GUIDELINE "STANDARDS FOR THE SOCIAL CONTROL OF PUBLIC FUNDS"

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

14th October, 2020

GUIDE "STANDARDS OF SOCIAL CONTROL OF PUBLIC FUNDS"

In the framework of WGFACML meeting, held in Tanzania in 2017, which focused on AJSS9 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.

Slide 2



SOCIAL CONTROL

Is the exercise of citizen participation on the good control of public management and state resources¹.

Mechanisms that SAIs adapt in order to foster a direct relationship with external actors to support and strengthen the development of the audit processes².

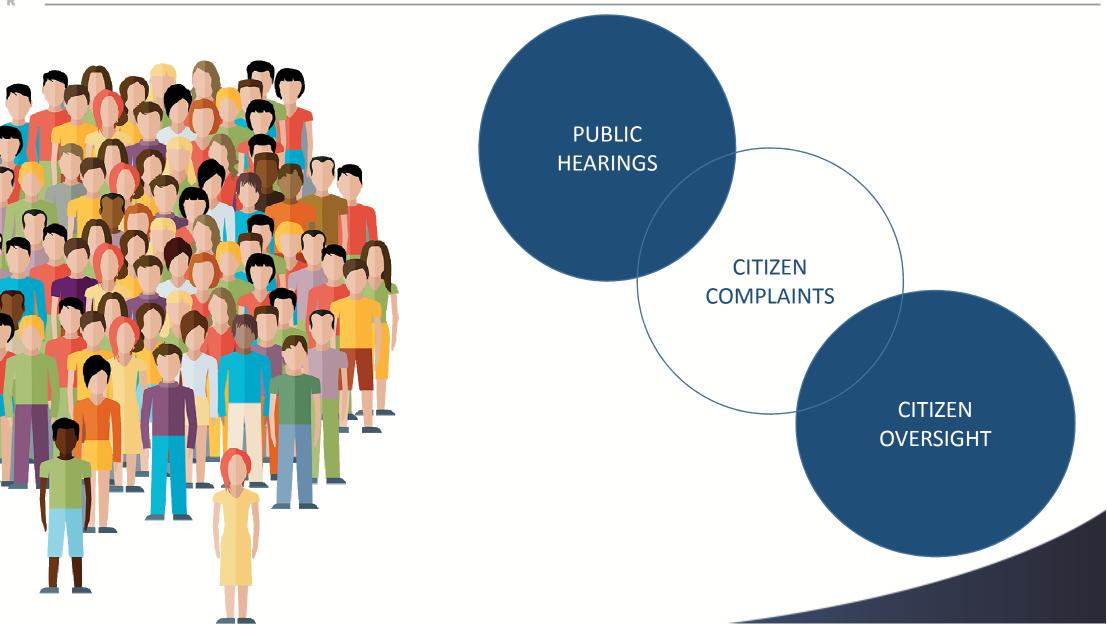
Contributes to good public management and the exercise of rights and well-being.



- 1. Main Definitions, Guideline of Social Control of Public Funds.
- 2. Social Control Mechanisms: good practices to link civil society in audit, Guideline of Social Control of Public Funds.



SOCIAL CONTROL



PUBLIC HEARINGS

This mechanism strengthen the transparency and accountability by incorporating the citizen perspective in the control actions based on citizen priorities³.

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

3. Main Definitions, Guideline of Social Control of Public Funds.



✤ 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:

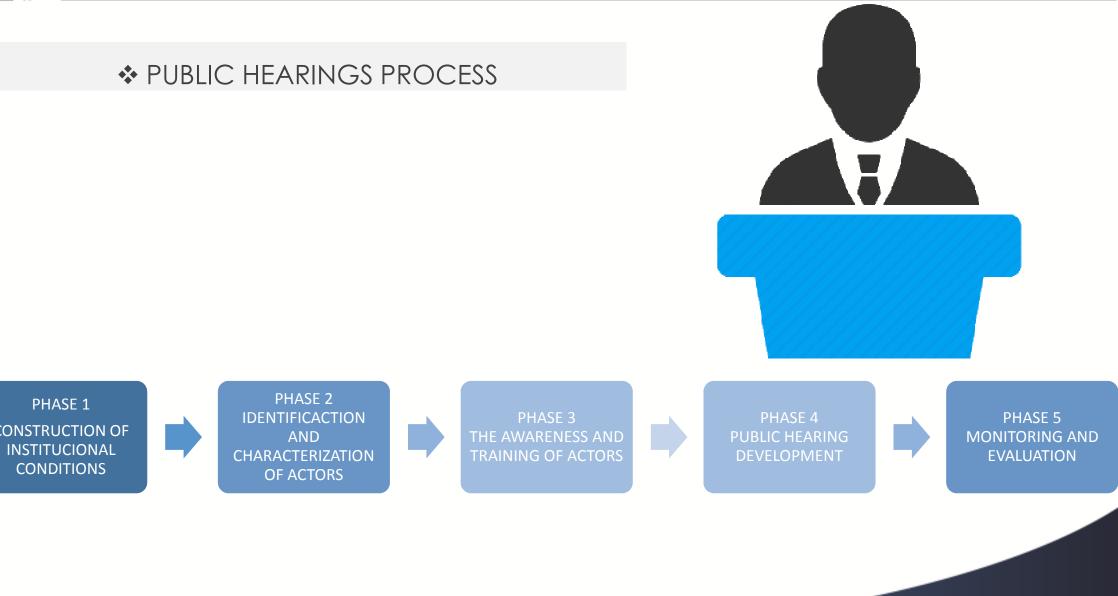
- 1) Social actors to express their own points of view.
- 2) The recognition of citizen's capacity and rights to transform reality.
- 3) The recognition of different points of view, ideas and opinions.
- 4) The capacity to question their own and the others point of view, as well as regulations.



Slide 6

AJSS12 Sugiero que esta diapositiva pueda ser explicada y no puesta, debido a que tiene mucho texto. AGUILAR JURADO STALIN SEBASTIAN; 30/10/2020





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 STAGES⁴:

- 1. Initiation
- 2. Implementation

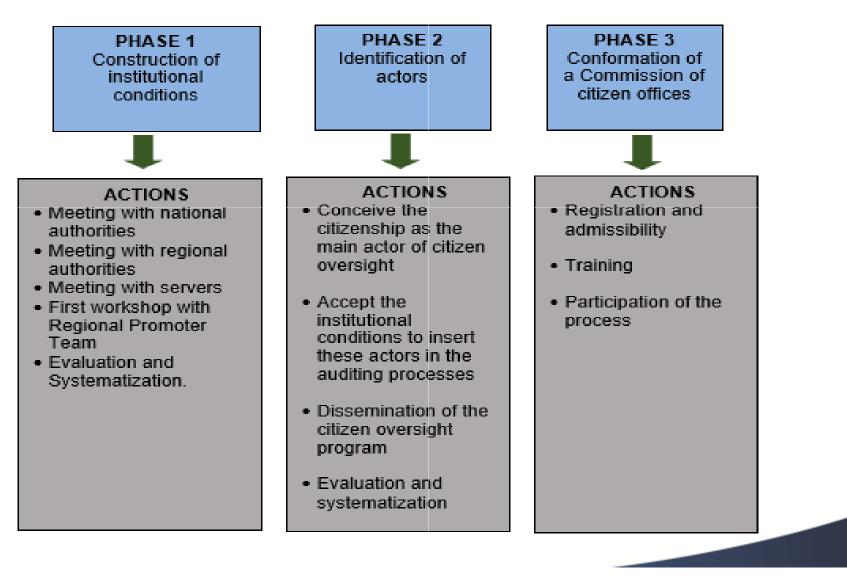
4. Social Control Mechanisms: good practices to link civil society in audit, Guideline of Social Control of Public Funds.



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SOCIAL CONTROL MECHANISMS

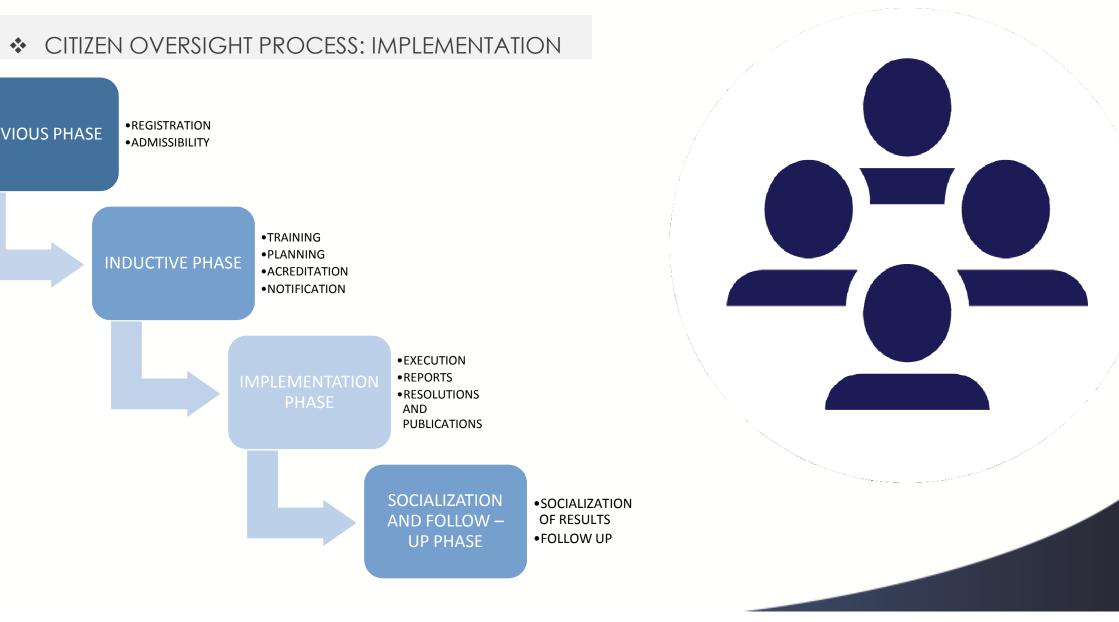
✤ CITIZEN OVERSIGHT PROCESS: INITIATIONAJSS14



AJSS14 sugiero que esta diapositiva sea eliminada ya que se peude simplificar a todo el proceso en la siguiente diapositiva AGUILAR JURADO STALIN SEBASTIAN; 30/10/2020

Slide 9





CITIZEN COMPLAINTS

Actions through which citizens 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 management⁵.

PRINCIPLES OF CITIZEN COMPLAINTS:

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

CITIZEN COMPLAINTS PROCESS HAS TWO STAGES:

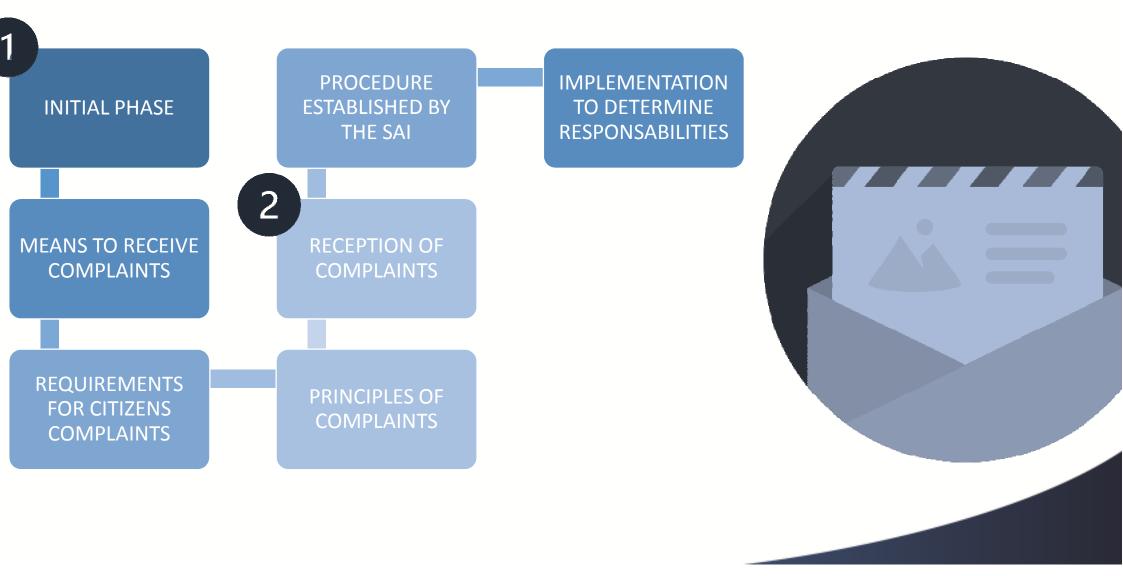
- 1. Initiation
- 2. Implementation

5. Social Control Mechanisms: good practices to link civil society in audit, Guideline of Social Control of Public Funds.





CITIZEN COMPLAINTS PROCESS

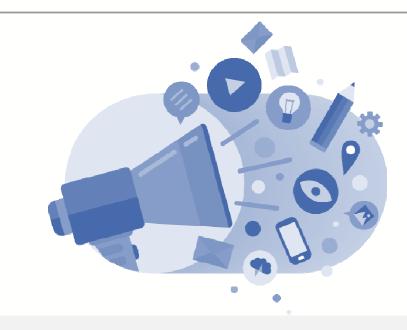




COMMITMENTS OF THE SAIs TOWARDS CITIZENS COMPLAINTS

COMMUNICATION AND NOTIFICATION TO THE COMPLAINANT

- Receipt and communicate the result of the qualification of the complaint.
- Communicate the evaluation made to the complaint.
- 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.

GUIDE "STANDARDS FOR THE SOCIAL CONTROL OF PUBLIC FUNDS"

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- The final draft of the Guideline of Standard for the Social control of Public Funds under the leadership of SAI Ecuador has been subjected to the quality assurance (QA) levels and procedure for QA evaluation of non-IFPP products.
- QA Certificate signed by H.E. Counsellor/ Hesham Badawy- Chair of WGFACML and President of the Accountability State Authority of Egypt.
- QA Certificate signed by H.E. Mr. Girish Chandra Murmu- Chair of the Knowledge Sharing (KSC) Committee INTOSAI.

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