



Protocol for Quality Assurance of IDI's Global Public Goods

Definition

IDI's Global Public Goods (GPGs) are products and tools created by the IDI for contributing to global knowledge creation, capacity development and enhanced performance of SAIs. These products and tools are freely available to SAIs, all other stakeholders involved in supporting SAIs, and members of the public at large, such that the use by one party does not preclude the use by another.

IDI's GPGs are most commonly developed as a part of IDI's capacity development programmes. These could be based on INTOSAI standards and guidance within the INTOSAI Framework of Professional Pronouncements (IFPP) or INTOSAI documents that are outside the IFPP. While they are relevant to all SAIs, they are generally tailored to meet the needs of SAIs of developing countries. They are generally created by global or regional teams of resource persons with relevant expertise from SAIs, other INTOSAI bodies and other stakeholders. IDI's Global Public Goods are outside the IFPP. For example ISSAI Implementation Handbooks, iCATs, QA tool and guidance, Towards Greater Independence Guidance etc

IDI GPGs do not include IDI training material, courseware, eLearning material, tests, occasional papers, meeting reports and programme products like compendiums etc. The IDI will define a separate protocol to ensure the quality of these products.

Purpose

This protocol aims to define a robust and transparent process for development and maintenance of high quality GPGs at the IDI. Such a process will ensure that the users of these documents are assured of the quality of the documents and informed about the process followed in their development.

This protocol is aligned to the provisions of INTOSAI Goal Chairs and IDI's joint paper on 'Quality assuring INTOSAI public goods that are developed and published outside due process'. The IDI quality protocol meets the requirements of Level 1 quality assurance as described by the joint paper, as they are subjected to a quality assurance process equivalent to Due Process for IFPP, including an extended period of transparent public exposure.

This protocol is mandatory for all documents classified by the IDI as GPGs. In case of IDI GPGs that are co-branded, the IDI and its partner will agree on a protocol of quality assurance. The agreed protocol will not be of a lower level than the IDI protocol.

This protocol will be applicable to all new or updated IDI GPGs that are published on or after 31 December 2017. By 31 December 2018, all IDI GPGs will contain a quality assurance statement in the format provided in this protocol.

Governance & Oversight Arrangements

The creation of a GPG will be approved by the IDI Board as a part of its approval for the IDI programme, which contains this component. In case the GPG is planned to be developed outside an IDI programme, the IDI Board will separately approve the creation of such a GPG, as a part of approving the Operational Plan.

The detailed proposal and terms of reference for the GPG will be approved by a panel consisting of the Deputy Director General (DDG) responsible for the programme and the Director General (DG), IDI. The protocol defines different stages at which IDI management will exercise oversight on the development of the GPG. The Strategic Support Unit (SSU) unit within the IDI will provide quality assurance that the GPG has been created following the quality protocol. The GPG will contain a quality statement to that effect.

The IDI management, through the Performance and Accountability Report, will report to the IDI Board and other stakeholders on an annual basis on the development and maintenance of GPGs. The IDI will also include information on the development and maintenance of its GPGs as a part of its annual report to the INTOSAI Governing Board.

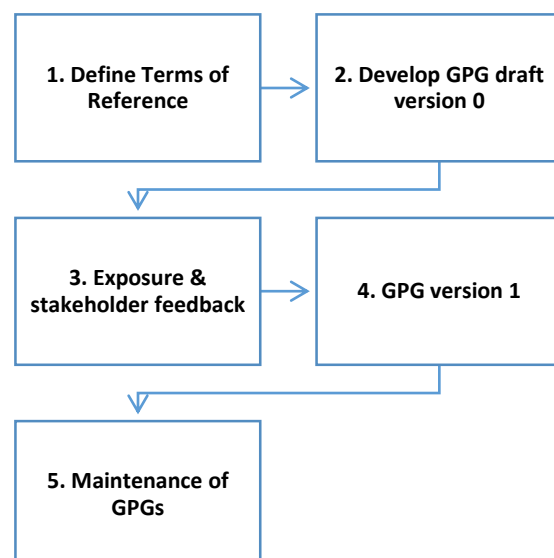
Quality Control and Assurance Process for development of GPGs

The IDI will follow a five-step process for development of its GPGs

Step 1 – Define Terms of Reference (TOR)

When a GPG is to be created or maintained the responsible manager will develop a terms of reference document. This document will specify the following

- the purpose of the GPG and its link to the programme plan,
- the functional and other competencies required by resource persons developing the GPG,
- a proposal for composition of team members,
- identification of external experts for review
- competencies of external experts and nature of review to be carried out.
- time schedule for development of GPG as per prescribed process.



- co-branding requirements,
- language in the which GPG will be developed and translated
- process to be followed for ensuring high quality translations
- definition of key internal and external stakeholders for the programme
- process for piloting GPG draft version 0.
- stakeholders and communities who should be specifically informed and from whom comments should be sought at GPG version 0s exposure stage.
- outreach strategies for version 1.
- process for defining a maintenance schedule for the GPG.

The responsible manager will share the TOR with the SSU, which will provide assurance that the TOR meets the requirements defined in this protocol. The TOR will be approved by a panel of DG and DDG responsible for the programme that the GPG is being developed under. The manager will take the approval of DDG concerned before making any material changes that could impact the quality of the process or product. The DG will be kept informed about such changes.

Step 2 – Develop GPG draft version 0

The process of developing GPG draft version 0 consists of the following sub steps:

Team formation – Based on the approved TOR, the manager responsible will put together a team for development / maintenance of the GPG. The team formation will depend on the functional and other cross cutting competencies identified in the TOR. To the extent possible, the manager will ensure that the team collectively has the competencies needed for developing the GPG. The manager may select resource persons based on competencies identified or may ask for volunteers from the SAI community based on competencies identified. The role of the team leader may be played by the manager concerned or be given to another resource person. This decision will be taken by the manager based on the availability and willingness of another resource person acting as team leader.

In case the identified competencies or persons are not available, the manager will consult with the DDG to propose changes in the TOR.

Research /Stocktaking – As a part of the product development process the team or a sub team may undertake research /stocktaking on the subject matter under consideration. If the team already has sufficient input in the subject matter, they may decide that no further work is required in the area. Any research or stocktaking undertaken in the process of development of the GPG will directly feed into the GPG and will not be published as a separate document.

Product Development – The modalities of developing the product will depend on the process specified in the TOR. It could be a blended process with a mix of face to face meetings and online work. In developing IDI GPGs the product development team will ensure that all relevant INTOSAI standards and guidance within IFPP, or INTOSAI documents that are outside the IFPP, are considered.

Quality Management

- **Review by the product development team and IDI team** – After the product is developed as per agreed timelines, the draft will be reviewed internally by the product development team. The manager may also send the draft for review by colleagues at IDI with subject matter knowledge of the area.
- **Review by external experts** – the manager responsible will send the draft to external experts identified for conducting the review. The competencies of the external experts and the nature of review to be carried out by them will be specified in the TOR.

Modification of draft – The product development team will modify the draft, based on comments received. This modified draft will be Draft version 0. The team will also develop a matrix showing how the comments received have been addressed in the modified draft. The manager will arrange to have draft version 0 proofread, edited and designed. The manager will submit GPG draft version 0 for approval of a panel of DG and DDG concerned.

Translation and piloting– On approval of GPG version 0, it will be translated into other languages and may be piloted by the IDI depending on the programme plan. In getting version 0 translated, the manager should ensure that the identified process for maintaining quality of translations is followed. Such a process may include review of translation by regional manager and regional experts. The manager will submit final translated versions for approval of DDG and DG.

Step 3 – Exposure and stakeholder feedback

The manager responsible will arrange for approved draft version 0 and its translations to be placed on the IDI website, linked to other INTOSAI websites and other relevant communities of practice for exposure and comments. The manager will arrange for all relevant stakeholders, both internal and external, to be informed of the availability of draft version 0 for comments. To facilitate comments, the manager could also give advance notice to stakeholders while the draft version is still being developed. GPG version 0 will be exposed for a period of 90 days. All feedback received during this period will be documented by the manager concerned. The manager concerned may develop a feedback format if he/she considers it necessary to ask for specific feedback.

Step 4 – GPG version 1

The product development team will develop GPG version 1 by modifying GPG version 0 based on the feedback received during the exposure stage and lessons learned from piloting if any. In case of comments received in languages other than English, the regional managers will arrange to have the comments translated so that they can be addressed by the product development team. The Product development team will also develop a matrix showing how the comments received have been addressed in the GPG version 1. This matrix will be shared on the IDI website for all stakeholders and will be communicated specifically to those that have provided comments. The modified version will be proofread and edited, if necessary. Modifications will also be made to the translated version of the document. These will also be

reviewed, proofread and edited, if necessary. The final version of GPG 1 will be signed off by the manager and sent for approval of a panel consisting of the concerned DDG and DG.

Quality statement in GPG version 1 - GPG version 1 will contain a quality statement that will detail the quality control checks exercised during the development of GPG version 1. The SSU in the IDI will provide assurance that the IDI has exercised the quality control checks mentioned in the quality statement. A paragraph to this effect will be included as a part of quality statement, which will be signed by DG, IDI. The translated versions of the document will also include details on the process followed for managing quality of translations. Annexe 1 provides a template for such a quality statement.

Communication and outreach for GPG version 1 – After the GPG is placed on IDI website, GPG version 0 will be removed from the website. The new version will be linked to all relevant websites and communities of practice. The manager concerned will arrange for all identified internal and external stakeholders to be informed about the availability of GPG version 1.

Step 5 – Maintenance of GPGs

The TOR for each GPG will specify the maintenance schedule for that GPG. When a GPG is due for maintenance, the manager concerned will draw up a TOR for maintenance and define the process to be followed. If the GPG undergoes a major overhaul, the maintenance process to be followed will be similar to the development process. In case of minor updates, a shorter process, keeping in mind quality requirements, may be followed.

Withdrawal of GPGs While drawing up a TOR for maintenance, if the manager finds that the GPG has become obsolete, is not being used, is to be replaced by another GPG, he/she can propose that the GPG be withdrawn. While making such a proposal the manager is required to provide reasons for the withdrawal of the GPG. Such withdrawal will be approved by a panel of DDG concerned and DG, IDI and submitted to the IDI Board for approval as a part of the Operational Plan. The INTOSAI Board will be informed as a part of the IDI annual report.

Annexe 1

Template for Quality Statement for IDI's Global Public Goods Version 1

The IDI assures the users of this Global Public Good that this document has been subjected to a quality assurance process equivalent to Due Process for IFPP, including an extended period of transparent public exposure.

The IDI has implemented quality control measures required by the Protocol for Quality Assurance of IDI's Global Public Goods. These measures include approval by the IDI Board to create the GPG, formation of a competent product development team, review by experts, modification based on review, proofreading, editing and translation of the document by competent persons, public exposure for a period of 90 days, modifications of the document based on comments received during public exposure and due approvals for the GPG version 1.

This GPG will be reviewed by the IDI after (time period in years).

Ms/Mr (Name) from SSU Unit at IDI has reviewed the process followed for the development of the GPG and has provided assurance that the IDI has, indeed, carried out the quality control measures stated above.

Director General,

IDI