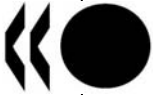


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**PUBLIC GOVERNANCE AND TERRITORIAL DEVELOPMENT DIRECTORATE
PUBLIC GOVERNANCE COMMITTEE**

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AGENDA

**Symposium on How to Assess Measures for Promoting Integrity and
Preventing Corruption in the Public Service**

**9-10 September 2004
Château de la Muette, Paris**

For further information, please contact Janos Bertok, Tel: 33 1 45 24 93 57;
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English - Or. English

How to Assess Measures for Promoting Integrity and Preventing Corruption in the Public Service

Growing need for policy assessment

Good governance requires proper assessment, and policies promoting integrity and preventing corruption are no exception. Developing appropriate frameworks for assessing the impacts of measures promoting integrity and preventing corruption are an emerging priority in OECD countries in order to verify policy effectiveness in this critical area of good governance.

Objectives

The overall aim of the Symposium is to exchange first-hand experiences on assessment of the implementation, effectiveness and impact of measures for promoting integrity and preventing corruption in the public service. The Symposium brings together representatives of frontrunner organisations and leading experts to support a more evidence-based policy making by:

1. Improving governments' understanding of possible approaches, processes and methods for assessing integrity and corruption-prevention measures.
2. Reviewing lessons learned in designing assessment strategies and putting them into practice, mapping out good practices.
3. Developing an analytical framework for sound assessment based on the review of good practices.
4. Developing an inventory of integrity and corruption-prevention measures that have proved effective, and the conditions identified for their success.

Methodology

Sessions will start with short expert presentations to highlight the experience of countries with different approaches and administrative contexts in order to set the scene for open exchange of views on key issues. In depth country studies will enable participants to review and analyse specific approaches, strategies and administrative practices to equip participants with insights for the discussion. Specific emphasis will be given to reviewing cases of concrete examples to understand why these measures were considered successful producing expected results, or why they failed.

Background papers and materials

Registered participants will be provided with background papers in advance of the event. Symposium documents include a comparative overview paper and country studies outlining the experience of Australia, Finland, France and Korea, as well as the draft assessment framework based on identified good practices.

In order to provide a snapshot of noteworthy assessment initiatives from participating countries, participants were invited to provide information on interesting and recent assessment initiatives. The

information collected by the factsheets will fundamentally support the discussions and also widen the inventory of solutions and good practices for the forthcoming OECD report.

Results

The findings and conclusions of the Symposium together with reviewed documents will be published in a comprehensive report in late 2004, including:

1. *A genuine catalogue of methods and solutions* for assessing integrity and corruption prevention measures. The first part of the report will present the comparative inventory of solutions used by public organisations for assessing the implementation of integrity and corruption-prevention measures. It will start by reviewing existing tools, methods and practices used by champion organisations (e.g. output statistics, programme reviews, audits, tailored surveys, focus groups, hearings), and analyse their strengths and weaknesses. Concrete country examples will illustrate good practices and also show how the approach used fits into the organisational and country contexts. Country examples will be drawn from the database produced in the course of mapping existing assessment strategies and practices across OECD countries.
2. *The revised "Assessment Framework"* -- The second part of the report will introduce the reviewed "assessment framework" that identifies approaches, fundamental conditions, institutional and procedural arrangements for effectively assessing policy and practice for promoting integrity and preventing corruption. In particular, it will list key components of sound policy assessment, both procedural steps and substantial standards that public sector managers can use as a generic framework for designing and conducting future assessment initiatives. This assessment framework also includes practical checklists that can support organisations as decision-making tools.
3. *Case studies* -- A set of country studies on specific experiences from Australia, Finland, France and Korea will illustrate how public institutions at the central government and sub-national level have used multiple approaches and methods for assessing measures to promote integrity and prevent corruption in different country contexts.

Participants

The primary audience consists of policy makers, experts, and public managers responsible for the design and implementation of assessment initiatives. Representatives of leading academic research institutions, think-tanks and international organisations will also be invited to strengthen understanding and cross sector co-operation.

Participation is by invitation only. There is no registration fee for participants. Simultaneous interpretation in English and French will be provided.

Logistics

The two-day Symposium will take place at the headquarters of the OECD in Paris at the following address:

19, rue de Franqueville, Paris 75016 (closest metro stop: La Muette).

Thursday, 9 September 2004

9.00 – 9.30 *Registration at the Welcome Lodge -- coffee will be offered in front of the meeting room, background documents will be provided in the meeting room.*

9.30 – 9.45	Opening of the Symposium	
	<p>Welcome and opening remarks by the OECD Secretariat and Chair.</p> <p><i>Mr. Rolf Alter</i>, Deputy Director, Public Governance and Territorial Development, OECD</p> <p><i>Mr. Ralph Heintzman</i>, Vice-President, Public Service Human Resources Management Agency of Canada</p>	
9.45 – 12.45	Session 1. Comparative Overview and National Experiences	
9.45 – 10.45	Keynote presentation	
	<p><i>Keynote speaker</i></p> <p><i>Dr. Stuart Gilman</i> Adjunct Professor, George Washington University</p> <p><i>Mr. Christian Vergez</i> Acting Head of Division Public Governance and Territorial Development, OECD</p> <p><i>Mr. János Bertók</i> Principal Administrator Public Governance and Territorial Development Directorate, OECD</p> <p><i>Questions and answers</i></p>	<p>The keynote presentation will set the scene for the Symposium by providing a comparative overview on approaches, policies and practices used in public organisations to assess integrity and corruption-prevention measures.</p> <p>A second presentation will outline the key features and elements of a draft assessment framework that has been designed to provide policy makers and practitioners with an analytical framework. It includes both procedural steps and substantial standards that public sector managers could use as a roadmap for designing and conducting future assessments.</p>
	<p>Background documents:</p> <p><i>Assessment Strategies and Practices for Integrity and Corruption Prevention Measures in the Public Service, Ethics Resource Center [GOV/PGC/ETH(2004)1].</i></p> <p><i>Integrity and Corruption Prevention Policies in the Public Service: Towards an Assessment Framework [GOV/PGC/ETH(2004)2].</i></p>	

10.45 - 11.00 *Coffee break*

11.00 – 12.30 Challenges and Driving Forces: <u>Why</u> Assess Integrity Measures?	
<i>Tour de table</i>	<p>The session will continue in a <i>tour de table</i> in which participants are invited to share their experiences on challenges they face in the design and implementation of assessment initiatives. Interventions could also outline key aspects of assessment initiatives, point out emerging issues as well as review overall aims and specific objectives of assessment initiatives related to:</p> <ul style="list-style-type: none"> • Accountability and control -- to verify whether objectives were reached; • Prevention and management -- to identify vulnerable areas and support systemic adjustment; • Learning -- to document experiences, understand and share lessons.
<i>Discussion</i>	
<p>Questions for <i>tour de table</i> and discussion:</p> <ul style="list-style-type: none"> • <i>What are the main challenges countries are facing in assessing the effectiveness of integrity and corruption prevention measures? What are the emerging issues and key areas of concern related to assessment?</i> • <i>What are the main “characteristics” of assessment initiatives in your country?</i> • <i>What are the overall aims and specific objectives of assessment initiatives?</i> • <i>How do expectations, incentives and pressures drive designing and implementing assessment initiatives?</i> <p>Background document: <i>Country Factsheets</i>.</p>	

12.30 – 14.30 *Lunch break (no host lunch)*

14.30– 17.45 Session 2. National Approaches: <u>What</u> Has Been Assessed?
<p>The afternoon session will review strategies and practices to determine the <u>subject</u> of assessment from single-purpose examination of specific areas and tools to comprehensive systemic approaches that assess the implementation of complex programmes and their impacts.</p> <p>Questions for discussion:</p> <ul style="list-style-type: none"> • <i>Which policy measures, tools and programmes have been assessed? And why?</i> • <i>How the subject of assessment was selected? And by whom?</i> • <i>What were the criteria for selection?</i>

14.30 – 16.00 Reviewing risk areas and implementation of selected instruments	
<p>Case study presentations</p> <p>Mr. Pierre-Christian Soccoja Advisor Service central de prévention de la corruption Ministry of Justice, France</p> <p>Mr. Jun-ho Ahn Director for Evaluation and Investigation Division Korea Independent Commission Against Corruption</p> <p>Ms. Cármen Lúcia Antunes Rocha Member of the Public Ethics Commission - Presidency of the Republic of Brazil</p> <p>Discussion</p>	<p>The session will start with three presentations highlighting country experiences on:</p> <ul style="list-style-type: none"> • Assessing risks and vulnerable areas in public organisations; and • Reviewing the implementation of selected tools for promoting integrity and preventing corruption. <p>The ensuing discussion will share experiences of efforts to identify corruption prone areas as well as collect evidence on the implementation of specific tools such as legal instruments, codes of conduct, management techniques and administrative procedures.</p>
<p>Background documents: <i>Country studies on the experiences of France [GOV/PGC/ETH(2004)4] and Korea [GOV/PGC/ETH(2004)3].</i></p>	

16.00-16.15 *Coffee break*

16.15 – 17.45 Reviewing compliance and impact on organisational culture	
<p>Case study presentations</p> <p>Professor Charles Sampford President, International Institute for Public Ethics, Australia</p> <p>Dr. Arthur Shacklock Senior Research Fellow Key Centre for Ethics, Law, Justice and Governance Brisbane, Australia</p> <p>Ms. Kirsi Aijala Senior Adviser, Legal Affairs Ministry of Finance Finland</p> <p>Discussion</p>	<p>The session continues with two country presentations on experiences gained in:</p> <ul style="list-style-type: none"> • Programme and performance evaluation; and • Examining the impact of integrity measures on organisational culture, values and behaviour. <p>The ensuing discussion will focus on country experiences of reviewing programme implementation, as well as on assessing their impact on organisational culture and values.</p>
<p>Background documents: <i>Country studies on the experiences of Australia [GOV/PGC/ETH(2004)5] and Finland [GOV/PGC/ETH(2004)6].</i></p>	

Friday, 10 September 2004

9.15 – 10.15 Session 3. Key Actors: Assessment by <u>Whom</u>?	
<p>Country presentations</p> <p>Ms. Jane S. Ley Deputy Director Office of Government Ethics USA</p> <p>Ms. Alina Hussein Adviser to the President, Supreme Chamber of Control Poland</p> <p>Discussion</p>	<p>Although public sector managers have remained the central actor in assessing the implementation of integrity and corruption-prevention measures, the involvement of independent institutions in assessment has become vital to ensure credibility of results. In addition to supreme audit institutions, involving independent experts and civil society representatives is an emerging trend to ensure accountability and exercise public scrutiny.</p> <p>Short country presentations will launch the discussion by highlighting recent experiences of a central government organisation and a supreme audit institution.</p>
<p>Questions for discussion:</p> <ul style="list-style-type: none"> • <i>Which type of assessment is mostly used in your country (self-assessment, independent assessment)? And why?</i> • <i>What are the advantages of, and conditions for, internal (self-assessment) and external (independent) assessment?</i> • <i>How is the credibility of assessment ensured?</i> • <i>What is the experience of combining internal and external capacities to assess integrity and corruption prevention measures?</i> <p>Background documents: <i>Country studies and Factsheets.</i></p>	
10.15– 11.15 Procedures: How to organise the assessment?	
<p>Panel of Discussants</p> <p>Mr. Thomas Pletscher Member of the Executive Board Economiesuisse Chair, BIAC Task Force on Bribery and Corruption</p> <p>Mr. Michal Sticka Project Manager Transparency International Czech Republic</p> <p>Discussion</p>	<p>The second part of the morning session will provide an opportunity to review strategies and practices used for organising assessments, in particular:</p> <ul style="list-style-type: none"> • Involving stakeholders (civil servants, service users, business, citizens); • Capacity for examining the information collected, co-operation with academic research institutions; • Knowledge management for sharing experiences and results of assessments across the public sector. <p>Participants will share their lessons learned in planning and conducting assessments.</p>

Questions for discussion:

- *Do you involve stakeholders in the assessment process? If so, at what stage, for what reasons and how do you proceed?*
- *How do you define the necessary conditions (e.g. capacity, budget, timing) for assessments?*
- *Did you involve external experts in the assessment? If so, how?*
- *How did you identify, gather and share good assessment practices across the public service?*

Background documents: *Country studies and Factsheets.*

11.15 – 11.30 *Coffee break*

11.30–13.00 Session 4. Methods: How to Assess?

The session will focus on lessons public institutions have learned on matching methods with subjects of assessments in order to collect relevant and trustworthy information. Participants will share their experiences on methods that worked well in “capturing the reality”, practices that provided sound evidence on policy measures under review.

Country presentation

Mr. Lubomir Plai

Chairman
Civil Service Office
Slovak Republic

Panel of Discussants

Ms. Marianne Camerer

Director, Global Access
Center for Public Integrity
Washington DC

Mr. Alejandro Salas

Programme Officer
Transparency International
Berlin

Discussion

The session will start with a country presentation on the application of the Common Assessment Framework in conflict of interest policy.

Then a panel of experts will highlight key components of methods used in recent assessments and explain why they chose the selected assessment methodology. Participants will be invited to share their experiences on:

- Possible methodologies (selecting criteria [identifying inputs, outputs, outcomes] and defining indicators);
- The types of data collected (qualitative and quantitative, objective [based on facts] and subjective [based on perception]).

Discussion will focus on potentials and limitations of assessment methods as well as on country experiences of selecting adequate methods and combining them into a comprehensive methodology.

Questions for discussion:

- *How do the contexts in different organisations influence the selection of methods?*
- *What are the strengths and weaknesses of methods used for assessing specific policy measures? How were the adequacy of approaches and methods verified?*
- *How did you balance different methods (e.g. for collecting objective data and subjective opinions)?*
- *What are the criteria for successfully matching methods and procedures to pull together reliable evidence for achieving the objectives of the assessment?*

Background documents: *Country studies and Factsheets.*

13.00 - 14.30 *Lunch break (no host lunch)*

14.30-15.30 Session 5. Impact of Assessment: How is Assessment Integrated into the Policy Cycle?

Country presentation

Ms. Jeanette Schollum
 Manager, Strategic Development
 State Services Commission
 New Zealand

The session will review practices of institutionalising feedback mechanisms. In particular, it will examine how results of assessment have supported policy adjustment. In addition participants will exchange experiences on how information was provided to the public and whether the results of assessments influenced public opinion on the level of trust.

Discussion

Participants will share experiences on methods for institutionalising follow-up measures and ensuring the timeliness of their implementation.

Questions for discussion:

- *Did the results of assessment influence policy adjustment? If so, how?*
- *How are the results of assessment channelled to decision makers? What are the necessary conditions to reach the political level?*
- *Were follow-up measures institutionalised? If so, how?*
- *Was the public informed? If so, how? How did the results of assessments influence level of trust in public institutions?*

Background document: *Factsheets.*

15.30 – 15.45 *Coffee break*

15.45–17.00 Session 6. Towards an Assessment Framework: Future Steps	
<p><i>Country presentation</i></p> <p>Mr. Ralph Heintzman Vice-President Public Service Human Resources Management Agency Canada</p> <p><i>Discussion</i></p>	<p>The last session will focus on efforts to develop comprehensive frameworks for assessments that could recognise the gaps between policy intention and actual practices based on evidence. The country presentation will outline the recent experiences of Canada on developing frameworks for assessment and will also highlight the applicability of an international assessment framework in that process.</p> <p>Participants will be invited to share their experiences in developing assessment frameworks and also review the validity of the analytical framework proposed by the OECD.</p> <p>The session will also explore practical steps for follow-up to ensure that countries make the most of the benefit of the Symposium in future co-operation.</p>
<p>Questions for discussion:</p> <ul style="list-style-type: none"> • <i>How could assessment frameworks provide comprehensive, coherent and practical guide for policy makers and managers in designing and running assessment undertakings?</i> • <i>What framework can international organisations provide for identifying innovative solutions and cross-fertilisation of national practices?</i> • <i>What type of information/data and analyses could be most beneficial for domestic assessment projects?</i> <p>Background document: <i>Integrity and Corruption Prevention Policies in the Public Service: Towards an Assessment Framework [GOV/PGC/ETH(2004)2].</i></p>	
17.00 -17.15 Closing session	
<p>Conclusions by the Rapporteur, final remarks by participants, closing remarks by the OECD Secretariat and co-Chairmen.</p>	