



## EXPERT SEMINAR

# ANTI-CORRUPTION POLICY AND INTEGRITY TRAINING

**Held** in Vilnius, Lithuania on 23 – 25 March 2011

**Organised** by the OECD Anti-Corruption Network for Eastern Europe and Central Asia

**Co-organised** by the Office of the Co-ordinator of OSCE Economic and Environmental Activities and 2011 Lithuanian OSCE Chairmanship

**Hosted** by the Special Investigation Service and the Chief Official Ethics Commission of Lithuania

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## PROCEEDINGS OF THE SEMINAR

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Participants in the expert seminar “Anti-Corruption Strategies and Integrity Training”,  
23 – 25 March 2011, Vilnius, Lithuania

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## *Introduction*

The seminar “Anti-Corruption Strategies and Integrity Training” was organised on 23 – 25 March 2011 by the Anti-Corruption Network for Eastern Europe and Central Asia (ACN), a global relations programme of the Working Group on Bribery of the Organisation for Economic Co-operation and Development (OECD). It was co-organised by the 2011 Lithuanian OSCE Chairmanship and the Office of the Co-ordinator of OSCE Economic and Environmental Activities. The seminar was hosted by the Special Investigation Service (STT) and the Chief Official Ethics Commission (VTEK) of Lithuania.

The objective of the seminar was to foster networking and exchange of practical experience and good practice in the following two main areas and specific issues:

- Effective Anti-Corruption Policies:
  - Development of anti-corruption policies, involving key players and using public opinion surveys and research data;
  - Coordination and monitoring of implementation, including monitoring impact and using indicators;
  - Public participation in development, implementation and monitoring of anti-corruption policies.
- Integrity Training and Awareness Raising:
  - Guidance for managers of public institutions to ensure integrity in their institutions;
  - Effective integrity training for public officials and targeted training for risk groups;
  - Planning and conducting education and awareness raising activities for various groups of citizens and businessmen.

The seminar gathered around 60 participants, including public sector practitioners in charge of development and monitoring of implementation of anti-corruption policies, development and conduct of anti-corruption and integrity training and anti-corruption awareness raising in Eastern European and Central Asian countries, including South Caucasus. The seminar also involved experts from OECD countries, including Austria, Estonia, Poland, Spain, Turkey and the United States. OSCE field officers covering anti-corruption matters in Tajikistan, Kazakhstan, Armenia and Kazakhstan also took part to the seminar.

The seminar included expert presentations, discussions and working groups allowing experts from ACN and OECD countries to share their experiences and discuss common political and practical challenges in the areas of anti-corruption strategies and integrity training.

This report contains a summary of the discussions, as well as presentations delivered during the seminar, the agenda and list of participants.

***This seminar was made possible thanks to voluntary contributions provided to the ACN by the United States, Switzerland and the United Kingdom, as well as the OSCE and contribution provided to it by the United States. In-kind contributions were made by the STT and VTEK.***



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## *Summary of Discussions*

### **Anti-Corruption Strategies**

Anti-Corruption Strategies and Action Plan are numerous in the ACN region. Almost all countries have such strategies; many have developed their second or even third generations. However, the level of corruption in the region remains high, which raises the question on the impact of anti-corruption strategies in countering corruption. National experts responsible for the development of anti-corruption strategies and action plans from ACN countries discussed how anti-corruption strategies could be made more effective.

One of the general conclusions was that countries struggle with very similar problems. However, there are no obvious solutions; anti-corruption policies should fit the political contexts of the countries and should provide practitioners a variety of tools. They should reflect realistic objectives, involve all stake-holders, contain effective implementation mechanism and promote political support. Presentations by Turkey, Montenegro and Romania provided useful snapshots of countries efforts to develop anti-corruption strategies. These presentations, followed by working group discussion, addressed the following issues:

1. Anti-corruption strategies can be political (reflecting priorities in the country or developed as a result of external, e.g. EU pressure) or technical (built on the basis of various studies, public consultations and surveys). A successful strategy should be both political to embody political will to fight corruption and technical to support practical implementation. The challenge for the public officials responsible for the development and implementation of the strategies and action plans is to strike the right balance between the political and technocratic approaches.
2. In the ACN region, there are many examples of formally well developed anti-corruption strategies which were not properly implemented due to the lack of political support. Even a perfect technical document will fail to be adopted formally or implemented in reality, if it is not based on real political interests. Political interests in democratic societies are based on the demand from the society.
3. In addition to the multiple examples of “perfect strategies”, there are also many less perfect strategies in the ACN region, which cannot be implemented or will not have any impact on the level of corruption due to poor design of implementation measures and weak control mechanisms. Strategies should have clear objectives, based on the analysis of the situation, including public and political preferences, and available resources. More efforts should be made to design implementation measures that are relevant to the political and societal demands, and to communicate the intentions of the government and achieved results in a manner adapted to the public and political interests.

4. Besides, anti-corruption strategies are not mainstream policies, like regular economic and social policies, usually they are not included as such in the national budgets, and thus their implementation is not subject to the same scrutiny as other public policies. Anti-corruption should involve efforts of many agencies, which makes the coordination and enforcement of implementation a real challenge.

**How to mobilise political support:** It is not important to have a long and comprehensive strategy from start, but it is important to have clear objectives. It is important to take into account political processes in the country and to test public preferences (for example, by using surveys), to be able to propose measure which would be useful for both the politicians and the society. Strategies should use political opportunities, e.g. scandals, elections, international pressure or other reform processes, when it is beneficial for politicians to fight corruption. There may be a need to have short-term and longer-term strategies in different political situations, e.g. to use the immediate opportunities provided by a political change. Opinion polls are also needed to express public demand for change and to put pressure on politicians. The use of media is a powerful tool of pressure on politicians. At the same time, linking strategies to political interests has a danger that instead of pursuing longer-term goals they may be too dependent of short-term political interests.

**How to strengthen demand from society:** Political will should come from the demand in the society. To stimulate this demand, it is important disseminate more information about corruption related issues, e.g. asset declarations of public officials, studies on costs of corruption, which could be commissioned or promoted by the governments. Besides, it is important to demonstrate the resolve of the government to fight corruption by ensuring strong and impartial law-enforcement conducting high profile investigations and making them visible. Finally, it is key to implement practical measures in individual agencies to provide citizens with an opportunity not to bribe, e.g. by providing clear information about administrative procedures, removing unnecessary procedures and ensuring timely and transparent administrative decisions. There also needs to be effective channels for the public to report about corruption and to seek advice. Citizens often do not know about the anti-corruption strategies, or think that this is another bureaucratic tool; it is important to communicate these strategies proactively, in a form understandable and relevant for the people. NGOs can be useful to mobilise demands from the society, but sometimes they become politicised or grant-driven, and lose their real link to the society. Consultations with NGOs may be a part of the required procedure, but may not always be sufficient to ensure interaction between governments and citizens. It is therefore important for governments to also have other tools to reach out to the general public. In addition to the cooperation with NGOs, well designed public awareness raising and education efforts led by the governments and free and independent media are indispensable in this respect.

**How to design effective implementation measures:** It is important to involve various public agencies with a key role in anti-corruption in the development of the strategies from the start. In particular, senior managers, including ministers and heads of agencies, especially in those public institutions where risks of corruption are high, should be required to have anti-corruption

measures as a part of their work programme. They should analyse corruption risks in their institutions and propose anti-corruption measures to address these specific risks to be included in the national strategy. Anti-corruption authorities (when they exist) or specialised anti-corruption or ethics offices or divisions in individual ministries can provide assistance to the managers in this task. In other words, implementation measures for the strategy should be designed through a bottom-up approach. Various available international assessments can also be used in this process.

**How to measure progress:** Mechanisms to monitor implementation of strategies are quite similar in most ACN countries: various institutions are required to report about their actions. These reports are then examined by national anti-corruption policy bodies. Results are presented to the government and in some cases made public. These mechanisms allow to keep track of various measures taken by responsible public bodies, but do not allow assessing more in-depth how these measures have helped to achieve the objectives set in anti-corruption strategies. Experts agree that it is important to assess both measures taken by the government, as well as the impact of these measures on the levels of corruption. Various types of surveys provide an important tool for measuring impact, and need to be undertaken systematically. However, there are still many areas where measurement of impact remains a serious challenge and requires further analytical development and practical application, e.g. how to measure progress in prevention of corruption in political party financing. One expert stated: *"We do not know how to measure corruption, and how to measure results of anti-corruption work. We do not know how much it costs to implement a strategy."*

### **Integrity Training**

In ACN countries in order to strengthen ethical competence of public officials and prevent corruption in public service, anti-corruption strategies often suggest to conduct ethics training. Many ACN countries have put in place codes of ethics and provide training for public officials in this area. Such training usually involves delivery of lectures or ad-hoc seminars about legal requirements related to the fight against corruption, conflict of interest regulations and codes of ethics. However, these lectures and seminars often focus on rules only and do not address values. They do not address specific corruption and integrity risks in individual agencies or practical problems facing the public officials and are therefore not useful for public officials who are required to attend these formal training events. Experiences of Austria, Estonia, Spain and the USA, presented at the seminar, provided new and more advanced approaches, which included tailor-made practical ethics training about rules and values, delivered systematically by dedicated ethics officials, using an interactive approach.

The ACN experts agreed that the following elements of these new and advanced approaches to public ethics training could be promoted in the region:

1. A more systemic approach for ethics training, which should involve a dedicated body/unit/official responsible for development and delivery of the training, and



- development of the ethics programme based on the assessment of risks and needs of public officials in the country and taking into account international best practice;
2. Ethics training should be mandatory, at least for some categories of public officials; it is advisory to provide such training to all new civil servants when they enter the service, and possibly to public officials leaving the service;
  3. The role of managers of public institutions in ensuring ethical standards among their subordinates should be promoted and ensured however it should be noted that involving the managers in the ethics training remains a challenge also in OECD countries. Besides, providing ethics guidance to elected public officials should also be part of ethics programme;
  4. Special attention should be paid to the preparation and design of ethics trainings; such trainings should be specially developed for individual public institutions, or target group of officials. They should address legal requirements/rules and values; they should be practical and based on real cases relevant to the activities of the institution or group of officials;
  5. Special attention should also be paid to the follow-up. This may include train-the-trainer methods, as well as transfer of knowledge gained at training events to practical work situations. Assessing the effectiveness of ethics trainings is a challenging task, but some of the elements can be built into the overall training programme, for instance such programmes may include a test; in addition tests of ethical competence can be included to the regular performance evaluation of civil servants;
  6. Use of attractive, practical tools like workplace calendars with anti-corruption information, such as the deadline for submission of asset declarations, could be a practical approach to maintain attention of public officials on ethical issues;
  7. The effectiveness of ethics training can be increased if it is part of a more comprehensive framework, which includes intra alia a possibility for a public official to seek practical advice and guidance how to deal with specific practical problems or “grey” unregulated areas, effective channels for reporting suspicions of corruption by public officials, whistleblower protection, and other corruption prevention measures of the government.

### **Awareness raising for general public and for business**

Awareness raising campaigns in the ACN countries usually involve public advertising, such as TV spots, banners and posters, which inform about the negative effects of corruption and ask citizens not to pay bribes. Press conferences by various government officials about their activities are also considered by the governments as awareness raising efforts; media coverage of specific cases is often regarded as an important contribution to public information. Little is known about awareness raising that targets specific groups of citizens, no information is available about awareness raising designed specifically for the business sector in the ACN region. There is little evidence that awareness campaigns have contributed to the change of public attitude, and would justify their costs, which may be high. National experts responsible from ACN countries discussed how to improve the awareness raising campaigns. Below is the summary of the discussion:

1. There is a need to move from ad-hoc campaigns such as general public advertising based on negative messages, to a more systematic and better designed campaigns, which should convince citizens that corruption is damaging for them personally or for the society, and provide practical solutions about how to resist corruption in real life. Such systematic campaigns should be designed for specific groups of citizens and businesses to address their practical needs. However, even the best designed awareness raising campaigns can work only when governments are demonstrating that they are serious about fighting corruption through practical measures, including law-enforcement.
2. Transparency is one of the most effective ways to change the public tradition of bribe giving. Transparency should include such measures as proactive publication of all publicly held information, which does not constitute secret information and can be published. Transparency and provision of clear information about administrative procedures, business regulations and prices of public services in addition to general simplification and streamlining of these regulations, will provide citizens and business people with a choice of following the rules without using bribery short-cuts.
3. Price of corruption can be a powerful message for social advertising. For instance, in one country, the total value of budget cuts which were introduced in health sector due to the financial crisis was less than the amount of bribes taken by one of the officials in this sector. A media source in Croatia estimated that the total economic loss from the recent war was less than the damage from corruption in the country. These messages can be powerful for general social and political awareness of citizens. There may be a need to differentiate the price of grand and petty corruption such as bribing a traffic policemen or paying for a medical school exam, and to design smart messages which should explain to individuals why bribe-giving may not be beneficial for them.
4. Experts noted several new and creative approaches, which may be used to improve the quality of awareness raising campaigns in the ACN region. Use of social networks and social media was noted as a promising modern tool, which allows reaching out to large groups of active citizens.

## ***DAY 1: EFFECTIVE ANTI-CORRUPTION POLICY***

The following presentations were made by:

- ***Anti-corruption strategy in Turkey and its implementation process,***  
Mr. Yüksel Yilmaz, Turkey
- ***Effective Strategic Anti-Corruption Framework – Lessons Learned and Challenges from Montenegrin experience,***  
Ms. Vesna Ratković, Montenegro
- ***Developing a comprehensive national anti-corruption strategy for Romania,***  
Mr. Cornel-Virgiliu Calinescu, Romania
- ***Making anti-corruption strategy work – components and mechanisms,***  
Dr. Jolita Vasiliauskaite, OSCE Office in Tajikistan
- ***Use of Surveys in Development of Policies and Training. Key Role of Measurement. Business Integrity Training Programmes,***  
Mr. Charles Ruthford, the United States

## ***Anti-corruption strategy in Turkey and its implementation process***

Mr. Yüksel Yılmaz,  
Deputy Head,  
Prime Ministry Inspection Board,  
Turkey



## **AGENDA**

- Anti-Corruption Policy and Instruments in Turkey
- Main Regulations That Were Realized During the Last Decade
- Need for an Anti-Corruption Strategy
- Preparation Process of the Strategy
- Main Components of the Anti-Corruption Strategy (2010-2014)
- Action Plan of the Strategy
- Implementation and Reporting Process of Strategy
- Challenges

## Institutions Engaged in the Fight Against Corruption

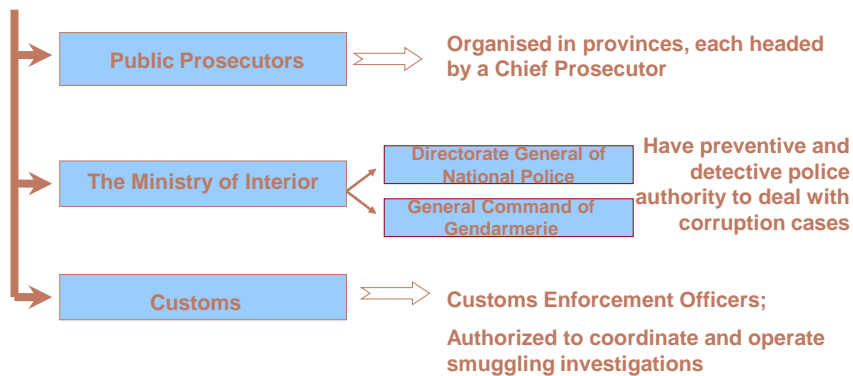


- Parliament
- Public Prosecutors and Courts
- Ministry of Interior
- Customs
- Administrative Bodies
- Ministry of Finance (Financial Crimes Investigation Board)

## Institutions Engaged in the Fight Against Corruption



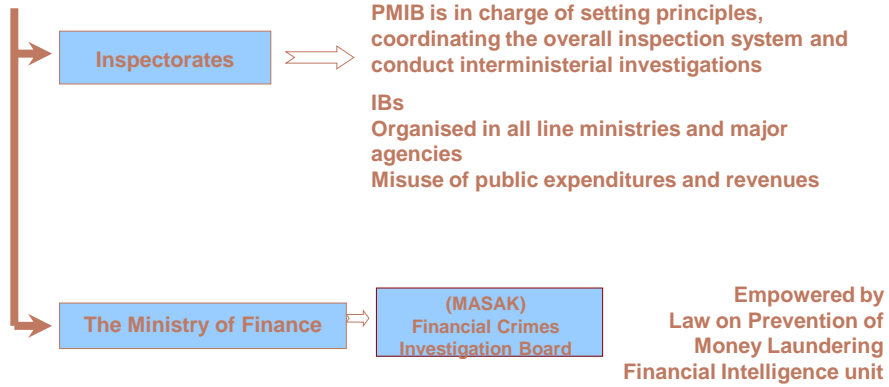
### Law Enforcement Authorities



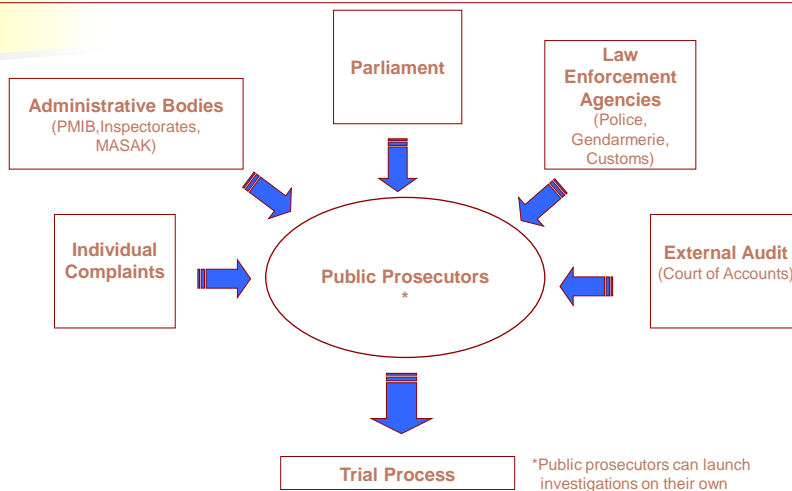
# Institutions Engaged in the Fight Against Corruption



## Administrative Bodies



# Institutions Engaged in Fight Against Corruption



## Roles of PMIB in Fight Against Corruption



- Investigations
- Strategy Development and Implementation
- Coordination and Ensuring Efficient Flow of Information
- Regulation
- Cooperation with International Organizations

## Main Regulations That Were Realized During The Last Few Years



- Law of Right to Information #4982 ,
- Law Concerning the Establishment of State Employees Board of Ethics ,
- Law of Public Finance Management and Control #5018 ,
- Public Procurement Law #4734 ,
- Direct Foreign Investments Law #4875
- Law Concerning Associations' and Foundations' Relations with Public Institutions and Organizations #5072
- Press Law #5187
- Law of Amendment to Petroleum Market Law #5576 ,
- Banking Law #5411 ,
- Turkish Penal Code #5237, ,
- Criminal Proceedings Law #5271 ,

## Anti-Corruption in Turkey- At National Stage



- International Marker Practice ,
- Practices in scope of the e-Government programme ,
- Simplification of Legislation, Decreasing the paperwork of Administrative Duties
- Prime Ministry Communication Center (BİMER) which accepts and follows complaints and requests of citizens from all over the country,
- Judicial Reform Strategy,
- Strategy to Diminish Unrecorded Economy,
- Strategy to Fight against Organized Crime,

## Anti-Corruption in Turkey- At International Stage



- The Council of Europe Private Law Convention on Corruption in 2003,
- Convention on Combating Bribery of Foreign Public Officials in International Business Transactions in 2003,
- United Nations Convention against Transnational Crime in 2003
- Convention on Laundering, Search, Seizure and Confiscation of the Proceeds from Crime and on the Financing of Terrorism in 2004,
- The Council of Europe Crime Law Convention on Corruption in 2004,
- Convention on Taking of Evidence Abroad in Civil or Commercial Matters in 2004,
- United Nations Convention against Corruption in 2006,



## Results of reforms



*Table 1-TI's Corruption Perception Index*

Year	2003	2004	2005	2006	2007	2008	2009	2010
Turkey's Score	3.1	3.2	3.5	3.8	4.1	4.6	4,4	4,4
Turkey's rank/ Total number of countries	77/ 133	77/ 146	65/ 159	60/ 163	64/ 179	58/ 180	61/ 180	56/ 178

## Need for an Anti-Corruption Strategy



- Political Commitment
  - Urgent Action Plan of 58th government
  - 58, 59 and 60th government Programs
- International Commitments
  - National Programme of Turkey for EU Integration
  - UNCAC (Article 5)
- Reports of International Organizations
  - EU 2009 Progress Report
  - GRECO Report

## Preparation Process of the Strategy



- Recommendations in the national and international reports regarding anti-corruption have been revised
- Anti-Corruption strategies of 13 other country have been analyzed
- Held meetings with representatives of International Organizations about the formulation of the strategy
- Revised all laws and measures adopted recently
- First draft has been sent to all stakeholders including NGO'S and International Organizations
- After gathering comments and ideas of stakeholders final draft of the strategy is submitted to the executive committee
- Executive committee discussed the draft for three days and adopted it
- Ministerial committee gathered twice and approved the strategy and submitted it to the cabinet
- It was also discussed in a cabinet meeting and adopted by the cabinet in February 2010

## Main Components Of the Anti-Corruption Strategy



- The purpose of the strategy is to develop a more just, accountable, transparent and reliable administrative mentality that continues the reforms which are carried out since 2002, by removing factors that prevent transparency and feed corruption while keeping advancing and changing conditions in mind.
- Main Components:
  1. Preventive Measures (18)
  2. Law Enforcement Measures (3)
  3. Measures to Raise Awareness (7)



## Preventive Measures

- Development of applications regarding openness and transparency in the financing of political parties and election campaigns, and enabling inspection thereof,
- Conclusion of the works regarding political ethics,
- Conclusion of the works regarding the establishment of Public Inspection Institution (Ombudsman),
- Concluding the works regarding the law of general administrative procedure,
- Concluding the enactment process of the New Court of Accounts Law,
- Revising provisions of the Law of Declaration of Property, Struggle against Corruption and Bribe #3628 regarding declaration of property and other practices,
- Revision of legal regulations regarding the jobs that cannot be occupied by people, who leave public service,
- Concluding the works regarding state secrets and trade secrets,
- Revision of the public procurement system,
- Increasing transparency and accountability of zoning, authorization, etc. processes of local administrations,



## Preventive Measures-2

- Revising the efficiency of control mechanisms of local administrations over their subsidiaries,
- Determining the ethical principles and developing follow-up mechanisms for the people who are elected for local administration,
- Strengthening the capacities of inspection units,
- Deducing risk areas that are open for corruption
- Determining different ethical polices for each occupational group in public administration and preventing conflict of interest with the guidance of State Employees Board of Ethics,
- Increasing transparency and preventing corruption in private sector organizations,
- Increasing accountability and preventing corruption in non-governmental organizations,
- Determining risk areas with the use of databases about public officials who were subject to disciplinary action in State Personnel Administration with the rulings regarding corruption crimes,



## Law Enforcement Measures

- Revising permission system in investigations related to public officials,
- Making regulations regarding protection of the people who inform authorities about the corruption crimes in public institutions and organizations and in private sector and non-governmental organizations,
- Ensuring efficient collaboration, knowledge sharing and coordination between the units that work against corruption,



## Measures to Raise Awareness

- Informing citizens regarding the rights they are given to them by the law and administrative regulations, and authorities they can appeal to, in case they face an unfair practice,
- Conducting regular corruption detection surveys,
- Treating the subject of honesty in the curriculum of Ministry of National Education,
- Supporting Social Activities which include the theme of struggle with corruption and clean society,
- Ensuring that subjects regarding honesty are included in television and radio broadcasts by the Supreme Board of Radio and Television,
- Strengthening the role of media organs in the struggle against corruption,
- Organizing seminars, working groups and conferences in order to make the public opinion, the non-governmental organizations and the public officials adopt the fundamental methods and principles created according to the strategy,

## Strategy and Action Plan



Strategy (Adopted by Cabinet Degree on February 2010)

Action Plan (Adopted by the Ministerial Commission on April 2010)

## Implementation Process



PRIME MINISTER'S CIRCULAR (2009/19)

- Ministerial Commission  
5 Ministers
- Executive Committee  
5 Deputy Undersecretaries and 2 Representatives from NGO's
- PMIB  
10 Inspectors
- Working Groups  
242 Members in 23 Groups (43 NGO and Private Sector Representative)

## Reporting and Implementation Process



## Where are we now?



- Executive Committee prepared the guidelines for working groups
- Letters have been sent to all responsible institutions to establish working groups and initiate studies
- All Working Groups have been established
- They have started working on their assigned duties
- First 19 reports are received by PMIB and evaluated by the executive committee in 21 meetings
- Draft Progress Report has been prepared by PMIB and adopted by the executive committee and will be submitted to the Ministerial Commission shortly
- Once the progress report is adopted by the Ministerial Commission, reforms will be initiated

# Challenges



## **During Preparation**

- Lack of Useful Data and Surveys
- Unwillingness of some bureaucrats to participate

## **During Implementation**

- Deadlines are past in the establishment of the working groups and the submission of the first reports
- Chairs of the working groups have problems in organizing meetings
- Some members of working groups do not attend and/or contribute to the work
- Some Reports do not include satisfactory recommendations
- Hard to get ministerial commission convene
- Problems in Measuring success

## ***Effective Strategic Anti-Corruption Framework – Lessons Learned and Challenges from Montenegrin experience***

Ms. Vesna Ratković,  
Director,  
Directorate for Anticorruption Initiative (DACI),  
Montenegro

Corruption and organized crime pose as one of the greatest threats to rule of law and development of a modern democratic society. Montenegro committed to develop and promote its legal framework, institutions and capacity, cooperating with countries in the region and international organizations, as well as using all capacity available to fight corruption and organized crime. There is a need to continue developing the strategic approach to this fight.

Following its strategic approach to the fight against corruption, in July 2010 Montenegro adopted the **Strategy for the Fight against Corruption and Organised Crime (2010 – 2014)**, along with the **Action plan (2010 – 2012)**, covering the period of the first two years of its implementation. Likewise with the first strategy adoption, Representatives of state bodies and NGOs jointly drafted the new strategic documents, while the expert support was provided by the OSCE Mission to Montenegro. By adopting the new generation of strategic documents, Montenegro achieved continuity, with respect to the previous Programme for the Fight against Corruption and Organised Crime and the respective Action plan, both covering the period 2005-2009 (state bodies and NGOs implemented 72,3 % of the defined objectives and measures). Monitoring of this Strategy and Action Plan was done by the National Commission.

During the four-year period (2010-2014) of strategic planning in this area, different priorities were identified. The choice of priorities in the fight against corruption is the main difference between the two generations of strategic documents. Namely, the first generation of strategic documents focused on establishing and enhancing institutional capacities, drafting and adopting new legislation, which now includes most of the international anticorruption standards. The new Strategy puts the emphasis on stronger law enforcement, further harmonisation and implementation of the new or significantly amended and improved criminal legislation. Also, significant attention is paid on the more coordinated and consistent action of all state bodies and their stronger cooperation with the civil society in performing their duties. Furthermore, among the **three main areas** of action covered by the Strategy (**prevention, repression and education**), great importance has been given to the prevention, which is another difference in comparison to the previous Strategy.

Regarding the **structure** and the coverage of the Strategy, the adopted text functionally corresponds with the previous Strategy, and specific areas are presented in such manner to reflect the current state *i.e.* positive achievements, identified issues as well as the main vulnerabilities in the area in question. These are further tackled in the strategic objectives and the Action Plan. The Strategy encompasses both the area of corruption and the area of organised



crime. **Priorities** defined within the area of corruption are: Political Party Funding and Election Process, Conflict of Interests, Public Finances, Private Sector, etc. The identified **Special Risk Areas** include: Public Procurement, Spatial Planning, Health Sector, Local Government, Education, etc. The selection of these priority areas is based on the previous experience in the fight against corruption, the reports of relevant domestic and international organisations on anticorruption reform in Montenegro, as well as on the individual sector action plans, defined by the previous strategic document. In the organised crime area, the following predominant forms are recognized: Narcotic Drugs, Illegal Migrations and Human Trafficking, Smuggling of Motor Vehicles, Money Laundering, Cyber Crime and Smuggling of Excise Goods. During the Strategy drafting process, comments of the Slovenian and Croatian experts in the anticorruption area were considered and mostly accepted, while prior to adoption of the Strategy, comments of the EU Delegation, as well as GRECO recommendations, were considered in detail and integrated into the Strategy.

A special part of the Strategy is dedicated to the manner and control mechanisms of its implementation, under title **“Monitoring”**. The monitoring of the Strategy implementation, in comparison to the previous one, will focus not only on the quantitative results, but the qualitative ones as well, i.e. on the effects of the implementation of the set measures. The monitoring is performed by the **National Commission** that consists of the representatives of the judiciary, Parliament, civil society (2), and the representative of the main governmental bodies and anticorruption institutions.

Directorate for Anti Corruption Initiative (DACI), established in January 2001, is a specialized preventive body of Montenegrin Government, with wide competencies in the national and international corruption prevention framework. DACI is acting as the Secretariat to the National Commission, which means that it will collect reports from the reporting bodies and institutions under the Action Plan (2010-2012), analyze them and prepare the final reports for the adoption by the National Commission.

In order to create more efficient mechanisms for fighting corruption, the Ministry of Spatial Planning and Environment, Ministry of Health and Ministry of Education and Science prepared action plans for the fight against corruption in their respective areas of activity, which were adopted by the Government and are currently being implemented.

As for fight against corruption and organized crime, the Parliamentary control function is very important, since this institution acts both directly and through its standing and ad-hoc working bodies to control the work of public authorities and individuals accountable for the work of these institutions. The role of Parliament is being enhanced in terms of AC efforts both by the Strategy and AP and in practical way.

The AP is currently being innovated by an expert working group (representatives of state bodies as well as 2 representatives of NGOs), in order to fulfill 7 recommendations given in the EC opinion on Montenegrin membership. It will also encompass and emphasize the activities on law

enforcement, control and coordination mechanisms for a more successful fight against corruption.

Bearing in mind all the stated, we can conclude that Montenegro opted to take its AC activities in 4 main directions – these steps are related and can be regarded separately only conditionally: firstly - legislative anti-corruption framework is finalized and it will be completed by adoption of principles of integrity and lobbying; secondly – the institutional framework is finalized, providing for a variety of anti-corruption preventive and repressive bodies, this year is to be analyzed its effectiveness and enhancement with the scope to increase its performance: thirdly – strategic documents of fundamental importance to plan and monitor in a continues and organized manner of results of national anti-corruption efforts overall; fourthly – establishment and enhancement of educational centers Judicial training center JTC, Human resource Agency, Police Academy and DACI, which through intensive training curricula tackle the implementation of international anti-corruption standards.

It can be concluded that Montenegro has a set institutional anti-corruption framework, which will be reassessed and established on new basis, within the scope of reform of state administration reform overall.

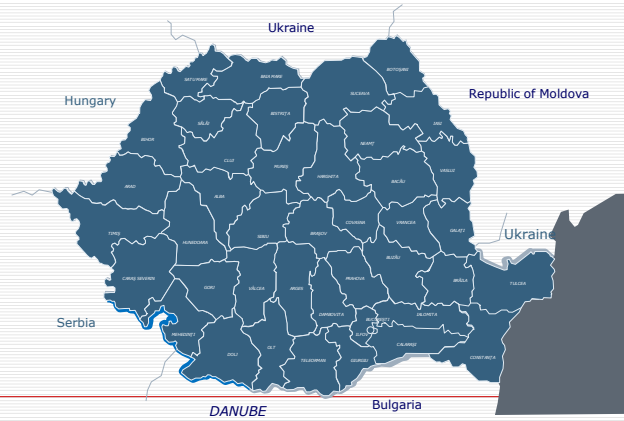
## Developing a comprehensive national anti-corruption strategy for Romania

Mr. Cornel-Virgiliu Calinescu,  
 Head of Office for Crime Prevention and Assets Recovery,  
 Ministry of Justice,  
 Romania



### FACTS ABOUT ROMANIA

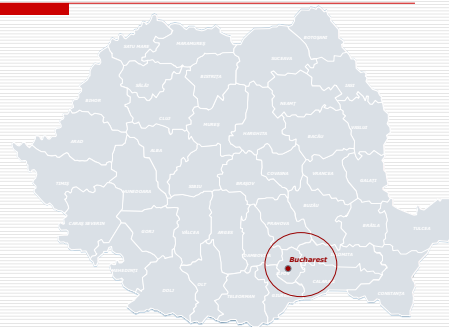
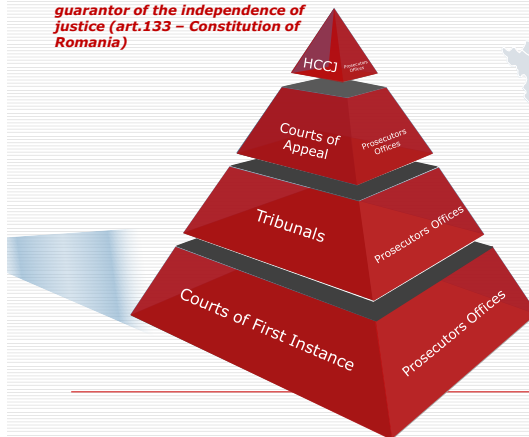
Area: 238.391 km<sup>2</sup>  
 Population: approx. 22.300.000  
 Ethnic minorities: 10,5 %  
 Language: Romanian  
 Capital: Bucharest  
 Administrative Structure: 41 counties + Bucharest



### COURTS OF JUSTICE & PROSECUTOR'S OFFICES

#### Superior Council of Magistracy

guarantor of the independence of justice (art.133 – Constitution of Romania)



The High Court of Cassation and Justice (HCCJ)

15 Courts of Appeal

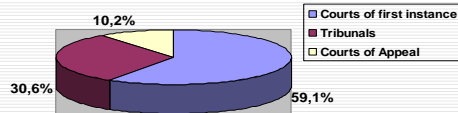
41 Tribunals

179 Courts of First Instance



## AVERAGE NUMBER OF CASES ON LEVELS OF JURISDICTION

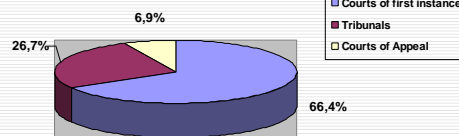
### Criminal cases



### CRIMINAL CASES

- 162.612 cases before courts of first instance
- 84.310 cases before tribunals
- 28.169 cases before the courts of appeal

### Civil cases



### CIVIL CASES

- 1.399.970 cases before courts of first instance
- 562.526 cases before tribunals
- 146.183 cases before the courts of appeal



## MAIN AGENCIES IN CHARGE WITH PREVENTION OF CORRUPTION

### National Integrity Agency (ANI)

- Independent body
- National wide competence
- Verifies asset declarations and monitors wealth

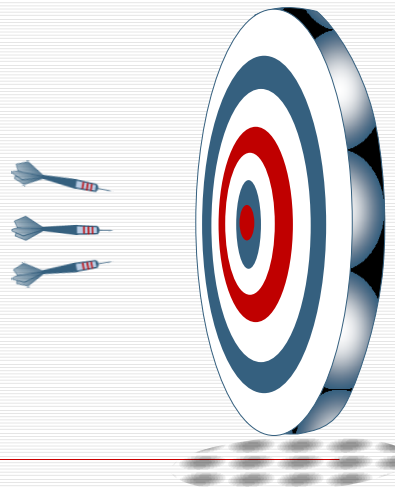
### Ministry of Justice

- Drafts and promotes anticorruption legislative acts
- Plans strategically the implementation of public policies of prevention and combating corruption and organized crime
- Coordinates the CVM activities and represents Romania in GRECO, UNCAC, RAI

### Ministry of Administration and Interior

#### - General Anti-corruption Directorate (GAD)

- Implements the risk assessment methodology within MAI structures
- Runs educative projects and campaigns
- Develops preventive measures for police





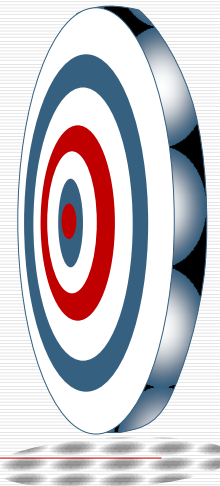
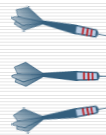
## MAIN AGENCIES IN CHARGE WITH COMBATING CORRUPTION

### **National Anti-corruption Directorate (DNA)**

- specialized agency for investigating and prosecuting high level corruption;
- NAD's staff is composed of prosecutors, police officers and experts.

### **General Anti-corruption Directorate (GAD)**

- Primarily assigned to fight corruption within the MAI
- Supports DNA in complex cases (eg last anti-corruption efforts and large scale arrests in the Customs and Border police structures in Romania.



## INTERNATIONAL COOPERATION/MONITORING

- ❑ Founder of **GRECO** – reports for all 3 rounds (last report December 2010)
- ❑ Party to **UNCAC** – evaluator for Uganda / to be evaluated in 2012
- ❑ Member of the **Regional Anticorruption Initiative**
- ❑ Founder of the **International Anticorruption Academy**
- ❑ Applied for observer status within **OECD Working Group on Bribery**



## EU - COOPERATION AND VERIFICATION MECHANISM

**Benchmark 1** – Ensure more transparent and efficient judicial process notably by enhancing the capacity and accountability of the Superior Council of Magistracy. Report and monitor the impact of the new civil and criminal procedures codes.

**Benchmark 2** - Establish, as foreseen, an integrity agency with responsibilities for verifying assets, incompatibilities and potential conflicts of interest, and for issuing mandatory decisions on the basis of which dissuasive sanctions can be taken

**Benchmark 3** - Building on progress already made, continue to conduct professional, non-partisan investigations into allegations of high-level corruption

**Benchmark 4** - Take further measures to prevent and fight against corruption, in particular within the local government



## REDUCING DURATION OF TRIALS IN HIGH-LEVEL CORRUPTION CASES

- MoJ promoted amendments to the Constitutional Court Law eliminating the *de jure* suspension of cases when the constitutionality of a legal text is challenged during a trial
- MoJ promoted the law for accelerating judicial procedures. In criminal matters changes were made regarding:
  - *The competences of the High Court of Cassation - reducing the workload and creating the framework for performing the fundamental role of unifying the jurisprudence;*
  - *The exceptions of illegality raised during the trial - do not suspend anymore the proceedings;*
  - *Transactions, mediation and acknowledgement of the civil claims during criminal proceedings are accepted;*
  - *Introduction of plea bargaining;*
  - *Reducing the number of appeals in minor cases;*



## MAIN PRIORITIES UNDER CVM

- ❑ Ensuring swift entering into force of the four new codes;
- ❑ Implementing the new law on accelerating judicial proceedings;
- ❑ Ensuring the stability of the anticorruption institutional and legal framework (NAD and NIA);
- ❑ Adopting a new national anticorruption strategy.



## **Precondition:** INDEPENDENT IMPACT ASSESSMENT OF THE PREVIOUS TWO ANTI-CORRUPTION STRATEGIES

### **NAS 1 – 2001 – 2004**

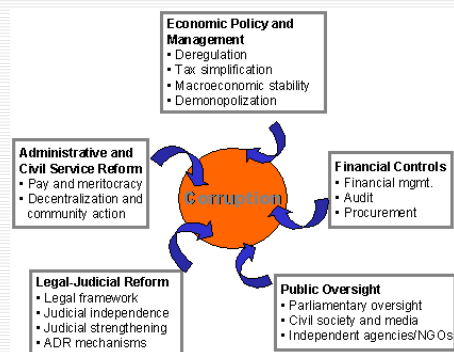
*World Bank Diagnostic Survey*

### **NAS 2- 2005 – 2007**

*Independent evaluation carried out by Freedom House*

### **NAS 3 – 2008-2010**

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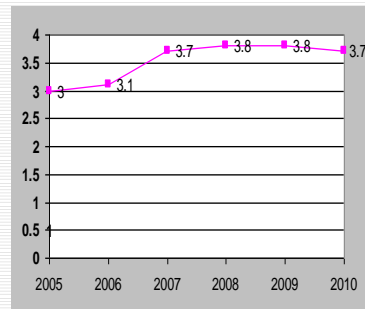
## PARNERSHIP MOJ - UNDP

- Independent experts
  - Drago KOS
  - Constantine PALICARSKY
- Desk review
- 3 missions (including in country visits)
- Public release of conclusions and recommendations (March 15th)



## GENERAL FINDINGS

- The strategies 2005-2007 and 2008-2010 are **implemented to a very large extent** at outputs level. Despite the slight roll back after the EU accession, efforts continued in order to address corruption in certain sectors in Romania.
- Often anti-corruption measures were implemented **not because or on the basis of the strategies** 2005 – 2007 or 2008 – 2010 but were results of some other endeavors of the institutions concerned.
- There is still a very **high degree of mistrust** in the society and people think corruption is increasing, despite the objective data pointing at the opposite direction. One of the main reasons for such situation is absence of indicators for practical impact of the strategies, creating an overwhelming impression that “nothing or little has been done in practice”.







## GENERAL FINDINGS (CONT'D)

- The main problem with the implementation of the 2005-2007 strategy is that the **different administrations did not follow their obligation to address specific corruption issues** in their own structures.
- The main problem with the implementation of the 2008-2010 strategy is that the sectorial approach taken effectively **reinforced the previous trends in the administration not to take anti-corruption work as their obligation**, but rather as someone's else duty (ANI, GDA, Sectorial ministries).
- In addition the **transfer of the coordination** and implementation responsibility to MIA was – due to the absence of its experience in the area of anti-corruption strategies until 2008 - not entirely effective and raised some mistrust in the interlocutors. The PAR unit in MIA does real work in the area of corruption prevention but it is overloaded.
- Strategy 2008 – 2010 was **not based on a credible assessment** of reasons and conditions for corruption in Romania, did not take into account any analysis of the real situation in the field and was, therefore, not a comprehensive respond to a comprehensive threat of corruption in the country.



## GENERAL FINDINGS (CONT'D)

- A problem of the implementation of the 2008 – 2010 strategy was **passivity of two branches of power**: the legislative and the judicial one. In particular, because of the fact that the strategy was a sectorial one it did not explicitly include those branches of power so they did little to add their part to its effective implementation.
- Implementation of anti-corruption strategies by state authorities in local communities represents a special problem due to different obstacles and reasons, including the **misunderstanding of what the autonomy of local communities entails**. Only few local communities reported on the implementation of the strategy to the MAI.
- Romanian government continues to change important pieces of legislation (Criminal Code, Criminal Procedure Code, accompanying legislation and many other laws) – to such an extent and in such a pace that **it is unclear if the system is capable to "digest" all the changes planned and taken**.
- Introduction of **"ethical counselors"** (at the local level) and **"integrity counselors"** in some ministries can be evaluated as an important step in the direction of introducing more preventive-based anti-corruption efforts in Romanian public institutions.



## GENERAL FINDINGS (CONT'D)

- The most important anti-corruption institutions in the country, **DNA and ANI, faced several attempts to limit their efficiency**. Thanks to serious internal and external pressure the Government preserved their operability. In running cases ANI sometimes still faces attempts to weaken its legal position and powers.
- ANI still may not enter or take part in court proceedings directly. It is obliged to do it through **special commissions attached to Courts of Appeal**, which decreases the quality of cases at court.
- The Romanian Constitution in Article 48-8 regulates the **presumption of legally acquired property**. As a consequence the use of extended confiscation in cases of unexplained wealth is not possible.
- Romanian courts **lack experience** with cases on incompatibility and the new legal phenomena introduced by the legislation on ANI.



## GENERAL FINDINGS (CONT'D)

- Romanian legislation still lacks an important investigative tool - **fictitious bribery**. As a consequence and in order to achieve results, Romanian law enforcement agencies only using the so-called "**effective regret**" (relief from criminal prosecution as a result of immediate reporting of a crime to a law enforcement body), which triggers negative reactions from international monitoring bodies.
- **Immunities**, especially in the executive branch of power might still represent serious obstacle for effective investigation and prosecution of corruption offences.
- **Whistleblowing** in practical terms is still not common in Romania, mainly due to the absence of proper under-statutory acts in some institutions.
- **Internal control units** (e.g. Audit and Control in the Ministry of Health) are suffering from serious staff and financial cuts during and because of economic crisis in Romania.
- Any change of the existing anti-corruption and other legislation is accompanied by the risk that **changes may in fact decrease the efficiency of the anti-corruption efforts**.



## RECOMMENDATIONS

- ❑ Abandon the “**state of emergency**” approach in the area of fighting corruption, plan future anti-corruption measures carefully, comprehensively and thoughtfully and ensure coordinated long-term approach in drafting and implementing planned measures with clear accountability established for non-implementation or weak implementation of all future strategies.
- ❑ Approach **corruption prevention in a comprehensive way** by returning to the 2005-2007 strategy model but extending the time-frame for the implementation of future strategies with mandatory **prioritizations** of planned measures and regular **annual assessment** of the achieved results.
- ❑ Base all future anti-corruption strategies on the results of **thorough assessments and analysis of the situation in the area of corruption in Romania** and on the projection of main targets, goals and benchmarks to be achieved through drafting and implementation of those strategies.
- ❑ **Abandon top-to-down approach** in drafting future strategies and apply multidisciplinary approach, involving all three branches of power, local communities and representatives of private sector and civil society.



## RECOMMENDATIONS (CONT'D)

- ❑ Establish **effective coordination mechanism**, ensuring that the policy adoption and implementation is endorsed by the highest government levels. Consider moving the coordination and monitoring to the **Prime Minister's office**;
- ❑ Involve the **Supreme Judicial Council**, the **Parliament**, **local communities** and **NGOs** in the coordination and development of the next strategy and in the coordination and monitoring of its implementation afterwards
- ❑ **Deconcentrate the anti-corruption efforts** by obliging every institution to assess its corruption vulnerabilities and to address them by adopting its own action plan.
- ❑ Ensure that the GDA (MAI) and the MoJ cooperate in disseminating the MAI experience in implementing the **methodology for corruption risk assessment**.



## RECOMMENDATIONS (CONT'D)

- ❑ Include mandatory professional ethics training, strengthening the existing disciplinary provisions; ethics and conflicts of interest management as part of the **day-to-day management practices**; whistleblowers' protection and encouraging in the work of all agencies/ministries in Romania. Ensure that proper training is provided on these issues to all public servants.
- ❑ Establish mandatory requirement for all public institutions to **nominate individuals or departments responsible for the implementation of the future anti-corruption strategies** and for handling other anti-corruption or integrity issues.
- ❑ Develop effective system for policy coordination at regional and local level (i.e. by establishing regional and local anti-corruption councils. Existing citizens' action groups may also be involved at this stage).



## RECOMMENDATIONS (CONT'D)

- ❑ Conduct **meaningful awareness** raising campaigns and actions in order to increase not only the intolerance to corruption but also the willingness of each member of population to effectively prevent and fight it.
- ❑ **Ensure stability of the anti-corruption legislation and stability in the work of the anti-corruption institutions**, including DNA and ANI, by refraining from any unnecessary amendments of the legal framework, by ensuring sufficient budget for the work of the agencies and by demonstrating political support to the efforts of the their leadership.
- ❑ Raise awareness of the legislative and judicial branch of power on the **importance of their role** in the anti-corruption efforts of the country.
- ❑ Consider the possibility to **strengthen the position of ANI** (maybe through establishment of ANI as a constitutional category) and its role at courts (at least by adoption of guidelines for the work of the parliamentary commission, representing ANI's interests at courts).



## RECOMMENDATIONS (CONT'D)

- ❑ Take measures to enable application of **extended confiscation and consider reversing the burden of proof** in the proceedings concerning seizure and confiscation of illicit enrichment.
- ❑ Ensure swift implementation of the **new Criminal Code and Criminal Procedure Code** and accompanying legislation.
- ❑ Introduce special investigative technique of "**fictitious bribery**" as an investigative tool for criminal procedures under the authority of prosecution service or judiciary, fully respecting prohibition of entrapment and safeguards for human rights of persons against which the method would be applied.
- ❑ Consider limiting lists of persons for which **immunities** can be applied.
- ❑ Ensure adoption of **secondary legislation on whistleblowing** and whistleblower protection and take measures to raise awareness among specific professions and/or general public on the importance of whistleblowing and on protection of whistleblowers.
- ❑ Introduce additional **training for judges** in the area of incompatibilities and seizure and confiscation of unexplained wealth.
- ❑ Ensure proper **resources for unhindered functioning of internal control bodies** in all public institutions.
- ❑ Establish a clear line of accountability that allows for **political responsibility** to be sought for non-or weak implementation of future strategies.



## What next?

- New strategy to be adopted in 2011
- Political consensus to be reached regarding the comprehensive and multidisciplinary approach of the NAC;
- GRECO recommendations regarding incriminations and financing of political parties to be reflected in the new strategy;
- Asset tracing and recovery system to be consolidated.

## ***Making anti-corruption strategy work – components and mechanisms***

Dr. Jolita Vasiliauskaite  
Senior anti-corruption officer  
OSCE Office in Tajikistan



### **Making anti-corruption strategy work: components**

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#### **Situation analysis:**

- comprehensive survey(s)
- assessment of results of previous strategy
- assessment of impact of previous strategy



- priorities
- objective
- tasks



### **Making anti-corruption strategy work: components**

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#### **Regulation of:**

- coordination
- monitoring
- control
- implementation mechanism
- review/renew
- responsibility



## Making anti-corruption strategy work: components

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### Verification criteria –

- different types of (e. g., vertical: effect, result, output, process, input; horizontal: reflecting changes of public opinion and efficiency of activity)
- qualitative / quantitative
- sources of information
- measurable, clear, steady



## Making anti-corruption strategy work: components

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### Implementation plan –

- reflecting priorities set in general analytical part
- wording of measures
- objective of measure
- verification criteria
- responsible authorities
- time term
- funding



## Making anti-corruption strategy work: mechanisms



## Making anti-corruption strategy work: mechanisms

### Supreme authorities –

- political will
- adoption of strategy
- political support for implementation of strategy
- control





## Making anti-corruption strategy work: mechanisms

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### **Special coordinating body –**

- establishing priorities
- coordination, solving difficulties of implementation or other disagreements
- running or special check
- review of implementation report before supreme authorities
- review/renew initiative



## Making anti-corruption strategy work: mechanisms

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### **Specialized anti-corruption body –**

- suggestion of priorities
- elaboration of draft strategy and implementation plan
- expert monitoring and assessment of implementation
- implementation, coordination of implementation
- expert advice for all strategy relevant authorities
- publicity



## Making anti-corruption strategy work: mechanisms

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### **State and local (implementing) authorities –**

- suggestions for implementation plan
- implementation of assigned measures
- assessment of impact of implemented measures
- responsibility and accountability



## Making anti-corruption strategy work: mechanisms

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### **Civil society –**

- suggestions for implementation plan
- implementation
- public control

## ***Use of Surveys in Development of Policies and Training. Key Role of Measurement. Business Integrity Training Programmes***

Mr. Charles Ruthford,  
Managing Director,  
*Intensional Connection LLC,*  
the United States

Over the past 16 or 17 years I have used surveys to measure:

- Employee satisfaction
- Employee engagement
- Management effectiveness
- Program effectiveness
- Training effectiveness
- The ethical and integrity climate

within organizations.

I've used surveys and other tools to measure and identify risk. The results from these surveys have been useful in developing policies and the objectives of general management and employee training as well as the objectives of organization wide integrity training. These surveys have been useful in taking actions before the violations occur. They can be used as a preventative measure.

In my presentation today, I want to share my experiences in using surveys. I will talk about what has worked as well as some of the limitations. If you have questions, please write them down and I'll be happy to answer them during the question and answer session. I can talk with you during breaks, meals or in the evening. I'll also be talking about the importance of measurement in driving business and cultural performance. At the end, I'll spend time talking about some of the lessons I've learned about integrity training.

One of the challenges in developing integrity policy and training is the abstract nature of integrity. I expect all of you have been asked by your leaders to improve the integrity and compliance in your organizations. As ethics and integrity officials you also have the responsibility to help managers improve the ethics in their organizations. I also imagine you were not sure what actions or behaviors would work best to influence the ethics and integrity of people. The data and information from surveys can help you take the appropriate actions.

When I first became a business practices manager and ethics officer in 1984, little research had been done regarding the behaviors that would affect ethical or integrity outcomes. Our training

explained the rules and emphasized the penalties for breaking the rules. We were saying, “do the right thing or be punished.” The training was relatively ineffective and violations of company policies and U.S. law continued. These violations have a definite negative impact on business performance, reputation and employee morale.

This would be a good place to talk about the elements of an ethics program. The data from surveys can be applied to each of these elements. A good ethics program has:

- A code of conduct describing expectations of behavior on the part of employees
- Ethics and integrity training for employees
- A way for employees to ask for advice and assistance in dealing with ethics issues
- A hotline or other methods for employees to report misconduct they may observe
- Consequences for employees who engage in misconduct
- A method in the organization’s annual performance appraisal system to measure how well managers and employees demonstrate ethical behaviors

In 1994, the Ethics Resource Center, a non-profit research organization, fielded its first National Business Ethics Survey. Since then they have fielded surveys in 2003, 2005, 2007 and 2009. They are working on the 2011 version of the survey. For the 2007 and 2009 surveys, the Ethics Resource Center or ERC expanded the audience to include employees in the government, health care and non-profit sectors.

It would be a good idea for me to give you a short clarification. My experience is from surveys of organizations in the USA and they are in a private business context. If you were to do similar surveys, the results would likely be different. What would be similar to the results from U.S. businesses is that a relationship between the behaviors demonstrated by members of an organization, the inputs into the system, and the outcomes would still exist. Among the research community, members of academia and ethics practitioners, it is generally agreed that the percentage of employees

- Observing misconduct
- Feeling pressure to compromise ethical standards
- Willing to report observed misconduct
- Reporting they fear being retaliated against for reporting misconduct

in an organization are outcome indicators of an ethical climate. In organizations like yours you would also be able to affect the outcomes by focusing time and attentions on the behaviors of everyone in the organization.

The behaviors that affect the outcome indicators are:

- Talking about ethics in the workplace
- Trusting others to keep promises and commitments

- Modeling good ethical behavior
- Supporting others who follow organizational ethics standards

The organizations I have been working with in the use of survey data, are members of two industry associations. The first association is the Defense Industry Initiative on Business Ethics and Conduct. It represents 80 companies that serve the United States defense department. The second group is called the Ethics Resource Center Fellows Program and is made up of approximately 40 organizations including academia, non-profit and government. The organizations in both of these associations actively used the survey data to improve their ethics and integrity climates.

Let me summarize the points about the use of surveys. When we first saw these results of a defense industry benchmarking survey in 2005, they were stunning. As I commented earlier, senior management was able to understand what the results meant and recognize what actions needed to be taken to change the organization. Senior managers were supportive of implementing the findings. The companies involved saw similar results in the 2007 and 2009 survey results.

Let's move forward. Can this survey data be used to influence policy and training? The answer is a strong yes. I have worked with organizations to change their policy from saying, "do the right thing," to "here are the behaviors that are desired of employees." The organizations changed their management and employee performance appraisal systems to reward people for demonstrating the desirable behaviors. They altered the 360 degree development system for managers to include the desired and observable behaviors. In the 360 degree measurement system a manager sends a survey asking for feedback about his or her performance and attributes to his or her direct manager, to peer managers and to subordinates. It's a tool designed to help with development and it is not used as a performance appraisal tool. And finally changes were made in the disciplinary systems to emphasize the desired behaviors.

The messages in ethics and integrity training was changed from, "here are the rules and don't break them" to "here are the desired behaviors and these are examples of how people are demonstrating them. "The training also shows that the proper behaviors improve the individual's and the organization's performance."

We know that valuable information can be gained from surveys. Now I would like to talk about the key role of measurement. In the USA, we have a saying, "what gets measured gets done." This means, if you as managers and leaders pay attention to something by measuring it and rewarding people when they accomplish the task, they will pay attention to the task and complete it. I have also used survey data to identify smaller units within an organization that might be at a higher risk of having misconduct occur. The survey data did not say there was misconduct. The data helped identify potential weaknesses where corrective or preventative actions could be taken.

Why is measurement important? When investments are being made, the investor wants an assurance that his or her money or other resources are being properly used and managed. When I talk about investment, I'm thinking beyond a person investing in a business. If you wanted to help a charity or a church, you would want to know that your help was not being wasted. If you are a government official trying to decide which program or office needs taxpayer money the most, knowing the program or office has good measurements in place may influence your decision. Measurement systems can be useful in evaluating cultural aspects of an organization's performance as well as with the more familiar project management systems.

Measurement offers two important roles for an organization's success. First of all, measurements focus attention on the important tasks and goals. Leaders and employees can be distracted by tasks that may be more enjoyable or easier to do or less controversial. Keeping people focused requires good measurements.

Measurements are not without risks. We have another saying in the U.S., "be careful what you ask for. You might just get it." If your measurement systems are not properly targeted it's possible to direct your organization in the opposite direction you want it to go. When you are setting up a measurement system make sure it will deliver the desired results.

Secondly, measurement helps you effectively manage your resources or projects. Well designed measurement systems tell project team members how work is progressing, whether project output is meeting design standards, and helps team member correct anomalies that may occur. Surveys provide valuable data for an organization's measurement system.

I'm going to change subjects and spend my remaining time talking about integrity training. To be effective in your organization, the training must be designed to meet your needs. The training needs to focus on the behaviors and actions that are relevant to you and help your organization reach its goals. The information you gain from surveys will help you determine your strengths and the areas that need improvement. This data will guide the learning objectives and the learning methods you use.

From a survey done in 2005, the Defense Industry Initiative group was able to determine that using case studies and solving ethical dilemmas made the integrity training far more effective than lecturing about the rules and the consequences for not following the rules. In the defense industry, companies have been using rule-based training for about 20 years and it irritates the employees. They would tell us. "We get it." "We understand the rules." "These are the same rules you told about last year." "What has changed?" I won't repeat some of the other comments that were heard from employees.

As a result, training was design to be more interactive and engaged students in conversations with each other. Traditional web based training, where the employee interact solely with the computer, was changed to having managers lead conversations with team members about issues that were relevant to their organization. Companies used their private company networks

to make the training materials available to managers. However it was the manager's responsibility to conduct the training during a team meeting.

Actual case studies from the respective organizations in the training. Several of the companies implemented an "Ethics Report" on their private company networks describing an actual case that had occurred and what the type of action taken as a result. The identity of the parties involved was hidden to protect the privacy of the individuals. This web site became one of the most popular sites on the company's private networks. People want to know what happens when rules are broken. Employees are looking for management to demonstrate leadership and take the appropriate action when misconduct occurs.

One of the key lessons we have learned with it comes to integrity training is that:

- One size does not fit all.

To be effective, integrity training is best when it is

- Interactive
- Conversational
- Led by management
- Uses case studies and examples that are current and relevant to the organization.

If you want to do a survey in your organization, this would be a process to follow:

- Establish survey goals
- Develop / adapt survey questions
- Field the survey
- Analyze results
- Communicate findings
- Develop action plans
- Follow-up survey (2-3 years)

I think this is a good place to stop. Hopefully I was able to give you an overview on the use of surveys in policy and training development, on the importance and key roles that measurement plays in an organization's performance and finally a glimpse into more effective methods for integrity training.





## ***DAY 2: INTEGRITY TRAINING AND AWARENESS RAISING***

Following presentations were made by:

- ***Ensuring integrity in public administration and training managers about their responsibility – the Austrian approach,***  
Mr. Stefan Ritter, Austria
- ***How to develop ethical competence in public service through integrity training and guidelines?,***  
Anneli Sihver, Estonia
- ***How to use training to help public officials understand their ethical obligations,***  
Ms. Trish Zemple, the United States
- ***Anti-corruption and integrity training for public officials in Catalonia – Elaborating and Delivering Ethics Training for Public Officials. Example of Training,***  
Mr. Jordi Tres, Anti-Fraud Office of Catalonia
- ***Integrity education module for business sector. Integrity training module for law enforcement officials – experience of Lithuania,***  
Mr. Laurynas Pakštaitis, Mr. Ruslan Golubov, Lithuania
- ***Raising Anti-corruption Awareness of Citizens - experience in Poland,***  
Mr. Sławomir Śniezko, Poland

## ***Ensuring integrity in public administration and training managers about their responsibility – the Austrian approach***

Mr. Stefan Ritter,  
Civil Service and Administrative Innovation  
General Staff Regulations,  
Federal Chancellery,  
Austria

BUNDESKANZLERAMT  ÖSTERREICH  
BUNDESMINISTERIN  
FÜR FRAUEN UND ÖFFENTLICHEN DIENST

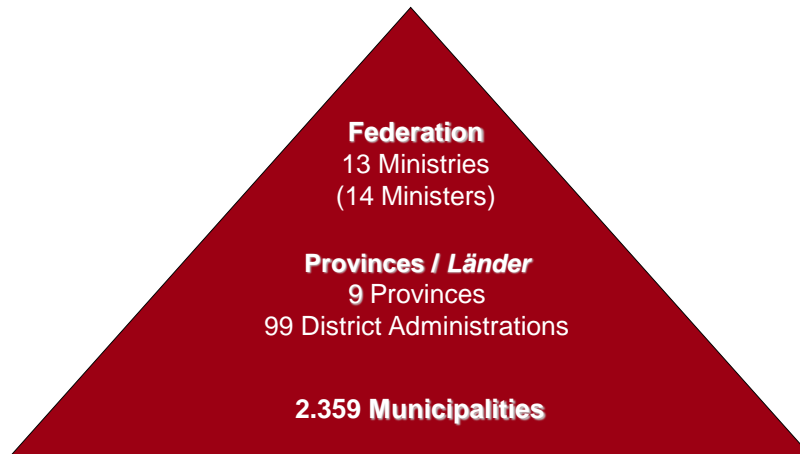
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### **Agenda**

- Public administration in Austria: general overview
- Austrian Integrity Approach
  - Rules
  - Values
- Training

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## Public Administration - Structure



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## Public Administration - Structure

- Administration is to be conducted
  - under the direction of the highest authorities (e.g. Ministers)
  - by elected functionaries, appointed or contractually hired professional functionaries
  - in accordance with the provisions of the law
- Ministers therefore are
  - monocratic authorities presiding a department,
  - not bound by instructions (e.g. by the Federal Chancellor),
  - holding the service prerogative with regard to employees,
  - legally and politically accountable to the Parliament.

---

## Public Administration - Structure

- The Federal Chancellor
  - chairs the Federal Government
  - which takes decisions unanimously
  - as „primus inter pares“
  - carries out strategic and coordinative functions
- The principle of ministerial sovereignty is selectively modified (e.g. by special procedures of consent laid down by law)

---

## Public Administration - Workforce

Federal Level	132.908
Regional Level	141.972
Local Level	74.325
<b>Total</b>	<b>349.205</b>

full-time equivalents  
Federal level: 31.12.2009  
Regional and local level: 2008

---

## Integrity Approach

- **Corruption**
  - has negative impact on the wealth of a society and
  - harms public trust in the integrity of public administration
- **Rules:** Penal law, service law, disciplinary law,...
- Special tasks and characteristics of the civil service require a special „**service ethos**“
- **Values:** Code of Conduct, Training, Advice,...
- Combine rule-based and value-based approach

---

## Rules

- Offences against the public office (Penal Code):
  - Abuse of Office (up to 10 years)
  - Corruption (acceptance of benefits for an unlawful action – up to 10 years)
  - Acceptance of benefits (for an lawful action – up to 5 years)
  - Breach of the official secret (up to 3 years)

---

## Rules

- Standards of conduct laid down by service law:
  - Duty to uphold public trust in the objective performance of duties
  - Conflict of interest (kinship, friendship, enmity,...)
  - Prohibition of the acceptance of benefits in relation to the public office
    - Benefit: everything of monetary value, also immaterial benefits
    - Minor benefits without economic value (pens, calendars,...) may be accepted
  - Outside employment
  - Official secret

---

## Rules – Enforcement

- Offences against the public office :
  - prison sentence, loss of public office depending on the term (one year or 6 months without parole)
- Service law:
  - Contractual Employees: reprimand or dismissal with/without notice
  - Civil Servants: disciplinary proceedings (reprimand, fine up to five monthly salaries, dismissal)

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## Values – Code of Conduct

- **External (international) drivers**
  - **Since the Nineties:** OECD-Initiatives (e.g. OECD-Convention against bribery of foreign public officials, OECD Framework for Integrity)
  - **2006:** Ratification UN-Convention against Corruption (UNCAC)
  - **2006:** Accession to the GRECO (Group of States against Corruption), Council of Europe

---

## Values – Code of Conduct

- **Internal Drivers**
- **Government Programme (2007)**
- **To establish a Code of Conduct**
  - on the basis of the law in force
  - which clearly and precisely describes the standards of conduct
  - which serves as a guideline for staff and managers to correctly handle situations of conflicts of interest and potential corruption
  - which can serve as a tool at all levels of public administration (federal, regional, local).

---

## Values – Code of Conduct

- Ad-hoc Working group
  - Inter-ministerial
  - Inter-level
  - incl. public sector trade unions
  
- **first-time holistic approach**
- **use of prior sectoral initiatives**
  - **Ownership!**

---

## Values – Code of Conduct

- **Preamble**
  - Values: Integrity, Transparency, Objectivity, Fairness
  - Each of us responsible to transport these values into everyday working-life and to act decisively against all forms of corrupt behaviour
- **Standards of Conduct**
  - Conflict of Interest
  - Acceptance of gifts
  - Outside employment
  - Transparency – Official secret
- **Managerial responsibility**
  - Commitment, Control, role model
- **Organisational responsibility**
  - Clear competences
  - Preventive measures, internal control systems
  - Training and Advise



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## Values – How to transport?

- Internet ([www.bundeskanzleramt.at/verhaltenskodex](http://www.bundeskanzleramt.at/verhaltenskodex))
- Publications (professional articles, etc.)
- Employee newspapers
- Conferences
- Training

---

## Training

- Offered via the Federal Administrative Academy
  - Ministry of Interior, Ministry of Finance and Ministry of Defence as well as the *Länder* have their own Academies
- basic training:
  - compulsory
  - Half-day integrity
- management training:
  - voluntary
  - organisational responsibility
  - „smooth pressure“
  - 3-day-seminar open to regional and local staff
- tailor-made in-house trainings

---

## Training

- Corruption – Compliance – Integrity
  - co-production: Federal Chancellery, Ministry of Finance, Ministry of Interior (Federal Bureau of Anti-Corruption)
  - target group: Managers and staff in charge of Integrity-issues
- Content
  - standards of conduct
  - penal and service law
  - red flags, risk analysis and internal control systems
  - how to establish a tailor-made prevention-system
  - corporate liability, corporate social responsibility, corporate compliance

## ***How to develop ethical competence in public service through integrity training and guidelines?***

Anneli Sihver,  
Public Administration and Public Service Department,  
Ministry of Finance,  
Estonia

### Topics

- Public Service in Estonia
- Coordination of Public Service Ethics
- Development of Ethical Competence



## Main Characteristics of Estonian Public Service

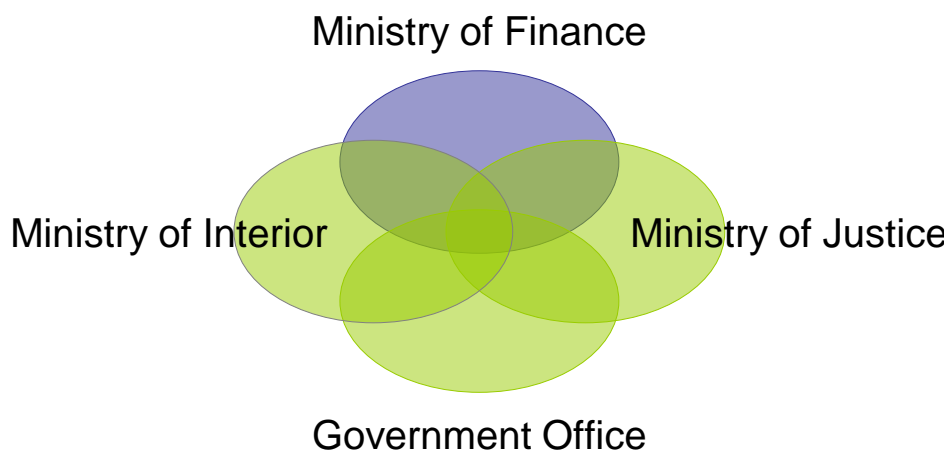
- 67 Central Government Institutions (23 307 public servants)
  - 11 ministries (2 396 public servants)
  - 34 administrative agencies (16 744 public servants)
  - 7 constitutional institutions (734 public servants)
  - 15 county governments (561 public servants)
  - Others (2 872 public servants)
- 226 Local Government Authorities (5 325 public servants)
- 52,1 % aged under 41
- 42,3 % men and 57,7% women
- 24,7 % length of service up to 5 years and 48,5% longer than 10 years

As of 31.12.2009



Ministry of Finance

## Coordination of Public Service Development



Ministry of Finance

## Coordination of Public Service Ethics

- **Coordination of public service ethics is decentralised**
- The role of the **Ministry of Finance**:
  - Coordination of development of public service ethics
  - Supporting the development of public service ethics infrastructure
  - Enhancing awareness of public servants on public service ethics via “Central Training Programme”, guidelines and counselling
  - Spreading information about public service ethics via surveys, participating in field-based (international) networks
  - If necessary, initiating draft regulations and amendments to regulations



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## Anti-Corruption Strategy 2008-2012

### Objective II: prevention of conflict of interest, and reinforcing the anti-corruption attitude and ethical behaviour of public sector personnel:

- New **Anti-Corruption Act**
- **Database of declarations of economic interests**
- Updating the **training materials** of ethics
- Estonian-specific **handbook concerning conflict of interests**
- Central **ethics training** to public servants and other public sector target groups
- Corruption and **ethics surveys**
- Establishment of the **Council of Public Service Ethics**
- Analysis of **applicability of the whistleblower protection system** in Estonia



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## Public Service Ethics

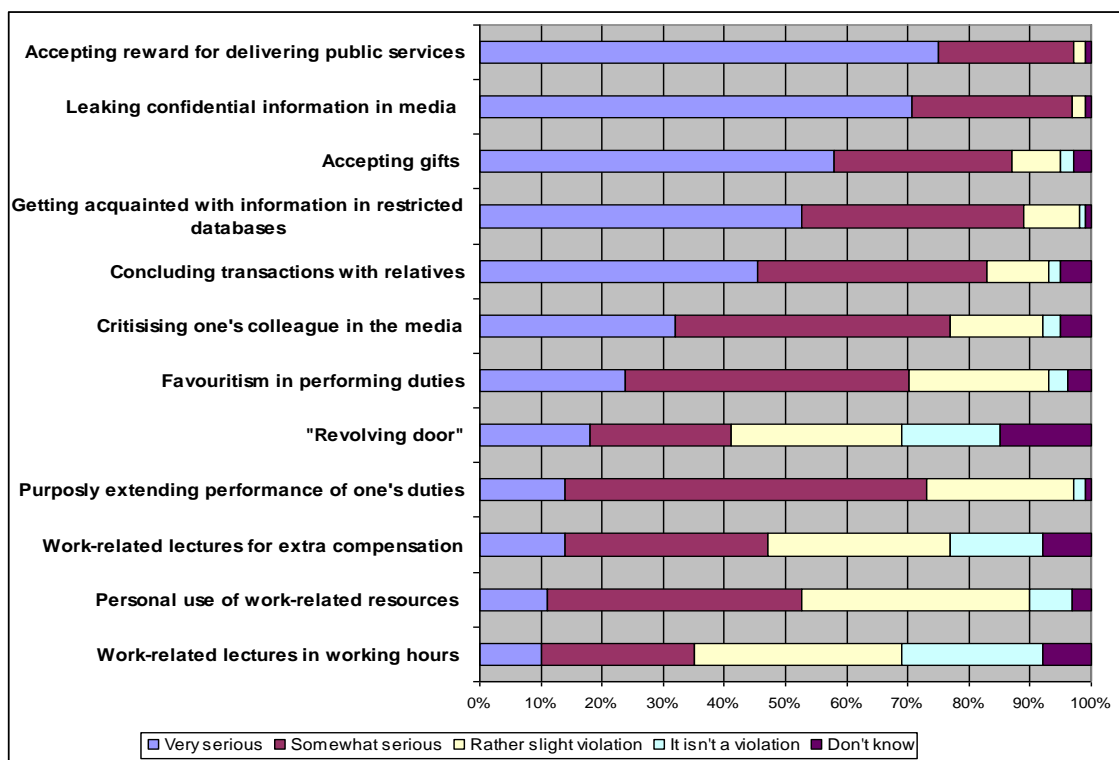
- Public service ethics is a set of principles and values that all public servants are expected to hold
- The prerequisite for exercising public authority is society's trust in civil servants

Source: [www.avalikteenistus.ee](http://www.avalikteenistus.ee)



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## Attitudes towards Ethically Questionable Practices



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## Public Service Code of Ethics

- Adopted by *Riigikogu* (Parliament) in 1999
- Annex to the Public Service Act
- Contains 20 important (core) values recognised in EU and OECD countries

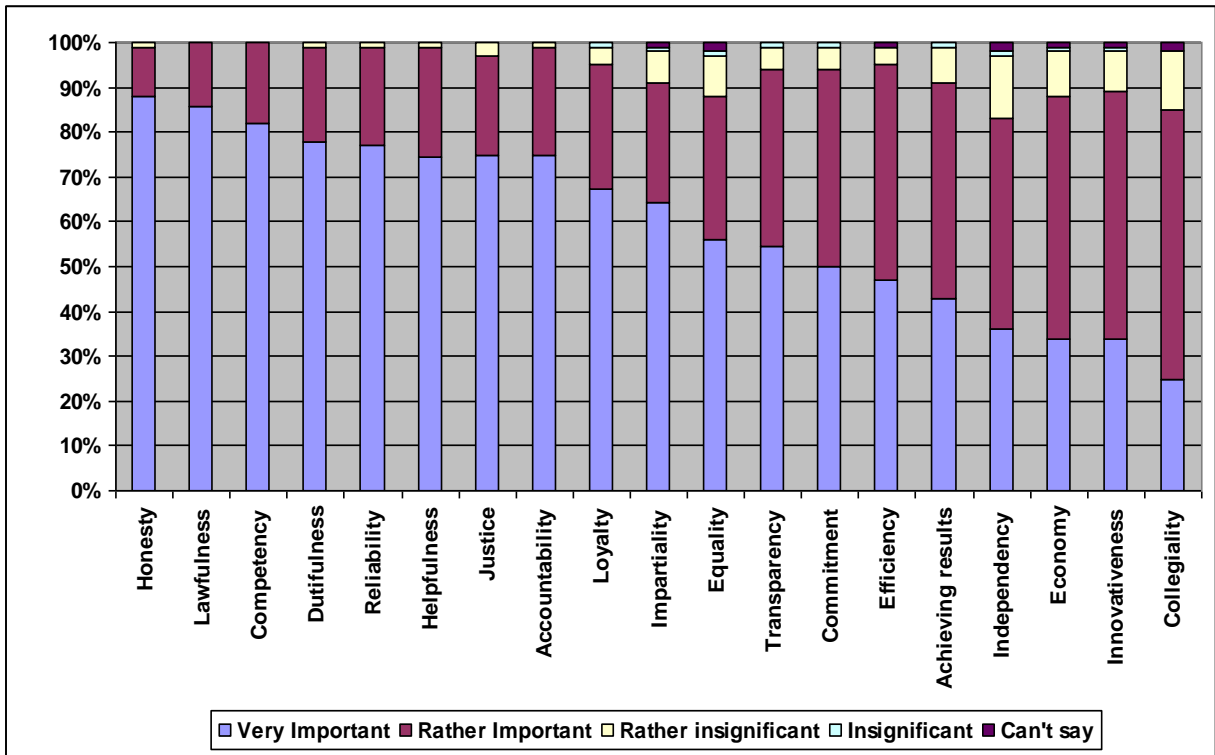
Included in the oath of office:

“I swear to be faithful to the constitutional order of Estonia and to perform in a conscientious and accurate manner the functions which the office entrusted to me requires. I am aware that the law prescribes liability for a breach of duties or the **public service code of ethics.**”



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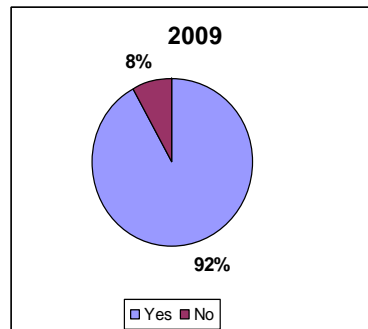
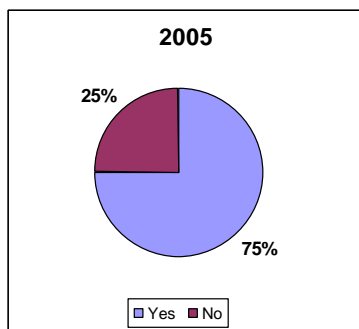
## Values of Estonian Public Service



Government Office. 2005 and 2009. "Roles and Attitudes in Public Service"

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Most officials agree that employment in public service assumes specific values and attitudes



Government Office. 2005 and 2009. "Roles and Attitudes in Public Service"

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## Other Reasons for Integrity Training and Guidelines

- Law does not (have to) regulate all ethically questionable situations
- Officials have to be able to recognize ethically questionable practices and analyse such situations
- Importance to facilitate discussion on public service ethics
- Case learning allows officials to understand abstract concepts and apply them in practice



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## Aim of Integrity Training

- Raising awareness on public service ethics
- Improving ethical competence and facilitating the development of skills relevant of ethical reasoning among officials
- Shaping negative attitude towards corruption and ethically questionable practices



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## Elaboration of Integrity Training Programmes and Guidelines

- Cooperation with OECD/SIGMA during the development phase
- Training is provided in the framework of the Programme “Central Training” – horizontal training scheme coordinated by the Ministry of Finance
- Training courses are organised and training materials are composed by Centre for Public Service Training and Development of the Estonian Academy of Security Sciences



Ministry of Finance

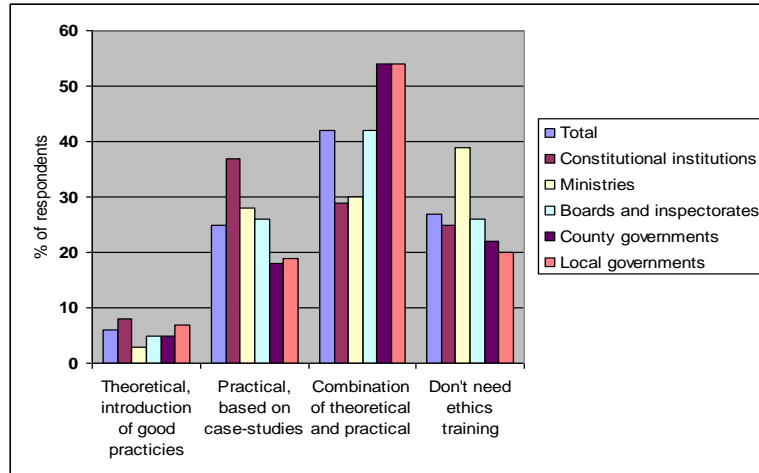
## Target Groups

- Ethics trainers - 2006, 2008, 2011
- New public servants - induction training since 2005
- State and local government officials - specific training programme since 2006
- Other public sector employees (eg. Councils of local government, state-owned foundations etc.) since 2010



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## Need for Ethics Training



Government Office. 2005 and 2009. "Roles and Attitudes in Public Service"



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## Training Materials



Adapted version of "The Public Sector Ethics Resource Series" (DVD) (Eds. Hazlehurst, C. and Whitton, H.)



Translated version of OECD Toolkit "Managing Conflict of Interest in the Public Sector"



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## Conclusions

- Awareness on public service ethics has been increased among public officials
- All important values for democratic countries are accepted
- Need for ethics training has been increased
- Public servants who have participated in ethics trainings, are more negative towards ethically questionable practices

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[www.avalikteenistus.ee](http://www.avalikteenistus.ee)


Avalik teenistus

Est Eng

Sisukaart
RSS
Uudiskiri
Täppisotsing
Otsing

**Tule avalikku teenistusse!**

Vaata toimuvald konkurssel!

Hetkel on kalmas 99 konkurssi!

**MIS ON AVALIKU TEENISTUS?**

Selle lehe eesmärk on pakkuda kasulikku, huvitavat ja päevakohast infot avaliku teenistuse kohta nii ametnikele kui kõigile teistele huvilistele.

- > Kes on Eesti ametnik?
- > Avaliku teenistuse arendamine
- > Eesti haldussüsteem

**UUDISED**

- > Põhimaade Ministrite Nõukogu stipendiumiprogramm
- > Exchange of Civil Servants
- > Seminar töökoalutuste ja vabatahtlikumpaniate suundumised
- > Kaasamisakoolitused ministriteenuste ja nende haldusala asutuste ametnikele
- > Juhend riigi- ja kohaliku omavalitsuse asutustele koolituskoostööteostamiseks

> Arhiiv

**ÕIGUS**

Milline on avaliku teenistuse õiguslik raamistik?

- > Töö- ja teenistusõigus
- > Kohtulahendid

**EETIKA**

Millist väärtuste ja põhimõtete kogumit peab kandma avaliku võimu teostaja?

- > Eetikakoodeks
- > Eetika õppevahend
- > Huvide konflikti kasiraamat

**JUHTIMISKVALITEET**

Millised on juhtide ja juhtimise arengumõeldused Eesti avalikus teenistuses?

- > Tippjuhtide arendamine
- > Kompetentside hindamine

**PERSONALJUHTIMINE**

Millised on personaljuhtimise põhimõtted ja eripärad avalikus teenistuses? Kuidas leida ja hoida häid inimesi?

- > Personalitöötajate koostöö
- > Koolitus ja arendamine
- > Palgakorraldus

**HALDUSUUTLIKKUS**

Kuidas Eesti haldusvõimekuust suurendada?

- > Tarkade otsuste fond
- > Organisatsiooni arendamine
- > Stažeerimisprogramm
- > Programiperioodi 2004-2006

**RIGIAMETNIKE FOORUM**



**KOORDINEERIVATE ASUTUSTE KONTAKTID**

[Justitsministeerium](#)  
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[Riigikantselei](#)  
[Siseministeerium](#)  
[Sotsiaalministeerium](#)

**AEG MAHA**

> Kanikatuurid

**TAGASISIDE**

KÜSIMUSTE JA TAGASISIDETE OOTANE AADRESS!

[avalikteenistus@riigikantselei.ee](mailto:avalikteenistus@riigikantselei.ee)

Kõikimused edastatakse vastava valdkonna ekspertidele

 Ministry of Finance

## ***How to use training to help public officials understand their ethical obligations***

Ms. Trish Zemple,  
Associate Director,  
Office of Government Ethics,  
the United States

### **Introduction**

Education and training is imperative to ensure that U.S. public officials understand and appreciate their role in maintaining and enhancing ethics in government institutions. In the US the ethical obligations of public officials are set forth in a web of statutory, criminal, and civil laws, administrative regulations, and presidential orders. In this presentation, I will discuss the ethics education program for employees in the U.S. executive branch and the strategies employed to build public officials' understanding and appreciation of the U.S. standards of conduct. I will also provide examples of training practices employed by the U.S. Office of Government Ethics and U.S. executive branch agencies.

### **Overview of The U.S. Executive Branch Ethics Education Program**

The United States believes that education and training is needed to ensure that public officials understand and appreciate our standards of conduct. As such, it is a central part of my agency's organization and it is established through rules and regulations that apply across the executive branch.

### **The Office of Government Ethics**

The United States Office of Government Ethics was established to provide leadership to the executive branch of the Federal Government to prevent conflicts of interest on the part of executive branch employees and resolve those conflicts of interest that do occur. In partnership with executive branch departments and agencies, OGE fosters high ethical standards for executive branch employees who, in turn, strengthen the public's confidence that the Government's business is conducted with impartiality and integrity.

### **The U.S. Code of Federal Regulations**

On behalf of the United States, the U.S. Office of Government Ethics has codified rules about ethics training and outlined our standards of conduct for employees of the Executive Branch. The rules that govern training as well as the standard of conduct for employees of the executive branch are detailed in our Code of Federal Regulations.

The Code of Federal Regulations states that each agency must have an ethics training program to teach employees about ethics laws and rules and to tell them where to go for ethics advice. The

training program must include, at least, an initial ethics orientation for all employees and annual ethics training for certain segments of other federal employees. I will get into the details of our education efforts shortly.

## **The Standards of Conduct**

The Standards of Ethical Conduct for Employees of the Executive Branch provide the foundation for our training efforts. The standards outline the basic obligations of public service and provide detailed rules relating to receiving gifts from the private sector and from employees with which you work, conflicting financial interests, impartiality in performing official duties, seeking other employment, misuse of position, and outside activities.

## **The U.S. Executive Branch Ethics Education Program**

As mentioned a moment ago, each agency must have an ethics training program to teach employees about ethics laws and rules and to tell them where to go for ethics advice. In the U.S., all employees in the Federal executive branch must receive an initial ethics orientation so they learn about the standards of ethical conduct for employees of the executive branch. Other targeted employees must also receive annual training on the standards. Specifically, annual training is targeted to employees who are in higher-level positions or work closely with the private sector.

## **Initial Ethics Orientation**

Let's start by addressing the initial ethics orientation. For very high-ranking officials—those officials who are appointed to positions by the President of the United States and confirmed by the U.S. Senate—initial ethics orientation begins before they take office. As part of their clearance process, they must fill out a financial disclosure report—a document that shows such items as assets, liabilities, outside positions, and gifts received. As ethics officials review that document with the employee, they also take the opportunity to talk to the employee about the standards of conduct and how the information on the financial disclosure report ties into the standards of conduct and the conflict of interest laws.

For other employees, they are required to receive initial ethics orientation within 90 days from the time they begin working for an agency. The initial ethics orientation must consist of the following information:

- (1) The Standards and any agency supplemental standards to keep or review; or
- (2) Summaries of the Standards, any agency supplemental standards, and the Principles to keep.

If the agency does not give the employee the Standards and any agency supplemental standards to keep, the complete text of both must be readily available in the employee's immediate office area.

Additionally, the agency must give the employee the names, titles, office addresses and telephone numbers of the designated agency ethics official and other agency officials available to advise the employee on ethics issues.

Finally, the agency must give the employee at least one hour of official duty time to review the items described above. This one-hour requirement may be reduced by any amount of time the employee receives verbal ethics training in the same 90-day period.

### **Annual Training**

Another training requirement is annual training. Annual training must be given to all employees who hold positions of significant responsibility or authority. Most of these employees file either a public or confidential financial disclosure report. The annual training requirement consists of two parts.

#### **Annual Training for Public Filers**

The first part is the annual training required for employees who file public financial disclosure reports. For these individuals agencies must give verbal ethics training each calendar year. Agencies are encouraged to vary the content of verbal training from year to year but the training must include, at least, a review of the following items:

- (1) The Principles; also known as the 14 General Principles for Ethical Conduct
- (2) The Standards; also known as the Standards of Conduct
- (3) Any agency supplemental standards;
- (4) The Federal conflict of interest statutes; and
- (5) The names, titles, and office addresses and telephone numbers of the designated agency ethics official and other agency ethics officials available to advise the employee on ethics issues.

Employees must be given at least one hour of official duty time for verbal training. The training must be:

- (1) Presented by a qualified instructor; or
- (2) Prepared by a qualified instructor and presented by telecommunications, computer, audiotape, or videotape.

If the training is prepared by a qualified instructor and presented by telecommunications, computer, audiotape, or videotape, a qualified instructor must be available during and immediately after the training to answer questions.

#### **Annual Training for Covered Employees**

Agencies must also provide training year to other employees. Many of these employees are those who file confidential financial disclosure reports. Other employees required to receive training include employees such as those appointed by the President; employees of the Executive Office of the President; and employees who serve as contracting officers.

The requirements for the contents of annual training are similar to the requirements for public filers. The difference, however, is that for this group of employees, the annual training does not have to be live training every year. It can be written training for 2 years, and in the third year the training must be verbal.

### **How the U.S. Administers the Executive Branch Ethics Education Program**

The United States has a centralized model for delivering training across the executive branch, and we use a team approach to train millions of executive branch employees. This model also applies to the way the ethics program is managed in the United States. The US Office of Government Ethics provides leadership, but each agency has an ethics office to administer the program at that agency. These agencies are responsible for the day-to-day administration of the ethics programs.

### **OGE Provides Training to Agency Ethics Officials**

The implications of this model apply to the way we build an understanding and appreciation for our Standards of Conduct. In the context of all training specified in our Code of Federal Regulation, OGE provides training to ethics officials and these ethics officials provide training to agency employees. OGE has established a comprehensive program for training ethics officials. This ensures that they have the information they need to train their employees. Later in this discussion, I will address this program in greater detail.

### **Agencies Deliver Training to Employees**

It is particularly important to emphasize that once agency ethics officials are equipped with the knowledge they need to do their jobs, they provide training to millions of employees across the executive branch. They do so in accordance with the regulations specified earlier in my talk, but the strength of our system does not exist in the standards of conduct themselves, it exists in the fact that the regulations provide a foundation for training efforts, and agency ethics officials – who are close to the day-to-day operations of the agencies – are afforded the opportunity to customize the training for their specific audiences. This customization allows employees to learn in the context of their agency or job and this is important to ensure that people actually process the information given to them and feel equipped to deal with challenges as they arise.

Later in my talk, I will address ways that Agencies are meeting this challenge and highlight some of their useful training products.

### **Lessons Learned in the U.S. Executive Branch Ethics Education Program**

Before I discuss some of the detailed ways that OGE trains trainers and highlight some good examples employed in the United States, I would like to take a moment to share a few lessons we have learned and a few steps we are taking to improve upon the way we approach education.



### **Lesson Learned Number One**

The first lesson we have learned is that people don't go to work and read policy manuals; they do a job, encounter situations as they come up, and make decisions on how to proceed. This has implications for the way we choose to train our people on our standards of conduct and – at the Office of Government Ethics – we are striving to adjust our training program to include training that concurs with this principle. Therefore it is important to have information available on demand. We provide on-demand resources through our program structure. Every agency has an ethics office and every ethics office is staffed with ethics officials. These individuals are available every day to answer questions related to our standards of conduct. Another thing we are doing is providing comprehensive training, but we are also moving toward training that can be delivered just -in-time – when an employee needs it. As I said earlier, people go to work with a core function, do that job, face dilemmas, and make decisions. But there is a key point where that individual is about to make a decision and they need the right information or they need a question answered. Ethics officials serve as an on-demand resource, but as more and more training is developed for delivery over the internet, more and more information is available to employees when they need it.

We are also trying to teach people in a context that is similar to their job. Context is so important. If we spend time just reading rules to people, or have them read the rules, they may not be able to process all of the information and thus they might not fully understand or appreciate the rule. However, if we provide training through real world situations, individuals tend to remember how the rule applies to them. Teaching in this way allows individuals to retain the knowledge better and make the right decisions when faced with ethical dilemmas.

### **Lesson Learned Number Two**

The second lesson we have learned is that education should be a core part of an ethics program. It needs to be visible, and consistent, but flexible. We have taken critical steps to make education more visible in our ethics program. We have a comprehensive training program that we deliver consistently. Employees in our government are aware of the standards of conduct because they are reminded of them on a regular basis.

### **Lesson Learned Number Three**

One thing I cannot emphasize enough is the importance of getting senior level support for an ethics training program. When I think about the challenges we face in building understanding and appreciation for codes of conduct - especially when it involves high ranking government officials - I am reminded that employees will focus on what their leadership focuses on. If senior leaders support and promote an ethical culture, chances are employees will behave in accordance with our standards of conduct.

### **Lesson Learned Number Four**

And finally, we have learned that we need to do more than what our regulations say. If we only do what is stated in our regulations, our training efforts may not result in an understanding of and appreciation for the standards of conduct. We have learned that even though all employees are required to receive an initial ethics orientation, and that initial ethics orientation covers our standards of conduct, we need to be diligent in our efforts to promote an ethical culture and ensure that people work within the confines of the rules. We need to seek constant improvement and keep an active, consistent effort to inform people of the standards of conduct. Later, I will share some ways the U.S. Office of Government Ethics and Executive Branch Agencies are accomplishing this effort.

### **OGE Efforts: OGE Education Program Examples**

And that leads us to the next part of my presentation. I would like to share some examples of practices that the U.S. employs to build public officials' understanding and appreciation for our standards of conduct. I have broken this into two parts. First, I will share some information about what the U.S. Office of Government Ethics is doing with the education program and then I will share some examples of what agencies are doing to go beyond the requirements in our code of federal regulations to build an understanding and appreciation for our standards of conduct. Here are some examples of actions OGE is taking to meet our objectives.

### **Teaching Ethics Officials**

Earlier I spoke about how OGE teaches ethics officials and then the ethics officials deliver training to employees. In order to teach over 5,000 ethics officials located all over the United States, the U.S. Office of Government Ethics administers a comprehensive education program for ethics officials. This program is comprised of classroom-training, live instructor-led web-based training, and customized training delivered at agency facilities. Just this past year, we delivered training to over 3,000 individuals through approximately 90 classroom and web-based sessions. We delivered training on all areas referenced in the standards of conduct and we made a concerted effort to provide both entry-level and advanced training. We worked hard to assess the education needs of our ethics officials by administering an annual training needs assessment questionnaire and collecting post-training evaluation data. Once we collected this information, we chose course offerings, developed new courses, advertised the courses on our web-site, and delivered the training with over 20 instructors employed at the U.S. Office of Government Ethics. This past year served as a model for how we oversee the training program. We made training a central part of the ethics program, met our goal to significantly expand training offered to ethics officials, and ensured that ethics officials were equipped with the knowledge they needed to deliver training to the millions of employees in the U.S. executive branch.

### **Using Media**

I would like to share something that I am very proud, because it involves our agency and our Director (Mr. Cusick). One challenge that we face in the U.S. is that every 4 years we have the

potential for a change in our President. When President Obama came into office a significant transition in leadership occurred across the executive branch. Mr. Cusick recognized that with the transition of power came an opportunity to connect with incoming senior leaders and he used media to get his message across to many individuals who transitioned into government leadership. His video message concisely explained the role of senior leaders in government and clearly emphasized the importance of the standards of conduct and our financial disclosure program. This clever use of media to reach a critical mass of senior leaders parallels his effort to reach out to these individuals on a personal basis to ensure that they understand their role in promoting a culture of integrity and ethics in government. As I mentioned earlier – when discussing our lessons learned – senior leadership support is critical to ensuring that employees understand and appreciate our standards of conduct. Mr. Cusick’s efforts to reach out to new senior leaders are helping us build an ethical culture throughout the executive branch, and it helped our agency ethics officials by encouraging their senior leaders to understand and appreciate the standards of conduct!

### **Using Web-based Training**

Another example of something we are creating at the U.S. Office of Government Ethics to provide useful training tools that agencies can use to train employees is web-based training scenario modules. As I mentioned earlier, we are making efforts to make training interactive and engaging to ensure that people not only hear about the standards of conduct but know how to apply their knowledge as well. Therefore, we have launched an initiative to create a series of short web based scenarios that agencies can use to teach employees about the standards of conduct. These scenarios present employees with a challenge and ask them to make decisions based on the information presented to them. After making a decision, they are provided with detailed feedback about their decision, and they are prompted to try again or review additional information on the topic. What makes this so powerful is that the learner is forced to process information found in our standards of conduct and apply that knowledge in a scenario that copies a real-world situation. This is very different from going to a classroom and listening to an instructor read you the rules. With scenarios like these, students can explore the information in a context that is similar to their jobs. We expect that this will better prepare employees to make the right decisions when they are faced with ethical dilemmas!

### **Using Posters**

One inexpensive, but effective, training project is posters that we created to increase people’s awareness of the standards of conduct. Posters are a great way to build awareness of codes of conduct, and we have found that posters are a quick and easy way to get your message out across our very large and dispersed government. The set of posters you see on the slides were developed at the U.S. Office of Government Ethics to emphasize items in the standards of conduct. These posters were developed so they could be distributed to agencies, customized with specific contact information from an ethics office, printed digitally, and distributed throughout our executive branch agencies. As you can see, the posters include colorful illustrations and brief headlines across the top to catch an individual’s attention. On the lower

half of the poster, we included a series of questions to prompt an employee to think about whether he or she should seek advice from an ethics official. The posters have been a big success. To date, we have distributed this set of posters to over 80 of the highest ranking ethics officials in the executive branch and many are posted throughout many of our government agencies.

### **Education and Communication Awards Program**

And finally, I am happy to share some information about a very successful part of our program: The Education and Communication Awards Program. Several years ago, the U.S. Office of Government Ethics established an awards program to recognize exceptional training programs throughout the executive branch. We also had a secondary objective to facilitate the sharing of training products across the executive branch. We established this program because - through our monitoring efforts - we knew that many agencies were implementing very effective training programs and other agencies were struggling to provide good training because of a lack of resources or time. The Education and Communication Awards program allowed us to use positive reinforcement to encourage agencies to focus on education.

The agencies recognized through the awards program were successful at meeting and exceeding the requirements set forth in our Code of Federal Regulations. The agencies demonstrated a strong commitment to ethics education and communication; created a stronger ethical culture as a result of their efforts; and utilized model practices to encourage understanding and awareness of our standards of conduct. Moreover, they produced education and communication products that were innovative, creative, transferable and successful in meeting their objectives. The agencies produced models that can be adapted for use by other agencies. I would like to highlight a few of these for you today.

### **Department of Treasury Ethics Scheduler**

The first award winner I would like to highlight is the U.S. Department of the Treasury. The U.S. Department of the Treasury was given an award for creating an innovative Ethics Scheduler. What a creative way to bring the standards of conduct to the desks of many employees. I think what is most impressive is that the ethics scheduler was something that an employee would want to have on their desk, because in the United States, there are a wide variety of desktop calendars for sale that feature comics, or quotes of the day, or even inspirational sayings. The U.S. Department of Treasury took this concept and applied it to their mission of training employees on the standards of conduct. This monthly ethics scheduler provided employees with features, pictures, words of encouragement as well as reminders about the standards of conduct and key dates such as financial disclosure filing dates.

### **Department of the Interior Ethics Guide**

The next award winner I would like to feature is the U.S. Department of the Interior. The U.S. Department of the Interior was given an award for developing an attractive laminated quick reference Ethics Guide for employees. Quick reference guides are very useful in ensuring that

employees understand and appreciate our standards of conduct. A quick reference guide like the one produced by the Department of the Interior can provide easy access to information when employees need it most. This polished, professional guide has colorful pictures and prints that catch employees' attention and complement the mission of the agency. However it isn't just a book of pretty pictures! The guide features tabs on a variety of ethics topics and it is filled with useful information about our standards of conduct. It is small enough for employees to carry, but attractive enough to grab one's attention when they are thinking about what to do regarding an ethical dilemma.

### **Pension Benefit Guarantee Agency Leadership Support**

The next award I would like to highlight is an award given to Pension Benefit Guarantee Corporation. The Pension Benefit Guarantee Corporation was given an award for successfully involving their senior leadership in their ethics training program. Senior leadership support is essential to building an ethical culture and an appreciation for the Standards of Conduct. The Pension Benefit Guarantee Corporation Director worked closely with his ethics office to incorporate ethics into the agency strategic plan and he personally participated in training efforts to show his support of the ethics program. In addition to participating in training efforts, the Director wrote regular pieces in their Newsletter – The PBGC Inbox – to encourage people to work in accordance with the standards of conduct. This resulted in a strong message - or as we frequently say in the U.S. "a tone at the top" - that employees should understand and appreciate the Standards of Conduct.

### **The U.S. Federal Trade Commission Training Games**

And the final award winner I would like to highlight is the U.S. Federal Trade Commission. The U.S. Federal Trade Commission was given an award for using creative games to get employees actively involved in the training. These fun, interactive, instructor-led games provided detailed information about the standards of conduct, but kept students engaged as they processed information and competed in teams to win bragging rights. One game was modeled after a very popular book – the Da Vinci Code – while another was modeled after a very popular television programs called Survivor. They also created a game called "Solve the Ethics Puzzle" in which students needed to answer a series of questions to put a puzzle together. This creative way of teaching our standards of conduct was not rewarded only because it was fun; it was rewarded for encouraging students to think about situations in which they would have to apply the standards of conduct. By teaching this way, instructors were able to identify if people in the class actually understood the information in the standards of conduct. It also helped to encourage retention of key information and application back in the workplace.

### **Conclusion**

In summary, nothing enforces the code of conduct like training. The expectations that we have of our employees regarding their conduct on the job--conducting business on behalf of the public--is a message that must be conveyed to everyone and often. It's definitely important for your new senior officials to know the expectation of the organization, but it's equally important

for employees at all levels to know this information as well. For the message to be conveyed and understood, it should also be delivered in a variety of ways so that the employees have the information when they need it and so that the message is kept fresh. I've provided information today on how the executive branch trains its employees and a few examples of how that training can be tailored. I hope you have found this information useful.

***Anti-corruption and integrity training for public officials in Catalonia –  
Elaborating and Delivering Ethics Training for Public Officials. Example of  
Training.***

Mr. Jordi Tres,  
Head of Training Department,  
Anti-Fraud Office of Catalonia

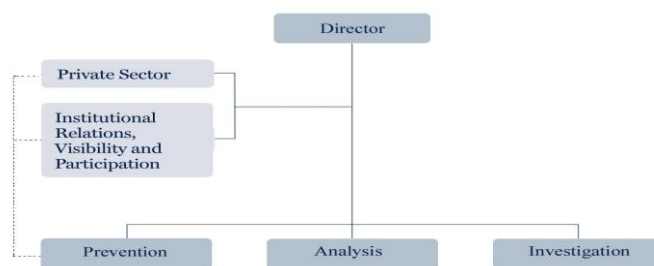
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**The Anti-Fraud Office of Catalonia (AFOC):  
a new independent institution**

- Act 14/2008: creation
- Accountability to Parliament
- Director appointed by Parliament
- Budgetary autonomy
- Director selects and appoints its personnel. Multidisciplinary team

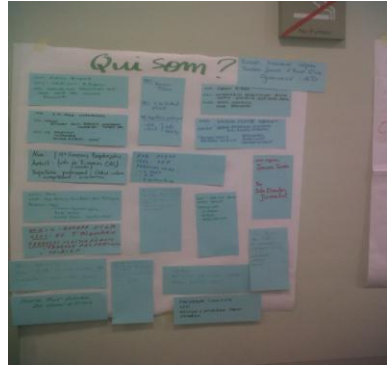
**> 46 professionals**

**> 6 M€ annual  
budget**



## Fields of activity: sectors and groups

- Public sector: authorities and public servants
- Secondary and University Education
- Private companies
- NGOs
- Citizens



4

## Types of activity

- Provides support to public organisations in strengthening their integrity systems, through actions in four areas:

1. Training of public servants

2. Technical assistance and best practices

3. Legal framework assessments

4. Advisory opinions

### Other areas of action

Publications

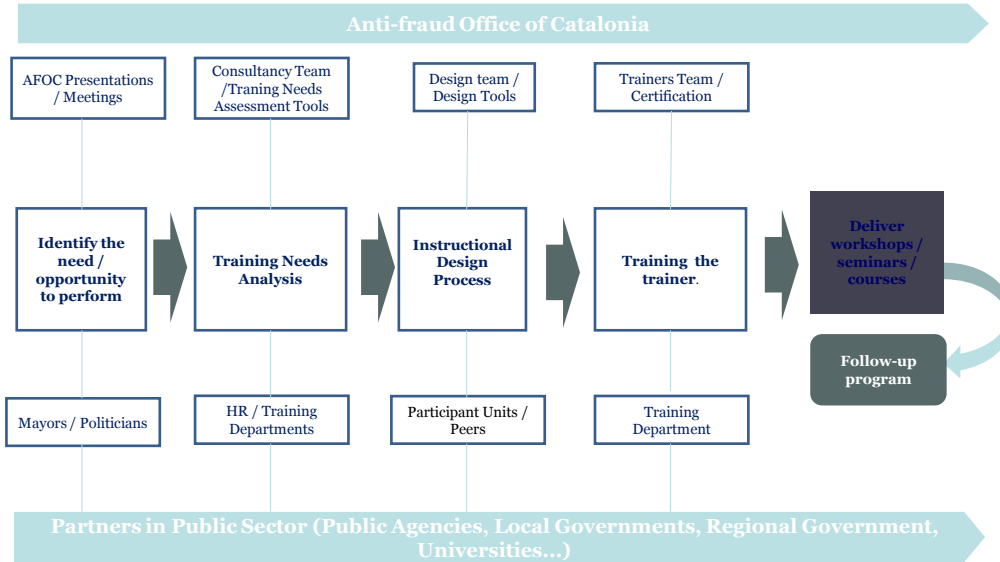
Research and studies

International Cooperation

5

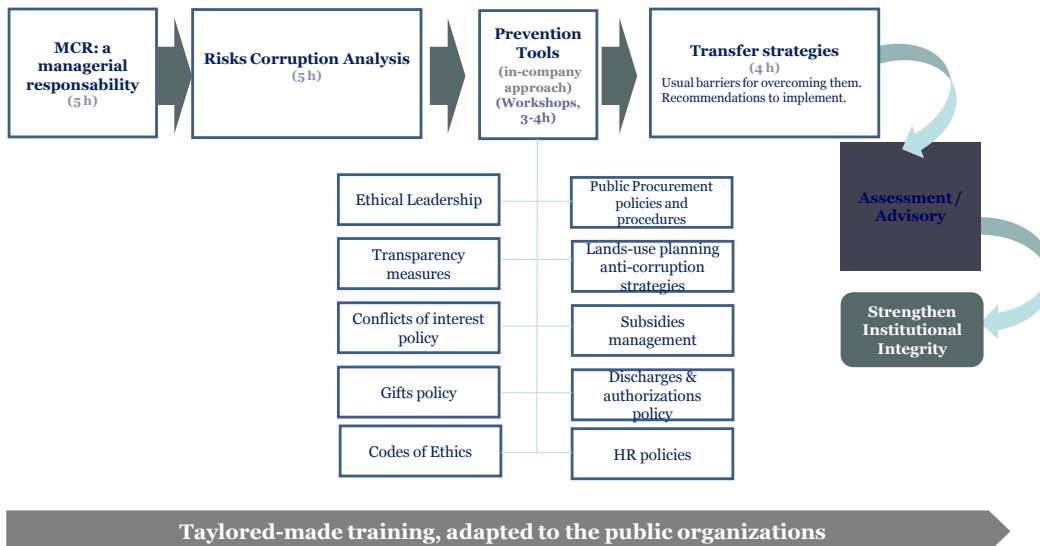


## Training: how to involve organizations & individuals



8

## Integrity and public managers itinerary



9

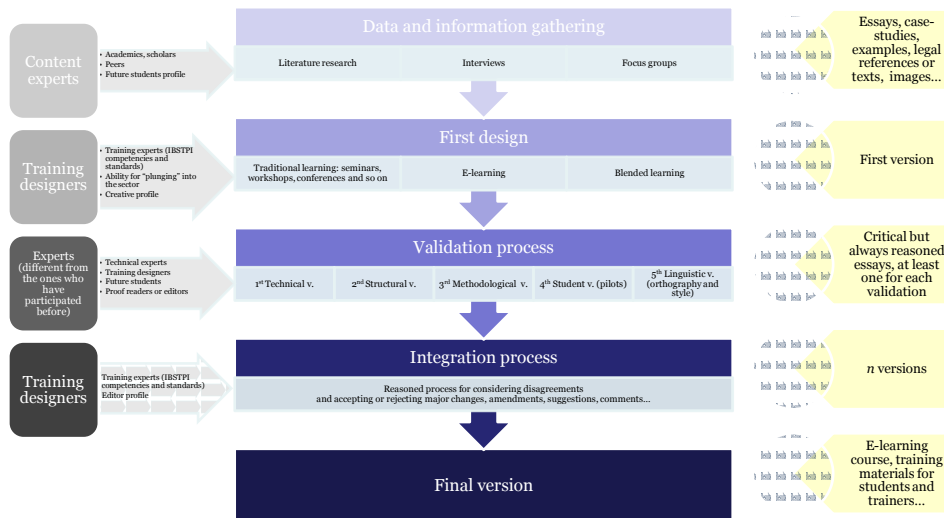
**1st workshop: Management of Corruption Risks (MCR): a managerial responsibility**

Objectives	<ul style="list-style-type: none"> <li>➤ To <b>raise awareness</b> about how ethic values are built from a daily basis in any environment</li> <li>➤ To <b>identify the responsibility</b> that we hold as managers for professional integrity of our team and the contribution of our <b>leadership</b></li> <li>➤ To set out tools against corruption through the risk diagnosis and the application of preventive and contingent action plans</li> </ul>	
Contents	<ul style="list-style-type: none"> <li>➤ <b>Ethics and values</b> in the exercise of managerial functions</li> <li>➤ <b>Legal framework.</b> Basic rules of reference</li> <li>➤ <b>Tools to strengthen integrity.</b> Case studies</li> <li>➤ The managerial responsibility and <b>ethical leadership</b></li> </ul>	
Workshop lenght	➤ 5 hours	
Groups	➤ 16 participants max.	
Methodology	➤ Interactive, based on case studies and practical tools	

**2nd workshop: Risk corruption factors and how to manage integrity plans**

Objectives	<ul style="list-style-type: none"> <li>➤ <b>Identify main risk corruption</b> areas in public organizations</li> <li>➤ <b>Reduce opportunities</b> to corruption risks</li> <li>➤ Manage reaction towards <b>behaviours against integrity</b></li> <li>➤ Provide <b>action plans</b> to fight against corruption effects</li> </ul>	
Contents	<ul style="list-style-type: none"> <li>➤ <b>Corruption triangle</b> (incentives, opportunities, attitudes)</li> <li>➤ <b>Methodology</b> of risk corruption analysis</li> <li>➤ How to identify and manage <b>red flags</b></li> <li>➤ <b>Key roles</b> in corruption risk management: managers, auditors, experts</li> <li>➤ <b>Skills</b> for analyzing corruption risks</li> <li>➤ Planning <b>risk audit</b></li> </ul>	
Workshop lenght	➤ 5 hours	
Groups	➤ 16 participants max.	
Methodology	➤ Interactive, based on practical tools created by participants	

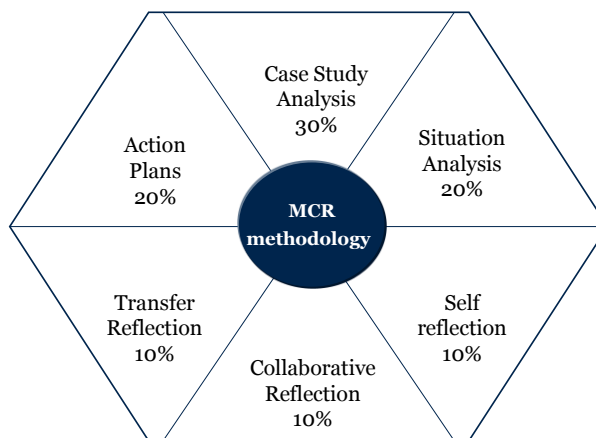
## Training design process



12

TRAINING

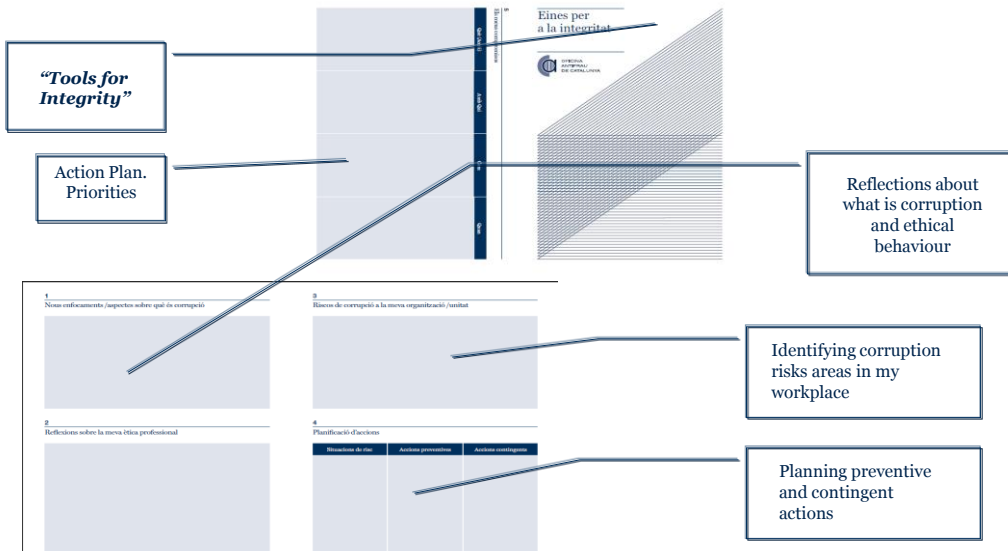
## Methodological keys (I): techniques



% time dedicated in the workshop

13

## Methodological keys (II): preparing the transfer



14

## Methodological keys (III): checklists

### Example of ethical dilemma checklist

1. Would I mind if the others found out? → **Transparency**
2. Did I report it already? → **Accountability**
3. What would happen if the others did this to me? → **Reciprocity**
4. Would society or the institution be damaged by it if everyone was doing the same? → **Universality**

Adapted from Milena Milkova, Bulgaria

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## Methodological keys (IV). Trainers profile

- Trainers should be involved in needs assessment and design processes
- Trainers have a deep knowledge of sectors (public sector specially) and must be experts on integrity



🌐 Recruitment and certification process

🌐 Train the trainer's skills

🌐 Train *in pairs*: the double role of facilitation and integrity expertise

🌐 Follow-up strategies: motivation, dynamization, coaching, counselling

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## Results in first period\*

Type of Organization	Target audience	Participants
Public Administration School Regional Government Dept. / Ministries	Regional Government Managers	384
Public Administration School Local Governments Country councils	Local Government Managers	132
Internal Controls Local Governments	City/Town clerks , Internal Auditors	154
Police	Chief Police Officers	20
Universities	Master in Public Management / Summer School	113
TOTAL PARTICIPANTS in training more than 40 activities		<b>803</b>

**Management of Corruption Risk: a managerial responsibility Workshop**

Reaction ©: x = **8,75/10**

\*Period considered: April 2010-February 2011

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## ***Integrity education module for business sector. Integrity training module for law enforcement officials – experience of Lithuania***

Mr. Laurynas Pakštaitis,  
Senior Corruption Prevention Officer,  
Mr. Ruslan Golubov,  
Public Relations Division,  
Special Investigation Service (STT),  
Lithuania

### **Foreword**

Education and integrity training within anti corruption strategy is a matter of great importance. Corruption is cultural phenomenon as well as moral one. As our experience shows, the improvement of the operating technologies of law enforcement institutions does not always lead to reduction of corrupt practices. The rise in remuneration for public officials does not necessarily guarantee a corruption free atmosphere in public administration. The economic growth and the expansion of businesses do not lead to corruption free business.

No one raises doubts that education is of utmost importance when dealing with new technologies. The societies of transition of Eastern Europe are challenged by the old traditions. The reforms and formations of a new social system are faced with dilemmas of using specialists with the skills of the past for the regulation duties of new social formation.

Our experience (which to our knowledge is not far from other Eastern European countries) show that dealing with the problem of corruption is in many cases based on the ideology. However from the practical point of view more relevant activities are to be applied, as far as the ideological support is most needed at the beginning of the fight, i.e. with the development of political will.

### **Practical experience of the Special Investigations Service (STT)**

The way of thinking does not change quickly. Special educational approaches are needed, which are to be suited for particular audience.

Anti-corruption strategies and educational approaches are mainly oriented towards public administration. However, one of the most important spheres which is to be covered is that of business and private industries. As modern state transfers its functions to private businesses, these do play significant role. Corruption in business is an important sphere however in many cases it is unvalued or undervalued and does not get needed attention. As big scandals of international corruption (*Siemens, Daimler*, etc.) show, no country is immune to business corruption.

Coverage of businesses in regard to corruption by law enforcement activities in many cases is not adequate. The capacities of the special investigation service are in a way limited due to constraints of the institution.

However we have positive changes. Most notable is that some businesses under the influence of anti-corruption policies and the new way of thinking are taking steps to create some systems of additional self regulation.

What is the practical experience of the special investigation service in this regard? Our institution deals with corruption systematically in three major fields: detection/investigation, corruption prevention and education/training. In order to have positive results, the spheres most prone to corruption are established. Private sector is active in public procurement, thus we need to cover this sphere, as well as we have to encourage good initiatives of the private sector to clean up and implement the practices themselves.

Private sector is involved in public procurement, concessions, is bound to create monopolies; it is related to strong lobbying practices (e.g. producers of alcohol, producers of chemicals and fertilisers, energy suppliers). Thus there is strong need that anti corruption education reaches such spheres. To achieve this we use institutional and other ways of communicating. Cooperation with other law enforcement institutions and anti corruption education is well under way, as is education on constant basis with municipalities.

Our most recent practice is of cooperation is with private lawyers. It is an example of non-institutional, non-established communication. Being impressed by the anti corruption initiatives, one of the biggest and most renowned law firm reached our agency in seeking suggestions on how private lawyers, the consultants of big private business should act (or omit actions) as to regards to corruption.

Special approach towards business should be implemented. Most important things that are to bear in mind are as follows:

One should understand the way of thinking of business; what is relevant for public servant will not be in the case of private lawyer, or entrepreneur. To deal the best way with the task special officer within the agency would be desirable, as well as some special ***Integrity education module for business sector*** (or relevant) might be prepared.

Such module would be useful with proper implementation and as experience shows, it should include: (i) the relevant examples of the corruption and the clear explanation of the harm of corrupt practices for the business and the society both; (ii) outline of the current situation with its problems and the desired status; (iii) the corruption in a variety of businesses and the ways of manifestation of corruption; such topic should depend on the specifics of the country in question, e.g. what is the most prone to corruption (e.g. the specifics of legal status of the land sites; building/construction industries; pharmaceutical industries and regulations therein; public procurements; education; carriage of goods; subsidies for the agriculture, etc). The module should (iiii) present clear suggestions and proposals how to tackle corruption, (v) the practical

ways of informing of law enforcement, and (vi) ways of implementing clean lobbying practices to differentiate them from corruption. It is suggested, that special educational plan should be proposed, not too large, and not too abstract.

The private businesses in this way are to be stimulated and motivated to implement clean practices and integrity, apply creative approaches. Such need is to be emphasized by the statements that in modern, global world only the clean and transparent activities might be advantageous. Educational program, in case there is one created, should stress, that with modern information techniques it is only a question of time when the evil and corruption will emerge spoiling the goods business atmosphere.

So we do this in Lithuania, small step at a time. The anti – corruption strategy of a state leads to good results only with time. It is important that the policies do transform to activities, not remain an ideology. However, the results will not emerge fast. As our experience shows, only the whole of measures will lead to a result.

### **Challenges and perspectives**

Organizational challenges are possible, as not all law enforcement and special institutions will be able to assign special officers; there might as well be other problems of organizational character. Challenges of moral character and misunderstanding of other officer are possible. Cooperation with educational institutions is to be enhanced at the same time.



## ***Raising Anti-corruption Awareness of Citizens - experience in Poland***

Mr. Sławomir Śniezko,  
Director,  
Cabinet of the Head of the Central Anti-Corruption Bureau (CBA),  
Poland



The **CBA** was established  
by the **Act of 9 June 2006**  
on the **Central Anti-Corruption Bureau**  
which entered into  
force on 24 July 2006.

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al. Ujazdowskie 9, 00-583 Warsaw

WWW.CBA.GOV.PL  
tel. + 48 ( 022) 437 1137



## **The CBA**

is a **special service** which **combats corruption** in  
public and private sector, especially in the state  
and local government institutions, as well as  
fights against any activity which may endanger  
the State's economic interests.

(Art. 1 Act on the CBA)

The CBA is a central government administration  
body.

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## Powers of the CBA

The CBA is a special service with pre-trial police powers, entitled to conduct:

- **operational activities,**
- **investigational activities,**
- **control activities,**
- **analytical and informative activities** (i.a. by corruption prevention and information on anti-corruption).

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## Control activities of the CBA

The **control activities** provided by the CBA are focused on:

- **detecting and combating** acts of breaching the law, e.g. within the scope of the decisions issued by administrative bodies, or conducting business activities by public officials,
- **verifying** the correctness and genuineness of public officials' **asset declarations** or **statements on conducting business activities.**

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## Statistics on control proceedings

Years	Number of control proceedings
2006	4
2007	38
2008	117
2009	102
2010	97

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## Corruption prevention and information on anti-corruption

The CBA exercises tasks resulting from **corruption prevention**, interpreted as a reaction to any **corruptive behavior or practice**, still not having the **features of a crime**, as well as **information on anti-corruption of educational character**, aimed at the society (e.g. the creation of an **anti-corruption educational site** [www.antykorupcja.edu.pl](http://www.antykorupcja.edu.pl)).

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Antykorupcja.edu.pl  
Serwis Edukacji Antykorupcyjnej

The web portal on Anti-Corruption Education was created in December 2008.

It is:

- a **review** of corruption phenomena, aiming at the promotion of attitudes and behaviors favoring **corruption prevention**,
- an **information source** – beginning with domestic and international **legal regulations** and ending up with a wide choice of **publications**.

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## CBA's publications

All available on [www.antykorupcja.edu.pl](http://www.antykorupcja.edu.pl)

- *Anti-Corruption Manual for Civil Servants*
- *The Corruption Map*
- *Recommendations for Anti-Corruption Activities at Applying Public Procurement Procedures*
- *Anti-Corruption Institutions in Chosen States of the World*

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## *Anti-Corruption Manual for Civil Servants*



**Aimed at** people working in government and local government administration. It presents **basic definitions** relating to corruption and indicates the differences between a **public official** and a **person performing a public function**. It explains the notion of **property benefit** and **personal benefit**.

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## *Anti-Corruption Manual for Civil Servants*

✓ **11,000 copies** published and distributed to the central and local government institutions;

✓ **1,500 civil servants** have been trained who are employed, among others, in 11 ministries, the Chancellery of the Prime Minister, Polish Financial Supervision Authority, National Bank of Poland, Penitentiary Service and local government administration.

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## *The Corruption Map*



Data achieved from special services concerning the areas endangered by corruption and the mechanisms of committing corruption crimes as well as **statistics** presenting the recorded corruption crimes and **social perception of corruption**.

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## *Recommendations for Anti-Corruption Activities at Applying Public Procurement Procedures*



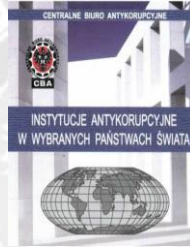
The Central Anti-Corruption Bureau indicates the **irregularities** which are likely to appear while spending public funds in the course of **purchasing services or supplies** as well as **investment procedures**.

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## *Anti-Corruption Institutions in Chosen States of the World*



A collection of information on **institutional and structural solutions** in other countries.

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## **Anti-Corruption Bulletin**

- A **popular scientific magazine** issued periodically from June 2011.
- **Aim:** to raise anti-corruption awareness and knowledge of the citizens.
- **Scholars invited to cooperate** with the CBA represent government and local government institutions, NGOs and research centers.

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## Model lessons „What is corruption and how we participate in it”

- Model lessons for **young students**
- Aim: **raising awareness of respecting social norms**
- The first lesson organized while the celebration of the **International Anti-Corruption Day** on 9 December 2010.

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## The Advisory Council to the Head of the CBA

- established on **10 February 2011**,
- consists of **recognized scholars**,
- **consultative body** to the Head of the CBA.
- **aim:**
  - to **intensify cooperation** with colleges and universities, scientific and training centers,
  - to find new and effective anti-corruption **solutions**.

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## The National Integrity System (NIS) Transparency International

comprises the **principle governance institutions** in a country that are responsible for the fight against corruption.

- The CBA was invited to participate in the **NIS Advisory Group**.
- The key **responsibilities** of the NIS Advisory Group are to:
  1. **advise** the national chapter on the main aspects of the project implementation,
  2. **review** and comment on draft NIS report,
  3. **validate** NIS Indicator Scores,
  4. **attend** NIS workshops.

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## Anti-corruption shield

The concept of the „anti-corruption shield” was elaborated in the **Chancellery of the Prime Minister (KPRM)** pursuant to the decision of the Prime Minister.

The main goal of the project is the **prevention of the irregularities in privatization** of key enterprises and public procurements.

Procedures  
in public procurements  
2008/2009 – 161  
2010 - 130

Projects:  
„Moje Boisko – Orlik 2012”  
(My Football Pitch)  
„EURO 2012”  
„Radosna Szkoła” (Happy School)

Entities assigned for  
privatization  
2008/2009 – 82  
2010 - 48

The choice was based on the worth or importance of the procedures or the entities for the State’s interest.

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## The exceptional role of the CBA in the Anti-Corruption Shield

The **activities** within the scope of the Anti-corruption Shield are **coordinated** by the Chancellery of the Prime Minister.

Apart from competent bodies, **special services** are involved in the **implementation** of the program.

Materials **verified** by the CBA are **submitted** to the Chancellery of the Prime Minister. Other services **lodge** them directly to the **ministers** in charge while the Chancellery of the Prime Minister is provided with the copies.

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## The role of the anti-corruption shield

1. The **main aim** – prevention.
2. The activities of the services have to **be prior to the** decisions on privatization or tenders.
3. In order to achieve the above, the officers, among others:
  - **conduct investigations** referring to irregularities in the privatized entities and public procurements;
  - **present information** on the threats within the fields covered by the shield;
  - **present the analyses** with recommendations for the elimination of the threats.

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## *Agenda of the Seminar*

**DAY I:**      **23 March 2011**

### **EFFECTIVE ANTI-CORRUPTION POLICY**

**9:30**            **Welcoming remarks**

Mr. Egidijus Meilūnas, Vice-Minister, Ministry of Foreign Affairs, Lithuania  
Mr. Žimantas Pacevičius, Director, Special Investigation Service (STT)  
Mr. Remigijus Rekerta, Chairman of the Chief Official Ethics Commission (VTEK)  
Ms. Olga Savran, Manager of the Anti-Corruption Network for Eastern Europe and Central Asia, Anti-Corruption Division, OECD

Facilitators:    Ambassador Vytautas Naudužas, Ministry of Foreign Affairs, Lithuania;  
Mr. Laurynas Pakštaitis, STT, Lithuania

**10:00 – 13:00**    **TOPIC 1: EFFECTIVE DEVELOPMENT AND IMPLEMENTATION OF ANTI-CORRUPTION STRATEGIES**

***Development and implementation of national anti-corruption strategy – experience in Turkey***

Mr. Yüksel Yilmaz, Deputy Head, Prime Ministry Inspection Board, Turkey

***Development and implementation of national anti-corruption strategy in Montenegro***

Ms. Vesna Ratković, Director, Directorate for Anticorruption Initiative, Montenegro

**Questions/answers**

**11:30 – 12:00**    Coffee break

***Role of coordination and international monitoring to effectively implement anti-corruption strategies. Lessons learned from assessment of previous strategies – experience of Romania***

Mr. Cornel-Virgiliu Calinescu, Ministry of Justice, Romania

***Discussion***

Questions for the discussion:

- How to set priorities for anti-corruption strategies and chose most necessary and effective measures?
- What surveys, opinion pools and other data were most useful for the development of anti-corruption strategies in your countries?

- What are the most effective tools to enforce the implementation of anti-corruption measures by various public agencies?
- How to make public consultations useful in elaboration and implementation of anti-corruption strategies?
- How to make anti-corruption strategies visible?

**13:00 – 14:00 Lunch**

**14:00 – 16:00 TOPIC 2: IMPLEMENTATION AND MONITORING OF STRATEGIES AND ACTION PLANS**

***Making Anti-corruption Strategy Work: Components and Mechanisms***

Dr. Jolita Vasiliauskaite, Senior Anti-Corruption Officer, OSCE Office in Tajikistan

***Use of Surveys in Development of Policies and Training. Key Role of Measurement. Business Integrity Training Programmes***

Mr. Charles Ruthford, Managing Director, *Intensional Connection LLC*, United States

***Discussion***

Questions for the discussion:

- What criteria are useful for monitoring implementation of anti-corruption strategies and plans?
- What mechanisms are useful for public participation in the process of implementation and monitoring?
- How to inform citizens about progress made in implementing foreseen measures?
- How to secure and maintain political support for implementation of anti-corruption strategies?

**15:30 – 16:00 Coffee break**

**16:00 – 17:30 Parallel Working Groups**

<p>WORKING GROUP 1: <b><i>Development of Anti-corruption Strategy</i></b></p> <p>Moderators: Ms. Diāna Kurpniece, Corruption Prevention and Combating Bureau, Latvia; Ms. Inese Gaika, OECD</p>	<p>WORKING GROUP 2: <b><i>Implementation of Anti-corruption Strategy</i></b></p> <p>Moderators: Ms. Vesna Ratković, Directorate for Anticorruption Initiative, Montenegro; Ms. Olga Savran, OECD</p>
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**19:00** Dinner reception offered by the OSCE Lithuanian Chairmanship

**DAY II:**      **24 March 2011**

## **PUBLIC ETHICS TRAINING, GUIDANCE FOR SENIOR OFFICIALS AND ANT-CORRUPTION AWARENESS RAISING**

Facilitators:      Mr. Alexey Stukalo, Deputy Co-ordinator of Economic and Environmental Activities, OSCE;  
Mr. Rytis Juozapavičius, VTEK, Lithuania

### **10:00 – 13:00    TOPIC 3: PUBLIC ETHICS AND INTEGRITY TRAINING AND GUIDANCE FOR MANAGERS OF PUBLIC INSTITUTIONS AND POLITICAL OFFICIALS**

#### ***Ensuring Integrity in Public Administration and Training Managers about their Responsibility***

Mr. Stefan Ritter, Federal Chancellery, Austria

#### ***How to Develop Ethical Competence in Public Service through Central Integrity Training and Guidelines***

Ms. Anneli Sihver, Advisor of the Department of Public Administration and Public Service, Ministry of Finance, the Republic of Estonia

#### ***How to Use Training to Help Public Officials Understand Their Ethical Obligations***

Ms. Trish Zemple, Associate Director, U.S. Office of Government Ethics

#### **Questions/answers**

**11:30 – 12:00**    Coffee break

#### ***Elaborating and Delivering Ethics Training for Public Officials. Example of Training “Management of Corruption Risks: a Managerial Responsibility”***

Mr. Jordi Tres, Head of Training Department, Anti-Fraud Office of Catalonia, Spain

#### ***Discussion***

Questions for discussion:

- Which target groups of public officials should receive anti-corruption and integrity training?
- What should be the contents of an anti-corruption and integrity training programme?
- What are the most useful forms for delivery of the anti-corruption and integrity training to public officials?

**13:00 – 14:00**    Lunch

**14:00 – 15:30 TOPIC 4: ANTI-CORRUPTION AND INTEGRITY EDUCATION AND AWARENESS RAISING FOR BUSINESS AND CITIZENS**

***Integrity Education Module for Business Sector. Integrity Training Module for Law Enforcement Officials – Experience of Lithuania***

Mr. Laurynas Pakštaitis, Senior Corruption Prevention Officer; Mr. Ruslan Golubov, Public Relations Division, STT, Lithuania

***Raising Anti-corruption Awareness of Citizens***

Mr. Sławomir Śnieżko, Director, Cabinet of the Head of the Central Anti-Corruption Bureau, Poland

***Discussion***

Questions for discussion:

- How to develop and provide effective activities to raise awareness of integrity and prevention of corruption in the business sector?
- What are the most effective tools of awareness raising for citizens in general?

**15:30 – 16:00** Coffee break

**16:00 – 17:30 Parallel Working Groups**

<p>WORKING GROUP 3: <b><i>Developing an Ethics Training Module for Public Officials</i></b></p> <p>Moderators: Mr. Jordi Tres, Head of Training Department, Anti-Fraud Office of Catalonia, Spain; Ms. Inese Gaika, OECD</p>	<p>WORKING GROUP 4: <b><i>Developing Anti-corruption Awareness Raising Activities for Business Sector and Citizens</i></b></p> <p>Moderators: Mr. Rytis Juozapavičius, VTEK, Lithuania; Ms. Olga Savran, OECD</p>
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**19:00** Dinner reception offered by STT and VTEK

**DAY III: 25 March 2011**

**10:00 – 12:00 TOPIC 5: EMERGING GOOD PRACTICE**

Facilitators: Ms. Olga Savran, Ms. Inese Gaika, OECD

***Reporting back from working groups  
Brainstorming***

Questions for brainstorming:

- What are the main features of an effective anti-corruption policy? What are the main features of a weak anti-corruption policy?
- Which evidence can be used for the development of anti-corruption policies?
- What can be recommended as key elements of an effective implementation mechanism for anti-corruption policies? In particular, what can be recommended as effective tools for monitoring how anti-corruption policies are implemented?
- How to promote integrity of senior and elected/political officials? What is the role of managers in public institutions in ensuring integrity and support them in this role?
- What can be recommended as good practice for integrity training for public officials?
- What can be recommended as good practice for anti-corruption awareness raising of business sector and the public?

**12:00 – 12:30 Conclusions**

***Discussion on possible follow-up  
Closing remarks***

### *List of participants*

<b>PARTICIPANTS</b>		
1.	Albania	<b>Ms Fjorela Beja</b> Council of Ministers of Internal Administrative Control and Anticorruption Inspector
2.	Albania	<b>Ms Helena Papa</b> Council of Ministers of Internal Administrative Control and Anticorruption Inspector
3.	Armenia	<b>Mr. Yeghishe Kirakosyan</b> Government Staff Assistant to the Prime Minister
4.	Austria	<b>Mr. Stefan Ritter</b> Federal Chancellery, Austria III/1 – General Staff Regulations Policy Advisor
5.	Azerbaijan	<b>Mr. Orkhan Isayev</b> Prosecutor General's Office Anticorruption Department Prosecutor
6.	Bosnia and Herzegovina	<b>Mr. Mijo Kresic</b> Agency for Prevention of Corruption and Fight Against Corruption Acting Director
7.	Croatia	<b>Mr. Davor Dubravica</b> Ministry of Justice Anti-Corruption Sector Head
8.	Estonia	<b>Ms Anneli Sihver</b> Ministry of Finance Public Administration and Public Service Department Advisor
9.	FYR Macedonia	<b>Ms Irena Popovska</b> State Commission for Prevention of Corruption Unit for Prevention of Corruption Head of Unit



10.	FYR Macedonia	<b>Ms Emrije Zuberi</b> State Commission for Prevention of Corruption Sector for Programming, Analytics, Financing and Administration
11.	Georgia	<b>Mr. Roberti Maglakelidze</b> Training Center of Justice of Georgia Deputy Director
12.	Georgia	<b>Mr. Irakli Kotetishvili</b> Civil Service Bureau Director
13.	Kazakhstan	<b>Mr. Galimzhan Kushkarbayev</b> Agency on Fighting Economic and Corruption Crime (Financial Police) Corruption Detection and Prevention Department Senior Inspector on Especially Important Issues
14.	Kazakhstan	<b>Mr. Azat Tashtenov</b> Customs Control Committee, Ministry of Finance Official Investigation and Check Division, Domestic Security Department Lieutenant Colonel, Head of Official Investigation and Check Division
15.	Kyrgyzstan	<b>Mr. Ulanbek Chalbaev</b> General Prosecutor Office Anticorruption Department
16.	Latvia	<b>Ms Diana Kurpniece</b> Corruption Prevention and Combating Bureau (KNAB) Corruption Prevention Division Head of Division
17.	Latvia	<b>Ms. Liga Simsons</b> Corruption Prevention and Combating Bureau (KNAB) Corruption Prevention Division Senior Specialist
18.	Lithuania	Special Investigation Service (STT) <b>Mr. Žimantas Pacevičius</b> Director
19.	Lithuania	<b>Mr. Vidmantas Mečkauskas</b> Special Investigation Service (STT)
20.	Lithuania	<b>Mr. Romualdas Gylis</b> Special Investigation Service (STT)
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		Special Investigation Service (STT)
22.	Lithuania	<b>Mr. Ruslan Golubov</b> Special Investigation Service (STT)
23.	Lithuania	<b>Mr. Laurynas Pakštaitis</b> Special Investigation Service (STT)
24.	Lithuania	<b>Mr. Audrius Bereišis</b> Special Investigation Service (STT)
25.	Lithuania	<b>Mrs Renata Remeikaitė</b> Special Investigation Service (STT)
26.	Lithuania	<b>Mr. Aleksandras Zinovičius</b> The Chief Official Ethics Commission (VTEK)
27.	Lithuania	<b>Mr. Remigijus Rekerta</b> Chairman of Commission The Chief Official Ethics Commission (VTEK)
28.	Lithuania	<b>Mr. Rytis Juozapavičius</b> Member of Commission The Chief Official Ethics Commission (VTEK)
29.	Lithuania	<b>Ms. Dalia Paulauskaitė</b> Member of Commission The Chief Official Ethics Commission (VTEK)
30.	Lithuania	<b>Mr. Deivydas Rimkevičius</b> Member of Commission The Chief Official Ethics Commission (VTEK)
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32.	Lithuania	<b>Mr. Vytautas Naudužas</b> Ministry of Foreign Affairs of the Republic of Lithuania Ambassador for Energy and Transport Policy Issues
33.	Lithuania	<b>Ms. Dalia Kadišienė</b> Ministry of Foreign Affairs of the Republic of Lithuania Counsellor of the Economic Security Policy Department
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35.	Lithuania	<b>Mr Valentinas Junokas</b>
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45.	Tajikistan	<b>Mr Sairahmon Azizov</b> The Agency for State Financial Control and Combating Corruption Head of Corruption Prevention Department
46.	Tajikistan	<b>Mr. Idibek Sobirov</b> The Agency for State Financial Control and Combating Corruption

		Corruption Prevention Division Deputy Chief
47.	Turkey	<b>Mr. Yüksel Yılmaz</b> Prime Ministry Inspection Board Deputy Head
48.	Ukraine	<b>Mr. Ruslan Ryaboshapka</b> Cabinet of Ministers Legal Department Deputy director
49.	Ukraine	<b>Mr. Oleksandr Borys</b> Main Department of Civil Service of Ukraine Legal Department Head of Division for Observation of Civil Service and Anti-Corruption Legislature Requirements
50.	United States	<b>Ms Trish Zemple</b> U.S. Office of Agency Programs Associate Director Operations and Special Projects
51.	United States	<b>Mr. Charles Ruthford</b> Intensional Connection, LLC Managing Director
52.	Uzbekistan	<b>Mr. Rasul Yuldashev</b> Prosecutor General's Office Department on struggle economic crimes and corruption Deputy head of Department
<b>INTERNATIONAL ORGANISATIONS</b>		
53.	OSCE	<b>Ms. Nina Lindroos-Kopolo</b> Senior Economic Officer OSCE Secretariat Co-ordinator of OSCE Economic and Environmental Activities (EEA)
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56.	OSCE Office in Yerevan	<b>Mr. William Hanlon</b> Economic And Environmental Officer OSCE Office in Yerevan
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60.	OECD	<b>Ms. Inese Gaika</b> ACN Secretariat Anti-Corruption Division Organisation for Economic Co-operation and Development (OECD) Paris, France