

2017 Meeting of the INTOSAI Capacity-Building Committee

September 18 - 20, 2017

Washington, DC (World Bank's premises)

CHAIR'S REPORT

Last update: September 15, 2017

Dear colleagues,

On behalf of Mr. Juan M. Portal, CPA, Auditor General of Mexico and Chairman of the CBC Integrity Self-Assessment Tool (IntoSAINT) Project Group, it is such a great honor to be here at the 2017 meeting of the Capacity-Building Committee. As you know, during the XXII INCOSAI, held in Abu Dhabi, in December 2016, the SAI of Mexico took over the chairmanship of the CBC IntoSAINT Project Group, from Mr. Arno Visser, President of the Netherlands Court of Audit. The SAI of Mexico was delighted to assume this honorable position in order to continue the Netherlands Court of Audit's great work at disseminating and further developing the INTOSAI Integrity Model. We are aware of the value and benefits of the tool, and of its positive impact as well.

On behalf of the Chairman of this workstream, I am glad to report on the activities carried out by this INTOSAI body since last year. As you know, the CBC IntoSAINT Project Group aims to promote the implementation of the Integrity Self-Assessment Tool worldwide, as an initiative that can be used by the Community of SAIs to strengthen their institutional capacities and those of the public sector in general, foster the continuous improvement of the instrument, and share knowledge among the different actors involved.

The IntoSAINT workstream is made up by 9 members: the SAIs of Cameroon, Fiji, Indonesia, Mexico, Netherlands, Tunisia, South Africa, as well as the European Court of Auditors, and the INTOSAI Development Initiative (IDI). Even though 6 INTOSAI regional organizations are represented in the workstream (missing just CAROSAI), the admission of new members is considered convenient in order to benefit even more from the diversity of the SAIs Community. In this sense, the workstream Chair will maintain communication with each Chairman and Secretary General of the corresponding region to have a more inclusive workstream.

Before taking over the chairmanship of this workstream, the Netherlands Court of Audit and the SAI of Mexico held an in-person meeting in August 2016 to discuss the main challenges that the Working Group could face, and which should be taken into consideration to facilitate the accomplishment of its mandate. In this sense, the following 6 challenges were identified:

- 1. How to get regions on board.** It would be important to get regions committed to the initiative through a stronger collaboration and active participation. Identifying regional focal points and the link with regional integrity working groups would be

necessary. An analysis of the current situation of each region in terms of implementation progress, needs and challenges would be needed.

2. **Funding.** A strategy to have the donor community aware on the relevance, impact and results of integrity matters could allow financial support for the project. A result-oriented approach would be the most effective strategy to get donors involved. Collaboration with CBC and the INTOSAI-Donor Secretariat must be in the list. Seeking small donors is also a responsibility of individual countries.
3. **How to share knowledge among parties.** It means knowledge sharing among moderators, institutions, INTOSAI bodies, and other stakeholders. The community of practice would play an important role in this regard, at the global and regional levels. Collaboration with the Knowledge Sharing Committee (KSC, Goal 3) and IDI would be building further onto recent experiences with virtual techniques.
4. **Updating mechanisms and sustainability.** How to make the tool sustainable in the long run through taking it to a higher level at INTOSAI, as well as to promote SAIs to take the ownership of the tool and embed it in their institutional strategic plans. As a project that creates capacities in institutions, the CBC will play a key role in keeping supporting the initiative in the INTOSAI Community.
5. **Follow-up mechanisms.** The real success of IntoSAINT depends on how much progress institutions have at implementing the recommendations. This is why, after the workshops, there must be considered a monitoring strategy to measure real impact in terms of effectiveness. The more impact is proven, the more interest from SAIs, donors and stakeholders is taking place. Opportunities are in the new ISSAI 30, the establishment of regional integrity committees and the sharing of experiences, good practices and lessons-learnt.
6. **Communication strategy.** Parties involved in this initiative should follow an active communication strategy in order to get things done. Coordination among CBC IntoSAINT Project Group members, regions and INTOSAI bodies will be crucial. Disseminating the value and benefits of the tool in official channels will be necessary.

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Bearing these considerations in mind, the workstream members have drafted a Global Strategy for the 2017-2019 period, which is based on four main objectives:

- **Objective 1: Awareness-raising of the tool.** This objectives refers to outreach activities in order to promote the value and benefits of the tool before the INTOSAI Community via the existing official channels, at the global and regional stages, as well as further collaboration ties with the INTOSAI regional organizations.
- **Objective 2: Implementation of IntoSAINT workshops.** For this purpose, relevant elements have been considered, such as funding, advisory services to be

provided by the workstream, the planning and execution processes of the IntoSAINT workshop, as well as the self-assessment report drafting, and the implementation of follow-up mechanisms on the recommendations stemmed from the workshops.

- **Objective 3: Sustainability of the tool.** It establishes that the sustainability of the tool will be achieved as long as the pool of IntoSAINT experts keep qualified and with knowledge. For this purpose, knowledge-sharing activities should be considered, along with the cooperation of the regions.
- **Objective 4: Promotion of SAINT.** This objective aims to take the INTOSAI Integrity model beyond SAIs, and apply the tool in public sector organizations. Good governance can be further enhanced by the SAIs' active participation by promotion integrity mechanisms among other government actors.

The CBC IntoSAINT Project Group is focusing on these pillars. Communication has been established with the managers of the KSC-IDI Community Portal to take the most of this platform for our working purposes. It is worth mentioning that the workstream has started an updating process of the methodology materials, and the purpose is to keep harmonized the versions in different languages. Additionally, virtual meetings will be prioritized over *in situ* encounters, taking into consideration austerity policies.

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Up to date, more than 170 moderators in 68 countries have been trained, and IntoSAINT Self-Assessments have been implemented in around 40 countries. This statistics will be updated and communicated to the CBC Steering Committee at least every year.

➤ **Case study: implementation of the tool in OLACEFS**

Up to date, OLACEFS is the INTOSAI regional organization with the largest progress in terms of the implementation of IntoSAINT. The strategies applied in Latin-American and the Caribbean SAIs can be taken into consideration for replicating the tool in other regions. An analysis on progress in all the INTOSAI regional organizations will be prepared by the workstream chair.

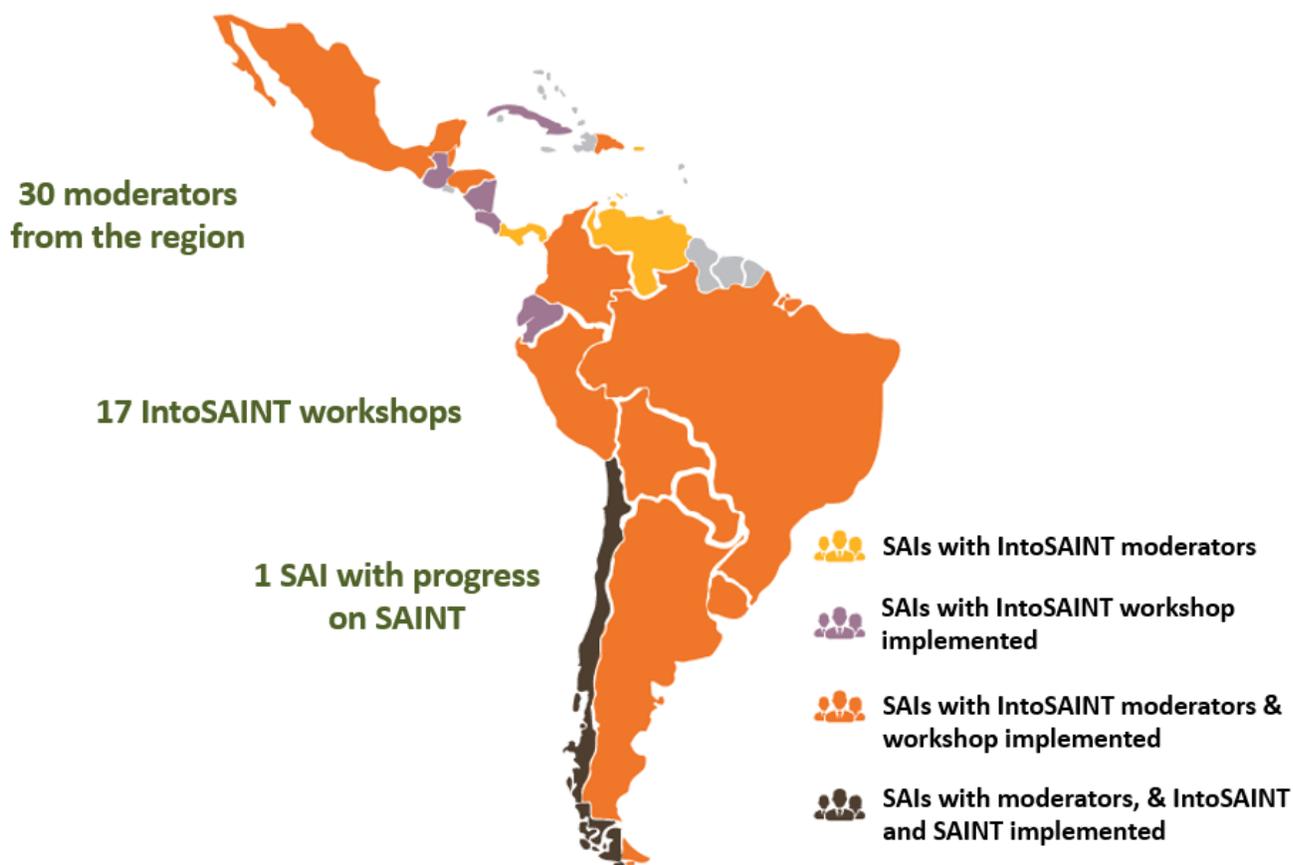
The strategy applied in OLACEFS for the IntoSAINT implementation

Aspect	How it was addressed in OLACEFS
Objective 1: Awareness-raising of the tool	
Outreach activities	Articles on the value and benefits of the tool have been published on the OLECEFS newsletter, magazine and website. Video clips have been also published on the website, and submitted to the Technical Commission on Good Governance (CTPBG) and to the Regional Capacity-Building Committee (CCC). Materials have been prepared for the INCOSAI seminars and booths.

Aspect	How it was addressed in OLACEFS
Collaboration ties	The implementation of IntoSAINT was considered into the OLACEFS Technical Commission on Public Ethics, Probity and Transparency (CEPAT)'s Annual Working Plans, and since 2014 into the CTPBG's. Progress on the IntoSAINT implementation was presented before the OLACEFS General-Assemblies and Governing Board meetings.
Working material	The original material was translated into Spanish, and then enriched after the first experiences of the tool implementation. Then, from the updated Spanish versions, the material was translated into Portuguese.
Objective 2: Implementation of IntoSAINT workshops	
Funding	Most of the IntoSAINT workshops were based on a joint financial scheme: with financial contributions from the Inter-American Development Bank (IADB); the German Cooperation (GIZ); CTPBG's, as well as SAIs'. These financial resources were used for covering the moderators' expenses of flight tickets, accommodation and meals.
Advisory services	The SAI of Mexico was responsible for the implementation of the tool in OLACEFS when it chaired CEPAT, and also after the establishment of CTPBG, as project coordinator with its Chair (SAI of Argentina). The SAI of Mexico provided the OLACEFS SAIs with guidance through videoconferences on the planning, execution of the tool, as well as on the assessment report drafting.
Planning of the workshop	Moderators received advisory services in advance from the regional project coordinator on the planning phase. For the logistical arrangements, coordination with the OLACEFS Secretary-General was necessary, since all purchases were made by this entity (as it is legally in charge of administering the OLACEFS budget).
Execution of the workshop	An annual call was launched in 2015, 2016 and 2017 to invite SAIs to implement the IntoSAINT Tools, regarding the available financial resources for that year. Moderators received advisory services in advance from the regional project coordinator on the execution phase. A workshop coordinator at the self-assessed SAI was appointed to facilitate the logistics, and the local moderators were also involved during the execution of the workshop. Up to date, 17 OLACEFS member SAIs have implemented the IntoSAINT tool. By November 2017, the SAI of Curacao will have implemented the workshop, reaching this way a total of 18 (out of 22) OLACEFS member SAIs by the end of this year with progress on IntoSAINT.

Aspect	How it was addressed in OLACEFS
Draft and presentation of the report	Moderators received advisory services in advance from the regional project coordinator on the draft and presentation of the report.
Follow-up mechanisms	Taking into consideration that the report is confidential and exclusively intended for use by the self-assessed SAI, a survey with general questions on integrity mechanisms within the OLACEFS members will be carried out in the last quarter of 2017. This information will allow us to make data analytics for decision-making purposes.
Objective 3: Sustainability of the tool	
Moderators training	In 2013, a moderators training was carried out by CEPAT, with the support of the Netherlands Court of Audit, and the CCC. The training program was divided into two phases: a six-week virtual phase with readings and exercises for the participants, and a two-day, <i>in situ</i> encounter held in Mexico City to reinforce knowledge. 30 moderators from 19 SAIs were certified.
Knowledge sharing	After the moderators training, videoconferences to share challenges and good practices among moderators were held. At the XXV OLACEFS General Assembly, held in Queretaro City, Mexico, in November 2015, a publication written by the regional moderators was presented. The publication is titled: <i>The Relevance of the Promotion of Integrity in Public Sector Institutions in Latin America and the Caribbean. Perspectives, Progress and Good Practices on the Integrity Self-Assessment Tool (IntoSAINT) in OLACEFS.</i>
Objective 4: Promotion of SAINT	
Working materials	Spanish materials were updated in 2017 in order to make them applicable both to Integrity Self-Assessments in SAIs (IntoSAINT) and in public sector organizations in general (SAINT).
Advisory services	The SAI of Mexico, as regional project coordinator, will keep offering advisory services to the OLACEFS member SAIs for implementing SAINT workshops.
Implementation	The SAI of Chile has implemented SAINT workshops in 2015 and 2016. A videoconference will be held on September 21, 2017, with OLACEFS member SAIs to launch this year a SAINT workshop in the region with CTPBG's financial resources.

The implementation of IntoSAINT at OLACEFS (September 2017)



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Ladies and gentlemen, thank you very much for your attention.

Mr. Erwin Alberto Ramírez-Gutiérrez,
Director of International Relations,
on behalf of Mr. Juan M. Portal, CPA,
Auditor General of Mexico and
Chairman of the CBC IntoSAINT Project Group.

Motions presented before the CBC Steering Committee

1. To take note of the workstream's progress report.
2. To endorse the IntoSAINT Global Strategy, which establishes the workstream's objectives for the 2017-2019 period.