



ECUADOR

PROPOSAL GUIDE “STANDARDS FOR THE SOCIAL CONTROL AND PUBLIC FUNDS”

**OFFICE OF THE COMPTROLLER GENERAL OF THE
STATE OF THE REPUBLIC OF ECUADOR**

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GUIDE “STANDARDS OF SOCIAL CONTROL OF PUBLIC FUNDS”

In the framework of WGFACML meeting, held in Tanzania in 2017, which focused on finding ways to share practices and experiences regarding the work of control agencies in the fight against corruption and money laundering the SAI of Ecuador proposed the elaboration of a guide in which the mechanisms of Social Control were evidenced.

The guide seek to set mechanisms that SAIs adapt in their own audit processes in order to generate a direct relationship with external actors (citizens) that support and strengthen the development of the audit processes.

The guide is based on the principle 6 of ISSAI 12: "Communicate with stakeholders effectively". In this framework communication process between SAIs and external actors is an important matter in the auditing process.

SOCIAL CONTROL

- ❖ Is the exercise of citizen participation on the good control of public management and state resources.
- ❖ Mechanisms that SAIs adapt in order to foster a direct relationship with external actors to support and strengthen the development of the audit processes.
- ❖ Contributes to good public management and the exercise of rights and well-being.



SOCIAL CONTROL

❖ There are three identified mechanisms to apply Social Control of Public Funds to the auditing processes:

- Public Hearings
- Citizen Oversight
- Citizen Complaints





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SOCIAL CONTROL MECHANISMS

PUBLIC HEARINGS

SOCIAL CONTROL MECHANISMS

❖ PUBLIC HEARINGS

This mechanism strengthens the transparency and accountability by incorporating the citizen perspective in the control actions based on citizen priorities.

PRINCIPLES OF PUBLIC HEARINGS:

- a) Respect
- b) Providing spaces
- c) Contrasting
- d) Conceptualization
- e) Promoting commitments
- f) Permanent technical support
- g) Delivering information
- h) Socialization
- i) Evaluation



SOCIAL CONTROL MECHANISMS

❖ PUBLIC HEARINGS

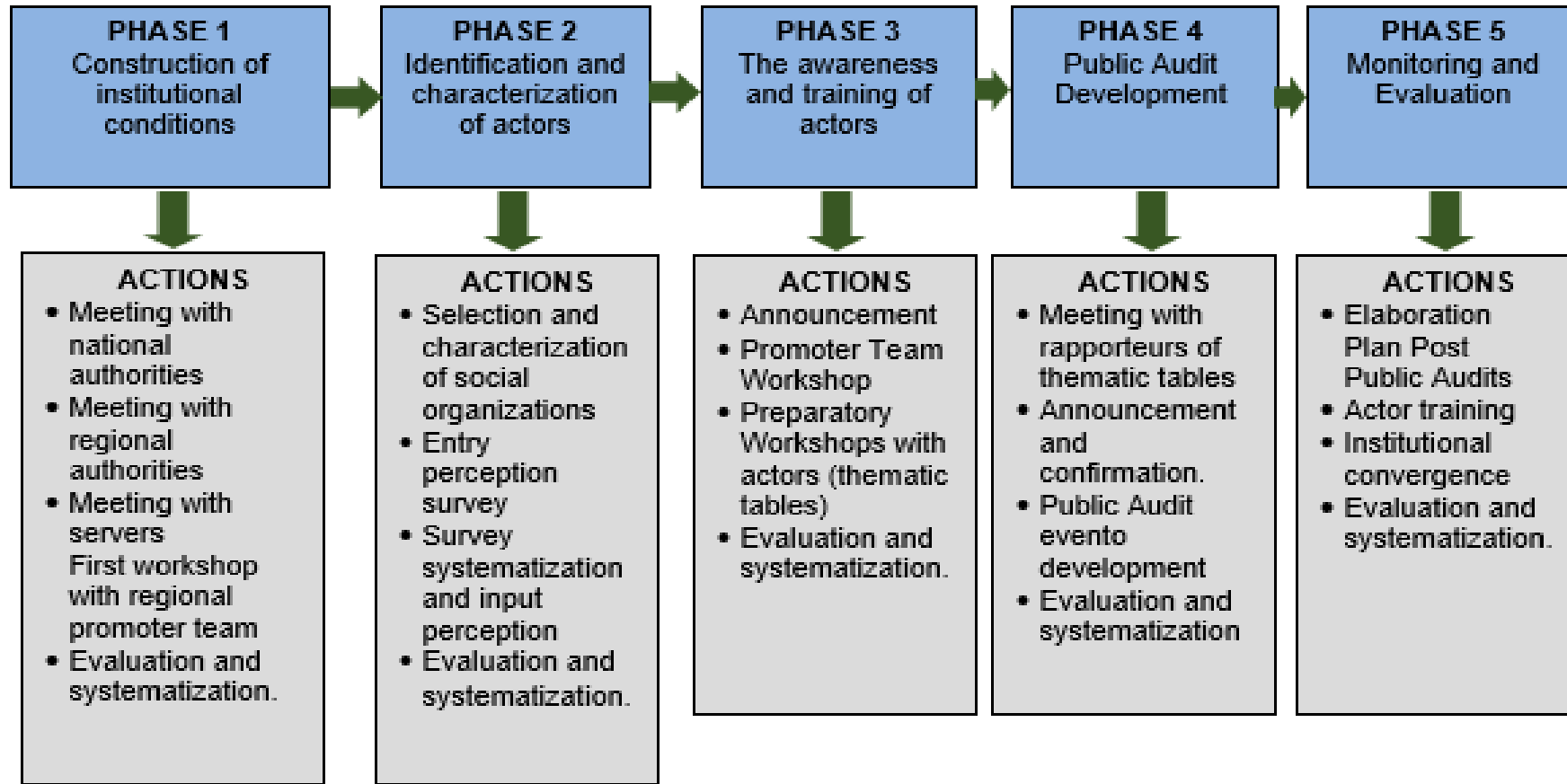
A successful Public Hearing is based on the capacities of social actors to learn and coexist between them. In this sense an **Institutional Technical Team** should be formed in order to promote the peaceful coexistence.

The Institutional Technical Team should promote:

- 1) Social actors to express their own points of view.
- 2) The recognition of the citizens that they have the capacity and the right to transform the reality.
- 3) The recognition of different points of view, ideas and opinions.
- 4) The capacity to question their own and the others point of view, as well as regulations.

SOCIAL CONTROL MECHANISMS

❖ PUBLIC HEARINGS PROCESS





SOCIAL CONTROL MECHANISMS

CITIZEN OVERSIGHT



SOCIAL CONTROL MECHANISMS

❖ CITIZEN OVERSIGHT

The direct presence of the citizens in the auditing processes gives legitimacy to them, as well as enhance the principles of democracy, transparency and efficiency.

PRINCIPLES OF CITIZEN OVERSIGHT:

- a) Responsibility and co-responsibility
- b) Objectivity
- c) Transparency
- d) Efficiency

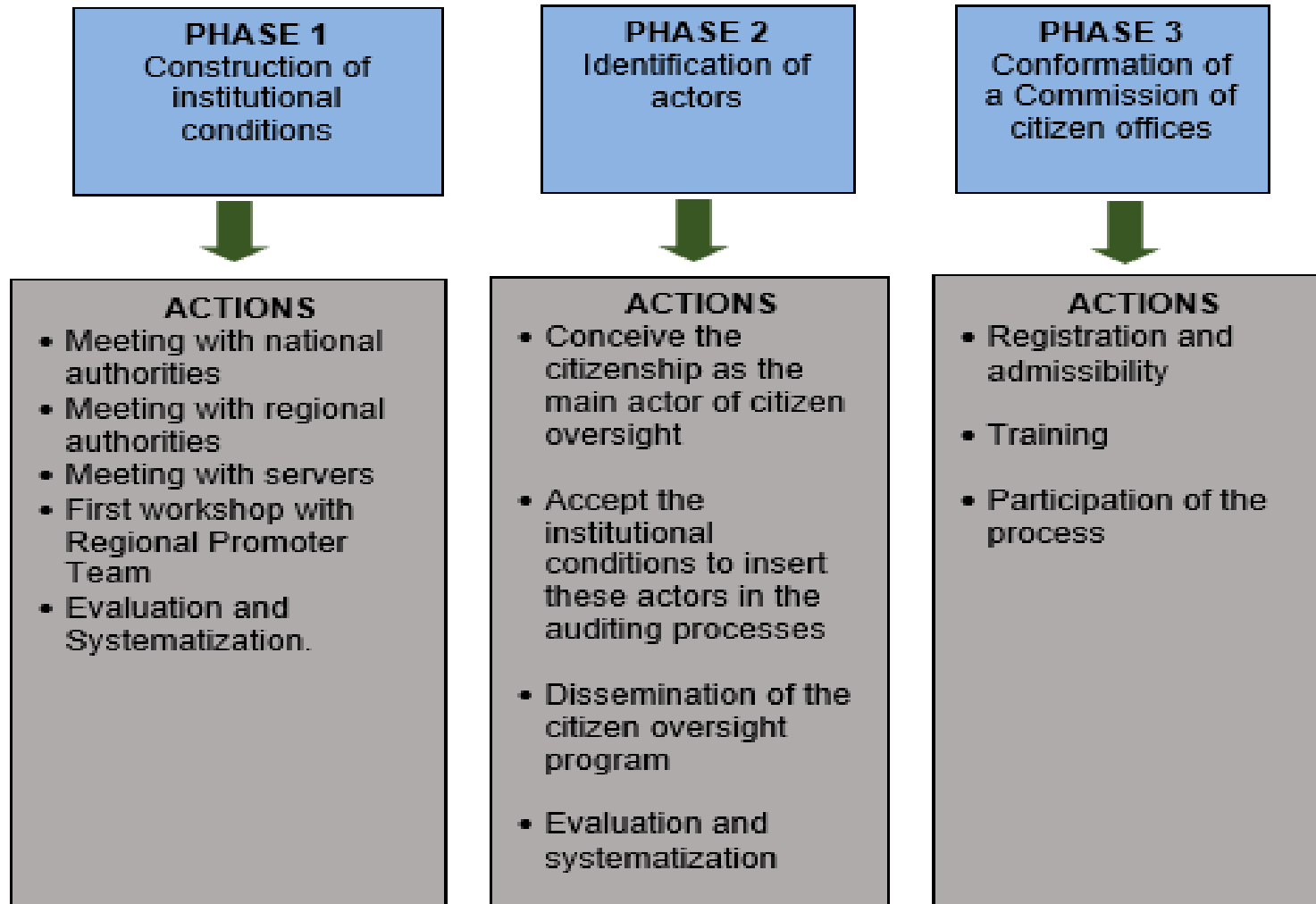
CITIZEN OVERSIGHT PROCESS HAS TWO STAGES:

1. Initiation
2. Implementation



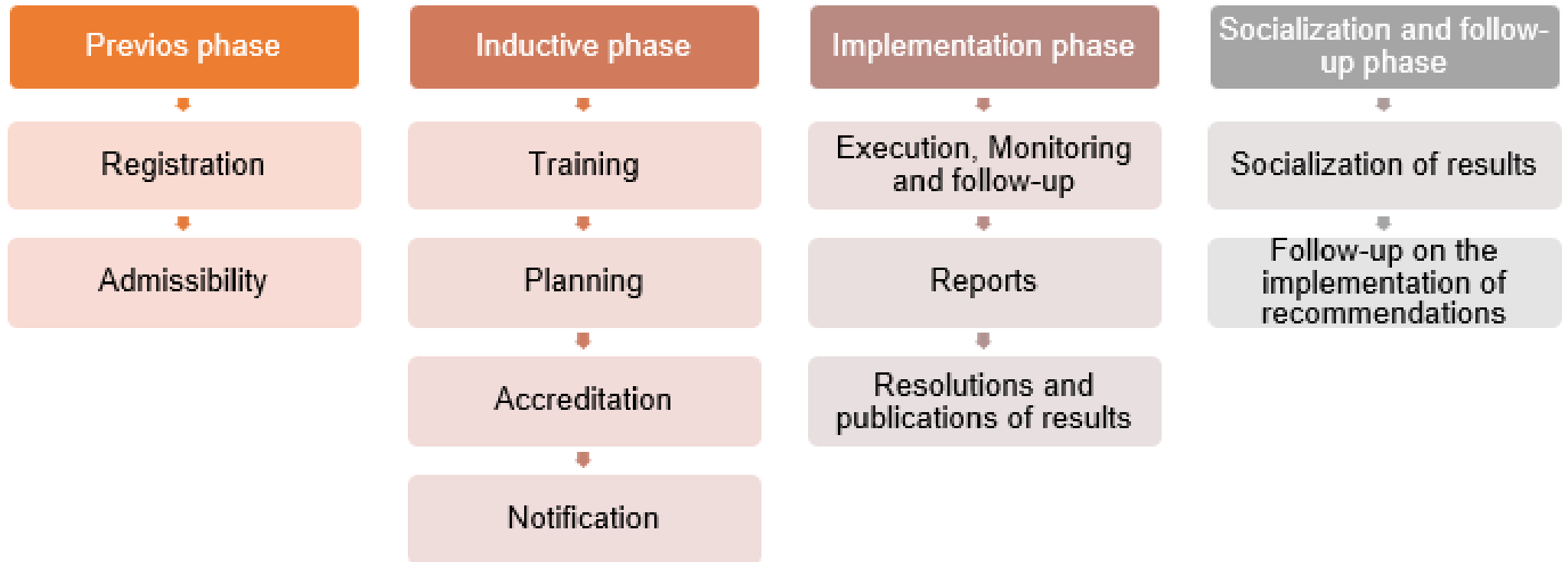
SOCIAL CONTROL MECHANISMS

❖ CITIZEN OVERSIGHT PROCESS: INITIATION



SOCIAL CONTROL MECHANISMS

❖ CITIZEN OVERSIGHT PROCESS: IMPLEMENTATION





SOCIAL CONTROL MECHANISMS

CITIZEN COMPLAINTS

SOCIAL CONTROL MECHANISMS

❖ CITIZEN COMPLAINTS

Actions through which a citizen formally shows disagreement to an irregularity or crime. This is a way by which citizens can establish a direct relationship with a competent authority or unit, in order to improve public management.

PRINCIPLES OF CITIZEN COMPLAINTS:

- a) Responsibility and co-responsibility
- b) Objectivity
- c) Transparency
- d) Efficiency

CITIZEN COMPLAINTS PROCESS HAS TWO STAGES:

1. Initiation
2. Implementation



SOCIAL CONTROL MECHANISMS

❖ CITIZEN COMPLAINTS PROCESS: INITIATION

Initial phase

- Identify the citizens, units and relevant authorities, as actors in the development of the process.
- Promote this mechanism public and invite to participate in it.

Means to receive complaints

- Website
- Personally
- Direct phone line (1-800)
- Correspondence

Requirements for citizen complaints

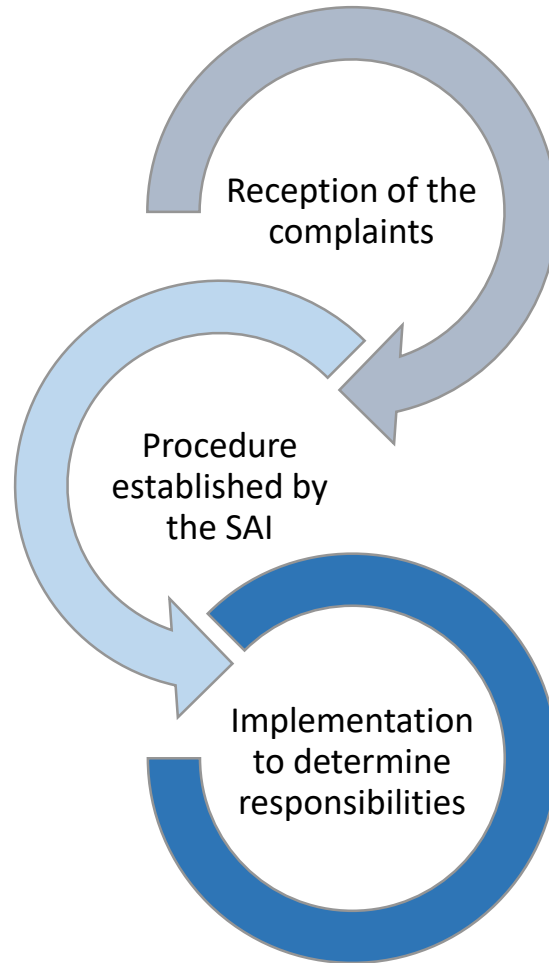
- Should be related to the competences of the SAI.
- Match criteria and formal requirements established by the SAI.
- Avoid duplication of cases and inefficiency.
- Submit valid inputs to verify veracity of the complaint.

Principles of complaints

- The complaint should answer: Where? , What? And When?
- Respond to Public Interest.
- Non-exclusive nature.

SOCIAL CONTROL MECHANISMS

❖ CITIZEN COMPLAINTS PROCESS: IMPLEMENTATION



COMMITMENTS OF THE SAIs

❖ COMMUNICATION AND NOTIFICATION TO THE COMPLAINANT

1. Receipt and communicate the result of the qualification of the complaint.
2. Communicate the evaluation made to the complainant.
3. Information on the status of the complaint.

❖ PROTECTION OF THE IDENTITY OF THE COMPLAINANT

The identity of the complainant will be protected under the current regulation of each SAI, in order to safeguard the his/her integrity and security along the process.

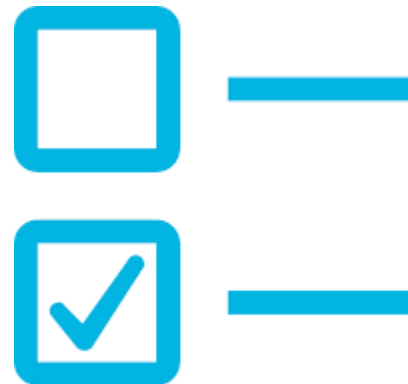


ANNEX

❖ ANNEX 1: Survey for the recognition of social control (accountability) in the auditing processes of SAIs of the WGFACTML

- Know mechanisms implemented by SAIs in social control area.
- Establish a general overview at the INTOSAI level of the conception of social control in the auditing processes.
- Know the best practices of SAIs about social control.
- Collect information for further analysis.

❖ ANNEX 1: [Draft Survey](#)



ANNEX

❖ ANNEX 2: Form for the presentation of citizen complaints

This guide seeks greater understanding of public matters by citizens. In that light, the Draft Form will provide data about the correct functioning of the process of filing a citizen complaint.

❖ ANNEX 2: [Draft Form](#)





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