

# **INTEGRITY MANAGEMENT TOOLKIT**

Public Sector Excellence through  
Public Sector Integrity



Independent Commission Against Corruption

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***Disclaimer***

The content of this toolkit is for general guidance only. It complements our best practice guides and the relevant laws. However, it does not include all possible situations and it does not substitute the law or take the place of legal advice. You are advised to consult the Prevention of Corruption Act 2002 (as amended) or other relevant legislations and to seek legal advice in case of doubt.

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## Preface

It has long been accepted that success against corruption requires the active support of all sectors of the community. Yet that support cannot be taken for granted. On the contrary, apathy, resignation and cynicism are common community attitudes in countries that have endured longstanding and widespread corruption. As part of the community the public service is no exception.

For more than a decade Mauritius has had in place a sound anticorruption strategy that recognises that prevention and education are as important as enforcement. The key to its success is the close coordination of those three elements. The implementation and coordination of the strategy has been entrusted to the Independent Commission Against Corruption.

However, overcoming corruption cannot be done by the Commission alone; it must develop the active support of every sector of the community. The public service is one of the most important sectors. It has a crucial role to play in ensuring that its employees at every level adhere to the highest standards of integrity and fair dealing. It is incumbent on the management of every ministry, department and agency of the public service, with the cooperation of the prevention officers of the ICAC, to review the systems and procedures that present opportunities for dishonest conduct. It is incumbent on the management to put into practice the recommendations of the review. It is further incumbent on the management to guide its subordinates on the standards of conduct expected of them and itself to set the example. In all walks of life the example from above has the greatest impact.

This guide, published by the ICAC in conformity with international best practice, provides the management of the public service with an invaluable road map. In clear, straightforward language public service managers are given specific help in guiding those for whom they are responsible along the paths of good governance. Most importantly, all who work in the public service can see in this guide the path to deeply satisfying individual achievement.

The aim of this guide is nothing less than to bring about in each and every public servant a change of attitude to corruption from one of indifference to one of resistance. Those whose cynicism has reached the point of disbelief that this change can occur should consider the transformation evidenced by some communities, Hong Kong, Singapore and Botswana being well-known examples.

A good national anticorruption strategy has as its most important aim the changing of public attitude towards corruption. That change can and should be measured at regular intervals for it is the only true objective of the strategy. This guide will make a significant contribution to achieving that objective.

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## Message from UNODC

Integrity, as a set of ethical standards underpins public trust in a State's administration and its public officials. Promoting integrity, both at the institutional and individual levels, is an important element of a comprehensive strategy to prevent and fight corruption in the public sector.

The United Nations Convention against Corruption requires States parties to promote integrity, honesty and responsibility among its public officials. It also calls for transparency in regards to the organization, functioning and decision-making of the public administration.

This toolkit will be useful to guide integrity officers, placed in different Ministries in Mauritius, to understand risk inherent to the performance of their functions and be guided on integrity standards for the public sector. As such, it is a useful tool seeking to promote integrity, accountability and proper management of public affairs, which are all purposes envisioned in the Convention.

I welcome the work of the officials of the Independent Commission against Corruption (ICAC) in developing this toolkit, subsequently to a training course for Integrity Officers, facilitated by UNODC, in August 2015. Furthermore, I would like to encourage ICAC staff and Integrity Officers in Mauritius to remain actively engaged in strengthening integrity across the public sector.



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## Introduction

By acceding to the United Nations Convention against Corruption (UNCAC), countries have demonstrated their willingness to fight corruption. The Articles of Chapter II of the Convention pave the way to building integrity in the public sector. The preventive policies covered by the Convention include measures for both the public and private sectors. These include, among others, transparent procurement and sound financial management, a merit-based civil service including clear conflict of interests regimes, effective access to public information, active involvement of both civil society and the private sector to prevent and combat corruption.

In view of better implementing the provisions of the UNCAC, the public sector needs to be empowered on how to integrate integrity management principles in its day-to-day operations. Integrity Management is fundamental to the effective fight against corruption and depends on the appropriate knowledge, skills and attitudes of those who are entrusted with the task of fighting corruption and other malpractices.

This Integrity Management Toolkit focuses on public sector integrity and is meant to guide Integrity Officers in fostering a culture of integrity in their respective organisations. It is based on the outcome of the Advanced Training for Integrity Officers conducted in August 2015 and facilitated by Mrs. Claudia Sayago, Crime Prevention and Criminal Justice Officer at the Corruption and Economic Branch of the United Nations Office on Drugs and Crime (UNODC). The suggestions of Integrity Officers, the outcome of the group work and the issues raised by resource persons and participants have been incorporated in the toolkit as far as possible.

Effective use of this toolkit by Integrity officers will no doubt enhance their understanding of public sector corruption and reduce its impact on the organisation. The Toolkit paves the way for an integrated model of public sector governance where effectiveness, efficiency, transparency, accountability, integrity, effective controls and ethics would be the norm, thus, making both management and staff allies in the consolidation of an ethical organisational culture. The toolkit also aims at empowering Integrity Officers to better recognise instances of corruption risks and other risks of malpractices and to respond by taking appropriate remedial measures promptly.

The toolkit applies to public sector institutions, parastatal bodies and state-owned institutions. Its objective is to empower Integrity Officers in the establishment of a culture of integrity in their organisations. Unit 1 sets out the importance of public sector integrity and the pivotal role of Integrity Officers in achieving excellence. Unit 2 focuses on effective checks and balances to promote transparency and accountability in the organisation and to detect any abuse of office. Unit 3 deals with the reinforcement of public sector integrity and prompts Public Officers to reflect on “why there is often a higher perception of corruption in the public sector and what could be done to reverse this perception”. Whilst Unit 4 puts forth some comprehensive checklists to assist Integrity Officers to further understand their environment, assess existing and potential risks, mitigate such risks and consolidate organisational integrity, Unit 5 describes numerous best practices and guidelines to serve as self-assessment tools for the enhancement of integrity of systems and procedures in public bodies.

In order to promote a culture of integrity, coherent efforts are required to define expected standards of conduct, provide guidance and incentives, as well as monitor daily practice to ensure compliance. Proactive efforts are necessary to anticipate risks to integrity, identify sources of corruption and apply tailored countermeasures. Transparency is increasingly being used as an instrument to foster accountability and control in the functioning of public bodies to reinforce public trust. This toolkit will be of considerable value to Integrity Officers in pursuing their objectives.

## UNIT 1

### Fighting Public Sector Corruption - Towards a Common Understanding

#### 1.1 Introduction

Efforts to strengthen public institutions need to be comprehensive and multi-faceted. In this context, fostering transparency, accountability and integrity in the public sector and facilitating interactions with other stakeholders are essential to sustain trust in service delivery and laying the foundations for a strong integrity management framework that will pave the way for long-term sustainable national development.

To be effective, efforts to promote transparency, accountability and integrity need to be embedded in all systems, procedures and processes. Codes of ethics and conduct need to be developed, implemented and more importantly rendered functional.

Public sector integrity efforts will only be effective if they are supported by sound public governance conditions, such as transparent financial management, sound public procurement and merit-based human resource management. As Integrity Officers, you have a critical role to reinforce organisational integrity. Fighting public sector corruption is not a finality but a major step forward towards public sector integrity and excellence characterised by:

- *Administrative and procedural simplicity*
- *Enhanced transparency and accountability*
- *Responsible officers with a high sense of integrity and belongingness to their institutions*
- *Reduced vulnerability to corruption and malpractices*
- *Effective public service delivery*
- *Public trust and confidence*

This Integrity Management Toolkit is expected to help you, as an Integrity Officer, to address the vulnerabilities to corruption and assess the implementation deficit of integrity measures in your organisation.

#### 1.2 Our Aim – Expectations about Public Sector Integrity

Not only must we uphold high standards of integrity but we must continuously enhance them, and maintain zero tolerance to corruption at all levels.

What is required is a robust system with greater scrutiny that deters wrong-doing by bringing offenders reliably to justice with a high chance of catching them; a system which trusts our officers, and backs them up in their work, but also allows periodic checks to verify and make sure that if something goes wrong, it is promptly detected and addressed.

It is expected that enhancing transparency, accountability and integrity within the public service will:

- *minimise the risks of malpractices and corruption occurring within the organisation;*
- *improve customer service delivery;*
- *ensure value for money for the services provided;*
- *promote trust and confidence in public service delivery;*

- *pave the way for attaining public service excellence through an integrated, inclusive and holistic approach characterized by the following:*
  - *Organisational credibility*
  - *Good governance in practice*
  - *Dynamic Legislation*
  - *Effective public service delivery*
  - *Effective internal and external communication*
  - *Effective work environment and employee satisfaction*
  - *Responsiveness to public opinion, attitudes and expectations*
  - *Proactiveness in responding to new challenges*
  - *Continuous capacity building of public officers*

### 1.3 Integrity Officers – Driving the public sector towards integrity

Addressing the problem of corruption requires more than its criminalisation and prosecution. Public sector organisations are more and more under growing pressure from the public to use information, resources and authority judiciously on a daily basis. They are called upon to mitigate potential risks in the systems, procedures and practices, manage them and apply tailored countermeasures for the benefit of one and all.

This is possible only if committed people know what to do, how to do it and have developed the common understanding and capacity to do it. It is with this aim that Integrity Officers have been designated and empowered. As integrity champions, you are expected to play a crucial role in preventing corruption and malpractices in your organisation and fostering the following ethical values/principles among public officers:

Ethical values / principles	Public Officers are called upon to:
<b>Selflessness</b>	<ul style="list-style-type: none"> <li>• act solely in public interest on a daily basis since they are engaged in the decision- making process that affect people’s lives.</li> </ul>
<b>Openness</b>	<ul style="list-style-type: none"> <li>• be confident that they are acting openly and transparently when dealing with everyone, without affection or ill will.</li> </ul>
<b>Integrity</b>	<ul style="list-style-type: none"> <li>• demonstrate a strong character imbued with moral principles and conviction to do the right thing even in difficult circumstances in line with the organisational values.</li> </ul>
<b>Honesty</b>	<ul style="list-style-type: none"> <li>• declare any private interests relating to their public duties and take relevant steps towards conflict resolution to protect public interest.</li> </ul>
<b>Accountability</b>	<ul style="list-style-type: none"> <li>• adhere to the principles of accountability to the public for each and every decision and action taken. They are required to submit themselves to whatever scrutiny is appropriate to their office.</li> </ul>
<b>Objectivity</b>	<ul style="list-style-type: none"> <li>• act and take decisions impartially, fairly and on merit, using the best evidence and without any type of discrimination.</li> </ul>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>• sustain public sector integrity and adhere to the above principles in the execution of their duties.</li> </ul>



### 1.3.1 Role and Responsibilities of Integrity Officers

Integrity Officers have been designated and empowered to drive anti-corruption initiatives and to enhance the effectiveness and sustainability of the anti-corruption framework in public bodies. They are members of Anti-Corruption Committees (ACCs) set up at the level of public bodies and are expected to play a critical role in reinforcing organisational integrity.

Expectations	How
Secure and sustain public trust and confidence in public sector management	<p>The Anti-Corruption Committee (ACC) has to direct the change process. The Committee should comprise top management members. Their tasks would consist of:</p> <ul style="list-style-type: none"> <li>• translating the strategic lines defined by top management into an integrated Integrity Management Plan;</li> <li>• having the plan endorsed by parent Ministry and/or other competent government authorities;</li> <li>• engaging staff in the implementation of the plan (ACC could be assisted in its task by one or more working groups and trade union representatives could be involved in the process);</li> <li>• expediting implementation of the Public Sector Anti-Corruption Framework (PSACF) in a sustained manner;</li> <li>• monitoring progress and reporting to top management and parent Ministry.</li> </ul>
Assess the implementation deficit of integrity measures	<p>Minimise the risks of malpractices and corruption by:</p> <ul style="list-style-type: none"> <li>• promptly identifying, assessing and mitigating integrity risks;</li> <li>• sharing experience with other Integrity Officers.</li> </ul>
Reinforce both system's and people's integrity in public bodies	<ul style="list-style-type: none"> <li>• develop and implement measures for the promotion of transparency, accountability and integrity in public sector organisations;</li> <li>• ensure compliance to the code of ethics/conduct and enhance ethical standards;</li> <li>• provide opinions and guidance on integrity risks and issues that may arise.</li> </ul>
Pave the way for attaining public service excellence through an integrated, inclusive and holistic approach	<ul style="list-style-type: none"> <li>• ensure that the processes are consistent with updated government regulations, policies, guidelines and best practices;</li> <li>• create a conducive environment where public officers would be able to carry out their duties as efficiently and effectively as possible, within available resources, for the benefit of all customers.</li> </ul>

## UNIT 2

### Implementing an Ethics/Integrity Infrastructure within an Organisation

#### 2.1 Introduction

Black's law dictionary defines integrity as "*soundness of moral principle and character, as shown by one person dealing with others in the making and performance of contracts, and fidelity and honesty in the discharge of trusts*".

"Systems integrity" refers to integrity of processes, procedures and systems, mainly to corruption-resistant policies and the procedures and practices in place within the organisation. Policies and procedures must contain the necessary checks and balances to promote transparency and accountability in the organisation and detect any abuse of office. Also, of equal importance is personal integrity which is the promotion of acceptable behaviour /conduct in a workplace that is based on a set of well-defined values and beliefs that guide behaviours, attitudes and practices. Personal integrity is a key determinant in the successful management of influence or conflict of interests in public sector organisations.

In implementing an ethics/integrity infrastructure within a public sector organisation, it is imperative that adequate consideration be given to the following:

#### 2.2 Organisational Weaknesses - Opening the door to misconduct

The systems and processes in an organisation can have a bearing on corruption. Weaknesses open the door to corruption, fraud, malpractices and misconduct.

Vulnerabilities in an organisation can be the product of external factors also. These vulnerabilities can be linked to internal factors such as organisational flaws and mismanagement that then negatively impact on individual behaviour and attitudes. The organisation is the 'platform' where all these influences converge, and if vulnerabilities are not detected on time and remedial measures are not taken, the fight against corruption may be lost.

#### 2.3 Ethical Management

Ethical management exists in a context where values are placed at the center of institutional life and, crucially, the responsibility for managing these values is carried by individuals, professionals and the institution.

As such, ethical public sector management requires the battle against corruption to be placed not only within an institutional context, but also within a professional and social context. Ethical management leads public officers to see themselves as members of the community and recipients of public services.

##### 2.3.1 How can values, rules & behaviour be integrated into the fight against public sector corruption?

The working environment may encourage or restrict, foster or hinder certain types of behaviour and actions. Organisations can be seen as arenas in which the members of the organisation

can develop personal strategies for achieving their own goals, which can differ from and even oppose the goals of the organisation.

Organisational weaknesses can open the way for unethical behaviour and inappropriate action by individuals within the organisation. A clear identification of these weaknesses is necessary to take measures to reduce the risks of external and internal corruption in a timely manner. Thus, measures may stand guided by a statement of values as follows:

Statement of Values	
Excellence	Having the highest professional standards and integrity
Trust	Getting the confidence of your colleagues and the public
Honour	Serving the public with consistency and dignity
Impartiality	Fair and objective decision-making without prejudice
Commitment	Dedication and devotion to the performance of your duties
Accountability	Acknowledge ownership and be answerable for your actions or lack of actions
Leadership	Acting as a role model for everyone in your work environment

## 2.4 Conditions for implementing efficient anti-corruption measures

### (i) *Know your organisation*

It is a precondition for any public body that all its employees from top to bottom know and understand the purpose of that public body, its mandate and scope of operation. Thus, they should be knowledgeable about the following:

- All relevant legislation and regulations governing the delivery of public services in the organisation;
- The provisions of relevant Anti-Corruption Protocols and Conventions;
- Approved policies, procedures, guidelines (including the Human Resource Management Manual, Financial Management Kit) and circulars;
- Relevant reports and circulars like the National Audit Report (and Management Letters), Internal audit/control reports/recommendations, PRB Report, etc;
- Relevant best practice guides and codes of ethics like the Code of Ethics for public officers and that for officers involved in procurement (*The Code of Conduct on Procurement for Public Officials prepared by the ICAC in collaboration with the PPO is available on ICAC's website*) and
- Relevant management tools and mechanisms like guidelines, manuals, complaint management system, etc.

### (ii) *Support of all stakeholders*

It is important that all stakeholders be actively involved and be strongly supportive if public sector corruption is to be reduced in the short term and eliminated in the medium term. It is not enough for government agencies to adopt anti-corruption measures if public officers and public opinion are not supportive of – let alone hostile to – such measures. The stakeholders include the responsible Minister, trade unions, staff, NGOs, the mass media, the general public and the public officers themselves.

**(iii) Clarity of measures and objectives**

If there is ambiguity in the measures to tackle corruption and how to attain the objectives or not sufficient commitment from stakeholders the measures are likely to be unsuccessful. It is vital that objectives are clearly formulated and measures adopted to reach those objectives are clear, suitable, understood by everybody and achievable.

**(iv) Resources**

Resources must be appropriate to and adequate for the task. Material resources are necessary but not sufficient. Appropriate human resources are equally vital. Those involved must be committed, and there needs to be adequate knowledge, expertise and experience among those charged with addressing the issue. A final resource is time. Tackling public sector corruption needs to be an ongoing process: there are no 'quick fixes' and those primarily responsible for addressing the problem need to be given adequate time to analyse its roots, as well as to develop, test and then implement and evaluate appropriate strategies. A reasonable timeframe should be agreed upon.

**(v) Empowerment**

The first and foremost element regarding empowerment is raising awareness about corruption and its damaging effects. Thus, through awareness raising, the commitment and engagement of key stakeholders are secured with a view to rendering the fight against corruption sustainable.

In this perspective, a major stakeholder and one which is quite frequently underestimated is the staff of the organisation. Staff's contribution to fighting corruption is crucial and the latter should be equally empowered on key issues such as the harm of corruption, forms of corruption, its causes and their own role in fighting this scourge. Further, a common finding in many attitude/opinion surveys conducted in Mauritius reveals that "*attitudes among public officers themselves are often inappropriate – too tolerant of at least some forms of corruption within their own services*".

For public officers to forge ahead in the fight against corruption, capacity building needs to be a continuous process to respond to recurring challenges. Management should ensure that employees are provided with the opportunity to share their experience, expertise and discuss emerging challenges and risks. Instead of being part of the problem, employees should be part of the solution.

Thus, empowerment should aim at assisting employees to:



The above has also been recognized in the United Nations Convention against Corruption (UNCAC) (*See article 7 paragraph (1), subparagraph (d) of the United Nations Convention against Corruption (UNCAC). Mauritius has ratified this Convention on 15 December 2004.*) which, as part of preventive measures, requires that States Parties promote capacity development of public officials in order to enable the proper performance of their functions and raise awareness on risks of corruption inherent to their respective work in the public sector. Such training may make reference to standards of conduct to applicable areas.

**(vi) Proper Planning**

To convert concern about public sector corruption into practical reactions, Integrity Officers need to lead and manage the implementation of anti-corruption measures through proper planning and realistic timeframes. The following aspects need to be considered for development of an effective integrity management plan:

- Identify what appear to be the main sources and locations of corruption;
- Propose concrete measures for addressing these sources;
- Identify appropriate senior officers to be responsible for implementing these measures;
- Specify clear actions and responsibilities;
- Provide timelines for adopting concrete measures and achieving specified objectives (Deadlines need to be close enough to act as motivation, but not so immediate that it is impossible to meet them since missing deadlines can result in despair and negative attitudes among those in charge of implementing a plan); and
- Elaborate the monitoring processes and the criteria to be used in assessing the success rate of measures implemented.

## **2.5 Corruption Prevention Reviews**

In line with Section 20(g) of the PoCA 2002, as amended, the ICAC is mandated to exercise vigilance and superintendence over systems integrity of public bodies. Accordingly, corruption resistance is continuously being reinforced in public bodies through the conduct of Corruption Prevention Reviews (CPRs). This involves the identification of corruption risk areas in organisational systems and procedures. Measures to counter corruption opportunities through the reinforcement of transparency, accountability and fairness to render systems and procedures more resistant to corruption are recommended.

The recommendations are based on fact finding and are specific to the organisation, thus Integrity Officers should take cognisance of these reports and facilitate implementation of these recommendations. It is important to bear in mind that corruption prevention is an ongoing process that needs continuous updating. Hence, Integrity Officers are expected to build on these recommendations.

The impact of CPRs, amongst others, is as follows:

<b>Impact of Corruption Prevention Reviews (CPRs)</b>
<ul style="list-style-type: none"> <li>• Improved governance and corruption-resistance</li> <li>• Increased government revenue through cost effectiveness</li> <li>• Increased public service efficiency</li> <li>• Enhanced regulatory frameworks and improved corruption-resistant systems</li> <li>• Improved service delivery and customer satisfaction</li> <li>• Enhanced ethical standards and integrity infrastructure</li> <li>• Favourable change in the perception of corruption</li> <li>• Institutional and public awareness</li> <li>• Reduced corruption opportunities</li> </ul>

*Please refer to ICAC website ([www.icac.mu](http://www.icac.mu)) for more information on Corruption Prevention Reviews and Summary of Reports.*

## 2.6 The Role of the ICAC

Under the Prevention of Corruption Act 2002 as amended, the ICAC is mandated amongst others to exercise vigilance over integrity systems and conduct workshops and other activities for the prevention and elimination of corruption.

With a view to enhancing public sector integrity, the ICAC will:

- assist and guide Integrity Officers in the discharge of their duties and provide them with any relevant technical support/tool;
- conduct training programmes to further empower Integrity Officers with a view to enhance their professional development in light of new challenges ahead;
- ensure that there is a synergy between the Integrity Officer, the Chairperson of the Anti-Corruption Committee and Ethics Committee with a view to sustain public sector integrity;
- monitor, evaluate and support the anti-corruption work of Integrity Officers in public bodies; and
- together with all stakeholders establish a culture of integrity in the public sector.

## 2.7 Obtaining Management Support

Management will support change when convinced that it is useful and beneficial to the organisation and the employees. For this to happen, they should:

- be convinced about the effectiveness of the anti-corruption strategy and the objectives;
- ensure that the goals be realistic, cost-effective and realisable;
- ensure that members of the ACC are committed and are driving the change process;
- make sure that they themselves know what is expected from them and understand what their role consists of; and
- regularly be informed about progress made and the impact on the organisation and the services they are providing.

It is suggested that a working session be held to involve management into the change process from the very start. Discussions should focus on the following:

Decide who should participate in the discussions	<ul style="list-style-type: none"> <li>• Top management (including board members)</li> <li>• Representatives of parent Ministry</li> <li>• Key figures within the organisation, such as the human resource manager, heads of department, advisors, etc.</li> </ul>
Principles and values	<ul style="list-style-type: none"> <li>• Identify principles and values connected with curbing corruption</li> <li>• Setting objectives and goals</li> </ul>
Strategies	<ul style="list-style-type: none"> <li>• Work out the strategy to follow in order to fulfill the objectives and reach the goals. This involves focusing on:             <ul style="list-style-type: none"> <li>• the most appropriate approaches</li> <li>• the resources to be allocated</li> <li>• how to engage employees in the process</li> </ul> </li> </ul>
Success Factors	<p>Enhancing integrity in a public sector organisation is a challenging task. Such a reform can be successful if the following seven factors are given due attention:</p> <ul style="list-style-type: none"> <li>• Nurture feeling of urgency so that reforms are felt as being indispensable and unavoidable</li> <li>• Build a coalition to support the reform</li> <li>• Develop a vision and a strategy</li> <li>• Explain, motivate, gain adhesion through communication policy</li> <li>• Work to reduce opposition and obstacles</li> <li>• Build on successes</li> <li>• Consolidate and communicate</li> </ul>

## 2.8 Managing Change

Change is a process and those who are concerned should be prepared to make it happen. Effective communication and management of change are critical for success.

The establishment of a culture of integrity requires considerable change in terms of systems, behaviour, attitudes and mindset, thus the need to manage the change effectively. To push through reforms and changes, management must be consistent in its approach. Senior public officers should be role models from whom the personnel in the organisation can take a lead; the good role model extends beyond good anti-corruption behaviour, attitudes and messages in both public and private life. Consistency in the way to deal with the day-to-day management of the affairs of the organisation is also a practice that can be of considerable help in setting the right ethical tone in the organisation.

A powerful way to start is through an anti-corruption capacity building programme linked to a process of leadership development in the organisation where the leaders can demonstrate their belief and commitment to change and to resist corruption.

It is important to measure and evaluate the changes in the organisation so that the success of the programme can be monitored, reviewed and redirected if necessary.

## 2.9 Improving Public Service Delivery

Public service delivery needs to be based on the principles of quality, fairness, equity, merit, responsiveness, sustainability and availability. A public service should be affordable and consistent over time and available at the time and scale that the user needs it. Effective service delivery is about providing the services that meet the needs of the users in the most efficient and effective ways.

At the center of public service delivery are probity, value for money, efficiency and effective use of resources, improved communication and decision-making processes. If the accountability process is weak, value for money will not be obtained. Lack of transparency, consistency and fairness in the delivery of public services will lead to public dissatisfaction and distrust.

Therefore, there is a need to improve the level of public service delivery by setting and maintaining high standards of quality, probity, fairness and merit through appropriate systems, procedures, processes, practices and ethical conduct.

## 2.10 Complaints Handling and Internal Reporting System

Such a system is a valuable mechanism for early detection of corruption, malpractices and unethical behaviour/attitudes in an organisation. It provides for a systematic, safe and confidential way for staff and members of the public to report malpractices and voice their grievances. Staff should be encouraged to report reprehensible acts within their working environment.

Public organisations need to be prepared to collect and respond to complaints from the public. Alerts from whistleblowers are probably the best source of information on alleged corrupt activities and malpractices from internal and external stakeholders. It is a vital weapon in tackling corruption and ensuring vigilance in the public sector. However, enlisting the support of public officers in the battle against corruption and malpractices, and encouraging them to report, is a challenging task which requires the right work environment with the right anti-corruption infrastructure.

A well-structured complaints handling mechanism:

- prompts for a functional and efficient means of reporting, eliminates ambiguous issues and minimises elements of bias in the system.
- creates confidence and trust in the system; thus providing assurance to employees and external stakeholders that they are not going to be victimised following a complaint (even against management) made by them.



### **Guidelines**

- Lay down a complaints handling mechanism to encourage and enable reporting of irregularities, corruption and other malpractices from internal and external sources;
- Communicate to all stakeholders how to channel their complaints through the formal structure;
- Ensure protection to the whistle-blower and his/her identity;
- Publicize the reporting channels and ensure everybody understands its importance and is aware of the channels of reporting;
- Ensure proper recording of all complaints and actions taken;
- Establish investigation procedures.
- Report criminal offences to the relevant law enforcement agencies.

*Please refer to the Public Sector Anti-Corruption Framework Manual (the chapter on Internal Reporting System at page 25)*

### **2.11 Use of Discretionary Powers**

Administrative decisions often include the exercise of discretion. Discretion exists when the decision-maker has the power to make a choice about whether to act or not to act, to approve or not approve, or to approve with conditions. The role of the decision-maker is to make a judgement taking into account all relevant information.

It is essential that public officials give due consideration to all relevant and material facts and circumstances prior to making decisions, particularly when these affect the rights or interest of concerned parties. Public officials are therefore expected to perform their duties impartially and act in “good faith” in exercising discretionary power or delegated authority. Public officials are therefore advised to be judicious in the exercise of discretionary powers.

## UNIT 3

### Reinforcing Public Sector Integrity

#### 3.1 Introduction

It is important to demonstrate to the corrupt that corruption is a high risk and low gain activity. Those who condone corruption risk much more than just losing their job. The population is becoming more intolerant towards corruption and feels concerned about the problem. If we want our children to live in a society where justice, fairness, meritocracy, honesty and integrity prevail, we should act now against the scourge.

Furthermore, any effective anti-corruption strategy should not only consider the demand and the supply side of corruption but also the ethical aspect. This concerns the behaviour and conduct of individuals. Public officers need to reflect on:

- (a) Why is there a higher perception of corruption in the public sector?
- (b) What have we done or not done that creates such a perception?
- (c) What must we do to reverse this perception?

#### 3.2 Implementation Guidelines to Reinforce Public Sector Integrity

##### *a) Enabling Environment*

**Do top management and policy makers demonstrate high standards of propriety in the discharge of their official duties?**

Top management and policy makers can contribute significantly towards maintaining a high standard of propriety in the discharge of their official duties. In particular they need to lead by example in the management of their private interests to prevent conflict of interests and demonstrate to the public that they are impartial stewards of public interest.

For example, public disclosure of private interests by leaders/policy makers and managers in public organisations can demonstrate their expected standard in their daily professional conduct. Moreover, they need to provide the required resources and support to enable Integrity Officers to fulfil their functions effectively.

##### *b) Integrity Standards*

**Do public officials know the fundamental values of the public service and standards of conduct to apply in their daily work?**

Public officials need to know the fundamental values of the public service and the standards of conduct they are expected to apply to their work, including the boundaries for acceptable behaviour.

In particular a concise statement of standards of conduct expected of public officials, for example, in the form of a code of ethics/conduct, helps to create a common understanding within public bodies and the wider public. The ICAC has developed a guide on “Managing Conflict of Interests” that is available on its website [www.icac.mu](http://www.icac.mu).

Guidance and internal consultation mechanisms help public officials apply basic standards of

conduct in the workplace, for example when confronted with conflict-of-interests situations. Counselling and integrity training develop the capacity of public officials to resolve integrity dilemmas and ensure that their decisions are not biased by private interests. Also, public officials should know their rights and obligations in terms of exposing potential wrongdoing.

c) **Risk Mapping**

**Have risks to integrity been identified in key activities and have countermeasures been developed to manage these risks?**

Promoting a culture of integrity requires public officers to anticipate risks to integrity, identify sources of corruption and malpractices and apply tailored countermeasures. Organisations can map out risks to integrity in relation to specific activities or positions with a view to strengthening the organisational resilience in response to integrity violations.

Preventing risks to integrity is particularly important for good governance. In particular, it is a growing public concern that the integrity of decision-making is not compromised by public officials' private interests. *(For further information on risk mapping, you may consult the "Practical Guide on Corruption Risk Management" (developed by the ICAC) which is available upon request.)*

d) **Controls**

**Are effective internal control mechanisms in place and are they closely coordinated with external controls to avoid loopholes?**

Internal controls provide a reasonable assurance that public organisations deliver quality services in an efficient manner, in accordance with planned outcomes, safeguard public resources against waste, maintain reliable financial and management information; and comply with applicable legislation. Internal controls can be effective to prevent corruption, provided that there is a number of guarantees in place to ensure the independence of internal audit/internal control, including the fact that this should be an adequately staffed position with appropriately qualified persons.

At the level of individual public organisations, a clear chain of responsibility is crucial for defining the authority for approval, based on an appropriate segregation of duties, as well as the obligations of internal reporting. In case of delegated authority, it is important to explicitly define the delegation of power of signature, the acknowledgement of responsibility and the obligation for signature. Also it is imperative to track decisions with adequate records in writing or through electronic means. Without adequate records there is no trail to audit to enable public scrutiny. *(The Internal Audit Charter developed by the ICAC may guide Internal Controllers to enhance integrity in the Internal Audit function.)*

e) **Openness**

**Are mechanisms in place to enable civil society organisations, media and the wider public to scrutinize our actions?**

**Open policy-making:** It increases accountability, prevents corruption and fosters public trust. The right to access information is a fundamental condition to provide civil society organisations, media, business, end-users and the wider public with the information they need to oversee and evaluate decision-making and public policies.

**Public engagement:** Public engagement can also create a shared responsibility for quality/ efficient service delivery and a shared role for enhancing integrity. In particular the involvement of internal and external stakeholders in the development of anti-corruption laws, policies or initiatives contributes not only to improving awareness about the importance of integrity standards but also facilitates their implementation.

**Public Scrutiny:** Public bodies are increasingly called upon to work with civil society and the private sector to deliver “targeted” transparency – i.e. increasing the availability of and access to socially useful and focused information to the public (e.g. energy, health, social aid, food security/safety). Also information can be made available on processes that are vulnerable to corruption in order to enable public scrutiny.

Openness is an essential pillar of good governance which advocates for transparency in all processes targeting both the external and internal stakeholders.

### 3.3 Six Steps to Public Sector Integrity Management

It is imperative for management in public organisations to adopt measures that can help enhance public sector integrity and foster public trust and confidence.

The ICAC has reviewed the anti-corruption infrastructure and control systems of a number of public organisations in Mauritius and Rodrigues and developed a comprehensive checklist of things to do in areas which are considered corruption prone. This checklist aims at providing a user-friendly guide to help public organisations set up a sound governance structure and adopt effective control measures in their operations.

The six steps methodology is meant to assist Integrity Officers in assessing their organisations with a view to reinforcing public sector integrity.



Figure 1 Six Steps to Public Sector Integrity Management

## STEP 1: COMMITMENT TO AN ANTI-CORRUPTION PROGRAMME 'FROM THE TOP'

1. Top management publishes a statement of the organisation's commitment to anti-corruption principles: e.g.:

*"The organisation shall prohibit any form of corruption in any form"*

*"The organisation shall commit to implementing a programme to counter corruption"*

The commitment should be:

- (a) expressed formally through a written statement published internally and externally.
  - (b) adopted throughout the organisation in operational (e.g. procurement) and key support (e.g. Finance & Control) departments, as well as communicated to external stakeholders.
  - (c) accompanied by appropriate briefing/training.
2. Commitment from senior management needs to be renewed on a periodic and regular basis (e.g. yearly).

Public bodies are called upon to adopt an anti-corruption programme as an expression of their commitment to core values of integrity and responsibility as well as to effectively counter corruption. A "culture of integrity" is fostered from top down in the first instance through concrete actions.

3. An effective programme requires oversight, leadership and support from senior management
4. Sufficient resources must be allocated to ensure implementation or review of the anti-corruption programme.

## STEP 2: ASSESS THE CURRENT STATUS AND RISK ENVIRONMENT

1. Before an organisation develops and implements its anti-corruption programme, it must conduct a risk assessment. The aim of the risk assessment is to identify areas of greatest inherent risk and evaluate the effectiveness of existing risk mitigating measures.
2. Risk assessment identifies the corruption risks by sectors or areas of activity. As a result, the organisation can prioritise and allocate resources appropriately to the areas of greatest risk. Also, the risk assessment evaluates the effectiveness of existing risk-mitigating measures to determine the residual risks of corruption in the organisation.
3. Finally, the risk assessment takes into consideration:
  - Changes in the legal environment
  - New increased risk exposure
  - Technological developments (e.g. continuous auditing) or
  - Past experience (e.g. external and internal audit reports, incidents and Media reports)

Risk assessment concerns everybody but is driven by the Anti-Corruption Committee with support of top management. This risk assessment lays the foundation for a plan of action. The scope and activities of the anti-corruption programme are defined.

### STEP 3: PLAN THE ANTI-CORRUPTION PROGRAMME

1. Detailed policies, processes, training materials and guidance that form the basis for the implementation Step 4 are developed or reviewed:
  - Who is responsible for ensuring compliance with and monitoring the programme (e.g., internal audit, Anti-Corruption Committee/Integrity Officer)?
  - Do existing policies need to be adapted (e.g. employee incentive structures)?
  - What monitoring controls are needed?
  - How will suggestions and complaints be handled?
  - How will the programme be communicated to internal and external stakeholders?
  - To what extent will external assurance and reporting be used?
  - What recordkeeping systems need to be put in place?
2. The policies and procedures should be reviewed and approved by management, employee representatives and (if appropriate) external stakeholders. The anti-corruption programme should be communicated effectively to all stakeholders.
3. The detailed implementation plan (including objectives, resources and timetable) must be prepared and approved by all relevant parties before proceeding to Step 4.

### STEP 4: IMPLEMENTATION OF ANTI-CORRUPTION PROGRAMME

1. The policies and procedures need to be integrated into the organisational management framework:
  - Implement policies and procedures (e.g. internal checks/controls and balances)
  - Develop supporting systems (IT, etc.)
  - Communicate the programme (e.g. CEO announcement, workshops, newsletter)
  - Designate “in-house champions” to support the implementation
  - Deliver training (face-to-face, on-line/self-study etc.)
  - Provide supporting tools and guidance (e.g. self-assessment survey for high-risk departments)
  - Set up and implement a Complaints Management System
2. The capacity of internal functions needs to be reviewed and (if necessary) strengthened. This includes:
  - Support functions (legal, finance, internal audit, human resources etc.)
  - Operational functions (procurement, law enforcement, licensing, permits, contract management, service delivery etc.)

### STEP 5: MONITORING CONTROLS AND PROGRESS

1. Implementing an anti-corruption programme is not a one-time event, it needs to be sustained and followed up through regular internal and external periodic monitoring and evaluation.
2. Monitoring ensures that strengths and weaknesses are identified and that the programme is continuously improved to remain effective and up-to-date (change management activities). The progress of the overall programme needs to be continuously monitored.

3. Responsibility for the monitoring of the overall anti-corruption programme needs to be assigned clearly and resources made available.
4. Management needs to consider the results of periodic internal and external reviews and ensure that required changes are implemented in appropriate and prompt manner.
5. Reporting programme demonstrates the sincerity of the organisation's commitment and how values, principles and policies are being translated into action.
  - Reporting raises awareness among employees and provides a means of control and discipline.
  - Reporting establishes a common language to measure, compare, discuss and improve anti-corruption activities and practices.
  - Reporting not only reassures internal and external stakeholders that the organisation is operating properly but can also act as a deterrent to those intending to bribe or solicit bribes.

#### **STEP 6: REPORTING INTERNALLY AND EXTERNALLY ON THE PROGRAMME**

1. Information about the programme needs to be effectively communicated on a regular basis to all relevant internal and external stakeholders, e.g.:-
  - How the programme is being implemented,
  - Employee perceptions and attitudes to the organisation's anti-corruption policy and performance,
  - Number of inquiries or issues raised through help and complaint channels,
  - Number and types of breaches/violations detected as well as corrective actions undertaken,
  - Sanctions applied and operations abandoned because of corruption incidents etc.
2. Implementation experiences should be discussed with other stakeholders and peer groups to share good (and bad) practices and learn from each other (e.g. through participation in voluntary anti-corruption initiatives).

## UNIT 4

### Checklists

#### Integrity Risk Areas and Mapping, Controls, Monitoring and Evaluation

### 4.1 Introduction

In this unit, you will find a comprehensive list of guiding principles / checklist that has been developed to assist you as Integrity Officers to further understand your work environment, assess existing and potential risks, mitigate such risks and consolidate organisational integrity.

These checklists can be considered/ adopted or adapted to the public sector, parastatal bodies and state-owned institutions.

### 4.2 Guiding Principles

#### 4.2.1 Transparency and Accountability

Make transparent the organisation's operations, performance and actions, through disclosures on the website, in annual reports and through pamphlets.

Publicise the following information:

- organisation's governance, objectives, and performance;
- procurement and recruitment policies;
- audited financial statements;
- achievements against set targets;
- initiatives to enhance organisational integrity and performance.

For parastatal / state-owned institutions:

- profiles of the board members and key executives;
- roles and responsibilities of the board and committees;
- number of board meetings held during the year and on request, members' attendance rate;
- code of conduct for board members and employees.

#### 4.2.2 Commitment

Together with management and trade unions, there is a need to secure the full commitment of staff to establish a culture of integrity in the organisation.

- Has management come up with an anti-corruption policy?
- To what extent are employees aware of the policy?
- Is the organisation implementing the Public Sector Anti-Corruption Framework?
- Is management concerned about the negative perceptions of the organization on account of corruption and malpractices?
- To what extent are the issues highlighted in the reports of the National Audit Office and in management letters addressed?



- What measures have been adopted by management to counteract or prevent corruption, fraud and other malpractices within the organisation?
- What measures has management taken to improve public service delivery and eliminate any perception of corruption or malpractice?
- Are the resources allocated to enhance organisational integrity adequate?
- Does management set an example/ right tone regarding integrity and ethical behaviour?
- Does management demonstrate the importance of integrity and ethical values to all concerned?
- Has management come up with a complaints management system?
- If there is a complaints management system, are employees aware of the system and is it being used? Is it effective?

#### **4.2.3 Discretionary Powers**

- Are relevant legislation, policies, guidelines, statutory and administrative procedures followed?
- Is necessary information gathered through consultations and fact finding? Is the evidence evaluated and weighed to determine the relevant considerations and key facts before exercising discretion?
- Are those exercising discretionary powers acting reasonably, fairly, without bias and observing the rules of procedural fairness?
- Are discretionary powers exercised promptly, in good faith and in accordance with the provisions of the law? How are transparency and accountability ensured in the use of discretionary powers?
- Are there enough checks and balances to avoid abuse of discretionary powers? Is the exercise of discretionary powers closely supervised?
- Are the parties concerned with a decision promptly informed, advised of the outcome and provided the reasons for the decision?
- Are records properly kept?

#### **4.2.4 Advantages of Communication - Improving the image of the organisation**

- Reinforce the efficient delivery of services, prevent the perception of the public that the officers are corrupt when they may 'only' be inefficient.
- Indicate that corruption is taken seriously and violations are not tolerated.
- Develop a policy of transparency that informs the public about corruption incidents (and other types of offences) committed by officers, and about the organisation's response to these offences, as well as broader measures to avoid the repetition of such acts.
- Invitation to the public to report any deviation from the Customer Charter.
- Maximum use of the organisation's website to reassure the public that malpractices are not tolerated within the organisation and in its dealings with stakeholders and there is no impunity.
- Maximum use of the intranet to deter/ stop impunity against corruption and other malpractices within the organisation and in its dealings with stakeholders.

## 4.3 Risk Areas

### 4.3.1 Managing Operations

- Are there adequate policies and procedures established in the area of operations?
- Do these policies and procedures sufficiently address corruption and other malpractices?
- Are policies and procedures subject to discussion with employees?
- Have the officers operating in this area been informed and provided with training on policies and procedures?
- Are corruption risk areas in operations regularly assessed?

### 4.3.2 Human Resource Management

- Are policies and procedures established for human resource management (HRM) adequate?
- Are employees aware of these policies and procedures?
- Are HRM officers well versed in these policies and procedures?
- Are these policies and procedures fully complied with?
- Are the appropriate integrity checks performed systematically by the Public Service Commission (PSC) or by Boards?
- Are there performance indicators to assess the integrity of individuals?
- Are procedures in place to ensure reporting of outside employment, and any actual or potential conflict of interests?
- Are major duties and functions which are susceptible to abuse, malpractice or corruption assigned to different staff members to enhance checks and balances?

### 4.3.3 Procurement of Goods and Services

<b>Basic Requirements</b>	Ensure that procurement methods are according to the Public Procurement Act, Public Procurement Regulations and the guidelines of the Procurement Policy Office.
	Develop a procurement plan for the year and get it approved.
	As per Section 9(1A) of the Public Procurement 2006, the Chief Executive shall-(a) before the review of the recommendations of a bid evaluation committee by the Board under 11(1)(e), certify that all procurement rules at the level of the Board have been complied with in accordance with the Act;
	Segregate the procurement duties, such as drafting of specifications, sourcing of suppliers/contractors, evaluation of bids, approval of purchases, receipt of goods, and certification of payments as far as possible.
	Build in the process effective supervisory checks to ensure that procedures laid down are followed and procurement decisions are made properly.
	Maintain proper documentation of the procurement process, including decisions and justifications.
	Ensure performance reports are produced for each contract.

<b>List of Suppliers/ Contractors</b>	Compile a list of suppliers/contractors for frequently required goods or services, categorised by the types of goods or services they provide.
	Lay down the listing criteria (e.g. the company size, years of experience, specialization, etc.) and submit the list for approval to a panel or designated senior staff; and subject suppliers nominated by users to the same listing process.
	Establish a performance management system, taking into account users' feedback and take disciplinary action in case of poor performance (e.g. suspension from invitation to bid).
	Review and update the approved list regularly (e.g. annually) with a view to removing inactive suppliers/contractors or those with persistent adverse performance records.
<b>Making Purchase Requests</b>	Require procurement officers to detail in the purchase requisition form, specifications and quantities of the goods or services required, the date of delivery, the performance standards as appropriate (e.g. cleaning schedules in a cleaning contract), the name of the requesting person and the approving authority.
	Ensure that the specifications are not overly restrictive to favour any particular supplier or contractor.
	Require procurement staff to record justification for deviations from laid down guidelines (e.g. purchase from a sole supplier) and seek approval from the appropriate authority.
<b>Quotation Procedures</b>	Invite the required number of suitable suppliers or service providers on the approved list of bidders following a recommended practice and keep a record of those invited to bid.
	Provide the bidders with a detailed description of the goods or services required.
	Use a designated fax machine kept in a secured place or an email account with password control for receiving quotations to prevent tampering with the quotations received.
	Obtain approval from a designated authority with justification if the lowest offer is not selected.
	Devise a mechanism to deter and detect bogus quotations (e.g. random checks with the invited bidders) and to detect and deter split orders (e.g. supervisory checks on the pattern of purchases).
	Ensure transparency in the allocation of tenders
<b>Receipt of Goods and Services</b>	Assign a staff member, preferably not the one placing the purchase order, to receive and inspect the goods delivered.
	Arrange testing of the goods (e.g. specialised equipment) by competent staff before acceptance.
	Make available to the users the service requirements or standards and ask them to check the deliverables.
	Require users to certify acceptance of goods or services within a specified time limit upon receipt of the goods or delivery of a service.

	Handle defective goods or short delivery in accordance with established procedures (e.g. asking the supplier/service provider to make good the shortfall immediately).
<b>Payment Procedures</b>	Establish authorisation levels for approving payments and signing cheques. Allow payment only on confirmation of deliverables by users.
	Specify different payment methods, based on the amount of transactions and specify the documents required to support a payment claim.
	Provide for non-routine payments such as advance payments with conditions attached.
	Devise a mechanism to deter and detect undue delay in payment or double payments.

## 4.4 Processes

### 4.4.1 Internal Control

A well-structured internal control system in a public sector organisation may help to detect and prevent public sector corruption and unethical behaviour. It is an important component in the struggle against corruption because ultimately, it is up to the organisation itself to take the necessary action both to prevent and to detect corruption.

Many public bodies have internal audit units as a way of monitoring compliance with internal control procedures. Such units evaluate the organisation, its procedures and general discipline with the aim of finding weak points and making recommendations on how to eliminate them. Internal auditing needs to be independent, and internal auditors should be able to conduct their work objectively. Internal auditors should be operationally independent, independent from management, independent in reporting and independent as individuals.

Control is exercised at different levels over and within an organisation as follows:

Controls must address three levels	
<b>The individual level</b>	<ul style="list-style-type: none"> <li>It is essential that public officers are aware of the values and norms that need to be respected, the objects of the controls and that they have understood their organisation's control mechanisms.</li> <li>They must realise that internal control mechanisms may protect them in case of unfounded accusations, and help them to avoid unintended mistakes.</li> </ul>
<b>The process level</b>	<ul style="list-style-type: none"> <li>One important way of minimising opportunities for corruption in the daily work in the public sector is to ensure that tasks are documented and carried out in accordance with set rules of procedure. If necessary, these rules of procedure should be reviewed, to eliminate possible opportunities for corruption and other malpractices.</li> </ul>
<b>The organisational level</b>	<ul style="list-style-type: none"> <li>Corruption can be encouraged by managerial and organisational weaknesses, and internal control helps to identify and correct these vulnerabilities.</li> </ul>

The checklist below addresses the areas in relation to integrity building and anti-corruption. It is meant to strengthen controls, improve compliance and reduce the risk of corruption within public bodies

<b>Strengthening Management</b>	<ul style="list-style-type: none"> <li>Establish early warning systems that allow management to identify and correct violations of policies, procedures, values and rules committed by officers, eliminating the risks of corruption and malpractices within the organisation.</li> <li>Ensure fairness and meritocracy in the recruitment process and the promotion of employees by adhering to policies and procedures.</li> </ul>
<b>Makes an Organisation Accountable</b>	<ul style="list-style-type: none"> <li>Establish accountability so that officers can be held accountable for their actions or when they violate relevant laws and internal code of ethics/ conduct.</li> </ul>
<b>Respect for Ethics</b>	<ul style="list-style-type: none"> <li>Enforce ethical standards, and ensure that officers respect the values and norms set by the organisation.</li> <li>Ensure that all members of an organisation are treated equally and fairly.</li> <li>Address the cynicism that can develop among officers if only lip service is paid to the values and norms established by management.</li> </ul>
<b>Clear Policies</b>	<ul style="list-style-type: none"> <li>Devise and publicise to all employees the policies in respect to internal control matters.</li> </ul>
<b>Clear Work Procedures</b>	<ul style="list-style-type: none"> <li>Lay down the procedures for the essential operations (e.g. procurement procedures) for staff compliance.</li> </ul>
<b>Clear Roles and Responsibilities</b>	<ul style="list-style-type: none"> <li>Clearly define responsibilities of staff at all levels, including their role, duty, authority and chain of command.</li> </ul>
<b>Segregation of Duties and Functions</b>	<ul style="list-style-type: none"> <li>Assign major duties and functions which are susceptible to abuse or corruption to different staff members to enhance checks and balances.</li> </ul>
<b>Management of Conflict of Interest Mechanism</b>	<ul style="list-style-type: none"> <li>Require all conflict of interests to be duly declared, recorded, and managed.</li> </ul>
<b>Protection of Sensitive and Confidential Information</b>	<ul style="list-style-type: none"> <li>Safeguard sensitive or confidential information, in hard and soft copies and restrict access to authorized persons only.</li> <li>Establish an IT policy stipulating all policies governing IT security norms, the use of information, IT equipment, exchange of information and connectivity issues</li> </ul>
<b>Supervisory Checks</b>	<ul style="list-style-type: none"> <li>Require supervisors to conduct routine and surprise checks to ensure compliance with all laid down rules and procedures.</li> <li>Record and report any irregularities to senior management for disciplinary action.</li> </ul>
<b>Documentation</b>	<ul style="list-style-type: none"> <li>Properly document all activities (e.g. recruitment and promotion exercise, acceptance of donations), and record justifications for any deviations from the guidelines to ensure accountability and provide an audit trail.</li> </ul>

<b>Channels for Complaints</b>	<ul style="list-style-type: none"> <li>• Establish and publicize the channels for complaints by staff, customers and service providers.</li> <li>• Require designated staff to handle complaints promptly and report to the management for action.</li> <li>• Ensure follow-up on serious complaints that may affect the organisation's operation or reputation</li> </ul>
<b>Risk Management</b>	<ul style="list-style-type: none"> <li>• Establish a risk management framework to identify risk areas, devise preventive measures and have in place an audit function to check compliance.</li> <li>• Internal audit to check effectiveness of controls, including compliance with statutory and regulatory requirements, policies, procedures and standards.</li> </ul>

#### **4.4.2 Overtime Management**

Overtime in the public sector is regulated by the Human Resource Management Manual. Over the years, overtime expenditure in public bodies has increased significantly both in terms of payments and as a percentage of regular salaries. This increase is often attributed mainly to staff constraints. The involvement of substantial amounts of money in terms of overtime payment may lead to malpractices and opportunities for corruption.

Common forms of malpractices and corruption include the allocation of overtime work to a non-deserving staff against gratification, the falsification of attendance records and the claiming of undue overtime that very often involves compromised supervisors. Such malpractices, besides affecting operational efficiency and increasing staff costs, can result in offences both under the Criminal Code and the Prevention of Corruption Act 2002.

- Are there policies and procedures established on how, why and when overtime work needs to be considered?
- Have these policies and procedures been communicated effectively among the individuals concerned?
- Is overtime supported by a needs assessment?
- Are officers concerned with overtime fully conversant with the policies and procedures in respect to the management of overtime?
- How are transparency and accountability in the management of overtime system ensured?
- Is fairness ensured in the allocation of overtime?
- Are time and labour entries approved by management or senior officials to ensure that worked hours correspond to paid hours?
- Does management ensure continuous monitoring and improvement of overtime?

Refer to the *Best Practice Guide on Overtime Management in the Public Sector*, published by the ICAC.

#### **4.4.3 Monitoring and Evaluation**

The checklist below is meant to assess the extent to which the organisation has been able to achieve its objectives in enhancing organisational integrity and its impact on the organisation, employees and the public. Such an evaluation is possible only through proper and systematic monitoring and recording of data.

Monitoring and evaluation with respect to organisational integrity need to focus on the following:

- Reduction of risks of corruption and malpractices occurring within the organisation;
- Trust and confidence in the organisation and effectiveness of public service delivery;
- Promotion of public service excellence;
- Value for money for goods and services provided;
- Observance, review and reporting progress in the implementation of the PSACF;
- Consistency of processes followed with public sector regulations, policies, guidelines and best practice principles;
- Ethical Standards - Compliance with the code of ethics/conduct;
- Dealing with ethics-related enquiries;
- Management of complaints regarding non-compliance under the guidance and supervision of the Senior Chief Executive or Permanent Secretary;
- Assessing and managing integrity-related risks and vulnerabilities;
- Organisation's integrity performance.

#### 4.4.4 Capacity Building

Capacity building, through empowerment of relevant officers can deter individuals from corruption. Apart from traditional core subjects related to particular knowledge, skills in operational areas should also include ethics and integrity related areas. This will contribute to diminishing the corruption vulnerabilities of the organisation, help strengthen an anti-corruption culture and meet public expectations.

<b>Basis of capacity building programme</b>	<ul style="list-style-type: none"> <li>• Conduct a needs analysis for capacity building. Take into consideration expertise and skills requirements for implementation of medium term and long term plans.</li> <li>• Integrity training should be a core component integrated in all topics of training.</li> </ul>
<b>Recipients of Training</b>	<ul style="list-style-type: none"> <li>• Provide continuous capacity building training for both new recruits, board members and staff.</li> </ul>
<b>Issues addressed during trainings</b>	<ul style="list-style-type: none"> <li>• Include in the training programmes public sector integrity, legislation (e.g. the Prevention of Corruption Act 2002), common law offence, policies, procedures, practices, ethics and specific related topics.</li> </ul>
<b>Methods used</b>	<ul style="list-style-type: none"> <li>• Conduct brainstorming sessions and focus group discussions on specific topics to allow sharing of expertise, skills and experience.</li> <li>• Use intranet to remind officers of policies and procedures to ensure organisational integrity.</li> </ul>
<b>Risks addressed during training</b>	<ul style="list-style-type: none"> <li>• Ensure staff and board members are aware of existing and potential risks and how to mitigate or deal with such risks.</li> <li>• Provide officers with the opportunity to comment and suggest ways to enhance integrity in procedures, policies and practices.</li> </ul>
<b>Objectives of training conducted</b>	<ul style="list-style-type: none"> <li>• Promote systems and people integrity as a core component of human resource development and ensure that staff is aware of initiatives in this regard.</li> <li>• Promote self-discipline and organisational integrity.</li> </ul>

## 4.5 Other Issues

### 4.5.1 Acceptance of Advantage and Entertainment

<ul style="list-style-type: none"> <li>• Ensure that the board members and staff of public bodies are aware of the provisions and sanctions under the Prevention of Corruption Act 2002.</li> </ul>
<ul style="list-style-type: none"> <li>• Remind board members and staff to avoid accepting unduly lavish or any entertainment from persons with whom they have official contacts or dealings</li> </ul>

### 4.5.2 Conflict of Interests (COI)

<b>Is conflict of interests understood?</b>	<ul style="list-style-type: none"> <li>• Stipulate the requirements for board members and staff to avoid and declare any conflict of interests in writing, and provide them with examples of conflict of interest situations.</li> </ul>
<b>How to declare COI?</b>	<ul style="list-style-type: none"> <li>• Develop a conflict of interests declaration form in accordance with the model provided by the ICAC in the handbook “Managing Conflict of Interests”.</li> </ul>
<b>How is it managed?</b>	<ul style="list-style-type: none"> <li>• Establish a system to record and manage the declared conflicts (e.g. a written record of the declared conflict and the action taken to mitigate the conflict by the board or senior management).</li> </ul>
<b>How is COI declaration done in the organisation?</b>	<ul style="list-style-type: none"> <li>• Require board members and staff to declare actual or perceived conflict of interests as it arises.</li> <li>• Formalise a structure for declaration of conflict of interests so that these are aligned to the provisions of the Prevention of Corruption Act 2002.</li> </ul>

### 4.5.3 Red Flags

Very often, officers utter the phrase, “Why didn’t I see it?”. There was an act of corruption and no one noticed it happening. Yet, there were visible signs present in the system; these are what we call red flags. Red flags are those signs which should prompt the red alert that a wrongdoing is happening or is about to happen. Remember that red flags do not indicate guilt or innocence but merely provide possible warning signs of corruption or other malpractices. Most systems inherently contain such alerts; some of the red flags are as follows:

- Employee lifestyle changes: expensive cars, jewellery, house, bungalow, clothes;
- Significant personal debt and credit problems;
- Behavioural changes: these may be an indication of drugs, alcohol, gambling, or just fear of losing the job;
- High employee turnover, especially in those areas which are more vulnerable to fraud;
- “Unusual” or “unexplained” refusal to take vacation or sick leave\* and;
- Opposition to segregation of duties and rotation of employees.

*\* It is noted that depending on the ‘office culture’ or practice, employees may take less vacation or sick leave than entitled to and that would not be in itself a red flag. On the other hand, a refusal to take vacation combined with opposition of segregation of duties or rotation would more likely be a red flag.*

In many instances, management may refer to these alerts, amongst others, as a proactive means to detect and deter acts of corruption.



#### 4.5.4 Handling of Classified Information

- |  |
|--|
| <ul style="list-style-type: none"> <li>• Set out the policy for classification of information and make it known to all board members and staff.</li> </ul>   |
| <ul style="list-style-type: none"> <li>• Prohibit board members and staff from disclosing any classified information without authorisation.</li> </ul>   |
| <ul style="list-style-type: none"> <li>• Remind board members and staff that they should not take advantage of or let any person or other organisation benefit from, the confidential or privileged information obtained.</li> </ul> |
| <ul style="list-style-type: none"> <li>• Establish a system for restricting access to classified information (e.g. the restricted levels and recording of recipients of confidential documents).</li> </ul>                          |
| <ul style="list-style-type: none"> <li>• Set security standards to ensure data integrity (on computers, physical office environment, etc)</li> </ul>   |

#### 4.5.5 Abuse of Official Position

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| <ul style="list-style-type: none"> <li>• Prohibit and remind board members and staff not to use their official positions to benefit themselves, a relative or any other person with whom they have personal or social ties.</li> </ul> |
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#### 4.5.6 Outside Employment

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| <ul style="list-style-type: none"> <li>• Communicate effectively the rules governing outside employment to all staff.</li> </ul>  |
| <ul style="list-style-type: none"> <li>• Require that outside work undertaken by employees be subject to approval.</li> </ul>     |
| <ul style="list-style-type: none"> <li>• Review any approved cases on an annual basis.</li> </ul>                                 |
| <ul style="list-style-type: none"> <li>• Ensure that organisational resources are not being utilised for outside work.</li> </ul> |

#### 4.5.7 Supervision

Supervision is the monitoring and regulating of processes, delegated activities, responsibilities or tasks. Effective supervision aims at implementing best practices in systems and arrangements to achieve organisation’s objectives / goals.

<b>Basic objectives</b>	<ul style="list-style-type: none"> <li>• See that the organisation is meeting its goals.</li> <li>• Ensure that employees are performing their jobs effectively and are contributing in the accomplishment of goals.</li> <li>• Focus on daily problems and goals.</li> </ul>
<b>Assessing the supervision function</b>	<ul style="list-style-type: none"> <li>• Realise the full range of benefits of effective supervision.</li> <li>• Focus attention on a range of supervision issues and objectives as well as targets.</li> <li>• Understand the scope of professional standards, guidance and regulation in relation to supervision.</li> <li>• Allocate specific times for both proactive and reactive supervisory duties.</li> <li>• Implement a range of risk management arrangements to assist with supervision and assess risks within the supervision function.</li> <li>• Undertake regular file reviews to ensure that procedures are being followed as well as regular file inactivity checks.</li> </ul>

<b>Assessing the supervision function (continued)</b>	<ul style="list-style-type: none"> <li>• Observe work habits and discuss goals with subordinates whilst stating expectations and working towards the group becoming a responsible team.</li> <li>• Be interested in hearing about work related ethical and integrity problems.</li> <li>• Do not rush to make changes. Build support for change by introducing it gradually.</li> </ul>
<b>Capacity building and Communication</b>	<ul style="list-style-type: none"> <li>• Monitor all incoming and outgoing communications to identify potential risks and make arrangements for effective management and monitoring.</li> <li>• Work with support staff to ensure that information about customer dissatisfaction is reported.</li> <li>• Ensure supervisors are provided with appropriate training and training on effective delegation.</li> <li>• Keep regular one-to-one supervision meetings with senior staff.</li> <li>• Adopt an open door policy.</li> <li>• Schedule regular team meetings to discuss operational matters and corrective actions.</li> </ul>
<b>Transparency, Accountability and Integrity</b>	<ul style="list-style-type: none"> <li>• Ensure consistency in the supervision function.</li> <li>• Ensure supervision is documented and reports are prepared and submitted in a timely manner.</li> <li>• Ensure actual and potential situations of conflict of interests are forthwith reported in writing and are dealt with as per the Prevention of Corruption Act 2002.</li> <li>• Ensure rules and standards are being complied with.</li> <li>• Be prepared for change as fast as they require from their employees to prepare.</li> <li>• Ensure fairness in the exercise of authority and discretion.</li> </ul>
<b>Monitoring</b>	<ul style="list-style-type: none"> <li>• Top management may consider self-assessment as a tool to assess performance and integrity of the board.</li> <li>• Management to establish broad range of criteria for effective supervision, including integrity. Management to ensure performance of quality supervision.</li> <li>• Ensure quality of supervision, and establish supervision and performance criteria.</li> <li>• Monitor a range of risk indicators inclusive of integrity risks to assist with supervision.</li> <li>• Proactively manage individual workloads.</li> <li>• Manage supervision time effectively, and actively manage the supervision burden.</li> <li>• Ask for feedback on supervision skills and arrangements.</li> </ul>

## UNIT 5

### Integrity Management Tools

#### 5.1 Introduction

A basic requirement for Integrity Officers to perform effectively is the understanding of his or her working environment. This includes the legal and operational frameworks.

Best Practices and guidelines are strong methods of empowering employees, consolidating the fight against corruption by bringing administrative and procedural simplicity while improving transparency, accountability, supervision, control and better planning. The ICAC in collaboration with authorities concerned has developed numerous best practices/ guidelines to address and manage corruption risks proactively.

#### 5.2 Best Practices and Guidelines

They are intended to serve as practical self-assessment tools for the enhancement of systems and procedures in public bodies. These are also downloadable from the ICAC website.

##### **5.2.1 Best Practice Guide on Overtime Management in the Public Sector**

Malpractices in overtime management can result in offences both under the Criminal Code and the Prevention of Corruption Act 2002. Examples include: colluding and condoning falsification of attendance reports and favouritism in the allocation of overtime, amongst others. This Best Practice Guide has been developed following complaints registered at the ICAC on alleged malpractices and corruption concerning overtime. The aim of this guide is to assist management in establishing an appropriate framework to eliminate opportunities for malpractices and corruption.

This guide is primarily meant for employees responsible for overtime management. It contains valuable tools that will assist public bodies in adopting sound practices in the management of overtime. The adoption of the principles highlighted in the guide will no doubt pave the way to ensuring integrity of overtime management in public bodies.

##### **5.2.2 Handbook on Managing Conflict of Interests**

Managing conflict of interests (COI) is an important component of an organisation's integrity management system. As such, public institutions are called upon to identify and establish proper mechanisms comprising procedures for disclosing COI in writing, prohibiting participation in decision-making and proceedings relating to such decisions and allowing proper recording of the disclosed interest and monitoring. The absence of an established conflict of interests mechanism often results in inconsistent practices that can create and sustain a perception of malpractice in the public sector.

##### **5.2.3 Guidelines for Officers of Public Bodies**

The "Guidelines for Officers of Public Bodies" publication has been prepared with the aim to empower public officers in the fight against corruption and to remind them of their duty to report acts of corruption. The main strategy adopted revolves around the 5 R's, i.e., public officers are empowered to **R**ecognize, **R**esist, **R**eject and **R**eport corruption whilst integrity of people and of systems are continuously **R**einforced.

#### **5.2.4 Best Practice Guide on Recruitment and Selection in Parastatal Bodies**

The recruitment function in Parastatal Bodies (PSBs) is perceived as an area that is highly prone to corruption. High standards of integrity as well as increased transparency, fairness and accountability in recruitment processes are crucial to eliminate the perception of corruption in terms of pecuniary motives or favouritism, nepotism and cronyism in the recruitment and selection exercise. The principle of merit selection is vital in public sector recruitment as the level of professionalism depends on attracting and recruiting talent.

The guidelines cover the different phases of the recruitment process and highlight the exposure to ethical dilemmas in the recruitment function. The procurement allows PSBs to perform a self-assessment of their systems in respect of recruitment. It guides organisations towards the best course of action in situations where the integrity of the recruitment process may be at stake.

#### **5.2.5 A Study on the Abuses and Malpractices Pertaining to Claim for Mileage Allowance in the Public Sector**

Mileage allowance forms part of the conditions of service of public officers and is considered under the item “travelling and car benefits” of the reports of the Salaries and Conditions of Work of the Pay Research Bureau. This study concerns the claim for mileage allowance by car and its refund in the public sector. The number of complaints registered at the ICAC regarding alleged abuses, malpractices and acts of corruption for the claim and refund of mileage allowance, has prompted the ICAC to conduct research with a view to draw the attention of the authorities and recommend measures to eliminate risks of malpractices.

This study has revealed that the alleged malpractices and abuse pertaining to the refund of mileage allowance are mainly due to lack of effective oversight, weak monitoring and supervision.

#### **5.2.6 Model Code of Conduct for Employees of Parastatal Bodies**

Adoption of a code of conduct is a necessary step in building a sense of business integrity. It also ensures that business is conducted with dedication and professionalism. It is an effective way to remind officers of their public duties and legal responsibilities. For the code to be effective, it is important that it is integrated into the organisation’s culture. Its principles should not only be embraced by management and staff but also be reflected in systems and processes.

The purpose of this guide is to provide Parastatal Bodies with the basic principles that need to be observed in the development of their own code of conduct. It provides a model which needs to be complemented with specific standards of behaviour relevant to their respective organisation.

#### **5.2.7 Code of Conduct on Procurement for Public Officials**

While laws and regulations will partially address the risk of malpractices in public procurement, the primary emphasis of this Code of Conduct is on the trust in public officials as custodians of public funds. Guided by this requirement, the ICAC, in collaboration with the Procurement Policy Office, has revised the former “Code of Conduct for Public Officials Involved in Procurement” that was issued in 2009.

This revised Code of Conduct which emphasises ethical issues complements the provisions of the law and urges public officials to comply with the Code to uphold the standards of integrity in public procurement practices.

### 5.3 Integrity Management Instruments

For Integrity Officers to have a good understanding of their working environment, they are advised to develop a good understanding and application of the following, as appropriate:

- Relevant legislation and regulations governing the delivery of public services in their respective departments
- Anti-corruption Protocols and Conventions
- Approved Policies and Procedures
- Financial Management Kit
- Human Resource Management Manual
- Internal Audit/Control Reports/recommendations
- National Audit Report and management letters addressed to their organisations
- Report/Recommendations of Corruption Prevention Reviews
- PSACF documentation/guides - Anti-corruption policy, corruption risk management guide
- Code of Ethics for Public Officers
- Code of Conduct on Procurement for Public Officials
- Documents/application forms used for service delivery
- On-line platform where applicable
- Guidelines for public officers
- Training manuals
- Customer charter
- Complaints management systems
- Organisation website/newsletters/brochures
- Best practice guides and associated tools regarding particular activities
- Research studies/reports







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