



# Codes of Ethics: Lessons from design to implementation

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# OVERVIEW OF ISSUES

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- Why having a code of ethics?
- Which type of code is better?
  - code of ethics or code of conduct
- What scope?
  - Target wide for common baseline standards
  - Address specificities
- How to prepare the code and keep up-to-date?
  - Inclusion, ownership, reflect expectations
- Implementation: how to make it effective?
  - Incentives - promoting behaviour through performance management
  - Compliance – control and sanction



# 1. Why having a code of ethics?

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## 1) Concise

- Single source

## 2) Understandable

- Focuses on the essence - linking core values, principles & standards
- Can depart from the legal language

## 3) Practical

- Translate high level values & principles into concrete standards
- Can guide with examples how to apply them in concrete situations

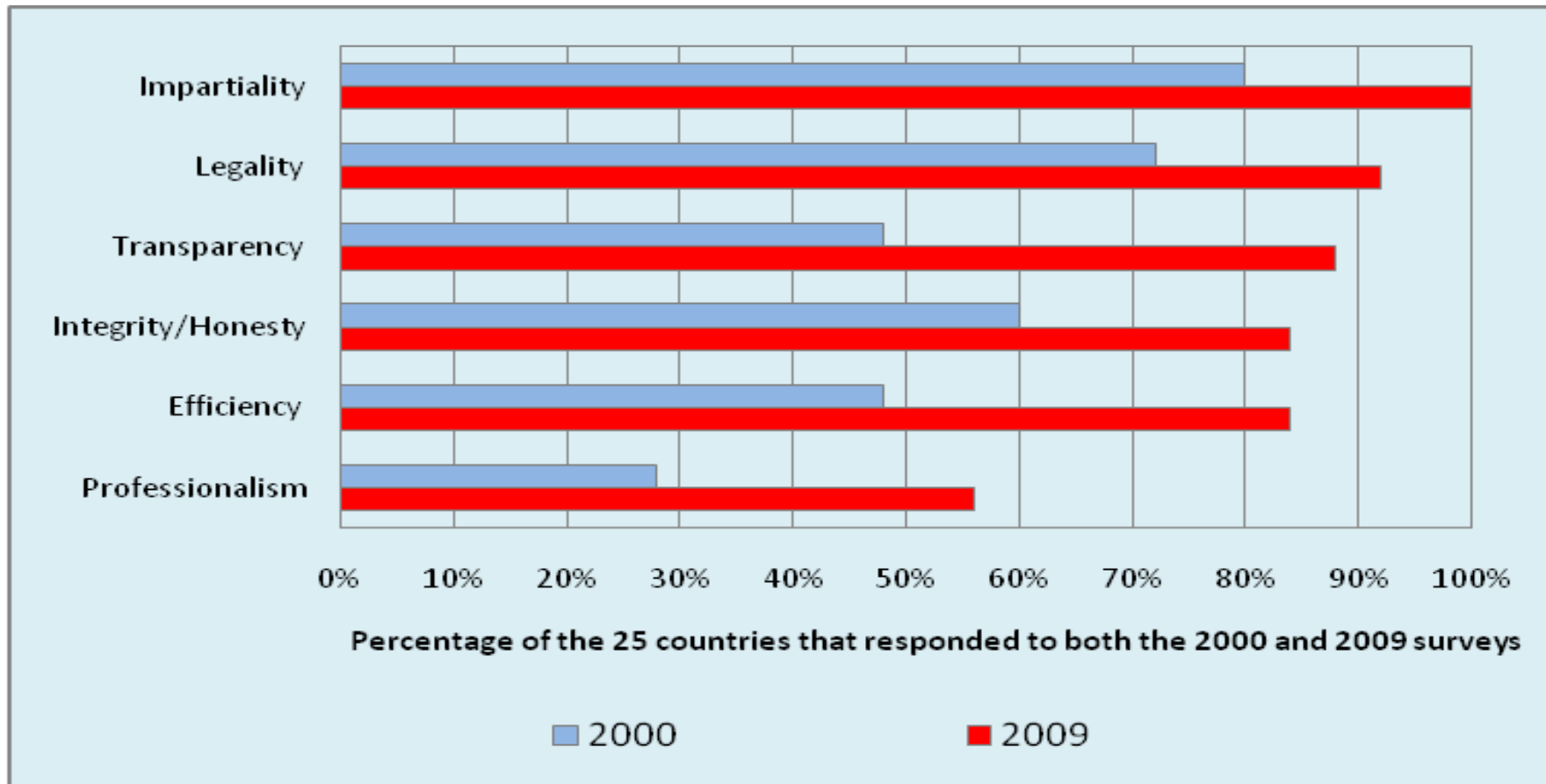
## 4) Flexible

- Can more easily reflect changing context and expectations



# CODE OF ETHICS – BASED ON Core Public Service Values

Frequently stated core public service values (2000 and 2009)





## 2. Which type of code is better? Code of ethics or code of conduct

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**Relevant: Addresses concerns & fits into the context**

- 1) Context** matters in defining the **approach**: Values based vs rule based
  - Administrative and legal culture
  - Social – level of trust
- 2) Aim**
  - Aspire and guide
  - Set baseline to control and foster compliance
- 3) Consistency: code is an essential but not a single tool**
  - Integrity Framework - core tools and measures
  - Supportive mechanisms - wider management and governance frameworks

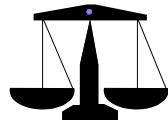


# Complementary components of Integrity Framework

*Political  
commitment*



*Public scrutiny  
Role of stakeholders (civil  
society, media, donors)*



Legislative Framework

Accountability

Law enforcement

Code of  
ethics/conduct

Guidance, advice and  
training

Internal and external controls



Public management

Merit-based human  
resource  
management

Transparent administrative  
procedures (e.g. procurement,  
budget)

# Integrity Management



## Core Integrity measures

- **Codes of ethics / conduct**
- Conflict-of-interest rules
- Asset disclosure requirements
- Gifts and gratuities policy
- Post-employment measures
- Reporting channels and protection for whistle-blowers
- Targeted integrity training, accessible advice and counselling
- Internal integrity actors for co-ordination and external integrity “watchdogs”

## Supporting public management processes

- **Control and audit**, e.g. risk mapping, functioning of mitigation measures.
- Internal financial control, including cash, asset and debt management
- Human resource management, including recruitment, evaluation and career progression
- Performance management, including quality control processes and external evaluations
- Public procurement, including pre-tendering, tendering, contract management and payment



## 3. What scope?

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- 1) **Setting basic standards for all public officials by** criminal / administrative / disciplinary laws
  - Penalize corruption, fraud, etc.
  - Using official information and public resources
  - Working outside the public service
- 2) **Additional common standards** to provide more specific guidance for all
  - Receiving gifts, benefit – independence <-> Col = lunch, taxi?
- 3) **Addressing specificities** by supplementary guidelines
  - Specific professions (e.g. auditors, procurement), groups (e.g. ministers and their advisors), sectors (law enforcement) ...





## 4. How to prepare a code?

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### 1) **With inclusion & transparency** - incentives

- Awareness
- Understanding
- Knowledge
- Commitment - motivation

### 2) **Maintain relevance & ownership** = periodic review

- Changing expectations – internal and external
- Process (both technical and social aspects) is similarly important not only the result – becomes part of social contract
- Successful implementation – starts with design



## 5. Implementation: How to make it effective?

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### 1) Putting codes of ethics into effect starts with

- Communication – Intranet, Internet, CD-Roms
- Awareness raising – induction training
- Develop skills for handling ethical dilemmas (Col, conflicting values)
- Advice in concrete situations - mainly from superiors, managers, also ethics office

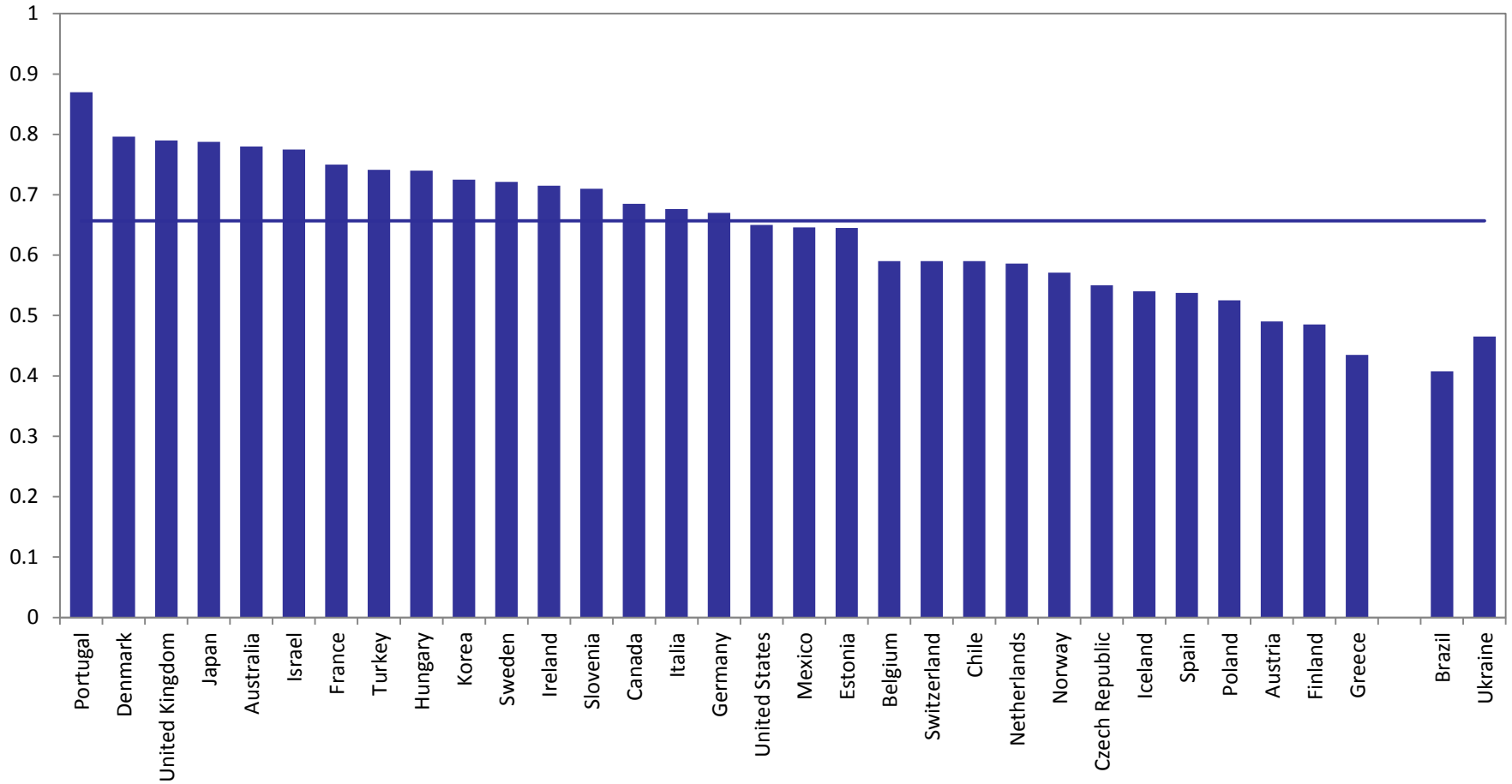
### 2) Building a culture of integrity

- Integrating codes with other integrity measures into overall management - incentives through performance management, HR recruitment,
- Shifting emphasis from enforcement to prevention - strategic forward-looking approach which anticipates problems, maps risks not only runs after cases = increasing role for audit!



# This can happen - Performance management is mandatory in most OECD countries

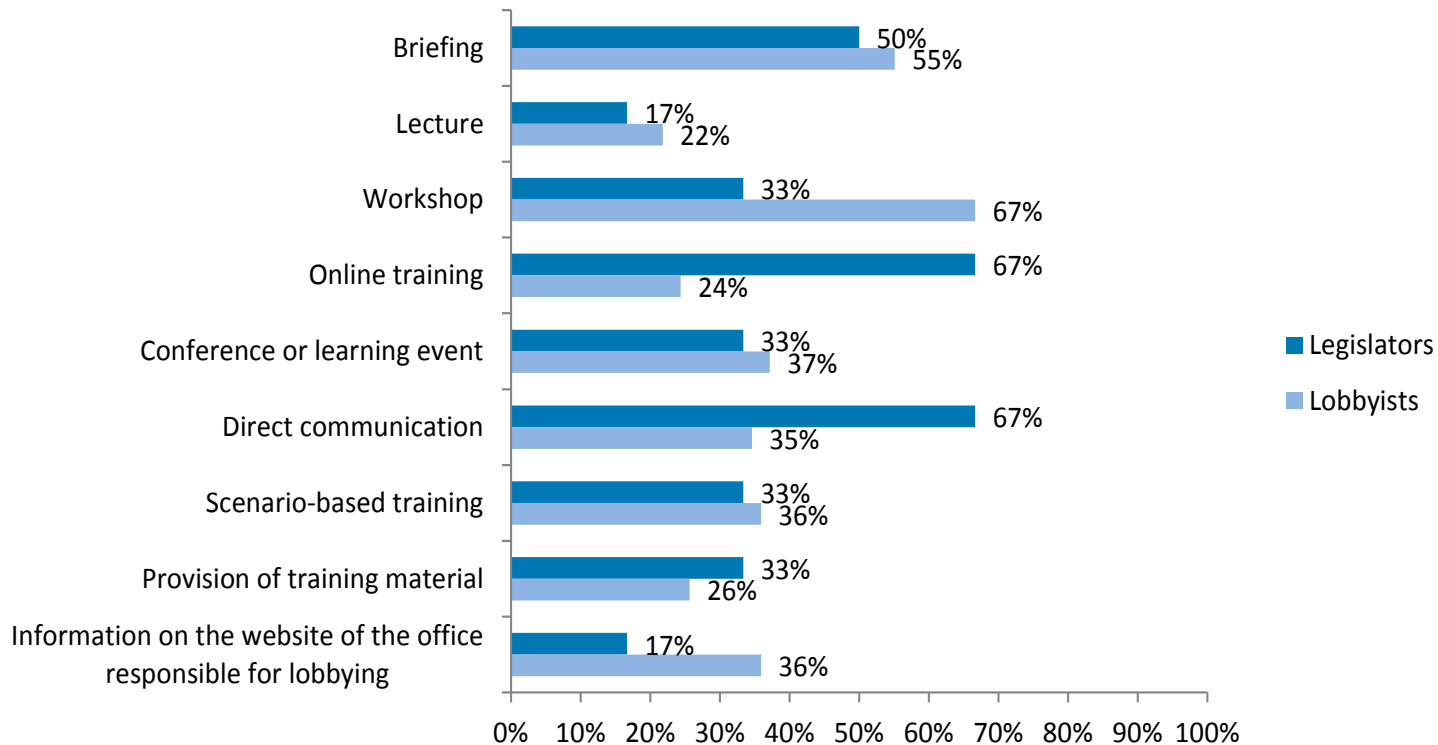
■ Composite index    — OECD31 average





# What measures are considered effective? Raising awareness

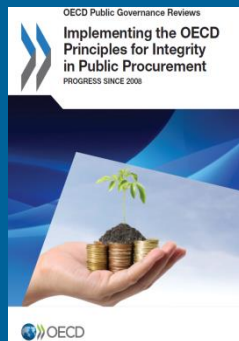
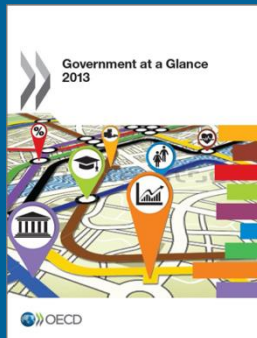
**Most effective ways to learn about lobbying rules/guidelines according to legislators;  
and integrity standards and transparency tools according to lobbyists**





# *Thank you*

**For more information on OECD work on public integrity and audit**



[www.oecd.org/gov/ethics](http://www.oecd.org/gov/ethics)