

10 Principles for Effective Corruption Risk Assessment in Public Sector

Principle 1: Ensure political will and management commitment

Political will shall be secured in order to back up corruption risk assessment as an integral part of corruption prevention policy and public sector reform. Commitment of top and middle management of public sector institution to the development and implementation of corruption risk assessment shall be considered as integral part of quality management.

Principle 2: Take systemic approach

Systematic nation-wide concept of corruption risk assessment in public sector shall be established (if not already in place), and a specialised authority shall be designated (if not already in the system) to accumulate and further develop comprehensive knowledge on corruption risk assessment at the national level, and, where appropriate, take advisory and/or supervisory role.

Principle 3: Establish continuous process

Corruption risk assessment shall be developed and implemented as a continuous process both at the strategic and operational level, and shall be integrated into the good governance framework with the ultimate goal of raising integrity standards and contributing to continuous improvement of public sector functioning. Corruption risk assessment shall be, where appropriate, coordinated or closely integrated into internal and external audit proceedings.

Principle 4: Address corrupt as well as unethical behaviour

Corruption risk assessment shall relate to wide circle of corrupt behaviour and preferably also include integrity breaches and unethical behaviour.

Principle 5: Consider wide circle of risk factors

Corruption risk assessment shall take into account external, internal, organisational and personal (human and cultural) risk factors, considering, where appropriate, recent knowledge of cognitive psychology and other sound sciences on why people are dishonest and how to address this issue.

Principle 6: Be responsive to changes

Regardless of the approach, technique or tool used, corruption risk assessment shall be systematic, structured, tailored, transparent, dynamic, based on the best available information and responsive to changes. Where applicable, modern technologies including big data analytical tools shall be engaged in the assessment process.

Principle 7: Use tailored approach

Appropriate corruption risk assessment approach shall be established taking into account specific features of the assessed institution, project, process or sector, and designated body (e.g. working group) shall be appointed to design and implement the methodology tailored to concrete corruption risk assessment. Special attention should be given to avoid corruption risk assessment becoming part of 'anti-corruption bureaucracy' or getting lost under a mountain of paperwork.

Principle 8: Be interactive

Broad circle of relevant stakeholders shall be included in the corruption risk assessment process given that understanding the institution and its work, project, process or sector is crucial for efficient corruption risk assessment.

Principle 9: Ensure sufficient resources

Sufficient resources in terms of finance, time, training and knowledge shall be secured for implementation of corruption risk assessment and its continuous monitoring, reconsideration and improvement.

Principle 10: Promote awareness-raising

In the given environment, where corruption risk assessment is being implemented as integral part of public sector good governance, all actors - including public officials, civil society, mass media and business leaders - shall be provided with efficient training, information and other awareness-raising based mechanisms on corruption risk assessment.