Institutions & Coordination:

Delivery Chain Process Mapping
For Social Programs

Safety Nets Core Course
October 2019

Tina George, Ines Rodriguez Caillava
SPJ Delivery Systems
Global Solutions Group
Introducing Institutions, Coordination, Delivery Chain Process Mapping

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

Hands-On Case Application (Group Work) & Discussion

Outline & Objectives
Most social programs pass through similar implementation phases or “business processes” along the Delivery Chain.

1. **Identification**
   - 1: N
   - Outreach

2. **Assess**
   - Potential Demand
   - Intake & Registration
   - Assess Needs & Conditions

3. **Enroll**
   - Eligibility & Enrollment Decisions
   - Determine Benefits & Service Package
   - Notification & Onboarding

4. **Provide**
   - Benefits and/or Services

5. **Monitor & Manage**
   - Recurring Cycle
   - Beneficiaries
   - Grievances
   - Compliance
   - Exit Decisions
   - Notifications
   - Case Outcomes

Periodic Re-Assessment

Intended Population

Registered population that is assessed for needs & conditions

Enrolled Eligible Applicants (in)

Non-enrolled Eligible Applicants (waitlist)

Non-Eligible Applicants (out)

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

Some people may be referred to other programs

- Decide on B/S Package; Notification & On-boarding
- Enrolled Beneficiaries

1: N
Challenge of coordination to deliver multiple programs

Assess Potential Eligibility

Decide

Implement

Assess Potential Eligibility

Decide

Implement

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.
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.
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

- **Managed & Operated by Specific Program, (also serving other programs)**
  Pakistan NSER (hosted, managed & operated by BISP)
What is Delivery Chain Process Mapping (“DCPM”)?

“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?”
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

Objectives 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)

Caveats: 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)

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

<table>
<thead>
<tr>
<th>Payment Process</th>
<th>Implementation Unit</th>
<th>Post office</th>
<th>Treasury</th>
<th>Beneficiary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Govt.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Final Closing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Data Final Closing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Verification</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Decision letter of List of Nominees</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Letter approved and payment instruction issue</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Issued to Post office and Treasury for payment disbursement and approval</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Sent back to Budget holder</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Sent back to Budget holder</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Nominated list of beneficiaries created and approved</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Post office determines payment distribution schedules at sub-district level</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Beneficiaries pick up cash at post offices in sub district offices</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Beneficiaries pick up cash at pop-up post office disbursement points in isolated areas</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Example 2: “Systems Modernization”
(drawing on on-going work in South Asia)

• 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)

1. Announces date & location of application
2. Holds open meeting & people apply
3. Selected?
   - Yes: Produces list of eligible individuals
   - No: End
4. Sends list to District Office
5. Produces list of eligible individuals
6. Consolidates Beneficiary Lists from all LCs

Clients

Local Committee

District

Social Affairs Ministry

How do clients express interest / need (“apply?”)

Selection based on what criteria? (transparency?)

No record keeping on those who are not selected, thus no way to file grievance (transparency?)

“As-Is” Process Mapping

End

**As-Is** Process Mapping

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>District Committee Approves Lists</td>
</tr>
<tr>
<td>8</td>
<td>Approved? <strong>Yes</strong></td>
</tr>
<tr>
<td>9</td>
<td>Within budget constraint? <strong>Yes</strong></td>
</tr>
<tr>
<td></td>
<td>Produces List of approved beneficiaries</td>
</tr>
<tr>
<td>10</td>
<td>Not Approved? <strong>No</strong></td>
</tr>
<tr>
<td></td>
<td>Produces waiting list</td>
</tr>
<tr>
<td>11</td>
<td>Maintains/updates registry of approved beneficiaries</td>
</tr>
<tr>
<td></td>
<td>Approved Beneficiaries receive notification and Payment Booklets</td>
</tr>
<tr>
<td>12</td>
<td>Notifies Citizens of Enrollment, Distributes Payment Booklets</td>
</tr>
</tbody>
</table>

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

**Social Affairs Ministry**
- Again... no info on those not selected

**Local Committee**
- Again... Selection based on what criteria?
- Client’s role really passive...
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 all 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)

**Local Committee & Application Window**

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

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

3. Receives Automated List Of eligible & non-eligible Applicants

4. Continues

**District**

**SAIS** in Social Affairs Ministry

5. Automated Processes for Receiving Data, Processing Info

6. Automated Processes for Authenticating with NID, Assessing Eligibility with PMT

**Social workers, digital kiosk windows, e-post centers**  

**SAIS = Social Assistance Info System**

**Social workers, digital kiosk windows, e-post centers**

**SAIS = Social Assistance Info System**

---

**Clients**

1. 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

   11. All applicants receive Notification of status => Opportunity to appeal

**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
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
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?
Focus on the first phases of the Delivery Chain

Although these diverse Benefits & Services seem quite different, most pass through similar implementation phases along the Delivery Chain.

**Periodic Re-Assessment**

1. **Identification**
   - Outreach
   - Intake & Registration
   - Assess Needs & Conditions

2. **Assess**
   - Potential Demand

3. **Enroll**
   - Eligibility & Enroll Decisions
   - Determine Benefits & Service Package
   - Notification & Onboarding

4. **Provide**
   - Benefits and/or Services

5. **Monitor & Manage**
   - Periodic Re-Assessment
   - Beneficiaries
   - Grievances
   - Compliance
   - Exit Decisions
   - Notifications
   - Case Outcomes

1: N
• 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!