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Sida Decentralised Evaluation

NIRAS Sweden AB

# Final Evaluation of the support contribution to Superior Authority of State Control – fighting against corruption in Burkina Faso

Final Report



Final Evaluation of the support contribution  
to Superior Authority of State Control  
– fighting against corruption in Burkina Faso

**Final Report**  
**November 2022**

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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# Abbreviations and Acronyms

ALT	Assemblée Législative de Transition
ANLF	Association Nationale de Lutte contre la Fraude
ARCOP	Autorité de Régulation de la Commande Publique
ASCE-LC	Autorité supérieure de contrôle de l'état et de lutte contre la corruptions
CENTIF	Cellule Nationale de traitement des Informations Financières
CGEA	Contrôleur Général d'Etat d'Adjoint
CGD	Centre pour la Gouvernance Démocratique
CIFOEB	Centre d'Information, de Formation et d'Études sur le Budget
CNT	Conseil National de Transition
CORE	Comité de Revue
CSO	Civil Society Organisation
DDIP	Direction des Déclaration d'Intérêt et du Patrimoine
DGEP	Direction Générale de l'Economie et de la Planification
DIP	Déclaration d'intérêt et du patrimoine
EU	European Union
GRES	Gender Results Effectiveness Scale
IGD	Institut Général Tiémoko Marc Garango
IGF	Inspection Générale des Finances
LEJPAD	Leadership des jeunes pour la paix et le développement en Afrique
M&E system	Monitoring and evaluation system
MINEFID	Ministère de l'économie et des finances
ODJ	Organisation Démocratique de la Jeunesse
OECD-DAC	Organisation for Economic Co-operation and Development - Development Assistance Committee
PAE	Plan d'Action Elargi
PAGPS	Programme d'Appui à la Gestion Publique et aux Statistiques
PGEPC	Programme de Gouvernance Economique et de Participation Citoyenne
PMU	Project Management Unit
REN-LAC	Réseau national de lutte anti-corruption
ToR	Terms of reference
UGP	Unité de gestion du Projet
UNDP	United Nations Development Programme
UNODC	United Nations Office on Drugs and Crime
WB	World Bank

# Preface

The Swedish Embassy in Burkina Faso (hereafter, the Swedish Embassy) commissioned this evaluation of the *Support to the Superior Authority of State Control – fighting against corruption in Burkina Faso* during the 2017-2021 period.

The evaluation was undertaken between June and November 2022. It was conducted by:

- Raphaëlle Bisiaux, Team Leader;
- Bala Wenceslas Sanou, National Evaluator;
- Charlotte Vaillant, Senior Advisor; and
- Christina Paabøl Thomsen, Project Manager.

Quality Assurance advice was provided by Goberdhan Singh. The NIRAS evaluation team was responsible for ensuring compliance with NIRAS' Quality Assurance system.

# Executive Summary

## Background

NIRAS was contracted by the Embassy of Sweden in Burkina Faso to conduct an evaluation of their support to the Superior Authority of State Control – fighting against corruption in Burkina Faso – during the 2017-2021 period.

The Superior Authority for State Control and the Fight against Corruption (l’Autorité Supérieure de Contrôle d’Etat et de Lutte contre la Corruption – ASCE-LC ) is a public institution responsible for **state control and fighting corruption in Burkina Faso**. It coordinates the actors involved in this fight, and has the status of an independent administrative authority, endowed with financial autonomy.

In 2017, at the request of the Government of Burkina Faso, Sida approved funding for institutional and organizational support for the ASCE-LC. The project intended to contribute to the achievement of the following *ultimate outcome*:

*The level of corruption in Burkina Faso is reduced. Through the development of operational tools for the ASCE-LC, capacity building for the various professions and the development of the communication function, the project aims to contribute to reducing the level of corruption in Burkina Faso.*

This ultimate outcome was expected to be achieved through *three levers*, **(1)** the design and implementation of **operational tools** for human resources management and **management tools** for control and the fight against corruption; **(2)** the **professional training** of newly recruited State Controllers in audit and control, the retraining of State Controllers already in post in fundamental training on the themes of investigation and management of declarations of interest and assets; and **(3)** the implementation of a **communication strategy** aimed at preventing corruption and increasing the visibility of the Supreme State Control and Anti-Corruption Authority.

Two *intermediary results* were expected to contribute to the achievement of the ultimate outcome:

- 1) The professionalization of ASCE-LC’s control and anti-corruption missions is improved.
- 2) Increased prevention of corrupt practices and similar offenses in public administrations.

## Relevance

By focusing on organizational needs, material needs (e.g., IT equipment), and the development of reference documents (e.g., guiding documents, orders, decrees, memorandum) and a communication strategy to support the ASCE-LC in its mission, **the different components of the support project responded to the needs identified.**

Nevertheless, **the different trades within the organization should have been more involved in the assessment of needs and in the design of activities.** The PMU organized trainings and activities for *all* ASCE-LC staff, without specific targeting or prior analysis of the State Controllers' skills and competences. In addition, the activities were primarily geared towards building the capacity of the different professional bodies at the ASCE-LC. The **administrative and support staff** at the ASCE-LC was not involved enough in the design of the project, nor considered as beneficiaries, which was an important gap in the support project.

## Coherence

Collaborating and strengthening the capacity of ASCE-LC partners was a central part of the support project. **Awareness-raising and prevention activities were entrusted to civil society organizations** through service provider agreements. As part of the elaboration of the next National Anti-Corruption Strategy, **civil society organizations were involved in consultations and discussions** about the strategic aspects and opportunities for collaboration in the fight against corruption in Burkina Faso.

While there is ample evidence of the coordination that took place between civil society organizations working in the sector and the ASCE-LC support project, it is less clear whether the project had an influence on fostering collaboration between the ASCE-LC, the Court of Auditors and National Audit Office (IGF), and enhancing coordination with other government bodies.

## Coordination

An *extended action plan* (Plan d'Action Elargi), adopted in 2019, brought together the financial contributions of the Swedish cooperation, the Delegation of the European Union, and the Swiss Cooperation Office in Burkina Faso<sup>1</sup>. The plan helped avoid duplication and supported a **better allocation of resources to support the institutional and organizational development** of the organization.

By contrast, the Economic Governance and Citizen Participation Project (PGEPC) funded by the World Bank was not integrated or embedded in the overall support to the ASCE-LC's organizational development.

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<sup>1</sup> The project initially funded by the Swedish Embassy was expanded with the European Union external action agreement contract FED /2018/402-638 of June 27, 2019. The Swiss Cooperation Office also expressed its intention to contribute to the project, which is reflected in the 2019 extended action plan.

### Effectiveness

The ASCE-LC can be considered a stronger organisation, with better systems and procedures in place compared to the situation in 2017 prior to the support project. Trainings have built the capacities of State Controllers, which in turn has led to more professional reports written on investigation and auditing, but also a stronger monitoring and analysis of the financial statements of state companies, and a better management of complaints received.

The increased visibility of the ASCE-LC is noticeable through the number of **complaints brought to the organization**. In addition, more in-depth and thorough investigations and a better collaboration with the Justice Department have led to the actual **sanction of some perpetrators of acts of corruption**, which in turn has enhanced the image of the ASCE-LC as an effective institution fulfilling its mission.

Unfortunately, the M&E system put in place by the project focused on monitoring implementation and capturing project progress at output level (i.e., implementation of activities from the activity plan) rather than reporting on outcomes and results. Without a comprehensive and effective M&E system, the management team did not have adequate evidence to inform their decisions about the strategic direction of the project.

### Efficiency

The slow start of project implementation was due to the delay in developing and approving the administrative, financial and accounting procedures manual in 2018 and 2019 and the **late appointment of key functions and personnel** (i.e., accountant, finance director, procurement officers) made it impossible to approve contracts for the various components during the first half of 2018.

Efficiency was also affected in subsequent years by the **difficulty to secure the right service providers and competencies** for carrying out the project activities. Finally, the **lack of availability of State controllers due to a busy schedule** also meant that certain capacity building sessions could not take place as expected during the project.

### Sustainability

The **development of working tools** for the use of the professional staff and the **strengthening of internal expertise** are key elements of sustainability for the project achievements. Guides and manuals are working tools that can be used by all (current and future) State Controllers, and the newly acquired capabilities and skills are applied by State Controllers in the exercise of their missions.

However, concerns have been voiced regarding the **institutional anchoring of the project within the ASCE-LC** and its potential impact on sustaining benefits. Without (1) proper communication with and involvement of the State Controllers, (2) ownership of the project in the organisation, and (3) clarifications of the position of the PMU in the hierarchy, the ASCE-LC might not have the right structure in place to ensure a continuation of the benefits as the project ends.

Finally, the capacity of the ASCE-LC to access its **budgetary allocation** from the Government of Burkina Faso in the coming years will be crucial for the organisational development of the institution and its ability to sustain the benefits of the project.

### **Lessons learned**

Trainings accompanied by **coaching in the field** enabled a better appropriation of the content of trainings.

**Institutional collaboration with civil society organizations** helped the ASCE-LC achieve better visibility and stronger coordination of the efforts towards fighting corruption.

The lack of **institutional anchoring of the project within the ASCE-LC** was detrimental to the design and implementation of support activities, which will likely have a negative impact on the ability of the organisation to sustain benefits. Internal communication about the project and involvement of participants when assessing needs and opportunities are crucial elements of successful capacity building and organisational development activities.

Finally, **flexible budgeting** is important for planning purposes and enabling a better allocation of resources across activities – especially if some activities have been underbudgeted in the project proposal.

### **Recommendations**

#### *For the ASCE-LC*

- 1) Start by assessing the skills and expertise of staff members in each department, and list the challenges and opportunities they still face after the previous project.
- 2) The elaboration and implementation of a potential next phase of the project should involve each department and include support staff.
- 3) Review the institutional anchoring of the project by entrusting the execution directly to the ASCE-LC and organise internal project coordination in a way that State Controllers are involved in carrying the project.
- 4) Emphasize the training of State Controllers in specific areas to ensure more in-depth professionalisation and specialisation in each area of expertise.
- 5) Engage a discussion around the utility of the M&E system in its current form and assess whether focusing on outcome level indicators could be relevant for informing decisions about the project, the organisation and its strategic direction.

#### *For Sida*

- 1) Sida should consider funding another phase of organisational and institutional development support for the ASCE-LC.
- 2) Further funding to the ASCE-LC should align with the organisation's strategic plan for the coming period (2021-2025).

- 3) The next funding phase should take into account the current security and political context, and plan for possible future scenarios in collaboration with the ASCE-LC.
- 4) Set up a more flexible budget to ensure that budget lines are not fixed and that the budget can be used flexibly to respond to needs.
- 5) Coordinate the next funding phase through an extended action plan.

# 1 Introduction

## 1.1 BACKGROUND

NIRAS was contracted by the Embassy of Sweden in Burkina Faso to conduct an evaluation of their support to the Superior Authority of State Control – fighting against corruption in Burkina Faso – during the 2017-2021 period. The evaluation ran from June to November 2022 and was conducted by:

- Raphaëlle Bisiaux, Team Leader;
- Bala Wenceslas Sanou, National Evaluator;
- Charlotte Vaillant, Senior Advisor;
- Goberdhan Singh, Quality Assurance Advisor; and
- Christina Paabøl Thomsen, Project Manager.

## 1.2 PURPOSE AND OBJECTIVES

The Terms of Reference (ToRs) describe the purpose of the evaluation as “*highlighting the organizational and institutional<sup>2</sup> progress and achievements of the ASCE-LC through the project’s support*” and “*assessing the progress made in the fight against corruption<sup>3</sup> through the organizational and institutional strengthening of the ASCE-LC*” (p. 3). The evaluation should also enable the ASCE-LC to “*learn from what works well and less well*”.

As such, this evaluation focuses on both *accountability* (what has been achieved in relation to inputs, outputs and outcomes) and *learning* (what worked and can be applied going forward). Key learnings from the evaluation will assist in the design of future ASCE-LC projects, and possibly support the organization to formulate a new proposal in line with (1) the objective to reduce corruption and (2) the Swedish cooperation strategy to support the efforts of actors in the fight against corruption in Burkina Faso.

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<sup>2</sup> We understand ‘organizational’ to refer to the organization, its staff, their respective roles and functions, and their competences. We understand ‘institutional’ to refer to the institution, its statutes and its existence beyond its staff.

<sup>3</sup> We would like to draw attention to the fact that there could be some progress made in the fight against corruption (more investigations, sanctions, raised awareness, etc.); yet this may not necessarily lead to reduced levels of corruption in the country – as corruption does not necessarily go down as a result of sanctions.

The **objectives of the evaluation** were:

- 1. Provide lessons to ASCE-LC on the results achieved** and the relevance of the approaches developed for the fight against corruption through the implementation of this project.
- 2. Provide the Swedish Embassy and its partners with an input to upcoming discussions** concerning the preparation of a possible new phase of intervention on support to the anti-corruption authority.
- 3. Help the Swedish Embassy to assess progress** of its portfolio of projects/programmes to inform strategic decision making.

In line with the ToRs, the OECD-DAC evaluation criteria retained for this evaluation were:

- **Relevance** of the support to ACSE-LC in terms of targeted beneficiaries' needs, policy priorities and national development objectives;
- **Coherence** of the support with other interventions in the country, sector and organisation;
- **Coordination** of the support to ASCE-LC with support provided by other donors;
- **Effectiveness** of the support with regards to its objectives and appropriateness of the information delivered by the M&E system to support implementation and learning;
- **Efficiency** in the use of resources; and
- **Sustainability** of the benefits in the future.

### 1.3 EVALUATION USERS

Our evaluation team contributed to and facilitated discussions so that the findings, conclusions and recommendations of the evaluation are concrete, specific and actionable for the different intended users of the evaluation.

#### *Funders/ donors*

- The Swedish Embassy in Burkina Faso
- Donors operating in the same space (EU, WB, Swiss Cooperation Office, UNODC, UNDP and Geneva Centre for Security Sector Governance (DCAF))

#### *Implementers*

- The project management team of project support to ASCE-LC
- Project implementers (e.g., FCG Sweden, Yons Associates, independent consultants)

#### *Project participants and beneficiaries*

- ASCE-LC staff
- The Ministry of Economics and Finances of Burkina Faso (MINEFID), Cour des Comptes and Inspection générale des finances (IGF)

- Citizens of Burkina Faso involved in ASCE-LC activities (e.g., populations reached through communication activities)

### *Government/ public actors*

- Government of Burkina Faso
- Other ministries and institutions involved in the fight against corruption (Inspections techniques des services des ministères (ITS); Inspection technique du budget and inspection technique des impôts; Autorité nationale de lutte contre la fraude (ANLF); Cellule nationale de traitement des informations financières (CENTIF); Autorité de régulation de la commande publique (ARCOP))
- Local authorities and decentralised services
- High level civil servants and politicians required to declare assets and conflicts of interests

### *Civil society actors*

- Réseau national de lutte anti-corruption (REN-LAC)
- Chefferie traditionnelle du Burkina
- Religious leaders
- National and local CSOs

The detailed results of the stakeholders mapping exercise are available in Annex 3.

## 1.4 EVALUATION QUESTIONS

During the inception phase, the evaluation team created an **evaluation matrix** tailored for this evaluation (Annex 4). This includes the evaluation questions organized by OECD-DAC evaluation criteria, indicators for assessment, what data collection methods will be used and the source of information, including the reliability of the information.

Below we list the overarching evaluation questions that served as a guide during the evaluation.

### *Relevance*

To what extent has the intervention objectives and design responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out?

### *Coherence*

How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?

### *Coordination*

To what extent have the interventions of different actors particularly the donors been harmonised?

### *Effectiveness*

To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?

Have the M&E (Monitoring and Evaluation) system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning? To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

### *Efficiency*

To what extent has the intervention delivered, or is likely to deliver, results in an economic and timely way?

### *Sustainability*

To what extent will the net benefits of the intervention continue, or are likely to continue?

## 2 Support to the ASCE-LC

### 2.1 CONTEXT

The Superior Authority for State Control and the Fight against Corruption (l’Autorité Supérieure de Contrôle d’Etat et de Lutte contre la Corruption – ASCE-LC<sup>4</sup>) is a **public institution responsible for state control and fighting corruption in Burkina Faso**. It coordinates the actors involved in this fight, and has the status of an independent administrative authority, endowed with financial autonomy.

The *mandate* of the institution is as follows:

- To coordinate the implementation of the general system of risk management, audit and internal control in the State administration;
- To develop a reference framework for audit and internal control in the State administration and ensure its application;
- To lead the harmonization of the working methodology of the State and its institutions in terms of internal control and audit, and disseminate generally recognized and accepted good practices;
- To develop the methodology for internal audits relating to transversal functions; and
- To examine each year the audit policy of ministerial departments and formulate recommendations.

The ASCE-LC is also responsible for receiving and controlling presentations of asset declarations by public officials, and preventing and fighting corruption.

The National Anti-Corruption Strategy, in place between 2012 and 2016, was based on the principles of good governance, transparency, participation and subsidiarity. The action plan set out to put these principles into practice through measures aimed at increasing transparency and the consultation of non-state actors, but also through a sharing of responsibilities in the fight against corruption. In particular, the action plan emphasized the coordination role that the ASCE-LC should play – ensuring the mobilization of actors and coordinating their activities under the action plan. In 2015, the ASCE-LC was also strengthened with the passing of Organic Law N°082-

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<sup>4</sup> <https://www.asce-lc.bf/>

2015/CNT that conferred autonomous constitutional status within the office of the Presidency to the institution<sup>5</sup>.

Currently, the ASCE-LC is working towards developing a new National Anti-Corruption Strategy, in consultation with its partners and the citizens of Burkina Faso.

### **Burkina Faso after the coup**

Recent developments in Burkina Faso include a military coup at the end of January 2022, resulting in the removal of President Kabore by a military junta led by Lieutenant-Colonel Paul Henri Damiba. Lieutenant-Colonel Damiba dissolved the government and national assembly, suspended the country's constitution and created the Patriotic Movement for Safeguard and Restoration, which now rules the country. Shortly after the coup, the constitution was re-established, and a transition legislative assembly (ALT) was created.

In October 2022, as the evaluation was on-going, a captain, Ibrahim Traore, leading a faction of officers, forced out Lieutenant-Colonel Damiba. This second military takeover in less than nine months should be followed by a 24-month period for the transition. During this time, it is expected that the ASCE-LC will retain the fullness of its powers conferred by Organic Law N°082-2015/CNT.

*Source: <https://www.gisreportsonline.com/r/burkina-faso-coup/>*

## 2.2 PROJECT DESCRIPTION

In 2017, at the request of the Government of Burkina Faso, Sida approved funding for institutional and organizational support for the ASCE-LC. The support was based on the findings and recommendations from a prior institutional assessment. The assessment recommended that the ASCE-LC would benefit from **technical assistance to strengthen its project planning and management capacities**.

The ASCE-LC support project started in November 2017 and ended in December 2021, after several no-cost extensions aiming to accommodate for the effects of the COVID-

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<sup>5</sup> The ASCE-LC was strengthened with the passing of Organic Law N°082-2015/CNT. The law transferred the ASCE-LC from the office of the Prime Minister, and the institution was granted autonomous constitutional status within the office of the Presidency. An orientation council was established, comprising three representatives from the public sector from each branch of government, the public sector (chambers of commerce, the order of chartered accountants and the bar association) and civil society and media organisations. This council provides guidance to the ASCE-LC as well as manages the process for vetting and selecting the general state controller who runs the institution for a five year mandate. Furthermore, Organic Law 082-2015/CNT also establishes that the budget cannot be less than 0.1% of the national budget, grants immunity to state controllers during their mandate, and allows the ASCE-LC to hire experts without going through other state hierarchies.

19 health crisis and the security crisis. The contribution of Sida to the project was up to SEK 13 000 000.

The project intended to contribute to the achievement of the following *ultimate outcome*:

*The level of corruption in Burkina Faso is reduced. Through the development of operational tools for the ASCE-LC, capacity building for the various professions and the development of the communication function, the project aims to contribute to reducing the level of corruption in Burkina Faso.*

This ultimate outcome was expected to be achieved through *three levers*, **(1)** the design and implementation of **operational tools** for human resources management and **management tools** for control and the fight against corruption; **(2)** the **professional training** of newly recruited State Controllers in audit and control, the retraining of State Controllers already in post in fundamental training on the themes of investigation and management of declarations of interest and assets; and **(3)** the implementation of a **communication strategy** aimed at preventing corruption and increasing the visibility of the Supreme State Control and Anti-Corruption Authority.

Two *intermediary results* were expected to contribute to the achievement of the ultimate outcome:

- 1) The professionalization of ASCE-LC's control and anti-corruption missions is improved.
- 2) Increased prevention of corrupt practices and similar offenses in public administrations.

Over a period of four years (2017-2021), a range of activities were implemented in order to achieve the *ultimate outcome*.

### **Key interventions included:**

- Development of strategic guidance and operational documents (strategic plan, HR manual, action plan(s), guidance on ethics, M&E guide, Standard Operating Procedures manual, audit framework, etc.);
- Purchasing of key equipment (vehicles; briefcases including a laptop, a portable scanner, a recording device, a phone, secured internet access and a hand weapon);
- Training sessions for staff on:
  - complaint management, investigation techniques, inquiry and management of declarations of interest and assets;
  - anti-corruption approaches;
  - auditing techniques;
  - financial analysis;
  - Public-Private Partnership;

- communication skills, staff management and leadership skills;
- field report writing;
- database management and Excel;
- accounting softwares (Sage, Sim system et Tompro);
- Study visits for state controllers, verification assistants and inquirers to exchange ideas about best practices in similar institutions in Rwanda, Canada and Bhutan;
- Peer-to-peer coaching within the ASCE-LC;
- Development of an institutional communication plan;
- Organisation of educational events in schools;
- Engagement of civil society and media organisations in the fight against corruption;
- Coordination between ASCE-LC, Cour des Comptes and Inspection générale des finances (IGF);
- Regular meetings between internal auditors in ministries and state institutions;
- Coordination with other institutions with a similar mandate in the region;
- Establishment and maintenance of a ‘green number’ for citizens;
- Active and secure ASCE-LC website;
- Organisation of public forums on integrity; and
- Production and screening of anti-corruption films.

*Other institutional and organizational support for ASCE-LC*

Since 2017, the ASCE-LC also receives support from the World Bank (WB) and the European Union (EU) through two projects:

- The World Bank funds the **Economic Governance and Citizen Participation Project (PGEPC)**. Its objective is to strengthen the mobilization of domestic resources and improve the use of public resources by strengthening accountability mechanisms, resource collection systems and public expenditure management. With a total budget of 5 billion CFA francs, the project has a duration of five years and started in 2017.
- The EU cooperates with the Government of Burkina Faso through the implementation of the public finance component of the **Public Management and Statistics Support Program (PAGPS)**<sup>6</sup>. Over a period of 5 years, the implementation of this component provides support for the development of an action plan for capacity building of ASCE-LC staff.

In addition, **United Nations Office on Drugs and Crime (UNODC)** has funded and led the investigation training and the drafting of a procedure manual for State controllers.

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<sup>6</sup> <https://www.pagps.net/>

The **Swiss cooperation** in Burkina Faso funded activities in support of developing and operationalising a gender strategy for the ASCE-LC during 2020-21.

Finally, **UNDP** finances awareness-raising activities through the COSED programme (2020-2022)<sup>7</sup>, and the **Geneva Centre for Security Sector Governance (DCAF)** supports the ASCE-LC on budget management related to security and defence.

An *extended action plan* (Plan d'Action Elargi), adopted in 2019, brings together the financial contributions of the Swedish cooperation, the Delegation of the European Union, and the Swiss Cooperation Office in Burkina Faso<sup>8</sup>.

### 2.3 INTERVENTION LOGIC

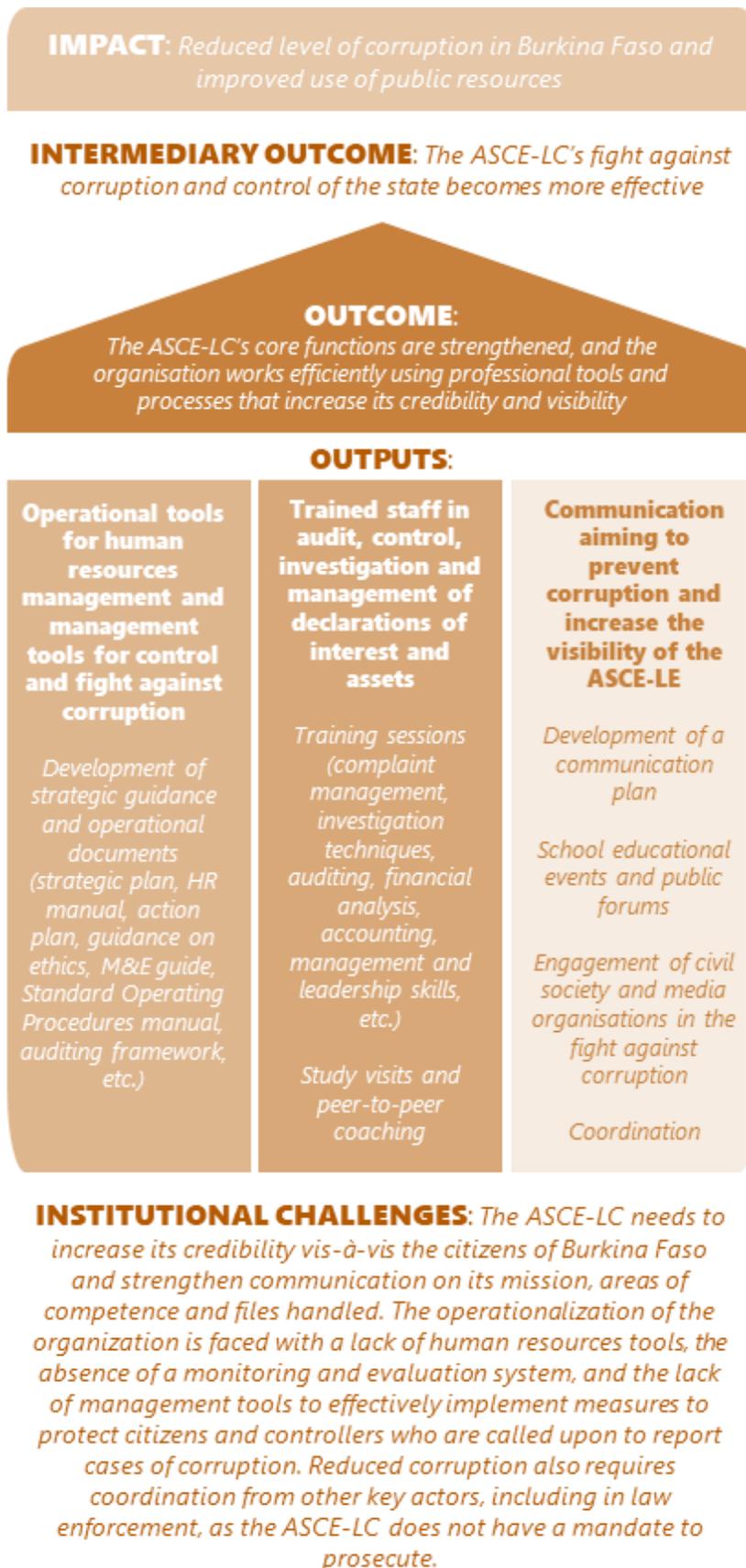
Based on the available documentation about the project, our team compiled a tentative intervention logic that was revised during the inception phase using available documentation (**Figure 1**). It served as a guide throughout the evaluation.

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<sup>7</sup> [https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP\\_bf\\_CoSED\\_2020.pdf](https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP_bf_CoSED_2020.pdf)

<sup>8</sup> The project initially funded by the Swedish Embassy was expanded with the European Union external action agreement contract FED /2018/402-638 of June 27, 2019. The Swiss Cooperation Office also expressed its intention to contribute to the project, which is reflected in the 2019 extended action plan.

**Figure 1.** Reconstructed intervention logic



# 3 Evaluation approach and methodology

## 3.1 OVERALL APPROACH

In addition to the 'Utilization-focused Approach' mentioned earlier about engaging the intended users to optimize the likelihood of using the evaluation, we applied a **Contribution Analysis approach** to this evaluation, to enable a rigorous analysis of the project support's contribution to the organizational and institutional progress and achievements of the ASCE-LC and its ability to fight against corruption.

This approach enabled the evaluation team to distinguish between the contribution of different types of support (developmental of operational and management tools, capacity building, development of the communication function) to the overall objective, through assessing the relevance, effectiveness, efficiency and sustainability of each intervention.

To ensure that the evaluation applies a **Gender Responsive Approach**, our team made sure that there is a gender-balanced representation of stakeholder groups invited to take part in the evaluation process, and that gender representation is viewed not only from a binary perspective but is based on an intersectional understanding. In addition, the evaluation team ensured that the methodological approach includes explicit questions related to gender equality issues, outcomes and normative values, including discussions on how the interventions promoted (or not) a gender transformative approach. The data analysis, conclusions and recommendations include explicit analysis related to gender equality outcomes stemming from the project as well as identify any related gaps.

## 3.2 DATA COLLECTION METHODS

### *Document review*

During the inception phase, the in-depth review of project documentation (project rationale, intervention proposal, activity reports, monitoring data, etc.) and available secondary data (data generated by the project team, but also third-party data e.g., REN-LAC reports) was a critical starting point, enabling the evaluation team to refine the list of key questions, elaborate these via further sub-questions and judgement criteria, and ensure that the tool-set design responds to the national and local context in Burkina Faso.

The document review also served to provide an independent verification of the project outputs and achieved outcomes against its expected results, and to **identify gaps in the evidence base that were addressed during the data collection phase**.

The full list of documents reviewed by the team during the evaluation is available in Annex 2. The desk review continued throughout the evaluation process, as additional documentation (e.g., monitoring data, additional reports and documents) were accessed during the data collection and analysis phase.

#### *Stakeholders interviews with the ASCE-LC and partners*

Stakeholders interviews with the ASCE-LC, its partners, the Swedish Embassy and other relevant stakeholders involved in project activities took place via Zoom/ Teams (and in-person by the national consultant) during the data collection phase. The list of interviewees is presented in Annex 5.

The aim was to **probe and follow-up on the independent review of project outputs and outcomes** carried out by the evaluation team as part of the document review. Specific attention was given to the efficiency of implementation and lessons learned by project staff during implementation, as well as identifying internal and external factors and stakeholders that have contributed to or impacted the project. The evaluation questions and the evaluation matrix (refer to Annex 4) served as guides for developing the interview questionnaire.

All interviews were private and confidential unless the interviewee agreed to be cited personally.

#### *Online survey with project participants*

Based on the document review and stakeholder interviews, the evaluation team designed, launched and managed an online survey with project participants in order to **gather information more systematically, quantifiably and in a more confidential manner** than through one-to-one interviews. The survey also assessed the extent to which new skills and practices have translated (or not) into actual, long-lasting institutional capacity changes.

Survey results, presented in Annex 6, were triangulated with findings from other sources of information such as individual interviews and secondary data. Results are disaggregated by sex. The response rate was 36%, and the total number of responses is 12 (out of 33 potential respondents).

### 3.3 DATA ANALYSIS

Data collected during the stakeholder interviews and online survey were analysed using an evaluative matrix, integrating both quantitative and qualitative findings organised

following the agreed indicators and judgment criteria (refer to the Evaluation Matrix presented in Annex 4). Findings were triangulated between different *sources* (e.g. individual interviewees) and between different *source types* (documentation, interviews and online survey). The data analysis was complemented by a validation phase with the ASCE-LC and the Swedish Embassy, in order to capture differences in perspectives, align our understanding of the project with that of the Embassy and the organisation, clarify any miscommunication/ misunderstanding between the evaluation team and the evaluand, and collect additional evidence and documentation to rectify and refine findings where needed.

### 3.4 LIMITATIONS

In terms of limitations of the proposed approach, we expected that determining causality would be problematic. *To what extent can change be attributed to the support provided to the ASCE-LC?*

Our contribution analysis approach sought to identify the *contribution* the support has made to a change or set of changes, recognizing that there are usually many different steps between activities and desired changes, that the further along the change pathways that results occurs, the stronger external factors will influence effects, and that many different development interventions and/or factors can contribute to a single change. Contribution analysis aims to produce **a plausible, evidence-based narrative** that a reasonable person would be likely to agree with.

Our *reliance on interview data* also came with some limitations – it is our experience from similar evaluations that stakeholders may have an incentive to provide positive feedback. To mitigate this, the team took measures to detect and account for the possibility of pleasing or otherwise positively biased feedback of the information collected in these interviews. The principal safeguard for this is good evaluation practice, the seniority of the team, and its substantial interview and evaluation experience. The team applied rigor, its skills as critical and impartial observers to spot and **investigate potential bias, positive or negative**, for example by asking interviewees to back up statements with documented evidence, ask whether other people can confirm the information provided, confront interviewees with contradictory evidence, and probe for more detail and explanation before accepting feedback as evaluative evidence.

*Access to secondary data* including monitoring data, attendance data, meetings minutes and training assessment reports is instrumental for the evaluation team to confidently assess the effect of the support. During the data collection phase, we focused on assessing **what data was collected and reported on** during the project by the ASCE-LC management team and the implementing partners, and whether the data could be used confidently as part of the evaluation.

The **availability of the ASCE-LC staff** was another source of concern regarding our ability to make this evaluation participatory and utilisation-focused. We discussed with the Swedish Embassy in Burkina Faso how to access key respondents and contributors to the evaluation process, and crucially, during the data collection phase. However, due to the timing of the data collection (August–September) and the lack of availability of the ASCE-LC staff, the evaluation team was unable to secure interviews with all the State Controllers who received training as part of the support project. Some external stakeholders also did not reply to requests for interviews (Yons Associates, independent consultants, project coordinators (EU/WB), REN-LAC...). Finally, the ASCE-LC was given a six week-period to comment on the draft final report but despite several follow-ups from the evaluation team and the embassy, they did not respond to our request for comments.

# 4 Findings

## 4.1 RELEVANCE

**Evaluation question(s):** To what extent has the intervention objectives and design responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out?

### *Context in which the project was elaborated*

The National Anti-Corruption Strategy, in place between 2012 and 2016<sup>9</sup>, was based on the principles of good governance, transparency, accountability, participation and subsidiarity. The action plan set out to put these principles into practice through measures aimed at increasing transparency and the consultation of non-state actors, but also through a sharing of responsibilities in the fight against corruption. In particular, the action plan emphasized the coordination role that the ASCE-LC should play – ensuring the mobilization of actors and coordinating their activities under the action plan. In 2015, the ASCE-LC was also strengthened with the passing of Organic Law N°082-2015/CNT that conferred autonomous constitutional status within the Office of the President to the institution.

In this context, and at the request of the Government of Burkina Faso, Sida approved funding for institutional and organizational support for the ASCE-LC in 2017. In the Project Proposal (2017), the strengths and weaknesses of the institution were summarised as follows:

**Table 1.** Strengths and weaknesses of the ASCE-LC in 2017

Areas	Weaknesses	Strengths
Legal and regulatory mechanisms	Absence of implementing decrees for Law No. 082-2015/CNT on the powers, composition, organization and functioning of the Authority because no implementing decree for the new law has been issued	Law No. 04-2015/CNT on repression and the fight against corruption confirms the independence of ASCE-LC State Controllers have the powers of judicial police officers
Management tools	Absence of an administrative and financial management manual	Existence of a complaints management manual

<sup>9</sup> Evaluated in April 2021 – Évaluation de la mise en œuvre de la politique nationale de lutte contre la corruption et son plan d'actions (April 2021)

Areas	Weaknesses	Strengths
	<p>Absence of a monitoring, evaluation and capitalization system</p> <p>Documentation is not digitalized</p> <p>The management of declarations of interest and assets is not digitalized</p> <p>The management of complaints and denunciations online is not yet operational</p> <p>Absence of a monitoring and evaluation mechanism</p>	<p>Existence of control and audit manuals</p> <p>Existence of a form for the declaration of interests and assets</p>
Communication	<p>Lack of communication plan</p> <p>Lack of fluidity in communication</p> <p>The internal communication channels do not work</p> <p>Consultation frameworks are insufficient</p> <p>Non-functional and unstructured information system</p> <p>Lack of a telephone communication set-up</p> <p>ASCE-LC toll-free number is not working (in progress)</p> <p>ASCE-LC website not functional and not updated</p>	<p>Existence of a communication strategy</p> <p>Good communication and working in symbiosis between the State Controllers and the technical inspectors of the ministerial departments (in the conduct of audits and internal controls)</p>
IT	<p>Obsolete IT and office equipment</p> <p>Absence of data servers</p> <p>Absence of a local Intranet network</p> <p>Absence of a data security system</p>	<p>The IT master plan has secured funding</p>
Infrastructure	<p>The plan of the building is not in line with the missions of the institution</p> <p>Inadequate safety measures</p> <p>The work environment is not appropriate with regard to the surrounding commercial activities</p> <p>Hygiene rules are not observed in and around the building</p> <p>Lack of discretion due to the geographical location of the ASCE-LC</p> <p>Absence of a hearing room</p>	<p>The construction project for the new ASCE-LC headquarters is very advanced</p>
Equipment and logistics	<p>Absence of a provisional logistics plan</p>	

Areas	Weaknesses	Strengths
	Insufficient fleet of vehicles Aging fleet of vehicles Insufficient and unsuitable car park premises	
Human resource management	Insufficient number of State Controllers Insufficient administrative staff Absence of salary grid and staff motivation grid, specific to the ASCE-LC Absence of a career plan specific to the ASCE-LC Lack of an updated training plan Insufficient training of support staff The performance appraisal system is outdated	Transparent recruitment process based on competition The content of the draft texts on remuneration and on the health insurance scheme is attractive Prospects for recruiting new State Controllers and new administrative staff
Financial resources	Non-compliance with regulatory texts (0.1% of the national budget not paid to the ASCE-LC) resulting in the lack of self-financing of the ASCE-LC Low financial resources allocated to continuing education and training Sub-optimal budget system and processes	

Source: Project Proposal, 2017

Based on this assessment of strengths and weaknesses, the **main challenges identified** in the Project Proposal (2017) were:

- The ASCE-LC needs to increase its credibility vis-à-vis the citizens;
- The ASCE-LC needs to strengthen and extend its communication on missions, areas of competence and files handled;
- The operationalization of the organization chart is faced with the lack of human resources tools, the absence of a monitoring and evaluation system and the absence of internal and external communication;
- There is no effective implementation of measures to protect citizens and controllers who are called upon to report cases of corruption;

- The orientation council<sup>10</sup> is not working effectively;
- Archives need to be digitalized; and
- There is a need for more publications on the phenomenon of corruption and to extend/enlarge the content of the corruption concept, taking into account assimilated breaches.

#### *Challenges identified and project design*

The design of the project that resulted from this assessment focused primarily on three components – the *development of tools*, the *training of staff* and the *development of the communication function*<sup>11</sup>.

According to the interviews and survey carried out with the ASCE-LC staff, the intervention objectives and design of the support project responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities. As expressed by a member of staff, "*in light of the reforms introduced by the 2015 law on the organization and functioning of ASCE-LC and the anti-corruption law 004, the missions of ASCE-LC have multiplied, making it highly necessary for the structure to be well organized to deal with these multiple challenges. However, the organization, as a young organization, did not have the necessary tools to meet all expectations [in 2017]. We had, on the one hand, a very low organizational capacity and, on the other hand, numerous and pressing expectations*".

By focusing on organizational needs, material needs (e.g., IT equipment), and the development of reference documents (e.g., guiding documents, orders, decrees, memorandum) and a communication strategy to support the ASCE-LC in its mission, **the support project responded to the challenges identified.**

#### *Involvement of the ACSE-LC staff, partners, beneficiaries and the Government of Burkina Faso in the design of the project*

The Project Proposal (2017) mentions the organisation of several meetings (scoping sessions, individual interviews and debriefing workshop) during the design phase, and namely consultations with the General State Controller, the State Controllers, and the administrative staff of the ASCE-LC. Several documents provide evidence of the involvement of the ASCE-LC in the design phase<sup>12</sup>. It is however not clear whether the ASCE-LC had an actual *influence* on the design of the project, since the project

<sup>10</sup> Comprising three representatives from the public sector from each branch of government, the public sector (chambers of commerce, the order of chartered accountants and the bar association) and civil society and media organizations.

<sup>11</sup> After the adoption of the PAE (Wider Action Plan) in April 2019, the project was reviewed following a Results-Based Management (RBM) approach, resulting in a new logical framework and a related performance measurement framework. However, activities under the new plan remained very much aligned with the activities proposed in the project proposal (2017), addressing the different challenges identified above.

<sup>12</sup> FCG Mission Report II; Meeting notes May 2019.

proposal was elaborated by an external consulting firm based on the consultations, and later presented to the ASCE-LC as “*a finished product, ready for implementation*”<sup>13</sup>.

It is also unclear whether other stakeholders and groups external to the ASCE-LC were actually consulted during the project design stage (e.g., REN-LAC, civil society, end beneficiaries, Government of Burkina Faso, relevant ministries, etc.).

According to the interviews and survey carried out with the ASCE-LC staff, **the different trades within the organization should have been more involved in the assessment of needs and in the design of activities**. As noted by one respondent, “*the trades were not strongly involved [in the design of the project], so that the definition of certain needs escaped the PMU. In the architecture of the project, a coordinating body would have been needed to increase the participation of the different professions*”. Another staff member added: “*a structure taking into account the needs of each trade [within the ASCE-LC] would have been useful*”.

As reported by project participants, the PMU organized trainings and activities for all ASCE-LC staff, **without specific targeting or prior analysis of the State Controllers’ skills and competences**. A survey respondent noted, “*State Controllers have different profiles and functions within the organization, therefore we needed more targeted training for each specific trade/profile*”.

Finally, the **administrative and support staff** at the ASCE-LC was not involved enough in the design of the project, nor considered as beneficiaries. The activities were primarily geared towards building the capacity of the different professional bodies at the ASCE-LC. As reported by a member of staff, “*project activities were centred on the professional staff (e.g., State Controllers) and the project forgot about the administrative staff that accompanies the State Controllers in their mission*”.

#### *Extent to which the project promoted a gendered approach*

According to the Project Proposal (2017), the ASCE-LC did not have a gender policy in 2017, which limited the ability of “*the present intervention to define how benefits are distributed between men and women, but also the degree of involvement of men and women in the achievement of the expected results*”<sup>14</sup>. The document further explained that the ASCE-LC expected that the support project would not affect men and women in differentiated ways, and that “*the fight against corruption equitably affects individuals regardless of gender, age or disability*”<sup>15</sup>.

While this assessment is questionable – corruption affects both women and men, but given the unequal gender relations in society, women are disproportionately exposed

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<sup>13</sup> Interviewee, ASCE-LC staff.

<sup>14</sup> Project Proposal (2017)

<sup>15</sup> Ibid.

to corruption and its consequences<sup>16</sup> – the ASCE-LC does include a gender unit that monitors gender aspects in the institution. The unit has a budget line and resources allocated on a yearly basis, and the Project Proposal (2017) suggests that the support project benefits from the help of the gender unit to incorporate the gender dimension in project activities, in order to benefit both “*the targeted actors in general and the gender actors*”<sup>17</sup>.

In 2021, towards the end of the project and after the adoption of the Wider Action Plan in 2019, gender appears to be given more consideration. A document outlining the gender strategy of the ASCE-LC has been developed, together with an action plan adopted in March 2021. Without proper funding however, the action plan has not been fully implemented yet. The gender unit only became operational in December 2020, and has been monitoring the implementation of some gender actions in 2021. State controllers were trained in the gender analysis of budgets in order to detect elements that make it possible to reduce inequalities. Some activities are still pending, for instance the training of all staff on gender budgeting and planning<sup>18</sup>.

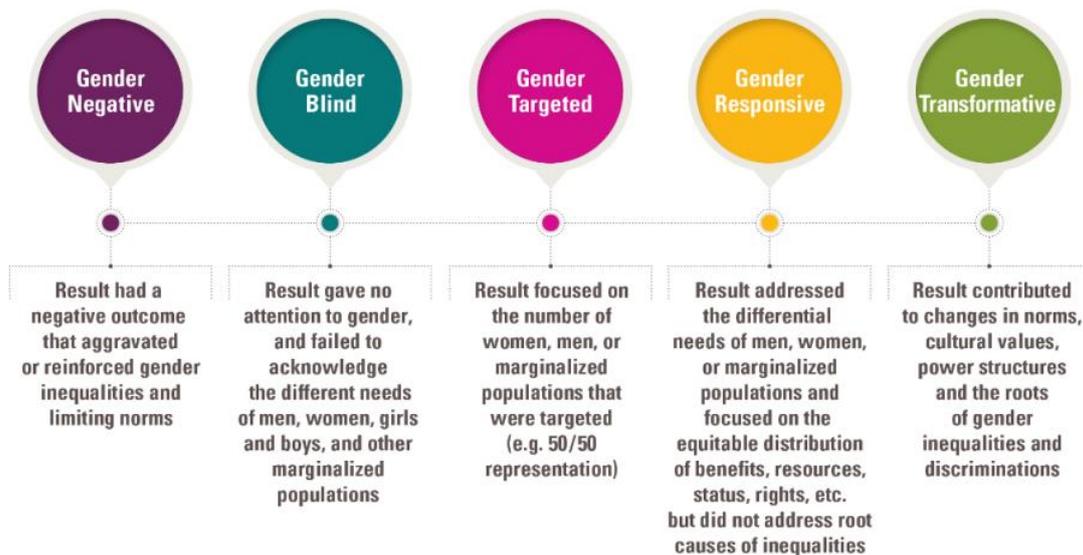
From the perspective of the Gender Results Effectiveness Scale (GRES), which ranks outcomes from gender negative/blind to gender transformative, **the ASCE-LC support project can be assessed as *gender blind in its design, moving progressively towards gender targeted and gender responsive during the second half of its implementation* (2020 onwards).**

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<sup>16</sup> Women generally have less funds to spare for corrupt officials or persons holding positions of power, therefore they risk being exposed to physical abuse, sexual extortion and exploitation; also, women’s lower status and position in society makes them more vulnerable to corruption. Sources: Transparency International (2014) *Gender, Equality and Corruption: What are the linkages?* Policy Brief No 1/2014; Sida (2015) *Gender and corruption*, Gender Tool Box Brief.

<sup>17</sup> Project Proposal (2017)

<sup>18</sup> Annual report from the ASCE-LC (2021)

**Figure 2.** Gender Results Effectiveness Scale (GRES)

Source: Adapted from the Evaluation of UNDP Contribution to Gender Equality and Women's Empowerment, IEO, UNDP, 2015

### *Extent to which activities were adapted to reflect evolving circumstances*

The support project had to adapt to several unforeseen events or contextual changes during its implementation. First and foremost, the ASCE-LC went through a **process of organisational re-structuring in 2018**, which meant that very few activities could take place during the first year of the project. In the meeting minutes from a discussion between the Swedish Embassy and the ASCE-LC that took place in May 2019, it is explained that the support provided by FCG ('Assessment of project financial and accounting management capacities, project cycle management capacities and technical support to the ASCE-LC') was conducted without taking into consideration the ongoing changes in the organisational structure of the ASCE-LC. Project activities therefore had to be postponed and reframed to respond to the new structure of the organisation.

Later on, in 2020, the measures taken by the Government of Burkina Faso to counter the **spread of Covid-19** prevented the implementation of certain activities<sup>19</sup>. Study trips, trainings, awareness campaigns and educational conferences could not take place in view of the closing of borders, the lockdown of some cities, the prohibition of large gatherings, etc. Faced with these constraints, the project was adapted in order to limit study trips abroad and postpone the organisation of awareness-raising sessions. Such activities were eventually dropped, while others, such as the training of State

<sup>19</sup> ASCE-LC Narrative Report, 2020

Controllers on risk and fraud management, took place online through videoconferences<sup>20</sup>.

## 4.2 COHERENCE

**Evaluation question(s):** How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?

*Coherence with other actors and interventions supporting the fight against corruption in the country*

Several activities in the support project aimed to strengthen the capacity of partners as well as their collaboration with the ASCE-LC. Most importantly, **some awareness-raising and prevention activities were entrusted to civil society organizations** (Réseau national de lutte anti-corruption (REN-LAC), Leadership Jeune pour la Paix et le Développement (LEJPAD)) through service provider agreements.

LEJPAD, who has been a partner of the ASCE-LC since 2018, was contracted in 2021 as part of the support project to carry out awareness-raising and civic education sessions in schools and universities in the towns of Bobo-Dioulasso and Banfora. LEJPAD also organized ‘awareness caravans’ for the general public on markets. Finally, the organization provided training and sensitizing activities on the fight against corruption, fraud and similar offenses at the National Police School and the Police Academy in Burkina Faso. As noted by a staff member from LEJPAD, *“through this collaboration, we have contributed to the popularization of law 004-2015/CNT on the prevention and repression of corruption in Burkina Faso. Our action has also contributed to some extent to the visibility of ASCE-LC in several localities and within various social groups”*.

In addition, **several other organizations collaborated with the ASCE-LC** as part of awareness-raising and prevention activities, for instance during ‘interpellation conferences’<sup>21</sup> or thematic conferences: Free Afrik, Organisation Démocratique de la Jeunesse du Burkina Faso (ODJ), Centre pour la Gouvernance Démocratique (CGD), Centre d'Information, de Formation et d'Études sur le Budget (CIFOEB), Institut Général Tiémoko Marc Garango pour la Gouvernance et le Développement (IGD), and OXFAM.

Finally, an important component of the support project for the ASCE-LC was to support the development of the next National Anti-Corruption Strategy. As part of the

<sup>20</sup> ASCE-LC Narrative Report, 2021

<sup>21</sup> Conference days with strategic discussions on how to fight corruption and during which the main institutions in the country are invited to respond to the public demand for transparency and accountability.

elaboration of the strategy, **civil society organizations** (REN-LAC, LEJPAD, CIFOEB, CGD, ODJ, etc.) **were involved in consultations and discussions** about the strategic aspects and opportunities for collaboration in the fight against corruption in Burkina Faso.

#### *Coordination between the project and other government bodies*

While there is ample evidence of the coordination that took place between civil society organizations working in the sector and the ASCE-LC support project, it is less clear whether the project had an influence on fostering collaboration between the ASCE-LC, the Court of Auditors and National Audit Office (IGF), and enhancing coordination with other government bodies. The draft regulatory texts for the **establishment of consultation frameworks** between the control bodies (ASCE-LC, Court of Auditors, IGF), the executive and the parliamentarians have been prepared and validated, but they are yet to be adopted.

### 4.3 COORDINATION

**Evaluation question(s):** To what extent have the interventions of different actors particularly the donors been harmonised?

#### *Level of coordination between the projects funded by different donors*

Since 2017, the ASCE-LC has also received support from the World Bank (WB) and the European Union (EU) through two projects:

The World Bank funds the **Economic Governance and Citizen Participation Project (PGEPC)**. Its objective is to strengthen the mobilization of domestic resources and improve the use of public resources by strengthening accountability mechanisms, resource collection systems and public expenditure management. With a total budget of 5 billion CFA francs, the project has a duration of five years and started in 2017. The World Bank directly financed the activities of ASCE-LC through the Department in charge of the Declarations of Interests and Assets (DDIP). It is within this framework that ASCE-LC and the World Bank identified a portfolio of priority activities to be implemented, including the design and implementation of an IT plan for the organization, and an online platform for declarations of interest and assets.

The EU cooperates with the Government of Burkina Faso through the implementation of the public finance component of the **Public Management and Statistics Support Program (PAGPS)**<sup>22</sup>. Over a period of 5 years, the implementation of this component provides support for the development of an action plan for capacity building of ASCE-LC staff.

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<sup>22</sup> <https://www.pagps.net/>

The **Swiss cooperation** in Burkina Faso funded activities in support of developing and operationalising a gender strategy for the ASCE-LC during 2020-21.

In addition, **United Nations Office on Drugs and Crime (UNODC)** has funded and led the investigation training and the drafting of a procedure manual for State controllers. Finally, **UNDP** finances awareness-raising activities through the COSED programme (2020-2022)<sup>23</sup>, and the **Geneva Centre for Security Sector Governance (DCAF)** supports the ASCE-LC on budget management related to security and defence.

An *extended action plan* (Plan d'Action Elargi), adopted in 2019, brings together the financial contributions of the Swedish cooperation, the Delegation of the European Union, and the Swiss Cooperation Office in Burkina Faso<sup>24</sup>.

In terms of coordination between the different donors, the extended action plan helped **harmonize the financing of activities between Swedish cooperation, the EU and Swiss Cooperation**. This approach of merging, pooling actions and financing from the various technical and financial partners was perceived as highly relevant by interviewees. According to the ASCE-LC, the extended action plan helped avoid duplication and supported a better allocation of resources to support the institutional and organizational development of the organization. The three different sources of funding reinforced each other in their common objective of strengthening the ASCE-LC. According to a member of staff from the ASCE-LC, the coordination was made easier by the Swedish partner, “*which was very available and always open to discussing with ASCE-LC within the framework of the project, participating in the various review committees (Comité de revue – CORE) of the project and remaining always accessible for discussion*”.

By contrast, the Economic Governance and Citizen Participation Project (PGEPC) funded by the World Bank – that focused primarily on developing an electronic platform for declarations of interest and assets (Déclaration d'Intérêt et de Patrimoine (DIP)) – was **implemented outside of the extended action plan**, and not necessarily integrated or embedded in the overall support to the ASCE-LC's organizational development.

*Degree of overlap of activities between the different projects*

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<sup>23</sup> [https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP\\_bf\\_CoSED\\_2020.pdf](https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP_bf_CoSED_2020.pdf)

<sup>24</sup> The project initially funded by the Swedish Embassy was expanded with the European Union external action agreement contract FED /2018/402-638 of June 27, 2019. The Swiss Cooperation Office also expressed its intention to contribute to the project, which is reflected in the 2019 extended action plan.

As shown in the table below, the type of support for the ASCE-LC funded by each donor is very similar, from supporting the development of a training plan for the organization, to organizing study visits to counterparts in different countries – in support of strengthening the organization in its mission. While the Swedish funding and EU support cover most of the same support areas, the fact that the support is coordinated under the extended action plan since 2019 means that there is no duplication in activities. Similarly, the Swiss Cooperation funded a specific strand of the overall support project, which focused on developing and operationalising a gender strategy for the ASCE-LC during 2020-21.

As mentioned above, the World Bank-funded support was implemented outside of the extended action plan, which meant that some areas of support overlapped – for instance, the trainings in investigation and support the development of a procedure manual for State Controllers, the organization of study visits, or the provision of equipment (vehicles, IT).

**Table 2.** Type of support to the ASCE-LC, by donor

	Swedish Embassy	PAGPS (EU)	Swiss cooperation	PGEPC (WB)	UNODC	COSED (UNDP)	DCAF
Support for the development of an action plan for capacity building of ASCE-LC	✓	✓					
Support for the development of a training plan for the ASCE-LC	✓	✓					
Development of the national strategy for the prevention and fight against corruption	✓	✓					
Trainings in investigation and support the development of a procedure manual for State Controllers	✓			✓	✓		
Organisation of study visits to counterparts in different countries	✓	✓		✓			

Buying of equipment for the ACSE-LC (vehicles, IT)	✓	✓		✓			
Support to the coordination of the orientation council	✓			✓			
Support to the communication plan of the ASCE-LC	✓	✓		✓		✓	
Development of a strategy for popularizing the anti-corruption law				✓			
Operationalization of the electronic declaration of interest and assets				✓			
Development and implementation of a gender strategy			✓				
Development of gender budgeting tools			✓				
Support with budget management related to security and defence							✓

Source: Project reports from the different donors

## 4.4 EFFECTIVENESS

**Evaluation question(s):** To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups? Has the M&E system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning? To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

### *Development of operational tools, capacity building for the various professions and development of the communication function*

During the 2017-2021 period, the ASCE-LC was strengthened through the development of operational tools, capacity building for the various professions and the development of the communication function. The narrative reports from the ASCE-LC (2018, 2019, 2020, 2021) describe the extent to which activities under the different components were carried out and completed between 2017 and 2021. Based on the documentation review and data collection, our team compiled the following assessment of project progress against expectations.

**Table 3.** Output-level assessment

Indicator	Assessment	Achievement
<b>Increased capacity in strategic management of ASCE-LC in the fight against corruption</b>		
National strategy for the prevention and fight against corruption	Still in progress	Burkina Faso does not yet have a national strategy document for the prevention and fight against corruption, although various workshops and consultations were held. The draft strategy will serve as a basis for the facilitation of sectoral and regional consultations in 2022.
Monitoring, evaluation and capitalization system	Completed	A monitoring, evaluation and capitalization system is in place. Specific studies on the state of corruption in eight areas have been completed and taken into account in the development of the national strategy for the prevention and fight against corruption.
ASCE-LC strategic plan	Still in progress	The ASCE-LC strategic plan was validated in a workshop in February 2021 and covers the period 2021-2025. However, the round table for the financing of the strategic plan is not yet scheduled.
Human resources	Still in progress	A human resource development plan is being developed since 2020.
Investigation guides	Completed	Two investigation and verification guides were designed and implemented by the investigation and survey department with the technical support of magistrates.
Team management and leadership	Completed	Training in management of services, interpersonal communication, team management and leadership was carried out for the benefit of heads of departments, state controllers and directors and heads of services of ASCE-LC. At the end of the session, it was recommended that this training be extended to all ASCE-LC staff and top management.
Excel software	Completed	A training workshop on the "Excel" software was carried out for the benefit of all State controllers.
Gender strategy	Still in progress	An ASCE-LC gender strategy together with an action plan was adopted in March 2021. In the absence of funding, it has not yet been implemented.

Monitoring of the gender strategy implementation	Still in progress	A monitoring group was set up in December 2020 to keep track of the execution of gender-related activities. The staff training workshop on taking gender into account in the planning and execution of the activities of the ASCE-LC has not been completed.
Coordination with other countries in the region	Still in progress	Consultations with the countries of the sub-region took place with Senegal in 2021; however, the study trip to Nigeria did not take place for administrative reasons.
<b>Increased access of state auditors to modern gender-sensitive tools for auditing, control and the fight against corruption</b>		
Procedure manual for processing complaints	Still in progress	The updated procedure manual for processing complaints was validated in 2021. At the end of the validation workshop, it was recommended that State controllers be trained in the appropriation of the new manual. This training, scheduled for the second half of 2021, could not be held.
Computerized system for monitoring legal actions	Still in progress	A computerized system for monitoring legal actions has been designed and is awaiting validation.
Manual and platform for the declaration of interest and assets	Still in progress	A procedure manual and a digital platform for the declaration of interest and assets have been designed but are awaiting validation.
<b>Improved capacity of ASCE-LC professional bodies in terms of auditing, control and the fight against corruption</b>		
Equipment	Completed	Specific equipment consisting of motorcycles and office computers has been acquired for the benefit of the department in charge of inquiries and investigations. Routine maintenance and insurance of three vehicles acquired in 2019.
Study visits	Completed	Two study visits were organised in 2019 in Cameroun and Tunisia for the Department of Investigations' staff. Another three visits took place in Morocco, Rwanda and Canada with their respective anti-corruption agencies.
Risk management and fraud management	Completed	Coaching sessions for State controllers in risk management and fraud management have been completed.

Management of complaints	Not started	Training sessions on the management of complaints have not been organised due to lack of time from potential participants.
Investigation reports	Completed	State controllers and staff from the Inquiries and Investigations Department received training on the methodology for preparing investigation hearing minutes and standard report writing techniques in 2021.
Analysis of financial statements of state-owned companies	Completed	Training sessions for State controllers on the in-depth analysis of the financial statements of state-owned companies in 2020. Development of a guide for analysing financial statements in 2021. The development of the guide by the State controllers enabled its appropriation by the department.
Controls	Completed	Training on the preparation and effective management of controls was provided by peers in 2020 for the benefit of all State Controllers.
Mission reports	Completed	State Controllers received training on mission report writing techniques provided by peers in 2020.
Gender-specific analysis of budgets	Completed	The training workshop for State controllers on gender-specific analysis of budgets took place in 2021.
Coaching on gender budgeting	Not started	The coaching on the application of trainings on gender budgeting have not taken place yet.
<b>ASCE-LC communication on the fight against corruption reinforced</b>		
Communication plan	Completed	A communication plan was developed and adopted in 2020.
Website	Completed	The ASCE-LC website is active and regularly updated since 2020.
Awareness raising about law 04-2015/CNT	Still in progress	A simplified text of the anti-corruption law and its implementing decrees has been produced in order to be published in national daily newspapers. However, the publication has not taken place yet.
Awareness campaigns about corruption	Completed	Awareness campaigns were carried out in 2020 and 2021, some of them with the support of the United Nations Development Programme: radio programmes, participation in the awareness day on the repression and prevention of corruption in the judiciary and penitentiary, awareness event on electoral corruption, etc.

Educational conferences	Completed	The scheduled educational conferences (25 conferences in secondary schools) have all been carried out.
Documentary film on corruption	Completed	The documentary film on corruption produced in 2020 was broadcasted on four television channels: 3TV, TNB, Burkina info and BF1.
Publicity material	Completed	Publicity materials about integrity published and broadcasted in the media.
Theatre play	Completed	Forum-theatres organized about the fight against corruption and integrity in four national languages.
<b>Strengthened capacity to coordinate the fight against corruption with partners</b>		
Coordination between ASCE-LC, Cour des Comptes and IGF	Still in progress	The draft regulatory texts for the establishment of consultation frameworks between the control bodies (ASCE/LC, Court of Auditors, IGF), the executive and the parliamentarians have been prepared and validated. They are yet to be adopted.
Coordination with civil society	Still in progress	Coordination meetings with civil society organisations has not taken place on a regular basis (mainly due to Covid-19).
Investigative techniques for media partners	Not started	Investigative media partners could not be trained in investigative techniques and collaborate with ASCE-LC due to difficulties in identifying an expert to lead this training.
Awareness raising through the media	Completed	In 2021, a radio channel slot was requested for an awareness campaign on the fight against corruption through Savane FM's VENEG-SONRE program.
<b>Improved capacities of partners for popularizing anti-corruption messages</b>		
MoU with civil society organisations	Completed	Memoranda of understanding, signed with two CSOs (REN-LAC and LEJEPAD), have been approved. REN-LAC organized a day of interpellation against the Government. LEJEPAD carried out various awareness-raising activities (radio broadcast, events in the public square, etc.).

Source: Annual reports from the ASCE-LC to the Swedish Embassy (2018, 2019, 2020, 2021)

While it is noticeable that a number of activities have not yet been completed as the project comes to an end, it is important to note that the ASCE-LC was granted an extension until November 2022 for the completion of the contract with the European Union. A similar arrangement was also agreed with the Swiss Cooperation. As a result, while the cooperation with the Swedish Embassy in Burkina Faso is over since December 2021 (end of the activity period), the project will continue into 2022 with EU and Swiss funding in order to:

- complete the development of the national strategy for the prevention and fight against corruption (regional and sectoral consultations to be carried out, validation workshop to be held);
- carry out the training activities planned for the State Controllers (coaching in the analysis of public policies and on the application of training on gender);
- develop survey guides for the Survey and Investigation department;
- operationalize the computerized system for monitoring legal actions; and
- proceed to project closure (final audit, external evaluation, closure report, etc.).

#### *Degree to which each type of support contributed to strengthening the organisation*

In this sub-section, we explore to what extent each type of support contributed to reinforcing the organisation and supporting its mission. Based on the interviews and survey, the evidence shows that **(1) strengthening the capabilities and skills of State Controllers in the exercise of their missions was perceived as the most important outcome** of the support project. Among the activities and trainings put in place to support State Controllers, the following have been reported as the most effective:

- Coaching on risk and fraud management;
- Training on the preparation and effective management of audits and controls;
- Training on how to carry out the analysis of financial statements of state-owned companies; and
- Training on the preparation of reports (PV – *procès-verbaux*) in line with the expectations of the Justice Department.

Study visits to other countries were also mentioned as very beneficial in the interviews and the survey carried out with ASCE-LC staff. As one member of staff noted, “*we were able to discover audit and control practices in other countries visited during the study trips*”. Overall, training sessions and study visits were rated as very useful, and State Controllers reported that they apply the newly-acquired skills in their work.

A good example is the coaching on risk and fraud management. The training was structured as a series of coaching sessions spread over several months, with a focus on applying the knowledge acquired to specific cases. A participant explained during an interview: “*We took the case of the General Directorate of Land and Maritime Transport, and rolled out our knowledge in risk analysis and management. Another group worked at the central hospital level. This training approach was really beneficial because we upgraded our knowledge in a practical way*”.

It is important to note that **some training sessions were perceived to be less useful than others**. For instance, the training workshop for State Controllers on gender-specific analysis of budgets was rated as either ‘*Useful on average, but I need further support to apply the knowledge in my work*’ or ‘*Not useful, I do not use the knowledge because it is not adapted to my work*’ by survey respondents. Further activities were planned (such as coaching sessions on the application of trainings on gender budgeting) but have not taken place yet.

Another challenge with strengthening the capabilities and skills of State Controllers has been the difficulty to take into account the **varied needs and skills levels across Controllers**. For instance, during the training on how to carry out the analysis of financial statements of state-owned companies, some Controllers had prior knowledge of the topic and a background in financial management, while others had no ground knowledge of accounting and management. While the trainer recruited had the relevant skillset to provide both a basic training and an advanced training, the choice to organize a single training for all State Controllers meant that it was not very relevant for participants with advanced knowledge of financial management. As noted by a participant, “*this training, which was generally well appreciated, was not useful to State Controllers who have a managerial background. The trainer was torn between State Controllers who needed basic knowledge and those who knew accounting and management. In fact, the training remained general in scope, only beneficial for non-managers by trade*”.

In terms of **(2) strengthening the strategic management and organizational capacity of the ASCE-LC**, the support activities were generally perceived as relevant and effective. For survey respondents, the development of a strategic plan for the ASCE-LC, the development of investigation and verification guides, the development of an updated manual of procedures for receiving, analysing and processing complaints, the IT and vehicle equipment provided, and the support for the development of a new national anti-corruption strategy were all important and useful components when building and strengthening the organizational structure of the ASCE-LC.

For each of the tools and guidance documents developed, the benefits are multiple. On the one hand, **guides and manuals are working tools that can be used by all (current and future) State Controllers**. As noted by a member of staff, “*Controllers who will be recruited later will have these tools when they start working; admittedly, it will sometimes be necessary to update certain manuals, but in any case, the support project helped develop these internal tools*”. On the other hand, interviews with the ASCE-LC staff also showed that the participation in the **development or updating of guides and manuals were important moments for jointly producing tools that are used internally**. In the words of a State Controller, “*it enables us to work with the same reference tools*”.

Finally, with regards to the **(3) strengthening of ASCE-LC’s communication on the fight against corruption**, including the capacity to coordinate the fight against corruption with partners and improve partners’ ability to raise awareness with the general public, the activities supported by the project have had a positive effect on the organization. **The development and validation of a communication plan enabled the implementation of structured, thought-through communication and awareness activities.**

Among the communication activities perceived as most useful to strengthen the visibility of the ASCE-LC, interviewees and survey respondents mentioned:

- Awareness and information campaigns with an understanding of the concept of corruption in a broad sense, including assimilated offences;
- Awareness campaigns about corruption and educational conferences, organised in collaboration with national CSOs (Réseau national de lutte anti-corruption (REN-LAC), Leadership Jeune pour la Paix et le Développement (LEJPAD) and Centre pour la Gouvernance Démocratique (CGD));
- Forum-theatres organized in rural areas about the fight against corruption and integrity in four national languages; and
- TV and radio broadcasts.

During the interviews, all respondents mentioned the significant investment made by the project in the communication, awareness-raising and dissemination of the law on corruption and related offences. The **efforts to diversify communication channels** meant that the message could be adapted to each audience, including populations in cities and rural areas (audio visual, radio, etc.). Finally, the materials developed for awareness-raising activities were translated into the four national and regional languages to increase accessibility.

#### *Different groups within the ASCE-LC benefited differently from the support*

As noted earlier, project participants reported that the PMU organized trainings and activities for *all* ASCE-LC staff, without specific targeting or prior analysis of the State Controllers’ skills and competences. A survey respondent noted, “*State Controllers have different profiles and functions within the organization, therefore we needed more targeted training for each specific trade/ profile*”. As such, **some State Controllers benefited from the trainings more than others**, and those with more advanced skills (e.g. in financial analysis or management and accounting) did not gain much from attending the training sessions.

Another group within the ASCE-LC that was **left out from benefiting from the project was the administrative and support staff**. Outside of the PMU, the support staff was not involved in the design of the project, nor considered as beneficiaries. As reported by a member of staff, “*project activities were centred on the professional staff (e.g. State Controllers) and the project forgot about the administrative staff that accompanies the State Controllers in their mission*”.

*Extent to which the ASCE-LC is now a stronger organisation, with solid systems and procedures in place and adequate staffing, that can deliver on state control and fighting corruption*

Based on the documentation review and data collection, our team found out that the ASCE-LC can be considered a **stronger organisation, with better systems and procedures in place compared to the situation in 2017** prior to the support project.

The trainings have built the capacities of State Controllers, which in turn has led to more professional reports written on investigation and auditing, but also a stronger monitoring and analysis of the financial statements of state companies<sup>25</sup>, and a better management of complaints received. As put by one of the State Controllers, “*our practices have improved because we have better and more in-depth knowledge of audit tools*”. Overall the ASCE-LC professional staff reports having a better mastery of audit, inquiry and investigation techniques. The guides developed during the support project are working tools for the institution, ensuring the continuity of mission of the ASCE-LC.

According to the State Controllers interviewed, there is a marked improvement in the preparation of reports (PV – *procès-verbaux*) and other administrative documents. This is supported by the **systematic acceptance of files sent to the Public Prosecutor’s Office**. A State Controller explained, “*before the training, the files that we sent to the Public Prosecutor’s Office were always rejected. We were asked to take up the essential elements, constituting the facts, to highlight them. Since this training, all our files are directly entrusted to a prosecutor*”. Another important effect linked to this training is the development of a stronger collaboration between the ASCE-LC, the Justice Department and the Court of Auditors.

Two State Controllers also referred to the gender trainings and how they enabled them to approach the issue of corruption and related offenses by paying attention to how they affect (or can affect) citizens based on gender. However, the ASCE-LC does not yet have a system to record and monitor complaints based on gender.

Finally, the project's support for improving the mobility of State Controllers by equipping them with vehicles has improved the ability of Controllers to deliver their mission. As noted by an interviewee, “*the professionalization of ASCE-LC requires that we are able to control spaces and services that are not only in the city of*

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<sup>25</sup> As explained by a State Controller, “*we often receive documents from different projects and state companies and always have to take ownership of the content, and be able to ask relevant questions. We did not all have the same ability to analyse financial statements [before the training]; now we participate with more confidence in the review sessions of state companies’ finances*”.

*Ouagadougou. There are 27 jurisdictions in the national territory; how could we approach them when we had an aging fleet?”.*

*Visibility of the ASCE-LC and emerging impacts on state control and fighting corruption*

It is important to note the significant investment made by the project in terms of awareness-raising, communication and the organization of events such as public conferences and radio and television broadcasts. According to interviewees and survey respondents, this component has significantly contributed to **increasing awareness and recognition of the role of the ASCE-LC** throughout the country.

As pointed out by a respondent, the results are still to come: *“time is required to produce perceptible effects, but an important result so far is the broadening of the understanding of the concept of corruption to include assimilated offences by the population [targeted by the various communication campaigns]”*. A State Controller also noted, *“through the occasional surveys that we have carried out, we have the impression that the phenomenon of corruption has increased in scale instead of decreasing despite the actions of the ASCE-LC. This apparent contradiction is in fact due to a broader knowledge of the field of corruption by citizens”*.

The increased visibility of the ASCE-LC is noticeable through the number of **complaints brought to the organization**. According to a member of staff, *“last week, as I was acting as interim CGEA (Deputy General State Controller), I received four complaints in five days. This is a sign that citizens of Burkina Faso no longer hesitate to seize the ASCE-LC”*.

Finally, according to the ASCE-LC, more in-depth and thorough investigations and a better collaboration with the Justice Department have led to the actual **sanction of some perpetrators of acts of corruption**, which in turn has enhanced the image of the ASCE-LC as an effective institution fulfilling its mission.

*Remaining challenges at the ASCE-LC*

The positive effects and improvements noticed during the support project can attest of the distance travelled by the ASCE-LC since 2017. However, these achievements, which contributed to the professionalization of ASCE-LC, should not hide a certain number of shortcomings and challenges remaining.

As mentioned earlier in this section, certain tools are still incomplete, and some planned activities could not be implemented due to low budget allocations and/or lack of available expertise. This means that there are still many **opportunities to enhance the professionalization of the ASCE-LC**.

Importantly, the ASCE-LC might need support to complete the development of the national strategy for the prevention and fight against corruption (i.e. organize regional and sectoral consultations, and hold a validation workshop). There is a need to carry out the training activities planned for the State Controllers that could not take place during the project (i.e. coaching on the analysis of public policies and on the application of the gender training), and also to develop survey guides for the Survey and Investigation department and operationalize the computerized system for monitoring legal actions. Some of these activities may take place in 2022 with EU and Swiss Cooperation funding.

According to the current version of the national anti-corruption strategy document<sup>26</sup>, the ASCE-LC staff remains insufficient, a factor that limits the achievement of objectives. In addition, the management and resourcing tools are perceived as being insufficient, and the support staff is not valued. The **upcoming recruitment of 20 new State Controllers** could be an opportunity to further strengthen the capacity of the organization.

*Extent to which an M&E system and learning plan were designed and operational for the duration of the project and used by the management team to inform decisions about implementation*

An M&E guide was developed and finalised in March 2019, a year after the start of the project. The guide is based on the results framework from the Project Proposal (2017) and aims to establish a common understanding of the results and indicators presented in the results framework. It is proposed that project stakeholders collect information and populate the indicators in the results framework in a participatory manner. The management of the M&E system is the responsibility of the PMU and the end-users are the review committee (*Comité de revue – CORE*), the Swedish Cooperation, the Ministry of Economy and Finances, the State Controllers, the project beneficiaries and the service providers.

While the M&E guide gives a detailed presentation of each monitoring/performance and results indicator (including tools for data collection and the roles and responsibilities of each project stakeholder in collecting data), the actual M&E system put in place appears to have focused on **monitoring implementation and capturing project progress at output level** (i.e. implementation of activities from the activity plan) **rather than reporting on outcomes and results**.

For instance, the narrative reports from the ASCE-LC (2018, 2019, 2020, 2021) describe the extent to which activities under the different components were carried out and completed between 2017 and 2021. However, there is **no mention or presentation of data at outcome level**, except in the 2020 annual report, which is the only report to

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<sup>26</sup> National anti-corruption strategy (September 2021)

include a section on the achievement of results at outcome level (*‘Niveau de réalisation des résultats développementaux’*).

Among other indicators, this section in the 2020 report discusses the level of progress made with regards to *‘Increased capacity in strategic management of ASCE-LC in the fight against corruption’* – however, most outcome-level indicators “are not available”<sup>27</sup> for a number of reasons cited below:

- *“The monitoring, evaluation and learning mechanism for the fight against corruption, currently being designed within the framework of the project, should make it possible to have, at the national level, specific and appropriate instruments for measuring the extent of the phenomenon [level of corruption in Burkina Faso]”*. (p. 16)
- *“For the satisfaction rate of ASCE-LC users, it is expected that it will be informed at the end of the project through a survey”*. (p. 16)
- *“Regarding the level of satisfaction with the requirements of organic law 082-2015/CNT of November 24, 2015, an assessment of the level of functioning of the ASCE-LC in accordance with said law is underway”*. (p. 17)
- *“For the rate of coverage of revenue and expenditure by audits, the target is 80% in 2020. At the moment, revenue [of the different ministries and institutions] is not audited by the ASCE-LC. [...] The indicator for now cannot be filled”*. (p. 17)
- *“As for the rate of perception of the population [on the visibility of ASCE-LC], it will have to be informed on the basis of an opinion survey at the end of the project”*. (p. 18)

Based on the interviews carried out during the evaluation, the lack of evidence and data collected for monitoring, evaluation and learning purposes can be explained by the **limited involvement of State Controllers**. According to the PMU, the Controllers have not always invested time in filling in the activity sheets. From the perspective of Controllers, the **timing of M&E activities was unclear and irregular**, which meant that they were often unable to provide the information they were asked for due to recall issues – when several months had passed since they took part in a training for instance.

Similarly, little evidence was collected about the effects of the trainings provided. Since no follow-up or feedback surveys were administered, it is difficult to assess the relevance and effectiveness of the capacity building activities implemented by the project.

In summary, **the operationalization of the M&E system** – despite the development of a detailed M&E guide – **has been limited to tracking the implementation of activities**. In the 2022 Completion Report, the PMU states that the reasons for this are

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<sup>27</sup> Annual report (2020)

“the absence of a logical framework during the design phase of the project, the lack of ownership of the results framework by project stakeholders during the implementation of the project, the absence of a baseline for certain indicators, and the lack of data overall”. Without a comprehensive and effective M&E system, the management team did not have relevant and adequate evidence to inform their decisions about the strategic direction of the project and its implementation.

## 4.5 EFFICIENCY

**Evaluation question(s):** To what extent has the intervention delivered, or is likely to deliver, results in an economic and timely way?

### *Financial management set-up*

According to the project proposal from 2017, the administrative and financial management of the project was ensured by the accounting manager of the project focal point at ASCE-LC. In addition to maintaining project accounts, the accounting manager was responsible for:

- the establishment of an accounting and management system for disbursements made by the Swedish Embassy;
- the management of the expenditures falling under the scope of the project and the annual budget;
- the maintenance of a dedicated account opened to receive project funds;
- the recording of project operations, the preparation of annual financial statements and the updating of all financial and accounting management documentation for the project; and
- the programming of annual audits, the transmission of audit reports to the State Controller and the Swedish Embassy, and the implementation of audit recommendations.

### *Comparison between the project proposal budget (2017) and actual disbursements (December 2021)*

This sub-section assesses the allocation of resources to the different objectives of the project for the period 2017 to 2021, establishing a comparison between the project proposal budget (2017) and actual disbursements as of December 2021 (based on the annual reports from the ASCE-LC to the Swedish Embassy (2018, 2019, 2020, 2021)).

**Table 4.** Project proposal budget (2017), in SEK

Component	2017	2018	2019	Total (by component)
<b>Development of tools</b>	1 717 769	2 493 243	117 342	<b>4 328 354</b> (33%)
<b>Training of staff</b>	200 460	2 396 565	3 930 171	<b>6 527 196</b> (50%)
<b>Communication</b>	96 155	633 814	1 128 610	<b>1 858 579</b>

				(14%)
<b>Project management, monitoring and evaluation</b>	50 359	138 090	129 403	<b>317 852</b> (3%)
<b>Total (by year)</b>	<b>2 064 743</b> (16%)	<b>5 661 712</b> (43%)	<b>5 305 526</b> (41%)	<b>13 031 981</b> (100%)

Source: Project proposal budget, 2017

**Table 5.** Actual disbursements (2017-2021), in SEK

Component	2017	2018	2019	2020	2021	Total (by component)
<b>The professionalization of ASCE-LC's control and anti-corruption missions is improved (development of tools, training of staff)</b>	n/a	46 448	595 881	2 521 745	2 917 712	<b>6 081 786</b> (63%)
<b>Increased prevention of corrupt practices and related offenses in Burkina Faso (communication)</b>	n/a	26 076	143 093	628 769	655 049	<b>1 452 987</b> (15%)
<b>Project management, monitoring and evaluation</b>	n/a	96 473	561 483	678 633	788 682	<b>2 125 271</b> (22%)
<b>Total (by year)</b>	n/a	<b>168 997</b> (2%)	<b>1 300 457</b> (13%)	<b>3 829 147</b> (40%)	<b>4 361 443</b> (45%)	<b>9 660 044</b> (100%)

Source: Annual reports from the ASCE-LC to the Swedish Embassy (2018, 2019, 2020, 2021)

### *Disbursement issues*

At first glance, the comparison between the two tables shows that the main challenge for the implementation of the project was related to **disbursement**. While the project proposal anticipated that project activities would amount to 16% of the total budget during the first year (2017), it seems that by the third year (2019), the ASCE-LC had only spent 15% of the total budget. The cumulative disbursements were also lower than budgeted by the end of the fifth year (2021), with a total of SEK 9 660 044 spent versus SEK 13 031 981 initially budgeted.

According to ASCE-LC annual reports, the slow start of project implementation was due to the delay in developing and approving the administrative, financial and

accounting procedures manual in 2018 and 2019. In addition, the **late appointment of key functions and personnel** (i.e. accountant, finance director, procurement officers) made it impossible to approve contracts for the various components during the first half of 2018. The executives of the project management unit only took their functions mid-2018, and the action plan was adopted half way through the year.

The difficulties within the Ministry of Finances and the **delay in receiving a registration number** for the support project in 2018 also made it difficult for service providers to register contracts – a situation that meant possible delays in payment for service providers, who therefore waited to register their contracts in order to start activities.

Efficiency was also affected in subsequent years by the **difficulty to secure the right service providers and competencies** for carrying out the project activities. On several occasions, it was not possible to contract a consultant due to the underestimation of costs for the activity in the budget. Several recruitment procedures were unsuccessful. For instance, the contracts relating to the drafting of the audit and internal control reference framework, the drafting of the human resources development plan and the training of the media in investigation techniques could not be carried out due to the lack of service providers.

Finally, the **lack of availability of State controllers due to a busy schedule** also meant that capacity building sessions could not take place as expected during the project (i.e. coaching of State controllers on public policy analysis, on gender-sensitive budgeting and on the management of complaints).

#### *High project management costs*

Another important finding relates to project management costs. According to Table 5, 22% of total funding went to covering PMU costs, including M&E costs. While the project proposal had fairly unrealistically budgeted only 3% of total funding for project management costs, 22% remains high compared to benchmarks in the field, which stand at about 15% for project management costs. It is unclear why project management costs represented such a high share of the project total budget, although one could argue that the delays and several extensions granted to the project led to increasing management costs that were not initially budgeted for in the 2017 (3-year-long) budget proposal. The Swedish embassy also indicated that the ASCE-LC did not follow the formal approval process for validating some of the administrative costs (e.g. per diem, accommodation and travel outside of Ouagadougou) as specified in the agreement between the ASCE-LC and the Swedish embassy.

#### *Allocation of resources across project objectives*

Apart from the high project management costs, it is interesting to note that the allocation of resources across the different components aligns fairly closely to the initial 2017 budget, with about two-thirds of the budget allocated to the development

of tools and capacity development of staff, while the budget allocated to the development of the ASCE-LC communication function stands at 15%.

However, the budget allocated for some activities during the project design phase appears to have been too low compared to actual costs. For example, the development of a framework for internal auditing was initially budgeted at SEK 505 745 and ended up costing SEK 1 631 435. **More involvement of the ASCE-LC staff in budgeting during the proposal stage would have been useful, rather than relying on an external consulting firm** (Yons Associate) to budget each activity in the project proposal. Alternatively, the ASCE-LC could have searched for additional funds to carry out activities with insufficient funding lines during the implementation of the project<sup>28</sup>.

*Extent to which decisions made about financial management reflected the lessons learned about implementation and helped increase efficiency*

It is clear that towards the end of 2019, the support project entered a phase of increased efficiency regarding its delivery. However, the late validation of the yearly plan in 2018, 2019 and 2020, and the involvement of two donors starting from 2019 (Sida and the EU; and Swiss Cooperation since 2020) meant that the timeframe to implement the plan was usually reduced to the second half of the year for three consecutive years. In 2020, the yearly plan was adopted earlier but had to be revised in August to adapt and respond to the Covid-19 pandemic. Finally, while the lack of availability of State Controllers to participate in trainings had been a challenge since the start of the project, it is only towards the end of 2020 that PMU staff managed to arrange training sessions in a way that accommodates for the busy schedule of State Controllers.

## 4.6 SUSTAINABILITY

**Evaluation question(s):** To what extent will the net benefits of the intervention continue, or are likely to continue?

*Extent to which new skills and practices have translated into actual, long-lasting institutional capacity changes<sup>29</sup>*

The **development of working tools** for the use of the professional staff and the **strengthening of internal expertise** are key elements of sustainability for the project achievements.

<sup>28</sup> This assumes that the funding agreement provides a possibility for co-financing.

<sup>29</sup> We understand 'organizational' to refer to the organization, its staff, their respective roles and functions, and their competences. We understand 'institutional' to refer to the institution, its statutes and its existence beyond its staff.

According to survey respondents and interviewees, training workshops accompanied by **coaching in the field** enabled a better appropriation of the content of trainings, which will likely help sustain the application of newly acquired skills among State Controllers. A good example is the coaching on risk and fraud management: the training, perceived as very useful, was structured as a series of coaching sessions spread over several months, with a focus on applying the knowledge acquired to specific cases. A few survey respondents reflected that “*short-term training does not allow a good appropriation of knowledge and know-how*”.

As noted earlier in this report, the PMU organized trainings and activities for *all* ASCE-LC staff, without specific targeting or prior analysis of the State Controllers’ skills and competences, meaning that some State Controllers benefited from the trainings more than others, and those with more advanced skills (e.g. in financial analysis or management and accounting) did not gain much from attending the training sessions. According to a survey respondent, “*personally, I think that State Controllers should be specialized in certain areas. Not everyone can do everything and do it well. We must tend internally towards specialization according to the skills of each other*”. The lack of specific targeting during the trainings failed to equip **certain groups of State Controllers with specialized skills**, leading to less benefits for these groups and a lack of capacity for the organisation overall.

There is also a question of what happened after the trainings: did participants use their newly-acquired skills to train or support others in the organization? It is unclear whether the project was set-up with the intention of **providing peer support** within the ASCE-LC, and whether this was encouraged across the staff. This could have supported the continuation of benefits from trainings.

*Structures and processes put in place to ensure a continuation of the benefits once the project ends*

From an institutional point of view, the management of the project by the administrative staff of the ASCE-LC had the advantage of **building staff experience with administrative, financial and accounting management**. These skills can be applied to future projects and more broadly, they have strengthened (and should continue to strengthen) the administrative structure and processes in place in the organisation.

**Institutional collaboration with civil society organizations** should also enable the ASCE-LC to sustain its achievements through further involvement of CSOs in awareness-raising activities. Memoranda of understanding have been signed with two CSOs (REN-LAC and LEJEPAD). Both organisations have strong roots in society and legitimacy with the populations they serve, and have been closely contributing to the development of the national strategy for the prevention and fight against corruption.

However, concerns have been voiced regarding the **institutional anchoring of the project within the ASCE-LC** and its potential impact on sustaining benefits. According to a respondent, *“apart from the heads of departments, the State Controllers tended to carry out project activities as activities besides their mission, and not really activities falling under their mission. In this sense, the institutional anchoring of the project involved ambiguities. For example, what is the reporting relationship between the Project Coordinator and the senior ASCE-LC managers? This is not defined anywhere; in fact, it was something like a non-hierarchical operation. This has created a situation of the project team existing next to the ASCE-LC, and not really in the ASCE-LC”* (emphasis added by the evaluation team). Without (1) proper communication with and involvement of the State Controllers<sup>30</sup>, (2) ownership of the project in the organisation, and (3) clarifications of the position of the PMU in the hierarchy, the ASCE-LC might not have the right structure in place to ensure a continuation of the benefits as the project ends.

Finally, the capacity of the ASCE-LC to access its **budgetary allocation** (the Organic Law 082-2015/CNT establishes that the budget allocated to the ASCE-LC cannot be less than 0.1% of the national budget) from the Government of Burkina Faso in the coming years will be crucial for the organisational development of the institution and its ability to sustain the benefits of the support project. According to a member of the ASCE-LC, *“the budgetary allocations of the State are still low compared to the needs of the ASCE-LC. We have sometimes received 200 million FCFA [ $< EUR 305,000$ ] for our operations budget. What can we do with such a budget without the support of financial partners [EU, Swedish Cooperation, WB, Swiss Cooperation, etc.]?”*<sup>31</sup>.

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<sup>30</sup> According to a member of the PMU, the limited involvement of the State Controllers in the strategic vision, design and implementation of the project activities was an active choice: *“This is a choice we made. State Controllers could not be called upon for certain strategic decisions given their relatively full agenda”*.

<sup>31</sup> The State budget was FCFA 2 300 billion in 2020, i.e. EUR 3.5 billion. The budget allocated to the ASCE-LC represented around 0,00008 % of the State budget.

# 5 Conclusions, lessons learned and recommendations

## 5.1 CONCLUSIONS

Many achievements have contributed to the professionalization of ASCE-LC since the start of the support project in 2017. These should not, however, hide a certain number of shortcomings: incompleteness of some tools, failure to carry out certain planned activities due to the low budget allocations and a slow bureaucratic structure, lack of appropriate data to support the implementation of the project, and the need for more targeted and specific training. The budget allocated by the State to the ASCE-LC also remains well below promises (0.00008% of the State budget instead of 0.1% according to the 2015 law), restricting the opportunity for further organizational and institutional development in the coming years.

Below we present the conclusions of this evaluation, organised by OECD-DAC criteria.

### *Relevance*

The **main challenges identified** in the Project Proposal (2017) emphasized that the ASCE-LC needed to increase its credibility vis-à-vis the citizens; strengthen and extend its communication on missions, areas of competence and files handled; address the lack of human resources tools, the absence of a monitoring and evaluation system and the absence of internal and external communication; develop and implement measures to protect citizens and controllers who are called upon to report cases of corruption; publish in-depth research on the phenomenon of corruption in the country; and ensure that the orientation council<sup>32</sup> works effectively.

By focusing on organizational needs, material needs (e.g. IT equipment), and the development of reference documents (e.g. guiding documents, orders, decrees, memorandum) and a communication strategy to support the ASCE-LC in its mission, **the different components of the support project responded to the needs identified.**

While members of the ASCE-LC staff were consulted in the design phase, it is not clear whether the ASCE-LC had an actual *influence* on the design of the project, since the

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<sup>32</sup> Comprising three representatives from the public sector from each branch of government, the public sector (chambers of commerce, the order of chartered accountants and the bar association) and civil society and media organizations.

project proposal was elaborated by an external consulting firm based on the consultations, and later presented to the ASCE-LC as “*a finished product, ready for implementation*”<sup>33</sup>.

For instance, **the different trades within the organization should have been more involved in the assessment of needs and in the design of activities**. The PMU organized trainings and activities for *all* ASCE-LC staff, without specific targeting or prior analysis of the State Controllers’ skills and competences. In addition, the activities were primarily geared towards building the capacity of the different professional bodies at the ASCE-LC. The **administrative and support staff** at the ASCE-LC was not involved enough in the design of the project, nor considered as beneficiaries, which was an important gap in the support project.

Finally, from the perspective of the Gender Results Effectiveness Scale (GRES), which ranks outcomes from gender negative/blind to gender transformative, the ASCE-LC support project can be assessed as *gender blind* in its design, moving progressively towards *gender targeted* and *gender responsive* during the second half of its implementation (2020 onwards).

### *Coherence*

Collaborating and strengthening the capacity of ASCE-LC partners was a central part of the support project. **Awareness-raising and prevention activities were entrusted to civil society organizations** (Réseau national de lutte anti-corruption (REN-LAC), Leadership Jeune pour la Paix et le Développement (LEJPAD)) through service provider agreements. In addition, several other organizations collaborated with the ASCE-LC as part of awareness-raising and prevention activities, for instance during ‘interpellation conferences’<sup>34</sup> or thematic conferences. As part of the elaboration of the next National Anti-Corruption Strategy, **civil society organizations** (REN-LAC, LEJPAD, CIFOEB, CGD, ODJ, etc.) **were involved in consultations and discussions** about the strategic aspects and opportunities for collaboration in the fight against corruption in Burkina Faso.

While there is ample evidence of the coordination that took place between civil society organizations working in the sector and the ASCE-LC support project, it is less clear whether the project had an influence on fostering collaboration between the ASCE-LC, the Court of Auditors and National Audit Office (IGF), and enhancing coordination with other government bodies. The draft regulatory texts for the **establishment of consultation frameworks** between the control bodies (ASCE-LC, Court of Auditors,

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<sup>33</sup> Interviewee, ASCE-LC staff.

<sup>34</sup> Conference days with strategic discussions on how to fight corruption and during which the main institutions in the country are invited to respond to the public demand for transparency and accountability.

IGF), the executive and the parliamentarians have been prepared and validated, but they are yet to be adopted.

### *Coordination*

Interventions funded by the different donors (Swedish Cooperation, EU, Swiss Cooperation) were very much harmonised. An *extended action plan* (Plan d'Action Elargi), adopted in 2019, brought together the financial contributions of the Swedish cooperation, the Delegation of the European Union, and the Swiss Cooperation Office in Burkina Faso<sup>35</sup>.

The extended action plan helped avoid duplication and supported a **better allocation of resources to support the institutional and organizational development** of the organization. The three different sources of funding reinforced each other in their common objective of strengthening the ASCE-LC.

By contrast, the Economic Governance and Citizen Participation Project (PGEPC) funded by the World Bank – that focused primarily on developing an electronic platform for declarations of interest and assets – was implemented outside of the extended action plan, and not necessarily integrated or embedded in the overall support to the ASCE-LC's organizational development.

### *Effectiveness*

**Strengthening the capabilities and skills of State Controllers in the exercise of their missions was perceived as the most important outcome** of the support project. Among the activities and trainings put in place to support State Controllers, the following have been reported as the most effective: coaching on risk and fraud management; training on the preparation and effective management of audits and controls; training on how to carry out the analysis of financial statements of state-owned companies; and training on the preparation of reports (PV – *procès-verbaux*) in line with the expectations of the Justice Department.

The challenge with strengthening the capabilities and skills of State Controllers has been the difficulty to take into account the **varied needs and skills levels across Controllers**.

In terms of strengthening the **strategic management and organizational capacity of the ASCE-LC**, the development of a strategic plan for the ASCE-LC, of investigation and verification guides, of an updated manual of procedures for receiving, analysing and processing complaints, but also the IT and vehicle equipment provided, and the

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<sup>35</sup> The project initially funded by the Swedish Embassy was expanded with the European Union external action agreement contract FED /2018/402-638 of June 27, 2019. The Swiss Cooperation Office also expressed its intention to contribute to the project, which is reflected in the 2019 extended action plan.

support for the development of a new national anti-corruption strategy were all important and useful components when building and strengthening the organizational structure of the ASCE-LC.

With regards to the strengthening of **ASCE-LC's communication on the fight against corruption**, the development and validation of a communication plan enabled the implementation of structured and targeted communication and awareness activities. Efforts to diversify communication channels meant that the message could be adapted to each audience, including populations in cities and rural areas.

In short, the ASCE-LC can be considered a stronger organisation, with better systems and procedures in place compared to the situation in 2017 prior to the support project. Trainings have built the capacities of State Controllers, which in turn has led to more professional reports written on investigation and auditing, but also a stronger monitoring and analysis of the financial statements of state companies, and a better management of complaints received. There is also now a **systematic acceptance of files sent to the Public Prosecutor's Office**.

The increased visibility of the ASCE-LC is noticeable through the number of **complaints brought to the organization**. In addition, more in-depth and thorough investigations and a better collaboration with the Justice Department have led to the actual **sanction of some perpetrators of acts of corruption**, which in turn has enhanced the image of the ASCE-LC as an effective institution fulfilling its mission.

Unfortunately, the M&E system put in place by the project focused on monitoring implementation and capturing project progress at output level (i.e. implementation of activities from the activity plan) rather than reporting on outcomes and results. Without a comprehensive and effective M&E system, the management team did not have relevant and adequate evidence to inform their decisions about the strategic direction of the project and its implementation.

### *Efficiency*

The slow start of project implementation was due to the delay in developing and approving the administrative, financial and accounting procedures manual in 2018 and 2019. In addition, the **late appointment of key functions and personnel** (i.e. accountant, finance director, procurement officers) made it impossible to approve contracts for the various components during the first half of 2018.

Efficiency was also affected in subsequent years by the **difficulty to secure the right service providers and competencies** for carrying out the project activities. This challenge was closely related to the fact that the budget allocated for some activities during the project design phase was too low compared to actual costs. More involvement of the ASCE-LC staff in budgeting during the proposal stage would have been useful, rather than relying on an external consulting firm (Yons Associate) to budget each activity in the project proposal.

Finally, the **lack of availability of State controllers due to a busy schedule** also meant that certain capacity building sessions could not take place as expected during the project.

### *Sustainability*

The **development of working tools** for the use of the professional staff and the **strengthening of internal expertise** are key elements of sustainability for the project achievements. Guides and manuals are working tools that can be used by all (current and future) State Controllers, and the newly-acquired capabilities and skills are applied by State Controllers in the exercise of their missions.

From an institutional point of view, the management of the project by the administrative staff of the ASCE-LC had the advantage of **building staff experience with administrative, financial and accounting management**. These skills can be applied to future projects and more broadly, they have strengthened (and should continue to strengthen) the administrative structure and processes in place in the organisation.

**Institutional collaboration with civil society organizations** should also enable the ASCE-LC to sustain its achievements through further involvement of CSOs in awareness-raising activities: memoranda of understanding have been signed with two CSOs (REN-LAC and LEJEPAD) which have been closely contributing to the development of the national strategy for the prevention and fight against corruption.

However, concerns have been voiced regarding the **institutional anchoring of the project within the ASCE-LC** and its potential impact on sustaining benefits. Without (1) proper communication with and involvement of the State Controllers, (2) ownership of the project in the organisation, and (3) clarifications of the position of the PMU in the hierarchy, the ASCE-LC might not have the right structure in place to ensure a continuation of the benefits as the project ends.

Finally, the capacity of the ASCE-LC to access its **budgetary allocation** (the Organic Law 082-2015/CNT establishes that the budget allocated to the ASCE-LC cannot be less than 0.1% of the national budget) from the Government of Burkina Faso in the coming years will be crucial for the organisational development of the institution and its ability to sustain the benefits of the support project. According to the current version of the national anti-corruption strategy document<sup>36</sup>, the ASCE-LC staff remains insufficient, a factor that limits the achievement of objectives. In addition, the management and resourcing tools are perceived as being insufficient, and the support staff is not valued. The **upcoming recruitment of 20 new State Controllers** could be an opportunity to further strengthen the capacity of the organization.

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<sup>36</sup> National anti-corruption strategy (September 2021)

## 5.2 LESSONS LEARNED

This section provides an overview of lessons that emerged from the evaluation findings.

Trainings accompanied by **coaching in the field** enabled a better appropriation of the content of trainings. A good example is the coaching on risk and fraud management: the training, perceived as very useful, was structured as a series of coaching sessions spread over several months, with a focus on applying the knowledge acquired to specific cases.

**Institutional collaboration with civil society organizations** helped the ASCE-LC achieve better visibility and stronger coordination of the efforts towards fighting corruption. Civil society organisations with strong roots in society and legitimacy with the populations they serve have been closely contributing to the development of the national strategy for the prevention and fight against corruption.

The lack of **institutional anchoring of the project within the ASCE-LC** was detrimental to the design and implementation of support activities, which will likely have a negative impact on the ability of the organisation to sustain benefits. Internal communication about the project and involvement of participants when assessing needs and opportunities are crucial elements of successful capacity building and organisational development activities.

Finally, **flexible budgeting** is important for planning purposes and enabling a better allocation of resources across activities – especially if some activities have been underbudgeted in the project proposal.

## 5.3 RECOMMENDATIONS

*For the ASCE-LC*

- 1) **Start by assessing the skills and expertise of staff members in each department**, and list the challenges and opportunities the organisation still faces after the previous project. Identify gaps and assess what is needed in terms of human and financial resources for the ASCE-LC to successfully implement its strategy plan for the coming period (2021-2025).
- 2) **The elaboration and implementation of a potential next phase of the project should involve each department and include support staff.** For instance, State Controllers could be involved in the development of terms of reference for service providers and ensure that the trainers are aware of the skill levels of workshop participants.
- 3) **Review the institutional anchoring of the project by entrusting the execution directly to the ASCE-LC** (and not the Ministry of Economics and Finance) **and organise internal project coordination in a way that State Controllers are involved**

**in carrying the project.** This could entail discussing the pros and cons of direct budgetary support within the departments, and embedding the PMU more closely to the departments within the ASCE-LC structure.

**4) Emphasize the training of State Controllers in specific areas to ensure more in-depth professionalisation and specialisation** in each area of expertise.

**5) Engage a discussion around the utility of the M&E system in its current form** and assess whether focusing on outcome level indicators could be relevant for informing decisions about the project, the organisation and its strategic direction.

*For Sida*

**1) Sida should consider funding another phase of organisational and institutional development support for the ASCE-LC.** The ASCE-LC needs support to complete the development of the national strategy for the prevention and fight against corruption (i.e. organize regional and sectoral consultations, and hold a validation workshop). There is a need to carry out the training activities planned for the State Controllers that could not take place during the project (i.e. coaching on the analysis of public policies and on the application of the gender training), and also to develop survey guides for the Survey and Investigation department and operationalize the computerized system for monitoring legal actions (if it has not been done yet). The upcoming recruitment of 20 new State Controllers could also be an opportunity to further strengthen the capacity of the organization as it expands.

**2) Further funding to the ASCE-LC should align with the organisation's strategic plan for the coming period (2021-2025).** The next support phase should reflect the vision and strategy of the organisation, and support the implementation of the strategic plan.

**3) The next funding phase should take into account the current security and political context,** and plan for possible future scenarios in collaboration with the ASCE-LC.

**4) Set up a more flexible budget to ensure that budget lines are not fixed and that the budget can be used flexibility to respond to needs.** This should be done in collaboration with the ASCE-LC and could involve additional support and training in adaptive planning for key personnel.

**5) Coordinate the next funding phase through an extended action plan** that supports the implementation of the ASCE-LC strategic plan (2021-2025). Discuss with other funders in the country how support can be coordinated and how to avoid duplication of activities.

# Annex 1 – Terms of Reference

## Terms of Reference for the Final Evaluation of the support contribution to Superior Authority of State Control – fighting against corruption in Burkina faso

Date: [May 05th, 2022]

### 1. General information

#### 1.1 Introduction

The general direction and overall objective of the development cooperation is formulated in the country and regional strategies, which are adopted by the Swedish government. A comprehensive cooperation agreement, usually covering 3-5 years, is signed between Sweden and the government of the partner country. Sweden is usually represented by Sida. Sida has delegated the implementation of the Swedish cooperation program to the Swedish Embassy in Ouagadougou. For each project or program, the parties sign a specific agreement defining the details of the project and the commitments of the partners.

Sida, as part of its 2018-2022 cooperation strategy for the development of Burkina Faso, has defined three main areas of intervention. Support through Axis 1 focuses on human rights, democracy, rule of law and gender equality. For axis 2, support is directed towards the Agriculture/Forestry/Environment and Water and Sanitation sectors and renewable energy. In each sector, Sida supports certain development projects or programs. Partners are generally the Government, state agencies or civil society. A third axis dealing with peace building has been integrated into this strategy to provide support to the security problem that the country has been facing since 2016.

In November 2017, the Government of Burkina Faso signed a Convention with the Kingdom of Sweden for the implementation of the Organizational Strengthening Project of the Superior Authority for State Control and the Fight against Corruption (ASCE-LC). It is within this framework that the ASCE-LC has received funding under Axis 1 of its 2018-2022 strategy, for the implementation of its Organizational Strengthening Project over the period from November 14, 2017 to June 30, 2020. This Project has been expanded with the arrival of the EU whose agreement runs from June 27, 2019 to June 30, 2021. To take into account the impact of Covid 19 on the activities of the Project, the Swedish cooperation has extended its funding until December 31, 2021 for the end of activities period and December 31, 2022 for the closing of agreement period of the Project. EU funding has been extended to November 27, 2022.

In accordance with the financing agreements for the implementation of this project, it is planned that at the end of the project implementation, a final external evaluation will be carried out to capitalize on the project experience and analyze the achievement of the expected results. To this end, the present terms of reference are set out to frame the scope of this mission

## 1.2 Evaluation object: Intervention to be evaluated

At the request of the Government of Burkina Faso, Sida agreed to fund institutional and organizational support for ASCE-LC. Prior to the implementation of this project an institutional assessment recommended a 12-month technical assistance to ASCE-LC to strengthen its project planning and management capacities. Started in November 2017 the ASCE-LC support project was scheduled to end in December 2019. Due to several factors, including the COVID-19 health crisis and the security crisis, the project has been postponed several times without any budget increase and is expected to end on December 31, 2021, with the agreements closing on December 31, 2022.

The objective of the project is "to fight against corruption by providing new tools and by organizing training oriented towards professionalization and by developing the communication function".

To achieve this overall objective, the Project was initially structured as three major components.

- The design and implementation of operational tools for human resources management and management tools for anti-corruption control;
- Professional training of newly recruited State Controllers in auditing and control, retraining of existing State Controllers in basic training on investigation and inquiry;
- The implementation of a communication strategy aimed at preventing corruption and increasing the visibility of the Superior State Control and Anti-Corruption Authority.

Since the adoption of the PAE (Plan d'actions Elargie – Wider Action Plan) in April 2019, the project has been reviewed according to the Results-Based Management (RBM) approach which has allowed the design of a new logical framework and a related performance measurement framework. Henceforth, the project is no longer presented in component format but in terms of one (01) ultimate outcome; two (02) intermediate outcomes and seven (07) immediate outcomes. The project intends to contribute to the achievement of the following ultimate outcome:

- "The level of corruption in Burkina Faso is reduced. Through the development of operational tools for the ASCE-LC, capacity building for the various professions and the development of the communication function, the project aims to contribute to reducing the level of corruption in Burkina Faso.

For the intermediates outcomes, the project was targeting to achieve the following results :

- The design and implementation of operational tools for human resources management and management tools for control and the fight against corruption ;
- The professional training of newly recruited State Controllers in audit and control, the retraining of State Controllers already in post in fundamental training on the themes of investigation and management of declarations of interest and assets ;
- The implementation of a communication strategy aimed at preventing corruption and increasing the visibility of the Supreme State Control and Anti-Corruption Authority.

For further information, the intervention proposal is attached as Annex D.

### 1.3 Evaluation rationale

Having been implemented from 2017 to 2021 including two no-cost extensions (i.e. without increase in budget), the ASCE-LC support project's current phase ended on December 31, 2021.

In accordance with the implementation modalities stated in the grant agreement, a final evaluation of the project and all its components, will be carried out to:

“Evaluate the results achieved at the intermediate and immediate level of the organizational and institutional strengthening of the ASCE-LC and its subsequent performance in the fight against corruption in Burkina Faso on the one hand, and on the other hand, identify the achievements and shortcomings in order to provide elements to orient a possible future intervention on the theme of the fight against corruption”.

This evaluation is a single final evaluation according to the OECD DAC criteria. There was no mid-term evaluation.

## 2. The assignment

### 2.1 Evaluation purpose: Intended use and intended users

The purpose of this evaluation is to conduct an end-of-phase evaluation, according to the OECD DAC standard and criteria, of the implementation of the project to support the Superior authority for state control in its fight against corruption, and the various components, particularly technical assistance, attached to this initiative.

It also aims, on the basis of the conclusions and recommendations, to lay the groundwork for ASCE-LC to formulate a new proposal in line with the objective to reduce corruption, in line with the Swedish cooperation strategy to support the efforts of actors in the fight against corruption in Burkina Faso..

The purpose or intended use of the evaluation is to:

- Highlight the organizational and institutional progress and achievements of the ASCE-LC through the project's support
- Assess the progress made in the fight against corruption through the organizational and institutional strengthening of the ASCE-LC To learn from what works well and less well.

The evaluation will:

- Provide lessons to ASCE-LC on the results achieved and the relevance of the approaches developed for the fight against corruption through the implementation of this project;
- Provide the Swedish Embassy and its partners with an input to upcoming discussions concerning the preparation of a possible new phase of intervention on support to the anti corruption authority;
- Help Swedish Embassy to assess progress of its portfolio of projects/programmes to inform strategic decision making.

The primary intended users of the evaluation are :

- The project management team of project support to ASCE-LC

- The Swedish Embassy in Burkina Faso

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Other stakeholders that should be kept informed about the evaluation include:

- The Ministry of Economics and Finances of Burkina Faso
- EU and Swiss Cooperation Office, all active and contributing donors in this project.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

## 2.2 Evaluation scope

The evaluation should cover the entire project implementation period including subsequent extension periods, from November 2017 to December 2021. It will also cover the components related to the technical assistance (TA) planned to accompany during 18 months of the implementation of the project. This TA, was provide by FCG Sweden through the contribution 11953 for ASCE-LC Burkina, and supported the institution in project financial and technical management.. Specific sub-contracts with ASCE-LC external partners will also be included in this evaluation..

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

## 2.3 Evaluation objective: Criteria and questions

The objectives of this end-of-project evaluation are, on the one hand, to assess the results achieved by the project in the fight against corruption through the organizational and institutional strengthening of the ASCE-LC and, on the other hand, to draw lessons for planning a more effective intervention in the fight against corruption in Burkina Faso. The suggested evaluation questions are:

### **Relevance: Is the intervention doing the right thing?**

- To what extent has the intervention objectives and design responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out ?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

### **Coherence: How well does the intervention fit?**

- How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?

### **Effectiveness: Is the intervention achieving its objectives?**

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E (Monitoring and Evaluation) system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

**Efficiency: How well are resources being used?**

- To what extent has the intervention delivered, or is likely to deliver, results in an economic and timely way?

**Sustainability: Will the benefits last?**

- To what extent will the net benefits of the intervention continue, or are likely to continue?

**Coordination**

- To what extent have the interventions of different actors particularly the donors been harmonised?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

## 2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. Given the situation with Covid-19 and security situation, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

## 2.5 Organisation of evaluation management

This evaluation is commissioned by the Embassy of Sweden in Burkina Faso. The intended users are the Embassy of Sweden in Burkina Faso and its partner the government of Burkina Faso represented by the ASCE-LC. The intended users of the evaluation form a steering group, which has contributed to and agreed on the ToR for this evaluation. The steering group is a decision-making body. It will approve the inception report and the final report of the evaluation. The steering group will participate in the start-up meeting of the evaluation, as well as in the debriefing/validation workshop where preliminary findings and conclusions are discussed. Two separate start-up meetings will be convened by the evaluator; one with the Embassy of Sweden and one with the full steering group.

## 2.6 Evaluation quality

All Embassy's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation<sup>2</sup>. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation<sup>3</sup> and the OECD/DAC Better Criteria for Better Evaluation<sup>4</sup>. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

## 2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. Given the situation with Covid-19, the time and work plan must allow flexibility in implementation. The evaluation shall be carried out **between the 23<sup>rd</sup> of May 2022 and the 6<sup>th</sup> of September 2022**. The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase. The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meetings in the week of [23 <sup>rd</sup> May, 2022 to 28 <sup>th</sup> may 2022]  Embassy of Sweden in Ouagadougou 24 <sup>th</sup> d may, 2022 Steering Group with ASCE, 26 <sup>th</sup> may 2022	[Head of Cooperation, Program officer, Controller] Steering group with ASCE-LC, Program officer	[28 <sup>th</sup> may 2022, 2 days ]
2. Draft inception report		Tentative [15 <sup>th</sup> june 2022 ]
3. Inception meeting [ASCE-LC ]	[Steering group with ASCE-LC, Program officer]	Tentative
4. Comments from intended users to evaluators (alternatively these may be sent to evaluators ahead of the inception meeting)	Tentative [24 <sup>th</sup> June	Tentative [24 <sup>th</sup> June
5. Data collection, analysis, report writing and quality assurance	Evaluators	[ 3 weeks]

6. Debriefing/validation workshop (meeting)	6. Debriefing/validation workshop (meeting)	6. Debriefing/validation workshop (meeting)
7. Draft evaluation report		Tentative [12th august 2022]
8. Comments from intended		Tentative [26th august 2022 ]
9. Final evaluation report		[6th september 2022]

**The inception report** will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and translated into French and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilization-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

**The final report** shall be written in English and translated into French and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilization-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the

methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The English report should be no more than 50 pages excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas".

## 2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies : **Evaluation of public institutions of state control, fight against corruption, French language proficiency, ...**

It is desirable that the evaluation team includes competencies in public policies.

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local evaluation consultants are included in the team, as they often have contextual knowledge that is of great value to the evaluation. In addition, and in a situation with Covid-19, the inclusion of local evaluators may also enhance the understanding of feasible ways to conduct the evaluation.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

## 2.9 Financial and human resources

The maximum budget amount available for the evaluation is **five hundred thousand (500 000) SEK**.

Invoicing and payment shall be managed according to the following: The Consultant may invoice a maximum of 40 % of the total amount after approval by the Embassy of the Inception Report and a maximum of 60 % after approval by Sida/Embassy of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is **Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou**. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou.

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou.

The evaluator will be required to arrange the logistics including any necessary security arrangements.

## 3. Annexes

### Annex A: List of key documentation

1. Financing agreement between Sweden and Burkina Faso to support ASCE-LC ;
2. Expanded Action Plan for ASCE-LC;
3. Administrative and Financial Procedures Manual for the ASCE-LC PRO;
4. Monitoring and Evaluation Manual;
5. Annual work plans from 2017 to 2021;
6. Narrative and financial reports from 2017 to 2021;
7. Annual audit reports from 2017 to 2021;
8. Training reports ;
9. Specific study reports;
10. End of project report.

### Annex B: Data sheet on the evaluation object

<b>Information on the evaluation object (i.e. intervention)</b>	
Title of the evaluation object	Final Evaluation of the support to ASCE-LC
ID no. in PLANIt	10953
Dox no./Archive case no.	
Activity period (if applicable)	October 2017 to march 2022
Agreed budget (if applicable)	15 millions SEK
Main sector	Other : Anti corruption
Name and type of implementing organisation	Superior Authority for State Control

Aid type	Grant
Swedish strategy	Burkina Faso 2018-2022

## Annex 2 – List of documents consulted

- ACSE-LC agreement and extensions with the Swedish Embassy
- Projet de Renforcement Organisationnel - ASCE.LC\_\_VF (24 Octobret 2017)
- ASCE-LC Annual Report ('Rapport annuel de l'ASCE-LC') 2018
- ASCE-LC Annual Report ('Rapport annuel de l'ASCE-LC') 2019
- Loi ASCE/LC (version définitive)
- Loi Portant Prévention Et Répression de La Corruption Au Burkina Faso (2015)
- Présentation sur la Réorganisation de l'ASCE en l'ASCE-LC : Comment les principes de Jarkata ont façonné la nouvelle institution, Luc Marius Ibriga (2017)
- ASCE-LC website
- REN-LAC Rapport 2020 sur l'état de la corruption
- Contracts and contract amendments with Yons Associates
- Contracts and contract amendments with FCG
- FCG mission report (Mission 1)
- FCG mission report (Mission 2)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2018)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2019)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2020)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2021)
- Financial reports from the ACSE-LC to the Swedish Embassy (2018)
- Financial reports from the ACSE-LC to the Swedish Embassy (2019)
- Financial reports from the ACSE-LC to the Swedish Embassy (2020)
- Financial reports from the ACSE-LC to the Swedish Embassy (2021)
- Final completion report from the ACSE-LC to the Swedish Embassy (2022)
- Audit reports for the support project (2018)
- Audit reports for the support project (2019)
- Audit reports for the support project (2020)
- Audit reports for the support project (2021)
- Meeting notes (compte rendus de réunion) from ASCE-LC team and partners
- Vision et priorités du CGE
- Stratégie nationale de prévention et de lutte contre la corruption et des infractions assimilées au Burkina Faso – Version provisoire (September 2021)
- Stratégie Genre de l'ASCE-LC (March 2021)
- Plan d'Action Genre (March 2021)
- Etude sur les risques de corruption dans le secteur de l'éducation (April 2021)
- Etude sur l'état de la corruption au sein de la douane du Burkina Faso (March 2020)
- Etude sur les risques de corruption dans le foncier (April 2021)
- Etude spécifique sur les risques de corruption dans le secteur des mines au Burkina Faso (April 2021)
- Etude spécifique sur les risques de corruption dans le secteur des transports au Burkina Faso (April 2021)

- Etude sur les risques de corruption dans le secteur de la santé (April 2021)
- Etude sur les risques de corruption dans les secteurs de la commande publique et de la police (April 2021)
- Évaluation de la mise en œuvre de la politique nationale de lutte contre la corruption et son plan d’actions (April 2021)
- Cadre logique du projet ASCE-LC révisé (no date)
- Loi organique N 082-2015/CNT
- ASCE-LC Plan Stratégique 2021-2025 (February 2021)
- Plan de communication de l'ASCE-LC
- Plan d'Action Elargi (2019)
- Manuel de Procédures ASCE-LC\_Aout 2018-final

## Annex 3 – Stakeholder analysis

During the inception phase, we identified key stakeholders and developed relations, along with designing the evaluation approach and data collection process. We define ‘stakeholders’ as **individuals or organizations that will be affected in some way by the outcome of the evaluation process or that are affected by the performance of the project**, or both.

When mapping stakeholders, our team asked the following questions:

- Have all primary (engaged and influential) and secondary (less engaged and less influential) stakeholders been identified?
- Have stakeholders' interests been identified?
- Have stakeholders' relationships with one another been identified?
- Has stakeholder participation in the evaluation been clarified?
- Have the evaluation objectives been reconciled with stakeholders' needs, interests, and priorities?

This information enabled our team to identify the stakeholders who were the main sources for the evaluation as well as the main recipients of evaluation findings and recommendations. The results of our *stakeholder mapping exercise* are presented below.

### *Funders/ donors*

- The Swedish Embassy in Burkina Faso
- Donors operating in the same space (EU, WB, Swiss Cooperation Office, UNODC, UNDP and Geneva Centre for Security Sector Governance (DCAF))

### *Implementers*

- The project management team of project support to ASCE-LC
- Project implementers (e.g. FCG Sweden, Yons Associates, independent consultants)

### *Project participants and beneficiaries*

- ASCE-LC staff
- The Ministry of Economics and Finances of Burkina Faso (MINEFID), Cour des Comptes and Inspection générale des finances (IGF)
- Citizens of Burkina Faso involved in ASCE-LC activities (e.g. populations reached through communication activities)

### *Government/ public actors*

- Government of Burkina Faso
- Other ministries and institutions involved in the fight against corruption (Inspections techniques des services des ministères (ITS); Inspection technique du

budget and inspection technique des impôts; Autorité nationale de lutte contre la fraude (ANLF); Cellule nationale de traitement des informations financières (CENTIF); Autorité de régulation de la commande publique (ARCOP))

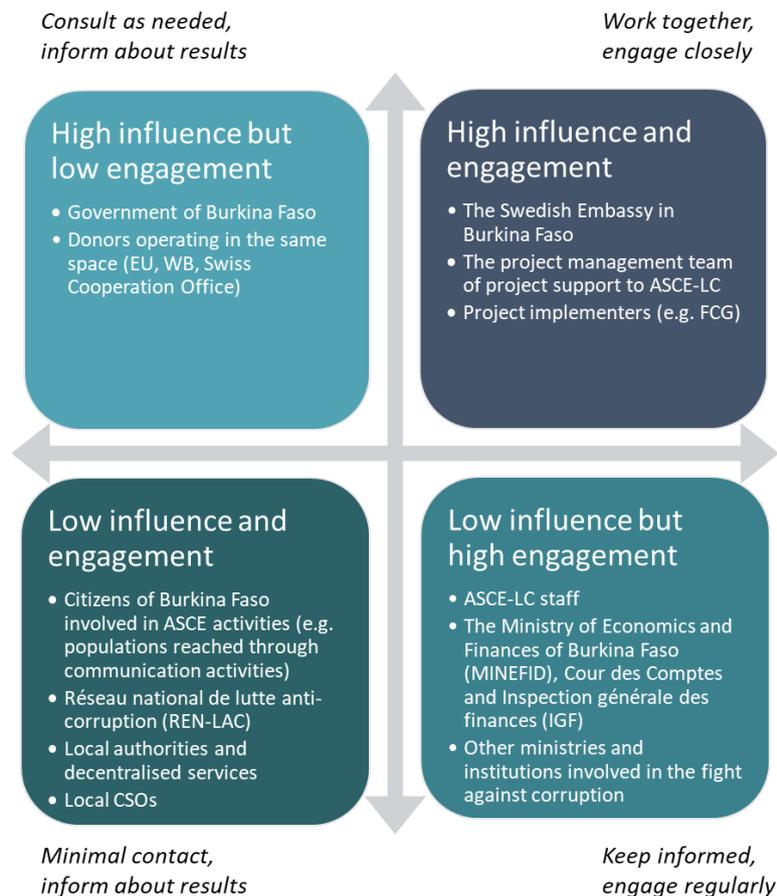
- Local authorities and decentralised services
- High level civil servants and politicians required to declare assets and conflicts of interests

*Civil society actors*

- Réseau national de lutte anti-corruption (REN-LAC)
- Chefferie traditionnelle du Burkina
- Religious leaders
- National and local CSOs

Following the *stakeholder mapping*, our team applied a *stakeholder analysis* approach (relationship analysis, participatory approach, conflict sensitivity approach, etc.) to better understand specific issues that each stakeholder will be able to discuss and offer their perspective about during the evaluation process. As a result, our team produced the following stakeholder map and engagement plan, designed to ensure a utilisation-focused evaluation:

**Figure 1.** Key stakeholders, their influence and their engagement in the evaluation process



## Annex 4 – Evaluation matrix

Evaluation questions	Indicators/ judgment criteria	Methods	Sources	Availability and reliability of data
<b>Relevance: Is the intervention doing the right thing?</b>				
<b>To what extent has the intervention objectives and design responded to beneficiaries’, Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out?</b>	Degree to which the assessment(s) carried out prior to designing the support activities with the ASCE-LC was comprehensive and rigorous	Document review	Document summarising the assessment carried out prior to designing the support activities with the ASCE-LC	Availability of data is good
	Extent to which the ACSE-LC, relevant partners, beneficiaries and the Government of Burkina Faso were involved in the design of the support	Stakeholders interviews	Project document (2017)	Reliability depends on the extent to which interview participants are truthful and non-biased in their answers
	Extent to which the support promoted a gendered approach	Online survey	Annual reports	
	Extent to which support activities were adapted to reflect evolving circumstances		Secondary data about corruption levels and the fight against corruption in Burkina Faso	

<b>Coherence: How well does the intervention fit?</b>				
<b>How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?</b>	<p>Degree to which other interventions in the country took place/ other actors supported state control and the fight against corruption</p> <p>Extent to which coordination existed between the support project and interventions with other actors in the sector</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>REN-LAC (documentation and interviews)</p> <p>Project document (2017)</p> <p>Secondary data about corruption levels and the fight against corruption in Burkina Faso</p> <p>Meeting notes from coordination meetings</p>	<p>Availability of data depends on the accessibility of stakeholders outside the ASCE</p> <p>Reliability is expected to be strong, especially where meeting notes are available and shared with the evaluation team</p>
<b>Coordination: How well does the intervention align with other donor support?</b>				
<b>To what extent have the interventions of different actors particularly the donors been harmonised?</b>	<p>Extent to which the several programmes funded by other donors (EU, WB, Swiss Cooperation) with similar objectives were implemented in a coordinated manner at the ASCE-LC</p> <p>Degree of overlap of activities between the different projects</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>Project document (2017)</p> <p>EU, WB, Swiss cooperation project documents</p> <p>Meeting notes from coordination meetings</p>	<p>Availability of data depends on the accessibility of stakeholders outside the ASCE</p> <p>Reliability is expected to be strong, especially where meeting notes are available and shared with the evaluation team</p>

	Extent to which the different projects reinforced each other in their common objective of strengthening the ASCE-LC			
<b>Effectiveness: Is the intervention achieving its objectives?</b>				
<b>To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?</b>	<p>Extent to which the core functions of the ASCE-LC were strengthened through the development of operational tools, capacity building for the various professions and the development of the communication function</p> <p>Degree to which each component contributed to the strengthening of the organisation</p> <p>Degree to which different groups within the ASCE-LC (function, gender, etc.) benefited differently from the support provided</p> <p>Extent to which the ASCE-LC is now a stronger organisation, with solid systems and procedures in place and adequate staffing, that can deliver on state control and fighting corruption</p>	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Project document (2017)</p> <p>Monitoring information from ASCE-LC M&amp;E set-up</p> <p>Annual reports</p> <p>Evaluation reports for each project activity (e.g. post training evaluations)</p> <p>Sex-disaggregated data from the online survey</p>	<p>Availability of data depends on quality of M&amp;E data and the extent to which the management team documented achievements and failures</p> <p>Reliability depends on the extent to which interview participants are truthful and non-biased in their answers (e.g. open about failure)</p> <p>Anonymity will enhance reliability of answers</p>
<b>Have the M&amp;E (Monitoring and Evaluation) system</b>	Extent to which an M&E system and learning plan were designed and operational for the duration of the project	Document review	Monitoring information from ASCE-LC M&E set-up	Availability of data depends on quality of M&E data and the extent to which the

<p><b>delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning? To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?</b></p> <p><i>Suggest to cover this question under the criterion of Effectiveness</i></p>	<p>Degree to which the project management team used the M&amp;E system and learning plan to inform its decisions about implementation</p> <p>Extent to which the management team was able to reflect on what was working well, what was working less well, and act upon it</p>	<p>Stakeholders interviews</p> <p>Online survey</p>	<p>Annual reports</p> <p>Documents summarising lessons learned and pivots regarding the design of the support</p>	<p>management team documented lessons learned</p> <p>Reliability depends on the extent to which interview participants are truthful and non-biased in their answers (e.g. open about failure)</p>
<p><b>Efficiency: How well are resources being used?</b></p>				
<p><b>To what extent has the intervention delivered, or is likely to deliver, results in</b></p>	<p>Extent to which the budget allocations by component were adequate vis-à-vis expected outputs</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>Project document (2017) and budget</p>	<p>Availability of data depends on the access and quality of financial reporting</p>

<p><b>an economic and timely way?</b></p>	<p>Degree to which the delivery of activities was timely</p> <p>Extent to which decisions made about financial management reflected the lessons learned about implementation and helped enhanced the efficiency of project delivery</p>		<p>Monitoring information from ASCE-LC M&amp;E set-up</p> <p>Annual reports</p> <p>Financial reports</p>	<p>Reliability depends on the documentation of financial choices made by the implementation team, from the original budget plan to the changes made during implementation and to the final financial report</p>
<p><b>Sustainability: Will the benefits last?</b></p>				
<p><b>To what extent will the net benefits of the intervention continue, or are likely to continue?</b></p>	<p>Existence of a sustainability plan and governance structure with adequate financial resources</p> <p>Extent to which the structures and processes put in place by the project can ensure a continuation of the activities and benefits once the project ends</p> <p>Extent to which new skills and practices have translated into actual, long-lasting institutional capacity changes</p>	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Project document (2017)</p> <p>Annual reports</p> <p>Sustainability plan</p>	<p>Availability of data depends on the existence of a sustainability plan</p> <p>Reliability can be enhanced by triangulating the information presented in the sustainability plan with the evidence collected during interviews with the project team</p>

## Annex 5 – List of interviewees

	<b>Nom et prénom</b>	<b>Qualité</b>
1	Respondent	Contrôleur général d'Etat (CGE)
2	Respondent	Contrôleur général d'Etat adjoint (CGEA)
3	Respondent	Secrétaire général (SG)
4	Respondent	Contrôleur d'Etat, Chef de département (DIP)
5	Respondent	Contrôleur d'Etat, Chef de département (DAC)
6	Respondent	Contrôleur d'Etat, Chef de département (DSRAJ)
7	Respondent	Contrôleur d'Etat (DSNPLC)
8	Respondent	Contrôleur d'Etat (DAC)
9	Respondent	Contrôleur d'Etat (DAC)
10	Respondent	Contrôleur d'Etat (DAC)
11	Respondent	Contrôleur d'Etat (DAC)
12	Respondent	Contrôleur d'Etat (DSRAJ)
13	Respondent	Contrôleur d'Etat (DEI)
14	Respondent	Magistrat (Conseiller CGE)
15	Respondent	Coordonnateur du PRO/ASCE-LC (UGP)
16	Respondent	Chargé du suivi évaluation PRO/ASCE-LC (UGP)
17	Respondent	Responsable commande publique (UGP/PRO-ASCE-LC)
18	Respondent	Directeur de la communication et de la presse (UGP/PRO-ASCE-LC)
19	Respondent	Directeur des systèmes d'information et de la documentation
20	Respondent	Présidente de l'association LEJIPAD
21	Respondent	Direction Générale de l'Economie et de la Planification (DGEP), Ministère des Finances
22	Respondent	Coordinateur du projet à Diakonia (financement de la Coopération Suisse)

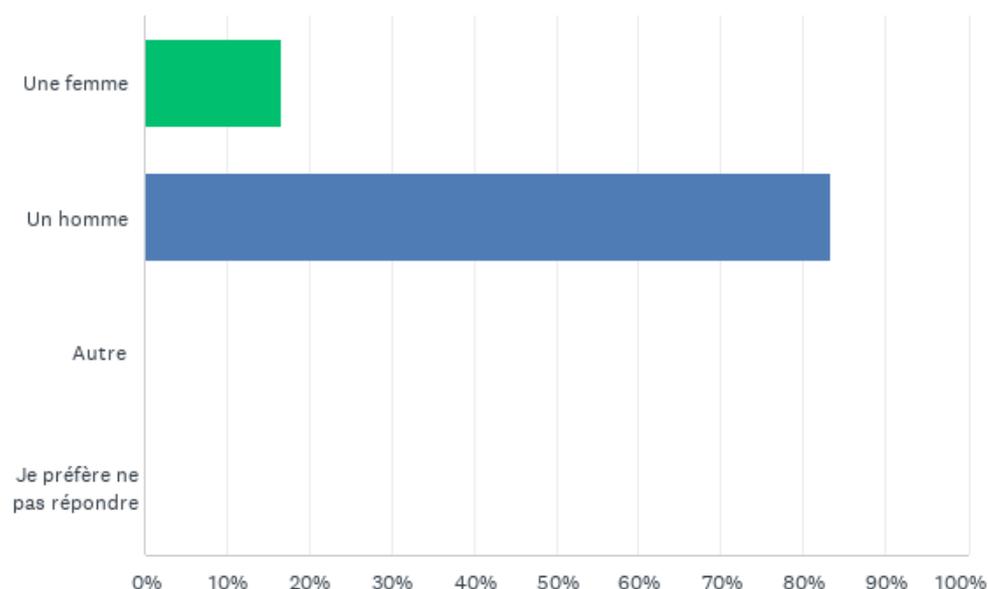
23	Respondent	Expert travaillant pour FCG Sweden dans le cadre du soutien à l'ASCE-LC
24	Respondent	Ancien Contrôleur général d'Etat (CGE)

## Annex 6 – Survey report

Survey results were triangulated with findings from other sources of information such as individual interviews and secondary data. The response rate was 36%, and the total number of responses is 12 (out of 33 potential respondents).

The graphs below are presented in the language of the survey, French.

*Question. Êtes-vous...*



*Question. Comment définiriez-vous les besoins de l'ASCE-LC en terme de renforcement organisationnel avant que le projet ne commence en 2017?*

- Formations techniques
- Logistique
- Matériel
- Financiers

Meilleure condition de travail

Renforcement des capacités fonctionnelle, technique, matérielle et logistique

Je ne sais pas

Formation en Audit et contrôle, en investigation, en déclaration d'intérêt et de patrimoine, en identification des fautes de gestion, en analyse des états financiers des sociétés d'Etat...

Au regard des réformes introduites par la loi 2015 portant organisation et fonctionnement de l'ASCE-LC et la loi 004 anti-corruption, les missions de l'ASCE-LC ont été démultipliées rendant hautement nécessaire une bonne organisation de la structure pour faire face à ces défis multiples. Or l'organisation au regard de sa jeunesse ne disposait pas des outils nécessaires pour faire face à toutes les attentes. Nous avons d'un côté, une très faible capacité organisation et de l'autre des attentes nombreuses et pressantes.

Besoins organisationnels,  
Besoins en équipements informatiques  
Besoins en documents de référence (arrêtés, décrets, note de service, etc.)"

Les besoins étaient énormes

Besoin en formation  
besoin en matériel

Les besoins de l'ASCE-LC ont été définis de façon participative mais pas à tous les niveaux car des plaintes ont parfois surgi certains évoquant le fait qu'ils n'ont pas été concerté

Très faible

Améliorer la structuration de l'institution conformément à la loi organique 082 (recrutement de tous les profils métier, prise en charge des nouvelles missions, effectivité de tous les textes d'application de la loi 082)

**Question.** *Parmi les activités auxquelles vous avez participé, lesquelles ont le mieux répondu à vos besoins et à ceux de l'organisation? Veuillez lister les trois activités les plus importantes selon vous.*

Toutes les formations liées aux enquêtes et investigations, aux risques et fraudes.

- acquisition de véhicules à quatre roues
- formation sur l'utilisation de logiciel Excel
- formation sur la planification

1. Elaboration du plan stratégique 2021-2025 et de son plan d'actions

2. Elaboration du manuel de procédures d'enquête et d'investigation et la formation des contrôleurs d'Etat audit manuel
3. Sensibilisation sur la corruption à travers les outils de communication, les conférences sur la corruption au profit des groupes cibles, les débats audio-visuels et les pièces théâtrales en langues locales.

J'ai reçu une seule formation sur Excel à travers le projet.

Analyse des états financiers  
 Identification des fautes de gestion  
 Formation en Excel

1. Formation Excel et gestion des bases de données
2. Techniques d'élaboration des PV d'enquête
3. Exploitation des états financiers

Elaboration du manuel de procédures de gestion des déclaration d'intérêt et de patrimoine ;  
 Participation au voyage d'étude au Rwanda.

Méthodologie d'élaboration de procès-verbal d'audition et de rapport type d'enquête et d'investigation, élaboration du guide des techniques spéciales d'enquête, la budgétisation basé sur le genre formation en techniques d'enquêtes et d'investigation

- élaboration d'un manuel de procédure métier de gestion de la plateforme de déclaration d'intérêt et de patrimoines
- formation sur la communication interpersonnelle
- élaboration du plan stratégique de l'ASCE-LC

Renforcement des capacités, appui institutionnels en matériels et équipements, appuis organisationnels

Élaboration du plan stratégique  
 Acquisition de véhicules et de mallettes  
 Ateliers de planification

**Question.** Parmi les activités suivantes, lesquelles ont-été les plus utiles pour renforcer vos capacités individuelles? Merci de bien vouloir répondre pour chaque ligne du tableau. Si vous n'avez pas participé à l'activité, veuillez cocher 'non applicable'.

## ANNEX 6 – SURVEY REPORT

	TRÈS UTILE - J'APPLIQUE DORÉNAVANT LES CONNAISSANCES ACQUISES DANS MON TRAVAIL	ASSEZ UTILE - J'AI BESOIN DE SOUTIEN SUPPLÉMENTAIRE POUR UTILISER LES CONNAISSANCES DANS MON TRAVAIL	PEU UTILE - JE N'UTILISE PAS LES CONNAISSANCES ACQUISES CAR INADAPTÉES À MON TRAVAIL	NON APPLICABLE/ NE SAIT PAS	TOTAL
Ateliers de formation approfondie en gestion des bases de données et en logiciel bureautique Excel	33.33% 4	25.00% 3	8.33% 1	33.33% 4	12
Sessions de formation en management des services en communication interpersonnelle et avec les médias	16.67% 2	16.67% 2	8.33% 1	58.33% 7	12
Sessions de formation en gestion des équipes et leadership	16.67% 2	25.00% 3	0.00% 0	58.33% 7	12
Voyages d'étude auprès d'organisations similaires dans les pays de la sous-région	50.00% 6	0.00% 0	0.00% 0	50.00% 6	12
Sessions de formations sur la gestion des risques et de la fraude	41.67% 5	8.33% 1	0.00% 0	50.00% 6	12
Sessions de formation sur la gestion des plaintes et des dénonciations	25.00% 3	8.33% 1	0.00% 0	66.67% 8	12
Sessions de formation sur la méthodologie d'élaboration des procès-verbaux d'audition d'enquête et des techniques de rédaction de rapport type	50.00% 6	0.00% 0	0.00% 0	50.00% 6	12
Sessions de formation sur l'analyse approfondie des états financiers des sociétés d'Etat	50.00% 6	16.67% 2	0.00% 0	33.33% 4	12
Sessions de formation sur l'analyse sexo-spécifique des budgets	25.00% 3	25.00% 3	16.67% 2	33.33% 4	12
Coaching sur l'application des formations budgétisation selon le genre	16.67% 2	0.00% 0	8.33% 1	75.00% 9	12

**Question.** Parmi les activités suivantes, lesquelles ont-été les plus utiles pour renforcer la structure organisationnelle et les capacités de l'ASCE? Merci de bien vouloir répondre pour chaque ligne du tableau.

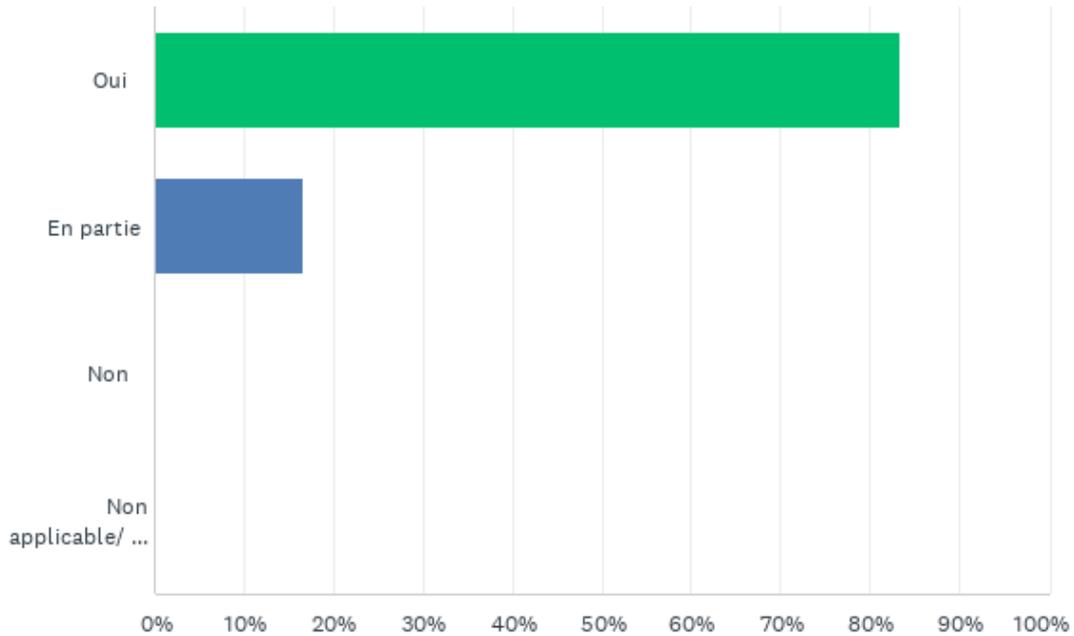
	TRÈS UTILE - CES STRATÉGIES/ Outils/ ÉQUIPEMENTS ONT FORTEMENT RENFORCÉ L'ORGANISATION	ASSEZ UTILE - CES STRATÉGIES/ Outils/ ÉQUIPEMENTS ONT RENFORCÉ L'ORGANISATION EN PARTIE	PEU UTILE - CES STRATÉGIES/ Outils/ ÉQUIPEMENTS N'ONT PAS RENFORCÉ L'ORGANISATION	NON APPLICABLE/ NE SAIT PAS	TOTAL
Développement d'un plan stratégique pour l'ASCE-LC à l'horizon 2025	58.33% 7	8.33% 1	16.67% 2	16.67% 2	12
Mise en place d'un système de suivi-évaluation et de capitalisation de la lutte contre la corruption	33.33% 4	25.00% 3	16.67% 2	25.00% 3	12
Soutien au développement d'une nouvelle stratégie nationale de lutte contre la corruption	41.67% 5	16.67% 2	8.33% 1	33.33% 4	12
Développement de guides d'enquête et de vérification	58.33% 7	25.00% 3	0.00% 0	16.67% 2	12
Mise en place d'une cellule genre	8.33% 1	33.33% 4	16.67% 2	41.67% 5	12
Développement d'un document de politique genre de l'ASCE-LC	8.33% 1	33.33% 4	8.33% 1	50.00% 6	12
Développement d'un manuel actualisé de procédures de réception, d'analyse et de traitement des dénonciations et d'un tableau de bord des plaintes et des dénonciations	50.00% 6	25.00% 3	0.00% 0	25.00% 3	12
Développement d'un système informatisé de suivi de la mise en œuvre des recommandations et des actions en justice	33.33% 4	25.00% 3	16.67% 2	25.00% 3	12

Développement d'un manuel de procédures et d'un tableau de bord intégrant l'informatisation en matière de déclarations d'intérêt et de patrimoine	50.00% 6	25.00% 3	8.33% 1	16.67% 2	12
Développement et mise en oeuvre d'outils de formulation et de contrôle de budget intégrant le genre	16.67% 2	41.67% 5	0.00% 0	41.67% 5	12
Renforcement du parc automobile	75.00% 9	8.33% 1	0.00% 0	16.67% 2	12
Équipement en logiciel de bases de données et en matériel spécifique d'enquête et d'investigation	50.00% 6	16.67% 2	0.00% 0	33.33% 4	12

**Question.** Parmi les activités suivantes, lesquelles ont-été les plus utiles pour renforcer la visibilité et l'action de l'ASCE? Merci de bien vouloir répondre pour chaque ligne du tableau.

	TRÈS UTILE - CES ACTIVITÉS ONT FORTEMENT RENFORCÉ LA VISIBILITÉ DE L'ASCE- LC	ASSEZ UTILE - CES ACTIVITÉS ONT EN PARTIE RENFORCÉ LA VISIBILITÉ DE L'ASCE- LC	PEU UTILE - CES ACTIVITÉS N'ONT PAS RENFORCÉ LA VISIBILITÉ DE L'ASCE- LC	NON APPLICABLE/ NE SAIT PAS	TOTAL
Organisation de campagnes régionales de sensibilisation sur la loi anti-corruption	66.67% 8	16.67% 2	0.00% 0	16.67% 2	12
Organisation de conférences éducatives sur la corruption	50.00% 6	33.33% 4	0.00% 0	16.67% 2	12
Formation des médias aux techniques d'investigation	33.33% 4	25.00% 3	0.00% 0	41.67% 5	12
Organisation de concertations entre les trois organes de contrôle (ASCE-LC, Cour des Comptes, IGF)	33.33% 4	25.00% 3	8.33% 1	33.33% 4	12
Soutien à l'organisation de journées d'interpellation sur la lutte contre la corruption par la société civile	33.33% 4	41.67% 5	0.00% 0	25.00% 3	12

*Question. D'après vous, le projet a-t-il contribué à communiquer sur les pratiques de corruption et augmenter la visibilité de l'ASCE?*



### Commentaires

Les campagnes de sensibilisation, les déclarations d'intérêt et de patrimoine ... ont eu des effets positifs sur la visibilité de l'ASCE-LC

L'institution est beaucoup plus connue, les rapports de l'institution avec la justice s'est nettement améliorée, nos dossiers aboutissent en justice et beaucoup de condamnations sont constatées beaucoup plus qu'au passé

Accroissement de la capacité de mobilité et de mobilisation, organisation, du budget, amélioration des outils de travail et de coopération

Forte mobilisation lors des campagnes de sensibilisation les populations dénoncent de plus les pratiques de corruption

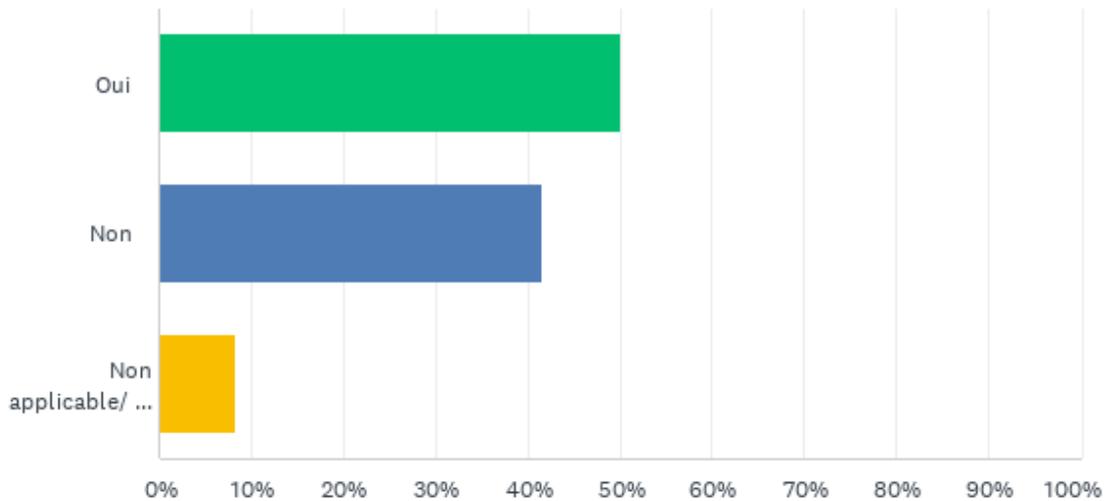
A travers les missions de sensibilisation effectuées, la formation des journalistes d'investigation

D'abord le renforcement des capacités des ressources humaines (métier et support) ensuite l'élaboration d'un plan stratégique qui a permis à l'ASCE-LC d'avoir une vision et les outils qui vont avec et enfin le renforcement du parc automobile

Les outils développés pour les sensibilisations ont été adaptés aux différents groupes sociaux et certains sont traduits en langues nationales

Les enquêtes et investigations ont permis de sanctionner certains auteurs d'actes de corruption, ce qui a rehaussé l'image de l'ASCE-LC

**Question.** *Pensez-vous que les ateliers de formation ont contribué à la professionnalisation de l'ASCE-LC dans son ensemble, et pas seulement au développement des compétences de quelques individus uniquement?*



#### Commentaires

Toutes les missions menées suivent des procédures qu'appliquent l'ensemble du personnel par rapport à son unité

La maîtrise de l'outil informatique

Les ateliers de formations sur certaines thématiques doivent s'accompagner d'un coaching sur le terrain afin de permettre une bonne appropriation du contenu de la formation

Le projet n'a pris en compte que le personnel métier, il a fait très peu d'activités pour le personnel d'appui

Plutôt mitigé, le corps métier n'était pas fortement impliquée si bien que la définition de certains besoins leur échappait. Dans l'architecture du projet, il aurait fallu un organe ou une instance pour accroître la participation du corps métier.

L'ensemble du personnel n'a pas bénéficié de formation. Une structuration tenant compte des besoins de chaque entité aurait été utile.

Dans l'ensemble, chaque département a reçu au moins une formation par rapport à son domaine d'intervention.

Aujourd'hui l'ASCE-LC est capable de produire ses procès-verbaux d'enquête pour le procureur du Faso ce qui n'était pas le cas avant c'est un exemple parmi d'autres

Appropriation des outils des travail d'audit et contrôle, enquêtes et investigation, ainsi que des déclaration d'intérêt et de patrimoine

***Question.** D'après vous, quels facteurs (internes ou externes au projet) ont été déterminants dans le déroulement du projet et l'atteinte des résultats?*

Les facteurs sont liés aux conclusions abouties par le personnel à travers les compétences acquises lors des formations financées par la Suède.

L'implication de l'ASCE-LC dans le projet et l'accompagnement du partenaire technique et financier (Suède)

En termes de performance, l'engagement du directoire de l'ASCE-LC pour la réussite du PRO/ASCE-LC. En termes de contre-performance, le contexte sanitaire et sécuritaire ainsi que le dispositif de coordination du projet.

Je ne sais pas

Le manque d'information sur le projet à l'endroit du personnel de l'ASCE-LC. Le personnel n'est pas directement impliqué dans la gestion du projet.

Facteurs internes :

La communication autour du projet pour informer et susciter l'adhésion des acteurs

Facteurs externes :

Les fortes attentes de l'opinion en termes de devoir d'exemplarité de l'ASCE-LC

- Internes : détermination et implication des supérieurs hiérarchiques de l'ASCE-LC, la mise en place du suivi évaluation interne, etc.

- Externes : l'attente et l'implication de la population, les partenaires, le suivi des partenaires techniques et financiers, etc.

La disponibilité des acteurs

L'implication personnel du CGE

L'attachement du personnel en particulier les CE

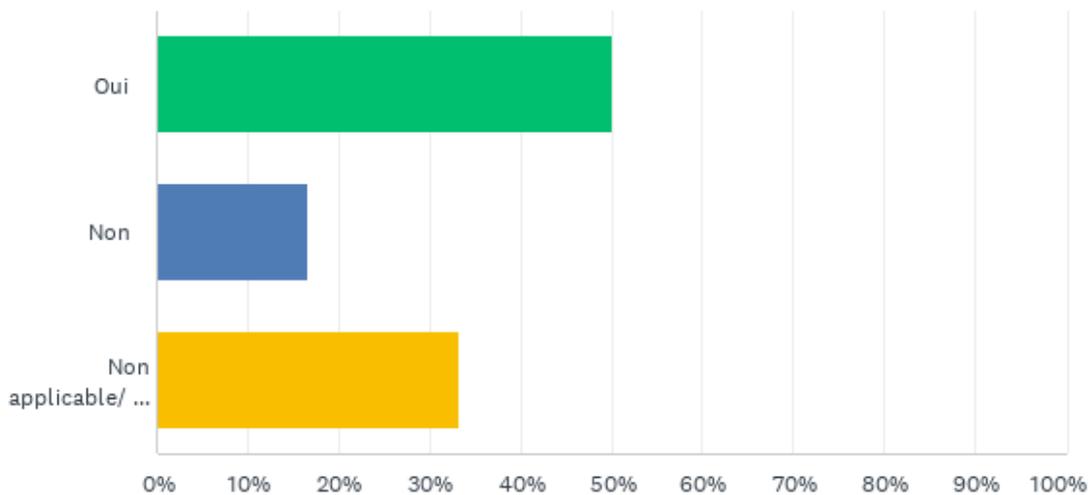
L'effort de se conformer aux besoins des bénéficiaire a été déterminant pour moi

Engagement des responsables, organisation, suivi-évaluation et évaluations externe du projet

L'engagement des premiers responsables

La crise sanitaire et sécuritaire

**Question.** À votre connaissance, est-ce que les activités proposées dans le cadre du projet ont été adaptées pour mieux répondre aux besoins lorsque le contexte a changé?



### Commentaires

Par les formations: Les procédures en matière du pénal sont mieux comprises et adaptées lors des investigations menées.

La possibilité d'ajouter des activités non inscrit à la base

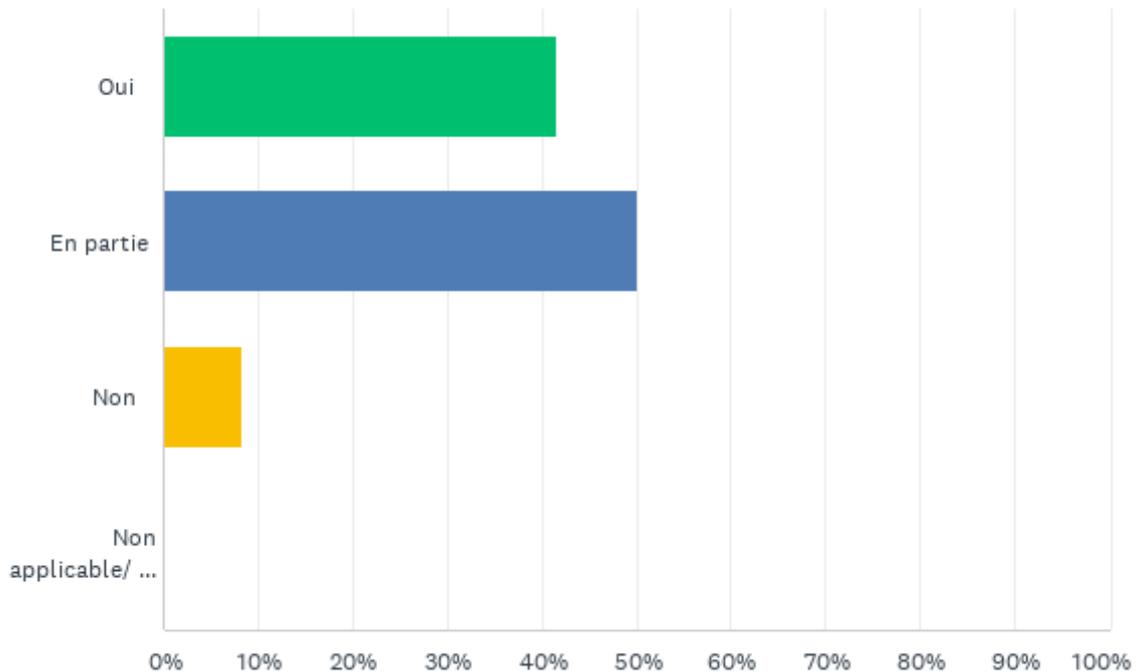
On aurait pu insérer des clauses de flexibilité au sujet de l'unité de gestion afin de l'adapter pour plus de résultat. A l'avenir, le recrutement d'un coordonnateur avec des indicateurs précis de performance permettra à ce dernier d'insuffler une dynamique dans la conduite des activités.

Les activités auraient pu être mieux adaptées si on associait le personnel de l'ASCE-LC à la définition des expressions des besoins de formation et aux différents types d'activité à mener

Les activités auraient pu être revues et adaptées aux besoins nouveaux du nouveau contexte et prendre en compte les évolutions et autres.

Des formations ont eu lieu en ligne ou ont été assurées par les pairs, des réaménagements et prorogations ont été effectués

**Question.** D'après vous, les résultats obtenus avec ce projet sont-ils pérennes/ vont-ils subsister au-delà du projet?



### Commentaires

Les connaissances acquises lors des formations sont utilisées quotidiennement. Il faudrait simplement organiser des formations continues s'il y a une évolution dans un domaine donné.

Nous avons capitalisé beaucoup

Les formations doivent être suivies de coaching sur le terrain, de sorte à définitivement fixer les Contrôleurs d'Etat sur les pratiques d'audit et d'investigations

Dans la mesure où le projet a mis l'accent sur la formation de l'homme et les capacités organisationnelles de l'ASCE-LC

Faire le suivi des acquis du projet en interne. Trouver les moyens pour actualiser certains acquis rentrant dans le cadre de l'organisation de l'ASCE-LC.

Les guides et les documents élaborés et les connaissances acquises et mise en œuvre

Les résultats sont utilisés dans nos activités quotidiennes par exemple les outils tels le plan stratégique, les manuels

La plupart des activités sont métiers donc une appropriation totale. Il en est de même pour l'organisation et les outils de pilotage. la coordination devra être faite par le métier et non une personne séparée.

Une évaluation de l'impact des formations reçues est nécessaire. Application des formations et implémentation des bonnes pratiques acquises lors des voyages nécessaire.

**Question.** *Dans l'éventualité d'un futur projet de renforcement, quel type de soutien et quelles activités seraient les plus utiles pour l'ASCE-LC d'après vous, en prenant en compte le contexte actuel?*

Soutien financier pour:

- Formations
- acquisitions du matériel spécifique pour les enquêtes
- renforcement de la sécurité individuelle et du lieu de travail

Mettre l'accent sur les sondages de l'opinion publique et faciliter les actes de dénonciation ; mettre les outils adéquats pour le personnel.

1. Elaboration du manuel du guide d'évaluation des politiques publiques et des programmes budgétaires, formation et coaching
2. Formation sur les flux financiers illicites assorties de partage d'expérience avec d'autres ILC
3. Elaboration du manuel sur le contrôle des déclarations d'intérêt et de patrimoine, formation et coaching
4. Elaboration du manuel sur les Investigations numériques, formation et coaching
5. Elaboration du manuel de contrôle des commandes publiques, formation et coaching
6. Doter l'ASCE-LC d'un laboratoire forensic.

Prendre en compte le besoin de former tout le personnel, ne pas cibler un groupe de personnel.

Mettre l'accent sur la formation des contrôleurs d'Etat dans les domaines spécifiques et bien pointus. Il faut que dans certaines domaines la structure dispose à l'interne des compétences indispensables. Les formations de courte durée ne permettent pas une bonne appropriation du savoir et du savoir-faire. Personnellement, je pense que les contrôleurs d'Etat doivent être spécialisés dans certains domaines. Tout le monde ne peut tout faire et bien faire. Nous devons tendre à l'interne vers la spécialisation en fonction des compétences des uns et des autres.

Le domaine d'intervention du projet est pertinent c'est à dire le renforcement des compétences des ressources humaines et les capacités organisationnelles de L'ASCE-LC. Les activités métiers devraient être définies dans chaque département.  
Un audit organisationnel et fonctionnel devrait précéder la définition des besoins en cette matière.

- Mieux structurer le projet en tenant compte de l'organisation de l'ASCE-LC
- Révision du schéma directeur des systèmes d'information de l'ASCE-LC
- Réalisation des projets du schéma directeur des systèmes d'information de l'ASCE-LC
- Formation des informaticiens de l'ASCE-LC en management des systèmes d'information
- Soutien en matériel informatique au profit de l'ASCE-LC (Ordinateurs, tablettes, smartphones, etc.)
- Soutien pour la mise en place d'un laboratoire informatique d'analyse des équipements issue des enquêtes et investigations
- Formation sur les outils bureautiques au profit du personnel de l'ASCE-LC
- Renforcement du datacenter de l'ASCE-LC en équipement de sécurité informatique
- Elaboration d'une plateforme électronique de gestion des plaintes et dénonciations
- Organisation de voyages d'études au profit du personnel informatique auprès d'institution sœurs

Formations suivi de coaching, les voyages d'études pour s'imprégner des bonne pratique d'ailleurs

Consolidation des acquis par un maintien du projet de renforcement

Je souhaiterais que le volet déclaration d'intérêt et de patrimoine outils de prévention contre la corruption soit suffisamment pris en compte

Renforcement organisationnel et pilotage

Renforcement des bases de données

Renforcement des capacités

Certification de l'ASCE-LC qualité

Renforcement des capacités des autres corps de contrôle

Meilleure implication des organisations de la société civile notamment dans les activités de sensibilisation

Renforcement des capacités du personnel d'appui

Meilleur usage des TIC

# Annex 7 – Inception report



**Final Evaluation of the support  
contribution to Superior Authority of  
State Control – fighting against  
corruption in Burkina Faso**

Inception report

**NIRAS**  
August 2022

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## Abbreviations

<b>AFD</b>	Agence Française de Développement
<b>ANLF</b>	Autorité nationale de lutte contre la fraude
<b>ARCOP</b>	Autorité de régulation de la commande publique
<b>ASCE-LC</b>	Autorité Supérieure de Contrôle d'Etat et de Lutte contre la Corruption
<b>CENTIF</b>	Cellule nationale de traitement des informations financières
<b>CSO</b>	Civil Society Organisation
<b>DCAF</b>	Geneva Centre for Security Sector Governance
<b>DFAT</b>	Department of Foreign Affairs and Trade
<b>EU</b>	European Union
<b>FCG</b>	Finnish Consulting Group
<b>GRES</b>	Gender Results Effectiveness Scale
<b>IGF</b>	Inspection générale des finances
<b>ITS</b>	Inspections techniques des services des ministères
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MINEFID</b>	Ministry of Economics and Finances of Burkina Faso
<b>NGO</b>	Non-Governmental Organisation
<b>OECD</b>	Organization of Economic Cooperation and Development
<b>PAGPS</b>	Public Management and Statistics Support Program
<b>PGEPC</b>	Economic Governance and Citizen Participation Project
<b>REN-LAC</b>	Réseau national de lutte anti-corruption
<b>ToR</b>	Terms of Reference
<b>UNDP</b>	United Nations Development Programme
<b>UNODC</b>	United Nations Office on Drugs and Crime
<b>WB</b>	World Bank

# 1 Background and context

## 1.1 Context

### *The ASCE-LC in Burkina Faso*

The Superior Authority for State Control and the Fight against Corruption (l'Autorité Supérieure de Contrôle d'Etat et de Lutte contre la Corruption – ASCE-LC<sup>1</sup>) is a **public institution responsible for state control and fighting corruption in Burkina Faso**. It coordinates the actors involved in this fight, and has the status of an independent administrative authority, endowed with financial autonomy.

The *mandate* of the institution is as follows:

- To coordinate the implementation of the general system of risk management, audit and internal control in the State administration;
- To develop a reference framework for audit and internal control in the State administration and ensure its application;
- To lead the harmonization of the working methodology of the State and its institutions in terms of internal control and audit, and disseminate generally recognized and accepted good practices;
- To develop the methodology for internal audits relating to transversal functions; and
- To examine each year the audit policy of ministerial departments and formulate recommendations.

The ASCE-LC is also responsible for receiving and controlling presentations of asset declarations by public officials, and preventing and fighting corruption.

The National Anti-Corruption Strategy, in place between 2012 and 2016, was based on the principles of good governance, transparency, participation and subsidiarity. The action plan set out to put these principles into practice through measures aimed at increasing transparency and the consultation of non-state actors, but also through a sharing of responsibilities in the fight against corruption. In particular, the action plan emphasized the coordination role that the ASCE-LC should play – ensuring the mobilization of actors and coordinating their activities under the action plan. In 2015, the ASCE-LC was also strengthened with the passing of Organic Law N°082-2015/CNT that conferred autonomous constitutional status within the office of the Presidency to the institution.

Currently, the ASCE-LC is working towards developing a new National Anti-Corruption Strategy, in consultation with its partners and the citizens of Burkina Faso.

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<sup>1</sup> <https://www.asce-lc.bf/>

### Box 1: Passing of Organic Law N°082-2015/CNT

The ASCE-LC was strengthened with the passing of Organic Law N°082-2015/CNT. The law transferred the ASCE-LC from the office of the Prime Minister, and the institution was granted autonomous constitutional status within the office of the Presidency. An orientation council was established, comprising three representatives from the public sector from each branch of government, the public sector (chambers of commerce, the order of chartered accountants and the bar association) and civil society and media organisations. This council provides guidance to the ASCE-LC as well as manages the process for vetting and selecting the general state controller who runs the institution for a five year mandate.

Furthermore, Organic Law 082-2015/CNT also establishes that the budget cannot be less than 0.1% of the national budget, grants immunity to state controllers during their mandate, and allows the ASCE-LC to hire experts without going through other state hierarchies.

*Source: U4 Anti-Corruption Resource Centre, Burkina Faso: Overview of corruption and anti-corruption (2019)*

## 1.2 Project description

### *Sida support to ASCE-LC*

In 2017, at the request of the Government of Burkina Faso, Sida approved funding for institutional and organizational support for the ASCE-LC. The support was based on the findings and recommendations from a prior institutional assessment. The assessment recommended that the ASCE-LC would benefit from **technical assistance to strengthen its project planning and management capacities**.

The ASCE-LC support project started in November 2017 and ended in December 2021, after several no-cost extensions aiming to accommodate for the effects of the COVID-19 health crisis and the security crisis. The contribution of Sida to the project was up to SEK 13 000 000.

The project intended to contribute to the achievement of the following *ultimate outcome*:

*The level of corruption in Burkina Faso is reduced. Through the development of operational tools for the ASCE-LC, capacity building for the various professions and the development of the communication function, the project aims to contribute to reducing the level of corruption in Burkina Faso.*

This ultimate outcome was expected to be achieved through *three levers*, **(1)** the design and implementation of **operational tools** for human resources management and **management tools** for control and the fight against corruption; **(2)** the **professional training** of newly recruited State Controllers in audit and control, the retraining of State Controllers already in post in fundamental training on the themes of investigation and management of declarations of interest and assets; and **(3)** the implementation of a **communication strategy** aimed at

preventing corruption and increasing the visibility of the Supreme State Control and Anti-Corruption Authority.

Two *intermediary results* were expected to contribute to the achievement of the ultimate outcome:

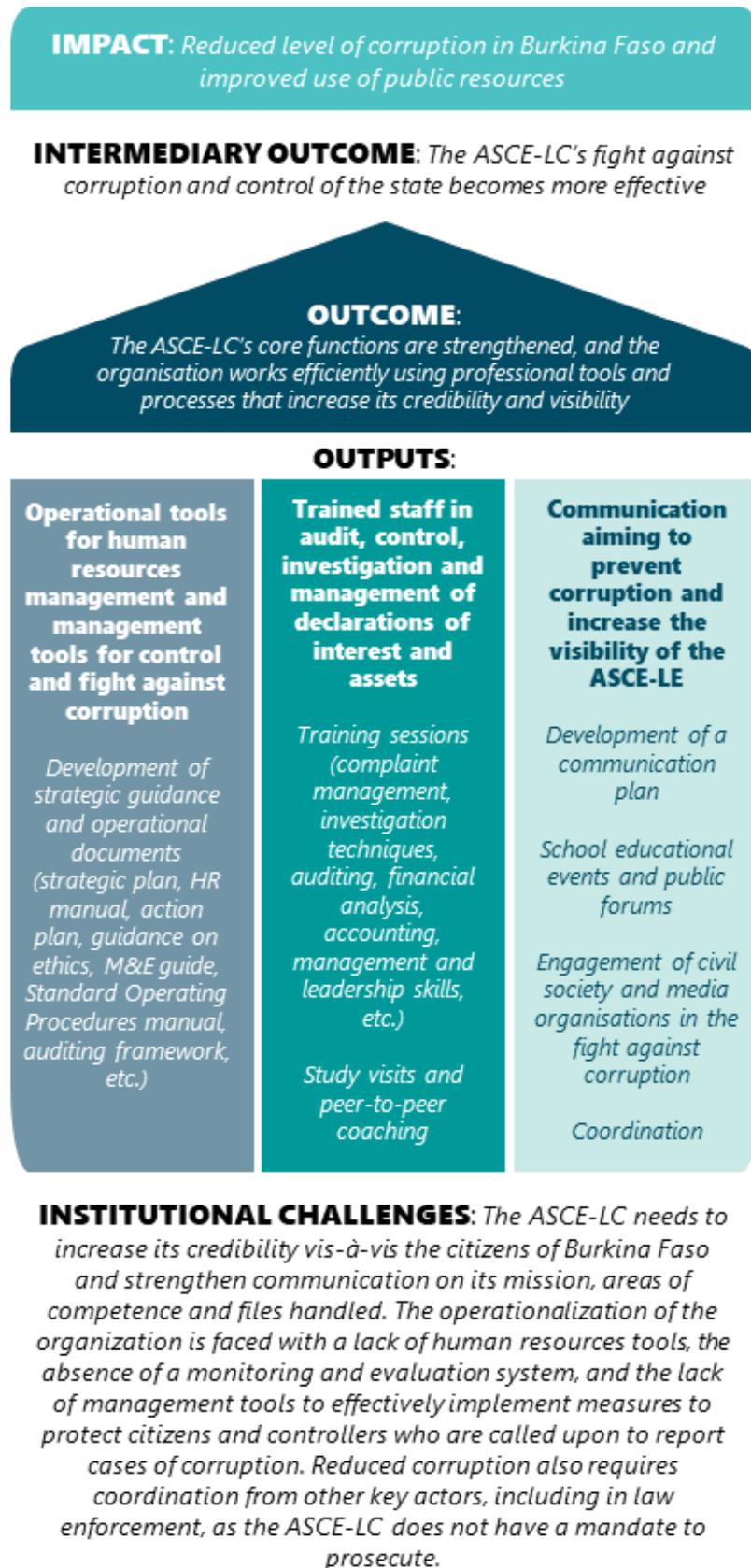
- 1) The professionalization of ASCE-LC's control and anti-corruption missions is improved.
- 2) Increased prevention of corrupt practices and similar offenses in public administrations.

Over a period of four years (2017-2021), a range of activities were implemented in order to achieve the *ultimate outcome*.

**Key interventions included:**

- Development of strategic guidance and operational documents (strategic plan, HR manual, action plan(s), guidance on ethics, M&E guide, Standard Operating Procedures manual, audit framework, etc.);
- Purchasing of key equipment (vehicles, briefcases);
- Training sessions for staff on:
  - complaint management, investigation techniques, inquiry and management of declarations of interest and assets;
  - anti-corruption approaches;
  - auditing techniques;
  - financial analysis;
  - Public-Private Partnership;
  - communication skills, staff management and leadership skills;
  - field report writing;
  - database management and Excel;
  - accounting softwares (Sage, Sim system et Tompro);
- Study visits for state controllers, verification assistants and inquirers to exchange ideas about best practices in similar institutions in Rwanda, Canada and Bhutan;
- Peer-to-peer coaching within the ASCE-LC;
- Development of an institutional communication plan;
- Organisation of educational events in schools;
- Engagement of civil society and media organisations in the fight against corruption;
- Coordination between ASCE-LC, Cour des Comptes and Inspection générale des finances (IGF);
- Regular meetings between internal auditors in ministries and state institutions;
- Coordination with other institutions with a similar mandate in the region;
- Establishment and maintenance of a 'green number' for citizens;
- Active and secure ASCE-LC website;
- Organisation of public forums on integrity; and
- Production and screening of anti-corruption films.

Based on the available documentation about the project, our team compiled a tentative intervention logic, that was revised during the inception phase using available documentation (**Figure 1**). It will serve as a guide throughout the evaluation.

**Figure 1.** Revised intervention logic

### *Other institutional and organizational support for ASCE-LC*

Since 2017, the ASCE-LC also receives support from the World Bank (WB) and the European Union (EU) through two projects:

- The World Bank funds the **Economic Governance and Citizen Participation Project (PGEPC)**. Its objective is to strengthen the mobilization of domestic resources and improve the use of public resources by strengthening accountability mechanisms, resource collection systems and public expenditure management. With a total budget of 5 billion CFA francs, the project has a duration of five years and started in 2017.
- The EU cooperates with the Government of Burkina Faso through the implementation of the public finance component of the **Public Management and Statistics Support Program (PAGPS)**<sup>2</sup>. Over a period of 5 years, the implementation of this component provides support for the development of an action plan for capacity building of ASCE-LC staff.

In addition, **United Nations Office on Drugs and Crime (UNODC)** has funded and led the investigation training and the drafting of a procedure manual for State controllers.

The **Swiss cooperation** in Burkina Faso funded activities in support of developing and operationalising a gender strategy for the ASCE-LC during 2020-21.

Finally, **UNDP** finances awareness-raising activities through the COSED programme (2020-2022)<sup>3</sup>, and the **Geneva Centre for Security Sector Governance (DCAF)** supports the ASCE-LC on budget management related to security and defence.

An *extended action plan* (Plan d'Action Elargi), adopted in 2019, brings together the financial contributions of the Swedish cooperation, the Delegation of the European Union, and the Swiss Cooperation Office in Burkina Faso<sup>4</sup>.

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<sup>2</sup> <https://www.pagps.net/>

<sup>3</sup> [https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP\\_bf\\_CoSED\\_2020.pdf](https://www.undp.org/sites/g/files/zskgke326/files/migration/bf/UNDP_bf_CoSED_2020.pdf)

<sup>4</sup> The project initially funded by the Swedish Embassy was expanded with the European Union external action agreement contract FED /2018/402-638 of June 27, 2019. The Swiss Cooperation Office also expressed its intention to contribute to the project, which is reflected in the 2019 extended action plan.

### Box 2: Burkina Faso after the coup

Recent developments in Burkina Faso include a military coup at the end of January 2022, resulting in the removal of President Kabore by a military junta led by Lieutenant Colonel Paul Henri Damiba. Lieutenant Damiba dissolved the government and national assembly, suspended the country's constitution and created the Patriotic Movement for Safeguard and Restoration, which now rules the country. Shortly after the coup, the constitution was re-established, and a transition legislative assembly (ALT) was created. There is an agreed 24-month period for the transition from July 2022 onwards. During this time, the ASCE-LC retains the fullness of its powers conferred by Organic Law N°082-2015/CNT. It is currently conducting audits of ministries and public structures at the request of the President of Burkina Faso.

Source: <https://www.gisreportsonline.com/r/burkina-faso-coup/>

## 2 Purpose, scope, users and approach to the evaluation

### 2.1 Purpose and objectives

The Terms of Reference (ToRs) describe the purpose of the evaluation as "*highlighting the organizational and institutional<sup>5</sup> progress and achievements of the ASCE-LC through the project's support*" and "*assessing the progress made in the fight against corruption<sup>6</sup> through the organizational and institutional strengthening of the ASCE-LC*" (p. 3). The evaluation should also enable the ASCE-LC to "*learn from what works well and less well*".

As such, this evaluation focuses on both *accountability* (what has been achieved in relation to inputs, outputs and outcomes) and *learning* (what worked and can be applied going forward). Key learnings from the evaluation will assist in the design of future ASCE-LC projects, and possibly support the organization to formulate a new proposal in line with (1) the objective to reduce corruption and (2) the Swedish cooperation strategy to support the efforts of actors in the fight against corruption in Burkina Faso.

The overarching objectives of the evaluation are:

- 1. Provide lessons to ASCE-LC on the results achieved** and the relevance of the approaches developed for the fight against corruption through the implementation of this project.
- 2. Provide the Swedish Embassy and its partners with an input to upcoming discussions** concerning the preparation of a possible new phase of intervention on support to the anti-corruption authority.

<sup>5</sup> We understand 'organizational' to refer to the organization, its staff, their respective roles and functions, and their competences. We understand 'institutional' to refer to the institution, its statutes and its existence beyond its staff.

<sup>6</sup> We would like to draw attention to the fact that there could be some progress made in the fight against corruption (more investigations, sanctions, raised awareness, etc.); yet this may not necessarily lead to reduced levels of corruption in the country – as corruption does not necessarily go down as a result of sanctions.

### 3. Help the Swedish Embassy to assess progress of its portfolio of projects/programmes to inform strategic decision making.

In line with the ToRs, the OECD-DAC evaluation criteria retained for this evaluation are:

- **Relevance** of the support to ACSE-LC in terms of targeted beneficiaries' needs, policy priorities and national development objectives;
- **Coherence** of the support with other interventions in the country, sector and organisation;
- **Coordination** of the support to ASCE-LC with support provided by other donors;
- **Effectiveness** of the support with regards to its objectives and appropriateness of the information delivered by the M&E system to support implementation and learning;
- **Efficiency** in the use of resources; and
- **Sustainability** of the benefits in the future.

## 2.2 Users

Our evaluation team will contribute to and facilitate discussions so that the findings, conclusions and recommendations of the evaluation are concrete, specific and actionable for the different intended users of the evaluation.

During the inception phase, we have identified key stakeholders and developed relations, along with designing the evaluation approach and data collection process. We define 'stakeholders' as **individuals or organizations that will be affected in some way by the outcome of the evaluation process or that are affected by the performance of the project**, or both.

When mapping stakeholders, our team asked the following questions:

- Have all primary (engaged and influential) and secondary (less engaged and less influential) stakeholders been identified?
- Have stakeholders' interests been identified?
- Have stakeholders' relationships with one another been identified?
- Has stakeholder participation in the evaluation been clarified?
- Have the evaluation objectives been reconciled with stakeholders' needs, interests, and priorities?

This information allows our team to identify the stakeholders who will be the main sources for the evaluation as well as the main recipients of evaluation findings and recommendations. The results of our *stakeholder mapping exercise* is presented below.

#### *Funders/ donors*

- The Swedish Embassy in Burkina Faso
- Donors operating in the same space (EU, WB, Swiss Cooperation Office, UNODC, UNDP and Geneva Centre for Security Sector Governance (DCAF))

### *Implementers*

- The project management team of project support to ASCE-LC
- Project implementers (e.g. FCG Sweden, Yons Associates, independent consultants)

### *Project participants and beneficiaries*

- ASCE-LC staff
- The Ministry of Economics and Finances of Burkina Faso (MINEFID), Cour des Comptes and Inspection générale des finances (IGF)
- Citizens of Burkina Faso involved in ASCE activities (e.g. populations reached through communication activities)

### *Government/ public actors*

- Government of Burkina Faso
- Other ministries and institutions involved in the fight against corruption (Inspection technique des services des ministères (ITS); Inspection technique du budget and inspection technique des impôts; Autorité nationale de lutte contre la fraude (ANLF); Cellule nationale de traitement des informations financières (CENTIF); Autorité de régulation de la commande publique (ARCOP))
- Local authorities and decentralised services
- High level civil servants and politicians required to declare assets and conflicts of interests

### *Civil society actors*

- Réseau national de lutte anti-corruption (REN-LAC)
- Chefferie traditionnelle du Burkina
- Religious leaders
- National and local CSOs

Following the *stakeholder mapping*, our team applied a *stakeholder analysis* approach (relationship analysis, participatory approach, conflict sensitivity approach, etc.) to better understand specific issues that each stakeholder will be able to discuss and offer their perspective about during the evaluation process. As a result, our team produced the following stakeholder map and engagement plan, designed to ensure a utilisation-focused evaluation:

**Figure 2.** Key stakeholders, their influence and their engagement in the evaluation process



### 2.3 Evaluation questions, judgement criteria and data sources

During the inception phase, the evaluation team created an **evaluation matrix** tailored for this evaluation. This includes the evaluation questions organized by OECD-DAC evaluation criteria, indicators for assessment, what data collection methods will be used and the source of information, including the reliability of the information. The matrix is based on the methods presented in Section 3.1, addressing each evaluation objective to ensure that the appropriate data is collected during the assignment.

**Table 1.** Evaluation matrix

Evaluation questions	Indicators/ judgment criteria	Methods	Sources	Availability and reliability of data
<b>Relevance: Is the intervention doing the right thing?</b>				
To what extent has the intervention objectives and design responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out?	<p>Degree to which the assessment(s) carried out prior to designing the support activities with the ASCE-LC was comprehensive and rigorous</p> <p>Extent to which the ACSE-LC, relevant partners, beneficiaries and the Government of Burkina Faso were involved in the design of the support</p> <p>Extent to which the support promoted a gendered approach</p> <p>Extent to which support activities were adapted to reflect evolving circumstances</p>	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Document summarising the assessment carried out prior to designing the support activities with the ASCE-LC</p> <p>Project document (2017)</p> <p>Annual reports</p> <p>Secondary data about corruption levels and the fight against corruption in Burkina Faso</p>	<p>Availability of data is good</p> <p>Reliability depends on the extent to which interview participants are truthful and non-biased in their answers</p>
<p>Have the M&amp;E (Monitoring and Evaluation) system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning? To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?</p> <p><b><i>Suggest to cover this question under the criterion of Effectiveness or Efficiency</i></b></p>	<p>Extent to which an M&amp;E system and learning plan were designed and operational for the duration of the project</p> <p>Degree to which the project management team used the M&amp;E system and learning plan to inform its decisions about implementation</p> <p>Extent to which the management team was able to reflect on what was working well, what was working less well, and act upon it</p>	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Monitoring information from ASCE M&amp;E set-up</p> <p>Annual reports</p> <p>Documents summarising lessons learned and pivots regarding the design of the support</p>	<p>Availability of data depends on quality of M&amp;E data and the extent to which the management team documented lessons learned</p> <p>Reliability depends on the extent to which interview participants are truthful and non-biased in their answers (e.g. open about failure)</p>

<b>Coherence: How well does the intervention fit?</b>				
How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?	<p>Degree to which other interventions in the country took place/ other actors supported state control and the fight against corruption</p> <p>Extent to which coordination existed between the support project and interventions with other actors in the sector</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>REN-LAC (documentation and interviews)</p> <p>Project document (2017)</p> <p>Secondary data about corruption levels and the fight against corruption in Burkina Faso</p> <p>Meeting notes from coordination meetings</p>	<p>Availability of data depends on the accessibility of stakeholders outside the ASCE</p> <p>Reliability is expected to be strong, especially where meeting notes are available and shared with the evaluation team</p>
<b>Coordination: How well does the intervention align with other donor support?</b>				
To what extent have the interventions of different actors particularly the donors been harmonised?	<p>Extent to which the several programmes funded by other donors (EU, WB, Swiss Cooperation) with similar objectives were implemented in a coordinated manner at the ASCE-LC</p> <p>Degree of overlap of activities between the different projects</p> <p>Extent to which the different projects reinforced each other in their common objective of strengthening the ASCE-LC</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>Project document (2017)</p> <p>EU, WB, Swiss cooperation project documents</p> <p>Meeting notes from coordination meetings</p>	<p>Availability of data depends on the accessibility of stakeholders outside the ASCE</p> <p>Reliability is expected to be strong, especially where meeting notes are available and shared with the evaluation team</p>
<b>Effectiveness: Is the intervention achieving its objectives?</b>				
To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?	Extent to which the core functions of the ASCE-LC were strengthened through the development of operational tools, capacity building for the various professions and the development of the communication function	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Project document (2017)</p> <p>Monitoring information from ASCE M&amp;E set-up</p> <p>Annual reports</p>	Availability of data depends on quality of M&E data and the extent to which the management team documented achievements and failures

	<p>Degree to which each component contributed to the strengthening of the organisation</p> <p>Degree to which different groups within the ASCE-LC (function, gender, etc.) benefited differently from the support provided</p> <p>Extent to which the ASCE-LC is now a stronger organisation, with solid systems and procedures in place and adequate staffing, that can deliver on state control and fighting corruption</p>		<p>Evaluation reports for each project activity (e.g. post training evaluations)</p> <p>Sex-disaggregated data from the online survey</p>	<p>Reliability depends on the extent to which interview participants are truthful and non-biased in their answers (e.g. open about failure)</p> <p>Anonymity will enhance reliability of answers</p>
<b>Efficiency: How well are resources being used?</b>				
<p>To what extent has the intervention delivered, or is likely to deliver, results in an economic and timely way?</p>	<p>Extent to which the budget allocations by component were adequate vis-à-vis expected outputs</p> <p>Degree to which the delivery of activities was timely</p> <p>Extent to which decisions made about financial management reflected the lessons learned about implementation and helped enhanced the efficiency of project delivery</p>	<p>Document review</p> <p>Stakeholders interviews</p>	<p>Project document (2017) and budget</p> <p>Monitoring information from ASCE M&amp;E set-up</p> <p>Annual reports</p> <p>Financial reports</p>	<p>Availability of data depends on the access and quality of financial reporting</p> <p>Reliability depends on the documentation of financial choices made by the implementation team, from the original budget plan to the changes made during implementation and to the final financial report</p>
<b>Sustainability: Will the benefits last?</b>				
<p>To what extent will the net benefits of the intervention continue, or are likely to continue?</p>	<p>Existence of a sustainability plan and governance structure with adequate financial resources</p> <p>Extent to which the structures and processes put in place by the project can ensure a continuation of the activities and benefits once the project ends</p> <p>Extent to which new skills and practices have translated into actual, long-lasting institutional capacity changes</p>	<p>Document review</p> <p>Stakeholders interviews</p> <p>Online survey</p>	<p>Project document (2017)</p> <p>Annual reports</p> <p>Sustainability plan</p>	<p>Availability of data depends on the existence of a sustainability plan</p> <p>Reliability can be enhanced by triangulating the information presented in the sustainability plan with the evidence collected during interviews with the project team</p>

## 2.4 Key principles

In this section we detail the key principles our evaluation team will follow throughout the assignment.

**Ethics and sensitive data.** Evaluations should be conducted with the highest standards of integrity and respect (**Box 2**). The team will respect the rights of institutions and individuals to provide information in confidence. Sensitive data will be protected and should not be traceable to its source. The evaluation report will not reveal the names of sources and will conceal identities of persons or organizations at risk.

### Box 2: Ensuring confidentiality when collecting sensitive data

The design and conduct of evaluation and monitoring work should always be sensitive to the cultural, political, socio-economic and environmental context in which it takes place. The participation of stakeholders – from funders, implementers, planners, practitioners and local community members – should be based on informed consent and should ensure equitable participation. The identity of stakeholders and the information they share are to be protected, and data obtained during the conduct of evaluation and monitoring projects and programmes should always be kept securely to ensure confidentiality at all times.

NIRAS applies the following rules:

- Protect the dignity, rights, safety and well-being of actual and potential participants.
- Act in accordance with international human rights conventions.
- Ensure that all contributors are fully informed of the research purpose, measures to ensure anonymity, and of their right to withdraw.
- Preserve the confidentiality of evaluation contributors.
- An intrinsic ‘do no harm’ approach underpins all of our assignments.

In certain situations, although the data that has been collected is anonymised, it is possible that the data may be used to identify the individuals who have been involved in interviews, due to the small sample size and the known location where data collection took place. In such situations, our concern is to ensure individuals’ identities are protected. To do so, we avoid direct attribution to individuals or locations in our reporting. We also ensure that we report on sufficiently large samples to conceal any individual responses/personal data. Finally, if there is likelihood that people can be identified, the right ethical decision will be not to report the data that identifies them.

**Gender equality and poverty perspectives.** NIRAS works to ensure that its evaluation methods take into consideration a poverty and gender equality perspective. This means recognizing that inequalities are structural and systemic; understanding and identifying discriminatory patterns and barriers through disaggregated data; and providing recommendations to add value to those who are living under marginalized conditions and to those implementing programs.

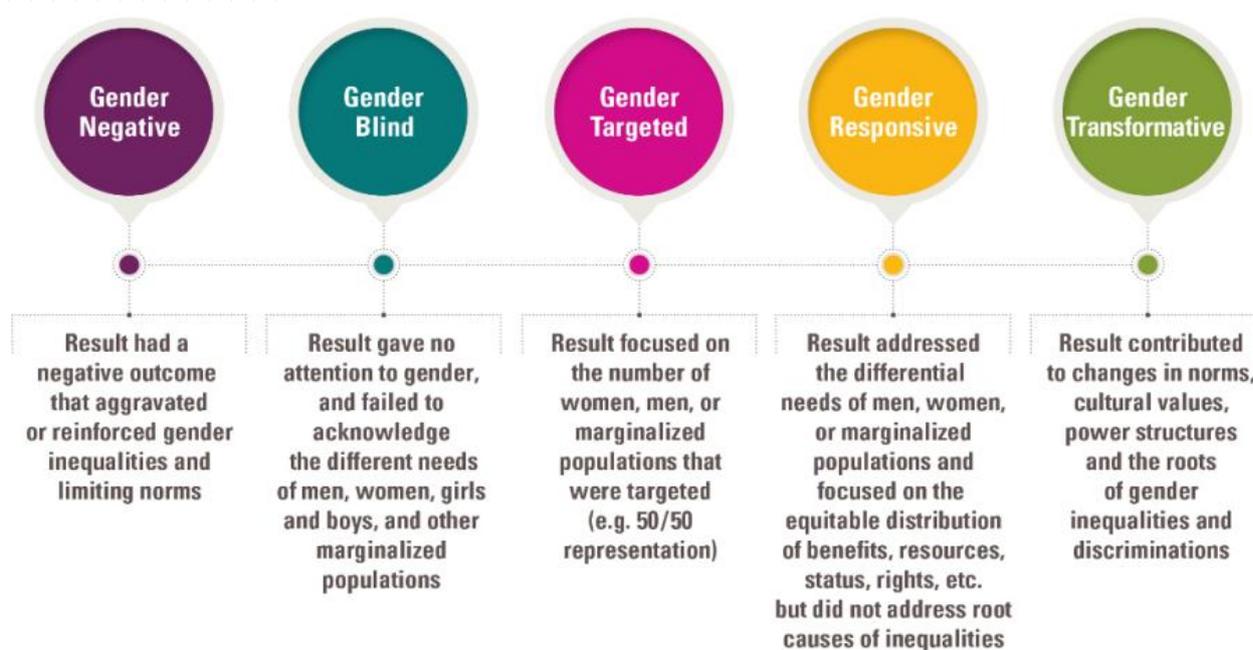
To ensure that the evaluation applies a **Gender Responsive Approach**, our team made sure that there is a gender-balanced representation of stakeholder groups invited to take part in the evaluation process, and that gender representation is

viewed not only from a binary perspective but is based on an intersectional understanding.

In addition, the evaluation team ensured that the methodological approach includes explicit questions related to gender equality issues, outcomes and normative values, including discussions on how the interventions promoted (or not) a gender transformative approach. The data analysis, conclusions and recommendations will include explicit analysis related to gender equality outcomes stemming from the project as well as identify any related gaps.

To this end, we refer to the following framework – the **Gender Results Effectiveness Scale (GRES)**, that ranks outcomes from gender negative/blind to gender transformative (**Figure 3**).

**Figure 3.** Gender Results Effectiveness Scale (GRES)



Source: Adapted from the Evaluation of UNDP Contribution to Gender Equality and Women's Empowerment, IEO, UNDP, 2015

## 2.5 Evaluation approach

### 2.5.1 Contribution analysis

We will apply a **contribution analysis approach (Box 3)** to this evaluation, to enable a rigorous analysis of the project support's contribution to the organizational and institutional progress and achievements of the ASCE-LC and its ability to fight against corruption.

This approach will allow the evaluation team to **distinguish between the contribution of different types of support** (developmental of operational and management tools, capacity building, development of the communication

function) **to the overall objective**, through assessing the relevance, effectiveness, efficiency and sustainability of each intervention.

Contribution analysis is a theory-based approach. It builds upon the intervention logic developed for the project (**Figure 1**).

### Box 3: Applying contribution analysis

Contribution analysis is an approach for assessing causal questions and inferring causality in program evaluations. It is particularly useful in situations where a program is not experimental, i.e. not a trial intervention, but where the program has been funded on the basis of a relatively clearly articulated theory of change, where there is little or no scope for varying how the program is implemented.

Contribution analysis helps to confirm or revise a theory of change through the following steps:

1. Set out the attribution problem to be addressed
2. Develop the program logic describing how the program is expected to work
3. Gather the existing evidence on the theory of change
4. Assemble and assess the contribution story and challenges to it
5. Seek out additional evidence
6. Revise and strengthen the contribution story

## 2.5.2 Evaluating capacity building interventions

The intervention logic for the capacity components of development projects often remains poorly defined, which is why it is important to have a rigorous evaluation framework when assessing the effectiveness of support projects.

In many cases, *institutional capacity changes* are required as an intermediate outcome before the ultimate objective can be achieved. The role of *change agents*<sup>7</sup> and the targeted change process(es) need to be identified. Capacity development entails preparing or empowering designated change agents to initiate and/or manage needed changes.

In the case of the ASCE-LC, different parts of the organisation have received training on different operational and managerial aspects related to their functions as a result of the support project. **The extent to which they are able to implement changes and adopt new practices is dependent on the**

<sup>7</sup> A change agent is an individual or group that initiates or manages needed change(s) for developing institutional capacity in relation to a particular development goal. Change agents are often participants of a capacity development intervention, but the terms are not synonymous — participants are not necessarily well positioned to achieve the needed changes and change agents do not always directly participate in program activities.

**appropriateness and quality of the training but also on the context within the organisation** (e.g., recurrent capacity constraints, lack of effectiveness of organizational arrangements, absence of ownership, no commitment of leadership staff, etc.) **and outside the organisation** (e.g. political situation, socio-economic context, etc.).

As a result, the evaluation team will pay close attention to the capacity building component of the support project and assess whether the design of training sessions was developed with the ASCE-LC in mind, together with change agents in the organisation who had the **capacity to translate new skills and practices into actual, long-lasting institutional capacity changes**.

### 2.5.3 Limitations

In terms of limitations of the proposed approach, we expect that determining causality can be problematic. *To what extent can change be attributed to the support provided to the ASCE-LC?*

Our contribution analysis approach will seek to identify the *contribution* the support has made to a change or set of changes, recognizing that there are usually many different steps between activities and desired changes, that the further along the change pathways that results occurs, the stronger external factors will influence effects, and that many different development interventions and/or factors can contribute to a single change. Contribution analysis aims to produce a **plausible, evidence-based narrative** that a reasonable person would be likely to agree with.

Our *reliance on interview data* may also come with some limitations – it is our experience from similar evaluations that stakeholders may have an incentive to provide positive feedback. To mitigate this, the team will take measures to detect and account for the possibility of pleasing or otherwise positively biased feedback of the information collected in these interviews. The principal safeguard for this will be good evaluation practice, the seniority of the team, and its substantial interview and evaluation experience. The team will apply rigor, its skills as critical and impartial observers to spot and **investigate potential bias, positive or negative**, for example by asking interviewees to back up statements with documented evidence, ask whether other people can confirm the information provided, confront interviewees with contradictory evidence, and probe for more detail and explanation before accepting feedback as evaluative evidence.

*Access to secondary data* including monitoring data, attendance data, meetings minutes and training assessment reports will be instrumental for the evaluation team to confidently assess the effect of the support. During the data collection phase, we will focus on assessing **what data was collected and reported on** during the project by the ASCE-LC management team and the implementing partners, and whether the data can be used confidently as part of the evaluation.

The **availability of the ASCE-LC staff** is another source of concern regarding our ability to make this evaluation participatory and utilisation-focused. We will discuss further with the Swedish Embassy in Burkina Faso how to access key

respondents and contributors to the evaluation process in the coming months, and crucially, during the data collection phase.

## 3 Methods and evaluation process

### 3.1 Data collection methods

#### 3.1.1 Document review



During the inception phase, the in-depth review of project documentation (project rationale, intervention proposal, activity reports, monitoring data, etc.) and available secondary data (data generated by the project team, but also third-party data e.g., Afrobarometer data, REN-LAC reports, etc.) was a critical starting point, enabling the evaluation team to refine the list of key questions, elaborate these via further sub-questions and judgement criteria, and ensure that the tool-set design responds to the national and local context in Burkina Faso.

The document review also served to provide an independent verification of the project outputs and achieved outcomes against its expected results, and to **identify gaps in the evidence base that will be addressed during the data collection phase.**

The full list of documents reviewed by the team during the inception phase is available in **Annex 2**. The desk review will continue throughout the evaluation process, as additional documentation (e.g. monitoring data, additional reports and documents) may be accessed during the data collection and analysis phase.

#### 3.1.2 Stakeholder interviews with the ASCE-LC and its partners

Stakeholder interviews with the ASCE-LC, its partners, the Swedish Embassy and other relevant stakeholders involved in project activities will take place via Zoom/Teams (and in-person by the national consultant) during the data collection phase. Interviews will be on-going in August and September.

The aim is to **probe and follow-up on the independent review of project outputs and outcomes** carried out by the evaluation team as part of the document review. Specific attention will be given to the efficiency of implementation and lessons learned by project staff during implementation, as well as identifying internal and external factors and stakeholders that have contributed to or impacted the project. The evaluation questions and the evaluation matrix (refer to **Section 2.3**) served as guides for developing the interview questionnaire presented in **Annex 4**.

All interviews will be private and confidential unless the interviewee agrees to be cited (refer to **Box 2** earlier in this proposal).

#### 3.1.3 Online survey with project participants

Based on the document review and stakeholder interviews, the evaluation team will design and launch an online survey with project participants in order to **gather information more systematically, quantifiably and in a more confidential**

**manner** than through one-to-one interviews. The survey will also assess the extent to which new skills and practices have translated (or not) into actual, long-lasting institutional capacity changes.

A first draft of the online survey questionnaire is available in **Annex 5**.

Survey results will be triangulated with findings from other sources of information such as individual interviews and secondary data. Results will be disaggregated by sex.

## 3.2 Phases of the evaluation

The evaluation process will continue during two main phases.

### 3.2.1 Data collection phase (August – September 2022)

The data collection phase includes the bulk of the data collection activities needed to respond to the evaluation questions and produce the evaluation report; these include:

- **In-depth review of project documentation**, to provide an independent verification of the project outputs and achieved outcomes against its expected results.
- **Stakeholder interviews with the ASCE-LC and its partners**, via Zoom/Teams (and in-person by the national consultant), to probe and follow-up on the independent review of project outputs and outcomes carried out by the evaluation team.
- **Online survey with project participants**, to understand their experiences and gather further feedback. The survey will also assess the extent to which new skills and practices have translated (or not) into actual, long-lasting institutional capacity changes.

### 3.2.2 Analysis and reporting phase (September – October 2022)

In this phase, the evaluation findings, conclusions, lessons learned, and recommendations will be presented in a final report, developed following these steps:

- **Analysis and drafting of evaluation report.** A succinct report (maximum 50 pages, excluding annexes) following the layout format of Sida's template for decentralised evaluations will be produced after completion of the analysis and subjected to NIRAS' internal quality control before being submitted to Sida. Annexes will include the Terms of Reference, the inception report, the stakeholder mapping, the list of documents consulted and the evaluation matrix. The list of key informants/interviewees will only include personal data if deemed relevant and after discussion with the Swedish embassy.
- **Online debriefing workshop with Sida and the steering group**, to validate emerging findings and discuss preliminary answers to the evaluation questions. We will arrange for external partners to join as well. The purpose of

the meeting will also be to co-draft the recommendations, ensuring all stakeholders are part of the reflection and sense-making process.

- **Feedback on the draft report.** Sida and the steering group will be invited to provide comments on the draft report.
- **Submission final report and dissemination.** The draft report will be revised based on the comments received and a final report will be submitted, including a 3-pages Executive Summary. The final report will be written in English and translated into French upon approval.

### 3.3 Milestones and deliverables

We suggest a slightly revised timeline, where we have taken into consideration the delay in the start-up compared to the original planned start-up in the ToR, as well as allowing time for the various phases and feedback loops during the evaluation. We welcome your feedback on our suggestions during the inception meeting.



What	Who	When
<b>Start-up meeting w/ Embassy of Sweden (online)</b>	<i>Embassy of Sweden, and NIRAS</i>	June 20
<b>Start-up meeting w/ Steering group</b>	<i>Embassy of Sweden, Steering group, NIRAS</i>	July 12
<b>Submission of the draft inception report</b>	<i>NIRAS</i>	July 15
<b>Inception meeting (online)</b>	<i>Embassy of Sweden, Steering group and NIRAS</i>	July 20 (to be confirmed)
<b>Comments on draft inception report</b>	<i>Steering group, Embassy of Sweden</i>	August 11
<b>Submission of final inception report</b>	<i>NIRAS</i>	August 18
<b>Approval of final inception report</b>	<i>Embassy of Sweden, Steering group</i>	August 22
<b>Data collection</b>	<i>NIRAS</i>	August 22-September 9
<b>Debriefing/validation meeting</b>	<i>Steering group, Embassy of Sweden and NIRAS</i>	September 9
<b>Submission of draft evaluation report</b>	<i>NIRAS</i>	September 28
<b>Comments on draft report</b>	<i>The Embassy of Sweden, Steering group</i>	October 5
<b>Submission of final report</b>	<i>NIRAS</i>	October 12
<b>Approval of final report</b>	<i>Embassy of Sweden</i>	October 17

## 4 Work plan

2021-22

						June			July			August				September				October			November											
	RB	BS	CV	QA	PM	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47				
<b>Inception Phase</b>																																		
Start-up meeting w/ Embassy June 20	1	1			1																													
Documents review and evaluation design	2	1																																
Familiarisation interviews with key stakeholders	2	3																																
Start-up meetings w/ Embassy, ASCE-LC July 12																																		
Drafting inception report	2	1	1																															
QA of inception report				1																														
<b>Submission of draft inception report (July 15)</b>																																		
Inception meeting (week of July 18-22)	1	1								S																								
Comments/no-objection sent by stakeholders ( latest August 11)																																		
Finalization of inception report	1		1																															
<b>Submission of final inception report August 18</b>																																		
Approval of final inception report August 22					1																													
<b>Data Collection and field phase</b>																																		
Documents review	2																																	
Stakeholder interviews	3	5																																
Online survey	3																																	
Debriefing on September 9	1	1																																
<b>Data Analysis and Reporting Phase</b>																																		
Data compilation and analysis, preliminary report writing	2	1	1																															
Report writing	3		1																															
QA of draft report				1																														
<b>Submission of Draft Report Sep 28</b>																																		
Written feedback from stakeholders on draft report by October 5					1																													
Finalization of the report	1		1																															
<b>Submission of Final Report Oct 12</b>																																		
Approval of report by Oct 17					1																													
Organising translation into French																																		
<b>Total days</b>	<b>24</b>	<b>14</b>	<b>5</b>	<b>2</b>	<b>6</b>																													

Team leader 49 % of workdays, excl. QA (min 30 %)

Initials:

RB: Raphaëlle Bisiaux, BS: Bala Sanou, CV: Charlotte Vaillant, PM: Project Manager, QA: Quality Assurance Advisor

## Appendix 1 Terms of Reference

# Terms of Reference for the Final Evaluation of the support contribution to Superior Authority of State Control – fighting against corruption in Burkina Faso

Date: **[May 05th, 2022]**

## 1. General information

### 1.1 Introduction

The general direction and overall objective of the development cooperation is formulated in the country and regional strategies, which are adopted by the Swedish government. A comprehensive cooperation agreement, usually covering 3-5 years, is signed between Sweden and the government of the partner country. Sweden is usually represented by Sida. Sida has delegated the implementation of the Swedish cooperation program to the Swedish Embassy in Ouagadougou. For each project or program, the parties sign a specific agreement defining the details of the project and the commitments of the partners.

Sida, as part of its 2018-2022 cooperation strategy for the development of Burkina Faso, has defined three main areas of intervention. Support through Axis 1 focuses on human rights, democracy, rule of law and gender equality. For axis 2, support is directed towards the Agriculture/Forestry/Environment and Water and Sanitation sectors and renewable energy. In each sector, Sida supports certain development projects or programs. Partners are generally the Government, state agencies or civil society. A third axis dealing with peace building has been integrated into this strategy to provide support to the security problem that the country has been facing since 2016.

In November 2017, the Government of Burkina Faso signed a Convention with the Kingdom of Sweden for the implementation of the Organizational Strengthening Project of the Superior Authority for State Control and the Fight against Corruption (ASCE-LC). It is within this framework that the ASCE-LC has received funding under Axis 1 of its 2018-2022 strategy, for the implementation of its Organizational Strengthening Project over the period from November 14, 2017 to June 30, 2020. This Project has been expanded with the arrival of the EU whose agreement runs from June 27, 2019 to June 30, 2021. To take into account the impact of Covid 19 on the activities of the Project, the Swedish cooperation has extended its funding until December 31, 2021 for the end of activities period and December 31, 2022 for the closing of agreement period of the Project. EU funding has been extended to November 27, 2022.

In accordance with the financing agreements for the implementation of this project, it is planned that at the end of the project implementation, a final external

evaluation will be carried out to capitalize on the project experience and analyze the achievement of the expected results. To this end, the present terms of reference are set out to frame the scope of this mission

## 1.2 Evaluation object: Intervention to be evaluated

At the request of the Government of Burkina Faso, Sida agreed to fund institutional and organizational support for ASCE-LC. Prior to the implementation of this project an institutional assessment recommended a 12-month technical assistance to ASCE-LC to strengthen its project planning and management capacities. Started in November 2017 the ASCE-LC support project was scheduled to end in December 2019. Due to several factors, including the COVID-19 health crisis and the security crisis, the project has been postponed several times without any budget increase and is expected to end on December 31, 2021, with the agreements closing on December 31, 2022.

The objective of the project is "to fight against corruption by providing new tools and by organizing training oriented towards professionalization and by developing the communication function".

To achieve this overall objective, the Project was initially structured as three major components.

- The design and implementation of operational tools for human resources management and management tools for anti-corruption control;
- Professional training of newly recruited State Controllers in auditing and control, retraining of existing State Controllers in basic training on investigation and inquiry;
- The implementation of a communication strategy aimed at preventing corruption and increasing the visibility of the Superior State Control and Anti-Corruption Authority.

Since the adoption of the PAE (Plan d'actions Elargie – Wider Action Plan) in April 2019, the project has been reviewed according to the Results-Based Management (RBM) approach which has allowed the design of a new logical framework and a related performance measurement framework. Henceforth, the project is no longer presented in component format but in terms of one (01) ultimate outcome; two (02) intermediate outcomes and seven (07) immediate outcomes. The project intends to contribute to the achievement of the following ultimate outcome:

- "The level of corruption in Burkina Faso is reduced. Through the development of operational tools for the ASCE-LC, capacity building for the various professions and the development of the communication function, the project aims to contribute to reducing the level of corruption in Burkina Faso.

For the intermediates outcomes, the project was targeting to achieve the following results :

- The design and implementation of operational tools for human resources management and management tools for control and the fight against corruption ;
- The professional training of newly recruited State Controllers in audit and control, the retraining of State Controllers already in post in fundamental training on the themes of investigation and management of declarations of interest and assets ;

- The implementation of a communication strategy aimed at preventing corruption and increasing the visibility of the Supreme State Control and Anti-Corruption Authority.

For further information, the intervention proposal is attached as Annex D.

### 1.3 Evaluation rationale

Having been implemented from 2017 to 2021 including two no-cost extensions (i.e. without increase in budget), the ASCE-LC support project's current phase ended on December 31, 2021.

In accordance with the implementation modalities stated in the grant agreement, a final evaluation of the project and all its components, will be carried out to:

“Evaluate the results achieved at the intermediate and immediate level of the organizational and institutional strengthening of the ASCE-LC and its subsequent performance in the fight against corruption in Burkina Faso on the one hand, and on the other hand, identify the achievements and shortcomings in order to provide elements to orient a possible future intervention on the theme of the fight against corruption”.

This evaluation is a single final evaluation according to the OECD DAC criteria. There was no mid-term evaluation.

## 2. The assignment

### 2.1 Evaluation purpose: Intended use and intended users

The purpose of this evaluation is to conduct an end-of-phase evaluation, according to the OECD DAC standard and criteria, of the implementation of the project to support the Superior authority for state control in its fight against corruption, and the various components, particularly technical assistance, attached to this initiative.

It also aims, on the basis of the conclusions and recommendations, to lay the groundwork for ASCE-LC to formulate a new proposal in line with the objective to reduce corruption, in line with the Swedish cooperation strategy to support the efforts of actors in the fight against corruption in Burkina Faso..

The purpose or intended use of the evaluation is to:

- Highlight the organizational and institutional progress and achievements of the ASCE-LC through the project's support
- Assess the progress made in the fight against corruption through the organizational and institutional strengthening of the ASCE-LC To learn from what works well and less well.

The evaluation will:

- Provide lessons to ASCE-LC on the results achieved and the relevance of the approaches developed for the fight against corruption through the implementation of this project;
- Provide the Swedish Embassy and its partners with an input to upcoming discussions concerning the preparation of a possible new phase of intervention on support to the anti corruption authority;

- Help Swedish Embassy to assess progress of its portfolio of projects/programmes to inform strategic decision making.

The primary intended users of the evaluation are :

- The project management team of project support to ASCE-LC  
The Swedish Embassy in Burkina Faso

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process. Other stakeholders that should be kept informed about the evaluation include:

- The Ministry of Economics and Finances of Burkina Faso
- EU and Swiss Cooperation Office, all active and contributing donors in this project.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

## 2.2 Evaluation scope

The evaluation should cover the entire project implementation period including subsequent extension periods, from November 2017 to December 2021. It will also cover the components related to the technical assistance (TA) planned to accompany during 18 months of the implementation of the project. This TA, was provide by FCG Sweden through the contribution 11953 for ASCE-LC Burkina, and supported the institution in project financial and technical management.. Specific sub-contracts with ASCE-LC external partners will also be included in this evaluation..

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

## 2.3 Evaluation objective: Criteria and questions

The objectives of this end-of-project evaluation are, on the one hand, to assess the results achieved by the project in the fight against corruption through the organizational and institutional strengthening of the ASCE-LC and, on the other hand, to draw lessons for planning a more effective intervention in the fight against corruption in Burkina Faso. The suggested evaluation questions are:

### **Relevance: Is the intervention doing the right thing?**

- To what extent has the intervention objectives and design responded to beneficiaries', Government of Burkina Faso and partner needs, policies, and priorities, and have they continued to do so when circumstances have changed? What has been missing out ?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

### **Coherence: How well does the intervention fit?**

- How compatible has the intervention been with other interventions in the country, sector or organisation where it is being implemented?

### **Effectiveness: Is the intervention achieving its objectives?**

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- Have the M&E (Monitoring and Evaluation) system delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

**Efficiency: How well are resources being used?**

- To what extent has the intervention delivered, or is likely to deliver, results in an economic and timely way?

**Sustainability: Will the benefits last?**

- To what extent will the net benefits of the intervention continue, or are likely to continue?

**Coordination**

- To what extent have the interventions of different actors particularly the donors been harmonised?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

## 2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. Given the situation with Covid-19 and security situation, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

## 2.5 Organisation of evaluation management

This evaluation is commissioned by the Embassy of Sweden in Burkina Faso. The intended users are the Embassy of Sweden in Burkina Faso and its partner the government of Burkina Faso represented by the ASCE-LC. The intended users of the evaluation form a steering group, which has contributed to and agreed on the ToR for this evaluation. The steering group is a decision-making body. It will approve the inception report and the final report of the evaluation. The steering group will participate in the start-up meeting of the evaluation, as well as in the debriefing/validation workshop where preliminary findings and conclusions are discussed. Two separate start-up meetings will be convened by the evaluator; one with the Embassy of Sweden and one with the full steering group.

## 2.6 Evaluation quality

All Embassy's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation<sup>2</sup>. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluations<sup>3</sup> and the OECD/DAC Better Criteria for Better Evaluation<sup>4</sup>. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

## 2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. Given the situation with Covid-19, the time and work plan must allow flexibility in implementation. The evaluation shall be carried out **between the 23<sup>rd</sup> of May 2022 and the 6<sup>th</sup> of September 2022**. The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meetings in the week of [23rd May, 2022 to 28th may 2022]  Embassy of Sweden in Ouagadougou 24th d may, 2022 Steering Group with ASCE, 26th may 2022	Head of Cooperation, Program officer, Controller] Steering group with ASCE-LC, Program officer	[28th may 2022, 2 days ]

2. Draft inception report		Tentative [15th June 2022 ]
3. Inception meeting [ASCE-LC ]	[Steering group with ASCE-LC, Program officer]	Tentative [16th June 2022]
4. Comments from intended users to evaluators (alternatively these may be sent to evaluators ahead of the inception meeting)		Tentative [24th June 2022]
5. Data collection, analysis, report writing and quality assurance	Evaluators	[ 3 weeks]
6. Debriefing/validation workshop (meeting)	[Steering group with ASCE-LC, Program officer]	[18th July 2022]
7. Draft evaluation report		Tentative [12th August 2022]
8. Comments from intended users to evaluators		Tentative [26th August 2022 ]
9. Final evaluation report		[6th September 2022]

**The inception report** will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and translated into French and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilization-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed. ‘

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time

plan shall allow space for reflection and learning between the intended users of the evaluation.

**The final report** shall be written in English and translated into French and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilization-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The English report should be no more than 50 pages excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluations.

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas".

## 2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies : **Evaluation of public institutions of state control, fight against corruption, French language proficiency, ...**

It is desirable that the evaluation team includes competencies in public policies. A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local evaluation consultants are included in the team, as they often have contextual knowledge that is of great value to the evaluation. In addition, and in a situation with Covid-19, the inclusion of local evaluators may also enhance the understanding of feasible ways to conduct the evaluation.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

## 2.9 Financial and human resources

The maximum budget amount available for the evaluation is **five hundred thousand (500 000) SEK** .

Invoicing and payment shall be managed according to the following: The Consultant may invoice a maximum of 40 % of the total amount after approval by the Embassy of the Inception Report and a maximum of 60 % after approval by Sida/Embassy of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is **Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou**. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou.

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Amadou BARRY, Program Officer, the Embassy of Sweden in Ouagadougou.

The evaluator will be required to arrange the logistics including any necessary security arrangements.

## 3. Annexes

### Annex A: List of key documentation

1. Financing agreement between Sweden and Burkina Faso to support ASCE-LC ;
2. Expanded Action Plan for ASCE-LC;
3. Administrative and Financial Procedures Manual for the ASCE-LC PRO;
4. Monitoring and Evaluation Manual;
5. Annual work plans from 2017 to 2021;
6. Narrative and financial reports from 2017 to 2021;
7. Annual audit reports from 2017 to 2021;
8. Training reports ;
9. Specific study reports;
10. End of project report.

## Annex B: Data sheet on the evaluation object

<b>Information on the evaluation object (i.e. intervention)</b>	
Title of the evaluation object	Final Evaluation of the support to ASCE-LC
ID no. in PLANIt	10953
Dox no./Archive case no.	
Activity period (if applicable)	October 2017 to march 2022
Agreed budget (if applicable)	15 millions SEK
Main sector	Other : Anti corruption
Name and type of implementing organisation	Superior Authority for State Control
Aid type	Grant
Swedish strategy	Burkina Faso 2018-2022

<b>Information on the evaluation assignment</b>	
Commissioning unit/Swedish Embassy	Ouagadougou, Burkina Faso
Contact person at unit/Swedish Embassy	Amadou BARRY
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	End of programme

## Annex C: Decentralised evaluation report template

## Annex D: Project/Programme document

## Appendix 2 Documentation reviewed

- ACSE-LC agreement and extensions with the Swedish Embassy
- Projet de Renforcement Organisationnel - ASCE.LC\_VF (24 Octobret 2017)
- ASCE-LC Annual Report ('Rapport annuel de l'ASCE-LC') 2018
- ASCE-LC Annual Report ('Rapport annuel de l'ASCE-LC') 2019
- Loi ASCE/LC (version définitive)
- Loi Portant Prévention Et Répression de La Corruption Au Burkina Faso (2015)
- Présentation sur la Réorganisation de l'ASCE en l'ASCE-LC : Comment les principes de Jarkata ont façonné la nouvelle institution, Luc Marius Ibriga (2017)
- ASCE-LC website
- REN-LAC Rapport 2020 sur l'état de la corruption
- Contracts and contract amendments with Yons Associates
- Contracts and contract amendments with FCG
- FCG mission report (Mission 1)
- FCG mission report (Mission 2)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2018)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2019)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2020)
- Narrative reports from the ACSE-LC to the Swedish Embassy (2021)
- Financial reports from the ACSE-LC to the Swedish Embassy (2018)
- Financial reports from the ACSE-LC to the Swedish Embassy (2019)
- Financial reports from the ACSE-LC to the Swedish Embassy (2020)
- Financial reports from the ACSE-LC to the Swedish Embassy (2021)
- Final completion report from the ACSE-LC to the Swedish Embassy (2022)
- Audit reports for the support project (2018)
- Audit reports for the support project (2019)
- Audit reports for the support project (2020)
- Audit reports for the support project (2021)
- Meeting notes (compte rendus de réunion) from ASCE-LC team and partners
- Vision et priorités du CGE
- Stratégie nationale de prévention et de lutte contre la corruption et des infractions assimilées au Burkina Faso – Version provisoire (September 2021)
- Stratégie Genre de l'ASCE-LC (March 2021)
- Plan d'Action Genre (March 2021)
- Etude sur les risques de corruption dans le secteur de l'éducation (April 2021)
- Etude sur l'état de la corruption au sein de la douane du Burkina Faso (March 2020)
- Etude sur les risques de corruption dans le foncier (April 2021)
- Etude spécifique sur les risques de corruption dans le secteur des mines au Burkina Faso (April 2021)
- Etude spécifique sur les risques de corruption dans le secteur des transports au Burkina Faso (April 2021)
- Etude sur les risques de corruption dans le secteur de la santé (April 2021)
- Etude sur les risques de corruption dans les secteurs de la commande publique et de la police (April 2021)

- Évaluation de la mise en œuvre de la politique nationale de lutte contre la corruption et son plan d'actions (April 2021)
- Cadre logique du projet ASCE-LC révisé (no date)
- Loi organique N 082-2015/CNT
- ASCE-LC Plan Stratégique 2021-2025 (February 2021)
- Plan de communication de l'ASCE-LC
- Plan d'Action Elargi (2019)
- Manuel de Procédures ASCE-LC\_Aout 2018-final

### Appendix 3 List of interviewees (planned)

Organisation	Name	Function	Interview status
ASCE-LC	Respondent	Contrôleur général d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur général d'Etat adjoint	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat, Chef de département	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat, Chef de département	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat, Chef de département	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat, Chef du Département	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat, Chef du Département	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
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ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Contrôleur d'Etat	Contacted
ASCE-LC	Respondent	Secrétaire général	Contacted
ASCE-LC	Respondent	Coordonnateur du PRO/ASCE-LC	Contacted
ASCE-LC	Respondent	Chargé du suivi évaluation	Contacted
ASCE-LC	Respondent	Directeur de l'administration des finances	Contacted
ASCE-LC	Respondent	Agent comptable	Contacted
ASCE-LC	Respondent	Personne responsable de la commande publique	Contacted
ASCE-LC	Respondent	Comptable principal matières	Contacted
ASCE-LC	Respondent	Directeur de la communication et de la presse	Contacted
ASCE-LC	Respondent	Directeur des systèmes d'information et de la documentation	Contacted

ASCE-LC	Respondent	Contrôleur général d'Etat adjoint jusqu'au 31 décembre 2019	Contacted
ASCE-LC	Respondent	Secrétaire du Coordonnateur du PRO/ASCE-LC	Contacted
REN-LAC	Respondent	Secrétaire exécutif du REN-LAC	Contacted
LEJIPAD	Respondent	Présidente de l'association LEJIPAD	Contacted
ASCE-LC	Respondent	Directeur du contrôle des marchés et des engagements financiers de l'ASCE-LC	Contacted
Magistrat	Respondent	Magistrat	Contacted
Direction Générale de la Coopération	Respondent	DGCOOP	Contacted
Direction Générale du Budget	Respondent	DGB	Contacted
Direction Générale de l'Economie et de la Planification	Respondent	DGEP	Contacted
ASCE-LC	Respondent	ASCE-LC	Contacted
ASCE-LC	Respondent	ASCE-LC	Contacted
ASCE-LC	Respondent	ASCE-LC	Contacted
ASCE-LC	Respondent	ASCE-LC	Contacted

## Appendix 4 Interview guide

The guide will be adapted for the different types of respondents (ASCE staff, project implementers, Swedish embassy, partners, other donors, etc.) by the evaluation team. The guide is presented in French, as interviews will be carried out in this language.

Nom de la personne réalisant l'entretien	
Lieu de l'entretien	
Date de l'entretien	
Nom du répondant	
Sexe du répondant (Homme, Femme, Autre, Préfère ne pas dire)	
Organisation et rôle	
Pouvez-vous vous présenter, expliquer votre rôle dans l'ASCE [ou autre organisation], ainsi que votre ancienneté dans l'institution ?	
Quel a été votre rôle dans le projet de renforcement organisationnel de l'ASCE ? Comment avez-vous été impliqué ? Quelle a été votre participation ?	
Le projet vise, à travers le développement d'outils opérationnels pour l'ASCE-LC, le renforcement des capacités des corps de métiers et le développement de la fonction communication, à contribuer à réduire le niveau de corruption au Burkina Faso. D'après vous, les activités du projet ont-elles contribué à professionnaliser l'ASCE ? Si oui, de quelle manière ?	
Quelles activités en particulier ont été importantes dans cette professionnalisation ? Quelles activités ont été moins utiles ? Pourquoi ?	
D'après vous, les activités du projet ont-elles contribué à communiquer sur les pratiques de corruption, prévenir celles-ci et augmenter la visibilité de l'ASCE ? De quelle manière et avec quels résultats ?	
Quelles activités en particulier ont été importantes pour permettre une meilleure communication/ sensibilisation/ visibilité ? Quelles activités ont été moins utiles ? Pourquoi ?	

<p>Pensez-vous que les ateliers de formation ont contribué à la professionnalisation de l'ASCE, et pas seulement au développement des compétences de quelques individus uniquement ? Si oui, dans quelle mesure et quels exemples avez-vous d'une professionnalisation systématique et institutionnalisée de l'ASCE? Si non, pensez-vous qu'une organisation différente du projet aurait pu mener à une professionnalisation plus solide et pérenne de l'ASCE ?</p>	
<p>D'après vous, quels facteurs (internes ou externes au projet) ont été déterminants dans le déroulement du projet et ses résultats ?</p>	
<p>À votre connaissance, est-ce que certaines des activités proposées dans le cadre du projet ont été adaptées pour répondre aux besoins lorsque le contexte a changé (changement interne ou externe à l'ASCE)? De quelle manière ? Avez-vous des exemples concrets ?</p>	
<p>Parmi les activités auxquelles vous avez participé, lesquelles étaient les plus à même de répondre à vos besoins et à ceux de l'organisation ? Pourquoi ? Quelles activités auraient été préférables d'après vous ?</p>	
<p>Dans quelle mesure le projet a-t-il bénéficié d'une réflexion sur son efficacité et son intérêt pour les participants ? Y avait-il un système de suivi et d'évaluation de chaque activité en place ? Si oui, comment ce système a-t-il été utilisé, et avec quels résultats ? Avez-vous des exemples concrets de changements liés à ce qui a été observé et appris lors de la mise en œuvre des activités ? Qui ou qu'est-ce qui a été à l'origine de ces changements ?</p>	
<p>L'ASCE a également reçu du soutien de la Banque Mondiale dans le cadre du Projet de gouvernance économique et de participation citoyenne (PGEPC). D'après vous, quelle était la complémentarité des deux projets (ASDI et BM) ? Y a-t-il eu coordination entre les deux, afin d'éviter les doublons et renforcer la complémentarité des activités ? Qu'est-ce qui aurait permis une meilleure complémentarité entre ces projets ?</p>	
<p>L'ASCE a également reçu du soutien de l'Union Européenne dans le cadre du renforcement de l'institution. D'après vous, quelle était la complémentarité des deux projets (ASDI et UE) ? Y a-t-il eu coordination</p>	

<p>entre les deux, afin d'éviter les doublons et renforcer la complémentarité des activités ?</p>	
<p>Le projet ASDI de renforcement organisationnel de l'ASCE est-il complémentaire et bien ajusté par rapport à d'autres interventions du même type dans le secteur (e.g. actions de la société civile) ? Y a-t-il d'autres projets dans d'autres institutions qui sont similaires ? Si oui, y a-t-il coordination entre ces projets et celui financé par l'ASDI ? Qu'est-ce qui aurait permis une meilleure complémentarité entre ces projets ?</p>	
<p>Que pouvez-vous nous dire au sujet de l'allocation des ressources du projet sur ses différents composants ? Quels choix ont été faits par rapport à cette allocation ? Pourquoi ? Avec le recul, pensez-vous que les ressources auraient dû être utilisées différemment ? Si oui, comment ?</p>	
<p>D'après vous, les résultats obtenus avec ce projet sont-ils pérennes/ vont-ils subsister au-delà de la période d'activité et du financement du projet ? Si oui, de quelle manière ? Si non, pourquoi, et que faudrait-il mettre en place pour pérenniser les résultats obtenus ? Par qui ?</p>	
<p>Dans l'éventualité d'un futur projet de renforcement, quelles activités seraient les plus utiles pour l'ASCE d'après vous, en prenant en compte le contexte actuel ? Avez-vous des suggestions ?</p>	
<p>Avez-vous des questions à nous poser, par rapport à l'évaluation en cours ?</p>	
<p>Merci pour votre participation à cet entretien.</p>	

## Appendix 5 Online survey questionnaire

The online survey will be launched on the SurveyMonkey platform. It will be shared with ASCE staff, in order to gather information more systematically, quantifiably and in a more confidential manner than through one-to-one interviews. The questionnaire is presented in French, as it will be administered in this language.

Nom du répondant	
Sexe du répondant (Homme, Femme, Autre, Préfère ne pas dire)	
Organisation et rôle	
Quel est votre rôle dans l'ASCE ?	
Quel a été votre rôle dans le projet de renforcement organisationnel de l'ASCE ?	
Comment définiriez-vous les besoins de l'ASCE en terme de renforcement organisationnel ?	
Parmi les activités auxquelles vous avez participé, lesquelles étaient les plus à même de répondre à vos besoins et à ceux de l'organisation ?	
Parmi les activités suivantes, lesquelles ont-été les plus utiles pour renforcer l'organisation de l'ASCE ?  (liste d'activités – le répondent est invité à voter pour chaque activité : Très utile, Utile, Peu utile, Pas utile du tout, Non applicable)	
D'après vous, les activités du projet ont-elles contribué à communiquer sur les pratiques de corruption, prévenir celles-ci et augmenter la visibilité de l'ASCE ?  Oui, Non, Non applicable. Commentaire : Pourquoi ?	
Pensez-vous que les ateliers de formation ont contribué à la professionnalisation de l'ASCE dans son ensemble, et pas seulement au développement des compétences de quelques individus uniquement ?  Commentaire : Si oui, quels exemples avez-vous d'une professionnalisation systématique et institutionnalisée de l'ASCE? Si non, pensez-vous qu'une organisation différente du projet aurait pu mener à une	

<p>professionnalisation plus solide et pérenne de l'ASCE ? Comment pensez-vous que le projet aurait dû être organisé ?</p>	
<p>D'après vous, quels facteurs (internes ou externes au projet) ont été déterminants dans le déroulement du projet et ses résultats ?</p>	
<p>À votre connaissance, est-ce que certaines des activités proposées dans le cadre du projet ont été adaptées pour répondre aux besoins lorsque le contexte a changé ?</p> <p>Oui, Non, Non applicable. Commentaire : De quelle manière ? Pouvez-vous donner des exemples concrets ? Comment les activités auraient-elles pu être mieux adaptées ?</p>	
<p>D'après vous, les résultats obtenus avec ce projet sont-ils pérennes/ vont-ils subsister au-delà du projet ?</p> <p>Oui, Non, Non applicable. Commentaire : Si oui, de quelle manière ? Si non, pourquoi, et que faudrait-il mettre en place pour pérenniser les résultats obtenus ?</p>	
<p>Dans l'éventualité d'un futur projet de renforcement, quelles activités seraient les plus utiles pour l'ASCE d'après vous, en prenant en compte le contexte actuel ?</p>	
<p>Avez-vous d'autres commentaires ou suggestions que vous souhaitez partager avec l'équipe d'évaluation ?</p>	
<p>Merci pour votre participation à cette enquête.</p>	



## Final Evaluation of the support contribution to Superior Authority of State Control – fighting against corruption in Burkina Faso

NIRAS was contracted by the Embassy of Sweden in Burkina Faso to conduct an evaluation of their support to the Superior Authority of State Control and the Fight against Corruption (ASCE-LC) during the 2017-2021 period. In 2017, at the request of the Government of Burkina Faso, Sida approved funding for institutional and organizational support for the ASCE-LC. Through the development of operational tools, capacity building and development of the communication function, the project aimed to contribute to reducing the level of corruption in Burkina Faso. The objectives of the evaluation were to provide lessons on the results achieved and inputs into upcoming discussions for a possible new phase of support. The evaluation found that many achievements contributed to the professionalization of ASCE-LC since 2017. These should not, however, hide a certain number of shortcomings: incompleteness of some tools, failure to carry out certain activities due to budget allocations and a slow bureaucratic structure, and the need for more targeted and specific trainings. Sida should consider funding another phase of support for the ASCE-LC that aligns with the organisation's strategic plan for the coming period (2021-2025) while coordinating with other donors in the country to adapt the support to the current security and political context.

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