

CBC IntoSAINT Project Group

Progress report

Capacity Building Committee
8-10 September 2015, Stockholm

1. Introduction

Following the adoption of IntoSAINT at XXI INCOSAI in Beijing in 2013 the Capacity Building Committee (CBC) decided in Lima (2014) to take ownership and responsibility for the implementation and updating (maintenance) of the IntoSAINT instrument. The CBC included the roll-out of IntoSAINT in its work programme and will promote IntoSAINT as a capacity development tool. IntoSAINT was first developed by the Netherlands Court of Audit (NCA) in cooperation with the Ministry of the Interior and the Bureau Integrity of the city of Amsterdam. SAINT was originally designed for public sector organisations in general, but it has been customised to meet the specific needs of SAIs.

The CBC adopted the following three objectives on IntoSAINT in its work plan:

1. Promote IntoSAINT as a capacity development tool, and encourage the use and further development in support of the continuous development of integrity and accountability within the public sector in general and in SAIs in particular;
2. Proposal for rolling out IntoSAINT instrument, moderator facilities and evaluation and follow-up system within all regions;
3. Identifying best existing forum at international level for sharing experiences and updating the tool at regular intervals. The funding issue will also be addressed.

After the meeting in Lima a small sub-group was established with broad regional representation. This is the CBC IntoSAINT project group (project group). The project group will work on the three IntoSAINT objectives of the CBC. In the following paper the project group provides information on the progress made until now. At the end a number of issues requiring advice or decisions by the CBC Steering Committee are presented.

2. Objective of the CBC IntoSAINT project group

The overall aim of the project group is the institutionalization of IntoSAINT within INTOSAI structures and programmes by the end of 2016.

The members of the project group have each taken responsibility for a region, to ensure that all INTOSAI regions are connected to the IntoSAINT roll-out. They agreed to recommend the following package as a minimum target for the involvement for each region by INCOSAI 2016:

1. a moderator training for their members
2. a minimum of 25% of the region's member SAIs that did have done the self-assessment
3. a regional lessons-learned meeting early in 2016

4. a designated regional IntoSAINT focal point
5. a donor that provides funding for training and the application of IntoSAINT in developing countries

The coordinator of the project group is The Netherlands Court of Audit (NCA). Members of the group are: the audit offices of the European Union (ECA), Indonesia (link to ASEANSAI and ASOSAI), Mexico (link to WGVBS and OLACEFS), Hungary (link to EUROSAI), Tunisia (ARABOSAI), Fiji (PASAI), AFROSAI-E, CREFIAF and IDI.

The working method is via virtual meetings and that of a Community of Practice sharing experiences and dilemmas and coordinating activities. There have been two meetings so far: one on 27 January 2015, attended by all members of the group. A second one on 4 June, attended by Afrosai-E, the ECA, CREFIAF, the BPK (Indonesia), the ASF (Mexico) and NCA. The virtual meetings are effective and necessary to gauge progress. They need to be planned well in advance to ensure full participation and held at regular intervals (every 3-4 months).

3. Results of the CBC IntoSAINT project group

The project group has been working on the three initiatives of the CBC work plan. The results until now are summarized below:

Objective 1: Promote IntoSAINT as a capacity development tool, and encourage the use and further development in support of the continuous development of integrity and accountability within the public sector in general and in SAIs in particular

Results and conclusions project group:

- Recently discussions have been held with IDI on the incorporation of IntoSAINT within the 'SAIs fighting fraud and corruption' programme'. This is an opportunity to raise awareness, create synergies and to access funding for certain regional activities. The project group has been invited to participate in the design of the IDI programme with a view to providing mutual support and expanding the use of IntoSAINT worldwide. One important condition will be to ensure the feed-back loop via the IntoSAINT regional focal points, so that those trained in the IDI programme can be actively involved in the further regional IntoSAINT initiatives.
- The project group has concluded that awareness raising regarding the value and importance of IntoSAINT amongst heads of SAIs should be tackled as a priority in all regions. The OLACEFS experience is a good example to follow.
- A number of groups within INTOSAI are looking at issues of SAI ethics and integrity, for example the ISSAI-30 evaluation group, regional task forces on SAI ethics, the SAI-PMF. It is not the project group intention to repeat this work, but to make use of it and connect this with the lessons learned from the IntoSAINT assessments in a continuous way. What form this takes needs to be established and further agreed by the working group and other INTOSAI initiatives.
- Although the group has concentrated on the regional roll-out plans, it is already clear that a next step will be to measure and report on progress after a workshop.

- At the CBC meeting in Stockholm from 8-10 September 2015 the project group members will facilitate an information session for other CBC members on the IntoSAINT tool and plans for its further institutionalisation within INTOSAI.

Objective 2. Proposal for rolling out IntoSAINT instrument, moderator facilities and evaluation and follow-up system within all regions

Results and conclusions CIPG

- IDI has invited the coordinator of the project group to a stakeholders meeting on the new 'SAIs fighting fraud and corruption' programme, on 18 September 2015 in Oslo, Norway. At this meeting IDI will share its programme design and invite feedback and comments from the different partners. They would also like to discuss the terms of reference between the IDI and different programme partners. This gives the project group the opportunity to implement IntoSAINT on a sub-national SAI level. The NCA will attend the meeting on 18 September in Oslo on behalf of the project group.
- The project group believes that the roll-out of IntoSAINT should preferably take place via regional work plans, under the umbrella of a regional committee and approved by the regional executive committee.
- The project group started by mapping the use of IntoSAINT in the regions of INTOSAI. There is a great diversity of progress and experience amongst the regions. This is positive in the sense that it facilitates learning within the project group and allows the less experienced regions to make progress more quickly (see Annex 1).
- The project group also worked on individual regional roll-out plans. The plans for OLACEFS and CREFIAF are now available and were discussed in the virtual meeting of 4 June . Fiji submitted a plan for its own SAI (see Annex 2). The other regions have not yet submitted their roll-out plans, but are planning to do so, pending internal and regional approval. The plans address issues of coordination, funding, awareness raising, training of moderators, follow-up and lessons learned from self-assessments and the plans for extending the use of IntoSAINT to the public sector as a whole.

Objective 3. Identifying best existing forum at international level for sharing experiences and updating the tool at regular intervals. Funding issue will also be addressed.

Results and conclusions CIPG:

- Some regions already have experience with multiple applications of IntoSAINT. The project group also realizes that there may be possibilities for a more efficient and cost effective application of the tool, using e-techniques. The project group will take the lead in issuing an updated tool and proposing a regular updating mechanism to XXII INCOSAI in Abu Dhabi.
- The project group agreed to focused in the first place on the objectives 1. and 2. After the next Stockholm CBC meeting in September they will tackle objective 3.

4. Questions for the CBC Steering Committee

On the basis of the work so far, the project group requests the CBC Steering Committee to discuss and address the following issues:

1. Awareness raising amongst Head of SAIs

- There needs to be developed an elevator pitch for IntoSAINT and why every SAI should have done a self-assessment.
 - Suggestions with regard to this pitch and how best to convey it INTOSAI-wide are welcome.
- Linked to this is the recommendation of the project group to position IntoSAINT as a strategic tool. IntoSAINT is part of the SAI-PMF framework, but falls under the heading of HRM. The project group feels strongly that integrity is of such strategic importance for a SAI and its reputation, that it would be good to recommend to the WGVBS and the IDI coordination team that it also be referred to at the institutional level of the SAI-PMF.
 - What is the opinion of the CBC regarding the recommendation to the WGVBS and the IDI coordination team that IntoSAINT should also be included at the institutional level of the SAI-PMF?

2. The need for guidance on the connections between various INTOSAI standards/initiatives and programmes

- This is a broader issue, but can be clearly seen via the attempts to integrate the IntoSAINT instrument within existing INTOSAI standards and frameworks. The relationship between IntoSAINT, SAI-PMF, the quality assurance side of the 3i Programme (ISSAIs implementation), ISSAI 20 and ISSAI 30 and the 'SAIs fighting fraud and corruption' programme of IDI is not clear for many INTOSAI members and third parties. This is not only an issue within the different INTOSAI bodies, but also within an individual SAI, where responsibilities may be spread out among different people and divisions.
 - It would be useful for a guideline to be developed illustrating and making explicit the links between these different standards, instruments and programmes. The PROJECT GROUP would like to know if this is something that the CBC Steering Committee could facilitate, in close coordination with IDI.

3. A sustainable cycle for CBC products

- The CBC has been strong in developing capacity building products and in embracing others, like IntoSAINT. A key question that is now relevant to consider for IntoSAINT, but is already an issue for other CBC products such as the HRM guideline, concerns the maintenance and updating of these instruments.
 - How can the CBC work to ensure the development of a sustainable cycle for CBC products?

4. Sharing and learning from good practices

- It is important to have examples of countries or projects, where the use of IntoSAINT made a difference or had impact, where it has enabled a SAI to perform better. Perhaps the IDI-facilitated capacity building database could be used to get this insight.
 - What are the ideas of the CBC related to collecting and sharing good practices?

Annex 1 progress in the regions (September 2015)

ARABOSAI

What?	Established
Moderator training	2012 Kuwait; 11 countries: Kuwait; Tunisia; Algeria; Bahrein; Egypt; Iraq; Jordan; Oman; Qatar; Saudi Arabia; Yemen
Self assessments	4 countries: Yemen; Kuwait; Iraq (3); Tunisia
Lessons learned	No
Focal point	Tunisia
Donor	No
Public sector	No
Integrity instruments	Dilemma training; Integrity coordinator
Other initiatives	Regional OECD meeting

ASEANSAI

What?	Established
Moderator training	2014 Vietnam; 6 countries: Indonesia; Vietnam; Philippines; Myanmar; Lao PDR; Cambodia; Brunei
Self assessments	2 countries: Vietnam; Multiple Regionals in Indonesia
Lessons learned	No
Focal point	ASEANSAI training Committee (Philippines) and BPK
Donor	GIZ
Public sector	No
Integrity instruments	No
Other initiatives	Indonesia: e-based assessments

AFROSAI-E

What?	Established
Moderator training	July 2015; 9 countries South Africa; Namibia; Botswana; Gambia; Swaziland; Tanzania; Sierra Leone; Uganda; Mozambique. In 2011 participants from Afrosai-e secretariat, Botswana, Rwanda and Ghana have been trained in The Hague
Self assessments	6 countries: Botswana , Rwanda, Ghana, Malawi, South Africa, Uganda
Lessons learned	No
Focal point	AFROSAI-E secretariat
Donor	No
Public sector	Yes
Integrity instruments	Included in Quality Assurance for SAIs
Other initiatives	AFROSAI-E guideline F&C

CREFIAC

What?	Established
Moderator training	No
Self assessments	No
Lessons learned	No
Focal point	Cameroon (CREFIAC Secretariat and AFROSAI General Secretariat)
Donor	No
Public sector	No
Integrity instruments	No
Other initiatives	See roll-out plan

EUROSAI

What?	Established
Moderator training	2013 Turkey; 13 countries: Netherlands; European Court of Auditors; Georgia; Austria; Macedonia; Norway; Russia; Hungary; Albania; Poland; Estonia; Switzerland; Turkey
Self assessments	7 countries: Finland; Netherlands; Norway; ECA; Estonia; Switzerland; Macedonia
Lessons learned	Yes
Focal point	Hungary (EUROSAI goal-team 1)
Donor	No
Public sector	Netherlands, Hungary
Integrity instruments	Yes
Other initiatives	EUROSAI Task force audit and ethics

OLACEFS

What?	Established
Moderator training	2013 Mexico; 20 countries OLACEFS, 1 CAROSAI. Chile; Mexico; Argentina; Belize; Bolivia; Brazil; Chile; Colombia; Costa Rica; Curacao; Ecuador; Guatemala; Dominican republic; Honduras; Panama; Paraguay; Peru; Puerto Rico; Uruguay; Venezuela; Aruba
Self assessments	5 countries: Mexico; Brazil; Costa Rica; Uruguay Aruba (CAROSAI) Multiple assessments on subnational levels in Mexico and Brazil
Lessons learned	Once a month (virtual)
Focal point	Technical Commission on Good Governance Practices; Mexico
Donor	IADB and GIZ
Public sector	No
Integrity instruments	Ethical committee
Other initiatives	Website + additional material like: translations into Spanish and Portuguese; videoclips, virtual meetings; complementary guidelines.

OTHER REGIONS

PASAI

- Fiji participated in ASEANSAI moderator training
- Has action plan on roll-out within OAG
- Needs to connect with PASAI
- Needs to connect with donors

CAROSAI

- Aruba participated in two moderator trainings
- Aruba had a self assessment
- Needs to connect with CAROSAI
- Needs to connect with donors

ASOSAI

- Korea participated in first moderator training
- No further follow-up
- Size and diversity of region is a problem

Annex 2 Regional Roll-out plans

IntoSAINT regional roll-out

Region: CREFIAF (AFROSAI-F)



Focal point

<p>What regional body is or could be the regional focal point for IntoSAINT?</p>	<p>Cameroon (CREFIAF Secretariat and AFROSAI General Secretariat), through its active management and follow-up of Region's projects. Cameroon hosts AFROSAI and CREFIAF Secretariats</p>
<p>How do you ensure that this focal point keeps actively supporting IntoSAINT?</p>	<p>By undertaking the following actions:</p> <ul style="list-style-type: none"> ➤ Keeping in touch with the CBC IntoSaint working group, participating to virtual meetings ➤ Getting feedback from Regional SAI members and address proposals to the CBC IntoSAINT working group, regarding ways to improve the tool ➤ Sharing informations about IntoSaint progress with all CREFIAF and AFROSAI SAIs during Regional meetings

Donors

<p>What donors are or could be supporting the roll-out of IntoSAINT in your region?</p>	<p>GIZ (German International Cooperation Agency for Development) could possibly support CREFIAF in:</p> <ul style="list-style-type: none"> ➤ Training of moderators ➤ Implementation workshops in each CREFIAF member ➤ Sharing of Knowledge and experience in regional forums <p>GIZ already has experience in this domain, as it sponsored the 1st IntoSAINT moderator training in ASOSAI, hosted by the SAI of Vietnam from 1-6 December 2014</p> <p>This support needs to be further discussed and confirmed with GIZ.</p> <p>Other international donors like ADB (African</p>
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	Development Bank) and EU (European Union) could be also involved as donors
How do you ensure the continuity of their support?	<ul style="list-style-type: none"> • By raising and developing a strong interest from GIZ about the project, insisting on the fact that it is line with GIZ vision and mission regarding the theme of good governance in developing countries. In this domain, GIZ support in oriented towards <i>'effectieve political institutions and the responsible use of political power and management of public resources by the state...the promotion of democracy, rule of law and human rights, the fight against corruption and the responsible use of public finances'</i> (drawn from GIZ official website-products and expertise). • By following up the effectiveness in implementation of national action plan

What plans do you have concerning the roll-out steps of IntoSAINT in your region?

Please describe with as much detail concerning specific SAIs, occasions, dates, etc. as you can.

1. Raise awareness with heads of SAI

Objectives	<ul style="list-style-type: none"> • <i>To get all the 23 heads of SAIs in CREFIAF Region awared of the IntoSaint self-assessment tool, and committed to integrate it in their national policies and action plans</i>
Actions	<ul style="list-style-type: none"> • Include discussions about this subject in the agenda of the October 2015 General Assembly of CREFIAF in Ndjamen, Chad; • designing of a paper presenting IntoSaint, to be sent to heads of SAIs (emphasize on link with CREFIAF 2013-2017 Strategic plan and objectives, relevance with INTOSAI standarts, benefits for SAIs, etc.) • organize a sensitization workshop for heads of SAIs; • signing of commitment letters by all heads of SAIs; • integrate IntoSaint in the next annual action plans of the 2013-2017 CREFIAF strategic plan; • Put the follow-up of the project under the umbrella of an already

	<p>existing committee or working group of CREFIAF in charge of capacity building(Groupe de Travail Technique sur le renforcement des capacités et Groupe de travail technique sur la detection de la fraude)</p>
Planning	<ul style="list-style-type: none"> • Early July 2015: paper presenting IntoSaint designed and sent to Heads of SAIs for feedback • October 2015, CREFIAF General Assembly, Chad: <ul style="list-style-type: none"> ➤ sensitization workshop for heads of SAI: live presentation and discussions about IntoSaint, getting feedback from paper sent in July; ➤ proposals and discussions on how to integrate IntoSaint in the next regional annual action plans linked with the 2013-2017 CREFIAF strategic plan ➤ Proposals and discussions on the mandate of the regional working group which will be in charge of following-up the project
Resources needed	<ul style="list-style-type: none"> • 01 IntoSaint focal point for CREFIAF Region and 01 for AFROSAI (Cameroon SAI). Will be member of the CREFIAF IntoSAINT task force; • 01 moderator from the European Court of Audit to co-facilitate the sensitization workshop for the heads of SAIs at the October 2015 General Assembly of CREFIAF • 23 local focal points for each SAI member of CREFIAF: Benin, Burkina Faso, Burundi, Cameroon, Cap-Vert, Comores, Congo, Côte d'Ivoire, Djibouti, Gabon, Guinée Bissau, Guinée Conakry, Guinée Equatoriale, Madagascar, Mali, Niger, RCA, RDC, Rwanda, Sao Tomé et Principe, Senegal, Chad, Togo (to be discussed before the October 2015 General Assembly, and adopted during the GA) • Relevant documentation regarding integrity and corruption matters in SAIs and public sector

Remarks

In Accordance with what was decided during the last CBC IntoSAINT virtual meeting, we will get informations from Mr. **Erwin Alberto Ramirez Gutierrez** and Mr. **Francisco Tomas Parral Pineda** about Mexico's experience in how they worked on awareness raising in the OLACEFS Region. **To do this we could join their monthly virtual conference with the trained moderators of their Region.**

2. Train moderators

Objectives	<p><i>To have 23 moderators trained for all SAIs member of CREFIAF (Launching with a pilote group of 7 volunteer SAIs). For the sustainability of the project, the trained moderators will train 1 to 2 other people in their respective SAIs.</i></p>
Actions	<ul style="list-style-type: none"> • Include discussions about this subject in the agenda of the October 2015 General Assembly of CREFIAF • Identify and designate 2 French speaking moderators trainers from European Court of Audit; • launch discussions with moderators about the format and the approach of the training. Submit them suggestion and discuss about this. • identify and designate 7 potential moderators for the 7 volunteer SAIs of the pilote group; • Organize a training workshop with the designated moderators, including aspects of leadership, change management and facilitation
Planning	<ul style="list-style-type: none"> • By early July 2015: <ul style="list-style-type: none"> ➤ in the Paper sent to Heads of SAI about IntoSaint, request to initiate reflection about who could play the role of moderator in respective offices; ➤ send the same paper to European Court of Audit and request for experimented people to trained the region moderators • November 2015, after the General Assembly of CREFIAF: <ol style="list-style-type: none"> 1- designation of moderators to be trained for each CREFIAF SAI member 2- signing of Commitment letters by heads of SAIs • By early December 2015: training workshop for moderators, including aspects of leadership, change management and facilitation (venue to be determined)
Resources needed	<ul style="list-style-type: none"> • Funding for the organization of the moderator's training • 2 trainers from European Court of Audit: European Court of Audit can assist with 2 experienced trainers who speak French • 2 local trainers from CREFIAF • 1 Administrator from CREFIAF (Secretariat du CRR) • Material translated in French from ECA • Material in leadership, change management and facilitation

Remarks

The training of moderators could be split into 2 parts, as what was done in Mexico. One part (theoretical) via e-modules and the other a practical part that will require a meeting in a regional office, or in another venue to be determined. This approach will be suggested to designated moderators' trainers.

The choice of moderators to be trained and who will train others, should be based on competence, experience and Knowledge. They should also be trained in leadership, change management and facilitation.

3. Implement workshops with trained moderators

Objectives	<i>To replicate in the 23 SAIs members of CREFIAF the Knowledge, skills and methodology acquired by trained moderators, by organizing IntoSAINT self-assessment workshops</i>
Actions	<ul style="list-style-type: none"> • Include discussions about this subject in the agenda of the October 2015 Governing Board of CREFIAF • Organize a 2 to 3 days self-assessment workshop in each of 23 SAIs of CREFIAF, according to the following schedule: <ol style="list-style-type: none"> 1- March 2016: Pilote group 1- 07 volunteer SAIs 2- June 2016: Pilote group 2: 07 SAIs 3- October 2016: Pilote group 3: 9 SAIs
Planning	<ul style="list-style-type: none"> • October 2015 General Assembly of CREFIAF: proposal and adoption of a resolution setting the schedule of workshops to be implemented in the region • By April 2016: self-assessment workshops implemented By trained moderators in all 23 SAIs of CREFIAF
Resources needed	<ul style="list-style-type: none"> • Funding for the organization of the 23 workshops • 1 trained moderator from the SAI member, assisted by 1 member of the CREFIAF Working group in charge of capacity building

4. Follow-up on recommendations: progress reports

Objectives	<i>To ensure that recommendations drawn from the self-assessment reports are implemented by SAIs</i>
Actions	<ul style="list-style-type: none"> • Design a questionnaire/check list to measure progress made by SAIs member within a certain period regarding implementation

	<p>of recommendations formulated in self-assessment reports</p> <ul style="list-style-type: none"> • Report on progress to the CBC IntoSAINT working group on an annual basis
Planning	<ul style="list-style-type: none"> • Adoption of format of progress measurement questionnaire/checklist could be part of the agenda of the self-assessment workshop to be scheduled during the October 2015 governing board meeting of CREFIAF
Resources needed	<ul style="list-style-type: none"> • Person in charge in each SAI member, of the designing of the progress measurement tool

Remarks

The progress measurement tool must comprise relevant indicators which are consistent with IntoSAINT, but should be adapted to the legal context of each SAI regarding its specific integrity policy

5. Share lessons and experiences within region

Objectives	<i>To put in place a regional forum to be used by each SAI member to give information about its own experience of IntoSAINT, and to receive information about experience of others</i>
Actions	<ul style="list-style-type: none"> • Progress reports must be sent to the regional IntoSAINT focal point who will dispatch them to each local focal point in SAI member • Organize virtual meeting involving the regional focal point, the moderators, and the Regional working group in charge of IntoSAINT • Regional progress reports to be prepared by the CREFIAF IntoSAINT task force and presented at Regional meetings
Planning	To be discussed and determined with CREFIAF regional members
Resources	Permanent internet access in each SAI members, progress reports available, etc.

6. Roll-out in public sector

Objectives	<i>To extend the experience of IntoSAINT to public sector organizations in all the countries member of the region</i>
Actions	<ul style="list-style-type: none"> • Identify focal points and donors for roll-out in public sector. Same donor than roll-out in SAI's or could be extend to other donors? • Raise awareness with a wide range of public sector organizations (central government, municipalities, public or para-state organizations, etc.) • Train moderators in public sector • Implement workshops with trained moderators • Produce progress reports in the public sector • Share experience and learn lessons at the international level of public sector (AFROSAI is an observer member of African Union and African Union is an associate member of AFROSAI. Meetings of AFROSAI and A.U. could be a good forum)
Planning	To be discussed and determined with CREFIAF regional members
Resources	To be discussed and determined with CREFIAF regional members

Remarks

Focus could be directed on most representative public organizations in each country member (criteria could be amount of resources allocated, impact in citizen's life and communities, etc.)

IntoSAINT regional roll-out

Region: Latin American and Caribbean Organisation of Supreme Audit Institutions (OLACEFS)

Focal point

<p>What regional body is or could be the regional focal point for IntoSAINT?</p>	<p>Supreme Audit Institution of Mexico.</p>
<p>How do you ensure that this focal point keeps actively supporting IntoSAINT?</p>	<p>The SAI of Mexico is member of the OLACEFS Technical Commission on Good Governance (CTPBG), and is explicitly responsible for promoting and providing guidance on the regional implementation of the tool. The IntoSAINT Regional Implementation Plan 2014-2015 was launched last year in order to define the mechanism to follow at OLACEFS for the IntoSAINT implementation.¹ IntoSAINT is one of the core projects of the Commission, and is considered in its Annual Program, within the thematic area number 4: “Effective strategies of public probity and corruption prevention”, initiative 4.4 “Promote integrity mechanisms in SAIs”.</p>

Donors

<p>What donors are or could be supporting the roll-out of IntoSAINT in your region?</p>	<p>1) A conceptual note was presented in response to the <i>2013 Global Call for Proposals</i>, administered by IDI, as Secretariat of the INTOSAI Donor Steering Committee, in order to encourage the “Implementation of the INTOSAI Integrity Model in OLACEFS (2014-2015)”. The Inter-American Development Bank (IADB) has expressed interest in supporting this project.</p> <p>2) The IADB provided financial resources for the IntoSAINT workshop held in Uruguay in February 2015.</p> <p>3) The German Agency for International Cooperation (GIZ) has expressed interest in providing financial resources for the implementation of workshops in OLACEFS in</p>
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¹ The Regional Implementation Plan consists of two core elements: 1) the training and updating of IntoSAINT moderators, and the 2) implementation of IntoSAINT workshops by OLACEFS member SAIs.

	2015.
How do you ensure the continuity of their support?	<p>1) Through an awareness-raising strategy on the value and benefits of the tool with SAIs, IDI and the donor community. For example, IntoSAINT is considered in SAI-PMF, specifically in indicator SAI-18 "Ethics, Management and Internal Control."</p> <p>2) Maintaining a follow-up plan on the IntoSAINT impact on SAIs.</p>

What plans do you have concerning the roll-out steps of IntoSAINT in your region?

1. Raise awareness with heads of SAI

Objectives	<p>1) Make Heads of SAIs aware of the importance of integrity and how IntoSAINT could have a positive impact on their SAIs in terms of internal control, focused on integrity and capacity building.</p> <p>2) Encourage an awareness-raising strategy about the importance of recommendations, whose implementation is meant to strengthen SAIs to face integrity risks.</p> <p>3) Foster the idea that integrity policy must not be <i>ad-hoc</i> but continuous.</p>
Actions	<p>The first step was taken in 2012, during the XXII OLACEFS General-Assembly, held in Gramado, Brazil. A presentation on the IntoSAINT benefits was carried out.</p> <p>In July 2013, a communication with further information on IntoSAINT was sent out to all the OLACEFS Heads of SAIs.</p> <p>The trained moderators took over the responsibility for implementing the awareness-raising strategy within their own institutions to follow up the initiative.</p> <p>In 2013 and 2014, a CD with material such as regional progress reports, photos, poster, flyer and extracts (videoclips) was disseminated during the OLACEFS General Assemblies, at the Fairs on Committees and Commissions in Santiago (Chile) and Cusco (Peru). In these fairs, all the OLACEFS committees and commissions present their core activities and products to OLACEFS members SAIs, stakeholders and general public.</p> <p>CTPBG Reports on the regional implementation have been presented at the OLACEFS General-Assemblies and Governing Board meetings.</p> <p>For 2015, testimony videos by some Heads of SAIs and moderators after the implementation of IntoSAINT Workshops in their institutions will be requested. This material will be used to disseminate the value and benefits of the tool with stakeholders, such as the donor community.</p>
Planning	<p>Material will be prepared in advance for the 2015 OLACEFS General-Assembly to be held in Mexico. It is expected to have the final CD in October 2015, by the latest. Awareness-raising strategy will be permanent, taking the most of the material prepared.</p>
Resources needed	<p>Through virtual means (it doesn't require a vast budget). Short videos and brief notes are very useful. Strong collaboration with INTOSAI entities</p>

	(IDI, CBC, CEDEIR) and other SAIs is required, for example the Netherlands Court of Audit (NCA), in order to update the IntoSAINT material, among other activities.
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Remarks

<p>It is important to identify the target population. If the information is for Heads of SAIs, the material should be established in a formal way. The shared information is relevant, for example at mentioning that IntoSAINT is a criterion considered by SAI-PMF, as well as the recognition of the tool by INTOSAI entities (INTOSAI Governing Board, CBC, WGVBS) is useful. Awareness-raising strategy with moderators is also important. They should be convinced about the tool and should know how to disseminate its value and benefits (integrity campaigns, conferences, among others).</p>

2. Train moderators

Objectives	Count on a permanent pool of IntoSAINT experts and guarantee their constant updating by virtual means, to moderate Self-Assessment of Integrity Workshops, as well as follow up the initiative and integrity matters within their respective SAIs.
Actions	<p>The <i>First Regional Moderators Training at OLACEFS</i> took place in 2013, with support of the NCA and the OLACEFS Capacity-Building Committee (CCC). The course was divided in two parts:</p> <ul style="list-style-type: none"> ➤ <u>Virtual phase</u>: from July 29th to September 6th 2013, divided in 6 thematic modules (e-learning), including a virtual conference per thematic module (its recording was then submitted to the participants, making it possible to missing persons to consult the information provided and discussions held). ➤ <u>In-person meeting</u>: a two-day in situ meeting, held in Mexico City (September 12th and 13th 2013), to strengthen the knowledge on the methodology and carry out dynamic group activities. <p>31 moderators were certified, from the following countries: Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Curaçao, Dominican Republic, Guatemala, Honduras, Mexico, Panama, Peru, Puerto Rico, Uruguay, Venezuela, and Aruba* (*CAROSAI member). Materials were translated from English into Spanish by the SAI of Mexico.</p> <p>A Second Regional Moderator Training at OLACEFS could be considered if necessary, however there have not been major changes in the number of the original moderator team.</p>
Planning	<p>In 2013, a formal call for the Moderators Training was sent to the OLACEFS Heads of SAIs so that they could appoint two officials from their institutions to participate. Two requirements were suggested:</p> <ol style="list-style-type: none"> 1. One of the representatives should be the liaison, responsible or member of the training department at the SAI, in order to enable the replication of the Moderators Training in his/her institution in the future. 2. One of the representatives should have experience in integrity

	<p>matters (if that department or special area exists), or be the leader appointed for the establishment or strengthening of the institutional Integrity Policy. This aspect meant to guarantee the follow-up in their respective institutions.</p> <p>In 2014, monthly virtual meetings with moderators were carried out in order to guarantee their continuous updating.</p> <p>In 2015, it is being assessed the convenience of a Second Regional Moderators Training at OLACEFS or a meeting to share experiences and lessons learnt. The presence of the NCA would be convenient.</p>
Resources needed	<p>Participation of moderators in the in-person meeting, held in Mexico City in 2013, was financed by the German International Cooperation Agency (GIZ) and by the Inter-American Development Bank (IDB). Flight tickets, lodging and meals were covered by these two international partners.</p> <p>In 2014, the virtual meetings did not demand resources, since all was virtual. The SAI of Mexico provided the electronic tool license (<i>E-Illuminate</i>).</p> <p>In 2015, virtual meetings will continue, which will not require extra resources. However, in case that a moderator training or a meeting to share lessons learnt were carried out, financial support would be necessary.</p>

Remarks

Low level of rotation in the personnel is very important for the sustainability of the pool of experts (moderators). The moderator's profile is something crucial to take into account: moderators must have specific abilities such as communication and performance skills, as well as a strong integrity culture. The involvement and support from the Top Management are a key for the sustainability of the pool of moderators.

3. Implement workshops with trained moderators

Objectives	Enhance OLACEFS member SAIs' contribution to the continuous improvement of the public sector, especially in lower-middle income countries, through the implementation of the INTOSAI Integrity Model (regular conduction of Integrity Self-Assessment Workshops, IntoSAINT), as the primary mechanism to strengthen their institutional capacities to develop a sound Integrity Policy. ²
Actions	Nowadays, the SAIs of Brazil, Costa Rica, Mexico and Uruguay have implemented IntoSAINT workshops. In order to invite more OLACEFS member SAIs to participate in this project, the CTPBG has considered financial resources to carry out, at least, three IntoSAINT Workshops in 2015. A regional call to offer these resources has been launched at OLACEFS in order to receive candidacies from SAIs.
Planning	The deadline to receive candidacies from OLACEFS member SAIs to obtain CTPBG's financial support was on April 10 th 2015. These workshops could be performed at any date during the year with moderators from other OLACEFS member SAIs. Coordination among SAIs of Mexico (as

² Objective contained in the purpose of the Concept Note presented for the 2013 Global Call for Proposals.

	responsible for the project), Argentina (as CTPBG Chair), Chile (as OLACEFS Secretary-General and responsible for OLACEFS budget), the SAI that holds the workshop, and the moderating one, is fully required. Support and advice for the planning to SAIs is provided by Mexico (as responsible for the IntoSAINT implementation in the region) through virtual means. The planning process per workshop must consider at least two months.
Resources needed	9000 USD (already considered in the CTPBG budget). SAIs could receive a maximum of 3000 USD per workshop (just once), and these resources will cover flight tickets, lodging and meals of two OLACEFS moderators who will guide the workshop. If efficient use of resources contributes to savings, additional workshops could be carried out. It is worth mentioning that GIZ has expressed interest in supporting financially IntoSAINT at OLACEFS.

Remarks

During the workshop, the support of the organizing staff at the host SAI is crucial for the correct performance of the workshop. Logistics, materials and timing must receive special attention at every time.

4. Follow-up on recommendations: progress reports

Objectives	Help SAIs monitor the implementation of recommendations in order to assist them during the development/strengthening of their institutional Integrity Policy.
Actions	Request SAIs a voluntary progress report on the implementation of recommendations.
Planning	The progress report should be requested one natural year after the workshops were carried out in order to allow the SAIs take their time to implement the recommendations.
Resources needed	None.

Remarks

The real success of the workshop depends on the effective strategy to follow-up the implementation of recommendations, which are meant to strengthen the SAIs' capacities *vis-à-vis* integrity risks. That is why IntoSAINT should not be considered as finished once the workshop is held; the role of local moderators is crucial during the post-workshop period. The opening of information will always be a challenge. An awareness-raising strategy to top management for the follow-up to recommendations is crucial. Since this theme is new for many SAIs, sharing good practices among them will be truly convenient.

5. Share lessons and experiences within region

Objectives	Share experiences and lessons learnt among the IntoSAINT team of experts (moderators) from each other based on others' strategies, good practices and challenges faced on integrity.
Actions	Continue with the monthly virtual meetings between the OLACEFS moderators. We must take the most of seminars, colloquia and diverse fora such as the OLACEFS General-Assemblies and Governing Board meetings, CReCER, etc. The generation of videoclips and the dissemination of information at the OLACEFS magazine are also considered.
Planning	There is already a calendar and an agenda for the monthly virtual meetings during 2015. A reminder is sent to all moderators one week before the virtual conference.
Resources	The SAI of Mexico counts on an <i>E-Illuminate</i> license (platform to connect people virtually, similar to <i>Gotomeeting</i> and <i>Webex</i>).

Remarks

Since in-person meetings are expensive, the use of IT is really worthwhile. It is a way to facilitate the reaching of purposes.

6. Roll-out in public sector

Objectives	Take the value and benefits of IntoSAINT to the rest of the institutions in the public sector, encouraging integrity in the whole Public Administration in OLACEFS member countries.
Actions	Since some OLACEFS member SAIs have individually expressed interest in this regard such as Chile, Costa Rica and Uruguay, we are working on this strategy within the OLACEFS framework. A SAINT Regional Implementation Plan will be launched.
Planning	Advice from the NCA is truly convenient to generate the material (SAINT) and design the SAINT Regional Implementation Plan.
Resources	Not estimated yet.

Remarks

The roll-out in the public sector could be suggestible once the national SAI has carried out IntoSAINT in its institution and has testified the value and benefits of IntoSAINT through the respective implementation of the recommendations.

What should be on the agenda/action list of the CbC-IntoSAINT group?

- Consider official communication, as a group, with INTOSAI entities (such as Governing Board, Strategic Goal Chairs, and Regional Working Groups, among others) to promote IntoSAINT.
- Lobbying action with sponsors (donor community) to get resources for implementing IntoSAINT workshops (mainly in developing countries). One of the most important partners in this regard is IDI, that is why the CBC-IntoSAINT group should maintain strong communication with it.
- Share experiences on good practices periodically from different regions, establishing a virtual channel for this (for example: *E-Illuminate*).
- Every representative from the different regions should propose goals to achieve in his/her respective regional working groups. The virtual meetings are an excellent opportunity to share achievements and to learn from other experiences and challenges.

Any other thoughts you would like to share?

This space is a great opportunity to share ideas and foster this strategy worldwide. We really applaud the effort of the NCA and the rest colleagues from the different regions. We are truly willing to keep cooperating in order to encourage IntoSAINT even more.