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GOV/PGC/ETH/A(2004)1



Organisation de Coopération et de Développement Economiques
Organisation for Economic Co-operation and Development

16-Jun-2004

English - Or. English

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

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PROVISIONAL 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**

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JT00166249

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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.

Objectives

The overall aim of the Symposium is to exchange first-hand experiences on assessment of the implementation, impact and effectiveness of measures for promoting integrity and preventing corruption in the public service. The Symposium will bring 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 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

Short expert presentations will 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. 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 and why they produced the expected results, or why they failed.

Background papers and materials

Registered participants will be provided with background papers in advance of the Symposium. Symposium documents include a comparative overview paper and country studies outlining the experience of Australia, Finland, France, Korea and the United Kingdom, an issues paper for discussion and the draft "Assessment Framework" based on identified good practices.

In order to provide a snapshot of noteworthy assessment initiatives from all participating countries, participants are invited to fill in the attached "Framework for country factsheet". The framework provides a standard for structuring information on interesting and recent assessment initiatives in OECD countries. 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 agreed "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 and substantial elements that public sector managers can use as a generic framework for designing and conducting future assessment initiatives.
3. *Case studies* -- A set of country studies on Australia, Finland, France, Korea and the United Kingdom 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 will consist of policy makers, experts, and public managers responsible for the design and implementation of assessment. 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. To register please complete the attached form and return it by 15 July 2004 to Ms. Marie Murphy by e-mail (marie.murphy@oecd.org) or fax (33-1 45 24 85 63). 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:

2, rue André-Pascal, 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
	Welcome and opening remarks by the OECD Secretariat and Chair.
9.45 – 11.15	Session 1. Comparative Overview
9.45 – 10.45	<p>Keynote presentation and Tour de Table</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>In the ensuing discussion participants are invited to outline key aspects of assessment initiatives, including:</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?</i> • <i>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> <p><i>Background document: Assessment Strategies and Practices for Integrity and Corruption Prevention Measures in the Public Service, Ethics Resource Center.</i></p>
10.45 – 11.15	<p>Driving Forces: <u>Why</u> Assess Integrity Measures?</p> <p>At the second part of the session participants will review overall aims and specific objectives of assessment initiatives related to:</p> <ol style="list-style-type: none"> 1. Accountability and control -- to verify whether objectives were reached; 2. Prevention and management -- to identify vulnerable areas and support systemic adjustment; and 3. Learning -- to document experiences, understand and share lessons. <p>Participants will also analyse driving forces, expectations, incentives and pressures for providing evidence on what works under what conditions.</p> <ul style="list-style-type: none"> • <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><i>Background document: Country Factsheets.</i></p>

11.15 - 11.30 *Coffee break*

11.30– 16.00 Session 2. National Approaches: What Has Been Assessed?

The session will review strategies and practices to determine the subject 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.

- *Which policy measures, tools and programmes have been assessed? And why?*
- *How the subject of assessment was selected? And by whom?*
- *What were the criteria for selection?*

11.30 – 13.00 Reviewing risk areas and implementation of selected instruments

The session will start with two presentations highlighting country experiences on:

1. Assessing risks and vulnerable areas in public organisations; and
2. Reviewing the implementation of selected tools, such as legal instruments, codes of conduct and administrative procedures.

The ensuing discussion will share experiences of recent efforts to identify the primary subject areas for assessing risks and specific tools.

Background documents: Country studies on the experiences of Korea and France.

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

14.30–16.00 Session 2. (continued) National Approaches: What Has Been Assessed?**14.30 – 16.00 Reviewing compliance and impact on organisational culture**

The session continues with two country presentations on experiences gained in:

1. Programme and performance evaluation; and
2. Examining the impact of integrity measures on organisational culture, values and behaviour.

Discussion will focus on country experiences of reviewing programme implementation, and on assessing their impact on organisational culture and values:

Background documents: Country studies on the experiences of Australia and Finland.

16.00-16.30 *Coffee break*

16.30– 17.45 Session 3. Key Actors: Assessment by Whom?

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.

- *Which type of assessment is mostly used in your country (self-assessment, independent assessment)? And why?*
- *What are the advantages of, and conditions for, internal (self-assessment) and external (independent) assessment?*
- *How is the credibility of assessment ensured?*
- *What is the experience of combining internal and external capacities to assess integrity and corruption prevention measures?*

Background documents: Country studies and Factsheets.

Friday, 10 September 2004

9.15 – 11.15 Session 4. Methods and Procedures: 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.

9.15 – 10.30 How to choose the right assessment methodology?

A panel of experts will highlight key components of methods used in assessments, then participants will be invited to share their experiences on:

1. Possible methodologies (selecting criteria [outputs, outcomes] and indicators);
2. 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:

- *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.

10.30– 11.15 How to organise the assessment?

The second part of the session will provide an opportunity to review strategies and practices used for organising assessments, including:

- Involvement of stakeholders (civil servants, users, 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.

Participants will share their lessons learned in the organisation of assessment:

- *Do you involve stakeholders in the assessment process? If so, at what stage, for what reasons and how do you proceed?*
- *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*

11.30-12.30 Session 5. Impact of Assessment: How is Assessment Integrated into the Policy Cycle?

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.

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

- *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?*
- *Was the public informed? If so, how? How did the results of assessments influence level of trust in public institutions?*

Background document: Factsheets.

12.30 - 14.00 *Lunch break (no host lunch)*

14.00–16.00 Session 6. Conditions, Functions and Elements: Towards an “Assessment Framework”

Based on leading examples and emerging lessons, the draft “Assessment Framework” identifies approaches, conditions, institutional and procedural arrangements for effectively assessing integrity and corruption-prevention measures. The “Assessment Framework” is designed to provide policy makers with an analytical framework for reviewing existing solutions and improving feedback mechanisms that recognise the gaps between policy intention and actual practices based on evidence.

Participants will be invited to review the validity of the proposed analytical framework and provide feedback and guidance, in particular on the following aspects:

1. **Comprehensiveness:** whether the draft identifies systematically the key elements and functions of a sound Assessment Framework.
2. **Coherence:** whether the draft provides a coherent framework for systemic review of existing policy and practice in public organisations.
3. **Practicality:** whether the draft provides sufficiently practicable reference to help public officials in developing and implementing effective assessment policy and practice.

Discussion will also explore the benefits of possible application of the completed international assessment framework. While separate domestic assessment projects principally observe sectoral and national trends, a comparative international framework has the potential to provide a broader reference in a worldwide context for individual country experiences.

- *Does the draft Assessment Framework provide a practical guide for policy makers and managers in designing and running self-assessment undertakings?*
- *What framework can international organisations, in particular the OECD, provide for identifying innovative solutions and cross-fertilisation of national practices?*
- *What type of information/data and analyses could be most beneficial for domestic assessment projects?*

Background document: Draft Assessment Framework.

16.00 -16.30 Closing session

The concluding session will explore practical steps for follow-up to ensure that countries make the most of the benefit of the Symposium in future co-operation.

Conclusions by the Rapporteur, final remarks by participants, **closing remarks by the OECD Secretariat and Chair.**