Institutions & Coordination:

Delivery Chain Process Mapping For Social Programs

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Safety Nets Core Course
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Outline & Objectives

Introducing Institutions, Coordination, Delivery Chain Process Mapping

Example Applications of These Tools with Challenges of "Scaling Up," "Systems Modernization"

20 minutes

Hands-On Case Application (Group Work) & Discussion
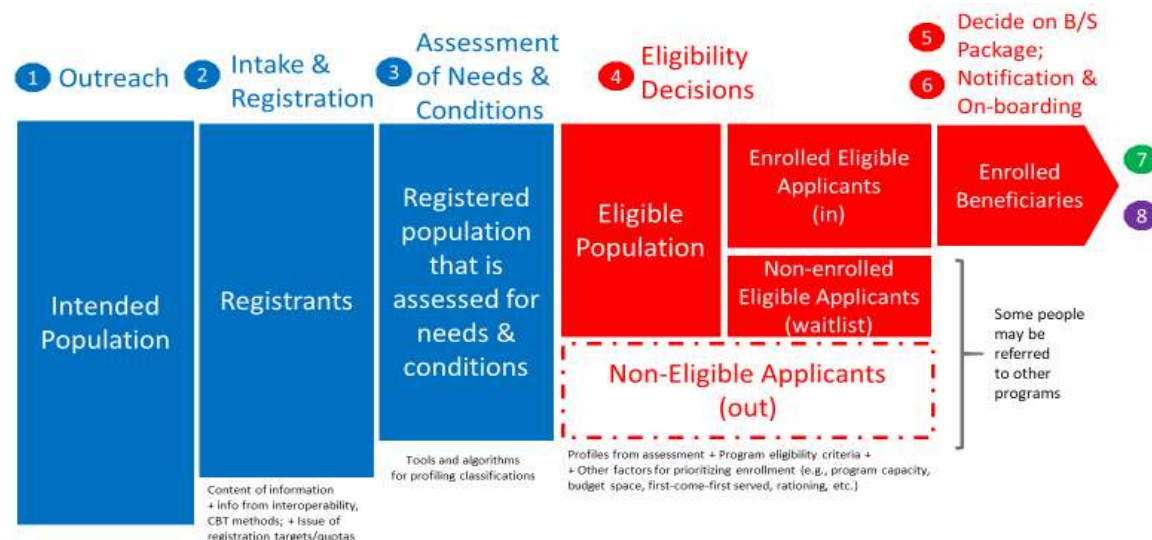
40 minutes

30 minutes

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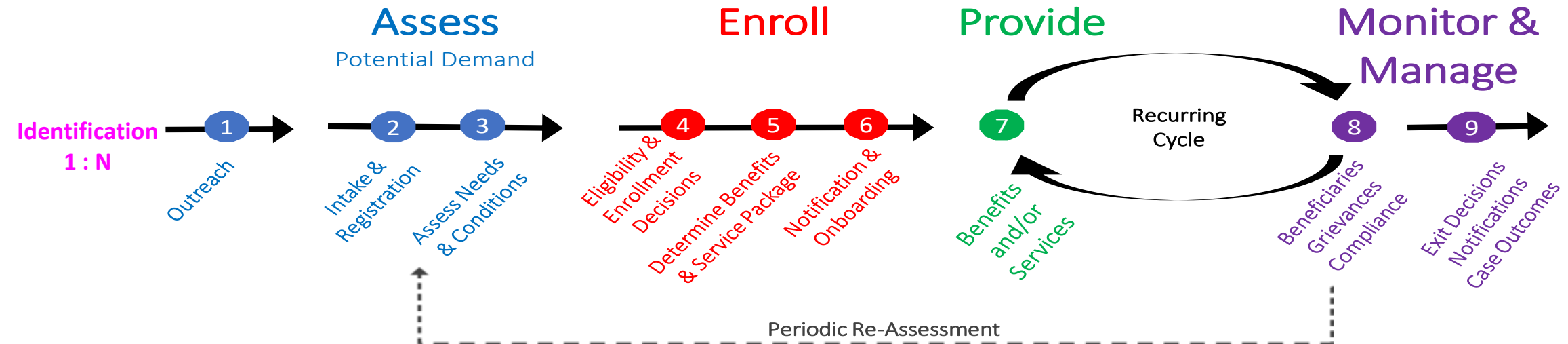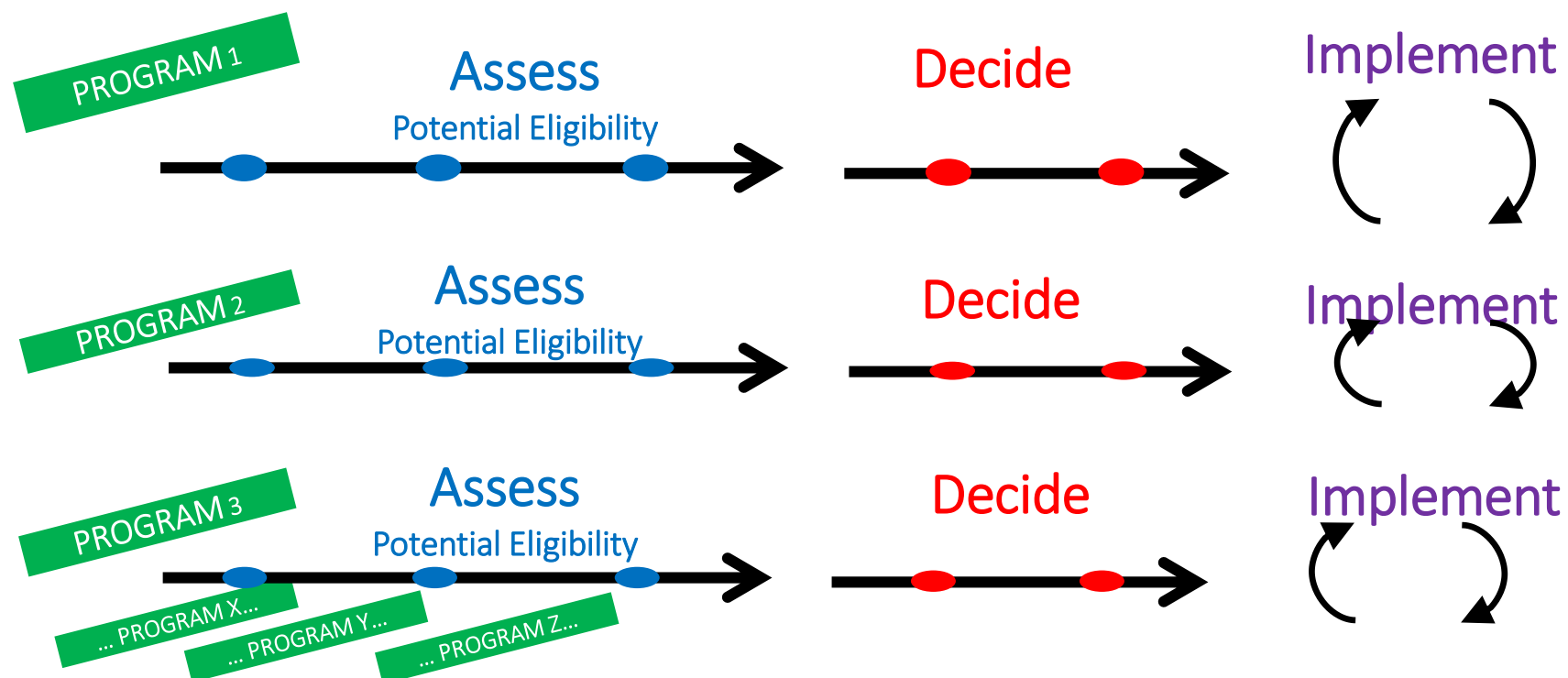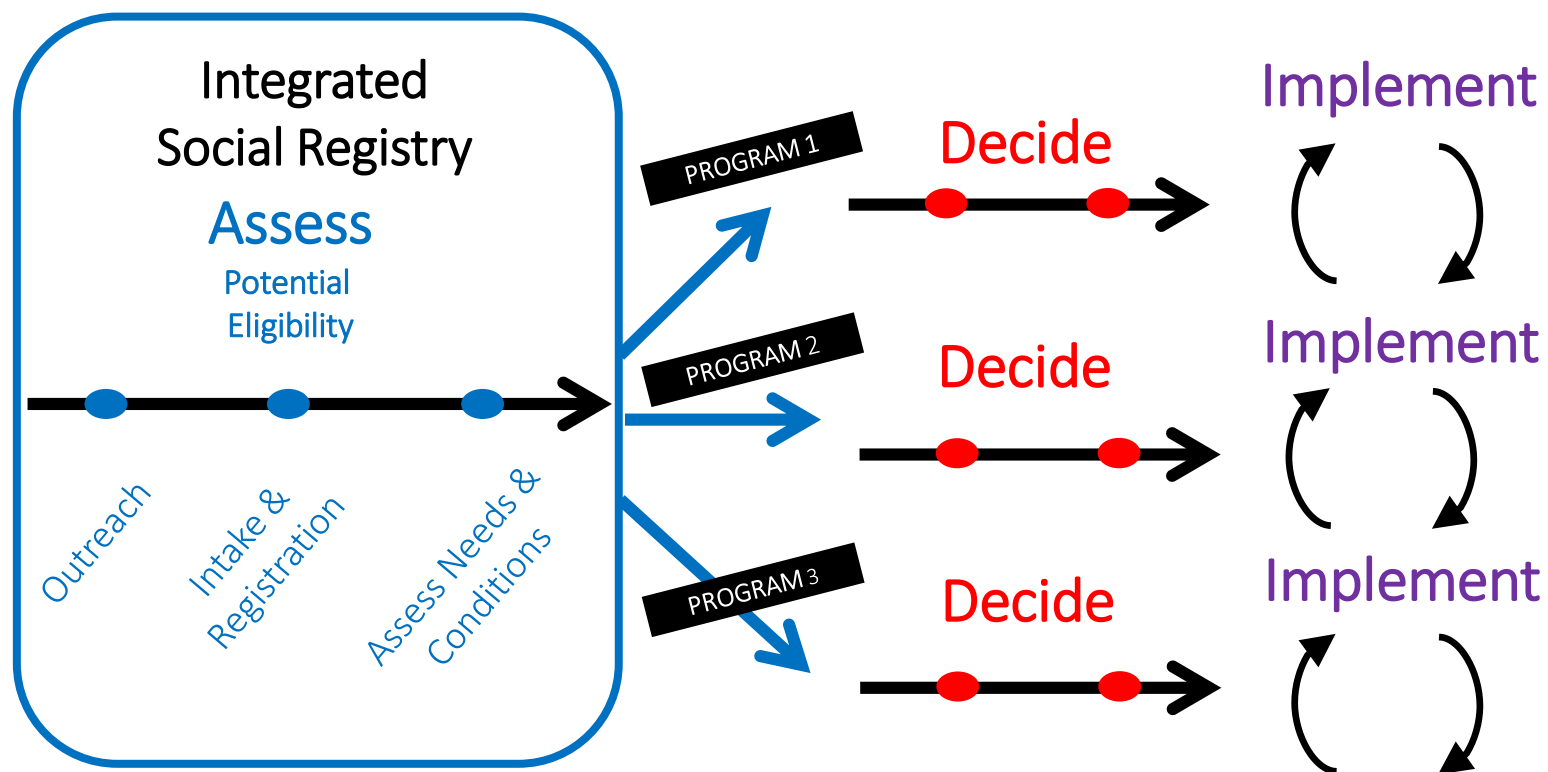
Most social programs pass through similar implementation phases or "business processes" along the Delivery Chain

Assess
Potential Demand

Enroll

Provide

Monitor & Manage

Identification
1 : N

1 Outreach

2 Intake & Registration
3 Assess Needs & Conditions

4 Eligibility & Enrollment Decisions
5 Determine Benefits & Service Package
6 Notification & Onboarding

7 Benefits and/or Services

Recurring Cycle

8 Beneficiaries Grievances Compliance

9 Exit Decisions Notifications Case Outcomes

Periodic Re-Assessment

1 Outreach   2 Intake & Registration   3 Assessment of Needs & Conditions   4 Eligibility Decisions   5 Decide on B/S Package;   6 Notification & On-boarding

Intended Population

Registrants

Registered population that is assessed for needs & conditions

Eligible Population

Enrolled Eligible Applicants (in)

Non-enrolled Eligible Applicants (waitlist)

Non-Eligible Applicants (out)

Enrolled Beneficiaries

7
8

Some people may be referred to other programs

Content of information + info from interoperability, CBT methods; + Issue of registration targets/quotas

Tools and algorithms for profiling classifications

Profiles from assessment + Program eligibility criteria + + Other factors for prioritizing enrollment (e.g., program capacity, budget space, first-come-first served, rationing, etc.)

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Challenge of coordination to deliver multiple programs

PROGRAM 1

Assess
Potential Eligibility

Decide

Implement

PROGRAM 2

Assess
Potential Eligibility

Decide

Implement

PROGRAM 3

Assess
Potential Eligibility

Decide

Implement

… PROGRAM X…

… PROGRAM Y …

… PROGRAM Z…

One solution is to harmonize the delivery of programs through information systems and institutional coordination

Integrated Social Registry

Assess
Potential Eligibility

Outreach

Intake & Registration

Assess Needs & Conditions

PROGRAM 1

PROGRAM 2

PROGRAM 3

Decide

Implement

Decide

Implement

Decide

Implement

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En Masse Registration for Social Registries: Diverse Institutional arrangements

Contracted Field Teams

Philippines Listahanan 2015, Colombia SISBEN, Dominican Republic SIUBEN 2017-19, Yemen SWF

Communities & Field Teams

Djibouti RSU, Mali RSU, Senegal RNU, Sierra Leone SPRINT

Outsourced to Firms or NGOs

Pakistan NSER, Dominican Republic SIUBEN (past)

Statistics Office

Indonesia UDB

Source: Leite et. al. (2017)

On-Demand Applications for Social Registries: Diverse Institutional Arrangements

Deconcentrated Local Offices

Georgia TSA Registry, Macedonia CBMIS, Mauritius SRM, Montenegro SWIS, Turkey ISAS

Municipal Government Offices

Brazil Cadastro Unico, Chile RSH, China Dibao Registry

Common Application via Programs

Mexico SIFODE (e.g., via Prospera and other programs)

Temporary Desks (On-Demand Pilot)

Pakistan NSER

Online Application (Digital Window)

Azerbaijan VEMTAS, Chile RSH, Turkey ISAS

Source: Leite et. al. (2017)

Photocredits: DSWD Philippines & MDSA Brazil

In many countries, inadequate network for People Interface is a key constraint to on-demand applications

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Social Registries as Information Systems: Diverse arrangements for managing & operating Social Registries

Managed & Operated by Central Social Agency

Azerbaijan VEMTAS, Chile RSH, Djibouti RSU, Georgia TSA Registry, Macedonia CBMIS, Mauritius SRM, Mexico SIFODE, Philippines Listahanan, Senegal RNU, Sierra Leone SPRINT, Turkey ISAS, Yemen SWF

Managed by Central Social Agency with Separate Operating Agent

Brazil Cadastro Unico, Mali RSU, Montenegro SWIS

Managed & Operated by Other Central Agency

Colombia SISBEN, Dominican Republic SIUBEN, Indonesia UDB

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Managed & Operated by Specific Program,
(also serving other programs)

Pakistan NSER (hosted, managed & operated by BISP)

"Swim Lanes" – first level

- A management tool for mapping the sequencing of implementation processes across the actors

- Uniqueness & clarity of roles

Why do we call them "Swim Lanes?"

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1. Identify the actors (e.g., citizens, local interface, info systems, central agency, service provider, other agency, etc…)
2. Discuss the roles and responsibilities of each actor along the "Delivery Chain"
3. Assign a "swim lane" to each actor
4. Identify the steps for the carrying out implementation phases along the Delivery Chain
5. Map the steps in sequence across the "swim lanes" for each actor
6. Review processes for efficiency & effectiveness:
   - Are all of the steps really needed? Are they all "value added steps?"
   - Or can some be eliminated (unnecessary bureaucracy)?

Objectives & Caveats for these Case Examples

> ## <u>Objectives</u> of these Case Examples:
>
> - Demonstrate the use and value of these tools
> - Using *"hypothetical real-life country examples"*
> - Looking at various phases along the Delivery Chain
> - Illustrating various Delivery Systems Challenges (scaling up, systems modernization)
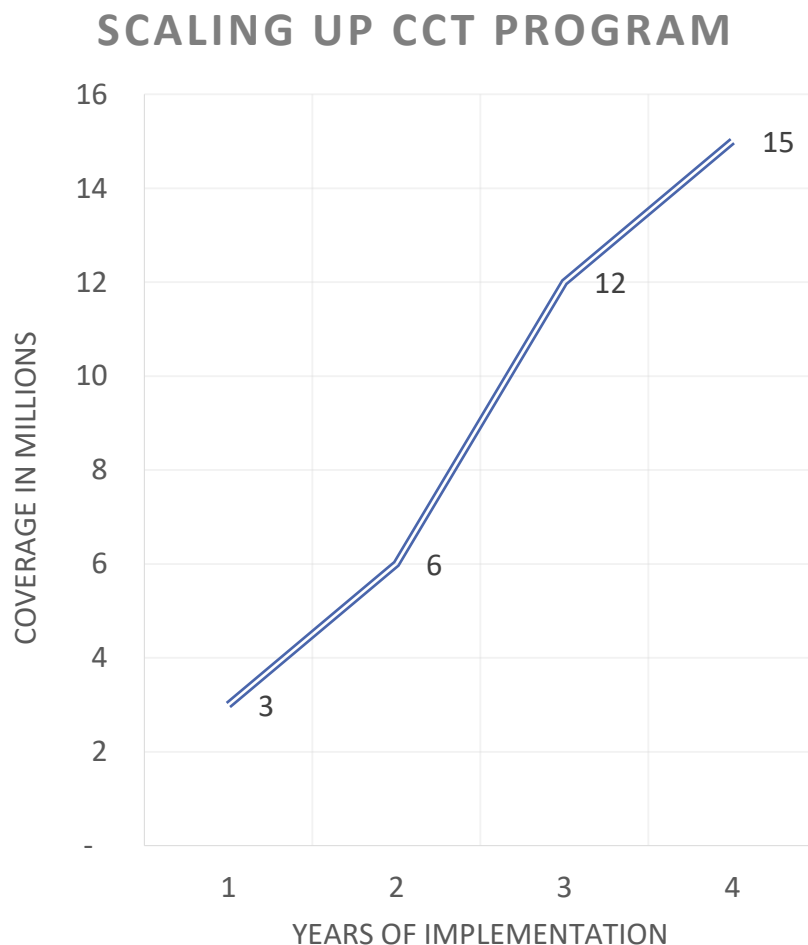

<u>Caveats</u>: What do we mean by "Hypothetical real-life country examples"?
- These are "hypothetical" simplifications for illustrative purposes
- Informed by "real-life" country experiences
- Some are "composite" examples (mix of country experiences on similar topic)
- Not taking a judgement about the nature of the reforms, just illustrating how these tools were used

Example 1: Assessing & Simplifying Business Processes to Support Scaling Up of Coverage (Loosely based on East Asia Country Example)

SCALING UP CCT PROGRAM

Chart: line graph of Coverage in Millions (y-axis, 0–16) versus Years of Implementation (x-axis, 1–4), with data points: 3, 6, 12, 15.
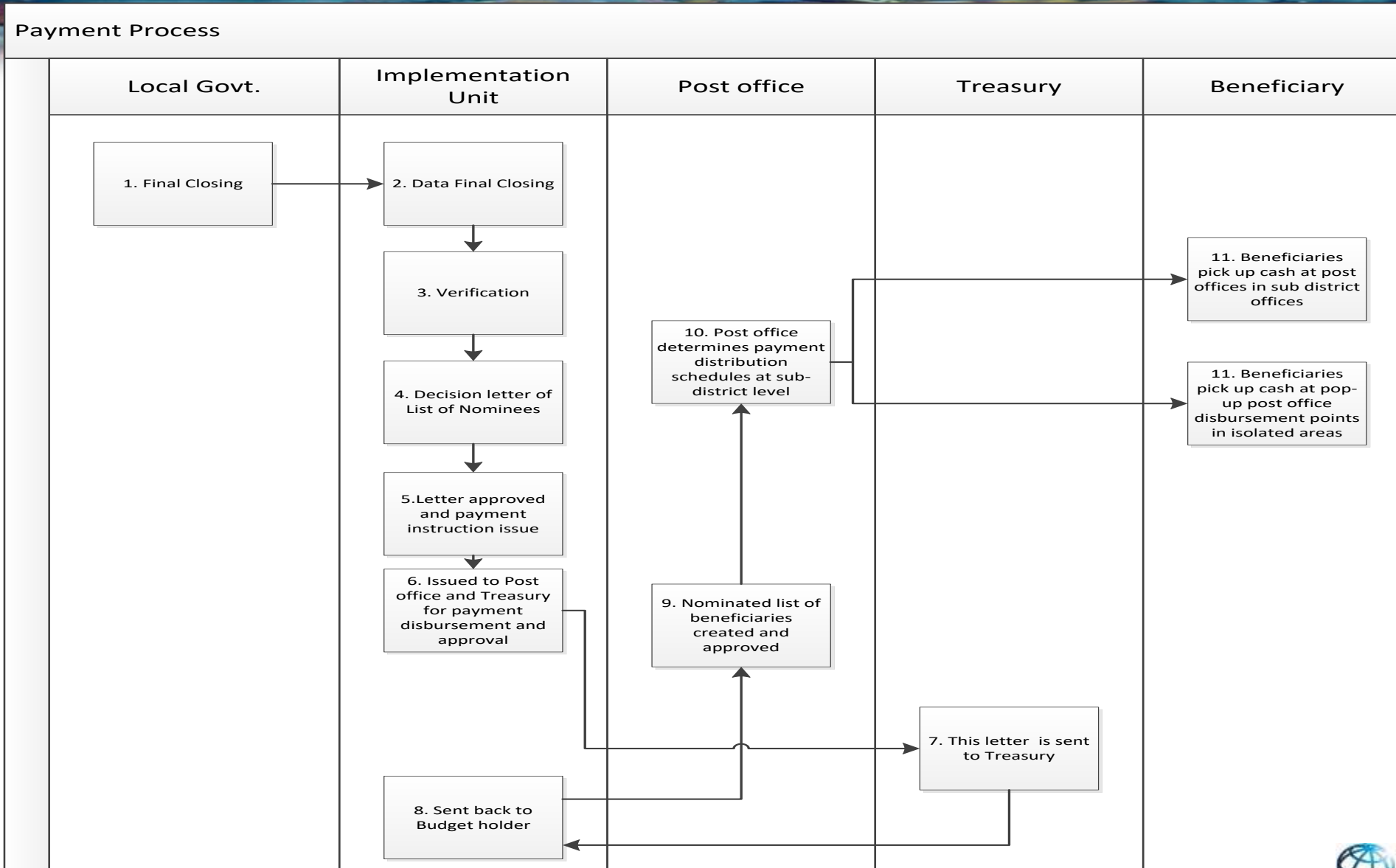
- **Social Program:** Cash Transfer program

- **Objectives of Reforms:** Scale up program, ensuring capability and reliability of delivery system to support expanded operation needs.

- **Challenges:** Complexity multiplies exponentially when scaling up to a larger program. Any weaknesses in implementation in smaller program can derail the scale up. Among many weaknesses identified, one was recurring delays in payments and authentication of beneficiaries at payment points.

- **Nature of Exercise:** To map out delivery chain processes to analyze potential for **strengthening payments administration processes.**

We also mapped out other processes, but focus here is to illustrate with payments administration example

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Illustrative Example: Flow Chart for Payments Administration
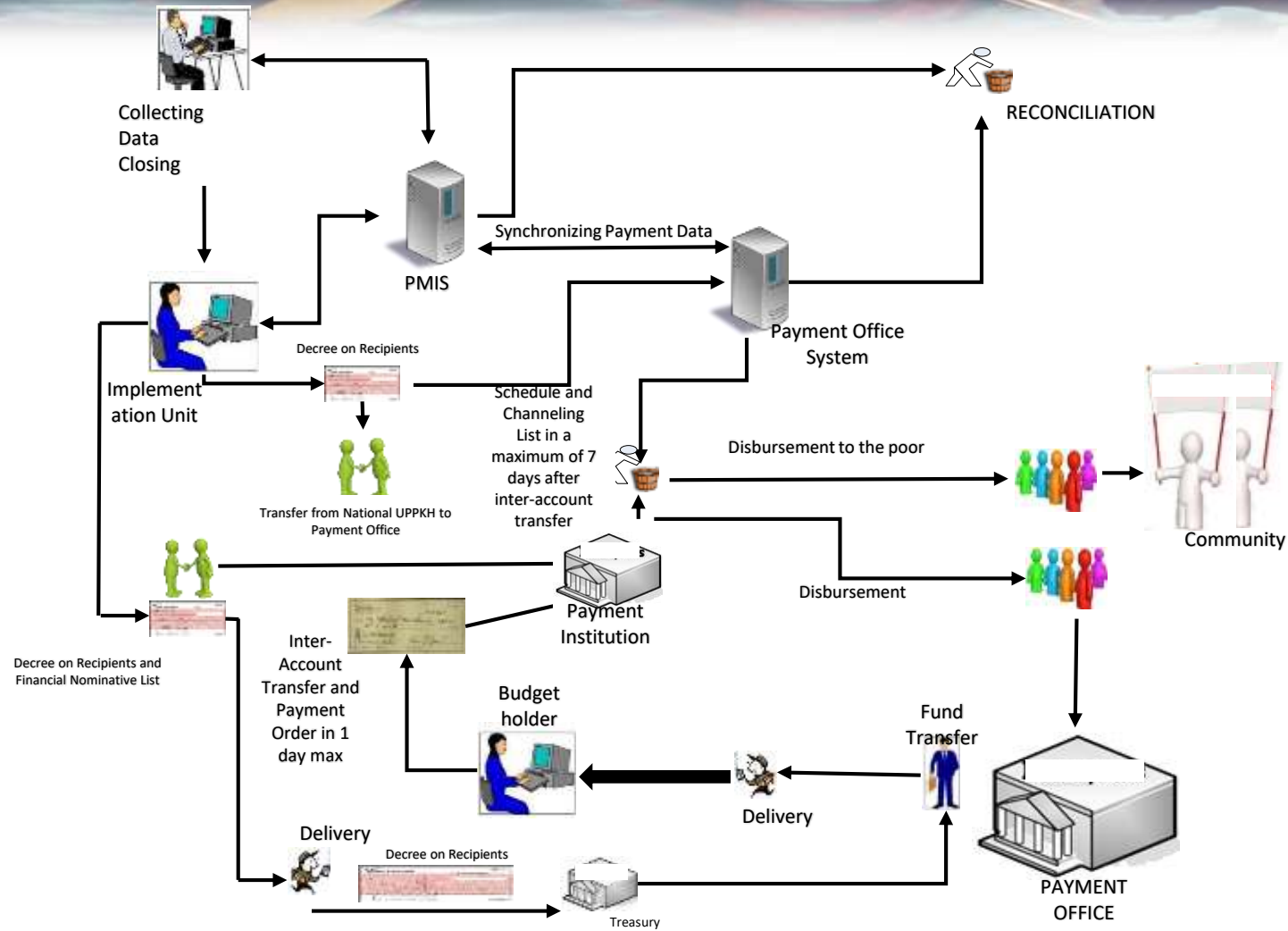
Delivery Process Mapping for payments administration

- **Challenges:**
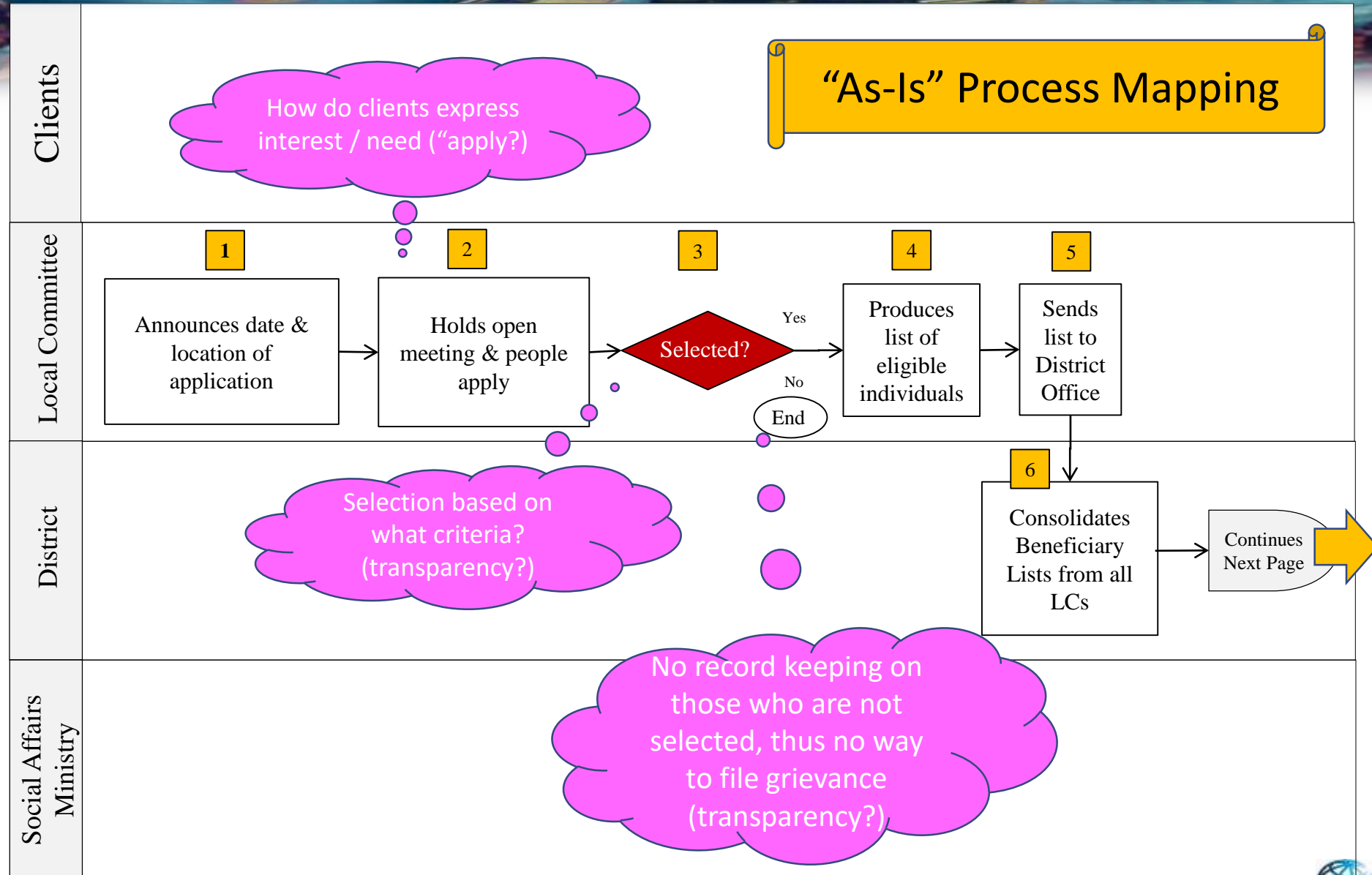 - *Fragmentation:* Numerous cash transfer programs targeted to the poor
  - Weak "targeting:" lack of clear criteria and non-transparent processes for identifying and selecting safety net beneficiaries; substantial share of resources reach the non-poor; many potential beneficiaries excluded
  - Inefficiencies: outdated paper-based systems, duplication of processes, lack of monitoring, high "time-costs-visits," etc.
  - Lack of transparency: no channels for grievances or appeals, no records of decision making for "who's in" or "who's out" or what basis those decisions were taken

- ***Objectives of Reforms:*** Improve equity, efficiency, transparency

- ***Nature of Reforms:***
  - "Modernize systems" for intake & registration, determination of eligibility, payments, grievance redress system, etc.
  - Introduce standardized application form & process, formal eligibility criteria, automated processes, etc.
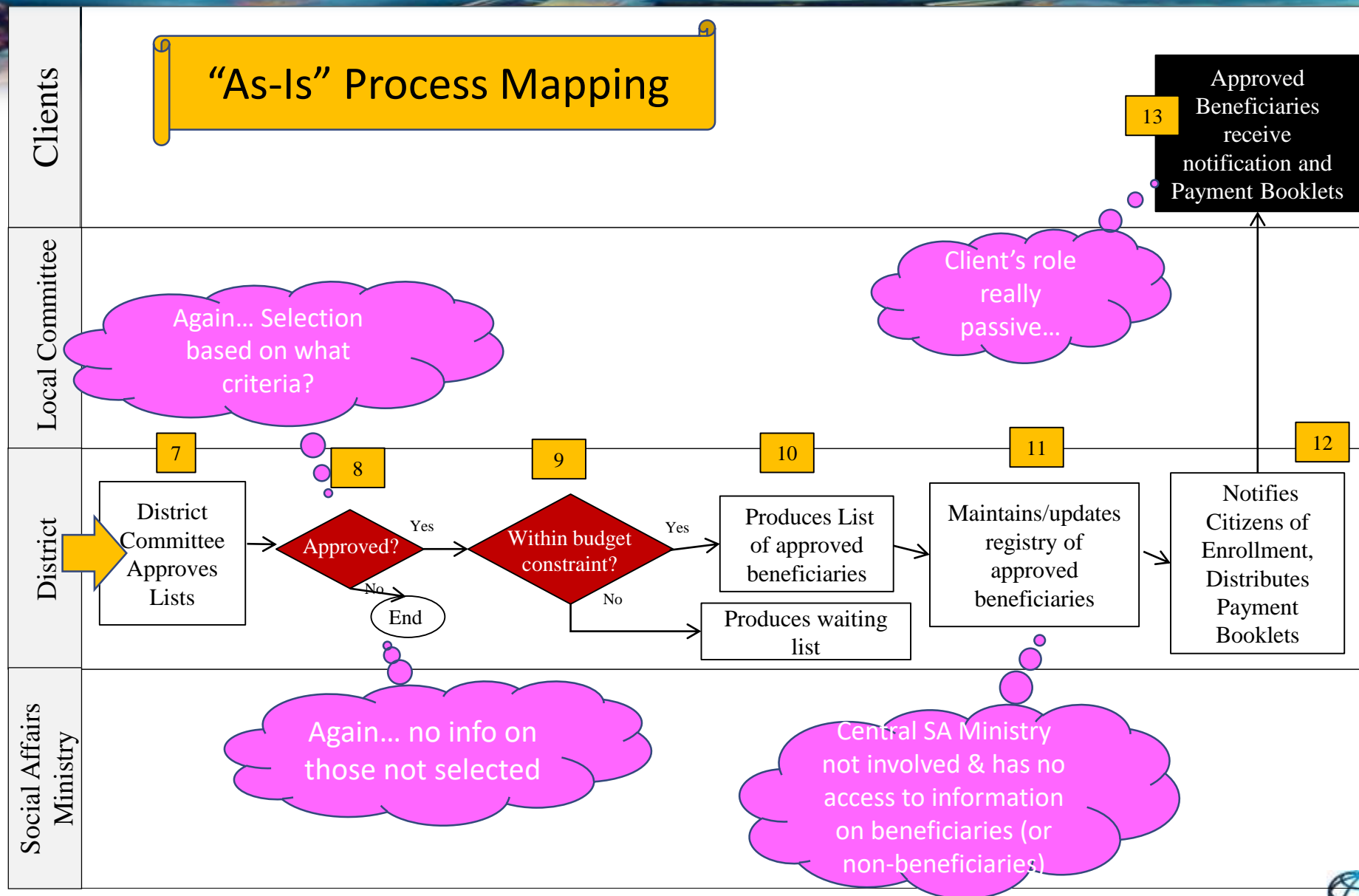
"As-Is" Process Mapping (Current Situation)	"To-Be" Process Mapping (Planned Reforms)

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Clients

"As-Is" Process Mapping

13 — Approved Beneficiaries receive notification and Payment Booklets

Local Committee

Again... Selection based on what criteria?

Client's role really passive...

District

7 — District Committee Approves Lists

8 — Approved? — Yes → 9 — Within budget constraint? — Yes → 10 — Produces List of approved beneficiaries → 11 — Maintains/updates registry of approved beneficiaries → 12 — Notifies Citizens of Enrollment, Distributes Payment Booklets

No → End

No → Produces waiting list

Social Affairs Ministry

Again... no info on those not selected

Central SA Ministry not involved & has no access to information on beneficiaries (or non-beneficiaries)

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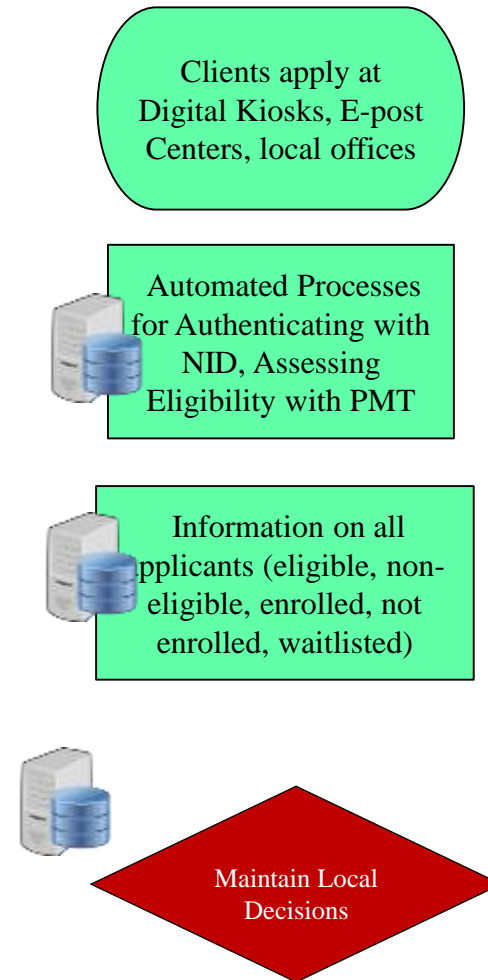
- **Objectives of reforms:**
  - Improve transparency, "targeting" outcomes
  - Allow for grievance and appeals processes (previously missing)
  - Permit greater monitoring and oversight by Social Ministry
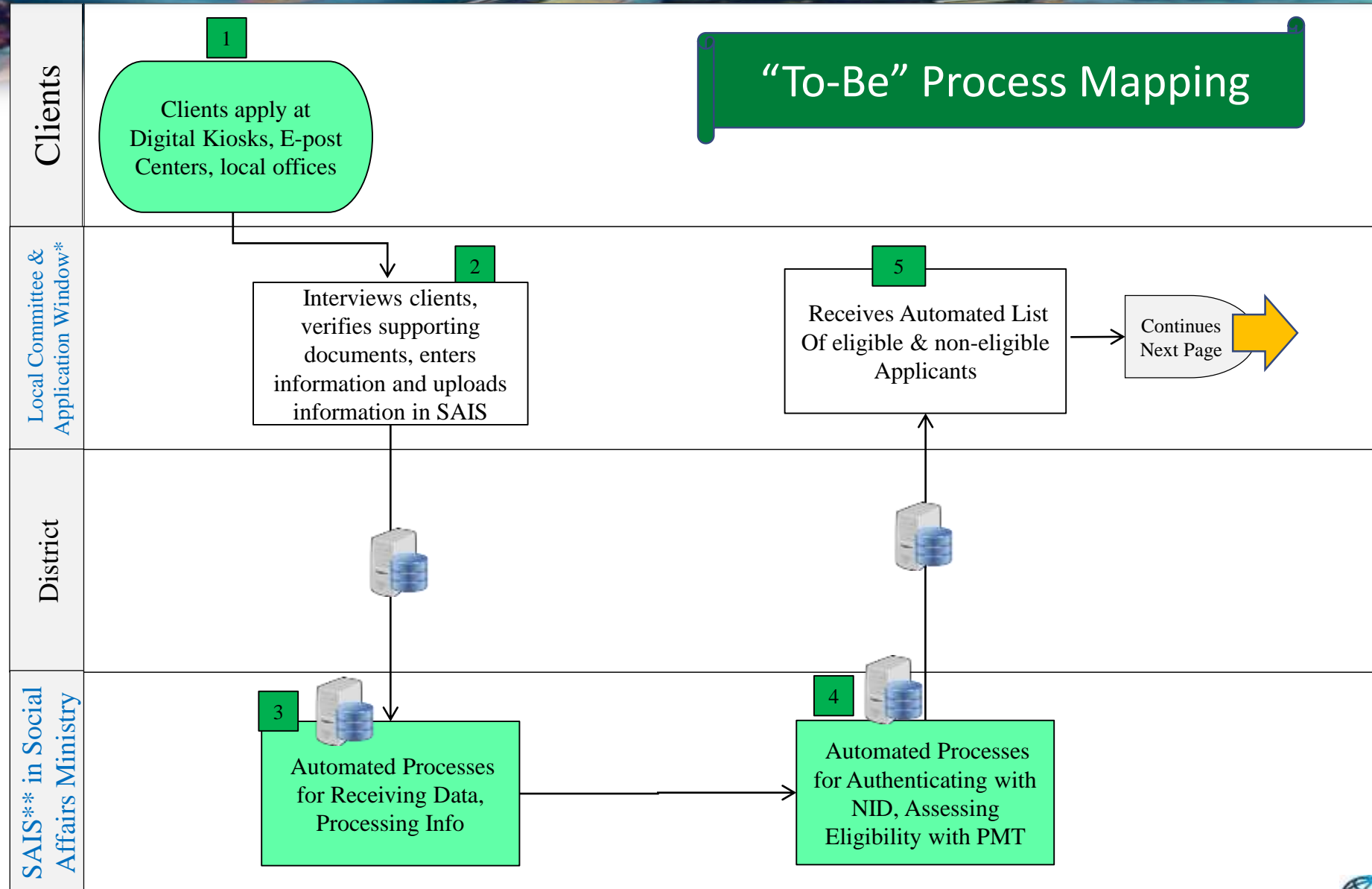
- **Main Reforms Being Considered:**
  - Introduce formal application form & process
  - Introduce formal eligibility criteria ("PMT"), authentication of NID
  - Automate processes for determining eligibility in "Social Assistance Information System" (SAIS)
  - Digitize & improve record keeping in SAIS on <u>all</u> applicants

- **Institutional Aspects:**
  - Social Ministry taking greater role as host of the SAIS
  - Local Committees & District Offices still taking enrollment decisions (political economy, institutional context)

Clients apply at Digital Kiosks, E-post Centers, local offices

Automated Processes for Authenticating with NID, Assessing Eligibility with PMT

Information on all applicants (eligible, non-eligible, enrolled, not enrolled, waitlisted)

Maintain Local Decisions

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"To-Be" Process Mapping

Clients

1 Clients apply at Digital Kiosks, E-post Centers, local offices

Local Committee & Application Window*

2 Interviews clients, verifies supporting documents, enters information and uploads information in SAIS

5 Receives Automated List Of eligible & non-eligible Applicants

Continues Next Page

District

SAIS** in Social Affairs Ministry

3 Automated Processes for Receiving Data, Processing Info

4 Automated Processes for Authenticating with NID, Assessing Eligibility with PMT

*Social workers, digital kiosk windows, e-post centers   **SAIS = Social Assistance Info System

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Clients

"To-Be" Process Mapping

11 — <u>All</u> applicants receive Notification of status => Opportunity to appeal

Local Committee & Application Window*

6 — Local Committee does initial selection of applicants from eligible list

Need to define Algorithms for LC & District Decisions & PMT Eligibility ("Validation Role")

10 — Local Committee Receives Status Decisions for all applicants & sends notifications

District

8 — District does final selection of Applicants for ENROLLMENT Taking into account budget constraint

SAIS in Social Affairs Ministry**

7 — Enter LC approved applicants and ranked waitlist into SAIS

9 — Enter District approved Enrollment List and waitlisted applicants into SAIS

*Social workers, digital kiosk windows, e-post centers   **SAIS = Social Assistance Info System

Introducing Delivery Chain Process Mapping

Example Applications of These Tools with Challenges of "Scaling Up" and "Systems Modernization"

Hands-On Case Application (Group Work) & Discussion

20 minutes

40 minutes

30 minutes

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The Country of Morlandia has a population of 50 million people, with 30% poverty. Institutional arrangements for delivering social protection programs are fragmented and activities are carried out by multiple programs, implementers and stakeholders. Responsibility for policy and implementation is spread across 4-6 agencies – Ministry of Social Affairs, Ministry of Education, Ministry of Health and Ministry of Labor. Additionally, the Ministry for Digital Economy and Ministry for Security are also implicated. Local governments have an important role to play in implementation of the programs. There are poor data sharing arrangements or protocols amongst these agencies and programs are sometimes duplicated by ministries. The government plans to develop integrated systems for delivering the Conditional Cash Transfer, Universal Health Insurance and Education Grants.

An early stage Social Registry was developed by the Ministry of Social Affairs but it is a static dataset, covering 20% of the population. It serves the conditional cash transfer program and the food assistance program. It is not used by Health, Education or Labor. The government would like to create an Integrated Social Registry and expand coverage to 80% of the population, to serve multiple programs. However, it is not clear where the Integrated Social Registry will be hosted. There is a National ID developed by the Ministry for Security, but coverage is poor and the credentials are too expensive. There is a proposal to create a unique Foundational ID platform (open to all people in the territory, irrespective of nationality) to facilitate integrated digital service delivery, but it is not clear who will host this system in government and how it will be used by the Social Registry.

The assignment has three parts:

1 – Where should the Integrated Social Registry platform sit and why? Where should the Foundational ID platform sit and why?

2 - Carry out Delivery Chain Process Mapping for the implementation of an Integrated process of Outreach, Intake and Registration, Assessment of Needs and Conditions, Decisions on Eligibility and Benefits Levels for Health, Education and Social Assistance (Cash & Food), for Morlandia.
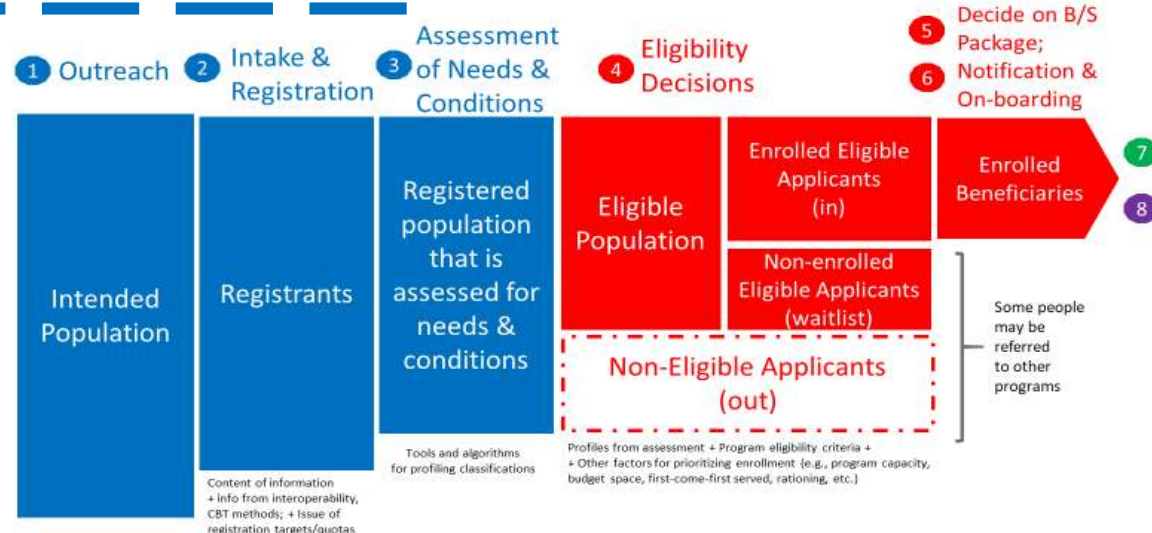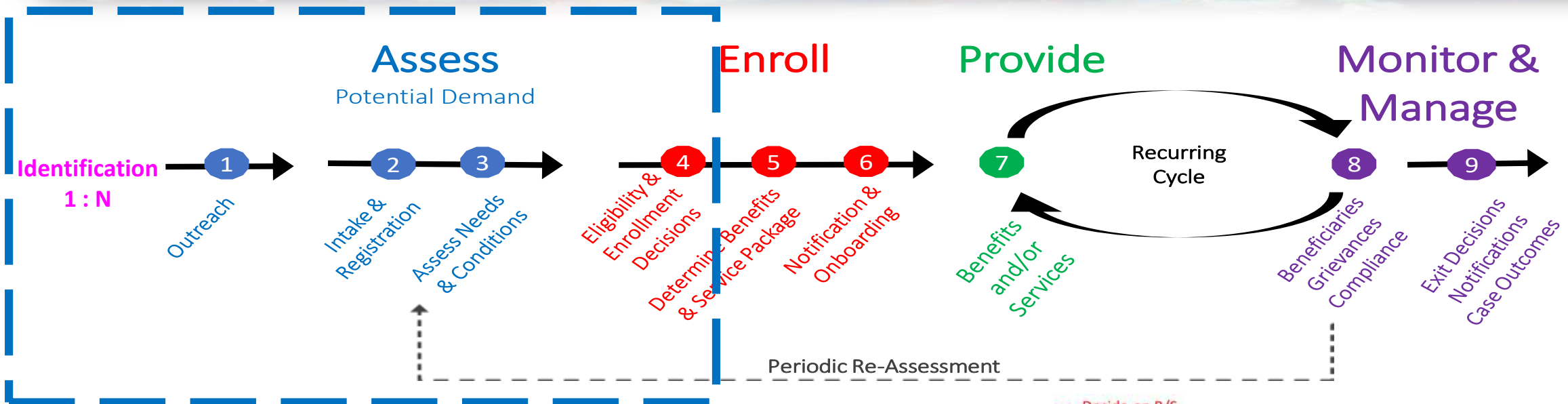
1. What's the country context?
2. Identify the actors (e.g., people, local interface, info systems, central agency, different line ministries, etc…)
3. Discuss the roles and responsibilities of each actor
4. Assign a swim lane to each actor
5. Identify the steps for the carrying out end-to-end delivery chain process, from Outreach to Monitoring. If desired, you may go into greater detail for specific phases of the delivery chain.
6. Write each step on a Post-It note
7. Sequence the steps (Post-It notes) by actor (across swim lanes) for each step of the implementation phase
8. Move the Post-Its around as needed, or add / subtract steps (Post-Its)

3- Take a step back and assess the process for efficiency and effectiveness:

1. Are there any non-value added steps?
2. And/or are there any steps that could be missing?

40 Minutes

Focus on the first phases of the Delivery Chain

Assess — Potential Demand
Enroll
Provide
Monitor & Manage

Identification 1 : N

1 Outreach
2 Intake & Registration
3 Assess Needs & Conditions
4 Eligibility & Enrollment Decisions
5 Determine Benefits & Service Package
6 Notification & Onboarding
7 Benefits and/or Services
Recurring Cycle
8 Beneficiaries Grievances Compliance
9 Exit Decisions Notifications Case Outcomes

Periodic Re-Assessment

1 Outreach
2 Intake & Registration
3 Assessment of Needs & Conditions
4 Eligibility Decisions
5 Decide on B/S Package;
6 Notification & On-boarding

Intended Population
Registrants
Registered population that is assessed for needs & conditions
Eligible Population
Enrolled Eligible Applicants (in)
Enrolled Beneficiaries
7
8
Non-enrolled Eligible Applicants (waitlist)
Non-Eligible Applicants (out)
Some people may be referred to other programs

Content of information + info from interoperability, CBT methods; + Issue of registration targets/quotas

Tools and algorithms for profiling classifications

Profiles from assessment + Program eligibility criteria + + Other factors for prioritizing enrollment (e.g., program capacity, budget space, first-come-first served, rationing, etc.)

Report-Back Discussion & Conclusions

- Reflect on the Delivery Chain Process Mapping experience (main actors, main steps, process overall)

- What was the "beneficiary journey"? What are their "pain points?"

- What were the institutional coordination challenges?

A few
Punchlines…

… and a big
THANK YOU!

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