.3): 10 years of professional experience in the field of governance and/or accountability
- Specific professional experience (2.1.4): 5 years in scientific social sciences research
- Leadership/management experience (2.1.5): 5 years of management/leadership experience as project team leader or manager in an organization
- Regional experience (2.1.6): 5 years of experience in projects in Sub-Saharan Africa

- Development Cooperation (DC) experience (2.1.7): 3 years of experience in DC projects
- Other (2.1.8): 3 years of experience in the facilitation and moderation of workshops

Short-term expert pool with minimum 1, maximum 4 members

Tasks of the short-term expert pool

- Support the team leader in all aspects of the assignment
- Carry out in-country research under guidance of the team leader

Qualifications of the short-term expert pool

- Education/training (2.6.1): up to 4 experts, each with university qualification (German 'Diplom'/Master) in Social Sciences, Public Administration, Economics, Political sciences or another field relevant to the subject of the assignment
- Language (2.6.2): up to 4 experts, each with very good language skills in English
- General professional experience (2.6.3): up to 4 experts, each with at least 5 years of professional experience in the area of governance and accountability
- Specific professional experience (2.6.4): up to 4 experts, each with at least 3 years in scientific social sciences research
- Regional experience (2.6.5): up to 4 experts, each with at least 3 years of experience in Sub-Saharan Africa
- Other (2.6.7): 3 years of experience in the facilitation and moderation of workshops

The bidder must provide a clear overview of all proposed short-term experts and their individual qualifications.

5. Costing requirements

Assignment of personnel

The assignment is expected to take a total of up to 140 expert days spanning across a period of up to seven (7) calendar months from the date of signing of the contract.

The bidder is requested to specify how the total number of expert days for the assignment will be distributed among the members and the days should not exceed the numbers indicated below:

- Team-leader: up to 40 expert days
- Short-term expert pool: up to 100 expert days

The specification of distribution of expert days should also indicate at what location the expert days will be used. Up to 72 expert days can be used for in-country work.

Travel

The bidder is required to calculate the travel by the specified experts and the experts it has proposed based on the places of performance stipulated in Chapter 2 and list the expenses separately by daily allowance, accommodation expenses, flight costs and other travel expenses.

Workshops, training

The contractor implements the following workshops:

- Research results validation workshop (as per (4) in Chapter 2)
- Collaboration framework development workshop (as per (6) in Chapter 2)

Other costs

- Visa costs
- PCR tests

Flexible remuneration item

Where a flexible remuneration item is contractually agreed, the contract shall be permitted to exceed the contractually agreed quantities up to the amount of the flexible remuneration item, taking into account the contractually agreed individual rates and bases for invoicing. For all items agreed in the contract, a budget of max. 7.000 EUR is defined as a flexible remuneration item in the price sheet.

Use of the flexible remuneration item must be approved in writing by GIZ before the costs in question are incurred.

6. Inputs of GIZ or other actors

GIZ is expected to make the following available:

- Logistics (venue, workshop materials, itineraries for participants, etc.) for the first validation workshop and the collaboration framework development workshop

7. Requirements on the format of the bid

The structure of the bid must correspond to the structure of the ToRs. In particular, the detailed structure of the concept (Chapter 3) is to be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). It must be legible (font size 11 or larger) and clearly formulated. The bid is drawn up in English.

The complete bid shall not exceed 10 pages (excluding CVs).

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages. The CVs must clearly show the position and job the proposed person held in the reference project and for how long. The CVs can also be submitted in English.

If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment.

Please calculate your price bid based exactly on the aforementioned costing requirements. In the contract the contractor has no claim to fully exhaust the days/travel/workshops/ budgets. The number of days/travel/workshops and the budget amount shall be agreed in the contract as 'up to' amounts. The specifications for pricing are defined in the price schedule.

8. Other Requirements

- Please submit your proposal (technical and price proposal) in separate files/folder to ZA_Quotation@giz.de no later than **29th August 2022** all documents must be in PDF.
- Please do not mention any price for this measure on your cover letter/Technical proposal.
- Please submit your tax clearance certificate with the bidding documents.
- Please submit your price proposal in ZAR.
- Our General Terms of Conditions (attached) shall not be changed/amended should you be the winner of this tender. These General Terms and Conditions will form part of the contract should you be awarded this contract. By submitting your proposal, we will conclude that you have read and accepted these terms and conditions.
- Participating more than once in same tender is not allowed and it will lead to your proposal as well as that of the company where you appear more than once being disqualified. The responsibility rests with the companies to ensure that their partners/experts are not bidding/participating more than once in same tender.
- **Bidders are not allowed to communicate directly with any other person regarding this bid other than the procurement official/s. Failure to comply with this requirement may lead to your bid being disqualified.**
- Bidders must strictly avoid conflicts with other assignments or their own interests. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this EOI and tender process, if they:
 - a) are or have been associated in the past, with a firm or any of its affiliates which have been engaged by GIZ or the Interim Supply Chain Management Council to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the services in this selection process;
 - b) were involved in the preparation and/or design of the programme/project related to the services requested under this EOI and tender;
 - c) are serving or have been serving in the past three months in the structures of the Interim Supply Chain Management; or
 - d) are found to be in conflict for any other reason, as may be established by, or at the discretion of GIZ.

Scientific data

In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to GIZ, and seek GIZ's confirmation on whether or not such a conflict exists.

- Similarly, the Bidders must disclose in their proposal their knowledge of the following:
 - a) if the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of GIZ staff involved in the procurement functions and/or the Interim SCM Council or any Implementing partner receiving services under this EOI or tender; and
 - b) all other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.
- **Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.**
- **Questions & Answers will be placed on the link provided.**
- **Bids sent via Dropbox and WeTransfer will not be accepted.**

9. Annexes

AFROSAI-E and EAAACA Research Planning Workshop Report