

PROTECTING SOCIAL PROGRAMMES

ANTI-CORRUPTION TOOLKIT

ECONOMIC EQUALITY IN LATIN AMERICA



**CONDITIONAL
CASH
TRANSFER
PROGRAMMES**

**THE EELA
(ECONOMIC
EQUALITY IN
LATIN AMERICA)
PROGRAMME**

METHODOLOGY

**BUDGET
TRANSPARENCY
OF SOCIAL
PROGRAMMES**

ANNEXES

CHECKLISTS

1

CONDITIONAL CASH TRANSFER PROGRAMMES







© Acción Ciudadana

INTRODUCTION

Starting in Mexico and Brazil, Latin American countries have started implementing Conditional Cash Transfer (CCT) Programmes in the late 1990s whereby selected families living in extreme poverty receive cash in exchange for complying with “conditionalities/co-responsibilities” in health and education, such as ensuring regular school attendance, turning up for vaccination campaigns and other preventive health actions. The aim is twofold: (1) to break future poverty by building human capital, and (2) to alleviate existing poverty levels through cash transfers.

CCT programmes have become prominent due to their results and allocated budgets, as well as the size of the target population. They have been modified and adapted to better meet the needs of vulnerable populations.

Table

SOURCE: ECLAC, SOCIAL PROGRAMMES DATABASE ([HTTP://DDS.ECLAC.ORG/BDPTC](http://dds.eclac.org/bdptc))

| COUNTRY | ONGOING PROGRAMME (YEAR) |
|-------------|---|
| Argentina | Asignación Universal por Hijo para Protección Social (2009) Programa Ciudadanía Porteña “Con todo derecho” (2005) |
| Bolivia | Bono Juancito Pinto (2006) Bono Madre Niño-Niña de “Juana Azurduy de Padilla” (2009) |
| Brazil | Bolsa Familia (2003) |
| Chile | Chile Solidario (2002) |
| Colombia | Familias en Acción (2001) Red Juntos (Red para la superación de la pobreza extrema) (2007) Subsidios condicionados a la Asistencia Escolar (2005) |
| Costa Rica | Avancemos (2006) |
| Ecuador | Bono de Desarrollo Humano -2003 |
| El Salvador | Comunidades Solidarias Rurales (ex Red Solidaria) (2005) |
| Guatemala | Mi Familia Progreso (2008) |

| COUNTRY | ONGOING PROGRAMME (YEAR) |
|---------------------|---|
| Honduras | Programa de Asignación Familiar (PRAF) (1990) Bono 10.000; Educación, Salud y Nutrición (2010) |
| Jamaica | Programa de avance mediante la salud y la educación (2002) |
| Mexico | Oportunidades, ex Progreso (1997) |
| Panama | Red de Oportunidades (2006) |
| Paraguay | Tekoporâ (2005) Abrazo (2005) |
| Peru | Juntos (2005) |
| Dominican Republic | Solidaridad (2005) |
| Trinidad and Tobago | Programa de transferencias monetarias condicionadas mfocalizadas (TCCTP) (2006) |
| Uruguay | Asignaciones Familiares (2008) |

| COUNTRY | ONGOING PROGRAMME (YEAR) |
|---------------------|---|
| El Salvador | Comunidades Solidarias Rurales (ex Red Solidaria) (2005) |
| Guatemala | Mi Familia Progresá (2008) |
| Honduras | Programa de Asignación Familiar (PRAF) (1990) Bono 10.000; Educación, Salud y Nutrición (2010) |
| Jamaica | Programa de avance mediante la salud y la educación (2002) |
| Mexico | Oportunidades, ex Progresá (1997) |
| Panama | Red de Oportunidades (2006) |
| Paraguay | Tekoporá (2005) Abrazo (2005) |
| Peru | Juntos (2005) |
| Dominican Republic | Solidaridad (2005) |
| Trinidad and Tobago | Programa de transferencias monetarias condicionadas mfocalizadas (TCCTP) (2006) |
| Uruguay | Asignaciones Familiares (2008) |





© Acción Ciudadana

Since their inception, CCT programmes have been designed to reach large population groups. In the 2000s not only did they managed to grow in number—CCT programmes have extended their presence from 3 countries in 1997 to 18 countries in 2010—but they also augmented the sums of the cash transfers, expanded their coverage, and geographical reach (Bastagli, 2009). In many cases, their introduction into the country’s social policy resulted in institutionalisation (Hailu, Medeiros y Nonaka, 2008).

In 2012 this kind of programme attended to an estimated 20% of the region’s population, the poorest and the most excluded segments of the population.

Table

SOURCE: COMPILATION BASED ON 2012 ECLAC DATA

| COUNTRY | PROGRAMME | REFERENCE YEAR | BENEFICIARY N° | 2011-2012 BUDGET (USD) |
|--------------------|--|----------------|----------------|------------------------|
| Argentina | Asignación Universal por Hijo (AUH) | 2012 | 3,540,717 | 2,883,780,726 |
| Colombia | Familias en Acción | 2012 | 11,719,319 | 733400799.00 |
| Dominican Republic | Programa Solidaridad | 2011 | 2,947,164 | 134419952.00 |
| Guatemala | (Mi Familia Progresá 2011) Mi Bono Seguro | 2012 | 750,000 | 155410200.00 |
| Honduras | Bono 10.000 | 2012 | 1,875,000 | 27976667.00 |
| Bolivia | Bono Juancito Pinto | 2012 | 1,822,874 | 53491879.00 |
| Peru | JUNTOS | 2011 | 2,765,521 | 323342805.00 |

These programs have acquired high visibility both regionally and globally in the policy debates on poverty reduction, mainly due to their promotion by organisations such as the World Bank and the Inter-American Development Bank (IDB). Additionally, these programmes have been shared and discussed by newly established multilateral knowledge-sharing forums such as the Inter-American Social Protection Network (IASPN), created in the framework of the Organisation of American States (OAS), where countries share best practices.

STRUCTURE

Conditional cash transfer programmes typically provide monetary and non-monetary incentives to households living in poverty or extreme poverty, with one or more children (minors). These households receive the transfer once they complete activities aimed at developing or improving their human capital. In some cases, unemployed or disabled people and senior citizens are included in the programme, allowing childless families to benefit.

CCT programmes' conditionality relates to education, health and nutrition (e.g., attendance at preventative health care services or regular school attendance). In addition to cash transfers, some CCT programmes provide in-kind assistance such as food supplements and school bags with supplies. Furthermore, programme participation mandates the use of education and health related services –preventive talks, dissemination seminars, counselling and guidance.

In all cases, women play a key role. Mothers are responsible for complying with the programme requirements, and they are usually the ones who receive the transfers. This operates under the assumption that they are better equipped to improve their families' overall well being, especially that of their children. They sometimes act as programme champions, bringing other women together and explaining the transfer delivery process to them.

The usual components of a Conditional Cash Transfer Programme are set out below.

Table 2
TYPICAL PROGRAMME COMPONENT OUTLINE

Source: Own



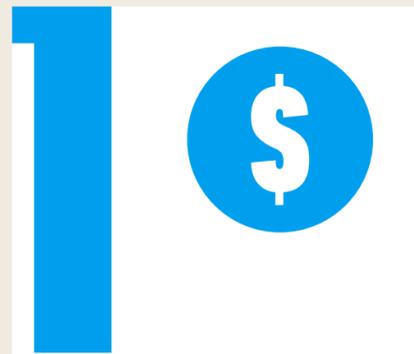
MAIN ISSUES

More than ten years after Progresa (now renamed Oportunidades) the first programme of its kind started operating in Mexico, other CCT programmes such as Brazil's Bolsa Escola have also become references. However, despite the vast literature and the large number of colloquia and seminars about CCT programmes, a certain lack of information about how they operate, their role in a country's social policy, and their link to sectorial policies persists (Sojo, 2003; Draibe y Riesco, 2009). Concerns about the way CCT programmes seek to tackle poverty (Standing, 2007), and the dependence on economic and political cycles (Moore, 2009), have also been raised. Even their **effectiveness and efficiency**, previously considered their main strengths, have also been called into question (Draibe y Riesco, 2009; Pérez Ribas, Vera Soares e Issamu Hirata, 2008).

This last issue is particularly relevant because since their inception, CCT programmes have continuously emphasised the importance of impact assessments and the efficient use of public resources. Numerous assessments confirm the **programmes' positive impact** in strengthening human capital development and in breaking the poverty cycles. For instance, it has been estimated that these safety nets have assuaged poverty for approximately 80 million people in Mexico and Brazil while increasing levels of healthcare and school enrolment. Data collection on positive impacts has thus been instrumental in both fostering existing programmes, and promoting the introduction of similar initiatives in other developing countries.

Nevertheless, CCT programmes **may lack efficacy on account of their design and operation. They are at risk of abuse by local authorities**, and they can be inclined to serve political agendas.

Some reasons behind this lack of efficacy include the following:

- 

La entrega de dinero en efectivo a millones de familias, las más vulnerables y desprotegidas
- 

Beneficiary-targeting and cross-compliance monitoring poses questions with regard to the institutional capacity necessary to accomplish these steps at the local level
- 

Governments use of these programmes for propaganda purposes, whereby they show these as 'anchor programmes' in their strategies to fight poverty
- 

Full control of local public servants with regard to monitoring compliance
- 

Strategic importance of cash transfers to buy food and basic commodities, among other things.

These risks translate into a violation of the citizens' right to access and receive programme benefits without discrimination, and make it difficult to reduce present and future poverty.

2

THE EELA (ECONOMIC EQUALITY IN LATIN AMERICA) PROGRAMME







© Acción Ciudadana

INTRODUCTION

Since 2008, Transparency International (TI) has been developing a methodology for civil society to ensure that effective transparency and accountability mechanisms are implemented in principle and in practice. It recognises the importance of Conditional Cash Transfer (CCT) programmes; and aims to help transfers reach those entitled to receive them. TI's methodology focuses mainly on detecting risks to integrity, possible exclusion errors, and a programme's effective capacity.

Box 1
PREVENTING CORRUPTION IN CASH TRANSFER PROGRAMMES:



 **TRANSPARENCY INTERNATIONAL**
the global coalition against corruption

[HOME](#) [WHO WE ARE](#) [WE DO](#) [GET INVOLVED](#) [NEWS](#) [DONATE](#)

You are currently - [Home](#) / [What we do](#) / [Research](#) / [Corruption Helpdesk](#) / [Corruption prevention strategies in cash transfer schemes](#)

CORRUPTION PREVENTION STRATEGIES IN CASH TRANSFER SCHEMES

Filed under - [Poverty and development](#)

Published on 30 April 2010 as a U4 Helpdesk answer

Has any work been done on corruption prevention strategies in cash transfer programmes that are particularly interested in targeting mechanisms and payments? What material is available that looks at these issues from an anti-corruption perspective?

- [Download full answer](#)

CONTACT THE ANTI-CORRUPTION HELPDESK

If you work for one of our supporting partner organisations, submit your query to the Helpdesk: helpdesk@transparency.org

- [List of Helpdesk answers published Aug-Dec 2013](#)
- [List of Helpdesk answers published Jan-Jul 2013](#)
- [Liste des réponses du Helpdesk pour Janvier-Juillet 2013](#)
- [List of Helpdesk answers published in 2012](#)
- [Liste des réponses du Helpdesk publiées en 2012](#)
- [List of Helpdesk answers published in 2011](#)

[Search our Helpdesk answers](#)

In an initial pilot phase, the Economic Equality in Latin America (EELA) Project was carried out in Bolivia, Guatemala and Peru.

Box 2

SAMUEL ROTTA, FROM TI'S CHAPTER IN PERU (PROETICA), COMMENTS ON THE BEGINNING OF EELA.



At the time, the EELA project allowed the refinement of the methodology in order to assess the risks to integrity. The project started with an in-depth review of the impact of corruption, particularly on the poorest sectors of society and the indigenous peoples.

Box 3 CORRUPTION AND INDIGENOUS POPULATIONS



The screenshot shows a webpage with a blue header and navigation menu. The header includes the Transparency International logo and the word "INTEGRITY" in large letters. The navigation menu has links for HOME, WHO WE ARE, WHAT WE DO, GET INVOLVED, NEWS, and DONATE. The main content area features a breadcrumb trail: "You are currently - Home / What we do / Research / Corruption Helpdesk / Impact of corruption on indigenous people". The main heading is "IMPACT OF CORRUPTION ON INDIGENOUS PEOPLE". Below this, it says "Filed under - Poverty and development" and "Published on 26 May 2010 as a U4 Helpdesk article". A large white play button is overlaid on the page. On the right side, there is a section titled "CONTACT THE ANTI-CORRUPTION HELPDESK" with a search bar and a list of links for helpdesk answers published in various periods: "List of Helpdesk answers published Aug-Dec 2013", "List of Helpdesk answers published Jan-Jul 2013", "Liste des réponses du Helpdesk pour Janvier-Juillet 2013", "List of Helpdesk answers published in 2012", "Liste des réponses du Helpdesk publiées en 2012", and "List of Helpdesk answers published in 2011". At the bottom right, there is a link "Search our Helpdesk answers".



© Acción Ciudadana

Phase II of the EELA Project, Strengthening Transparency and Accountability in CCT Programmes, was implemented in 2012-2014 in order to test and improve the methodology. This second phase seeks to promote concrete evidence-based measures to drive changes and improvements, which in turn could make CCT programmes more transparent and effective. EELA II was also expanded to include seven countries: Argentina, Colombia, Dominican Republic, Bolivia, Guatemala, Peru and Honduras.

The [methodology in use](#) has allowed the identification of a series of qualitative findings about the strengths and weaknesses of integrity mechanisms for every programme under review. These findings are based on careful observation of the structure of each programme, as well as the study of community-level cases. Programme participants themselves (staff, beneficiaries and other stakeholders) validated these findings, thus creating a set of recommendations to further strengthen transparency, accountability and social control mechanisms.

THE EELA II STRATEGY OBJECTIVES

1

Identify, typify, and assess the critical weaknesses of CCT programmes (in governance, transparency and accountability), and analyse the link between these and possible risks to integrity.

2

Contribute to strengthening governance, transparency and accountability mechanisms within CCT programmes.

3

Generate the conditions for vulnerable communities to be able to effectively understand and exercise their rights with regard to CCT programmes.

4

Incorporate Gender and Human Rights perspective throughout TI's research and advocacy frameworks, including those of TI's national chapters with regard to CCT programmes in Latin America.

5

Build strategic alliances with the relevant actors working at the national or regional level on human rights, gender, and poverty as well as inequality reduction.

Regarding the EELA II strategy objectives, it is possible to analyse the results achieved through Transparency International's co-operation with the National Chapters (NC's) during the implementation of EELA II. The analysis can be based on two aspects: strengthening from within, and the external impact. This information can then be dealt with regionally and at a country level.



© Acción Ciudadana

THE EELA THEORY OF CHANGE

The GENERAL FLOWCHART (A) is presented first. It represents graphically the long-term Change Map pursued by EELA through a gradual sequence of results (pre-conditions) intended to achieve a long-term goal.

Next the goal-based vision of the EELA Project, named LONG-TERM CHANGE (B) is presented. This represents what the Programme seeks to achieve over the next 10 years, based on different LEVELS OF INTERVENTION (C) / TRIGGER LEVELS (C). These interventions are those aimed at achieving the results above, as necessary pre-conditions to achieve the Vision of Success.

A. GENERAL FLOWCHART

STAGE I (EELA I)

Complete a consolidated Assessment and Management methodology for risks of corruption in social programmes.

STAGE II (EELA II)

The vulnerability of social programmes to political abuse and corruption is substantiated with evidence.

Politicians and community leaders publicly recognise risks of corruption and political abuse in social programmes.

Evidence is compiled showing the ways in which risks of corruption and political abuse violates beneficiaries' rights, and hinders the effectiveness of social programmes.

Improve Social Programme Staff's receptiveness to NC's recommendations.

Governments incorporate improvements to mechanisms of Transparency, Accountability and Participation (TAP) from a perspective of beneficiaries' gender and human rights, with a focus on comprehensive development.

STAGE III (?) (EELA III)

Political and social constituencies formalise an Agreement to combat political abuse in social programmes.

The multi-sectorial agreement reaches effective compliance.

Governments are held accountable for the social programmes' results and impact.

Governments train socially vulnerable recipients and individuals in how to fully exercise their rights.

Beneficiaries and CSOs actively participate in social control and monitoring of social programmes.

Legal, administrative and social sentences are upheld in cases of political abuse and corruption in social programmes.

Cases of political abuse and corruption in social programmes decrease.

TAP mechanisms and public information on social programmes are readily and effectively available to beneficiaries and CSOs.

BEYOND EELA

Socially vulnerable individuals fully exert their rights with regard to social programmes.

Social programmes' effectiveness is enhanced.

Social programmes contribute to break inter-generational poverty cycle.

(LONG-TERM CHANGE)

TRANSPARENT, SOCIALLY AUDITABLE AND ABUSE-FREE SOCIAL PROGRAMMES

DIRECT INTERVENTION

DOMINO EFFECT
(No intervention required)



B. PRE-CONDITIONS AND LEVELS OF INTERVENTION

FIRST INTERVENTION LEVEL: **STAGE I (Pilot phase) (EELA I)**

- **Timeframe:** 2010-2011
- **Geographical reach:** 3 NC's (Guatemala, Bolivia and Peru)

The first level of intervention frames the implementation of the EELA Pilot Phase, which took place between 2010 and 2011. The main actions in this intervention were directed toward achieving the following result:

The pilot phase involved three NCs in the design, systematisation and implementation of a methodology to assess and manage corruption risks in social programmes on two levels:

- 1) Process Analysis (focused on Public Policy)
- 2) Mapping of stakeholders (focused on fieldwork and direct relationship with local communities).

Although this phase included advocacy work, the main goal is consolidating the methodology as a necessary pre-condition to scale-up the next intervention level.

STAGE I (EELA I)

A methodology of Analysis and Treatment of the risks of corruption in Social Programmes is consolidated.

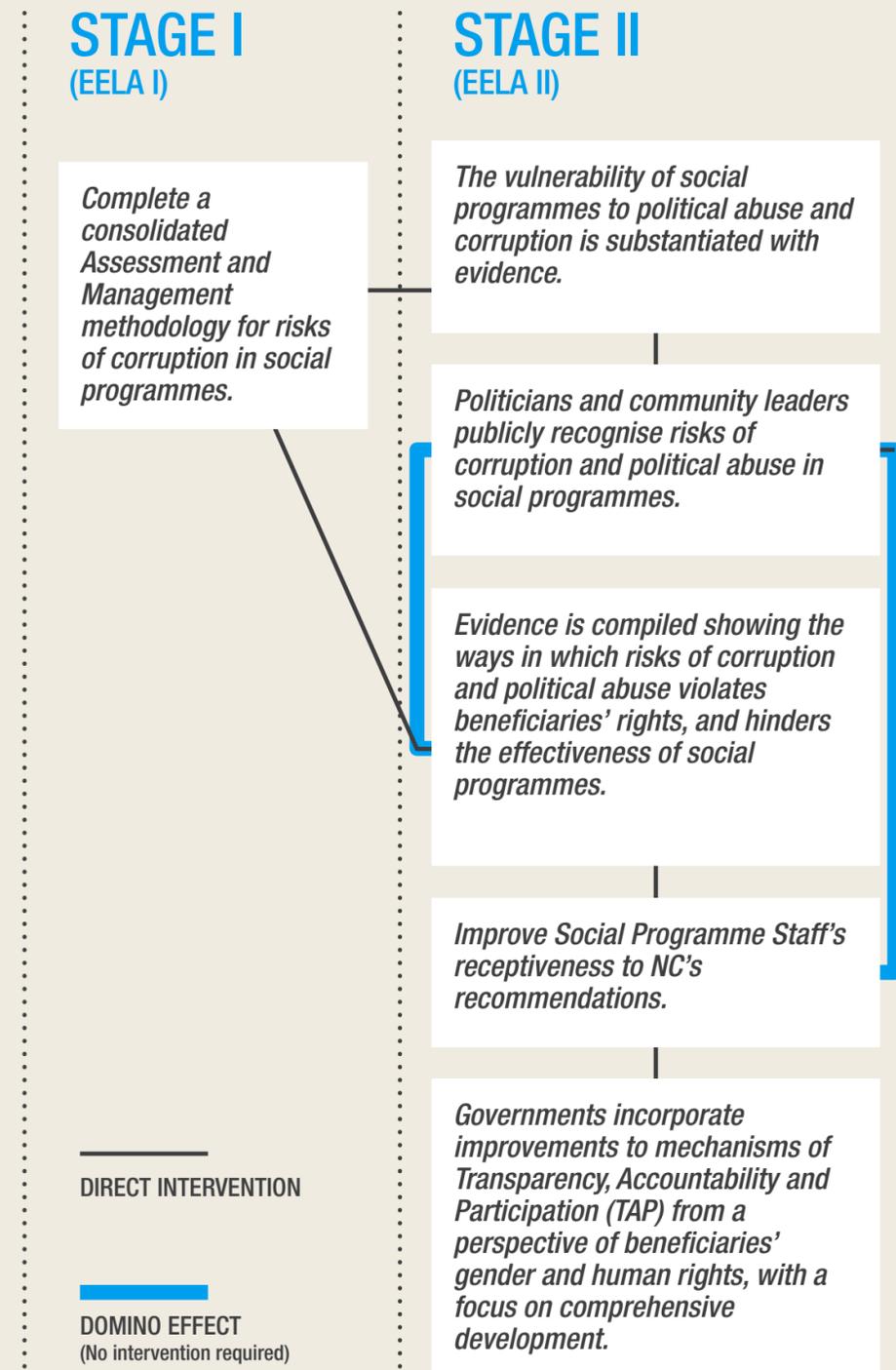
SECOND LEVEL OF INTERVENTION: STAGE II (EELA II)

- Timeframe: 2012-2014
- Geographical reach: 7 NCs (Guatemala, Bolivia, Peru, Colombia, Dominican Republic, Argentina and Honduras).

The second level of intervention involves the implementation of the EELA's second phase. The main actions in this **direct intervention** (represented as a solid line) are based on the prior condition of the previous level and are oriented first to achieve two complementary results, with the goal of building evidence by implementing the methodology.

As seen in the figure below, the evidence built by implementing the methodology is a pre-condition to set advocacy strategies in motion. These strategies then seek that first, both politicians' and community leaders' recognise publicly the risks of political abuse and corruption inherent in social programmes; and second, to improve the receptiveness of public servants.

Once the results mentioned above are achieved, the EELA II intervention level proposes advocacy activities for governments to incorporate improvements in the mechanisms of Transparency, Accountability and Participation (TAP) into social programmes. In doing so, it is expected that Human Rights and Gender issues be considered a priority, with a particular focus on comprehensive development for all beneficiaries.



THIRD LEVEL OF INTERVENTION: STAGE III / OTHER (?) (EELA III)

- **Timeframe: 2014-2020**
- **Geographical reach: Regional – Latin America**

The third level details expected results on the basis of the conditions established in the previous levels.

Looking toward long-term change, EELA III intervention and other possible future interventions occur in a hypothetical, broader time horizon, which the team expects to be 2020.

It is important to note that the third level is expected to produce results on the basis of the impact achieved by government and public policy (leaders' public recognition, staff openness, inclusion of TAP mechanisms). It is also expected to produce grassroots results for the beneficiaries through the following actions: grouping them with CSOs in the monitoring of social programmes, comprehensive government-led training and capacity building, and granting access to public information and TAP mechanisms.

However, it should be noted that achieving a pro-active role for beneficiaries requires a longer timeframe. NCs have come to understand that earning individuals' trust must be a long-term goal, especially for people living in conditions of extreme vulnerability.

Lastly, the complementary EELA intervention aims to protect the advocacy activities, interactions with the beneficiaries and public policy aspects of social programmes from political abuse.

STAGE III (?) (EELA III)

Political and social constituencies formalise an Agreement to combat political abuse in social programmes.

The multi-sectorial agreement reaches effective compliance.

Governments are held accountable for the social programmes' results and impact.

Governments train socially vulnerable recipients and individuals in how to fully exercise their rights.

Beneficiaries and CSOs actively participate in social control and monitoring of social programmes.

Legal, administrative and social sentences are upheld in cases of political abuse and corruption in social programmes.

Cases of political abuse and corruption in social programmes decrease.

TAP mechanisms and public information on social programmes are readily and effectively available to beneficiaries and CSOs.

FOURTH LEVEL OF INTERVENTION: SYSTEMIC IMPACT

This level lies outside the scope of the EELA's direct intervention. Achieving results depends of previous results and conditions from other ecosystems (judiciary, economy, culture, etc.), which go beyond what is feasible to achieve in the programme's own intervention. However, these results are expected, and they are in a way necessary to guarantee a lasting impact.

Details of this exercise of TOC respond to the intention of framing the EELA's intervention within systemic advocacy results, for which a long-term change is just one more pre-condition that is possible and necessary. Given that Gender and Human Rights feed into the EELA approach in a complementary fashion, socially vulnerable individuals are expected to fully exercise their rights with regard to available social programmes, either as current programme beneficiaries or as (direct or indirect) potential recipients. Social programmes are thus expected to break the inter-generational poverty cycle.

**(LONG-
TERM
CHANGE)**

**TRANSPARENT,
SOCIALY
AUDITABLE AND
ABUSE-FREE
SOCIAL
PROGRAMMES**

BEYOND EELA

Socially vulnerable individuals fully exert their rights with regard to social programmes.

Social programmes' effectiveness is enhanced.

Social programmes contribute to break inter-generational poverty cycle.

C. LONG-TERM CHANGE

- **Timeframe: 2010-2020**
- **Geographical reach: Regional – Latin America**

EELA aims to establish itself as an evidence-based advocacy strategy, with social programmes in general – and CCT programmes in particular – as a framework for action. By building more and better transparency, accountability, citizen participation (TAP) and state-control mechanisms, EELA seeks to contribute to protect social programmes from political abuse, pork barrel, and other forms of abuse against the integrity of people living in social, economic and cultural vulnerability.

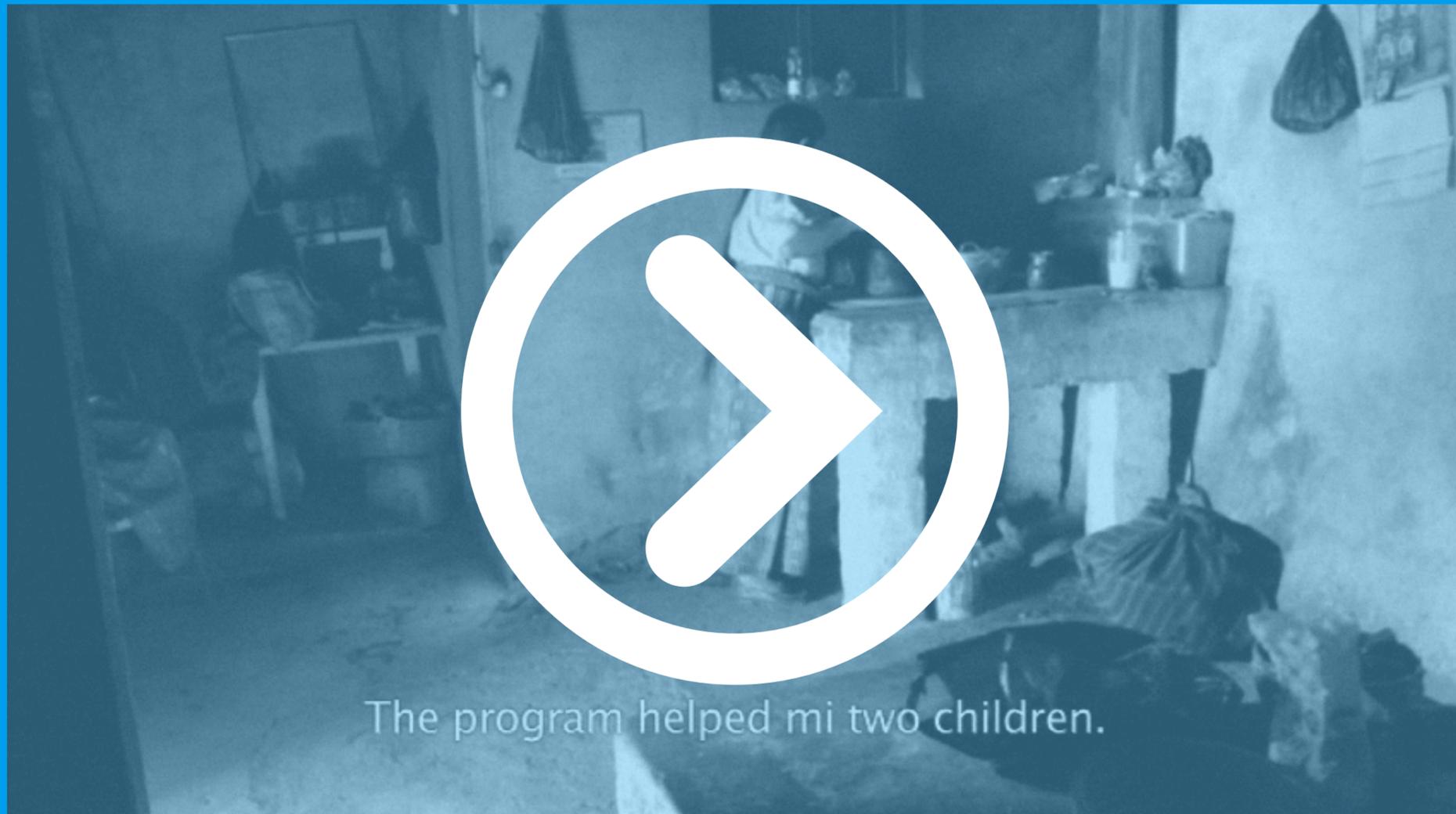
**(LONG-
TERM
CHANGE)**

TRANSPARENT,
SOCIALY
AUDITABLE AND
ABUSE-FREE
SOCIAL
PROGRAMMES

3

METHODOLOGY





INTRODUCTION

Assessing and monitoring integrity risks in Conditional Cash Transfer (CCT) Programmes are fundamental tasks to avoid exclusion and inclusion errors in such programmes. They also help minimise risks of fraud and abuse of authority.

Therefore, it is important to thoroughly assess the different risks associated with every programme under review, and make public the most efficient monitoring and control tools.

The design of these tools must take into account both the nature of the programme under review and the context in which the activity is taking place, e.g. region, social groups, and stakeholders.

During the assessment of risks to integrity, formal and informal working relationships with the largest possible number of stakeholders and actors in CCT programmes must be established. CCT programme **beneficiaries** stand out as a key group for this methodology.

METHODOLOGICAL FRAMEWORK

ASSESSMENT AND MANAGEMENT OF RISKS TO INTEGRITY IN CONDITIONAL CASH TRANSFER PROGRAMMES

The applied methodology consists of **four main components**:



Following the steps provided in the four components allows:

- A comprehensive analysis of the components that make up the activity under review. It will uncover practices with the highest risks to integrity.
- A map of the main stakeholders who take part in the different component identified as “risky”. The map records both the relations and the control and regulation mechanisms in place for the stakeholders.
- Reports and other means of communication that contain the findings in a systematised and comprehensive manner.
- Pinpointing the right tools to monitor and track risks over time.

1



RISK ASSESSMENT OF PROCESSES

The Process Analysis seeks to establish successive stages over the duration of the programme under review. This includes the pre-implementation (preparation, design), implementation and post-implementation (evaluation) stages.

The methodology suggests beginning with the process analysis emerges from the need to learn and understand the development of every programme component. This stage aims to first identify the different processes that constitute the development of a programme, and then to detect those processes most exposed to risk, which can then be analysed in-depth.

The stage consists of the following steps:



STEP 1: STATE OF THE ART (desk study)

As a starting point for Process Analysis, a State of the Art review is prepared for the CCT Programme under study.

The aim of this first step is to gather and systematise conceptual approaches and background information on similar cases, either domestic or international. The step allows us to achieve a general profiling of the programme type, and to tackle process analysis keeping in mind its **main aspects**:

- The general framework of the Conditional Cash Transfer Programmes
- Precedents in the region
- Rationale
- Advantages and arguments in favour
- Disadvantages and arguments against
- Clearly identified integrity risks associated with the Programme implementation

- The role of social audits in the programme management
- The country's social policy context and the Programme's role in the policy
- Programme's link to other programmes and social policies
- Implementing Authority's co-ordination with other ministries and government agencies
- Programme's budget and financial sources and mechanisms
- Programme's financial management systems
- Programme's public procurement procedures



PRODUCT:

Short descriptive report on the general framework for CCT programmes.



RECOMMENDED TIMEFRAME:

3 / 4 weeks

STEP 2: DESCRIPTION OF PROCESSES

Once a general description and analysis – State of the Art – of Conditional Cash Transfer Programmes have been completed, the next step is a **comprehensive profile for every single component of the programme under review.**

Every constituent component, as well as the control and monitoring mechanisms, and all the stakeholders involved in each component, of the programme must be recorded. Sub-steps for the description of processes are detailed below.



SUGGESTION:

For this component to be successful it is convenient to generate a fluid framework of formal relations with the implementing authority so that the access to required information on the Conditional Cash Transfer Programme can be easy, quick, and effective.



SUB-STEP 2.1: INTRODUCTION – GENERAL DESCRIPTION

At this time, the aim is to undertake a general profiling of the programme's constituent components. To do this, secondary information on the programme must be gathered through the study of laws, documents and operating regulations, which will serve to account for the different components. In addition, primary information must be collected to obtain insight into the views of key informants and stakeholders. The information required in this sub-step may often be unavailable as hard data.

Interviews and focus groups are recommended for the collection of data. If it turns out that these techniques are complex or difficult to apply, **forms or Checklists** can be used in order to gather the necessary information for the profiling of the programme components.



SUGGESTION:

It is possible that laws and regulations relevant to the programme do not clearly distinguish between components in your country. It could also be that the information gathered accounts for many components and sub-components, thus complicating the in-depth Analysis of the subsequent steps. In such cases, it is advised to organise and split the programme into 4-6 main components, which include the programme's entire life cycle and to the extent possible in accordance with the structure suggested in Table 1. The aim is to guarantee comparability, and move forward in the full profiling of the programme processes.

Table 1

DESCRIPTION OF CONDITIONAL CASH TRANSFER (CCT) PROGRAMME COMPONENTS

– standard example



PRODUCT:

Descriptive table containing the main programme components, their objectives and a brief profile.

PROJECT COMPONENT

OBJECTIVES

PROFILE

1. Focus

Brief description of the component

2. Income

3. Transfers / Payments to beneficiaries

4. Compliance and Monitoring of shared responsibilities

5. Complaints and claims

6. Exit



STEP 2: DESCRIPTION OF PROCESSES

SUB-STEP 2.2: KEY STAKEHOLDERS

This section shows the main stakeholders in process components, and is based on the description of the following:

- Key **stakeholders** most relevant to each component
- Main **functions** fulfilled by each stakeholder in the component(s)
- Expected **results** for every component in which they take part



PRODUCT:

Construction of a table showing key stakeholders for each programme component, their functions and results.



SUGGESTION:

If key stakeholders' functions or results are not formalised for every component under analysis, particular importance should be given to stakeholders' own testimonies, as well as to all primary information collected through interviews, surveys, etc.



WARNING:

This methodology suggests the construction of a table as a mechanism to gather information for the sake of traceability, and in order to make comparisons easier among similar projects. However, to facilitate the analysis, every analyst is free to develop and present diagrams or complementary tools to illustrate the components and the stakeholders involved.

Table 2
PROGRAMME'S KEY STAKEHOLDER: FUNCTIONS AND RESULTS
– standard example

| FUNCTIONS | RESULTS | OBSERVATIONS |
|--|---------|--------------|
| COMPONENT 1: FOCUS | | |
| Ministry of Development | | |
| Systems Directorate | | |
| City Government | | |
| COMPONENT 2: ENTRY | | |
| Ministry of Development | | |
| Systems Directorate | | |
| City Government | | |
| COMPONENT 3: TRANSFERS / PAYMENTS TO BENEFICIARIES | | |
| Banks | | |
| City Government | | |
| Beneficiaries | | |
| COMPONENT 4: COMPLIANCE AND MONITORING OF SHARED RESPONSIBILITIES Etc... | | |

SUB-STEP 2.3: CONTROL MECHANISMS

In order to complete the description of the programme processes under review, control mechanisms for every component should be detected and recorded – as well as the procedures that ensure regulation and accountability.

This step is crucial because it allows an initial overview of the analysed CCT programme's integrity mechanisms, which will feed into sub-step 3.2 –integrity analysis.

Control mechanisms encompass the following aspects:

- **Regulation tools** (contracting procedures, enforcement mechanisms, normative and legal rules).
- **Internal accountability tools and sanctions** (anti-corruption mechanisms, codes of conduct, integrity pacts, whistle-blower protection, complaint mechanisms, sanctions and incentives).
- **Monitoring and evaluation tools** (independent assessment, access to information, reports, audits).

Table 3

MAIN CONTROL TOOLS AND MECHANISMS

- standard example



PRODUCT:

The product of this step is a table containing information on different types of tools for every component.



RECOMMENDED TIMEFRAME:

2-3 months

PROJECT COMPONENT

REGULATION TOOLS

INTERNAL ACCOUNTABILITY TOOLS AND SANCTIONS

MONITORING AND EVALUATION TOOLS

1. Focus

.....

2. Income

.....

3. Transfers / payments to beneficiaries

.....

4. Other ...

.....

STEP 3: ASSESSING COMPONENTS

The components of the Programme can now be assessed (measured) on the basis of the information collected and systematised from the previous steps. Step 3 has as main goal the identification of the **most vulnerable Programme components**, for which the likelihood of integrity failures is larger. Every component must be taken into account. To this end, a set of control variables is used. They allow ranking the components on the basis of their level of vulnerability to integrity risks. The general level of vulnerability for every single component will be determined by the results obtained from the two-dimension assessment: Performance and Integrity.



IMPORTANT:

The assessment will be carried out on the basis of two complementary analyses, which favour a comprehensive understanding of components. Each analysis consists of three variables:

- *Performance Analysis (P)*
 1. *Regulation (R)*
 2. *Capacity (C)*
 3. *Effectiveness (F)*
 4. *Efficiency (E)*
- *Integrity Analysis (I)*
 5. *Transparency (T)*
 6. *Accountability (A)*
 7. *Horizontal Control (HC)*
 8. *Vertical Control (VC)*

STEP 3: ASSESSING COMPONENTS

The assessment will have both a qualitative (observations) and a quantitative one (scores). Combining both elements will allow a deeper understanding of the different components' actual state. Moreover, the assessment needs to be carried out separately for every component in order for the analyst to identify particular problems for each one.

The **qualitative assessment** is based on the findings associated with each of the variables, taking the information gathered in Tables from Step 2 (Description of Processes) as a reference. We are now in a position to obtain a series of statements related to assessment criteria.

Once observations for every variable of every component are written down, the Analyst is in a position to begin the **quantitative assessment**, during which scores will be awarded for every variable. The observations serve as reference and justification.

This step has the objective of making qualitative observations that, on the one hand, describe the most visible aspects of each component and, on the other, justify the score awarded to each one. The assessment falls under the responsibility of the Consultant in charge of Process Analysis. The Project Co-ordinator can also take part if necessary.



NOTE:

A joint assessment or even a self-evaluation exercise can be proposed if there exists a working relationship with the Conditional Cash Transfer Programme representatives, which may result from interviews, workshops or formal agreements (memorandum of understanding or cooperation). This self-evaluation exercise may lead to a stronger ownership of the recommendations obtained through CCT programme's representative-led analysis, thus creating common ground for future advocacy work.

The Consultant will have a list of questions, which can guide the survey. It is important to note that the survey has the goal of assessing each variable, not answering questions. The latter only guide the analysis.

As stated above, the goal of the assessment process is to identify the Programme components for which the likelihood of integrity failures is larger. With this in mind, all results from both the qualitative and quantitative (scores) assessments must be brought together in one instrument.



PRODUCT:

Table containing total number of observations and scores for every variable in both the Performance Analysis and the Integrity Analysis. This information is critical in detecting integrity risks (Step 4) and developing a vulnerability analysis (Step 5) accurately.

Table 4
ASSESSMENT OF COMPONENTS BOX
- standar example

| Component | PERFORMANCE ANALYSIS (P) | | | | | | | | INTEGRITY ANALYSIS (I) | | | | | | | | | | | | |
|--|--------------------------|--------|-----------------|--------|-------------------|--------|----------------------|--------|------------------------|------|---------------------|------|-----------------------|------|----------------------------|------|--------------------------|-------|-----------------|--|-----------|
| | 1. REGULATION (R) | | 2. CAPACITY (C) | | 3. EFFICIENCY (E) | | 4. EFFECTIVENESS (F) | | TOTAL PERFORMANCE | | 5. TRANSPARENCY (T) | | 6. ACCOUNTABILITY (A) | | 7. HORIZONTAL CONTROL (HC) | | 8. VERTICAL CONTROL (VC) | | TOTAL INTEGRITY | | TOTAL P+I |
| | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Score | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Score | Score | | |
| 1. Focus | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | | | |
| 2. Income | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | | | |
| 3. Transfers / payments to beneficiaries | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | | | |
| 4. Etc ... | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | | | |

SUB-STEP 3.1: PERFORMANCE ANALYSIS

El Análisis de Desempeño busca evaluar

The Performance Analysis seeks to assess the following:

- a) the existence and implementation in practice of formal rules for the component under review (**Regulation**)
- b) how suitable resources available are to achieve goals (**Capacity**)
- c) skills to meet targets and achieve expected results (**Effectiveness**)
- d) resource management (**Efficiency**).

Four variables, which account for the degree to which **Performance (P)** objectives have been achieved, are used to determine the value associated with this analysis:

| | |
|---|--------------------------------------|
| R REGULATION (R) | C CAPACITY (C) |
| F EFFECTIVENESS (F) | E EFFICIENCY (E) |

Each variable is awarded a score from 1 to 5, and the global Performance score for the component under review is the sum of the values awarded to each variable.



IMPORTANT:

One of the inputs for this section comes from the information obtained in Table 1 of Sub-step 2.1 (General Description of Components), and in Table 2 of Sub-step 2.2 (Key Stakeholders in the project).

- *The information provided in Table 2, which refers to stakeholders' functions, will serve as input to assess the Capacity in a component.*
- *The goals in each component shed light on Efficiency; they are listed in the second column of Table 1.*
- *The results listed in the third column of Table 2 will provide information on the Effectiveness of the activities.*

R REGULATION (R)



Regulation refers to both the existence of written rules that are formalised between the stakeholders involved in the component under review, and the formal definition of proceedings, objectives and expected results. Actor's knowledge of the rules (scope and depth), as well as the extent to which they have internalised them is also under review. Regulation takes into account the laws governing the Programme, and the rules and norms associated with the component being studied.

Below is the rating scale used for this variable:

C=1 (LOW)

No norms or formal rules appropriate for the component under review exist.

C=3 (MEDIUM)

Regulation exists only partially and/or stakeholders have not internalised it.

C=5 (HIGH)

Clear and appropriate rules exist to formalise all practices and procedures, and stakeholders have internalised them.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH



NOTE:

The regulation variable refers mainly to general norms and rules of the programme and the components. Transparency, accountability and control mechanisms are covered in the corresponding variables (see below).



WARNING:

It is possible that the analyst find many informal rules that determine the running of an activity. This variable has the goal of observing how regulated activities are, which means that informal rules lead to a low level of Regulation.

C

CAPACITY

(C)



The **Capacity** variable seeks to determine whether the process has the necessary resources for the proper fulfilment of duties. There are both technical (trained human resources ready to undertake assigned responsibilities) and material (budget, financial resources and technological tools) resources.

In this variable, every component skill can be defined, either technical or material, to fulfil their duties and meet the intended objectives. A satisfactory level of capacity is a necessary condition, essential if the Programme is to be successful in general.

The rating scale used for this variable is shown below:

C=1 (Low)

Available resources are absolutely minimal or quite simply insufficient to put planned tasks into practice.

C=3 (Medium)

Some technical and/or material resources exist, but more are needed to improve how tasks are carried out.

C=5 (High)

Technical and material resources are ideal to fulfil duties.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH

F EFFECTIVENESS (F)



Achieving intended objectives and expected results determines **effectiveness**.

Achieving intended objectives and expected results will depend to a great extent on the goal set by those responsible for the Programme component.



SUGGESTION:

If the analyst fails to find formalised objectives for the component under review, or if she finds it difficult to determine their effectiveness, it is suggested to first disaggregate the component in accordance with the goals mentioned by key stakeholders, then measure these goals, and finally aggregate them into a single score.

The rating scale used for this variable is shown below:

F=1 (Low)

Component intended objectives and expected results are not achieved.

F=3 (Medium)

Component intended objectives and expected results are partially or poorly achieved.

F=5 (High)

Component intended objectives and expected results are duly achieved.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH



E EFFICIENCY (E)



When we talk about **efficiency** in CCT programme components, we refer to the skilful, rational use of available resources in order to achieve expected results in a timely and adequate manner. Efficiency can be technical (operational management) and/or financial (management and administration of available resources).

We make the most of resources in so far as we use them skilfully and rationally, and we work for timely completion, further benefiting good programme management.

The rating scale used for this variable is shown below:

E=1 (Low)

Resource management causes economic loss for the process.

E=3 (Medium)

Resources are administered correctly, but technical and/or financial deficiencies persist.

E=5 (High)

Resources are managed efficiently on a technical and financial level.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH



ASSESSMENT EXAMPLE:

Imagine that you want to assess the Capacity variable in the Census-taking stage of a Conditional Cash Transfer (CCT) Programme, and that implementation falls under the responsibility of the National Directorate of Computer Systems within a Ministry. You also observe that this Directorate does not have the ideal or appropriate technological system to ensure data safety.

Under **qualitative assessment**, the following observation can be stated:

“The Systems Directorate is responsible for the Programme beneficiary data collection and systematisation, but does not have neither the ideal technological resources to perform this task, nor the financial resources to update the system.”

Once all relevant observations are noted, the analyst is in a position to assess quantitatively the Capacity in the “Census-taking” stage by awarding a score (**5=High, 4=Medium-High, 3=Medium, 2=Medium-Low, 1=Low**).

The score must be supported by the qualitative observations previously stated. Continuing with the example, and if the only observation available is the one written above, the expected score is the lowest:

CAPACITY= 1 (LOW)

SUB-STEP 3.1 SUMMARY: PERFORMANCE ANALYSIS

1

OBJECTIVE

Performance Analysis seeks to assess the following:

- a) the existence and implementation in practice of formal rules for the component under review (**Regulation**);
- b) how suitable resource are to achieve goals (**Capacity**);
- c) the skills to meet targets and achieve expected outputs (**Effectiveness**); and
- d) resource management (**Efficiency**).

2

METHODOLOGY

Four variables, which account for the degree to which

Performance (P) objectives have been achieved, are used to determine the value associated with this analysis:

- **Regulation (R)**
- **Capacity (C)**
- **Efficiency (E)**
- **Effectiveness (F)**

Each variable will be awarded a score from 1 to 5, and the global Performance score for the component under review is the sum of the values awarded to each variable.

3

INPUT

INPUT for this section comes from information gathered in Step 2. The information systematised in Tables 1 and 2 are specially suggested. The different “Checklists” also feed each of the analysed variables.

SUB-STEP 3.2: INTEGRITY ANALYSIS

The **Integrity Analysis** seeks to determine the degree of access that the programme participants have to information and control mechanisms in the process. It also includes third parties interested in monitoring programme activities.

Four variables that determine for the level of **Integrity (I)**, are used to determine the value associated with this analysis:



Human Rights and Gender issues are crucial for transparency, accountability and control mechanisms to be relevant and truly helpful in the context of social programme beneficiaries¹.

For instance, indigenous peoples make up a significant proportion of social programme beneficiaries in many Latin American countries, and often they do not speak the country's official language. If information on the CCT programme is complete and accessible only in the official language, this is not only an affront to the beneficiaries' cultural rights, but it also means that the information will probably be of little use to those who need it the most.

¹ *Human Rights and Gender issues are crucial for transparency, accountability and control mechanisms to be relevant and truly helpful in the context of social programme beneficiaries.*

The following standard set of criteria is suggested in order to assess social programmes and services from a human rights perspective.

- **Availability:** Transparency, accountability and control mechanisms must be made available in a quantity that is sufficient to meet demand. To this end, they must also have the appropriate regulation, staff and infrastructure.
- **Accessibility:** There must be no discrimination, neither economic nor geographical obstacles in access to transparency, accountability and control mechanisms.
- **Acceptability:** Information provided by the mechanisms must be acceptable to issues of culture and gender in the beneficiaries' context.
- **Adaptability:** transparency, accountability and control mechanisms must be adapted to the country's linguistic / cultural reality.

As shown below, the rating scales in the integrity variables include these criteria, which will be particularly relevant for the mechanisms that interact directly with beneficiaries and civil society.

Each variable is awarded a score from 1 to 5, and the global Integrity score for the process under review is the sum of the values awarded to each one of them.



IMPORTANT:

Input for this assessment should come first from the answers provided in the Checklist of every single variable set out below. Table 3 under Sub-step 2.3 (Control Mechanisms) is then an important input to assess Integrity; so are assessment and monitoring tools.

² *Tomaševski (2003) developed these criteria – known as the 4As Framework. She was Special Rapporteur on the Right to Education of the United Nations from 1998 to 2004.*

<http://www.right-to-education.org/node/226>



WHY IS IT CRUCIAL TO INCLUDE GENDER AND HUMAN RIGHTS ISSUES WHEN ASSESSING CCT PROGRAMMES?

*By Christian Gruenberg **

One of the main innovations in CCT programmes is targeting women for subsidy transfers, in addition to compliance with health and education conditionalities, pre- and post-natal care, and health & nutrition workshop attendance. As a consequence, institutional innovation promotes and increases women's interaction with the state bureaucracy, public services for health and education, the banking system and NGOs. However, such innovation entails the danger of romanticising actors' reaction, as if they were gender neutral, and free from racism and misogyny; thus disregarding possible opportunities for abuse of power, gender-based violence and discrimination.

In such a context, the aim is to prevent CCT programmes from perpetuating gender inequality, and putting women at risk of corruption and clientelism. With this aim in mind, it is necessary to devise a set of measures in the design and implementation of CCT programmes to guarantee women their right to both access to public information without any discrimination, and take part in holding public institutions accountable.

In order to tackle this challenge, combining a human rights approach and a gender perspective becomes key to guarantee women's right to organise, participate and access public information. This will allow women to safely enjoy their rights, as well as to report clientelism, corruption and gender-based violence.

** Consultant for EELA*

Integrity Analysis variables and rating scales

T TRANSPARENCY (T)



Transparency is closely related to a regime of obligations that warrants access to public information through active dissemination, timely and adequate responses to information requests. Transparency refers to the stakeholders' scope in accessing CCT programme information: responsibilities, objectives, procedures, rules, norms, etc.

The rating scale used for this variable is shown below:

T=1 (Low)

No information on the programme is made public at all.

T=3 (Medium)

Some information on the programme is made public, but it is incomplete, and/or only partially takes into account recipients' gender / linguistic / cultural diversity.

T=5 (High)

Information on the programme is public and widely disseminated, and takes into account recipients' gender / linguistic / cultural diversity.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH

A ACCOUNTABILITY (A)



Accountability refers to direct control or monitoring mechanisms among participants in the process under review. Accountability also takes into account the accountability processes and information exchange tools among stakeholders (which includes the beneficiaries in particular).

The rating scale used for this variable is shown below:

A=1 (Low)

No monitoring or accountability mechanisms among component stakeholders and procedures exist at all.

A=3 (Medium)

There are monitoring and accountability mechanisms, but they are used incompletely and/or they only partially account for gender/linguistic/cultural diversity.

A=5 (High)

Monitoring and accountability mechanisms exist, and are used. They account for gender/ linguistic/cultural diversity, and produce sanctions and anti-corruption measures.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH

HC

HORIZONTAL CONTROL (HC)



Horizontal Control (or horizontal monitoring) refers to the degree of direct oversight by state institutions and agencies that are independent and external to the CCT programme. Oversight involves all component practices and procedures. One key institution for horizontal control is the Congress.

The rating scale used for this variable is shown below:

CH=1 (Low)

Component practices and procedures are not open to monitoring or oversight by state institutions and agencies that are independent and external to the CCT programme itself.

CH=3

Medium) Component practices and procedures are partially open to monitoring or oversight by state institutions and agencies that are independent and external to the CCT programme itself, but information is either unclear and/or incomplete, or monitoring is not achieved.

CH=5 (High)

There is openness to monitoring or oversight by state institutions and agencies that are independent and external to the CCT programme. It is useful for the Programme, and leads to sanctions and anti-corruption measures.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH



NOTE:

Beneficiaries and civil society organisations are seldom directly involved in the oversight of social programmes by State bodies (auditors, comptroller's office, congressional committees). This is why the Horizontal Control (HC) variable does not include Accessibility, Acceptability and Adaptability criteria so far. It is important to note, however, that when State bodies do involve beneficiaries in the assessment (e.g. impact evaluation interviews or surveys), such criteria become relevant.

WVG

VERTICAL CONTROL (CV)



Vertical Control (or vertical monitoring) refers to the degree of oversight of component practices and procedures by citizens, media and civil society organisations.

It is important to note that these actors often oversee component practices and procedures indirectly, through State institutions and agencies, for example in congressional hearings, appearing before committees, public petitions, etc.



WARNING:

Given that the last three variables are interrelated, and can be confused, it is necessary to cast light on the differences. Whereas accountability refers to monitoring mechanisms designed by programme stakeholders; Control variables refer to non-participant third parties, no matter how close they are to programme management.

The rating scale used for this variable is shown below:

CV=1 (Low)

Component practices and procedures are not open to monitoring or oversight by non-state third parties.

CV=3 (Medium)

Component practices and procedures are partially open to monitoring or oversight by non-state third parties, but openness doesn't lead to sanctions, anti-corruption measures, nor mainstreams gender/linguistic/cultural diversity.

CV=5 (High)

There is openness towards non-state third parties, which is useful for programme monitoring and oversight by producing sanctions and anti-corruption, and mainstreaming gender/linguistic/cultural diversity.

SCORE AND CATEGORY

1 LOW

2 MID-LOW

3 MEDUM

4 MID-HIGH

5 HIGH



SUMMARY OF QUESTIONS ON AVAILABILITY, ACCESSIBILITY, ACCEPTABILITY AND ADAPTABILITY

| COMPONENT | | | | |
|----------------------|--|---|--|---|
| "4A" CRITERIA | | | | |
| MECHANISMS OF ... | AVAILABILITY | ACCESSIBILITY | ACCEPTABILITY | ADAPTABILITY |
| ... TRANSPARENCY | <p>Is there a law of access to information or similar legislation?</p> <p><i>(See also questions 2 to 15 of transparency checklist)</i></p> | <p>Are there active mechanisms to report discrimination in access to information?</p> <p>Does the State use various channels to disseminate information about the CCT program: TV, local radio, etc.?</p> | <p>Do the mechanisms to access information in the component account for factors related to gender?</p> | <p>Do the mechanisms to access information adapt their content / format / language in accordance with linguistic and cultural diversity?</p> |
| ... ACCOUNTABILITY | <p>Are there formal accountability procedures in the component?</p> <p><i>(See also questions 2 to 12 of the accountability checklist)</i></p> | <p>Are there active mechanisms for reporting discrimination in the use of accountability mechanisms?</p> | <p>Do the accountability mechanisms involving beneficiaries include provisions accounting for gender inequality?</p> | <p>Do the accountability mechanisms involving beneficiaries include provisions accounting for linguistic and cultural diversity?</p> |
| ... VERTICAL CONTROL | <p>Do beneficiaries and non-state actors have monitoring and control mechanisms in the CCT (monitoring committees, opinion polls, suggestion box, a press office within the programme, etc.)?</p> <p><i>(See also questions 2 to 12 of the vertical control checklist)</i></p> | <p>Are there active mechanisms for reporting discrimination in accessing the different forms of non-state control?</p> | <p>Do participation mechanisms account for traditional customs and existing forms and processes of participation?</p> <p>Does the design of participation mechanisms for CCT programs account for gender inequality?</p> | <p>Is public dissemination of social control and monitoring events done in local languages relevant to the beneficiary groups?</p> <p>Do the participation mechanisms adapt their content / format / language to linguistic and cultural diversity?</p> |

NOTE:

The Horizontal Control (HC) variable is not included in the above summary Box because HC refers to oversight mechanisms of social programmes by State bodies (auditors, comptroller's office, and congressional committees). As stated before, beneficiaries and civil society organisations are seldom involved directly in such cases.

SUMMARY OF SUB-STEP 3.2: INTEGRITY ANALYSIS

1

OBJECTIVE

Integrity Analysis seeks to determine the degree of access to information and the controls that exist in the process, both for programme participants themselves and third parties who seek to monitor programme activities.

2

METHODOLOGY

Four variables, which account for the level of **Integrity (I)**, are used to determine the value associated with this analysis:

- **Transparency (T)**
- **Accountability (A)**
- **Horizontal Control (HC)**
- **Vertical Control (VC)**

Each variable is awarded a **score from 1 to 5**, and the global Integrity score for the process under review is the sum of the values awarded to each one of them.

3

INPUT

Input for this assessment should come first from the answers provided in the **Checklist** of every single variable set out above. **Table 3** under Sub-step 2.3 (Control Mechanisms) is also an important input to assess Integrity; so are assessment and monitoring tools.

SUB-STEP 3.3: INTEGRATION OF RESULTS

Once Performance and Integrity are analysed, the analyst will assess first every individual programme component. The analyst is expected to have global score for the entire programme, after adding the values obtained in each of the assessed component.

The Performance + Integrity analysis will then allow to compare values of all project components in order to organise the latter in a hierarchy –in accordance with their level of vulnerability.



IMPORTANT:

The programme stage/phase with the lowest P+I score is assumed to be the most vulnerable, thus being associated with a higher risk to integrity.



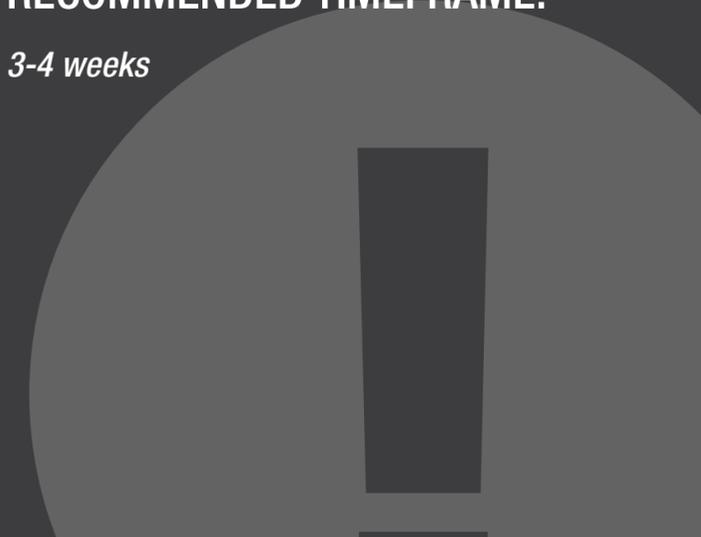
PRODUCT:

Table 4. Box containing the assessment for each component (see p. 14), where qualitative observations are noted and scores are awarded to all six component variables, as well as the global Performance + Integrity score.



RECOMMENDED TIMEFRAME:

3-4 weeks



STEP 4: IDENTIFICATION OF INTEGRITY RISKS

Once every Programme component has been assessed on the basis of the Performance and Integrity analyses, integrity risks associated with each one of the components can be identified and stated.

This goal of this step is to produce an overall, descriptive map of the main integrity risks to every Programme component under review. Taking as reference both the information systematised under Step 2 (Description of Processes) and the programme component assessment carried out under Step 3, the researcher now briefly explains what the main integrity risks are for each component.

Making use of information on control and audit failures may serve as a first step to explain integrity risks. Further information may include legal actions taken in the past, with regard to proceedings, indictments, and sentences imposed.

The most essential aspect is to collect and revise the observations made in the previous steps in order to identify actual situations where the Programme's integrity is at risk. In other words, detecting practices vulnerable to corruption.





EXAMPLE

Imagine that you observed high vulnerability in how the CCT programme's complaints and claims mechanisms are managed. The question is either 'What integrity risks are associated with this Programme mechanism?' or 'Which corrupt practices could occur given this Programme's vulnerability?'

Continuing with this example, the following might suggested...

- A) INITIAL OBSERVATION:** In a context marked by general lack of information and low regulation about the Programme, deficiencies in the complaint and claim mechanisms deepen the asymmetry between beneficiaries and Programme managers, ...

- B) INTEGRITY RISK:** ... which causes risks of extortion, abuse of power, and encourages staff to accept bribes or favours.



IMPORTANT:

Stating what the Integrity Risks are is a crucial step of the methodology because this will determine – later, during the Advocacy Phase – what concrete risks to address. It will also point to the stakeholders involved in these risks.



PRODUCT:

Table briefly explaining what are the integrity risks associated with each component, as well as the stakeholders involved (Table 5).



RECOMMENDED TIMEFRAME:

2 weeks

Table 5

INTEGRITY RISKS

- example CCT programmes

| PROJECT COMPONENT | STAKEHOLDERS INVOLVED | INTEGRITY RISKS |
|-------------------------------------|-----------------------|-----------------|
| Targeting | | |
| Income | | |
| Transfers / Beneficiary Payments | | |
| etc. | | |

STEP 5: VULNERABILITY ANALYSIS

Once every programme component has been assessed qualitatively and quantitatively (Step 3) and their integrity risks have been clearly identified (Step 4), it is important to organise the programme components hierarchically in accordance with their vulnerability, which is understood as the degree of a CCT programme component's vulnerability to integrity risks.

The level of vulnerability – high or low – is determined by the results from each Performance and Integrity Analysis variable.

After this hierarchical classification, the analyst will be in a position to know and compare the components based on their vulnerability to integrity failures. Once they are organised hierarchically (the lower the P+I score, the higher the vulnerability), it is possible to identify the Programme component(s) with the highest vulnerability level.

In doing so, it will be possible to select the most pertinent and feasible component(s) to be analysed through the 'Mapping of Stakeholders' Component.



IMPORTANT:

Those stages with the higher Performance and Integrity scores are assumed to be less exposed to integrity risks. On the contrary, a lower P+I score (Performance + Integrity) means a higher vulnerability to integrity failures. The vulnerability of a stage therefore increases as its P+I score decreases; its exposure to risks increases with higher levels of vulnerability.



PRODUCT:

Analysts are expected to design a Component Ranking based on the level of Vulnerability (Table 6).

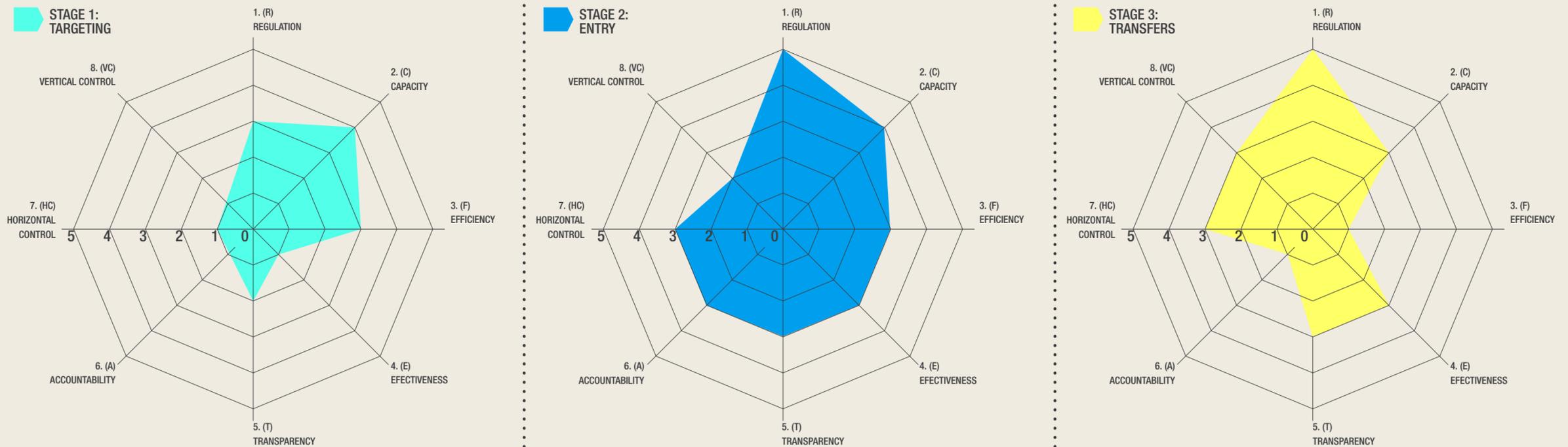


SUGGESTION:

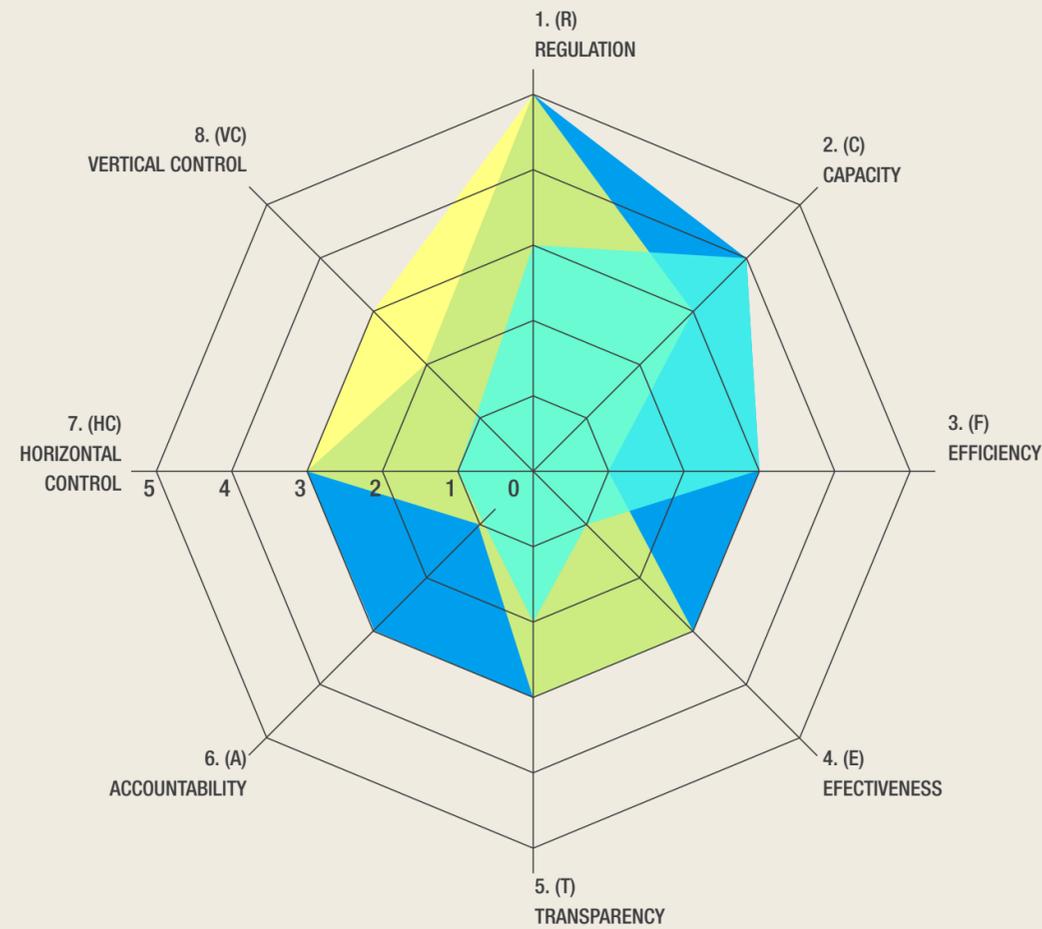
In this context, plotting an area graph or chart clearly showing differences in values for each process may be a useful instrument to present quantitative results.

Analysts can use a disaggregated methodology of one graph per individual component, which will summarise the results obtained in the six variables of analysis. This will allow a visualisation and comparison of the level of vulnerability for each particular component.

Gráfico 1 GRAPHS – P+I ASSESSMENT BY COMPONENT - example



Graph 2
RISK ASSESSMENT GRAPH
- example



STAGE 1: TARGETING STAGE 2: ENTRY STAGE 3: TRANSFERS



HOW TO READ THE RESULTS SHOWN IN THE GRAPH?

- The smaller the area representing the process, the higher the vulnerability and risk associated therewith.
- The larger the surface of the graph representing the process, the lower the likelihood of integrity failure.



IMPORTANT:

During the compilation of assessment results (Step 3.3), P+I scores of different stages could turn out to be the same. Accounting for Performance Analysis and Integrity Analysis separately is therefore of crucial importance, so as to give priority to the one score that the analyst considers the most critical. This prioritisation exercise could also be carried out separately for all six variables, awarding a higher level of vulnerability to those believed to be more decisive. All information collected about integrity failure is suggested as reference in order to determine the vulnerability of each stage.

Table 6 (bis)
VULNERABILITY RANKING BY COMPONENTE
- example CCTPs

| COMPONENT | PERFORMANCE ANALYSIS (P) | | | | GLOBAL PERFORMANCE | INTEGRITY ANALYSIS (I) | | | | TOTAL INTEGRITY | TOTAL P+I | VULNERABILITY |
|-------------------------------------|--------------------------|-----------------|-------------------|----------------------|--------------------|------------------------|-----------------------|----------------------------|--------------------------|-----------------|-----------|---------------|
| | 1. (R) REGULATION | 2. (C) CAPACITY | 3. (F) EFFICIENCY | 4. (E) EFFECTIVENESS | | 5. (T) TRANSPARENCY | 6. (A) ACCOUNTABILITY | 7. (HC) HORIZONTAL CONTROL | 8. (VC) VERTICAL CONTROL | | | |
| 1. Targeting | 3 | 1 | 1 | 2 | 7 | 3 | 1 | 2 | 3 | 9 | 16 | 1° |
| 2. Income | 5 | 5 | 3 | 3 | 16 | 5 | 3 | 3 | 3 | 14 | 30 | 3° |
| 3. Transfers / Beneficiary Payments | 2 | 4 | 2 | 2 | 10 | 1 | 2 | 2 | 1 | 6 | 16 | 1° |
| 4. Etc ... | | | | | | | | | | | | |

Following the example in Table 6bis, where two components generate the same global P+I score, the Analyst must disaggregate each score, so that she is in a position to prioritise the most critical assessment variable.

This is where the vulnerability analysis becomes relevant, given that the analyst must support her selection of the most critical component with prioritisation criteria. It is also important to include in the argumentation and analysis the evidence with regard to integrity failures associated with the components under review.

In the example contained in Table 6bis, Integrity Analysis was given priority over Performance Analysis. In this way, given exact same global scores for Components 3 and 1, the earlier was chosen as the most critical component because it scored lower in Integrity (score 6) than the latter (score 7).



PRODUCT:

Most vulnerable component(s) is (are) selected to map out stakeholders in the following stage.



RECOMMENDED TIMEFRAME:

2 weeks



STEP 6: VALIDATION

Once the components are ordered according to their level of vulnerability, and before proceeding to the mapping of the stakeholders, it is recommended to submit the findings and results of the Process Analysis to the validation of experts with experience in the activity under analysis.

Although it is ideal to count on analysis procedures for intermediate validation, allowing adjustment of the analysis step-by-step, operationally this is arduous and costly, given that it implies an extension of the periods and resources for these evaluations.

For this reason, it is considered important to introduce processes of validation at the end of the Process Analysis, in which the findings and results are presented to a Committee of experts that should involve people and specialists strongly related to each of the components of the programme. The same Committee will present a technical report with the conclusions and strategic recommendations, which will serve as a useful platform to advance to the next component.

Overall, the validation is presented as the first step towards an activity of advocacy together with the key stakeholders in the next component of Mapping of Stakeholders.



PRODUCT:

Validation of the findings and results by a Committee of experts. Strategic recommendations for the mapping of stakeholders.



RECOMMENDED TIMEFRAME:

2 -4 weeks



2



MAPPING RISKS OF STAKEHOLDERS

During the first step of the analysis – Mapping the risks in processes – the details of the components of the Conditional Cash Transfer Programme will have been analysed, identifying those considered most vulnerable to risks of integrity. In this second step, the map of stakeholders, the analysis is not focused on all of the components and stakeholders in the CCTP; it is limited to the components identified as vulnerable in the previous step. The objective is to provide a better understanding with regard to the integrity risks presented by the CCTP through a new lens: that of the stakeholders involved in the component and their relations.

The mapping of stakeholders serves to establish, analyse, and value the relations among the different participants of a vulnerable component, as well as the control and regulation mechanisms established in these relations.

This step contemplates the following stages:

1 DESCRIPTION / PROVISIONAL MAPPING

- Identification of key stakeholders.
- Description of their functions in the programme.

2 FIELDWORK

- Interviews with the beneficiaries.
- In-person survey meetings with those responsible for the Programme and associates.
- Visits to identified areas for the collection and analysis of data.

3 ASSESSMENT

- Systematisation of the qualitative survey.
- Systematisation of the quantitative survey.
- Integration of results.

4 ANALYSIS

- Analysis of those involved in the Project – Map of stakeholders and network analysis.
- Performance analysis of stakeholders

5 VALIDATION

- Validation of the results with experts

STAGE 1: DESCRIPTION / PROVISIONAL MAPPING

The objective of this initial stage is to gather and systematise the available information compiled in the previous step of analysis (Risk Assessment of Processes). In this way, based on the information already compiled there is an initial representation of the stakeholders involved in the programme as a starting point for the **Mapping of Stakeholders**. This provisional mapping based on the available information will serve as a basis for the fieldwork, looking to build up-to-date and valid maps of stakeholders based on the experience of the stakeholders themselves.

INTRODUCTION

Before starting the analysis, it will be necessary to define what is a relation between two stakeholders. A simple exchange relation model whereby a stakeholder provides a service (or information) to another in exchange for a return (be in information or a service). It could be the case that there be one-way relations (an actor provides a service or provides information to another without any type of return).

The terms of this exchange are regulated by a governance mechanism (GM) or coordination. To the extent that these governance mechanisms function correctly, they will serve as incentives, making the parties respect the agreed terms of exchange. If otherwise, the relation between the parties will be more fragile and vulnerable, with increased risks that the agreed terms are not respected.



IMPORTANT:

The term MG (governance mechanism) is proposed for the Mapping of Stakeholders to identify and characterise the relations among the stakeholders under analysis. The term “S” will refer to the service offered and “R” the return for said service.



PRODUCT:

Realisation of a Brief with complete information on the inter-relations among the participants in each sub-process.



© Acción Ciudadana

SUB-STAGE 1.1: DESCRIPTION

The starting point of this sub-stage consists in recuperating information on stakeholders, compiled in Step 2 of the Process Analysis. The data on functions, objectives and results of the participants of the Programme (Tables 2, 3, and 4) constitute an important input to proceed with the description of the stakeholders involved.

A description will be produced of the different stakeholders involved and the relations that bring them together in the critical component selected. This description will be detailed in a descriptive Brief where the characteristics and participants of each of the relations will be listed.

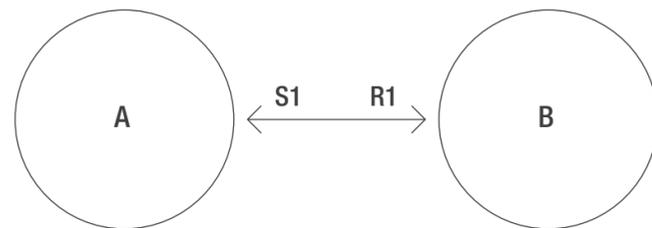
SUBSTEP 1.2: PROVISIONAL MAPPING OF STAKEHOLDERS

With the complete information of stakeholders and relations proceed with the creation of provisional map, which will serve as a framework for the carrying out of the fieldwork. Its utility will be in providing the analyst with the prior information to organise his investigation and fieldwork. Next, the guidelines to diagram a generic map of stakeholders are explained.

Graph 3

PROVISIONAL MAP OF STAKEHOLDERS

- example



INSTRUCTIONS TO CREATE THE PROVISIONAL MAP

1. The stakeholders (organisations, groups, individuals) are presented in circular form; the relation between the stakeholders is marked by a line.
2. The lines represent governance mechanisms or coordination between stakeholders: MG1, MG2, etc.
3. The arrow on the extremity of a line shows the direction and the type of relation between them. Be it services offered, as well as the payments, taxes and fees, each arrow will be identified with a letter ordered by numeration to its destination: S1, S2, etc. (for services) and R1, R2, etc. (for the return: payments, taxes, fees).
4. The arrows can be unidirectional (the arrow will be oriented towards the receiver of the service or return) or bidirectional (where both extremities of the arrows indicate the type of link that unites the parties).



PRODUCT:

Provisional map of stakeholders.



RECOMMENDED TIMEFRAME:

2 weeks



NOTE:

B provides the service S1 to A; A returns R1 to B for the service provided.



PHASE 2: FIELDWORK

Once the description and provisional mapping of stakeholders is finalised, the analyst will have a complete characterisation of the relations that links the stakeholders. Then one can proceed to the fieldwork to verify said characterisation.

This fieldwork has two objectives. First, to recognise if the preliminary map of stakeholders established in the previous step is correlated to reality. Using the new information collected in the fieldwork, one will seek to validate the relations established a priori, identifying new relations not found initially, as well as identify where the a priori evaluation was erroneous (inexistent relations, change in the direction of services/payments, etc.). The idea is to exhaustively characterise the stakeholders of the programme linked to the component, and the relations that link them to be able to obtain a definitive and verified map of stakeholders.

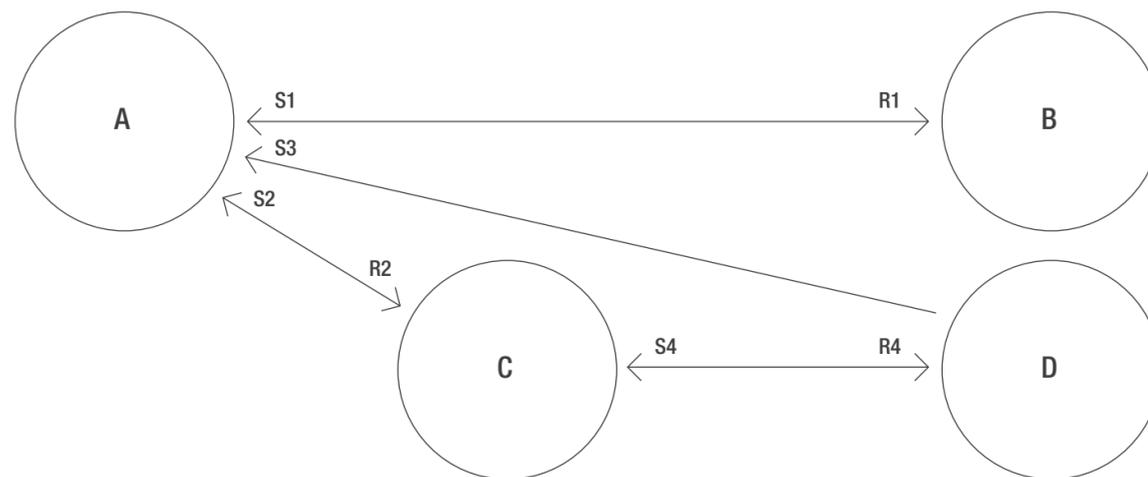
The second objective of the fieldwork is to compile information that allows the assessment of the mechanisms of integrity applicable to the relations between stakeholders as well as to the stakeholders themselves. The steps of this assessment are outlined in the following section.

This procedure implies in-depth interviews and focus groups with the stakeholders involved in the component identified in the study in the previous step. This allows one to proceed to the verification of map of stakeholders done in the previous step, and to formulate a definitive map of stakeholders. For more information please see Annex 1 referring to the suggested design of the focus groups and questionnaires.

Graph 4

MAP OF STAKEHOLDERS VERIFIED

- example



Ideally the fieldwork should be carried out in between 2 to 6 municipalities or localities, with the objective of being able to obtain an integrated map according to the demographic features of the population targeted by the programme, such as: level of poverty and socio-cultural aspects, geographic, etc. However, this type of representativeness would not be defined by statistical rigor but rather by the attempt to reach equilibrium and of a representative sample of the population at the centre of this programme.



IMPORTANT:

It is key to include in the information survey and fieldwork the perspective of the beneficiaries of the Programme. This way, the views of the beneficiaries will be complementary to the perspective of the representatives of the programme and relevant experts in the Process Analysis component.



PRODUCT:

Verified map of stakeholders.



RECOMMENDED TIMEFRAME

1 to 2 months

STAGE 3: ASSESSMENT

Once the map of stakeholders is verified, through the fieldwork completed in the previous stage, one can move on to the qualitative (observations) and quantitative (scoring) assessments of the relations that link them. This assessment is carried out using a methodology similar to that in the Process Analysis component (sub-step 3.2) but it is only focused on the integrity dimension.

INTEGRITY ANALYSIS

Firstly, while the risk assessment of processes values the components as a whole, in this case each relation between stakeholders will be scored, allowing an internal analysis of the critical component. In other words, it further develops the analysis carried out in step 3, of the Process Analysis.

Secondly, it is necessary to consider that the purpose of the Mapping of Stakeholders is not to rank the relations based on their vulnerability (as done for the components in the Process Analysis), but to identify the critical aspects in function of:

- **The stakeholders:** Evaluating which is the stakeholder, or stakeholders, that generate more risks to integrity.
- **The variables:** Taking the variables used to develop the integrity analysis will allow one to define which of these is the most critical.
- **The relations:** The analysed relations generating the most risk to integrity will be identified, using all of the previous criteria.

The aim is to determine if the stakeholders and relation of the critical component possess risks in their **Transparency, Accountability, Horizontal Control and Vertical Control**. In this sense, the qualitative assessment and its corresponding scoring serve to approximate an integral measure of these variables, as well as formulate a posterior step of campaigns of Monitoring and Advocacy oriented to neutralising these risks and strengthening the levels of integrity of the programme.

As mentioned in the previous step of the investigation, to ensure that the mechanisms of transparency, accountability, and control be relevant and truly useful to the beneficiaries of the programmes it is essential that they also incorporate issues of Human Rights and Gender. For this reason, we again incorporate the four criteria of Availability, Accessibility, Acceptability and Adaptability to the analysis.



IMPORTANT:

In the previous step (Risk Assessment of Processes) the following two dimensions are analysed: Performance and Integrity. With the aim of simplifying the fieldwork, it is suggested to focus the mapping of stakeholders only on the Integrity dimension. However, depending on the conditions of the context and the resources that each organisation may dedicate, it could be convenient to include the corresponding variables to scoring of the Performance to the fieldwork.

Table 1
DESCRIPTION OF THE VARIABLES FOR THE INTEGRITY ANALYSIS

INTEGRITY ANALYSIS

| VARIABLES | DEFINITION | SCORE |
|---|---|---|
| Transparency (T) | The Transparency is linked to a series of legal obligations that guarantee access to public information through its active diffusion as well as the timely and adequate response to information requests. This refers to the possibilities available to the involved stakeholders to access the diversity of information linked to the CCTP: responsibilities, objectives, procedures, rules, norms, etc. | <p>T=1 (Low) Public information of the programme inexistent.</p> <p>T=3 (Moderate) Public information exists but is incomplete, and/or only partially accounts for the gender/linguistic/cultural diversity of the recipients.</p> <p>T=5 (High) Public information exists, is widely publicised, and accounts for the gender/linguistic/cultural diversity of the recipients.</p> |
| Accountability (A) – Internal accountability | Accountability refers to the direct control mechanisms among the participants of the process being analysed. It accounts for the processes of internal accountability among the participants (this must especially include the beneficiaries), as well as the procedures of information exchange between them. | <p>A=1 (Low) Mechanisms of control and accountability between stakeholders and the component's procedures are inexistent.</p> <p>A=3 (Moderate) Mechanisms of control and accountability exist, but their application is partial and/or only partially incorporates gender/linguistic/cultural diversity.</p> <p>A=5 (High) Mechanisms of control and accountability exist and are applied in a way that permits sanctions and anti-corruption measures to be generated, and they account for gender/linguistic/cultural diversity.</p> |
| Horizontal Control (HC) | Horizontal control refers to the level of direct supervision by the State's institutions and agencies that are independent and external to the CCTP and the practices or procedures that make up the component. A key institution of horizontal control is the Congress. | <p>HC=1 (Low) Opening of control and monitoring of the procedures and practices of the component to State institutions and agencies that are independent and external to the CCTP.</p> <p>HC=3 (Moderate) Partial opening to State institutions and agencies that are independent and external to the CCTP, however the information is unclear and/or incomplete, or the monitoring is not carried out.</p> <p>HC=5 (High) Opening to State institutions and agencies that are independent and external to the CCTP exists. This is useful for the control and monitoring of the Programme and allows the generation of sanctions and anti-corruption measures.</p> |

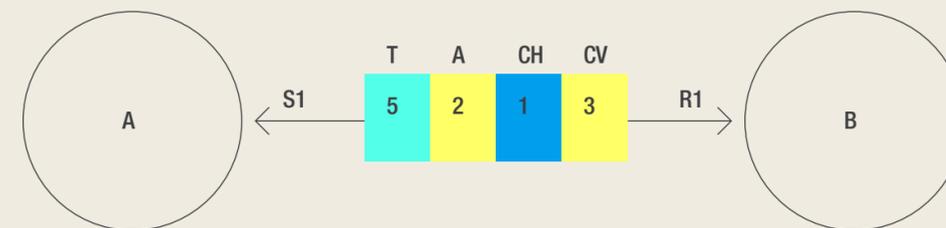


© Acción Ciudadana

Graph 5

MAP OF STAKEHOLDERS WITH INTEGRITY ANALYSIS PRODUCT:

- example



PRODUCT:

Complete map of stakeholders in each sub-process, with Integrity Analysis of the Relations.





EXAMPLE OF THE ASSESSMENT:

Example of Assessment: To obtain a better comprehension of assessment process we will use as an example a possible case study of the Mi Familia Progresá programme (Guatemala).

CONTEXT:

Focusing on the component of Complaints and Claims of this programme, identified as one of the most critical, we refer back to step 2 of the Process Analysis to capture the information that will allow us to develop our map of stakeholders and assess the relations among them.

From the findings of the Process Analysis, the stakeholders involved in this Complaints and Claims component are:

- a) the sub-directorate of Citizen Attention Mifapro,
- b) the local-level Promoters,
- c) the beneficiaries that file complaints.

The principal objective of this component is to allow that the complaints of the beneficiaries be heard and attended to in an efficient and timely manner. The procedure falls under the responsibility of the Sub-directorate of Citizen Attention (composed of 4 people) in charge of the management of the process of complaints and claims. The complaints can be filed by telephone or in writing.

In the findings of the process analysis, it is noticed that the telephone number is not a call centre and is attended to only by one person. Similarly, there is no system to deal with the complaints and claims, only an Excel spread sheet to control the calls received. Once a complaint is received it is forwarded to the person responsible to provide a solution but there is no follow-up.

From this example, and with the aim of advancing in the provisional mapping of this component of Complaints and Claims, 2 related subjects of analysis have been identified:

MG1: Sub-directorate of Citizen Attention: Beneficiaries

MG2: Sub-directorate of Citizen Attention: Promoters

MG1: Sub-directorate of Citizen Attention: Beneficiaries

This relation contains the offering of a service of receiving complaints and claims at the Sub-directorate of Citizen Attention Mifapro (S1) presented by the beneficiaries.



WARNING:

Although the information provided by the Process Analysis in this example indicates that there are two explicit relations between the stakeholders of this component, it is probable that the fieldwork identify new relations – possibly informal – that are also subject to analysis and assessment in the mapping of stakeholders. Following the example the analyst should offer special attention in the fieldwork to know if a relation exists between the local Promoters and Beneficiaries. At the same time, in this type of situations, where there is discrepancy between theoretical analysis and reality, the analyst should dedicate increased attention given that it constitutes an interesting line to deepen the component of advocacy (see also section 4 of this guide, Monitoring and Advocacy).

Graph 6

PROVISIONAL MAP OF STAKEHOLDERS

- example Mifapro Programme -
- Component of Complaints and Claims: MG1



In the Integrity Analysis of the relation a qualitative assessment should be carried out based on our four variables and a score will be attributed to each:

TRANSPARENCY:

(T)

Observation:

Public information exists but is incomplete, and/or only partially accounts for gender/linguistic/cultural diversity of the recipients.

Score: T=3 (Moderate)

ACCOUNTABILITY:

(A)

Observation:

Control and accountability mechanisms exist but they are only partially applied and/or only partially incorporate gender/linguistic/cultural diversity.

Score: A=3 (Moderate)

HORIZONTAL CONTROL:

(HC)

Observation:

Inexistent opening of control and monitoring over the procedures and practices of the component to State institutions and agencies that are independent and external to the CCTP.

Score: HC=1 (Low)

VERTICAL CONTROL:

(VC)

Observation:

The component procedures and practices are in no way opened for control and monitoring to non-state third parties.

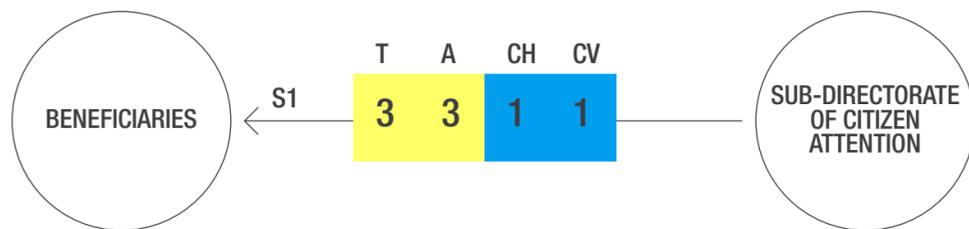
Score: VC=1 (Low)

The map of stakeholders with the Integrity analysis that illustrates this relation would be the following:

Graph 7

MAP OF STAKEHOLDERS WITH INTEGRITY ANALYSIS

- Ex. Mifapro Programme – Complaints and Claims Component: MG1



Graph 8

MAP OF STAKEHOLDERS WITH COMPLETE INTEGRITY ANALYSIS

- Ex. Mifapro Programme – Complaints and Claims Component: MG1



IMPORTANT:

It is expected that the analyst develop this same methodology for all of the relations identified in this component in order to obtain an integral mapping.

The analyst should also complete a table of relations of the component in order to obtain a full perspective of the surveyed information. Now, the previous example will be used to illustrate the process of completing the table.

Table 7

FINAL TABLE OF RELATIONS OF THE CRITICAL COMPONENT WITH INTEGRITY SCORE.

– Example Mifapro Complaints and Claims Component

COMPONENT 4: COMPLAINTS AND CLAIMS

| RELATIONS | | | | ASSESSMENT | | | | | | | |
|-----------|--|------------|--|---|--------------|--|--------------|---|---------|--|---------|
| RELATION | ACTORS | TYPE (S/R) | DETAIL | TRANSPARENCY Observations | Score | ACCOUNTABILITY Observations | Score | HORIZONTAL CONTROL Observations | Score | VERTICAL CONTROL Observations | Score |
| MG1 | Sub-directorate of Citizen Attention – Beneficiaries | S1 | Receipt of complaints and claims of the Sub-directorate of Citizen Attention filed by the beneficiaries. | Public information exists but is incomplete, and/or only partially accounts for gender/linguistic/cultural diversity of the recipients. | 3 (Moderate) | Control and accountability mechanisms exist but their application is partial and/or only partially incorporate gender/linguistic/cultural diversity. | 3 (Moderate) | Inexistent opening of control and monitoring over the procedures and practices of the component to State institutions and agencies that are independent and external to the CCTP. | 1 (Low) | No opening of control and monitoring of procedures and practices of the component to non-governmental third parties. | 1 (Low) |
| MG2 | Sub-directorate of Citizen Attention – Promoters | S2 | The Sub-directorate of Citizen Attention Mifapro forwards the complaints to the person responsible for finding a solution (local Promoters, Municipal Coordinators and Regional Coordinators). | To be completed with the corresponding assessment... | n | To be completed with the corresponding assessment... | n | To be completed with the corresponding assessment... | n | To be completed with the corresponding assessment... | n |
| Etc... | | | | | | | | | | | |



PRODUCT:

Complete table with the qualitative and quantitative integrity analysis of each of the relations of the component.



RECOMMENDED TIMEFRAME:

2 to 4 weeks



STAGE 4: ANALYSIS

After completing the qualitative and quantitative assessment of the stakeholders and relation of the component being studied, it is important to analyse them and order them in terms of their vulnerability.

The objective of this step is to obtain an in-depth analysis of each of the stakeholders and the relations that link them so that a comparison can be made with regard to their vulnerability to the risks of integrity.

The analyst can complete the analysis in accordance with 3 criteria:

- **The stakeholders:** : Evaluating which is the actor that generates the most risks to integrity.
- **The variables:** From the variables used to develop the integrity analysis, the most critical variable can be determined.
- **The relations:** From the relations analysed, the one generating the most risks to integrity can be determined, using all of the previous criteria.



PRODUCT:

Analytical Report with the findings of the systematisation and analysis for each of the criteria adopted in the Mapping of Stakeholders.



RECOMMENDED TIMEFRAME:

4 to 6 weeks



STAGE 5: VALIDATION

Once the assessment of the relations and map of stakeholders is complete, it is recommended to submit the findings and results of the Analysis for the validation of experts with extensive experience in the activity under analysis. Ideally, this would be the same panel of experts that commented on the previous step of the investigation (process analysis). It is also expected that the validation be developed from the findings and the results with the group that did the fieldwork.

Although it is ideal to have intermediate validation processes that allow step-by-step adjustments to the progress of the analysis, this could be arduous and costly in operational terms, given that it implies extending the timeframes and resources required for these evaluations.

It is considered highly important to open a process of validation at the end of the Mapping of Stakeholders, in which the findings and results are presented to the beneficiaries and all the local actors that participated in the fieldwork. It is also suggested to widen the presentation and validation to a Committee of experts.

In this sense the process of validation can permit new perspectives on the conclusions while simultaneously incorporating strategic recommendations, which might serve as a very useful platform to advance to the following phase of the methodology.

The results should also be presented to the community or beneficiary group that performed the fieldwork in a participatory framework as a capacity-building measure to not only establish the results, but to identify strategic recommendations with the objective of advancing the phases of Reporting and Advocacy.



PRODUCT:

Validation of the findings and results by a Committee of experts and by the group that participated in the fieldwork. Elaboration of a small report with strategic recommendations to advance the Reporting component.



RECOMMENDED TIMEFRAME:

de 3 a 4 semanas



3



REPORTING

The documentation or report-writing phase is strongly linked to the capacity of processing all the collected information in a systematic and orderly way.

In this sense, completing the process of analysis, should require (annex table format .xsl), at least, the following documents:

1. A document introducing the “state of the art”.
2. An analysis template for each step of the programme analysed.
3. An analysis template for the stakeholders involved.
4. The integrated assessment table by component.
5. The table with the relations of the critical process with Integrity scores.



© Acción Ciudadana

The documents listed are obviously part of the hard data of the process analysis; they are supported by a narrative that accompanies the read through the comprehension of the functioning of the transfer programme and the main weaknesses discovered. The language should be technical, but needs to be able to convey clear and strong messages for diverse audiences.

It is important to highlight that each of these steps should be previously validated with the control group, in other words the people or beneficiaries that have been interviewed in the workshops will need to validate each of these documents so that they can be shared and their content accepted by the community involved.

4



MONITORING AND ADVOCACY

MONITORING

The monitoring and evaluation phase is as important as the previous components of the methodology, given that they allow the identification of the impact achieved and the principal weaknesses of the project.

In the EELA scheme the monitoring is considered as a fourth step, however it is important to note that the concept of monitoring and evaluation should be applicable throughout the entire project: each time preliminary results are achieved and these are validated with the control group or beneficiaries it is important to freeze the flux of the processes and activities to reflect on what has worked and what is not working until this point.

There are various ways in which monitoring can be carried out and these depend on the time and resources available: group interviews, evaluation workshops with beneficiaries, questionnaires, surveys.



© Acción Ciudadana

SUB-STAGE 1.1: DESCRIPTION

The starting point of this sub-stage consists in recuperating information on stakeholders, compiled in Step 2 of the Process Analysis. The data on functions, objectives and results of the participants of the Programme (Tables 2, 3, and 4) constitute an important input to proceed with the description of the stakeholders involved.

A description will be produced of the different stakeholders involved and the relations that bring them together in the critical component selected. This description will be detailed in a descriptive Brief where the characteristics and participants of each of the relations will be listed.

SUBSTEP 1.2: PROVISIONAL MAPPING OF STAKEHOLDERS

With the complete information of stakeholders and relations proceed with the creation of provisional map, which will serve as a framework for the carrying out of the fieldwork. Its utility will be in providing the analyst with the prior information to organise his investigation and fieldwork. Next, the guidelines to diagram a generic map of stakeholders are explained.

4 **BUDGET
TRANSPARENCY
OF SOCIAL
PROGRAMMES**

< >



© Acción Ciudadana

The public budget is one of the most important issues that occupy a government. This issue implies taking decisions based on countless indicators that affect the lives of citizens in an important way, from education and healthcare to taxes. Since the 1990s there has been a massive increase in interest by citizen and some groups of civil society around the world to participate in issues related to the budget through a combination of analysis, sensitisation and advocacy.

Social problems are defined also as **deficiencies, existing deficits and unsatisfied needs** affecting a given population group. They constitute the difference between what is desired by society and the reality. A social problem should not be confounded with the absence of cover or lack of engagement in a given service. This could be an important cause of a social problem (referring to the quality of the offered service) but it is not the problem as such.

To answer the problems affecting society public policies are formulated and implemented in the form of social programmes, which represent a series of initiatives that pursue the same collective interests, differentiated by their efforts for particular populations/groups and/or using different intervention strategies.



© Acción Ciudadana

These programmes distribute goods or services, to satisfy the needs of these groups that do not possess resources to deal with them on their own, with a specificity and location in space and time that is precise and limited. Its products or services are offered or given for free or at a subsidised rate.

The traditional concepts identify social programmes by the **presence of an investment**, because they are attributed resources for the acquisition of capital goods (land, construction, equipment). Alternatively, the programmes might suppose only a burden of running costs (e.g. salaries required to operate).

These investments are decided and operated by organisms that manage the projects. The reach of these entities is defined by public policies, which also attribute the functionality of the social programmes, through the reception and execution of resources for implementation.

The designated resources that allow the implementation of social projects are generally provided by the state; in other words, usually the public budget is used to find solutions to problems suffered by the collective.



© Acción Ciudadana

However, **citizens have increasingly affirmed that they should be more informed of how their governments are using public funds¹.**

Achieving transparent public budgets with the creation of adequate controls in the budgetary process allows the improvement of credibility and prioritisation of decisions in social policy. Moreover, this limits the risks of corruption and facilitates the separation of the quantity of public spending and the results of what was done with this spending.

The use of public funds for the implementation of social programmes is a transcendental issue that occupies governments, particularly since it implies decision-making on issues that directly affect the lives of citizens. Herein lies the importance of participation of citizens and civil society groups in the process surrounding public budgets for social policies, through a combination of quantitative and qualitative analysis of public spending, follow-up and advocacy of social programmes.

¹ *There is extensive literature on the issue, the Citizen Guide for Budget Work and A Guide to Tax Work for NGOs of IBP, offer numerous examples of the initiatives of budgetary impact through which attempts to influence budgets in their formulation and legislative phases.*



© Acción Ciudadana

MEASURING THE BUDGET FOR SOCIAL PROGRAMMES

The assignation in budgets for social programmes found in the budget legislation often does not correspond with what is needed by the citizens. In other words, the resources that drive the application of social policy will be insufficient to respond to the needs that are supposedly addressed by the programme. These situations are very common in budgetary planning, when ideally; the assignation of public funding should allow the offering of public goods and services necessary to attack the problems of the population. In these cases, citizen participation in the budget planning and formulation processes is essential to try and seek influence, while ensuring that government institutions take into account the true needs of the people and that the budget of social programmes should correspond more to reality.

FORMULATION PHASE OF THE BUDGET: FACTORS TO WATCH IN THIS PHASE

DOCUMENT (YEAR OF STUDY)

FULFILMENT

AVAILABILITY

Public Consultation of Budget

.....
Have the timeframes for informed participation been guaranteed?
.....

Has a Citizen Budget been elaborated? *

.....
Have technical reports and studies been completed and published?
.....

** Citizen-friendly, summarised and clear budget, accessible to all audiences.*

Comparisons with previous years is useful and necessary to get an idea of the dimension of the social investment and its possible impact.

YEAR 1

YEAR 2

YEAR 3

Amount of spending for
social programmes in budget

Amount budgeted
+ additional credits during the year

Goals of the investment
(compare all the goals)

Origin of the funds
(debt, own income, etc.)

APPROVAL PHASE

It is necessary to follow-up on the entire legislative process on a national level, to measure the effectiveness of check&balance, for example, if in their observations the Legislative signals doubts on the achievement of goals, this should be a factor to note and to compare in the executive phase.

ACTIONS OF THE NATIONAL LEGISLATURE AND ITS COMMISSIONS

FULFILMENT

AVAILABILITY

Who evaluates the budgets of social programmes?

Only the finance commission or does the commission on social development or similar also intervene?

.....

Does the Legislature present observations regarding the social programmes in the budget proposal of the executive? Are these observations published?

.....

Type of observations: On criteria, technical aspects (objectives, feasibility, goals, estimated impact, recipients, execution in previous years, etc.), on total budget assignation, on the origin of the funds?

.....

What was the Legislature's evaluation regarding the transparency of the programme?

.....

The Executive takes into consideration the comments of Legislative and presents new budget proposal?

.....

Is the approved budget published?

In what format (paper, digital, encrypted, citizen-friendly)?

.....

EXECUTIVE PHASE

Although it is true that the amount of funding assigned in the budget for social programmes is important, the result of the execution budget is fundamental. The reason is that it represents the operational part of the programme and it is the stage where the most important doubts are posed.

The budget assignation to social programmes:

Are the funds really going to the said programmes? How many people are benefitting? Are funds directed to other programmes? By following-up on the public budget assigned to social programmes during the execution process (all year), citizens and civil society groups can demand that public organisms be accountable for given time periods (reports of executive budgetary spending every trimester, semester or annually), to determine if the public funds are being spent as they should.

DOCUMENT (YEAR OF STUDY)

FULFILMENT

AVAILABILITY

Trimester Management Report

.....

Semester Management Report

.....

DOCUMENT (YEAR OF STUDY)

ELABORATED

ACCESSIBLE

QUALITY OF REPORT

Trimester Execution Report

.....

Semester Execution Report

.....

The execution of every entry needs to be analysed by going through the reports and examining the details.

ENTRY OR SECTOR

PERCENT EXECUTED

QUALITY OF EXECUTION

INFORMATION ACCESS

Organism responsible

.....

Region

.....

Number of beneficiaries or recipients

.....

% executed per category: salaries, per diems, deliverables, transfers, etc.

.....

EVALUATION PHASE

The last step of the budget can generally be evaluated when the financial resources have been executed. When exploring the impact after the execution of the resources for social programmes, citizens and civil society can demand the accountability of governments for the results, the goals executed, and the advances or regressions of the social programmes.

| DOCUMENT (YEAR OF STUDY) | FULFILMENT | AVAILABILITY |
|--------------------------|------------|--------------|
| Annual Management Report | X% | From 1 to 5 |
| | | |
| Audit Report | X% | From 1 to 5 |
| | | |

It is necessary to go through the reports in detail and compare them to reality on the ground.

DOCUMENT (YEAR OF STUDY)

DATA

VERIFICATION

Additional credits (approved additional funds for the programme throughout the year).

Quantity

Detailed information on the execution of the spending on social programmes publish by public organisms.

Ministry of Finance, Planning, or Economy.

Budget Office.

Treasury.

Central Bank.

Institution in charge of execution/implementation.

Compare information to verify consistence. Studies or surveys of intermediate executors.

Is there an audit report? Knowing how to read these reports is important.

ANNEXES



ANNEX 1:

LESSONS LEARNED DURING THE IMPLEMENTATION OF PILOT PROJECT IN THE YEAR 2010/2011¹

The following is a list of suggestions to update and improve the EELA methodology based on the observations of chapters of Transparency International in Guatemala, Peru, Bolivia, colleagues working in the Secretariat of TI in Berlin, the Zigla consulting team and the external critic Christian Gruenberg.

DEFINITIONS

Definition of efficiency: Efficiency is, in practice, difficult to define and can be confused with effectiveness and/or resources. In the context of the Conditional Cash Transfer Programmes, the lack of measurement and information on the results of individual phases represents an additional challenge. A suggestion in this regard is to evaluate the processes in each phase; for example, for the complaints and claims phase, one can measure the process according to the average time that it takes beneficiaries to file a complaint.

Accountability Variables and Participation: The definition of accountability and participation need to be refined. The participation variable (defined as “external accountability”) is too broad; the suggestion is that it should be divided in two to be able to include external and horizontal accountability (or horizontal participation) – all forms of external accountability in the CCTPs – as well as the external and vertical accountability (vertical participation), which covers the social organisations that control the Programme from the outside, but that can also interact and cooperate with the internal accountability mechanisms.

.....

¹ *May 2012: Attempts have been made to incorporate the main lessons-learned to the current edition of the guide. During the months of June-August 2012 a module is being developed for fieldwork with communities.*

INCREASED PRECISION OF THE KEY COMPONENTS OF THE CCTPs TO BE ANALYSED

During the pilot phase, there were various observations made regarding the shared components in the CCTPs that should be distinguished clearly and consistently to achieve a better level of understanding when making comparisons across countries.

On the other hand, some of the components that were not included in the pilot phase will have to be incorporated into the revised version of the methodology. Among them we find, for example: institutional design, financial management, “graduation” of the Programme and public procurement.

ROLE OF THE BENEFICIARIES

The focus on the beneficiaries as key stakeholders should be encouraged throughout the methodology. Including the beneficiaries and potential beneficiaries in the investigation and validation of components in the methodology is not optional but essential, however, this is not adequately represented in the toolkit of the methodology. Moreover, including said groups in the advocacy component of the EELA focus is crucial and should be expressed with clarity in the following version of the methodological tools, which will include the key principles during the advocacy stage that follows the risk assessment stage.

MAP OF STAKEHOLDERS – COMPLETE THE FRAMEWORK GOVERNANCE MECHANISM TO DIRECT ATTENTION TO THE POWER ASYMMETRIES AND GENDER ISSUES

In the methodology, the general evaluation of integrity of the CCTP is based on the evaluation of the mechanisms of administration of the programmes, particularly with regard to the formal rules, accountability, and participation. The external critic noted that, despite the fact that the analysis of the mechanism of administration is in line with the general analysis, an effort should be made to create conceptual links that include additional factors, for example with the power asymmetries related to gender.

Without the incorporation of these issues, the methodology runs the risk of ignoring relevant aspects of the relation between stakeholders, which could also put at risk the integrity of the CCTP.

BROAD OUTLINE: STRENGTHENING A CONNECTION WITH HUMAN RIGHTS

In the current version of the methodology, the relation between stakeholders is presented as an exchange of services. However, as has been noted by the external critic, the relations between stakeholders, in particular between beneficiaries and different representatives of the programme, are not merely an exchange of service but they are rather based on the rights of the beneficiaries. For example, in the CCTP programmes, the components of education and health are not only a service offered by the state with shared responsibility for the beneficiaries, but rather a right of the beneficiaries and an obligation of the state. These aspects should be emphasised more, particularly with the aim of providing evidence in the advocacy phase.

GROUPING MAPS OF STAKEHOLDERS IN DIFFERENT COMMUNITIES

A standard method is needed to group and/or compare the answers of different interest groups in different communities.

FIELDWORK AND COLLECTION OF DATA

The methodology should include an annex suggesting standards or guidelines for collecting data such as: protocols for interest groups, questionnaires for structured interviews, etc.; as well as to cover certain practical aspects such as the steps to follow when approaching local organisations.

More guidance should also be given with regard to the reach of certain data entries relevant to each variable.

IMPROVEMENTS IN THE GUIDANCE FOR THE REPORT

An appendix on how to write the report on the CCT programme will be developed with special attention dedicated to the key factors considered in the contextual analysis that form part of the report. The contextual analysis includes examining and describing issues such as the level of local empowerment and the quality of access to information. The appendix will facilitate a guide, suggestions and principles that the researcher should take into account. Said appendix will also give special attention to issues of human rights and power asymmetries related to gender issues (see above).

ANNEX 2: MODEL FOR TABLE TEMPLATES

Table 1

DESCRIPTION OF COMPONENTS CONDITIONAL CASH TRANSFER PROGRAMMES (CCTPs)

- standar example

| COMPONENT OF THE PROJECT | OBJECTIVES | DESCRIPTION |
|---|------------|--------------------------------|
| 1. Focus | | Brief description of component |
| | | |
| 2. Income | | |
| | | |
| 3. Transfers/payments to beneficiaries | | |
| | | |
| 4. Fulfilment and monitoring of co-responsibilities | | |
| | | |
| 5. Complaints and claims | | |
| | | |
| 6. Outflow | | |
| | | |

Table 2

PRINCIPAL STAKEHOLDERS IN THE PROGRAMME: FUNCTIONS AND RESULTS

- standard example

| | FUNCTIONS | RESULTS | OBSERVATIONS |
|--|-----------|---------|--------------|
| COMPONENT 1: FOCUS | | | |
| Development Ministry | | | |
| Systems Management | | | |
| Municipal Government | | | |
| COMPONENT 2: INCOME | | | |
| Development Ministry | | | |
| Systems Management | | | |
| Municipal Government | | | |
| COMPONENT 3: TRANSFERS / PAYMENT TO BENEFICIARIES | | | |
| Banks | | | |
| Municipal Government | | | |
| Beneficiaries | | | |
| COMPONENT 4: FULFILMENT AND MONITORING OF CORRESPONSIBILITIES | | | |
| Etc... | | | |

Table 3
PRINCIPAL TOOLS AND CONTROL MECHANISMS
- case study of CCTPs

| COMPONENT OF THE PROJECT | TOOLS FOR REGULATION | TOOLS FOR INTERNAL ACCOUNTABILITY AND SANCTION | TOOLS FOR MONITORING AND EVALUATION |
|---------------------------------------|----------------------|--|-------------------------------------|
| 1. Fous | | | |
| 2. Income | | | |
| 3. Transfers/payment to beneficiaries | | | |
| 4. Others... | | | |

Table 4
PRINCIPAL TOOLS AND CONTROL MECHANISMS
- case study of CCTPs

| Component | PERFORMANCE ANALYSIS (P) | | | | | | | | INTEGRITY ANALYSIS (I) | | | | | | | | | | |
|--|--------------------------|--------|-----------------|--------|-------------------|--------|----------------------|--------|------------------------|-------|-----------------------|-------|----------------------------|-------|--------------------------|-------|-----------------|-----------|--|
| | 1. REGULATION (R) | | 2. CAPACITY (C) | | 3. EFFICIENCY (E) | | 4. EFFECTIVENESS (F) | | 5. TRANSPARENCY (T) | | 6. ACCOUNTABILITY (A) | | 7. HORIZONTAL CONTROL (HC) | | 8. VERTICAL CONTROL (VC) | | TOTAL INTEGRITY | TOTAL P+I | |
| | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Obs. | Score | Score | Score | |
| 1. Focus | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | |
| 2. Income | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | |
| 3. Transfers / payments to beneficiaries | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | |
| 4. Etc ... | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | ... | 1 to 5 | | |

Table 5
INTEGRITY RISKS
- example CCT programmes

| PROJECT COMPONENT | STAKEHOLDERS INVOLVED | INTEGRITY RISKS |
|-------------------------------------|-----------------------|-----------------|
| Targeting | | |
| Income | | |
| Transfers / Beneficiary Payments | | |
| etc. | | |

ANNEX 3: GLOSSARY

Accountability: refers to the direct control mechanisms between the participants of the process under analysis. It takes into account internal accountability between the participating stakeholders, as well as the methods of information exchange between them.

Capacity: seeks to determine if the process is supported by the necessary resources for it to function correctly. These resources can be technical (capacitated human resources available to perform assigned functions) as well as material (budget, financial resources, and technological tools).

Horizontal Control: refers to the level of direct supervision that is possessed by institutions and agencies of the independent State and external to the CCTP over the actions and procedures that constitute the component. A key institution for horizontal control is congress.

Vertical Control: refers to the level of supervision possessed by citizens, the press, and civil society organisations over the actions and procedures that constitute the component.

Functions: activity or group of activities that each actor carries out in each component participated in.

Performance: seeks to establish the ideal amount of resources to achieve the objectives set forth (Capacity), efficient management of those resources (Efficiency), and the aptitude for the fulfilment of the objectives and achievement of the desired results (Effectiveness).

Effectiveness: is determined by the attainment of objectives set and reaching desired results.

Efficiency: is determined by the use and management of available resources.

Integrity: seeks to determine the level of formalisation and fulfilment of the regulations and controls that exist in the process, both in the participants as well as by third parties that may monitor activities.

Objectives: refers to the goals or results that are set in a defined time period.

Regulations: refer to the existence of written rules or formal regulations between the stakeholders, as well as the real availability to regulate the complete framework of existing relations. It considers the laws that govern general relations of the Programme, as well as the regulations and own norms of the component under study.

Products: refers to what each of the components is expected to achieve.

Vulnerability: refers to the level of vulnerability caused by failures of integrity of the components of the Programme. It is assumed that better Performance and stronger integrity of a component, decreases the exposure to risks of integrity. On the contrary, a lower score of P+I (Performance + Integrity) of a component increases its vulnerability and exposure to failures of integrity.

ANNEX 4:

CORE QUESTIONS FOR THE ASSESSMENT MAPPING OF STAKEHOLDERS

1. INTRODUCTION

The mapping of stakeholders is focused on the components of the CCTPs identified as **most vulnerable** based on the process analysis. This could be the registration of beneficiaries, the payment, the mechanism for complaints and claims, etc.

Inside the component, the objective of the mapping of stakeholders is to **identify the stakeholders involved, the relations among them and the mechanisms of transparency, accountability, and control** applicable to these relations. See also the section “Map of Stakeholders” in the implementation guide.

This annex contains **core questions** to complete the **assessment of the relation between stakeholders**; it is suggested that each chapter develop its own additional questions based on the findings of the process analysis, and national and local contexts.

To collect the information it is recommended to use a combination of semi-structured interviews with relevant stakeholders from within the component, with focus groups of beneficiaries. However, the methodology of collection will always depend to a certain extent on the context.

.....
*Note: For the focus group with beneficiaries it is recommended to use as complement the specific questionnaire (**Annex 5**) and the methodology exemplified in **Annex 6**.*
.....

Selection of communities: It is recommended to visit a minimum of 3-4 communities that are **representative of the national context**. A hypothetical example would be to survey two communities in urban areas; one is a mountainous rural area, and one in a plain rural area.

2. CORE QUESTIONS FOR 2 STAKEHOLDERS:

[Actor 1]

[Actor 2]

Service provided by Actor 1 to Actor 2:

Return provided by Actor 2 to Actor 1:

I. Transparency

- Is the relation between the stakeholders regulated, with established responsibilities, objectives, procedures, rules, and norms?
- Is there legislation that establishes that the regulation should be available to the public?
- Does the public or other interested external actors may actually learn about the relationship between the actors?

II. Accountability

- If [Actor 1] has a problem or a complaint with respect to [Actor 2] or with respect to the Service or Return provided, are there existing mechanisms of accountability available to [Actor 1]?
- If an [Actor 3] inside the CCTP is affected by the relation between [Actor 1] and [Actor 2], can [Actor 3] use this accountability mechanism?

.....

Hypothetical example: *Every month, the doctor [Actor 1] needs to send to the coordinator [Actor 2] a list of beneficiaries [Actor 3] that have completed their health check-up. If the doctor does not comply with his function and is regularly late in sending the list, does the local coordinator have an entity to address a complaint? Can the beneficiary file a complaint?*

.....

Complementary questions:

- Do you know cases where this accountability channel has been used?
- Do you know if this accountability channel has led to a response to the original complaint?
- Do you know if there have been verified cases where the complaint in the framework of a component arrived to the justice system?
- Do you know if there have been verified concrete cases where a complaint classified as a crime has led to sanctions?
- Where are beneficiaries are affected: is the mechanism of complaints and claims of the component sensitive to gender differences.
- Where beneficiaries are involved: is the mechanism of complaints and claims sensitive to culture, language and customs?

III. Horizontal Control

- Are there existing monitoring efforts carried out by other state authorities on the service that you provide to [Actor 2] / return that you received from [Actor 1]? For example, might you be controlled by a congressional commission, etc.?
- Has this monitoring generated written reports?
- Are these reports available?
- Do these reports include specific recommendations?
- Have reforms been generated as a consequence of the recommendations?

IV. Vertical Control

- Do you know if the working relation with [Actor 2] is subject to monitoring or community participation, for example, by a monitoring commission, public hearings, opinion surveys, suggestion boxes, etc.?

If there is existing community monitoring:

- Have there been official changes in the way of working with [Actor 2] based on the recommendations collected through the community participation?
- In your opinion: Have the commission and participation events taken into account traditions, language, customs and culture of your community?
- In your opinion: Do the mechanisms of community monitoring take into account gender differences?

ANNEX 5:

GENERIC QUESTIONS ON THE CCTP FOR THE COMMUNITY / BENEFICIARIES

This list of generic questions may be useful to establish a baseline with respect to the general levels of transparency, accountability, and participatory control of the CCTP, in accordance with the experience of the beneficiaries. This will be relevant in the advocacy stage and also to provide context for the specific questions of the mapping of stakeholders, which is focused on the most vulnerable components of the CCTP (see Annex 1 and 3).

CONTEXT QUESTIONS

- Name:
- Gender:
- Age:
- Head of household:
- Beneficiary of CCTP yes/no:
- If beneficiary, for how long? _____ years

QUESTIONS ON THE CCTP

What would you consider as the positive and negative aspects of the [CCTP] for your community?

(It is recommended to add specifics to the CCTP if necessary)

AVAILABILITY OF INFORMATION¹:

1. In your experience, is it possible to obtain information about the <CCTP> and its functioning?
2. How do you obtain information on the <CCTP>? (Internet, TV, local radio, visiting the authorities of the local community, speaking with neighbours or friends, or other)
3. Is the information about the <CCTP> up to date?
4. Is the information about the <CCTP> complete?
5. In your opinion: is the available information presented in a readable and comprehensible form?
6. Do you know if there is a law or regulation that gives the right to obtain information on the <CCTP>? Have you exercised this right? Do you know of any case where someone of the community has exercised this right?
7. In your experience: the public servants of the programme (or relevant actor) are capacitated to provide information about the <CCTP>?
8. In your opinion: the information provided by the <CCTP> is sensitive to gender differences?
9. In your opinion: the information provided by the <CCTP> is sensitive to culture, language and customs?

.....
¹ *Transparency*

COMPLAINTS AND CLAIMS²:

1. Do you know if there is a formal channel to file complaints and claims in the framework of the <CCTP>?
 2. If you know are aware of such a channel for complaints and claims: How does it work? Can one file in written-form, by TE, online, is there a committee of beneficiaries that communicates with the authorities; does one have to show up in person?
 3. Do you know if there is an available channel to denounce cases of discrimination for reasons of ethnicity, gender, or language in the framework of the <CCTP>?
 4. Have you used or know of anyone that has used the channel for complaints and claims?
 5. Do you know if the use of the channel of complaints and claims has led to a response on the subject that generated the complaint?
 6. Do you know if there have been verified cases where a complaint in the framework of the CCTP has arrived to the justice system?
 7. Do you know if there have been verified and concrete cases where a complaint classified as a crime has led to sanctions?
 8. In your opinion: is the complaints and claims channel of the <CCTP> sensitive to gender differences?
 9. In your opinion: is the mechanism of complaints and claims of the <CCTP> sensitive to culture, language, and customs?
- If you know or have participated in a committee or council of beneficiaries that can collect complaints and claims:
10. Do you know if there has been training for the members of the committee or council?
 11. Do you know how the composition of the committee? Is there a majority of women? Are the majority beneficiaries? Are men the majority? Are the majority representatives of the <CCTP>?

.....
² *Accountability*

CONTROL OF STATE AUTHORITIES³:

Do you know if there have been any controls on the <CCTP> in your community by state authorities, an audit for example, or by an Ombudsman or a Congressional commission?

CONTROL ON THE <CCTP> BY THE COMMUNITY⁴:

1. Do you know if there is any office or department within the <CCTP> that is charged specifically with promoting direct relations with the community?
2. Do you know if there is a space for community participation in the framework of the <CCTP>, for example in the form of a monitoring commission, public audiences, public opinion polls, suggestion boxes, etc.?

Based on your personal experience:

3. Is the community informed in advance about the place, date and time of the participatory events?
4. Do such events have sufficient financial and human resources to guarantee participation?
5. Are people informed beforehand of the agenda and the decisions to be taken?
6. Are people informed of the public authority charged with implementing the decision taken at the participatory event?
7. Is there adequate public and prior dissemination of the participatory event?

8. Are the recommendations and observations of the participants registered and diffused?
9. Have there been registered cases where the recommendations made by the community have led to modifications in the operation of the <CCTP>?
10. Has there been a minimum threshold established for the number of participants that are not authorities, to guarantee the legitimacy and autonomy of the participatory events?
11. Is this threshold respected in practice?
12. Are there channels to denounce cases of discrimination in the access to participatory events, commissions, etc.?
13. Are the announcements of the participatory events done in the local languages relevant to the participants?
14. Do the commissions and participatory events consider the local community's traditions, languages, culture and norms?
15. Does the design of the mechanisms of monitoring and control of the CCTP consider gender differences?

.....
³ *Horizontal control*

⁴ *Vertical control*

Note: *In principle, the commissions of beneficiaries are considered mechanisms of accountability of the programme, while the commissions where participants include community actors that are not beneficiaries are considered mechanisms of vertical control external to the programme. In practice, this distinction is probably not as easy to make.*

ANNEX 6:

COMPLEMENTARY METHODOLOGY FOR THE MAPPING OF STAKEHOLDERS WITH BENEFICIARIES /

1. INTRODUCTION

This guide provides a description of the steps to facilitate the elaboration of a participatory map of stakeholders working with beneficiaries. The participatory map of stakeholders seeks to identify and evaluate the relations between those involved and related to the conditional transfer programme under study. This methodology is complementary to the questionnaire for the mapping of stakeholders (Annex 1) and for the general questions on the CCTP (Annex 2).

As preliminary step, from the process analysis what are considered the **most vulnerable** components of the CCTP will have been identified. The proposal is that the mappings of stakeholders focus chiefly on these components, even though general questions can also be made on the CCTP.

.....
⁵For example, the most vulnerable component could be the registration of beneficiaries, the complaint and claim mechanism, the procedure for verifying co-responsibilities, etc.

II. BEFORE THE VISIT

Selection of communities: It is recommended to visit a minimum of 3-4 communities that are representative of the national context. A hypothetical example would be to survey two communities in urban areas; one is a mountainous rural area, and one in a plain rural area.

Communication with local contacts: communication and links with local contacts will be key to prepare the visit; explaining what the meeting is about, inquiring about how many participants can be expected, which is the best time for the visit, agreeing on expectations, logistical support, etc.

Time of stay: To help the planning, it is expected that in order to complete the activities the stay in each community should be at least half a day, although more likely one full day.

.....
Important: In the next step of the project (advocacy) the objective will be to return to the surveyed communities, to share the results of the investigation and to carry out activities of specific advocacy on a local level (to be determined based on the findings and context).

III. FORMAT OF COMMUNITY VISITS

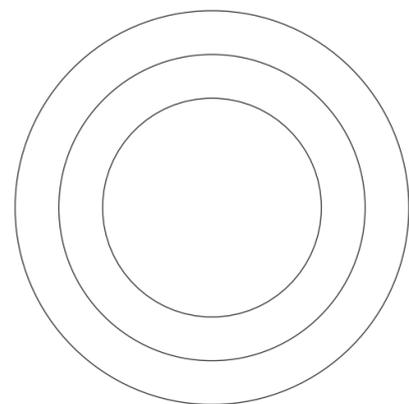
The following methodology was developed by Citizen Action in Guatemala (Acción Ciudadana) based on the programme Mi Familia Progresá

A. PART 1:

Necessary materials:

- Poster paper
- Coloured cards, tape, and glue to stick cards on posters.
- Markers / Felt-tip pens

.....



.....

Figure 1:
Suggestion for the poster paper

The concentric circles allow a visualisation of the “distance” between the beneficiaries and the stakeholders related to the CCTP. This distance can be physical; it can represent the frequency of the interactions between the stakeholders, or the level of confidence to carry out the assessed management.

In the case that there is more than one component identified as most vulnerable in the CCTP, it is suggested to use 2 or more individual posters.

Step 1

Having posted the poster paper on a wall, the facilitator welcomes the participants and presents the members of the working group. The facilitator also explains the reason for the investigation and the presence of the team in the community.

Step 2

Next, the dynamics of presenting and the “ice-breaker”, the facilitator proceeds to briefly explain what the objective consists of and the use that will be given (map), particularly explaining the place of the community/beneficiary at the centre of the objective.

After, a reading of the question that generates the map of stakeholders.

To whom do you go / with whom do beneficiaries interact in the context of the [vulnerable step] of the [CCTP]?

Step 3

The facilitator goes over each of the cards and sticks one or two on the poster, consulting with the participants over the place where the card should go. If the stakeholders are present in the workshop (local coordinators of the CCTP, representatives of the health centre, etc.) it is recommended that the facilitator be positive in the friendly with each of the stakeholders (to the extent possible). It is important that the use of the placement of the stakeholders remain clear in the levels 1-3 of the map.

Step 4

After the illustrative dynamic the facilitator should proceed to again reading the question corresponding to the map and to pose it directly to the participants. As each of the participants provides their opinion, they should be asked to come to the front to situate the actor in their corresponding place. The idea is that the facilitator progressively gives a voice and allows complete participation to the participants so that they themselves place the stakeholders where they consider appropriate. In this step it is recommended that the facilitator try mechanisms to involved the participants effectively.

Step 5

During the possible group discussion over the placement of each of the stakeholders, it is recommended that the facilitator proceed to ask why the each has been placed in the respective levels. Here the facilitator should ensure that the stakeholders are correctly placed in each level according to the consensual opinion of the group that emerges from the discussion.

Step 6

After arriving at a consensual placement on each of the stakeholders on the map, participants should be asked about the relations between each of the stakeholders, including the community itself. There are two possible types of relation. 1. Unidirectional, 2. Bi-directional. In this part of the workshop the facilitator should play a more active role ensuring that the types of relations are correct, as well as determining the services/returns offered among themselves. The facilitator should also ask the reason for the establishment of each of the relations, services, and returns. The comments and reasons derived from the question on the nature of the relations need to be clear and concise so that these may be documented.

B. PART 2: STRUCTURED OR SEMI-STRUCTURED INTERVIEWS

See **Annex 1** for questions on the mapping of stakeholders



© Acción Ciudadana

IV. AFTER THE MEETING:

Evaluate the day with representatives of local organisations, if possible also discussing possible activities of advocacy in the following stage.

CHECKLISTS



CHECKLIST:



1. Is there a normative/regulatory framework that formally supports the component?

.....

2. Is the normative framework congressional legislation?

.....

3. Is the law a decree?

.....

4. Is the legislation framework a specific regulation for the CCTP?

.....

5. Are the objectives, functions, activities, resources and processes of the component formalised?

.....

6. Does the legislation adequately cover the full spectrum of activities?

.....

7. Does the component define general objectives?

.....

8. Does the component define specific objectives?

.....

9. Does the component define expected results in a determined timeframe?

.....

10. Do the objectives of the component correspond with the direction of the Programme?

.....

11. Do the stakeholders involved in the component know the defined objectives?

.....

12. Have the stakeholders involved internalised the defined objectives and do they act correspondingly?

.....





CHECKLIST:



1. Have human resource needs been assessed for the component?

.....

2. Does the component have enough human resources? And are they trained to perform the assigned tasks?

.....

3. Are the component human resources recruited following objective and technical criteria?

.....

4. Do the human resources correspond to the function they perform?

.....

5. Are the functions of the stakeholders involved in the component clearly defined?

.....

6. Has an evaluation of the economic needs of the component been done?

.....

7. Is the allocated budget sufficient to fulfil the component tasks?

.....

8. Are the necessary financial resources available in practice?

.....

9. Has an evaluation of the technological needs of the component to fulfil its functions been done?

.....

10. Does the component have sufficient technological resources to fulfil its functions? (Computers, communications equipment, mobility, office equipment, etc.)

.....



CHECKLIST:



1. Are overall programme results measured?

.....

2. Are the results of each component measured separately?

.....

3. Is there a quantitative assessment?

.....

4. Is there a qualitative assessment?

.....

5. Is there a combined (qualitative and quantitative) assessment?

.....

6. Are expected results achieved in practice both for the component and the programme?

.....

7. Is this measuring captured in reports, and disseminated among involved stakeholders?

.....

8. Are recommendation base on the analysis?

.....

9. Is there follow-up on the extent of the implementation of these recommendations?

.....





CHECKLIST:



-
1. Are Human Resources directed to performing the assigned functions?
.....
 2. Do Human Resources perform the assigned functions in practice?
.....
 3. Are technological resources directed to performing the assigned tasks?
.....
 4. Do technological resources actually perform the assigned tasks?
.....
 5. Are economic resources allocated to performing the assigned tasks?
.....
 6. Does the use of technical and financial resources allow the CCT programme to be carried out correctly?
.....
 7. Are there indicators to assess key component processes?
.....
 8. Are key component processes assessed periodically?
.....
 9. Do assessments produce recommendations?
.....
 10. Is there follow-up on the implementation of recommendations?
.....
 11. Is the efficiency of using available component resources measured periodically?
.....
 12. Is this measuring assessed?
.....
 13. Is there follow-up on the implementation of recommendations?
.....
 14. Are improvements implemented on the basis of assessments?
.....





CHECKLIST:



-
1. Is there a law of access to information or similar legislation?
.....
 2. Is it a national law?
.....
 3. Is it a state law?
.....
 4. Is it a decree?
.....
 5. Is it a regulation that covers only the CCT programme?
.....
 6. Does public information with regard to the programme, and the way it is run, exist in practice?
.....
 7. Is this information complemented and updated periodically?
.....
 8. Is it possible to access information related to the component regulation / process?
.....
 9. Has the relevant staff been trained to implement the law on access to information?
.....
 10. Does the rule include the state's obligation to active transparency?
.....

-
11. Does the rule clearly set out what information must be actively disseminated?
.....
 12. Is the information about the component available on the Internet?
.....
 13. Is the information available on the Internet complete?
.....
 14. Is the information available on the Internet relevant?
.....
 15. Is the information available on the Internet easy to understand?
(Questions 1-15 cover the availability criterion)
.....
 16. Does the state use dissemination channels such as TV, local radio, etc.?
.....
 17. Are there active mechanisms in place to report discrimination?
(Accessibility)
.....
 18. Do access to information mechanisms consider gender issues?
(Acceptability)
.....
 19. Do access to information mechanisms adapt their content/format/ language in accordance with cultural/linguistic diversity?
(Adaptability)
.....





CHECKLIST:



1. Are there formal accountability bodies in the component?

.....

2. Do any of the formal accountability bodies promote female beneficiaries' participation in committees, advisory councils, etc.?

.....

3. How are these accountability bodies set up? Who makes up a majority: women, female beneficiaries, males, or township or state institution representatives?

.....

4. Do stakeholders know the accountability mechanisms?

.....

5. Have stakeholders been trained in the use of accountability mechanisms?

.....

6. Has the implementation of these mechanisms been verified?

.....

7. Is there a classification or typology of complaints?

.....

8. Are offences defined in the typology?

.....

9. Does the typology of complaints include gender-based violence?

.....

10. When a complaint involves an offence, is it clear to which organisation or body the complaint must be referred to?

.....

11. Has it been verified that a complaint involving an offence led to a sanction?

.....

12. Do accountability mechanisms ensure access to justice for individuals subject to abuse of power? (Questions 1-12 cover the **availability criterion**)

.....

13. Are there active mechanisms for reporting discrimination when using accountability mechanisms? (**Accessibility**)

.....

14. Do accountability mechanisms include tools to account for gender inequality? (**Acceptability**)

.....

15. Do accountability mechanisms include tools to account for linguistic/cultural diversity? (**Adaptability**)

.....





CHECKLIST:



-
1. Are there mechanisms to allow for oversight by state actors external to the programme (auditors, congressional committees)?
.....
 2. Are these mechanisms general (comptroller's office, court of audit, electoral institute, etc.)?
.....
 3. Are they particular to the programme (special prosecutor's office, special congressional committee, etc.)?
.....
 4. Is there a formal network of agencies to monitor the programme (federal monitoring network, etc.)?
.....
 5. Do state actors external to the programme monitor/oversee it in practice?
.....
 6. Is the control of state actors carried out periodically?
.....
 7. Does the control of state actors lead to written reports?
.....
 8. Are these reports readily available?
.....
 9. Is there follow-up on the implementation of the recommendations contained in the report?
.....
 10. Are there co-operation partnerships or formal agreements between external monitoring agencies (e.g. ombudsman or congressional committee) and beneficiaries' organisations or other CSO associated with the programme? (These question cover the Availability criteria)
.....





CHECKLIST:



-
1. Are there mechanisms to monitor and oversee CCT programmes by non-state actors (oversight committees, public hearings, opinion polls, suggestion box, a press office within the programme, etc.)?
.....
 2. Are these mechanisms formalised?
.....
 3. Is there, within the programme or the programme component, an office that aims specifically at establishing a direct relationship with the community?
.....
 4. Do monitoring and oversight mechanisms have the necessary human and financial resources to ensure participation?
.....
 5. Are non-state actors informed in advance of the location, date and time of the open events?
.....
 6. Is the events agenda and possible decisions to be made shared in advance?
.....
 7. Is it clear what public authority will be in charge of implementing the decisions that come out of open events?
.....
 8. Are open events widely disseminated?
.....
 9. Are participants' recommendations and observations recorded and shared with stakeholders?
.....

-
10. Have there been reported cases where participants' recommendations led to changes in the programme's operation?
.....
 11. Have a minimum threshold of non-actors been established to ensure legitimacy and autonomy in participatory mechanisms?
.....
 12. Is this minimum threshold actually enforced? (Questions 1-12 refer to the **Availability criterion**)
.....
 13. Are there active mechanisms for reporting discrimination in the use of monitoring and oversight mechanisms? (**Accessibility**)
.....
 14. Do monitoring and oversight mechanisms consider traditional customs and existing forms and processes of participation? (**Acceptability**)
.....
 15. Does the design of monitoring and oversight mechanisms for CCT programmes account for gender issues? (**Acceptability**)
.....
 16. Is public dissemination of open events done in local languages relevant to non-state participants? (**Adaptability**)
.....
 17. Do participation mechanisms adapt their content / format / language in accordance with linguistic / cultural diversity? (**Adaptability**)
.....





WWW.TRANSPARENCY.ORG