

Module 2 – Essentials of ethics and public integrity

Toolkit on Transparency, Accountability and Ethics in Public Institutions

*Online Training Workshop on Transparency, Accountability and Ethics in Public Institutions with a focus on Public Procurement
Jointly organized by the UN Department of Economic and Social Affairs (UN DESA), Kenya School of Government (KSG) and the Kenya Institute of Supplies Management (KISM)*

Wednesday, 24 and Thursday, 25 March 2021

16:00 – 18:00 PM (EAT, Nairobi Time), 9:00 – 11:00 AM (EDT, New York Time)

Via Microsoft Teams



Module 2 – Essentials of ethics and public integrity

Training agenda

Time	Day 1: Fundamentals of ethics and public integrity	Day 2: Ethics and public integrity at the institutional and policy level	Day 3: Organizational change for enhanced ethics and integrity	Day 4: Individual ethical behavior	Day 5: Developing a strategy, roadmap and action plan for enhanced ethics and public integrity
Morning	Module 1 - How would a world without corruption look like?	Module 5 - International frameworks for integrity and anti-corruption	Module 11 - Staff management and developing capacities for integrity	Module 14 - Ethical leadership	Module 18 - Developing a strategy, roadmap and action plan for enhanced ethics and public integrity – Preparation phase
	Module 2 - Essentials of ethics and public integrity	Module 6 - Accountability institutions	Module 12 - Creating an organizational culture of ethics and integrity	Module 15 - Assessing personal vis-à-vis organizational values	
		Module 7 - Social accountability mechanisms			
Lunch break					
Afternoon	Module 3 - Transparency and accountability	Module 8 - Integrity codes	Module 13 - Transparent public procurement	Module 16 - Behavioral insights and staff incentives	Module 18 - Developing a strategy, roadmap and action plan for enhanced ethics and public integrity – Presentation and feedback phase
	Module 4 - Understanding and assessing corruption	Module 9 - Managing conflict of interest		Module 17 - How to promote desired behavioral change?	
		Module 10 - Whistleblowing			

Module agenda

01 Why is combatting corruption key for achieving the Sustainable Development Goals?

02 United Nations Convention against Corruption

03 Roles and responsibilities of public servants

04 Integrity challenges and ethical dilemmas

05 How to achieve integrity in public institutions?

See the full draft toolkit and module 2 at <https://we.tl/t-9Em2hH2kXP> and the final version soon at <https://unpan.un.org/>.

UN Photo/Stuart Price



Why is combatting corruption key for achieving the 2030 Agenda?

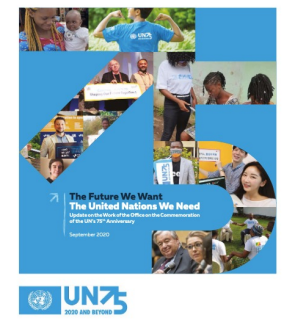
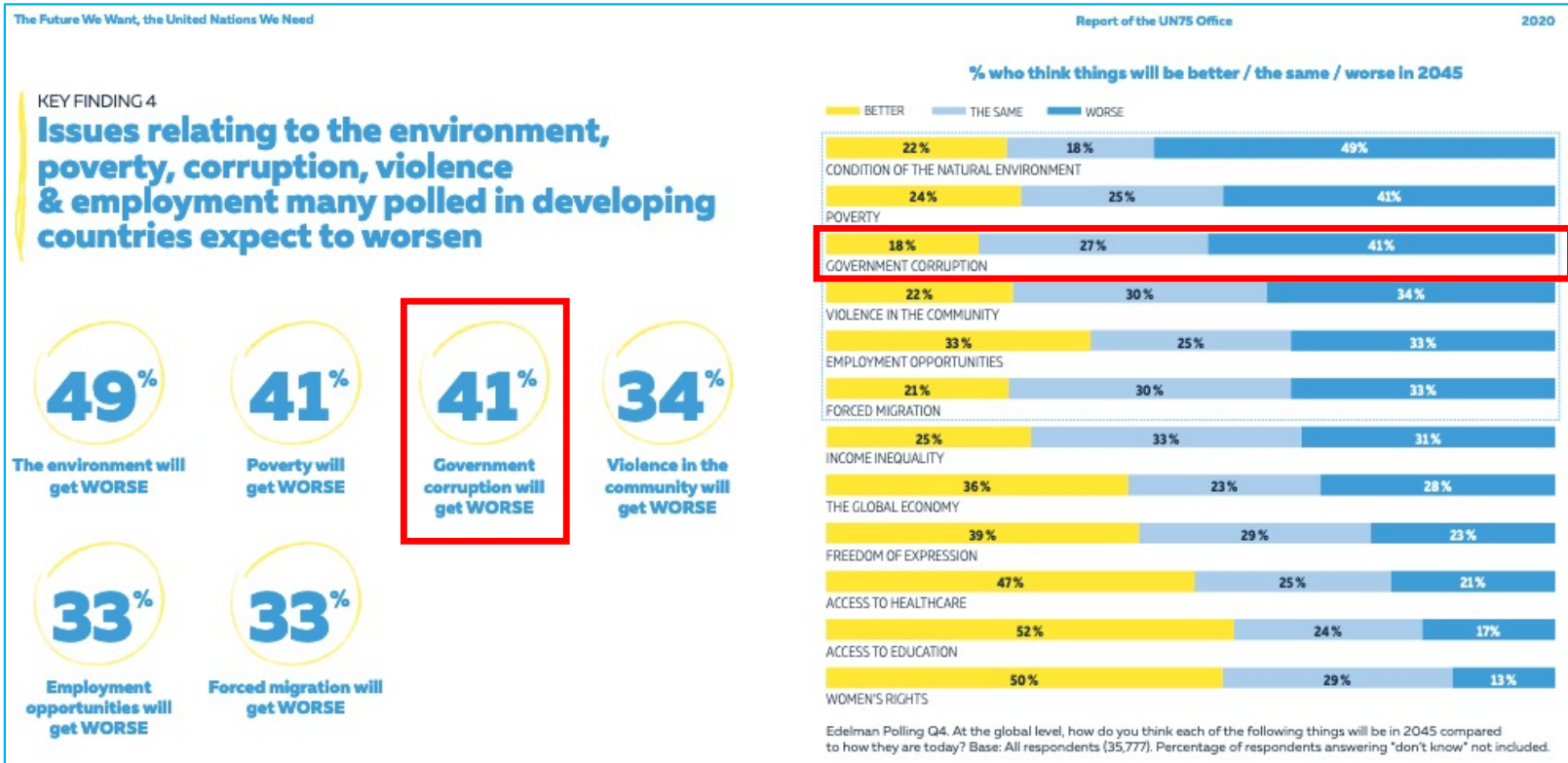


UN Photo/Manuel Elias

- **In 2015, all UN Member States adopted the 2030 Agenda for Sustainable Development** which comprises 17 Sustainable Development Goals (SDGs) and 169 targets to be achieved by 2030.
- **Combatting corruption underpins all efforts to achieve the SDGs.** Specifically, SDG 16 reflects the importance of addressing corruption for achieving sustainable development.
- **Negative effects of corruption are manifold:** Hampering economic growth, stunting innovation, increasing poverty, decreasing equal access to public services, diminishing trust in public institutions, eroding democracy, social exclusion, environmental damage, ...



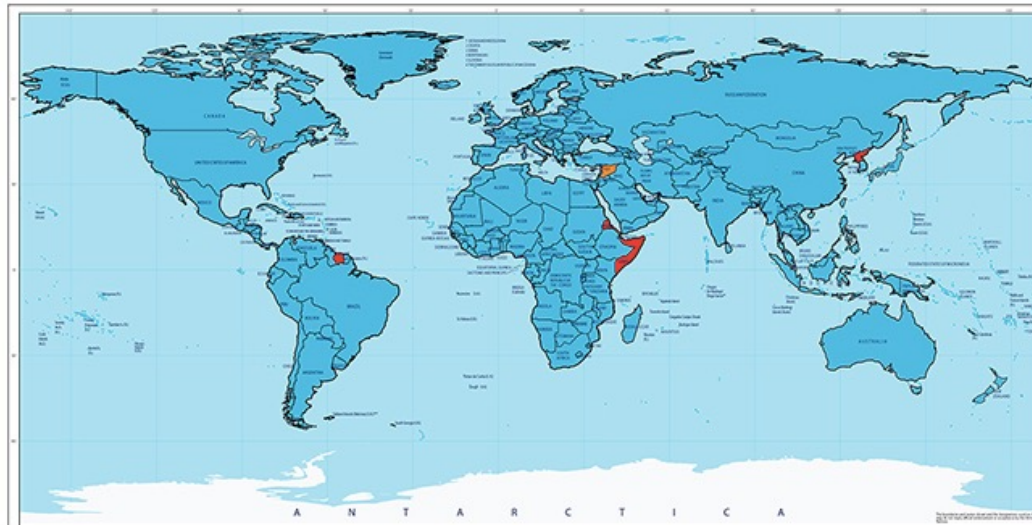
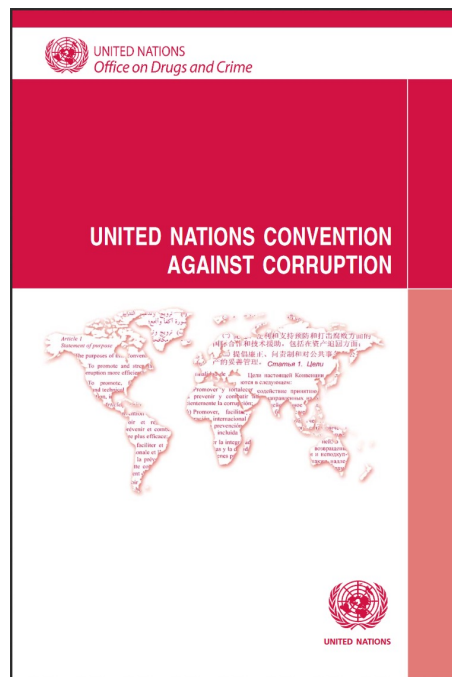
Many people think government corruption will get worse in 2045 ...





United Nations Convention against Corruption (UNCAC)

UNCAC, entered into force in 2005, is the only legally binding universal anti-corruption instrument.



Parties: 187

Status as of: 6 February 2020

- States Parties
- Signatories
- Countries that have not signed or ratified the UNCAC

UNODC 2020



Roles and responsibilities of public servants

The 11 principles

There are 11 principles of effective governance for sustainable development endorsed by ECOSOC. They are linked to 62 commonly used strategies for operationalizing responsive and effective governance. Many of these strategies have been recognized and endorsed over the years in various United Nations forums, resolutions and treaties.

Effectiveness

- » Competence
- » Sound policymaking
- » Collaboration

Accountability

- » Integrity
- » Transparency
- » Independent oversight

Inclusiveness

- » Leaving no one behind
- » Non-discrimination
- » Participation
- » Subsidiarity
- » Intergenerational equity

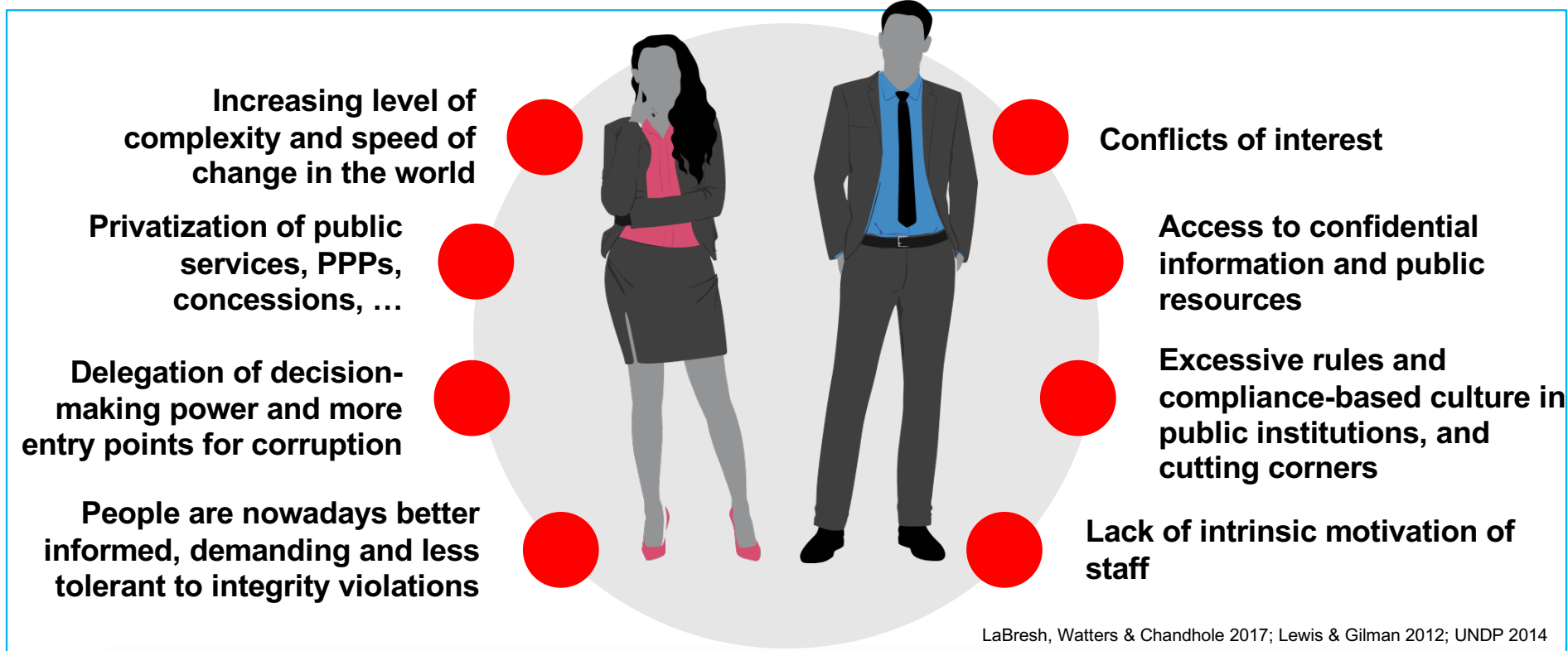
Key milestones

- April 2016**
CEPA introduces the idea of developing principles to address needs of 2030 Agenda
- April 2018**
Principles of effective governance for sustainable development adopted by CEPA
- July 2018**
ECOSOC endorses the principles
- September 2018**
Informal CEPA working group convened to carry activity forward
- April 2019**
CEPA discusses possible links to global SDG indicators
- October 2019**
UN DESA-AU/APRM regional workshop on moving from principles to practice
- July 2021**
Target date for completion of guidance on strategies and indicators

United Nations Department of Economic and Social Affairs 2018



Integrity challenges



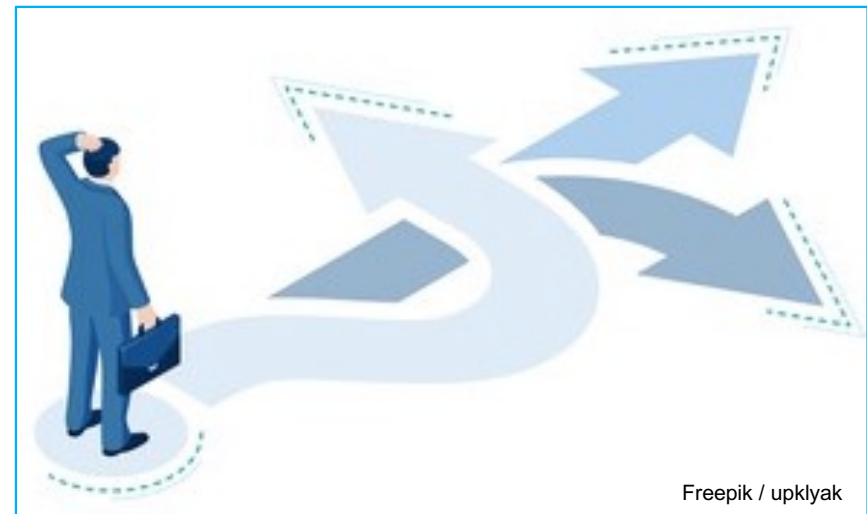


Ethical dilemmas

Ethical dilemmas are “situations where values and norms are at stake and where a choice has to be made between several alternatives, while good reasons can be given for each of these alternatives“ (Karssing 2001).

What to do when there is no clear “right” or “wrong”?

1. **Considering consequences:** “Right” and “wrong” is determined by the consequences of an action.
2. **Considering values:** “Right” and “wrong” is determined by the morality and reasoning of a person.
3. **Doing what is right or lawful.** “Right” and “wrong” is determined through rules and commitments.
4. **Pragmatic ethics:** “Right” and “wrong” is based on knowledge and progress (learning).



Freepik / upklyak

UNODC 2018



How to achieve integrity in public institutions? (1)

Dimension	Rules-based strategies	Values-based strategies
Objective	Prevent misconduct	Enable responsible conduct
Ethos	Conformity with externally imposed standards	Self-governance according to chosen values and standards of conduct
Management	Lawyer/compliance officer-driven	Management-driven with the aid of integrity and ethics counsellors, and HR and legal officers
Behavioral assumptions	Autonomous beings guided by material self-interest	Social beings guided by values, standards of conduct and peers
Standards	Criminal and regulatory law	Code of ethics, code of conduct and related policies, regulations and laws
Staffing	Lawyers/HR/compliance officers	Integrity officers, HR, managers

OECD 2020: 57



How to achieve integrity in public institutions? (2)

Dimension	Rules-based strategies	Values-based strategies
Method	<ul style="list-style-type: none"> • Education in existing legal framework, compliance standards and systems; • Reduced discretion; • Misconduct reporting, audit and controls; • Investigation processes; • Sanctions etc. 	<ul style="list-style-type: none"> • Strengthening of ethical competence of public servants through development of organizational values; • Education and training on values and standards of conduct; • Integrity training and ethics counselling; • Leadership and managerial role modelling; • Accountability, transparency, integrity frameworks; • Auditing; • Sanctions; • Mainstreaming values into the daily processes of the administration; • Communication and raising awareness.

OECD 2020: 57

Activity

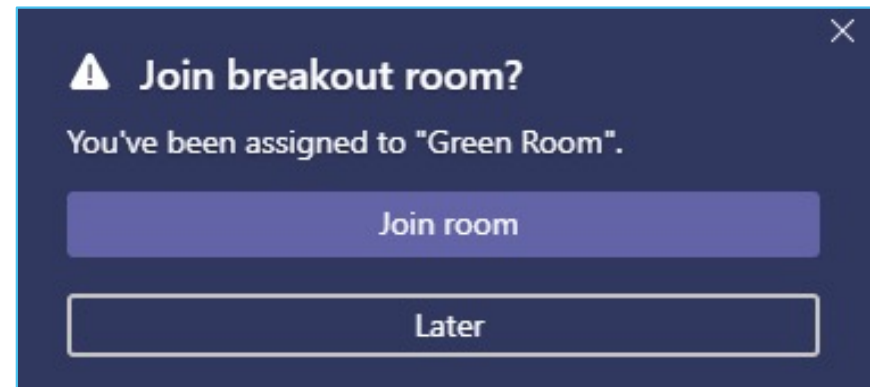


UN Photo/Mark Garten



Group work in breakout rooms

- On Day 1, at ca. **16h45 (EAT) / 9h45 (EDT)** and on Day 2, at ca. **16h15 (EAT) / 9h15 (EDT)**, you will be assigned to breakout rooms to complete group work for 15 minutes each.
- To join a room, click “Join room” in the prompt that appears in your Microsoft Teams after you have been assigned to a room and turn on your camera (subject to connectivity).
- Max. five people will be in a breakout room. They can be participants, speakers or part of the organizing team.





Group work in breakout rooms (24 March, ca. 16h45 (EAT) / 9h45 (EDT))

How would a world without corruption look? (1)

Objective: To raise awareness of the variety of perceptions that people associate with the causes and consequences of corruption.

Task: As a group, brainstorm on how a world free from corruption would look and document your conclusions in a short mission statement.

Expected result: Mission statement with 3 agreed key messages, ready to be read out.

Steps to take:

1. Join the breakout room with camera turned on. The room will be open for ca. 15 minutes.
2. Introduce yourself briefly to other group members.
3. Assign role to a group member who can jot down and present 3 key messages, if group is called upon later by facilitator.
4. Discuss, agree and jot down 3 key messages for your mission statement on how a world free from corruption would look. Let the template on the following slide guide you. As for content, draw for example inspiration from the SDGs or toolkit video. Be creative!
5. After closure of breakout rooms and back in the main room, listen to what other groups have brainstormed and hold yourself ready for presentation of your mission statement.



Group work in breakout rooms (24 March, ca. 16h45 (EAT) / 9h45 (EDT))

How would a world without corruption look? (2)

Template for mission statement

Inspire / Inform / Advise / Warn / Scare / Comfort / Influence / Teach / Encourage / Protect / Serve / Help / Alert / Wow / Reassure / Provoke / Train / Persuade / Educate / Excite / Organize / Surprise / Intrigue / Transform / Coach etc.

Pick verbs to introduce 3 short key messages on how your envisioned world without corruption would look like.

Our world without corruption aims to:

1. Inspire ...
2. _____
3. _____

Learning outcomes

In this module you have learned that:

- ✓ *Corruption is a multifaceted global problem for the achievement of all SDGs.*
- ✓ *Public servants face a number of integrity challenges. They are expected to follow the law, use public resources effectively and act ethically.*
- ✓ *When faced with an ethical dilemma, there's no clear right or wrong. Encouraging ethical reasoning and applicable guidance help deal with such situations.*
- ✓ *Managing integrity solely based on rules has pitfalls. Focusing on values, beliefs and mindsets of staff is just as important.*

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Thank you.