An Integrity Framework for the Public Service

Service Values, Integrity and Trust in the Public Service in OECD Countries

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Building Trust

Why is it important?

- Declining of confidence in public institutions
- Integrity has become a key factor in the quality of government to meet rapidly changing environment:
  - Corruption as a risk factor
  - Unintended impact of public management reforms

Governance implications

- Build an Integrity Framework that promotes a new public service culture
Issues at stake

I. Building an new culture of integrity

II. Addressing risk areas: Increasing corruption resistance

III. Assessing to adjust anti-corruption measures

III. Creating the conditions for success of an anti-corruption reform
A systemic approach to corruption

- **Identifying good practices for a sound “Integrity Framework”**
  A combination of laws, institutions and management mechanisms to prevent corruption and promote integrity in the public service

- **Anticipating risk areas**
  The prevention of conflict of interest and corruption in risk areas
I. BUILDING A CULTURE OF INTEGRITY

What are the most frequently stated core values in OECD countries?

- Impartiality: 24
- Legality: 22
- Integrity: 18
- Transparency: 14
- Efficiency: 14
- Equality: 11
- Responsibility: 11
- Justice: 10
OECD Principles
for Managing Ethics in the Public Service

**Aim:** ensure high standards of conduct in the public service by
- identifying
- communicating
- inculcating
- monitoring
- rewarding
- detecting
- investigating
- punishing

+ ethical conduct
- misconduct
OVERALL AND ETHICS MANAGEMENT

Public Administration:
- rules/process
- control
- inputs
- hierarchy

Managerialism:
- goals/results
- accountability
- outputs
- autonomy/discretion

Integrity-based Ethics Regime:
- integrity
- aspiration ("high road")
- unenforceable

Compliance-based Ethics Regime:
- rules
- discipline ("low road")
- enforceable

Countries:
- Mexico
- Portugal
- United States
- New Zealand
- The Netherlands
- Australia
- Norway
- Finland
- United Kingdom
- Portugal
- Mexico
Clear standards of behaviour set boundaries for conduct

- Criminal laws penalise specific forms of corruption
- Other laws set (minimum) standards in relation to:
  - using official information and public resources
  - receiving gifts and benefits
  - working outside the public service
- Supplementary guidelines are provided for specific groups, professions working in sensitive areas:
  - tax, customs, law enforcement, ministerial advisors etc.
  - Form: code of conduct (framework→organisational), guidelines
Putting values and standards into effect

… starts with communication

- **Training** to raise awareness and develop skills for handling ethical dilemmas (conflicting values)
- **Advice** in concrete situations
  - mainly from superiors, managers -- but also from external sources
- **Involving staff**
  - success factor for implementation
- **Use of new technology**
  - Internet, interactive CD-ROMs
Ensuring integrity in daily management

Creating a working environment that ensures transparency and reinforces integrity by

- setting standards for timeliness
- requesting reasons for decisions
- providing redress against decisions
- requiring the identification of conflicts of interest

Supportive HRM policies

- recruitment and promotion based on merit
- openness in selection -- published rules and procedures

Growing awareness to prevent conflicts of interest

- introduced disclosure system
INTEGRITY FRAMEWORK

Commitment

Political Leadership

Legislative Framework

Control

Accountability & Control

Codes of Conduct

Guidance

Professional Socialisation

Co-ordinating Body

Management

Public Service Conditions
II. ADDRESSING RISK AREAS

- The growing interface between public and private sectors created grey zones and opportunities for corruption.

- The OECD, as a forward-looking organisation, identified conflicts of interest a major emerging issue in the public sector.

- This milestone provided a sound basis for addressing risk areas at the public private interface, in particular procurement and post-public employment.
RISK AREAS.
Public procurement

Frequency of Bribery in (%):

OECD | East Asia (NIC) | East Asia (developing) | South Asia | Sub-Saharan Africa | Former Soviet Union | Latin America
--- | --- | --- | --- | --- | --- | ---
Connection to utilities | Taxation | Procurement | Judiciary | State Capture

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RISK AREAS.

Public procurement

- **Context**
  - The most vulnerable activity of governments
  - International efforts have focused only on the bidding process.

- **Request for setting basic standards**
  - Checklist for integrity at each stage of the public procurement process
RISK AREAS.

Post-public employment

➢ Context

- Increased labour market flexibility
- Majority of countries reviewed, maintained and even strengthened prohibitions to maintain trust in government
- However, prohibitions are too general

➢ Request for practical tools
- Manual based on good practice
III. ASSESSMENT:
Verifying the resistance of the public sector to corruption

- Instrument to help policy-makers understand where the risks for corruption lie in the public sector and the possible strategies to reinforce a culture of integrity

- A voluntary process undertaken by a government to verify that anti-corruption measures are in line with international good practice

- The provision of concrete proposals for action based on the advice of country practitioners and on international good practice
THE OECD ASSESSMENT FRAMEWORK FOR THE PUBLIC SERVICE

Policy

Standards
Existence
Feasibility
Effectiveness
Relevance
Coherence

Why assess
What to assess
By Whom

How to ensure impact
How to assess

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# Methodology: Assessment standards

<table>
<thead>
<tr>
<th>Standard #</th>
<th>Standard</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td># 1</td>
<td><strong>Existence</strong></td>
<td>The formal existence of the integrity policy instrument that is being assessed and its components;</td>
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<tr>
<td># 2</td>
<td><strong>Feasibility</strong></td>
<td>Determining whether the integrity policy instrument is capable of functioning;</td>
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<tr>
<td># 3</td>
<td><strong>Effectiveness</strong></td>
<td>The extent to which the objectives are achieved;</td>
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<tr>
<td># 4</td>
<td><strong>Relevance</strong></td>
<td>The extent to which the integrity policy has been contributing to stakeholders’ needs;</td>
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<tr>
<td># 5</td>
<td><strong>Coherence</strong></td>
<td>The extent to which there is a logical coherence between different elements of integrity policy.</td>
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IV. CREATING CONDITIONS FOR SUCCESS

- Developing ownership of reform measures

Reform is not only technical or administrative in nature -- it is also a social process that needs:

- Consultation with stakeholders
- Communication through media
- Involvement of civil servants to motivate them
CREATING CONDITIONS FOR SUCCESS

● Considering reform as rather a permanent effort
  - Phases from creating new frameworks to modernising them
  - Periodical assessment and fine-tuning

● Putting emphasis on both preparation and implementation
  - Visible success of passing laws
  - Changing the culture needs further efforts and more time
FOR FURTHER INFORMATION

Publications:
- Public Sector Integrity: A Framework for Assessment
- Integrity in Public Procurement: Good Practice from A to Z
- Managing Conflict of Interest: Guidelines, Country Experiences and Toolkit
- Building Public Trust: Ethics Measures in OECD Countries

Website:
http://www.oecd.org/gov/ethics