



Executive Summary

Integrity and Transparency Assessment (ITA)

Fiscal Year 2014

The Office of the National Anti-Corruption Commission

Nonthaburi, THAILAND

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Government Sectors

Introduction

The Office of the National Anti-Corruption Commission (NACC) has established the directions and policies in accordance with the national strategy for the anti-corruption in all sectors including government agencies, state enterprises, private sectors, and local administrative organizations. Furthermore, the NACC has also promoted the campaigns in strengthening the integrity and transparency at workplaces. In order to increase the level of the Corruption Perception Index (CPI) of the nation, the Integrity & Transparency Assessment (ITA) system has been developed and used as an instrument to enhance the national anti-corruption and meet the established objectives.

This Integrity & Transparency Assessment (ITA) is a positive assessment based on in the evidence-based data and surveys from the participant government agencies. Assessment results and recommendations are given in order to enhance integrity and transparency in government agencies.

Research Objectives

1. To evaluate the level of integrity and transparency in the participant government agencies by using the indicators developed by the NACC.
2. To give recommendations to the participant government agencies for the problems and obstacles about the integrity and transparency assessment as well as relevant factors in order to improve the assessment process to guarantee that the assessment results really reflect the facts.

Expected Benefits

1. The participant government agencies are expected to have more awareness of integrity and transparency in their operation systems.
2. The participant government agencies are expected to be able to apply the results of integrity and transparency assessment and the recommendations to improve their operation processes in preventing corruption in their organizations.
3. The participant government officers are expected to consciously realize and follow the regulations, laws, professional etiquette, and ethics.

Scopes of the Research

1. The Scope of Research Contents: The researchers tried to evaluate each sector unit by using the Integrity and Transparency Assessment (ITA) conceptual framework as established by the NACC which consists of 5 elements as follows:

1.1 Transparency Index was classified into the operations of the agencies and their responses to the complaints.

1.2 Accountability Index was classified into the legal responsibilities and the responsibilities according to their roles.

1.3 Integrity in Service Delivery Index was measured from 2 viewpoints which are “*Perception and Direct Experience*” of common people and government officers.

1.4 Integrity Culture Index was categorized into the organization culture and the anti-corruption within the organization.

1.5 Work Integrity Index was categorized into human resource management, budget management, and fairness in job delegation.

2. The Scope of Research Methodology: This research study used 2 methods in the assessment of integrity and transparency.

2.1 Document Research: The researchers collected data from the reference documents or other evidences that appeared in the Evidence-Based Integrity & Transparency Assessment. Each participant sector unit had to answer all questions about their operation methods, procedures or activities that were really conducted, and it had to supply with evidences of good governance, virtue, morality, and transparency.

2.2 Sample Survey Research: The data were collected from the two target groups: (1) the *internal officers* who answered the questions in the Internal Integrity & Transparency Assessment, and (2) the *stakeholders* who responded to the External Integrity & Transparency Assessment based on their knowledge, understanding, and experience toward the criteria indexes as established in item 1. The target groups were selected as relevant, appropriate, and good representatives.

3. The Scope of Target Population

3.1 Internal officers

3.2 Stakeholders (clients/other stakeholders in the units)

3.3 Evidence-based documents as established by the NACC

Study methods and instruments for Integrity & Transparency Assessment (ITA). Researchers used the assessment form and incident of the stakeholders to support the flow of project framework as demonstrated in figure 1.

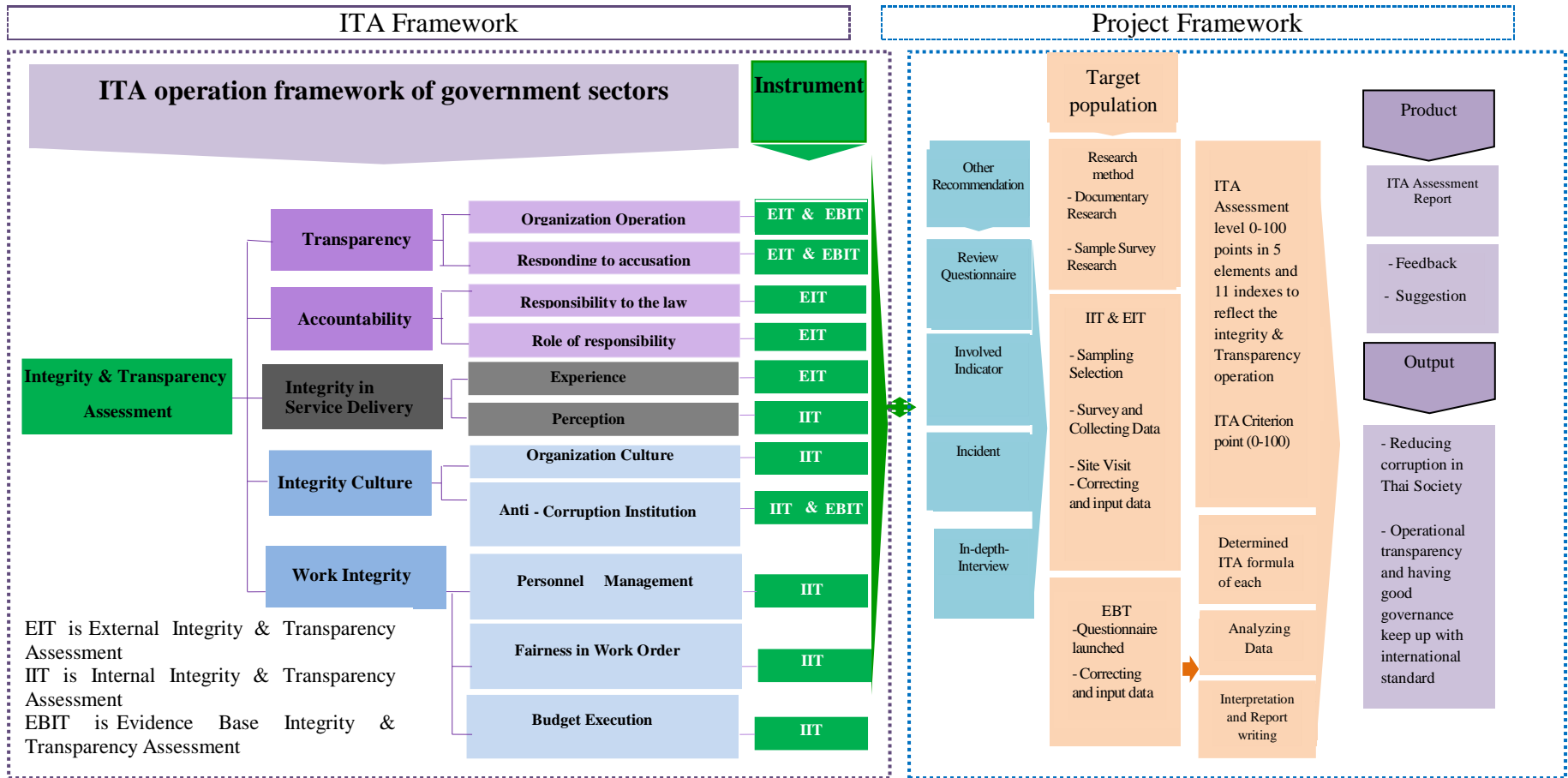


Figure 1 Project Frame Work

- Communicating, Broadcasting, Public Relation to the target audiences
- Providing and analyzing the appeals of ITA assessment
- Lecturer and explain / Being a consultant to all targets

The Assessment Results of the Government Sector

The ITA score of the government sector was 73.04 percent from overall 259 agencies participated in this assessment. The percentage of the integrity and transparency was quite high. The top score of the indicators, namely, 87.90 (Very High Level), belonged to the “Integrity in Service Delivery”, and the lowest percentage was 61.57 (High Level), belonging to the “Integrity Culture”. *(Details demonstrated in Table 1.)*

Having considered the assessment results thoroughly, the researchers found the discoveries as follows:

1. Transparency (*percentage weight 26.0*):- The data, collected from the stakeholders (EIT) and evidence- based documents (EBIT), could reflect 67.13 percent of transparency. This could be classified into organization operation 74.14 percent and responding to the complaints 58.56 percent.

2. Accountability (*percentage weight 18.0*):- The data, collected from the stakeholders (EIT), could reflect 74.71 percent of accountability. This could be classified into legal responsibilities 76.04 percent and responsibilities according to the roles 73.44 percent.

3. Integrity in Service Delivery (*percentage weight 22.0*):- The data, collected from the stakeholders (EIT), could reflect 87.90 percent of integrity in service delivery. This could be classified into the evaluators’ perception 81.02 percent and the evaluators’ direct experience 95.65 percent.

4. Integrity Culture (*percentage weight 16.0*):- The data, collected from the internal officers (IIT) and EBIT, could reflect 61.57 percent of integrity culture which was classified into the organization culture 74.03 percent and the anti-corruption within the organization 52.16 percent.

5. Work Integrity (*percentage weight 18.0*):- The data, collected from the internal officers (IIT), could reflect 71.93 percent of work integrity which was classified into the human resource management 72.86 percent, budget management 72.99 percent, and fairness in job delegation 69.27 percent. *(Details demonstrated in Table 2.)*

Table 1: The overall results of ITA’s for the operation in government sector

<p>ITA index diagram in 5 elements</p>	Percentage	73.04	
	Indicators	Percent	Meaning
	Transparency	67.13	High
	Accountability	74.71	High
	Integrity in Service Delivery	87.90	Very High
	Integrity Culture	61.57	High
	Work Integrity	71.93	High

Table 2: ITA's results for the operation in government sector

No.	ITA Indexes	Sources	Percentage Weight	Percent	Percentage after weight
1	Transparency	EIT, EBIT	26	67.13	17.45
	1.1 Organization operation	EIT, EBIT	14.3 (55%)	74.14	9.13
	1.2 Responding to accusation	EIT, EBIT	11.7 (45%)	58.56	7.85
2	Accountability	EIT	18	74.71	13.45
	2.1 Responsibility to the law	EIT	8.82 (49%)	76.04	6.59
	2.2 Responsibility to the role	EIT	9.18 (51%)	73.44	6.86
3	Integrity in Service Delivery	EIT	22	87.90	19.34
	3.1 Perception	EIT	11.66 (53%)	81.02	10.25
	3.2 Direct Experience	EIT	10.34 (47%)	95.65	9.09
4	Integrity Culture	IIT, EBIT	16	61.57	9.85
	4.1 Organization Culture	IIT	6.88 (43%)	74.03	4.24
	4.2 Anti-Corruption within org.	IIT, EBIT	9.12 (57%)	52.16	5.61
5	Work Integrity	IIT	18	71.93	12.95
	5.1 Human Resource Management	IIT	7.54 (42%)	72.86	5.44
	5.2 Budget Management	IIT	5.58 (31%)	72.99	4.01
	5.3 Delegating task equitably	IIT	4.86 (27%)	69.27	3.50
Overall Integrity and Transparency			100		73.04

Assessment Conclusion and Recommendations

After having analyzed the data to estimate the level of the integrity and transparency of each government operation unit, the researchers concluded and provided the following recommendations.

Recommendations from the Evaluation

From the assessment of integrity and transparency in the operations of government sectors, the researchers would like to give the following observations and suggestions.

It was found from the consequences of integrity and transparency assessment from 259 participant government agencies that all the participant government agencies had the scores of most indicators at the satisfactory level, especially the "Integrity in Service Delivery" which was given the highest score of 87.90 percent. This is considered as the strength of the government sectors. The government administrators and officers should be proud of the results because the service has been considered as the important mission. Thus they should maintain the standards of service and make more improvement in the next fiscal year.

The weakness of the government sectors is "Integrity Culture" since it was given the lowest score. Therefore, the government administrators and officers should put an emphasis on the improvement of this indicator. The improvement should include the policy formulation

related to the setting of the appropriate and effective anti-corruption systems and processes such as the procedures to deal with conflicts of interest, the integration of officers for administrative transparency, and other anti-corruption mechanisms such as integrity rewarding/ recognition system, whistle-blower protection system, punishment system for corrupted people, fraud/corruption complaints system with effective investigation and punishment as well as networking and cooperation with all sectors, e.g. government, private, and civil sectors, to prevent corruption, etc. These systems are key mechanisms to prevent corruption in the organizations. Moreover, employee morale is also essential for collaboration in anti-corruption, and it may be enhanced through encouragement, recognition, and rewards. Since the officers in each unit are valuable assets and the most important factor in anti-corruption, reasonable incomes are of importance. Still, giving opportunities to the officers to express their opinions and accepting their differences are significant in fighting against corruption.

Recommendations

From the overall results of the integrity and transparency assessment in participant government agencies, the researchers would like to give recommendations as follows:

1. Updating Database

1.1 The name lists of the internal officers on the databases of the government agencies are not up-to-date such as transferred officers, retired officers, resigned officers, or those who have changed their positions, etc. Therefore, their present databases need to be updated before submitting to the NACC.

1.2 The data of the clients/stakeholders on the databases are not complete. For example, the names of some clients/stakeholders or the kinds of services given to them were not recorded; therefore, the assessment could not be conducted accurately. Moreover, in some government organizations, the addresses and/or the phone numbers of the clients/stakeholders were missing. Therefore, it is crucially necessary for the government agencies to correct and update the data of the clients/stakeholders for the convenience and accuracy of later assessment.

1.3 Some government organizations did not send true data about the clients/stakeholders to the researchers. Hence, each government unit must provide the database of real population to the researchers so that they can select a random sample of real population.

2. Genuine Population

2.1 The external target population should be groups of people who requested for service, not volunteers or allies, because the external assessment form was designed for people who came to ask for service. If the target groups were not those who asked for real service, they might not or could not answer some questions in the questionnaire. This made the researchers not receive the answers from all questions.

2.2 For large-sized government organizations which have many internal departments and divisions such as Bangkok Metropolitan Administration, Royal Thai Police, and military forces, and etc., they should separate internal affiliated units in order to make a survey cover all target populations and select sample representatives out of all of them.

3. Data Collecting Process

3.1 The researchers had a few problems in collecting the data from the internal officers because they came to collect the data by themselves. Only a few officers were absent on the appointment date, so the researchers decided to increase 20 percent more of the sample size in order to solve this problem.

3.2 The researchers discovered that the databases of the clients/stakeholders caused difficulty in data collecting by postal mails because the data were not accurate or up-to-date as mentioned in the previous section. Consequently, the response rate by the postal mails rate was quite low. Then the researchers tried to make some phone calls to those whose numbers provided in the databases, but the clients/stakeholders still did not give cooperation. Therefore, each government agency should update the data of the internal officers and those of the clients/stakeholders on their databases. In addition, the length of time for data collecting in each target group should be appropriately extended, and the sample should be sufficiently increased.

3.3 Another problem was the quality of the collected data. The researchers suggest that in collecting data from both inside and outside, the officers and the clients/stakeholders should be convinced that their personal information would be protected and kept as highly confidential. These personal data would never be revealed to anybody so that they would be confident in answering the questionnaire. Apart from this, the directors or heads in the government agencies should not persuade their subordinates to give fake information in order to get good scores when they answer the questionnaire.

4. Internal and External Assessment Forms

4.1 The assessment forms should not contain too much personal information. It will make evaluators feel frustrated or scared to answer the questions because they might be anxious that some people are possibly able to identify them. The questions in the questionnaire should be designed in the form of check-list items. The open-ended questions are not appropriate because their hand-writing can be identified who they are.

4.2 Some questions in the questionnaire are equivocal, namely, having many meanings. The questionnaire should avoid such questions in order to prevent confusion and misinterpretation.

4.3 Some questions in the assessment forms are filter ones. This should be carefully considered especially if there are few people answering these questions. Thus the researchers suggest that the filter questions should be deleted from the questionnaire if there are a few respondents trying to answer them, and if they are not relevant or appropriate for assessment.

5. Evidence-Based Documents

After the researchers had examined the evidence-based documents, they discovered that the major problems are inconsistency and no connection between missions, projects, plans, and evidence in each issue. These made the researchers ask for more documents, and it took more time to investigate them. Thus the researchers recommend that the government sectors should verify their evidence documents and the linkage between missions, projects, and plans. The duration of documents verification should conform to the fiscal year budget. These will speed up the assessment process and also help to increase the ITA score levels.

6. Project Duration

The duration of the project should be synchronized throughout the whole process. Duration of documents submitting and data collecting from government sectors and state enterprises should be conducted within the same period. The problem is that the government officers always follow the fiscal year whereas the state enterprise officers or other sectors usually follow the calendar year. Thus the researchers suggest that it should be set up to be one and the same standard for duration of document submitting and data collecting among all government sectors and state enterprises.

7. Appellate Matters

As for an appeal for the score, the researchers discovered two main problems. First, when additional documents were requested more from the government sectors, they mostly misunderstood about the linkage between missions, projects, plans, and evidence documents. Second, the time in sending documents and assessing appeals was limited, especially when many organizations sent a lot of additional documents at the same time. Thus the researchers suggest that the appealing time/period should be prolonged in order to be more convenient and suitable in the operation process.