

# **INTRODUCTION TO KOREA'S ANTI-CORRUPTION INITIATIVE ASSESSMENT**

A Tool to Evaluate Anti-Corruption Efforts in the Public Sector  
in the Republic of Korea

## Acknowledgements

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## Foreword

This publication presents the Anti-Corruption Initiative Assessment (AIA) tool of the Republic of Korea's Anti-Corruption & Civil Rights Commission (ACRC). It has been produced as a concrete outcome of the partnership between the United Nations Development Programme (UNDP) and ACRC on sharing Korea's experiences and lessons learnt in anti-corruption with developing countries.

AIA is an annual evaluation for corruption prevention in the Republic of Korea since 2002 and now covers more than 250 public institutions. AIA combines qualitative and quantitative assessment with a systematic scoring system through a regularized process, and serves to evaluate how participating organizations have followed-up on ACRC's anti-corruption guidelines to introduce various institutional mechanisms to prevent corruption.

Every year, all scores are publicized and organizations are ranked. This way, AIA becomes a motivational tool for the heads of public institutions to put in place and improve institutional measures for preventing corruption.

The idea for UNDP and ACRC to partner around AIA originates with the 2015 Seoul Debates on Anti-Corruption, held in Seoul on 29-30 January 2015, where participants suggested follow-up support for learning from and applying Korea's experience in several areas, including Korea's assessment tools for corruption prevention.

The 2015 Seoul Debates were organized by the UNDP Seoul Policy Centre (USPC) in partnership with ACRC and the Ministry of Foreign Affairs (MOFA) of the Republic of Korea with technical support from UNDP's Global Anti-Corruption Initiative (GAIN), the UNDP Bangkok Regional Hub, and the UNDP Global Centre for Public Service Excellence in Singapore (GCPSE).

Since then, with the help of all these partners as well as UNDP Vietnam Country Office and the Government Inspectorate of Vietnam, a pilot project aiming to help Vietnam adapt ACRC's AIA tool to its national contexts has been launched under USPC's Development Solutions Partnership on Anti-Corruption. The objective is to help increase the capacity, efficacy, and political will to

monitor institutional measures for corruption prevention in the public sector of Vietnam.

Also, on 4 December 2015, UNDP and ACRC signed a Memorandum of Understanding (MoU), which institutionalizes the strong and meaningful partnership between our two institutions to help increase the anti-corruption capacity of developing countries, by combining UNDP's policy expertise and country-level presence with ACRC's anti-corruption technical expertise and innovative tools, such as AIA. We see much potential for fruitful triangular cooperation on anti-corruption in line with the target agreed as part of the new Sustainable Development Goals, to substantially reduce corruption and bribery.

The main content of this publication was originally prepared for the pilot project in Vietnam, to provide a detailed explanation of ACRC's AIA as it was developed and tailored to Korea's particular context. We then decided to create a publication with more analytical insights and lessons learnt, as other countries may also benefit from the document as a concrete example of how to employ an institutional assessment tool that can generate a political motivation to prevent corruption within the public sector. We trust that methodologies and examples given in the publication can provide a source of creative ideas for anti-corruption practitioners around the world.



A handwritten signature in black ink, appearing to read 'Jin-Young Kwak'.

**Jin-Young Kwak**  
Vice-Chairperson of  
the Anti-Corruption  
and Civil Rights  
Commission,  
Republic of Korea



A handwritten signature in black ink, appearing to read 'Anne Marie Sloth Carlsen'.

**Anne Marie  
Sloth Carlsen**  
Director of the UNDP  
Seoul Policy Centre



# I

## **Benefits of the Anti-Corruption Initiative Assessment (AIA) Approach & Key Lessons Learnt from its Implementation in Korea**

1. Brief Description of AIA
2. Uniqueness and Benefits of the AIA Approach
3. Lessons Learnt & Advice for Application

# 1. Brief Description of AIA

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The Anti-Corruption Initiative Assessment (AIA) was developed by the Anti-Corruption & Civil Rights Commission (ACRC) of the Republic of Korea.

The legal basis for AIA is found in Korea's Act on the Prevention of Corruption and the Establishment and Management of the Anti-Corruption and Civil Rights Commission (hereinafter "the ACRC Act"). Article 3 of the Act obligates all public organizations in Korea to make active efforts to prevent corruption for the establishment of sound social ethics, while Article 12 (6) provides ACRC with a mandate to survey the actual status and to evaluate the progress of policy measures taken to prevent corruption in public organizations.

AIA has been an annual exercise for corruption prevention since 2002 and now covers more than 250 public institutions. The concept of AIA is to evaluate how the institutions are implementing various measures to prevent corruption, and how those measures are being effective, based on the policies and guidance set by ACRC.

At the beginning of each year, ACRC reports to the President an outline of its anti-corruption policies and institutional priorities. Followed by the elaboration of the annual work plan, ACRC then develops and releases the annual anti-corruption guidelines and draft indicators for that year's AIA. In March, ACRC organizes a policy workshop for government offices and public enterprises, including those who are subject to AIA, to explain the AIA implementation guidelines and draft indicators in detail, and receive questions and suggestions from the participating institutions.

Based on the feedback from the workshop, ACRC then finalizes the assessment criteria and indicators, and releases them along with the AIA implementation plan in April, including the assessment schedule, reporting templates and a sample AIA report, for reference.

The public institutions follow the guidelines for the rest of the year and submit their implementation reports (covering the period from November 1 of the previous year and



until October 31 of the current year) by early November. For verification of the reported facts, target institutions have to submit official documents as evidence for their performance reports. This prevents the organizations from forging official documents to receive a higher score on the assessment. In addition, ACRC selects about 15% of the target organizations for further verification through an on-site inspection.

Once all the performance reports are submitted, ACRC works with the external evaluation panel and evaluates the reports, along with site visits and verification activities. ACRC consolidates the assessment scores and releases draft scores to the target institutions in early December, after which it receives feedback until mid-December and makes necessary adjustments thereafter.

With their final scores, institutions are then ranked in performance groups or tiers (from 1 to 5, with 1 being the best performing category), rather than individually from the first to last. This methodology is designed to reduce the pressure on each institution yet give a clear indication of their performance level relative to other public institutions. The tiered ranking of each institution is released to the public through ACRC press releases, and the final consolidated report of AIA as a whole is published in January of the following year.

Results of each year's AIA receive significant media attention. Those who fared well on the assessment would benefit from improved organizational reputation, and those individuals who make exceptional contributions to AIA within the organization receive rewards such as performance bonuses, promotions, and overseas anti-corruption training opportunities. ACRC also provides separate reports to all the target institutions, with specific scores per index and comments on particular areas for improvement. In addition, ACRC offers consulting services to interested institutions in order to troubleshoot and address specific areas for reform.

## 2. Uniqueness and Benefits of the AIA Approach

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**“AIA can be a cost-effective instrument for building political will and incentivizing behaviour change for anti-corruption.”**

Anti-corruption assessments are not new. Around the world, there are many types of assessments related to corruption conducted by various stakeholders to assess institutional capacities, public perceptions, particular risks, etc.

The uniqueness and effectiveness of AIA comes from the fact that the tool provides a dynamic, regular and institutionalized policy implementation system, utilizing the power of public information to generate political will across the public sector. This assessment tool has been formulated with the recognition that public sector performance is largely determined by the political will of its leaders, as the technical staff follows instructions from above, and initiatives are best undertaken when there is a regular monitoring and reward system in place.

Admittedly, ACRC has no legal mandate to impose sanctions on under-performing public institutions as per their annual AIA scores. While ACRC provides tailored reports and consultation to poorly performing institutions, a few institutions have at times ignored the AIA results and thus remained at the bottom of the rankings.

Nevertheless, ACRC’s experience for the past 13 years has shown that the AIA approach can compel and incentivize the leaders of public institutions to pay increasing attention to anti-corruption policies and guidelines through the public release of annual AIA results and peer pressure among institutions. Under-performing institutions usually show a gradual improvement over time as relevant authorities as well as citizens criticize the low-performing institutions revealed through media reports.

In particular, the National Assembly at times picks up on the AIA results to question the target institution's integrity and performance, and this creates an additional incentive for the management of the institution to improve.

Best-performing institutions also leverage the AIA results as an attractive public relations tool to help increase their reputation with citizens and higher authorities. They usually publish their own press releases and proudly display their ranking.

In addition, ACRC's AIA is effective because of various incentive mechanisms employed within the assessment administration. For instance, ACRC designed the AIA indices to grant extra score for institutions with adequate staff for anti-corruption work and AIA reporting activities. This gives an incentive for institutions to build their anti-corruption capacity. In addition, one AIA indicator assesses whether incentive mechanisms have been put in place for the staff managing AIA within the target institutions. ACRC has also introduced a rewards system to the best-performing institutions—e.g. overseas training on anti-corruption in exemplary countries and high recognition awards from the President's or Prime Minister's office. This has raised the profile of the anti-corruption work (i.e. opportunity to earn recognition and promotion), and thus has helped ensure that high-performing individuals are in charge of anti-corruption work and AIA administration within public institutions.

All of these contribute to a virtuous cycle of strengthening the political will and commitment among the target institutions towards following ACRC's anti-corruption policy guidelines and participating in the annual AIA.

AIA's indicators specifically provide a clear guidance to public institutions as to what to do and watch out for in tackling corruption—for example, number of staff designated for anti-corruption work; provision of performance bonus to staff contributing to higher ranking of the organization; percentage of employees to receive anti-corruption training; existence of whistle-blower protection and reward mechanisms; development of an institutional code of conduct; and corruption cases detected by internal actors. As such, AIA helps create a concrete mechanism for ACRC to lead public sector organizations in implementing key anti-corruption initiatives each year.

Furthermore, AIA may help build the capacity and institutional authority of an anti-corruption body, to better fulfil its institutional mandate. In Korea, the introduction of AIA has also helped increase the visibility of ACRC and the anti-corruption policy agenda in general, as public organizations undertaking the assessment take policy guidance from ACRC, monitor their performance ranking, and receive ACRC's feedback and consulting services for improvement annually.

Once in place, AIA becomes a common reference point in periodic communication and policy discussions on corruption. It also helps guide implementation efforts with a clear sense of anti-corruption priorities across the public sector, as the target institutions are incentivized to concentrate their annual efforts on initiatives identified in the scoring guidance provided at the beginning of the year.

*In other words, while the tool is technical in nature, AIA can provide, over time, a potent institutional mechanism to generate a virtuous cycle of anti-corruption efforts.*

Lastly, since the AIA tool relies on self-reporting mechanisms within the target institutions and create incentives to allocate more people and attention for anti-corruption efforts within all of these institutions, AIA also helps build the internal anti-corruption capacity and sense of ownership within the public sector with little extra resources. In Korea, ACRC spends about USD 150,000 per year for the administration of AIA including publication costs.

As such, AIA can be a low-cost and high-impact institutional tool for corruption prevention, compared to ad hoc outsourced evaluations. Anti-corruption policy implementation & monitoring can be fully institutionalized as part of the work plan of each target institution, and ACRC can use the weighted scoring system to enforce particular priorities for action each year.

For countries interested in applying the AIA tool, key features and benefits of an approach designed based on AIA can be summarized as the following:

- Strong ownership over anti-corruption efforts within the national anti-corruption body can be ensured as public officials create tailored indicators to meet their own policy implementation objectives for the year and perceive AIA scores as a reflection of their own successes and challenges in policy implementation each year.

- A common reference point and prescriptive content can be created for the anti-corruption body to discuss anti-corruption policies with public institutions throughout the year— i.e. through annual assessment guidance workshops with target institutions, Q&As on self-reporting templates as well as consultations on final assessment results and recommended follow-up actions.
- With the assessment results and tiered ranking publically available, leaders of target public institutions can be incentivized to take more proactive measures to improve their ranking in the following year, which helps increase anti-corruption efforts in those institutions.
- AIA's scoring and reward system create incentives for target institutions to designate more people responsible for anti-corruption, and to raise the profile of anti-corruption work within an institution.

In other words, an approach designed on the basis of AIA may help address the perennial challenge that many countries face in fighting corruption—how to generate political will and institutionalize incentives and disincentives for behaviour changes across the public sector without too much burden of additional financial and human resources.

### 3. Lessons Learnt & Advice for Application

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It needs to be stressed that the most important aspect of AIA is not the technical details of the evaluation. The uniqueness of AIA lies in the institutionalization of an annual cycle within the public sector for behaviour change. The main elements of the cycle are as follows:

Release of anti-corruption policy priority guidance → self-improvement efforts based on that year's specific guidance → evaluation of the achievements against a clear criteria and scoring system → publication of institutional rankings and consolidated report → feedback to the target organizations with recognition/rewards and consulting services for improvement.

With this in mind, countries interested in adopting a similar system may consider the following lessons learnt and suggestions based on Korea's experience with the AIA implementation since 2002.

#### a) What to assess: start with few simple assessment criteria (i.e. quantitative indicators)

In order to ensure political buy-in and minimize resistance from target institutions in the first year of AIA, it is recommended that the AIA administrating agency (like ACRC of Korea) start from a small number of criteria (e.g. less than 10) with quantitative indicators, and then expand the number and scope of assessment in the later years with accumulation of experiences. (For reference, please see the examples of evolving AIA indicators later in the publication.)

To anti-corruption experts, quantitative and proxy indicators (e.g. number of hours provided to anti-corruption training of employees) may seem to be simplistic and inadequate.

Qualitative assessment (e.g. quality of the anti-corruption training provided) would be certainly desirable from a substantive point of view. ACRC's AIA in 2015 indeed includes a number of qualitative indicators, which assess those substantive aspects of anti-corruption initiatives based on case study reports submitted by the target institutions.

Nevertheless, if qualitative indicators are introduced first from the pilot year, AIA would incur more human and financial resources for administration, and may also give rise to objections from less-performing institutions that may resent a certain degree of subjectivity on qualitative aspects.

Therefore, in order to successfully institutionalize the AIA system, pilot countries are advised to start with a few quantitative indicators on key priorities, to ensure perception of objectivity and success of the first assessment vis-a-vis the target institutions and the public. Once institutionalized as part of the annual work plans of public institutions over time, the AIA-administrating agency can progressively add more substantive and qualitative indicators.

In addition, when formulating the initial set of criteria and indicators, it is advised to organize a consultation workshop with all relevant stakeholders, in order to identify elements that can be easily understood and reported against by the target institutions.

### **b) Whom to assess: Seek out political support from the top and select target institutions across a given category**

When conducting the first AIA in 2002, ACRC administered the assessment with all central government institutions, without exception, with strong support and clear instructions from the President at that time. Everyone had to respond to the request in order to participate in AIA given the political push from the top. In addition, implementation across the government was made possible because the Korea Independent Commission against Corruption (KICAC), the predecessor of ACRC, was a presidential commission when it first implemented AIA.

When introducing AIA, the country's anti-corruption agency is therefore advised to report to the president/prime minister and the cabinet, and build strong political support from the very top. In this process, development partners can provide policy advisory as well as advocacy support, through policy workshops and multi-stakeholder consultations to build the political support both bottom-up and top-down.

In addition, it is advised that the AIA pilot country try to introduce the assessment across an entire category of target institutions—i.e. central government agencies—and then expand to other categories such as subnational government institutions and public universities. If the assessment leaves out many institutions in the same category, it may create backlash from those who are selected for the pilot.

### **c) Human resources for assessment: utilize external experts as a complement to the internal assessment apparatus in the administrating public institution**

At present, given the large number of target institutions and the significant scope of the assessment, it is not possible for ACRC to undertake the entire AIA with its own means. This is due to the complex nature of the evolving AIA work at the moment, with some 43 indicators this year, as well as the need to ensure integrity and technical expertise in administrating the assessment on such scale. Each year, ACRC releases a procurement notice and selects, through competitive open bidding, one particular research institution (mostly in universities) to support the technical work involved in the AIA administration, such as technical evaluation and compilation of scores on qualitative indicators. The selection is based on the technical evaluation of the submitted proposals and consideration of prior working experience with anti-corruption. (ACRC has never contracted an international institution or foreign consultants.) Selected teams are usually composed of university professors and senior researchers in the field of public administration, law, political science with relevant experience.

While the ACRC staff sets the policy and designs the assessment criteria, indicators, and scoring schemes each year, the contracted research institution assists AIA in technical aspects, such as evaluation of individual reports from the target institutions, calculation of evaluation scores, drafting of evaluation report for individual target institutions, as well as compiling and editing of the overall evaluation results for the final annual report.

At the same time, countries who wish to pilot the AIA approach are advised not to entrust the administration of the assessment to external contractors too much. With simple indicators that are mostly quantitative, there is no need to hire external consultants. In all cases, the external evaluators should provide a facilitation role only, as AIA is meant to be an internal institutional tool within the public sector.



At the end of the day, AIA is a tool to motivate public institutions to implement the country's anti-corruption policies. In ACRC's experience, those public institutions with political will even designate specialized staff for the anti-corruption work and the annual AIA implementation, while those without the will do not even pay attention to the AIA process and thus stay at the bottom of the rankings. The technical aspects of the assessment, therefore, serve the overall political goals.

#### **d) Financial resources for AIA administration: try to save costs by fully institutionalizing the annual exercise with a best-fit design**

As previously mentioned, ACRC spends a total of approximately \$150,000 per year for the administration of AIA, including contractors' fees and the printing costs of the final reports. This is possible because ACRC designs the survey tools, designates dedicated staff to oversee the AIA implementation, and undertakes most of the substantive tasks across the divisions and departments as an important part of their overall institutional work each year. (The cost excludes all the internal ACRC staffing costs involved in the AIA administration.) Given the nature of AIA, which relies on the internal work of ACRC staff and the self-reporting system of the target institutions, AIA does not require tremendous financial resources like ACRC's Integrity Assessment survey.

The modest cost of conducting AIA is a huge advantage for developing countries who wish to introduce the AIA approach. At the same time, the internal capacity of the anti-corruption institution becomes all the more important in the successful administration of the tool. Yet, as explained above, AIA itself can be used as a capacity building and consultation tool for the anti-corruption agency in terms of generating ideas for effective policy implementation and monitoring.

Thus, countries that wish to pilot the AIA approach are advised to seek out best strategies to utilize internal staff resources and whatever mechanisms that are already in place for public sector monitoring and evaluation work. As noted earlier, AIA can be simplified and designed in ways that are feasible within the country's institutional capacities.

### **e) Utilization of Results: Strategize how to best disseminate the AIA results for creating institutional and individual incentives**

In ACRC's experience, the most critical factor in successful implementation of AIA is not the formulation of "perfect" indices or evaluation methods, but the effective utilization of assessment results to build political will in the target public institutions. In order to ensure effective utilization of AIA, it is critical to introduce and institutionalize clear and effective public communication and rewards system to build political will among the leaders as well as technical officers of target institutions. These issues should be given as much attention as the assessment itself. For this purpose, it would be useful to design a public relations strategy and widely communicate with the media the rationale and significance of the AIA pilot well ahead of the first public release of the results.

### **f) Improvements after the pilot assessment: make continuous efforts to formulate and upgrade strategic indicators**

While the pilot assessment would need to be as simple as possible, those who design the annual AIA are advised to take the tool as a dynamic and evolving instrument and make continuous efforts to fine-tune and upgrade indicators in later years. With changes in the policy environment and dynamics of corruption, AIA indicators would have to be adjusted from time to time, so that they can accurately capture key aspects of the country's challenges and effectively guide public institutions in setting their priority actions to tackle corruption. Otherwise, AIA may become an administrative exercise only, and later lose credibility and political support from target institutions as well as from the public.

For instance, ACRC has introduced indicators that target specific forms of misuse and extortion of state subsidies in the welfare sector, as the Korean Government has recently increased certain welfare subsidies. As such, AIA can be organically linked to the state policy, in order to detect and prevent corruption risks during the implementation process of national development priorities.

Furthermore, since corruption is a dynamic phenomenon that evolves with societal changes, ACRC seeks to modify the AIA indicators to reflect the changing corruption patterns and "skills" as well. Through these efforts, ACRC has tried to ensure that AIA survives the passage of time and continues to function as an effective tool for public institutions in tackling corruption.

In this context, countries that wish to introduce AIA are advised to take a long-term perspective and seek to use the annual AIA exercise as an institutionalized opportunity to identify new corruption risks and take priority actions to address them. With draft indicators, for instance, the AIA-administrating institution (like ACRC of Korea) can organize workshops and consultations with relevant stakeholders and experts, and feed the inputs from those meetings in upgrading and finalizing the AIA indicators each year.



# II

## AIA Methodology and Administration in Korea

1. Overview of the Anti-Corruption Initiative Assessment
2. Target Organizations and Groups
3. Assessment Criteria and Methodology
4. Assessment Administration and Procedure
5. Utilization of Assessment Results and Policy Impact

# 1. Overview of the Anti-Corruption Initiative Assessment

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## a) Legal basis

Article 3 of the Act on the Prevention of Corruption and the Establishment and Management of the Anti-Corruption and Civil Rights Commission (hereinafter “the ACRC Act”) obligates all public organizations in Korea to make active efforts to prevent corruption for the establishment of sound social ethics. The ACRC Act aims to achieve this through education and public relations that are designed to raise anti-corruption awareness among public sector employees and the general public, as well as through the eradication of corruption-causing factors in laws and systems.

Article 12 (6) of the ACRC Act specifically provides ACRC with a mandate to survey the actual status and to evaluate the progress of policy measures taken to prevent corruption in public organizations. Accordingly, public organizations of all levels in Korea have been implementing various initiatives for corruption prevention, and ACRC has developed AIA as an institutional tool to assess the adequacy and effectiveness of anti-corruption integrity initiatives within public organizations.

## b) Basic approach and objectives

- To facilitate concrete implementation of the national policy framework for corruption prevention as well as ACRC’s anti-corruption policies
- To encourage and strengthen capacities of target organizations to undertake voluntary and proactive actions to tackle corruption through the assessment of their initiatives

The purpose of AIA is primarily to encourage public organizations to make voluntary efforts to tackle corruption, and lead them to undertake effective and practical measures for corruption

prevention. AIA also seeks to share and spread best practices across target institutions for enhancement of public sector integrity and national competitiveness.

In order to prevent corruption, it is necessary to develop and implement effective initiatives that can address the organizational culture as well as specific control systems that are vulnerable to corruption. To this end, active cooperation from relevant organizations is essential.

In this context, AIA is designed to help increase the level of accountability and effectiveness of integrity policies by institutionalizing a regular evaluation and feedback system. It seeks to examine the effectiveness of anti-corruption policies, provides corruption-related information, and facilitates sharing of top-performing initiatives among public institutions. AIA's criteria and indicators are also refined and upgraded each year, reflecting the lessons learnt from the feedback process.

The assessment generates concrete recommendations for target institutions by identifying strengths and weaknesses in their anti-corruption efforts and revealing corruption-prone areas in each organization. The assessment process also supports target organizations in utilizing the assessment data for their reform efforts through the provision of a consolidated final evaluation report as well as individual analysis reports for each target organization. With the AIA results, organizations are encouraged to introduce practical initiatives—for instance, by addressing specific corruption risks or introducing an anti-corruption system in the institution. The annual AIA process is also designed to provide incentives to organizations with outstanding results, and provide substantive feedback for the culture of anti-corruption to take root in target organizations.

## 2. Target Organizations and Groups

### a) Selection criteria for organizations

In principle, all public organizations in Korea as defined in Article 2 of the ACRC Act are subject to AIA. Under Article 84 of the same Act, however, five entities - the National Assembly, courts, the Constitutional Court, the National Election Commission, and the Board of Audit and Inspection - are exempt from the assessment.

#### Ref: Public Organizations (Article 2 of the ACRC Act)

- The Administrative agencies under the 'Government Organization Act' and the local executive organizations and local councils under the 'Local Autonomy Act'
- The Superintendents of the Offices of Education, the district offices of education, and the boards of education under the Local Education Autonomy Act
- The National Assembly under the 'National Assembly Act', the courts under the 'Court Organization Act', the Constitutional Court under the 'Constitutional Court Act', the election commissions under the 'Election Commission Act', and the Board of Audit and Inspection under the Board of Audit and Inspection Act
- Organizations related to the public service under Article 3 (1) 12 of the 'Public Service Ethics Act'

There are no pre-determined selection criteria for AIA. ACRC selects the target organizations each year, taking into consideration institutional characteristics such as the labor force, budget, and nature of work, so that AIA can provide a timely and comprehensive evaluation of the implementation status of anti-corruption initiatives in the public sector.

Since the first assessment conducted on 74 organizations in 2002, the number of target organizations has continuously increased, reaching 268 in 2015, in line with the increase in the number of public organizations subject to the ACRC Act.



In the selection process of target organizations, ACRC prioritizes those that are subject to other public sector assessments such as the “Management Assessment of Public Organizations” (conducted by the Ministry of Strategy and Finance) and “Management Assessment of Local Public Enterprises” (conducted by the Ministry of the Interior).

In the 2014 AIA, organizations with over 150 employees as of June 2014 were subject to the assessment, while those with less than 150 employees were autonomously assessed by higher authorities, unless their budget in the previous year exceeded KRW 300 billion (approximately USD 300 million).

For public service-related organizations that are not subject to the aforementioned management assessments, ACRC considers several factors in its selection process, such as the number of employees, the annual budget, nature of work, results of ACRC’s Integrity Assessment, and occurrence of corruption cases.

If a case of corruption is detected in an organization, ACRC may add that organization to the list of that year’s AIA even after the regular deadline of selection and notification, so that the organization is able to benefit from the assessment results for future prevention efforts.

## **b) Target group categorization**

From 2002 to 2011, AIA groups were categorized into central administrative agencies, local governments, city and provincial education offices, public enterprises, and other public organizations.

However, as organizations of different sizes were categorized in the same groups, this led to an illogical situation where small organizations that lack human and material resources were evaluated against and compared with large organizations.

In order to relieve the burden felt by smaller organizations and to promote anti-corruption initiatives more efficiently, ACRC has further subdivided the categorization since 2012. ACRC now takes into account the size and characteristics of central administrative agencies and public service-related organizations. The criteria and indicators are also applied differently to these organizations.

Today, AIA organizations are first categorized according to the administration type (i.e. central administrative agencies, local governments, public enterprises, etc.) and then subdivided into groups according to their institutional size.

< Categorization of AIA Groups in 2015 >

	Central gov.	Local gov.	Auto-nomous gov.	Education office	National/ Public University	Public health org.	Public service-related org.
Total	43	17	24	17	11	12	144
3,000 and over	Central I (ministries & commissions) Central II (services) Central III	One group	One group	One group	One group	One group	Public org. I
Under 3,000 1,000 and over							Public org. II
Under 1,000 500 and over							Public org. III
Under 500 300 and over							Public org. IV
Under 300 150 and over							Public org. V

### 3. Assessment Criteria and Methodology

#### a) Criteria and indicators

Until 2011, AIA had been conducted in three categories - common initiatives, voluntary (self-started) initiatives, and performance in corruption prevention. In 2012, however, it was reclassified into two categories: 1) willingness and efforts made in anti-corruption, and 2) performance in corruption prevention.

#### <Evolution of AIA Criteria and Indicators >

##### ● 2002~2011

Section	Criteria	Indicators	Max. Points
Common initiatives	1) Institutional infrastructure for anti-corruption	Establishment of implementation system & public-private cooperation	10
	2) Efforts made by the organization's leadership	Awareness of employees & heads of the organization leading by example	10
	3) Countermeasures for anti-corruption institutional improvement	Implementation of ACRC recommendations & new initiatives to tackle corruption	10
	4) Corruption Impact Assessment (*administered separately by ACRC)	Acceptance rate & establishment of a self-assessment system	10
	5) Observation of the code of conduct and promotion of self-detection of corruption incidents	Institutional environment for following the Code of Conduct and the willingness to implement the Code	10
	6) Anti-corruption education and promotion	Integrity education, training, and awareness-raising efforts	10

Section	Criteria	Indicators	Max. Points
Voluntary (self-started) initiatives	Designing & planning	Designing and implementation of voluntary initiative plans that correspond to the character of organization	10
	Exemplary anti-corruption practices	Adequacy and effectiveness of the voluntary practices	15
Performance in corruption prevention		Overall integrity level and improvement of integrity levels (survey)	15

● 2012~2013

Section	Criteria	Indicators	Max. Points (weighted scoring)
Willingness and efforts for anti-corruption	1) Establishment of an institutional infrastructure for anti-corruption	Promotion of self-inspection and internal detection of corruption cases	13.5
	2) Enhancement of policy transparency & reliability	Disclosure of business promotion fees, operation of Integrity Ombudsmen, etc.	13.5
	3) Removal and reduction of corruption-causing factors	Implementation of institutional improvement tasks to remove corruption risks, creation of voluntary initiatives, etc.	27.0
	4) Improvement in promoting integrity awareness and a culture of integrity in the public service sector	Sharing of anti-corruption best practices, promotion of integrity education, etc.	20.25
	5) Promotion of Code of Conduct implementation and whistleblowing	Prevention of Code of Conduct violations, promotion of whistleblowing, etc.	15.75
Performance in corruption prevention	1) Improvement in integrity levels (drawn from the ACRC Integrity Assessment result)	Improvement of integrity levels (survey)	3.0
	2) Corruption cases	Number of corruption incidents	7.0

Note: The contents and points of assessment may vary by year.

● 2014

Evaluation Section	Criteria	Indicators	Max. Points (weighted scoring)
Willingness and efforts for anti-corruption (90%)	1) Establishment of institutional infrastructure for anti-corruption  4 factors Total score: 13.5	Introduction of incentives for high-levels of integrity & strengthened internal collaboration	2.7
		Promotion of internal audit & inspection	3.375
		Strengthened punishment against corrupt officials	3.375
		Improvement of integrity in subordinate agencies	4.05
	2) Enhancement of policy transparency & reliability  3 factors Total score: 13.5	Transparency in administrative procedures & reliability in policy implementation (survey)	5.4
		Disclosure of business promotion expenses	5.4
		Operation of Integrity Ombudsman & public/private governance network	2.7
	3) Removal and reduction of corruption-causing factors  4 factors Total score: 31.5	Implementation of institutional improvements recommended by ACRC	7.875
		Implementation of recommendations from the Corruption Impact Assessment	7.875
		Voluntary implementation of anti-corruption initiatives	7.875
		Intensive improvement of corruption-prone areas	7.875
	4) Promotion of a culture of integrity in the public sector  3 factors Total 18.0	Anti-corruption commitment & efforts of high-level officials (survey evaluation)	3.6
		Promotion of anti-corruption training	5.4
		Dissemination of anti-corruption best practices	9.0
	5) Prevention of corruption & promotion of whistleblowing  3 factors Total score: 13.5	Mechanism to prevent Code of Conduct violations	6.75
		Promotion of whistleblowing & protection of whistleblowers	6.75
		Promotion of reporting of welfare fraud & waste of gov. budget	Added points

Evaluation Section	Criteria	Indicators	Max. Points (weighted scoring)
Anti-corruption achievements (10%)	1) Improvement of integrity scores 1 factor	Improvement of integrity levels (survey)	3.0
	2) Occurrence of corruption cases 1 factor	Number of cases for corruption practices (statistics)	7.0
Cooperation with ACRC (deduction of points)	Deduction indicator 1 factors	Cooperation with ACRC's anti-corruption initiatives	Up to 10%

● 2015

Evaluation	Section	Indicators (The points in parenthesis are determined depending on the importance of the policy)	Note
A. Willingness and efforts made in anti-corruption (0.90)	1) Establishment of an institutional infrastructure for anti-corruption (0.15)	1-1. Establishment of integrity incentive systems and reinforcement of internal cooperation mechanisms to tackle corruption (0.20 for local autonomous governments, and 0.20 for public service-related organizations)	
		1-2. Promotion of self-inspection and self-detection of corruption (0.175 for local autonomous governments, and 0.27 for public service-related organizations)	
		1-3. Toughening of sanctions on corruption cases (0.325 for local autonomous governments, and 0.53 for public service-related organizations)	
		1-4. Improvement of anti-corruption & integrity levels of affiliated agencies (e.g. public service-related organizations, extra points) (0.30)	

Evaluation	Section	Indicators (The points in parenthesis are determined depending on the importance of the policy)	Note
A. Willingness and efforts made in anti-corruption (0.90)	2) Improvement of policy transparency and reliability (0.15)	2-1. Transparency of administrative procedures and reliability of policy enforcement (0.40)	Questionnaire
		2-2. Disclosure of business promotion expenses (0.30)	
		2-3. Operation of Integrity Citizen Ombudsmen and public-private governance (0.30)	
	3) Removal of corruption-causing factors (0.30)	3-1. Implementation of ACRC-recommended tasks for institutional improvement (0.30)	
		3-2. Implementation of improvement tasks as recommended by ACRC's Corruption Impact Assessment (0.30)	
		3-3. Enforcement of anti-corruption initiatives (0.20)	
		3-4. Intensive improvement in addressing corruption-prone areas (0.20)	
	4) Improvement of integrity awareness and culture in the public sector (0.225)	4-1. Willingness and efforts of the institution's head and high-ranking officials (0.20)	Questionnaire
		4-2. Promotion of integrity education (0.30)	
		4-3. Expansion and adoption of exemplary anti-corruption practices (0.50)	
	5) Prevention of corruption and promotion of whistleblowing (0.175)	5-1. Institutionalization efforts to prevent Code of Conduct violation (0.40)	
		5-2. Promotion of whistleblowing and protection of whistleblowers (0.40)	
5-3. Protection of corruption reporters and promotion of reporting on welfare & public subsidy frauds (0.20)			
B. Performance in corruption prevention (0.10)	1) Integrity level scores (0.30)	Improvement of integrity levels (100)	Questionnaire

Evaluation	Section	Indicators (The points in parenthesis are determined depending on the importance of the policy)	Note
B. Performance in corruption prevention (0.10)	2) Occurrence of corruption cases (0.70)	Prevention of corruption incidents (100)	Statistics
C. Cooperation in implementing anti-corruption initiatives	Deduction indicator		

## b) Assessment method

With regard to the implementation status of ACRC’s major policy initiatives and specific recommendations to target institutions, ACRC’s own internal assessment team (consisting of ACRC officials from relevant divisions in charge of specific assessment criteria and indicators) conducts the evaluation. For qualitative assessments on topics such as best practices, feasibility of implementation plans, and results of voluntary initiatives undertaken by target institutions, ACRC contracts an external assessment group consisting of professional researchers (e.g. members of academia).

Each target organization writes a self-assessment report on their anti-corruption initiatives, in accordance with the reporting template and guidance provided by ACRC, and submits it together with evidentiary materials via the official ZEROMI website (<http://cry.acrc.go.kr>).

In principle, these self-assessment reports submitted by each organization provide the basis of AIA. When an in-depth assessment or verification of any of these reports is required, ACRC conducts an on-site visit in order to check the implementation process.

For the written assessment, relevant departments in ACRC in charge of specific criteria for their own substantive work assess the quantitative indicators, while the external group assesses the qualitative indicators in order to ensure objectivity of the assessment.



The final result of AIA per institution is derived from the sum of weighted scores of each assessment indicator. Average scores and the standard deviation for each classified group are then used in determining the parameters of specific assessment tiers/grades each year. Specifics such as the number and names of tiers/grades are decided upon discussion between the internal and external evaluation teams.

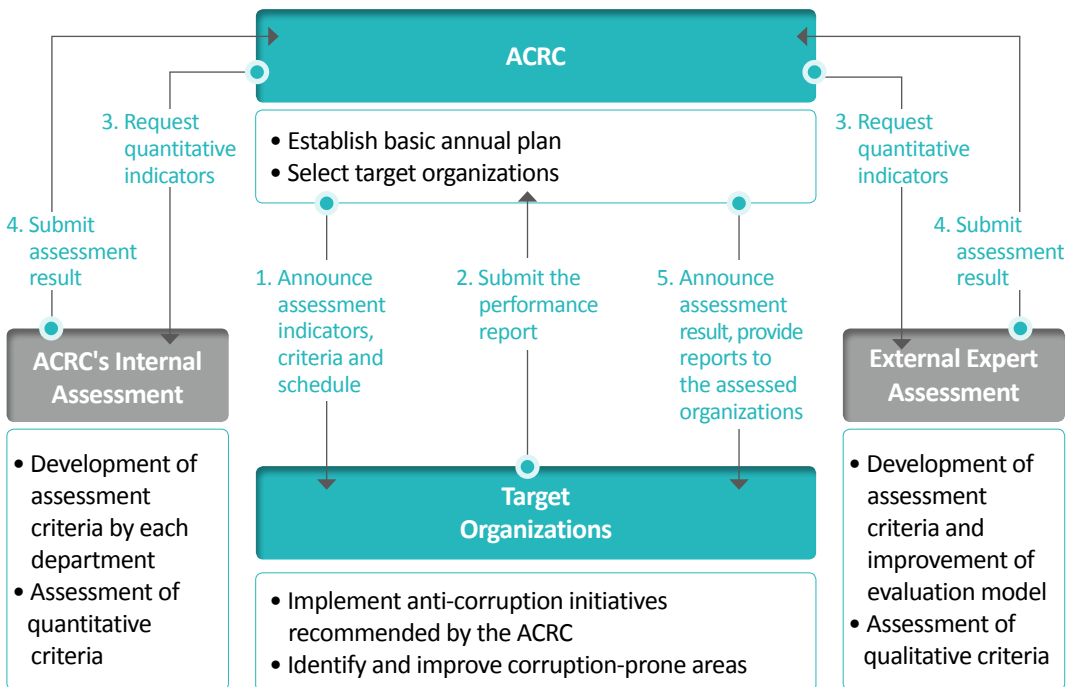
In 2015, the final AIA result of each target organization is given as one of five tiers/grades per assessment group (I, II, III, IV, and V), of which Tier/Grade I is the best performing category.

## 4. Assessment Administration and Procedure

### a) Administration

While the overall administration and final compilation of the annual AIA is managed by the Anti-Corruption Survey and Evaluation Division of the ACRC, evaluation is conducted by three parties: the internal assessment group (consisting of ACRC officials from relevant divisions in charge of specific assessment criteria and indicators); the external expert evaluation team, and the target organizations. Specific roles and responsibilities of each party are noted in the following diagram:

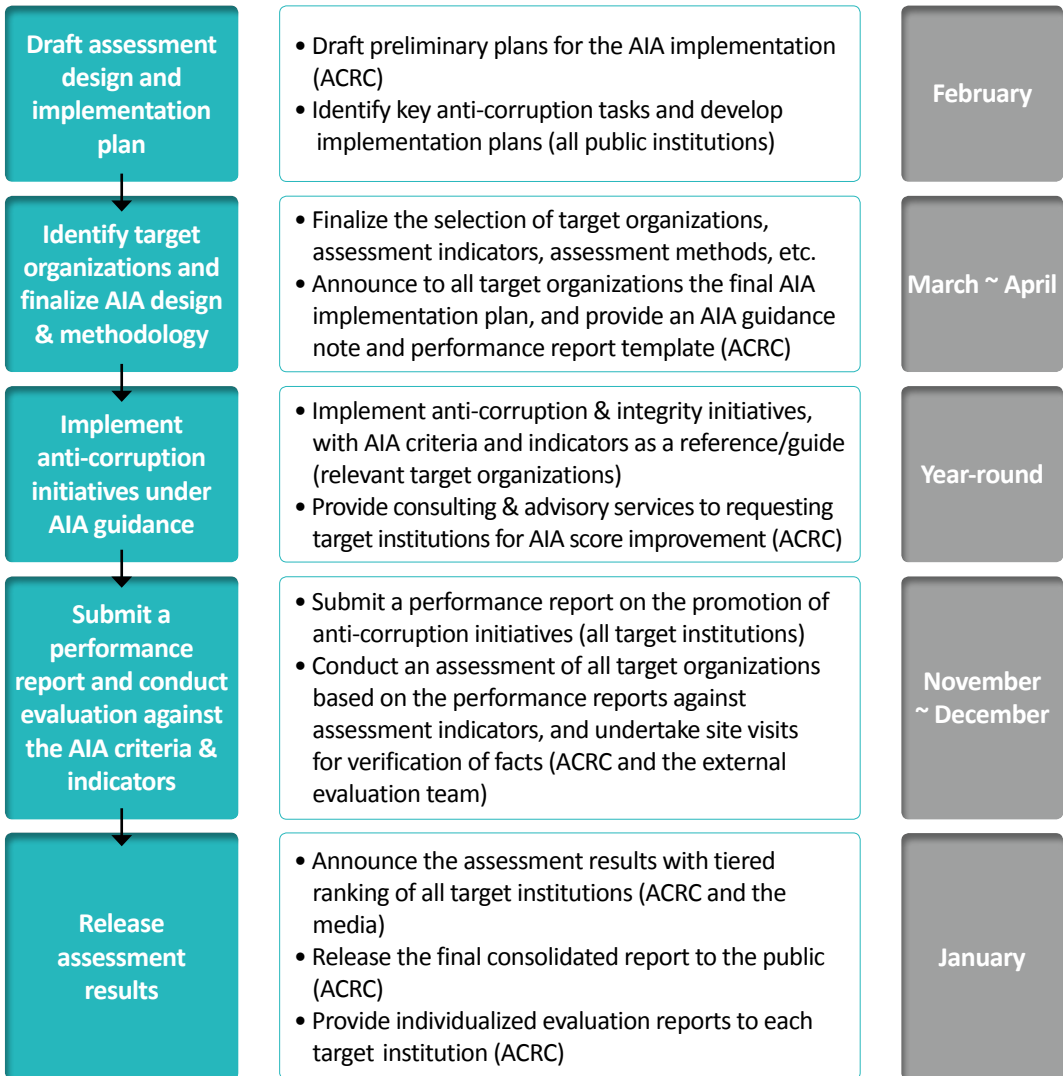
#### <Administration of the Anti-Corruption Initiative Assessment>



## b) Procedure

AIA is conducted through a standard process with a regular timeline each year. The diagram below outlines the overall procedure of the annual AIA implementation:

### < Annual AIA Implementation Procedure >



**Note :** “( )” indicates the entity in charge of the task.

## c) Designated tasks of the responsible entities of AIA (in the case of Korea)

Below is a more detailed description of how AIA is implemented by responsible parties in Korea, namely by ACRC (i.e. administrating institution), target organizations (i.e. public institutions that are evaluated by AIA) and the external evaluation team (i.e. research institution contracted by a competitive bidding process). Taking the following section as a reference, countries who wish to adopt the AIA approach can modify specifics as appropriate to their own local contexts.

### ACRC (AIA-administrating institution)

#### 1. Draft annual implementation plan for AIA (Anti-Corruption Survey and Evaluation Division)

The Anti-Corruption Survey and Evaluation Division develops the annual AIA implementation plan based on consideration of ACRC's anti-corruption policy directions, most prominent cases of corruption at the time, and results of the previous year's Integrity Assessment. The plan outlines an overall direction for the assessment, selection standards for the target organizations, as well as key sections and main components of that year's assessment.

#### 2. Identify unit tasks, and develop specific assessment criteria and indicators (all divisions responsible for anti-corruption efforts)

All divisions within ACRC responsible for anti-corruption work participate in developing specific assessment criteria and indicators of the annual AIA, based on consideration of their annual policy and work priorities, exemplary anti-corruption practices, and the general implementation status of anti-corruption initiatives in the public sector.

In addition, all relevant divisions are required to provide their inputs in developing an assessment standard and preparing a reporting template for self-assessment (to be filled out by target organizations) with specific guidance for each assessment criteria and indicator. Here, those involved need to make the assessment standard as detailed as possible, in order to ensure the accuracy and objectivity of the assessment. Furthermore, in order to minimize the burden placed on target organizations, the self-assessment report template should consist of tables that can be easily filled out with the required information.

### 3. Assign weighted values per assessment criteria & indicator (Anti-Corruption Survey and Evaluation Division)

Once the assessment criteria and indicators are finalized, the Anti-Corruption Survey and Evaluation Division holds discussions with the internal assessment group of ACRC and the external evaluation team, in order to assign the weighted value per assessment criteria and indicator, and to finalize the overall points system, based on the importance of specific tasks and policies reflected in that year's AIA.

### 4. Identify target organizations (Anti-Corruption Survey and Evaluation Division)

The Anti-Corruption Survey and Evaluation Division examines the size, budget, and work of the public organizations defined in Article 2 of the ACRC Act and selects the target organizations. Organizations with a significant role in promoting anti-corruption policies or with major corruption cases are selected on a preferential basis.

In particular, ACRC prioritizes organizations whose results on the annual AIA are reflected in other government assessments, such as the Government Performance Evaluation (conducted by the Prime Minister's Office), the Joint Assessment on Local Governments (conducted by the Ministry of the Interior), and the Education Office Evaluation (conducted by the Ministry of Education, Science and Technology).

### 5. Announce the assessment criteria, indicators and assessment schedule (Anti-Corruption Survey and Evaluation Division)

The Anti-Corruption Survey and Evaluation Division prepares in detail the list of target organizations, the assessment criteria and indicators, assessment method, and the schedule. The division provides this information to public organizations at each level.

### 6. Contract and oversee an external evaluation team (Anti-Corruption Survey and Evaluation Division)

The Anti-Corruption Survey and Evaluation Division invites bids for an external evaluation team that consists of professional research experts, such as from academia. In cooperation with the Public Procurement Service, the division selects the bidder based on price and

technical evaluations, and signs a service contract with the selected expert group. This external team supports the AIA administration in various ways, such as through conducting qualitative assessment on AIA indicators, drafting institutional reports for each organization, adding and refining assessment criteria, and improving the overall assessment model.

### 7. Assessment & verification of self-evaluation reports from target organizations (ACRC and external expert assessment groups)

ACRC's internal assessment group, composed of relevant divisions, and the external expert assessment group, selected through the bidding process, together conduct written assessments based on each target organization's self-evaluation report.

If the written assessment requires further verification, an on-site visit is made for a more detailed examination. In order to reduce the burden on target organizations, however, the on-site examinations are conducted only when deemed absolutely necessary.

### 8. Appeal process (Anti-Corruption Survey and Evaluation Division)

For each target organization, ACRC's internal assessment group and the external expert group conduct independent assessments, followed by a cross validation process. After calculating the final scores, the Anti-Corruption Survey and Evaluation Division notifies each organization of their AIA scores with draft feedback reports. Organizations may then file a complaint should there be an objection on their result. When an objection is filed, ACRC's internal assessment group and the external group jointly review submitted documents and re-evaluate the final scores as necessary.

### 9. Finalize individual assessment reports and draft the final consolidated report (ACRC's internal assessment group)

ACRC's internal assessment group drafts the final AIA report for the year based on consolidation of all the individual institutional assessments, and finalizes individual assessment reports for all target organizations. These include scores for each indicator, specific reasons for final scores, strengths and weaknesses of the relevant organization's anti-corruption efforts, and key directions for the future.

## 10. Announce assessment results and provide assessment reports (Anti-Corruption Survey and Evaluation Division)

After the final score and assessment grade (i.e. performance tiers) are assigned for each organization, the Anti-Corruption Survey and Evaluation Division announces the scores with the final consolidated report through ACRC's official website and press releases. In addition, each target organization is provided with the final institutional report, which includes information on the overall outcome of anti-corruption initiatives per type of organization and criteria, best practices, areas for further improvement, and any filed objections.

### Target organizations (public institutions being assessed by AIA)

#### 1. Identify anti-corruption tasks and establish implementation plans

The target organizations set their anti-corruption tasks and implementation plans at the beginning of the year with due consideration of their institutional characteristics, degree of corruption, together with the level of existing institutional resources and systems for anti-corruption.

Target organizations do not need to limit their anti-corruption tasks for the year to the parameters of ACRC's assessment criteria and indicators. Rather, they are advised to use the AIA guidance and reporting template as a reference, and focus on specific issues and measures that are particularly important for their institution. When developing annual anti-corruption plans, it is also necessary to create a detailed and practical roadmap for implementation, rather than only drawing up a comprehensive to-do list.

In particular, target organizations are advised to undertake stakeholder consultations to gather feedback in identifying their tasks, and to incorporate concrete measures that will enhance the overall effectiveness of the initiatives identified, such as organizing a consultative group for policy advice or designating more staff members to be exclusively in charge of anti-corruption duties.

## 2. Designate a team and specific personnel in charge of the annual AIA and establish a consultative group, including a department in charge of the assessment criteria and indicators.

For effective AIA implementation, each target organization is strongly advised to designate a specific division/department to oversee each year's AIA, and appoint specific persons to manage relevant assessment criteria and indicators, taking into consideration its budget and staff size. However, for management of various anti-corruption initiatives throughout the year, it is desirable to make all relevant units share the duties and operate a consultative body, to ensure that anti-corruption becomes a joint, organization-wide effort.

## 3. Implement anti-corruption initiatives (including those identified in the ACRC assessment indicators)

In accordance with the anti-corruption plans developed at the beginning of each year, voluntary anti-corruption initiatives as well as specific measures based on the AIA indicators should be implemented in a practical and concrete manner.

According to the AIA schedule from ACRC, self-assessments would then need to be carried out on all indicators, based on the reporting template and assessment guidance provided by ACRC. It is desirable to fill out the report based on ongoing discussions with ACRC's evaluation staff.

Units in charge of AIA in each of the target organizations should frequently monitor and manage the overall implementation process by documenting in official documents or memo reports the entire process of implementing anti-corruption initiatives, including status of planned activities, specific achievements and follow-up measures.

Responsible units should also collect, store and manage supplementary and evidentiary documents in preparation for ACRC's evaluation.

## 4. Draft and submit an institutional self-evaluation report to ACRC

Units in charge of AIA should draft a self-evaluation report on their anti-corruption initiatives implemented during the assessment period (from November of the previous year to October



of the present year) and submit the institutional report to ACRC by the annual deadline. Prior to submission, the report should undergo an official approval process within the organization, and the submission should be made through the ZEROMI website.

Specific format and the length of the self-evaluation report do not affect the AIA results. Therefore, target organizations should draft their reports focusing on substance, following the reporting template provided by ACRC. For evidentiary materials, organizations only need to provide the official document numbers for verification, without attaching the actual documents. However, during ACRC's on-site visit for verification of specific data, the target organization should be ready to provide all the documents as requested.

#### 5. Make appeals on the AIA results, if necessary

If an organization has a different view on their given scores after closely examining the draft AIA results provided by ACRC, the organization may raise objections to ACRC with an official document.

#### 6. Analyze assessment reports and utilize assessment results

After receiving the final AIA report from ACRC, each target organization should analyze their results and utilize them to make specific improvements. For instance, with those initiatives that were not implemented or only implemented in part as per the AIA findings, the institution should make specific provisions in the following year's anti-corruption implementation plan for monitoring purposes.

### External evaluation team (e.g. contracted research institution for AIA facilitation)

#### 1. Assess target organizations' self-evaluation reports (on the qualitative indicators)

The external assessment team should first develop a detailed scoring methodology for each qualitative indicator of AIA, including the weighted scores and specific scoring criteria. The team then makes written assessments for each target institution based on the self-assessment reports and other performance-related data.

## 2. Provide inputs to improve assessment indicators and evaluation models

The external experts are also responsible for providing their suggestions to develop and upgrade evaluation criteria and indicators that can best capture the degree of anti-corruption efforts and serve as an institutional guidance, in consideration of the type, size, and characteristics of target institutions.

In addition, this external team needs to review and improve the overall evaluation framework, including the weighted scoring system and assessment methodology, particularly pertaining to the qualitative assessment components.

## 3. Draft institution-specific assessment reports and the final consolidated report

As with the ACRC internal assessment group, the external assessment team is responsible for providing written explanations on the AIA scores with specific reasons and comments for each target organization. In the individual institutional reports, the external evaluators also need to identify and account for strengths and weaknesses of each organization, specific outcomes of anti-corruption efforts, and recommended priority actions for future anti-corruption efforts.

## 4. Analyze correlations within the Anti-Corruption Initiative Assessment

Once the final AIA results are released to the public, the external experts are also responsible for studying any correlations that might exist among certain factors in the AIA outcomes, as well as between AIA results and the Integrity Assessment results or internal indexes on anti-corruption. Once identified and analyzed, such correlations are reported to ACRC.

## 5. Utilization of Assessment Results and Policy Impact

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ACRC strives to enhance the use of AIA assessment results by encouraging public organizations to carry out proactive anti-corruption activities.

Admittedly, ACRC has no legal mandate to impose sanctions on under-performing public institutions as per their annual AIA scores. While ACRC provides tailored reports and consultation to poorly performing institutions, a few institutions have at times ignored the AIA results and thus remained at the bottom of the tiered rankings.

Nevertheless, ACRC's experience for the past 13 years has shown that the AIA approach can compel and incentivize the leaders of public institutions to pay an increasing attention to anti-corruption policies and guidelines, through the public release of annual AIA results and peer pressure among institutions. Under-performing institutions usually show a gradual improvement over time as citizens criticize the low-performing institutions revealed through media reports.

Furthermore, the National Assembly at times picks up on the AIA results to question the target institution's integrity and performance, which creates an additional incentive for the management of the institution to improve.

Best-performing institutions also leverage the AIA results as an attractive public relations tool to help increase their reputation with citizens and higher authorities. They usually publish their own press releases and proudly display their ranking, as evidence of their accountable leadership and management successes.

Furthermore, organizations that achieve outstanding results on the annual AIA receive commendations and merit-based rewards, and individuals also receive commendations and training opportunities for distinguished service—e.g. overseas training on anti-corruption in exemplary countries and high recognition awards from the President's or Prime Minister's

office. Exemplary practices in organizations with outstanding results are further studied and shared not only within Korea, but also with foreign anti-corruption bodies to be used as materials for integrity training and knowledge sharing.

This has raised the profile of the anti-corruption work (i.e. opportunity to earn recognition and promotion), and thus has helped ensure that high-performing individuals are in charge of anti-corruption work and AIA administration within public institutions.

To increase the anti-corruption capacities of target institutions, ACRC also provides analyses and exemplary practices of outstanding organizations in individual reports, so that target institutions can try to make necessary improvements themselves.

All of these contribute to a virtuous cycle of strengthening the political will and commitment among the target institutions towards following ACRC's anti-corruption policy guidelines and participating in the annual AIA.

Policy impact of the annual AIA is evidenced by the fact that the results of AIA have also shown a steady improvement over the years, as public organizations in Korea continued to promote various initiatives with guidance from AIA. In 2014, the average score of all assessed organizations was 83.2, which represents an increase from 77.2 in 2011. Furthermore, 19 out of 23 organizations (83%) that recorded a "Grade 5" in integrity level in 2013 saw their levels rise one or two grades in 2014, after conducting AIA.

In conclusion, the annual AIA in Korea has become a useful reference point in periodic communication and policy discussions on anti-corruption efforts between the anti-corruption agency and public institutions. It has helped to guide implementation efforts with a clear sense of priorities across the public sector, and to incentivize public institutions in anti-corruption work by releasing their performance ranking in a tiered system. In other words, while the tool is technical in nature, AIA has been a potent institutional mechanism in generating a virtuous cycle of anti-corruption efforts in Korea. As such, there is a potential for other countries to take the AIA approach and utilize applicable elements to mobilize greater political will at the institutional level and strengthen their policy implementation and monitoring efforts.

# III

## AIA Reporting Templates and Examples

1. Evaluation Guide & Reporting Template for Self-Assessment
2. Standard Template & Sample of ACRC's Evaluation Report

# 1. Evaluation Guide & Reporting Template for Self-Assessment

(key examples from the 2015 AIA as distributed to target organizations)

**Example #1.**

**AIA Section A-1: Establishment of an institutional infrastructure for anti-corruption**

**1) Evaluation Criteria and Methodology**

Section	Criteria and Max. Points	Assessment method and formula	Note																								
1-2. Promotion of self-inspection	Performance of self-inspection activities (70)	<ul style="list-style-type: none"> <li>Self-detection of corruption cases (40)</li> </ul> <p>-Points are given according to the self-detection rate.</p> <table border="1"> <thead> <tr> <th>Level</th> <th>Points</th> <th>Level</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>100%</td> <td>40</td> <td>More than 50%</td> <td>15</td> </tr> <tr> <td>More than 90%</td> <td>35</td> <td>More than 40%</td> <td>10</td> </tr> <tr> <td>More than 80%</td> <td>30</td> <td>More than 30%</td> <td>5</td> </tr> <tr> <td>More than 70%</td> <td>25</td> <td>Less than 30%</td> <td>0</td> </tr> <tr> <td>More than 60%</td> <td>20</td> <td></td> <td></td> </tr> </tbody> </table> $\frac{\text{Number of self-detected incidents}}{\text{No. of self-detected incidents} + (\text{No. of incidents informed by an outside organization} / 2)} \times 100$ <p><b>Note:</b> If there was no incident detected either by an outside organization or by self-inspection, 35 points are given.</p>	Level	Points	Level	Points	100%	40	More than 50%	15	More than 90%	35	More than 40%	10	More than 80%	30	More than 30%	5	More than 70%	25	Less than 30%	0	More than 60%	20			Common indexes for all organizations
Level	Points	Level	Points																								
100%	40	More than 50%	15																								
More than 90%	35	More than 40%	10																								
More than 80%	30	More than 30%	5																								
More than 70%	25	Less than 30%	0																								
More than 60%	20																										

Section	Criteria and Max. Points	Assessment method and formula	Note																				
1-2. Promotion of self-inspection	Performance of self-inspection activities (70)	<ul style="list-style-type: none"> <li>Self-detection of code of conduct violations (30)</li> </ul> <p>- Points are given according to the self-detection rate.</p> <table border="1"> <thead> <tr> <th>Level</th> <th>Points</th> <th>Level</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>100%</td> <td>30</td> <td>More than 60%</td> <td>10</td> </tr> <tr> <td>More than 90%</td> <td>25</td> <td>More than 50%</td> <td>5</td> </tr> <tr> <td>More than 80%</td> <td>20</td> <td>Less than 50%</td> <td>0</td> </tr> <tr> <td>More than 70%</td> <td>15</td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: center;"> <math display="block">\frac{\text{Number of self-detected incidents}}{\text{No. of self-detected incidents} + (\text{No. of informed incidents by an outside organization})} \times 100</math> </p> <p><b>Note:</b> If there was no incident detected by an outside organization nor by self-inspection, 25 points are given.</p>	Level	Points	Level	Points	100%	30	More than 60%	10	More than 90%	25	More than 50%	5	More than 80%	20	Less than 50%	0	More than 70%	15			Common indexes for all organizations
Level	Points	Level	Points																				
100%	30	More than 60%	10																				
More than 90%	25	More than 50%	5																				
More than 80%	20	Less than 50%	0																				
More than 70%	15																						

## 2) Examples of Performance Report Template (to be filled out by target institutions for submission to ACRC)

Assessment Criteria	Performance of self-inspection activities
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### (a) Reporting Template of self-detection of corruption incidents

Total number of detected incidents	Number of self-detected incidents (A)	Number of informed incidents by an outside organization (B)	Self-detection rate (A/A+(B/2)*100)
(ex) 10	(ex) 6	(ex) 4	(ex) 75.0%

**Note:** Self-detection rate = {No. of self-detected incidents / No. of self-detected incidents + (No. of informed incidents by an outside organization / 2)} × 100

Category	Public officials found guilty through 'self-detection of corruption incidents'
Period	<ul style="list-style-type: none"> <li>Please record disciplinary actions between 1 November 2014 and 31 October 2015</li> </ul> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>-They should be recorded by the date of confirmation of disciplinary actions, not by the date of corruption occurrence, and by the date of confirmation of the final decision, if the original decision was changed.</li> <li>-If a corruption incident took place while the corrupt official was working at Organization A, and he/she was detected and received a disciplinary action while working at Organization B, he/she shall be considered a corrupt official of Organization A.</li> <li>-If a corruption incident took place while an official of Organization A was dispatched to work at Organization B, he/she shall be considered a corrupt official of both Organization A and B. (This person officially belongs to Organization A, while Organization B also has the obligation to manage the official's integrity at work.)</li> </ul>
Types of disciplinary actions	<ul style="list-style-type: none"> <li>Please describe specific disciplinary measures imposed (e.g. Ipso Facto Retirement, disciplinary punishments, and warnings.)</li> </ul>
Types of corruption	<ul style="list-style-type: none"> <li>Please describe the specific types of corruption detected (e.g. receipt of money, valuable goods, or entertainment; embezzlement and misuse of public funds; abuse of authority; manipulation and forgery of documents; leakage of classified information (simple and inadvertent mistakes and inappropriateness during work are excluded)</li> </ul>
Types of detection	Detection by outside organizations (ACRC, Prosecution, Police, Board of Audit and Inspection, supervisory agencies, media, etc.)

< Self-detection recording template >

No.	Corrupt official	Brief description of corruption	Disciplinary actions taken	Related evidence
1	Kim ○○ (to be anonymized)		Disciplinary actions, disadvantages in status and finance	Name of document, No. of document, Date of disposition
2				

< External detection recording template >

No.	Corrupt official	Brief description of corruption	Name of the informer organization	Related evidence
1	Kim ○○ (to be anonymized)		(e.g. ACRC, Board of Audit and Inspection, Prosecution, Police, and supervisory agencies)	(e.g. Name of the document; No. of document; and date of execution)
2				



(b) Reporting Template for self-detection of code of conduct violations

Total No. of detection (A)	No. of self-detected incidents (B)	No. of informed incidents by an outside organization	Self-detection rate (B/A*100)
(ex) 10	(ex) 6	(ex) 4	(ex) 60.0%

**Note:**

- Calculation of self-detection rate = (No. of self-detected incidents / No. of the total detected incidents) × 100

- Assessment period: 1 Nov. 2014 ~ 31 Oct. 2015

< Self-detection of code of conduct violations >

No.	Corrupt official	Summary of corrupt act	Result of disposition	Related evidence
1	Kim ○ ○ (to be anonymized)		Disciplinary dispositions, disadvantages in status and finance	Name of document, No. of document, Date of disposition
2				

< External detection of code of conduct violations >

No.	Code of conduct violators	Summary of corrupt act	Name of organization that informed violation	Related evidence
1	Kim ○ ○ (to be anonymized)		ACRC, Board of Audit and Inspection, Prosecution, Police, etc.	Name of document, No. of document, Date of execution
2				

Example #2.

AIA Section A-2: Improvement of Policy Transparency & Reliability

1) Evaluation Criteria and Methodology

Section	Criteria and Max. Points	Assessment method and formula	Note								
2-1. Transparency of administrative procedures and reliability of policy enforcement	Transparency and fairness of administrative procedures & work-handling process (20)	<ul style="list-style-type: none"> <li>● Transparency and fairness of administrative procedures &amp; work-handling process</li> </ul> <p>-Survey results, drawn from the points on the “transparency and fairness”- related items in the External Integrity Assessment of Public Organizations in 2015</p> <p>-Reflected survey contents and specific methods of reflecting points will be decided later.</p>	Common for all organizations								
	Promotion of voluntary disclosure of integrity-related information (80)	<ul style="list-style-type: none"> <li>● Level of disclosure of anti-corruption and integrity related information (30)</li> </ul> <p>-Information such as internal reports on anti-corruption initiatives, systems, regulations, and exemplary practices</p> <p>-Assessment on the number of disclosure, accessibility to disclosed information, and concreteness, etc.</p> <p><b>Note:</b> Disclosure of information unrelated to integrity will not be recognized.</p> <table border="1"> <thead> <tr> <th>Specific assessment indicators</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>① No. of disclosure (considering the size of organizations)</td> <td>5</td> </tr> <tr> <td>② Level of detail of the disclosed information</td> <td>15</td> </tr> <tr> <td>③ Timing of disclosure</td> <td>5</td> </tr> <tr> <td>④ Public accessibility (No. of necessary clicks from the homepages and visible placing of the info on the website)</td> <td>5</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>● Level of disclosure of direct (non-competitive) contracting information (30)</li> </ul> <p>- Assessment on disclosure standards, accessibility to disclosed information, and level of detail, etc.</p>		Specific assessment indicators	Points	① No. of disclosure (considering the size of organizations)	5	② Level of detail of the disclosed information	15	③ Timing of disclosure	5
Specific assessment indicators	Points										
① No. of disclosure (considering the size of organizations)	5										
② Level of detail of the disclosed information	15										
③ Timing of disclosure	5										
④ Public accessibility (No. of necessary clicks from the homepages and visible placing of the info on the website)	5										

Section	Criteria and Max. Points	Assessment method and formula		Note
2-1. Transparency of administrative procedures and reliability of policy enforcement	Promotion of voluntary disclosure of integrity-related information (80)	Specific assessment indicators		Points
		① Disclosure standards on direct (non-competitive) contracting (e.g. price ceiling)	10	Common for all organizations
		② Level of detail of the disclosed contract information	10	
		③ Timing and cycle of disclosure	5	
		④ Accessibility (No. of necessary clicks from the homepage and visible placing of the info on the website)	5	

Section	Criteria and Max. Points	Assessment method and formula	Note
2-3. Operation of integrity ombudsmen and public-private governance (Extra points, +10)	Establishing or participating in a cooperative body with a civic organization & performance of the cooperative body (100)	<ul style="list-style-type: none"> <li>● Establishing &amp; participating in a cooperative body with a civic organization (50)</li> </ul> <p>-Whether a public organization formed or participated in a cooperative body that includes civic organizations or civilians to improve the integrity of the public organizations (including signing of a MOU)</p> <p><b>Note:</b> Civic organization here means a non-governmental organization that is registered either as a non-profit corporation or as a non-profit civic organization. "Consultative body" includes temporary as well as regular consultative bodies.</p> <ul style="list-style-type: none"> <li>▪ If a public organization formed or participated in a regularly consultative body: 50 points</li> <li>▪ If a public organization formed or participated in a temporary consultative body: 30 points</li> <li>▪ If a public organization did not form or participate in a cooperative body: 0 points</li> </ul> <p><b>Note:</b> In the case of a mandatory involvement (by law) of outsiders (civilians) in outsourcing, evaluation, or deliberation processes, such as "participatory budgeting process," no extra points shall be given.</p>	Common for all organizations

Section	Criteria and Max. Points	Assessment method and formula	Note
<p>2-3. Operation of Integrity Ombudsmen and public-private governance (Extra points, +10)</p>	<p>Establishing or participating in a cooperative body with a civic organization &amp; performance of the cooperative body (100)</p>	<ul style="list-style-type: none"> <li>● Performance of the cooperative body (50)</li> <li>- Activities such as campaigns/events on integrity issues, consultation meetings, and joint anti-corruption projects are recognized.</li> <li>▪ If the cooperative body actually participates in a decision making process (e.g. policy formulation): 20 points per case</li> <li>▪ If the cooperative body undertakes a supportive or collaborative activity: 10 points per case</li> <li>▪ If the cooperative body receives stakeholders' opinions (such as through organizing consultation meetings): 10 points per case</li> <li>▪ No activity is undertaken: 0 point</li> </ul> <p><b>Note:</b> The performance report shall present best practices for evaluation, and the total extra points in this section shall not exceed 50 points.</p> <ul style="list-style-type: none"> <li>- In the case of a mandatory involvement (by law) of outsiders (civilians) in outsourcing, evaluation, or deliberation processes, such as "participatory budgeting process," no extra points shall be given.</li> <li>- If the same activity is repeatedly conducted in local branches or regional locations, all the activities will be recognized as one case only. For example, 3 regional campaigns with the same content shall be recognized as 1 case.</li> </ul>	<p>Common for all organizations</p>

## 2) Examples of Performance Report Template (to be filled out by target institutions for submission to ACRC)

<b>Assessment Criteria</b>	Transparency and fairness of administrative procedures & work-handling process
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→The ACRC evaluation team will use the results of the 2015 Integrity Assessment. Target organizations do not need to submit extra material on this criteria.

<b>Assessment Criteria</b>	Promotion of voluntary disclosure of information
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→ This section assesses the level of disclosure of anti-corruption and integrity related information (posted on the institution’s website). Please fill out the following template.

### < Accessibility of the disclosure information on anti-corruption and integrity >

Access route to information	No. of necessary clicks (from the homepage to the information-containing page)	Total no. of disclosed documents
oo Menu→oo Menu→ooMenu		

→ Organizations do not need to submit the full list of disclosed information and evidentiary materials. ACRC will check & verify as necessary (e.g. during the onsite inspection).

### < Accessibility of disclosed information on direct (non-competitive) contracts >

Access route to information	No. of clicks (From start page to page of information posted on website )	Total no. of disclosure
oo Menu→oo Menu→ooMenu		

### < Level of disclosure of information on direct contracts >

Standard price ceiling for disclosure (Unit: KRW million)	Disclosed information	Disclosure timing	Disclosure cycle
	(e.g. Name of the contract & awarded company, and contract value)	(Within X days after concluding a contract, etc.)	(e.g. Once a month)

**Note:** Evidentiary regulations (i.e. plans or guidelines) related to the disclosure of direct-appointment contracts should be attached on the ZEROMI website (<http://cry.acrc.go.kr>). Organizations do not need to submit the full list of disclosed documents. (The list should be kept only for verification during the onsite inspection.)

<b>Assessment Criteria</b>	<b>Forming and participating in a cooperative body with a private organization &amp; performance of public-private cooperative body (for extra points)</b>
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< Establishing and/or participating in a cooperative body >

Name of the cooperative body	Establishment (participation) log	Members		Basis for Establishment (or participation)
		Organization	Name	
Write down any public-civic consultative bodies that the AIA target organization formed/participated in to prevent corruption in the organization or to enhance its integrity efforts.				Such as types of legal grounds (law, company regulation, internal regulation, etc.) -Write the name and types of legal grounds, and the number of official documents

**Note:** Documents on the legal basis of the consultative body do not need to be submitted. They should be kept to be checked at the time of an onsite inspection.

< Performance of the cooperative body >

No.	Name of activity (event)	Date	Activities
1			Please indicate types of activities and describe specific activities undertaken (e.g. name of activity, contents of project (support) (Write the number of the official documents))
2			

**Example #3.**

**AIA Section A-3: Removal & reduction of corruption-causing factors**

**1) Evaluation Criteria and Methodology**

Section	Criteria and Max. Points	Assessment method and formula	Note
3-1. Implementation of recommended tasks for institutional improvement	Implementation of recommended tasks (100)	<ul style="list-style-type: none"> <li>● Acceptance rate of ACRC’s recommendations (20)</li> <li>- Assessment on whether and to what extent the target organization has accepted the recommended tasks for anti-corruption institutional improvement</li> <li><b>Note:</b> Specific tasks to be assessed will be notified separately to each organization (in May 2015).</li> <li>- Points will be given only if the completion of the recommended task was specified in the performance report.</li> <li>- However, even before the completion of the task, points will be given if a specific schedule for the implementation is clearly indicated in the report.</li> </ul> $\text{Acceptance rate} = \frac{\text{Number of recommended tasks accepted by the target organization}}{\text{Number of tasks recommended by ACRC for assessment}} \times 20$	Common for all target organizations
		<ul style="list-style-type: none"> <li>● Implementation of recommended anti-corruption tasks (80)</li> <li>- Assessment on the implementation of anti-corruption tasks as recommended by ACRC for institutional improvement</li> <li><b>Note:</b> It will be recognized only when the target organization indicates in the performance report specific details of the implementation in line with ACRC’s recommendation, such as the implementation schedule and contents of the tasks undertaken (e.g. specific clause in the relevant regulation and evidentiary documents).</li> </ul>	Extra points for the relevant organization

Section	Criteria and Max. Points	Assessment method and formula	Note																
<p>3-1. Implementation of recommended tasks for institutional improvement</p>	<p>Implementation of recommended tasks (100)</p>	<p>implementation rate = <math>\frac{\text{Number of tasks implemented}}{\text{Number of recommended tasks to be assessed}} \times 80</math></p> <ul style="list-style-type: none"> <li>Implementation before the due date (up to +5, extra points)</li> </ul> <p>-Assessment on to what extent the target organization implemented the recommended tasks before the due date</p> <p><b>Note:</b> Tasks to be assessed will be notified separately in the second half of 2015. Extra points will be given according to the implementation rate of the tasks that are subject to assessment, but the points will be given within the range of the total maximum points for the implementation performance (80 points).</p> <table border="1" data-bbox="478 880 1029 1121"> <thead> <tr> <th>Implementation rate</th> <th>Extra points</th> <th>Implementation rate</th> <th>Extra points</th> </tr> </thead> <tbody> <tr> <td>100%</td> <td>5</td> <td>More than 25% ~ less than 50%</td> <td>5</td> </tr> <tr> <td>More than 75 ~ less than 100%</td> <td>4</td> <td>less than 25%</td> <td>1</td> </tr> <tr> <td>More than 50% ~ less than 75%</td> <td>3</td> <td></td> <td></td> </tr> </tbody> </table>	Implementation rate	Extra points	Implementation rate	Extra points	100%	5	More than 25% ~ less than 50%	5	More than 75 ~ less than 100%	4	less than 25%	1	More than 50% ~ less than 75%	3			<p>Extra points for the relevant organization</p>
		Implementation rate	Extra points	Implementation rate	Extra points														
100%	5	More than 25% ~ less than 50%	5																
More than 75 ~ less than 100%	4	less than 25%	1																
More than 50% ~ less than 75%	3																		
<ul style="list-style-type: none"> <li>Level of cooperation with ACRC, including submission of the performance report (up to -10, deducted points)</li> </ul> <p>- Points will reflect results of ACRC's inspection on the target organization's implementation status of recommendations, as well as results of an audit or investigation on the recommendations conducted by external actors.</p> <ul style="list-style-type: none"> <li>According to the results of the inspection, audit, and/or investigation, 5 points will be deducted for every violation of recommendations.</li> </ul> <p>- Points will reflect the level of the target organization's cooperation with ACRC such as submitting implementation plans and implementation details,</p>	<p>Deducted points index for the relevant organization</p>																		



Section	Criteria and Max. Points	Assessment method and formula	Note
3-1. Implementation of recommended tasks for institutional improvement	Implementation of recommended tasks (100)	<p>and providing support to fact-finding inspections on the organization's institutional improvement</p> <ul style="list-style-type: none"> <li>▪ If the implementation plan and implementation details were not submitted within the due date, 1 point will be deducted for each case.</li> <li>▪ If the target organization submitted implementation details that are unrelated to the specific recommendations, 2 points will be deducted for every submission of such case.</li> <li>▪ For failure to cooperate during fact-finding inspections (such as submitting materials or facilitating onsite inspection), 1 point will be deducted for each case.</li> </ul>	Deducted points index for the relevant organization

## 2) Examples of Performance Report Template (to be filled out by target institutions for submission to ACRC)

Assessment Criteria	Implementation of recommended tasks
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**Note:** You must provide specific implementation details per recommended task in the “Detailed Implementation Reporting Template” provided at the end of this section.

### <Acceptance rate of recommended tasks>

Total number of recommended tasks (A)	Accepted tasks (B)	Acceptance rate (B/A*100)
oo (No. of tasks)	oo (No. of tasks)	oo%

**Note:** Only those tasks that are either “completed,” or “under implementation” with a specific schedule will be recognized as “accepted tasks”.

## &lt;Implementation rate of recommended tasks&gt;

## ● Overview

Total number of recommended tasks (A)	Implemented tasks (B)	Implementation rate (B/A*100)
oo (No. of tasks)	oo (No. of tasks)	oo%

## ● Implementation Status by specific tasks

No.	Name of the recommended task	Name of the specific task undertaken	Acceptance by the organization Y/N	Completion Y/N	Other
1		(ex)	Y (accepted)	Y (completed)	

## &lt;Implementation before the due date (extra points indicator)&gt;

## ● General Table

Detailed task (A)	Early completed task (B)	Early completion rate (B/A*100)
oo (No. of task)	oo (No. of task)	oo%

## ● Status by detailed task

No.	Name of recommended tasks	Name of specific tasks	Completion (Y/N)	Note
1			Mark as Y or N	
2				

## Note:

1. Please fill out this section after receiving from ACRC this year's "list of recommended tasks to be assessed" for your organization (notification period: May 2015).
2. Reported cases will be recognized only when the target organization indicates in the performance report specific details of their implementation in line with ACRC's recommendation, such as the implementation

schedule and contents of the tasks undertaken (e.g. specific clause in the relevant regulation and evidentiary documents).

3. If the case presented in the report is a revision of a law, and the revision draft is brought before or under discussion by the National Assembly as of the date of the submission of the report, it will be recognized as “implementation completed.”
4. It is not necessary to submit any extra evidentiary documents. (They should only be kept for verification during the onsite inspection.)

### <Detailed Implementation Reporting Template with Good Examples from Previous AIAs>

- Implementation status should be written in detail, including relevant regulations, specific provisions, key contents, relevant documents’ numbers, and improvement dates.
- Implementation plans should be provided for those tasks that have not been implemented yet, but a specific schedule should be provided in detail for verification during an inspection.
- The name and contact number of the person in charge should be provided so that the implementation details can be verified easily. (Note: If there are several persons in charge for different tasks, please write the name of the responsible person for each task in the “Note” column on the right.)

<b>Final date of preparation</b>	2015 * *	<b>Name of organization</b>	Ministry of ○○	<b>Implementation status by specific tasks</b>
<b>Name of the recommended task</b>	Improvement plan for ○○○○	<b>Name of division</b>	○○ Division	
<b>Due date</b>	2015 * *	<b>Person in charge</b>	* * *	
		<b>Contact</b>	○○○-456-4567	
				<ul style="list-style-type: none"> <li>• Total number of detailed tasks :</li> <li>• No. of implemented tasks:</li> <li>• No. of accepted tasks:</li> <li>• No. of unaccepted tasks:</li> </ul>

Name of specific task	Implementation status and future plans	Note (Person in charge)
<p>(Below are some good examples from previous AIA performance reports)</p> <p>1. Exclude from the overseas business travel approval panel those individuals who have a conflict of interest, such as those who are business travelers themselves, or who are part of the department/division to which relevant business travelers belong.</p> <p>▪ Good example which clearly shows revisions to an existing regulation</p>	<ul style="list-style-type: none"> <li>● [Implementation Status] Completed</li> <li>- Revision of the “Enforcement regulations for the approval of official overseas travel of 000” (Official Order 000 No. 1542)                             <ul style="list-style-type: none"> <li>▪ Revision announced on May 23, 2013 → revision completed on June 25, 2013</li> </ul> </li> <li>- Revised contents: Article 5-4 (newly added)</li> </ul> <div style="border: 1px solid black; background-color: #e0f2f1; padding: 5px; margin-top: 10px;"> <p>Article 5 (Evaluation/Approval Committee) (4): If the panel member himself/herself is the business traveler, or belongs to the department/division to which the traveler comes from, he/she shall not be allowed to attend the evaluation committee meeting</p> </div>	<p>00 Division Kim ** (with phone number)</p>
<p>2. Strengthening the oversight &amp; audit system on overseas travel of personnel</p> <p>▪ A good example which clearly shows evidentiary documents</p>	<ul style="list-style-type: none"> <li>● [Implementation Status] Completed</li> <li>- Reflected in the “2013 work plan of the audit office” (Dec. 2012)                             <ul style="list-style-type: none"> <li>▪ Selected "official overseas travel" as a subject of that year’s special inspection</li> </ul> </li> </ul> <div style="border: 1px solid black; background-color: #e0f2f1; padding: 5px; margin-top: 10px;"> <p>Page 11 of the " 2013 Work Plan of the Audit office": Strengthen the monitoring of corruption risk areas such as embezzlement/misuse of public funds, false claims of allowances, official overseas travels, and computer network development</p> </div> <ul style="list-style-type: none"> <li>▪ As a result of the special inspection, the Audit office detected overseas travel of an official who was on maternity leave (May 2013).</li> </ul>	<p>Audit office Lee ** (with phone number)</p>

Name of specific task	Implementation status and future plans	Note (Person in charge)
<p>3. Specifying due dates of detailed implementation actions and the number of necessary deliberations (reflecting degree of importance per case type and regional characteristic), following the enforcement decree of the National Land Planning and Utilization Act</p> <ul style="list-style-type: none"> <li>▪ A good example which clearly shows detailed implementation plans</li> </ul>	<ul style="list-style-type: none"> <li>● [Implementation Status] Under implementation</li> <li>- Revision of “ Ordinance of city planning of x x city” (Article 68) <ul style="list-style-type: none"> <li>▪ Revision content: Limit the number of deliberation sessions on city planning to less than 3.</li> </ul> </li> </ul> <p>[Future implementation plans]</p> <ul style="list-style-type: none"> <li>- Preliminary announcement of the revision: ~ 2014. . .</li> <li>- Completion of deliberation on ordinance rules: ~ 2014. . .</li> <li>- Submission of the draft ordinance to the local council: ~ 2014. . .</li> <li>- Completion of the promulgation: ~ 2014. . .</li> </ul>	<p>City Planning Division Park ** (with phone number)</p>

**Example #4.**

**AIA Section A-4: Promotion of anti-corruption awareness & culture of integrity in the public service sector**

**1) Evaluation Criteria and Methodology**

Section	Criteria and Max. Points	Assessment method and formula	Note
<p>4-2. Promotion of integrity education</p>	<p>Designation of personnel exclusively responsible for integrity duties, and completion of anti-corruption education by the personnel (40)</p>	<ul style="list-style-type: none"> <li>● Ratio of personnel with exclusive duties on anti-corruption and integrity (30)</li> <li>- If the target organization creates/designates a team with exclusive duties on anti-corruption and integrity with more than 4 staff members (including the head of the division): 30 points</li> </ul> <p><b>Note:</b> If this team belongs to the organization's audit division/ department, the name of the team should include specific words related to corruption prevention or integrity.</p>	<p>Common for all organizations</p>

Section	Criteria and Max. Points	Assessment method and formula	Note																																				
4-2. Promotion of integrity education	Designation of personnel exclusively responsible for integrity duties, and completion of anti-corruption education by the personnel (40)	<p>● Ratio of personnel with exclusive duties on anti-corruption and integrity (20)</p> <p>- If the public organization does not have a separate team with exclusive duties on anti-corruption and integrity, but instead operate anti-corruption duties as part of its audit &amp; inspection office, points will be given according to the following formula.</p> <p>1. If the organization's audit division has more than 10 staff members (including the head of the division):</p> <p style="text-align: right;">(decimal places cut off)</p> <table border="1" data-bbox="481 738 1029 857"> <thead> <tr> <th>Ratio</th> <th>Points</th> <th>Ratio</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>More than 30%</td> <td>20</td> <td>Less than 10%~20%</td> <td>10</td> </tr> <tr> <td>Less than 20%~30%</td> <td>15</td> <td>Less than 10%</td> <td>5</td> </tr> </tbody> </table> <p>2. If the organization's audit division has less than 10 staff members (including the head of the division):</p> <p style="text-align: right;">(decimal places cut off)</p> <table border="1" data-bbox="481 1011 1029 1130"> <thead> <tr> <th>Ratio</th> <th>Points</th> <th>Ratio</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>More than 20%</td> <td>20</td> <td>Less than 10%~15%</td> <td>10</td> </tr> <tr> <td>Less than 15%~20%</td> <td>15</td> <td>Less than 10%</td> <td>5</td> </tr> </tbody> </table> <p><b>Note:</b></p> <ol style="list-style-type: none"> <li>When counting the number of personnel in the audit division, only those officially indicated on the organization chart should be counted. (Please count the number including the head of the division, unlike in last year's AIA.)</li> <li>Please count the number of personnel as of the end date of this year's AIA period.</li> <li>The counting will be recognized only when the staff members are appointed by an official document or a letter of appointment.</li> </ol> <p>● Percentage of staff with integrity duties having received anti-corruption education (10)</p> <p style="text-align: right;">(decimal places cut off)</p> <table border="1" data-bbox="481 1552 1029 1670"> <thead> <tr> <th>Ratio</th> <th>Points</th> <th>Ratio</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>More than 80%</td> <td>10</td> <td>Less than 40%~60%</td> <td>6</td> </tr> <tr> <td>Less than 60%~80%</td> <td>8</td> <td>Less than 20%~40%</td> <td>5</td> </tr> </tbody> </table>	Ratio	Points	Ratio	Points	More than 30%	20	Less than 10%~20%	10	Less than 20%~30%	15	Less than 10%	5	Ratio	Points	Ratio	Points	More than 20%	20	Less than 10%~15%	10	Less than 15%~20%	15	Less than 10%	5	Ratio	Points	Ratio	Points	More than 80%	10	Less than 40%~60%	6	Less than 60%~80%	8	Less than 20%~40%	5	Extra points for the relevant organization
Ratio	Points	Ratio	Points																																				
More than 30%	20	Less than 10%~20%	10																																				
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Section	Criteria and Max. Points	Assessment method and formula	Note
4-2. Promotion of integrity education	Designation of personnel exclusively responsible for integrity duties, and completion of anti-corruption education by the personnel (40)	<p><b>Note:</b></p> <ol style="list-style-type: none"> <li>1. If the organization's percentage falls below the numbers in this table, no points will be given.</li> <li>2. "Education" here includes participation in the ACRC's anti-corruption guideline meetings, workshops, and consulting sessions, as well as the Anti-Corruption Training Institute's training programs. (The total number of hours attending these events should be more than 7 hours.)</li> <li>3. Also recognized are the completion of a training programme conducted by the Audit and Inspection Training Institute (related to audit and inspection) or the Local Government Officials Development Institute (related to corruption prevention and integrity enhancement).</li> </ol>	Extra points for the relevant organization

## 2) Examples of Performance Report Template (to be filled out by target institutions for submission to ACRC)

Assessment Criteria	Designation of personnel exclusively responsible for integrity duties and completion of anti-corruption education
---------------------	---

- If a public organization operates an exclusive division (team, section, taskforce, etc.) for integrity duties:

Division Name	Composition				
	Position	Name	Date of appointment	Completion of anti-corruption education	Rate of completion
(ex) Integrity Taskforce Team	Team leader	***	May 1, 2014	Completed (May 1, 2015)	66%
	Team member	***	May 1, 2014	Completed (May 1, 2015)	
	Team member	***	May 1, 2014	Not completed	

**Note:** The list of team members by division on the organization chart should be attached on the ZEROMI website (<http://cry.acrc.go.kr>)

- If a public organization does not separately operate a division (team, section, taskforce, etc.) for integrity duties:

<Ratio of personnel for anti-corruption & integrity duties>

No. of organization's audit division (A)	No. of personnel exclusively responsible for anti-corruption and integrity duties(B)	No. of personnel who completed education (C)	Ratio of personnel exclusively responsible for anti-corruption (B/A*100)	Ratio of personnel who completed education (C/B*100)
(ex) 10	(ex) 2	(ex) 1	(ex) 20.0%	(ex) 50%

Note:

1. The number of personnel of the organization's audit division (A) should include the head of the division.
2. The list of team members by division on the organization chart should be attached on the ZEROMI website (<http://cry.acrc.go.kr>)

<Ratio of personnel for anti-corruption & integrity duties>

Name of Division(s)	Position	Name	Evidentiary information for designating exclusive personnel
(ex) Evaluation Division	**	***	Document title, document number, and implementation date
(ex) Audit Division	**	***	

Note:

1. Designation will be recognized only when indicated by an official document.
2. Documents related to the completion of anti-corruption education should be posted on the ZEROMI website (<http://cry.acrc.go.kr>).



**Example #5.**

**AIA Section A-5: Corruption prevention & promotion of reporting on corruption**

**1) Evaluation Criteria and Methodology**

Section	Criteria and Max. Points	Assessment method and formula	Note
<p>5-3. Protection of reporters of corruption and Promotion of reporting on welfare &amp; public subsidy frauds</p>	<p>Promotion of reporting through creation of institutional guidelines for protection of reporters by organization (50)</p>	<ul style="list-style-type: none"> <li>● Creation of guidelines for the protection of reporters &amp; level of detail of these guidelines (80)</li> <li>- If a public organization has created institutional guidelines for the protection of reporters (40 points)</li> <li>- If the established guideline stipulates that the organization has an obligation to protect confidentiality of reporters, and specifies penalty provisions on the violation of said obligation (10 points)</li> <li>- If the established guideline prohibits the organization from taking punitive measures against reporters and stipulates penalty provisions on the violation of this duty (10 points)</li> <li>- If the established guideline stipulates a provision for reporters to apply for the relief of any punitive measures, with a specific procedure (10 points)</li> <li>- If the established guideline stipulates incentives as well as mitigation of applicable punishment for reporters (10 points)</li> <li>● Promotional efforts of a public organization to encourage reporting on corruption (20 points)</li> <li>- If the organization takes positive actions based on the written request from ACRC (e.g. operation of a special reporting period and publicization of the smart-phone application for corruption reporting)</li> </ul> $\text{Level of cooperation} = \frac{\text{Number of cooperative actions carried out}}{\text{Number of cooperation requests from ACRC}} \times 20$	<p>Common indexes for all organizations</p>

## 2) Examples of Performance Report Template (to be filled out by target institutions for submission to ACRC)

### Assessment Criteria

### Promotion of reporting on corruption through creation of institutional guidelines for the protection of reporters

#### <Quality of Institutional guidelines to protect reporters of corruption>

No.	Assessment Criteria	Assessment indicators and max. points	Self-assessment points	Evidentiary material
1	Stipulation of protection of reporters (40 points)	① Protection of whistleblowers (internal reporters): 5 points		* Write the no. of the clause of the protection measure (same as above)
		② Protection of external reporters: 5 points		
		③ Inclusion of reporters of corrupt behaviors: 10 points		
		④ Inclusion of reporters of code of conduct violations: 10 points		
		⑤ Protection of those who cooperate with investigation activities: 10 points		
		Subtotal (①+②+③+④+⑤)		
2	Guarantee of confidentiality (10 points)	① Stipulation of guarantee of confidentiality of reporters (5 points)		
		② Penalty provisions on violating confidentiality (5 points)		
3	Guarantee of personal status (10 points)	① Provisions to prohibit imposing any punitive measures on reporters (5 points)		
		② Penalty provisions on violation of this obligation (5 points)		
4	Relief of disadvantageous measures (10 points)	① Stipulation of the right of reporters to apply for relief of punitive measures against themselves (5 points)		
		② Stipulation of specific relief procedures and regulations (5 points)		

No.	Assessment Criteria	Assessment indicators and max. points	Self-assessment points	Evidentiary material
5	Incentives (10 points)	① Stipulation of incentive provision for reporters (5 points)		
		② Stipulation of mitigation of punishments against reporters in case of his/her culpability (5 points)		
	Total			

**Note:** Internal regulations showing these items, including the final dates of creation, revision, and introduction of these institutional guidelines, as well as the relevant document number should be uploaded to the ZEROMI website at <http://cry.acrc.go.kr>. If not submitted, no points will be given.

### <Promotional efforts of a public organization to encourage reporting on corruption >

Date of request from ACRC	Date of implementation	Evidentiary materials
**	Period of PR activities (0.00. ~ 0.00.)	Write down the date of the relevant official document

**Note:**

1. Organizations should submit evidentiary materials on conducting PR activities, as requested by the ACRC's Inspection Planning Division, using their own PR instruments (e.g. electronic display board, in-house newsletters, and neighborhood meeting bulletins).
2. Evidentiary materials should be submitted in the form of an official document or via an e-mail with photos or screenshots of the activities undertaken.

## 2. Standard Template & Sample of ACRC's Evaluation Report

(given to a target institution based on assessment results & scoring)

(Name of the Organization)

<Category: Central administrative agency>

### A. Willingness and efforts for anti-corruption

#### 1. Establishment of anti-corruption institutional infrastructure

1-1

**Creation of incentives and reinforcement of internal cooperation system for integrity: max. 88.5 points**

- Points awarded by criteria & indicators

#### 1-1 Creation of incentives and reinforcement of internal cooperation system for integrity

Max. points	Operation of an "integrity incentive" system (total 60 points)		
	Performance of an incentive system to encourage integrity activities among staff of the target organization (50)		Operation of an incentive system for the division or person in charge of integrity duties (10)
	Uniqueness and excellence of the incentive system devised (10)	Implementation of the system (40)	
Awarded points	10	35	10

- Assessment findings

- The organization has formalized an incentive system for the best-performing division in anti-corruption activities, and has also operated a reward system for whistleblowers and best-performing individuals in integrity activities.
- The organization has designated a specific team in charge of anti-corruption activities and has introduced a preferential treatment in promotion considerations for employees in charge of integrity duties

- Points awarded by criteria & indicators

1-1 Creation of incentives and reinforcement of internal cooperation system for integrity	
Max. points	Degree of participation and consultation among employees in undertaking integrity duties (40)
Awarded points	33.5

- Assessment findings

- Case 1. The target organization has established and operated an institutional mechanism to push for integrity measures within the Ministry of Science, ICT, and Future Planning.
  - The mechanism seems to function as a policy consultative body, consisting of working-level and director-level officials, to introduce and discuss institutional measures to handle corruption cases that are related to the Ministry.
  - However, whether and to what extent the discussions in this body are actually translated into policies are not specified.
- Case 2. Creation and operation of “integrity club” activities within the Ministry
  - While the club activities demonstrate voluntary efforts of the Ministry employees to create a culture of integrity, the club cannot be considered as an institutional policy-making body for anti-corruption.

**1-2 Promotion of self-inspection: 89.5 points**

- Points awarded by criteria & indicators

1-2 Promotion of self-inspection	
Max. points	Performance of self-inspection activities (20) Performance of operating the system to lead the integrity division to participate in carrying out major duties
Awarded points	19.5

- Assessment findings

- Case 1. The organization has conducted effective inspections on an ongoing basis.  
→ At the same time, it would be necessary to devise specific follow-up measures to utilize the inspection results.
- Case 2. The organization has taken actions to strengthen the oversight & management of its outsourced policy research activities.  
→ At the same time, there are no specific measures in place yet to sustain these efforts in a systematic manner.

- Points awarded by criteria & indicators

1-2 Promotion of self-inspection		
Max. points	Performance of self-inspection activities (50)	
	Performance of self-detection of corrupt practices (30)	Performance of self-detection of the code of conduct violations (20)
Awarded points	20	20

- Assessment findings

- The organization’s rate of self-detection of corrupt practices reached over 80%.
- The rate of self-detection of code of conduct violators has reached 100%.

- Points awarded by criteria & indicators

1-2 Promotion of self-inspection					
Max. points	Strengthening internal reporting mechanism against corrupt officials (30) : Reporting on corrupt behaviors (including code of conduct violations)				
	Creating a reporting criteria & standard (5)	Strengthening the reporting standard on bribery (10)	Expanding the scope of mandatory reporting for criminal charges (10)	Removing the provision on exemptions & grace period (5)	Observation of the internal reporting standard (deduction)
Awarded points	5	10	10	5	0

- Assessment findings

Assessment indicator	Assessment result (To be supplemented)	Note
Creating reporting criteria & standard (5)	[Implemented]	
Strengthening the reporting standard on bribery (10)	[Implemented]	
Expanding the scope of mandatory reporting for criminal charges (10)	Assessed that this section was [implemented] reflecting the objections * To be supplemented: When the clauses are revised in the future, it is necessary to expand the target of mandatory criminal accusation to include other corrupt acts in high risk areas of recruitment, performance assessment, contracts, etc. as well as bribery by reflecting recommendations	
Removing the provision on exemptions & grace period (5)	[Implemented]	
Observation of the internal reporting standard (deduction)	No deduction	

1-3

**Toughening penalties & punishment for corruption: 90 points**

- Points awarded by criteria & indicators

**1-3 Toughening penalties and punishment for corruption**

Max. points	Toughening penalties and punishment for corrupt officials (50)	
	Development of an organizational standard on penalties and punishment for corrupt officials (30)	Actual application of the established standards on penalties and punishment for corruption (20)
Awarded points	20	20

- Assessment findings

- With regards to the organization’s standards on the punishment for corrupt officials, the organization applies the same provisions in the organization’s guideline to implement the Code of Conduct for Public Officials.
- During the period of assessment, the organization was found to have implemented the established standard of punishment against violations, such as receiving money and valuable goods, and has punished the guilty accordingly.

- Points awarded by criteria & indicators

**1-3 Strengthening the efficacy of punishment for corruption**

Max. points	Strengthening efficacy of punishment for public officials (50)			
	Stipulation and application of provisions to restrict the mitigation of punishment (15)	Development and application of provisions to restrict approvals of dismissal at one's request (15)	Punitive measures aimed at corrupt employees (10)	Disclosure of information on the status of corrupt officials except personal information restricted by law (10)
Awarded points	15	15	10	10



- Assessment findings

Assessment indicator	Assessment result (To be supplemented)	Note
Stipulation and application of provisions to restrict the mitigation of punishment (15)	No deduction	
Development and application of provisions to restrict approvals of dismissal at one's request (15)	No deduction	
Punitive measures aimed at corrupt employees (10)	[Implemented]	
Disclosure of information on the status of corrupt officials except personal information restricted by law (10)	[Implemented]	

1-4	<b>Improvement efforts to enhance anti-corruption &amp; integrity levels of affiliated agencies: 99 points</b>
-----	--

- Points awarded by criteria & indicators

1-4 Improvement efforts to enhance anti-corruption & integrity levels of affiliated agencies			
Max. points	Voluntary implementation of the Anti-Corruption Initiative Assessment for affiliated agencies (100)		
	Standard of selection of target institutions for the voluntary AIA (50)	Formulation of assessment content (i.e. criteria and indicators) (30)	Utilization of the assessment results (20)
Awarded points	50	30	19

- Assessment findings

- The organization's selection of specific affiliated agencies to be assessed was appropriate.
- The organization's own assessment criteria and indicators were comprehensive and similar to ACRC's AIA.
- ACRC recommends that the organization enhance the utilization of the assessment results by introducing incentives and benefits in human resources management (e.g. performance bonus and promotion advantages).



# Annexes

1. Comparison between AIA and the Integrity Assessment
2. Consolidated Final Report on the Results of the 2014 AIA

## Annex 1.

# Comparison between AIA and the Integrity Assessment

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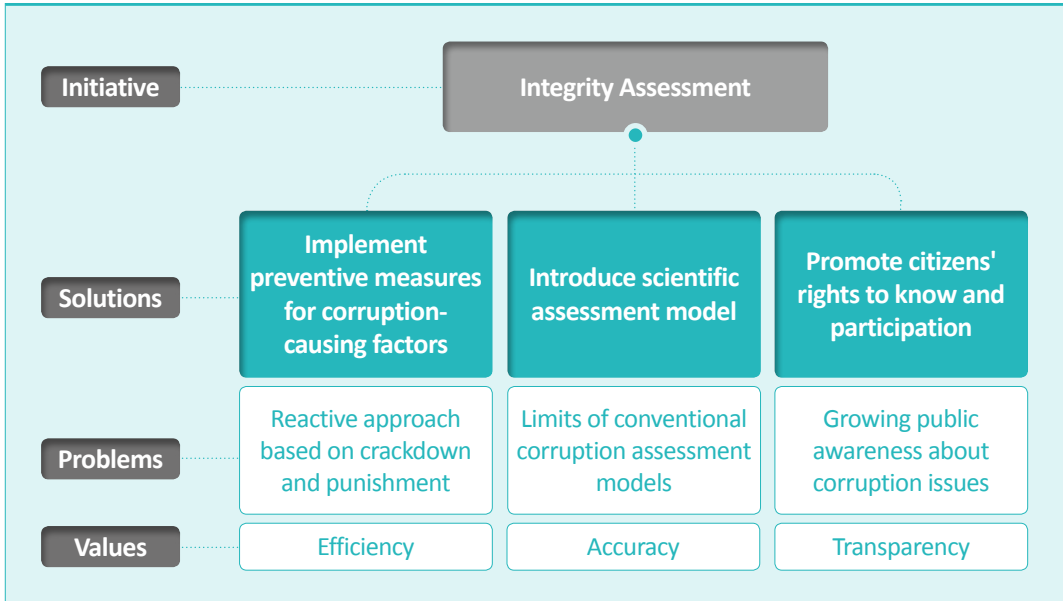
Along with the Anti-Corruption Initiative Assessment, ACRC of Korea also conducts the Integrity Assessment for public organizations. AIA is different from and should not be confused with ACRC's Integrity Assessment, which is a much more extensive survey-based tool. These two assessments are conducted separately on an annual basis, and complement each other.

### 1. Korea's Annual Integrity Assessment

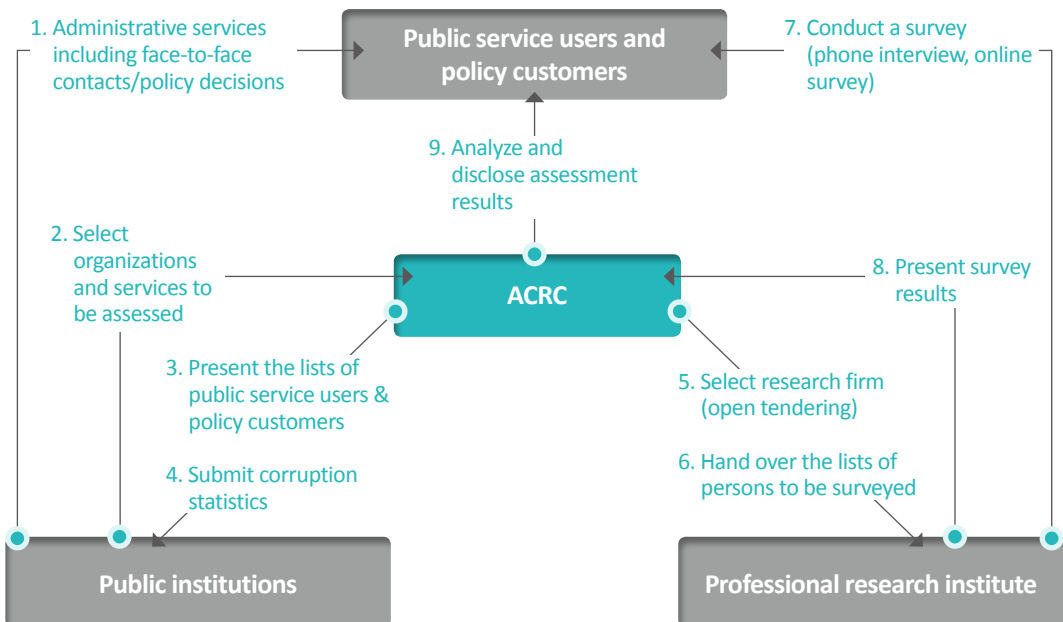
The Integrity Assessment evaluates the level of corruption in each public service using results from the users' survey on how frequently corrupt acts take place during delivery of public services. It also prevents actions that cause corruption by continuously monitoring the behaviors of public officials in each sector.

The results of the annual integrity assessment are calculated by agency and released to the public, encouraging well-intentioned competition among government agencies while generating a sustainable engine to promote anti-corruption policy.

## <Conceptual Framework of the Integrity Assessment>



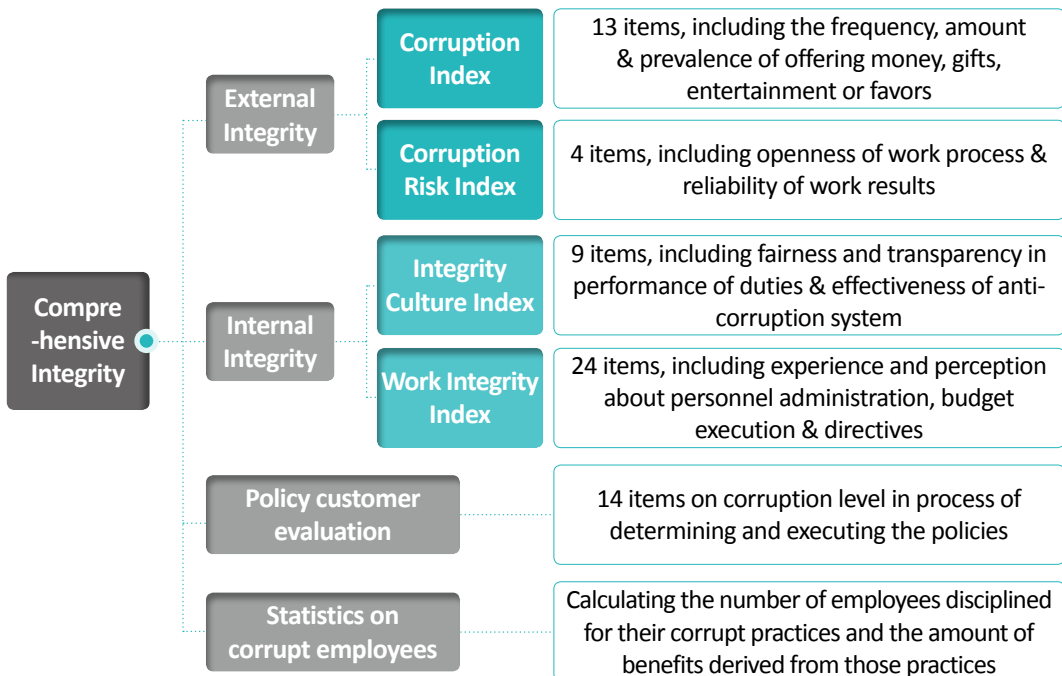
## <Process of the Annual Integrity Assessment>



### <Summary Description of the ACRC Integrity Assessment>

<b>Concept</b>	- To encourage public institutions to engage in voluntary efforts to prevent corruption by regularly assessing and disclosing the integrity levels of public institutions
<b>Objectives</b>	<ul style="list-style-type: none"> <li>- Identify corruption-prone areas and root causes of corruption in the public sector</li> <li>- Facilitate an informed understanding of main trends in corruption levels of public organizations</li> <li>- Provide basic data, with annual updates, for development of government's anti-corruption strategies</li> </ul>
<b>Key features</b>	<ul style="list-style-type: none"> <li>- Areas to be assessed: corruption-prone work areas (i.e. service areas) of public organizations</li> <li>- Persons to be surveyed: public service users, public officials and policy customers</li> <li>- Survey questions: personal perception of corruption as well as actual experiences with corrupt practices (e.g. offering of money, gifts, entertainment and favours)</li> <li>- Data sources: results from phone or online (web-based) surveys, statistics of corruption public employees and media reports of corruption cases</li> </ul>

### <Example: 2015 Integrity Assessment>



## 2. Differences and Complementary Relationship between the Anti-Corruption Initiative Assessment and the Integrity Assessment

Compared with the Anti-Corruption Initiative Assessment (AIA), the integrity assessment is a more extensive public survey tool, administered not only to employees of public institutions, but also to outside service users (i.e. citizens) who have had first-hand experience with public services, to measure how much corruption takes place and is perceived to occur from year-to-year within target organizations. As such, the Integrity Assessment is different from AIA which only assesses voluntary efforts of an organization to raise its integrity level, such as institutional improvements, observation of Code of Conduct, and promotion of awareness and organizational culture to prevent corruption.

Accordingly, ACRC conducts these two assessments separately with different timelines, methods, and components.

At the same time, as an organization's efforts to prevent corruption (i.e. inputs) would affect the actual level of its integrity (i.e. outputs), both directly and indirectly, the two assessments are closely related to each other, in terms of measuring inputs and outputs of integrity efforts.

For instance, some 19 organizations that received the fifth grade/tier (i.e. least-performing category) on the 2013 Integrity Assessment showed improvements by one or two grades at the next year's Integrity Assessment, after undertaking various efforts during the AIA process for one year.

Seeking to maximize such co-relation, ACRC connects these two assessments by conducting AIA on the organizations with low integrity levels, and the Integrity Assessment on the organizations with poor results in AIA.

< Comparison of the two Assessments >

Category	Integrity Assessment	Anti-Corruption Initiative Assessment
Main Objective	<ul style="list-style-type: none"> <li>To assess the integrity level from the perspective of service users</li> </ul>	<ul style="list-style-type: none"> <li>To assess anti-corruption initiatives of public organizations and their performance</li> </ul>
Key Content	<ul style="list-style-type: none"> <li>External integrity level (measured by direct stakeholders &amp; policy customers)</li> <li>Internal integrity level (measured by internal staff of target organizations)</li> </ul>	<ul style="list-style-type: none"> <li>Organization's demonstrated commitment and efforts for anti-corruption</li> </ul>
Number of Target Organizations	<ul style="list-style-type: none"> <li>759 Organizations (2015)</li> </ul>	<ul style="list-style-type: none"> <li>268 Organizations (2015)</li> </ul>
Main Methods	<ul style="list-style-type: none"> <li>External integrity level: telephone survey</li> <li>Internal integrity level: web-based survey</li> </ul>	<ul style="list-style-type: none"> <li>Assessment by ACRC and an outside expert team based on self-performance reports of target organizations and complementary survey results</li> </ul>
Evaluation Items	<ul style="list-style-type: none"> <li>External integrity level: corruption index and corruption-risk index</li> <li>Internal integrity level: culture of integrity &amp; integrity in work places</li> </ul>	<ul style="list-style-type: none"> <li>Willingness and efforts for anti-corruption (e.g. establishment of anti-corruption infrastructure, institutional improvements, promotion of anti-corruption awareness and culture, and corruption prevention cases)</li> <li>Anti-corruption performance (i.e. level of integrity and improvements in the integrity level)</li> </ul>



## Annex 2.

# Consolidated Final Report on the Results of the 2014 AIA

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### 1. Brief overview of the Anti-Corruption Initiative Assessment

1. **Legal basis for assessment** : The Assessment has been conducted since 2002 under Article 12 (6) of the Act on the Prevention of Corruption and the Establishment and Management of the Anti-Corruption and Civil Rights Commission.

2. **Target organization and Categories** : 254 organizations in total

#### < Categorization of target groups in 2014 >

Central gov.	Local gov.	Autonomous gov.	Education office	National/ Public University	Public service related org (Number of employees )					Total
					I	II	III	IV	V	
41	17	24	17	11	19	31	18	29	47	254

**Note:** Public service related organizations are divided into 4 groups according to the number of employees: 3,000 (I), 1,000 (II), 500 (III), 300(IV), 150(V)

3. **Assessment period** : November 2013 ~ October 2014

#### 4. Assessment sections and weighted scores

Assessment sections are composed of Willingness and efforts for anti-corruption (90%), Anti-corruption achievements (10%), and Cooperation with ACRC (deduction of points).

< Evaluation section and criteria in 2014 >

Evaluation Section	Criteria	Indicators	Max. Points (weighted scoring)
Willingness and efforts for anti-corruption (90%)	1) Establishment of institutional infrastructure for anti-corruption  4 factors Total score: 13.5	Introduction of incentives for high-levels of integrity & strengthened internal collaboration	2.7
		Promotion of internal audit & inspection	3.375
		Strengthened punishment against corrupt officials	3.375
		Improvement of integrity in subordinate agencies	4.05
	2) Enhancement of policy transparency & reliability  3 factors Total score: 13.5	Transparency in administrative procedures & reliability in policy implementation (survey)	5.4
		Disclosure of business promotion expenses	5.4
		Operation of Integrity Ombudsman & public/private governance network	2.7
	3) Removal and reduction of corruption-causing factors  4 factors Total score: 31.5	Implementation of institutional improvements recommended by ACRC	7.875
		Implementation of recommendations resulting from Corruption Impact Assessment	7.875
		Voluntary implementation of anti-corruption initiatives	7.875
		Intensive improvement of corruption-prone areas	7.875
	4) Promotion of a culture of integrity in the public sector  3 factors Total 18.0	Anti-corruption commitment & efforts of high-level officials (survey evaluation)	3.6
		Promotion of anti-corruption training	5.4
		Dissemination of anti-corruption best practices	9.0
	5) Prevention of corruption & promotion of whistleblowing  3 factors Total score: 13.5	Mechanism to prevent Code of Conduct violations	6.75
		Promotion of whistleblowing & protection of whistleblowers	6.75
		Promotion of reporting of welfare fraud & waste of gov. budget	Added points

Evaluation Section	Criteria	Indicators	Max. Points (weighted scoring)
Anti-corruption achievements (10%)	1) Improvement of integrity scores 1 factor	Improvement of integrity levels (survey)	3.0
	2) Occurrence of corruption cases 1 factor	Number of corruption cases (Statistics)	7.0
Cooperation with ACRC (deduction of points)	Deduction indicator 1 factor	Cooperation with ACRC's anti-corruption initiatives	Up to 10%

## 5. Assessment method

ACRC utilized surveys to measure 5 indicators, statistical data to appraise 1 indicator, and a written assessment to evaluate 39 indicators based on each organization's performance report.

**Note:** The 2014 Integrity Assessment Survey data was utilized for the measurement of 5 indicators.

ACRC's internal assessment team and external expert panels jointly conducted quantitative and qualitative assessments based on the evaluation criteria. Twelve ACRC divisions, including the General Anti-Corruption Division, General Institutional Improvement Division, and NGO & Business Cooperation Division, participate in the assessment process.

ACRC also conducted on-site visits to selected institutions for further verification and detailed examination of their self-evaluation report.

## 6. Assessment improvements from previous evaluations

ACRC sought to measure the institutional efforts made to enhance the overall integrity in the nation by assessing how public institutions addressed corruption-prone areas and abnormal practices (e.g. appropriate punishment on corruption cases, prevention of welfare frauds, expansion of supervisory organizations' inspection on subordinate agencies, and eradication of budget waste in the public sector).

The 2014 AIA evaluated the public organizations' voluntary efforts to establish a culture of anti-corruption and integrity in the organization, for instance through increased information disclosure on direct contracts (i.e. those without competitive bidding). It also examined cooperative efforts between institutions to improve anti-corruption initiatives and adopt best practices.

For a more comprehensive assessment, ACRC expanded the total number of AIA indicators to 45 in 2014 from 40 in the previous year. ACRC also increased the assessment scores on general anti-corruption efforts (e.g. promotion of internal inspections and voluntary disclosure of information).

**Note:** National and public universities were subject to 29 core criteria.

## 2. 2014 Anti-Corruption Initiative Assessment Consolidated Results

The best-performing organizations were the Ministry of Science, ICT and Future Planning, Military Manpower Administration, Busan Metropolitan City Government, Daegu Metropolitan Office of Education, and Korea District Heating Corporation.

The least-performing organizations were Korea Meteorological Administration, Chungcheongnam-do Provincial Government, Busan Environmental Corporation, and Korea Shipping Association.

### <List of Best-performing and Least-performing organizations>

Category	Tier/Grade 1	Tier/Grade 5
Central gov. I	Ministry of Science, ICT and Future Planning, Ministry of Agriculture, Food and Rural Affairs, Patriots and Veterans Affairs	(Former) Ministry of the Interior
Central gov. II	Military Manpower Administration, Statistics Korea	Korea Meteorological Administration
Central gov. III	Korea Communications Commission	Nuclear Safety and Security Commission
Local gov.	Busan Metropolitan City Government, Gyeonggi Provincial Government	Ulsan Metropolitan City Government, Chungcheongnam-do Provincial Government
Autonomous gov.	Suwon City Government, Bucheon City Government, Seongnam City Government, Anyang City Government, Songpa-gu Office (Seoul)	Jeonju City Government
Education office	Daegu Metropolitan Office of Education, Daejeon Metropolitan Office of Education, Gyeongsangbuk-do Office of Education	Seoul Metropolitan Office of Education
National/ Public University	Chungbuk National University, Gyeongsang National University	Chungnam National University

Category		Tier/Grade 1	Tier/Grade 5
Public service related organizations	Public organization I (More than 3,000 employees)	Korea Expressway Corporation, Korea Workers' Compensation and Welfare Service	-
	Public organization II (More than 1,000 employees)	Korea District Heating Corporation, Korea Midland Power Co. Ltd, Korea Minting, Security Printing & ID Card Operating Corporation, Korea Western Power Co. Ltd., Korea Southern Power Co. Ltd., Human Resources Development Service of Korea, Korea East-West Power Co., Ltd., Korea Electrical Safety Corporation, Incheon Transit Corporation, Health Insurance Review & Assessment Service	-
	Public organization III (More than 500 employees)	Korea Racing Authority, Korea Employment Agency for the Disabled, Korea Agro-Fisheries & Food Trade Corporation, Incheon International Airport Corporation	National Forestry Cooperative Federation
	Public organization IV (More than 300 employees)	National Research Foundation of Korea, Busan Infrastructure Corporation, Incheon Development & Tourism Corporation	Gyeonggi Urban Innovation Corporation, Korea Federation of SMEs, Busan Environmental Corporation
	Public organization V (More than 150 employees)	Korea Marine Environment Management Corporation, Postal Savings & Insurance Development Institute, Jeju Free International City Development Center	Military Mutual Aid Association, Kangwon Land, Korea Construction Management Corporation, Korea Shipping Association

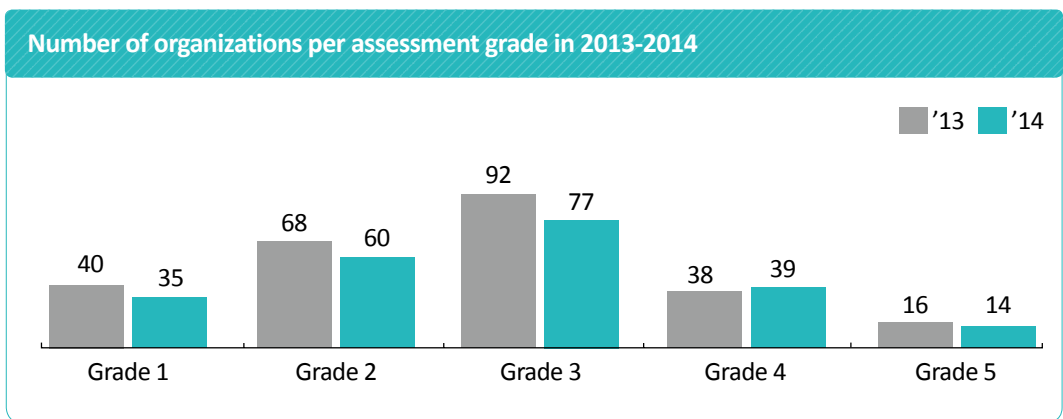
**Note:** An organization's grade is calculated by factoring in the organization's sum of weighted scores with the organization category's average score and standard deviation.

The ratio of organizations that received grade 2 or higher increased by 0.3% from 2013.

**Note:** The ratio of organizations that received grade 2 or higher in 2013 was 42.2% (95 out of 225 organizations), while the ratio of organizations that received grade 2 or higher in 2014 was 42.5% (108 out of 254 organizations).

The total average score of organizations remained more or less constant from the previous year from 83.3 points in 2013 to 83.2 points in 2014. But the standard deviation of the scores decreased from 11.3 to 10.9, which implies an improvement in the distribution of the scores.

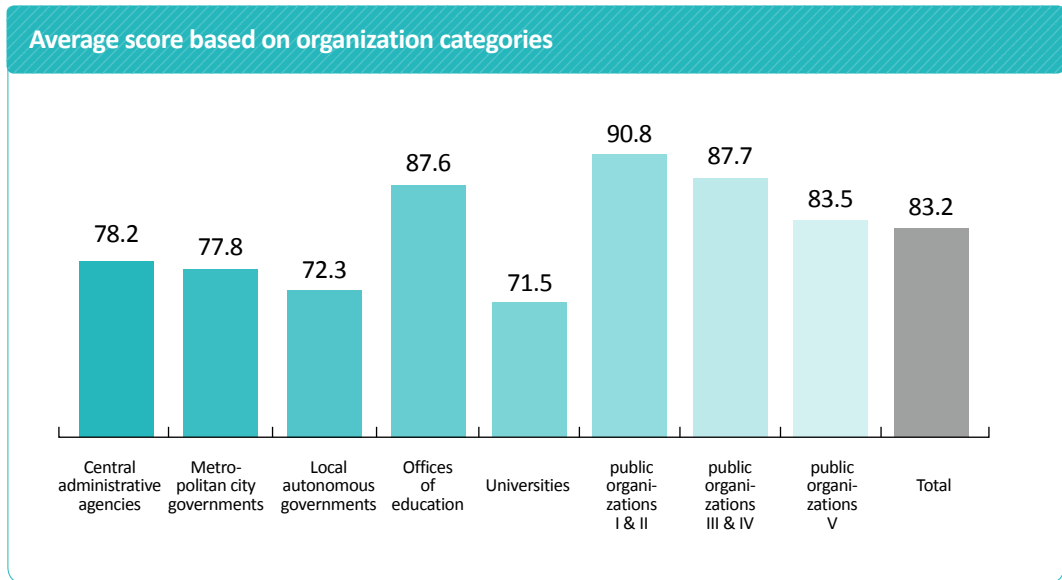
The reason for the very slight decrease in the average score (by 0.1) may be due to the more comprehensive nature of the 2014 AIA (e.g. expansion of target organizations to include autonomous government agencies and universities, assessment of adoption status of exemplary practices, and reinforcement of evaluation methodology).



In terms of target groups, public service related organizations I-II scored the highest on average (90.8), while university groups scored the lowest (71.5).

**Note:**

1. Public service related organizations I-II: 50 organizations with over 1,000 employees.
2. Public service related organizations III-IV: 47 organizations with over 300 employees.



Public service related organizations I-II earned the highest scores in 5 out of 7 assessment sections, including the Establishment of institutional infrastructure for anti-corruption section.

However, the Universities group's scores were below the average in all sections and marked the lowest in 5 assessment sections, including the promotion of a culture of integrity in the public sector section. Considering the important role universities play in educating current and future generations, the 2014 AIA clearly showed the need for more rigorous anti-corruption initiatives to be undertaken by public universities in Korea.

The Local Autonomous Government group scores were below average in all sections and scored the lowest in the removal and reduction of corruption-causing factors section. Considering that these local entities act as the government's contact point with the public, the 2014 AIA clearly showed the urgent need to improve anti-corruption efforts in this category.



< The 2014 AIA average scores by target groups and assessment sections >

Assessment section	Average total	Central gov.	Local gov.	Autonomous gov.	Education Office	National/Public University	Public service related org. I-II	Public service related org. III-IV	Public service related org. V
Establishment of institutional infrastructure for anti-corruption	<b>83.0</b>	81.0	79.4	73.5	83.6	71.2	91.9	86.4	80.6
Improvement of policy transparency & reliability	<b>87.0</b>	78.8	89.9	85.0	93.5	75.7	92.6	89.4	86.4
Removal and reduction of corruption-causing factors	<b>78.2</b>	72.8	67.6	61.2	82.0	71.7	87.2	84.1	80.0
Promotion of a culture of integrity in the public sector	<b>82.4</b>	72.7	76.8	68.3	89.2	65.4	94.9	88.5	82.3
Prevention of corruption & promotion of whistleblowing	<b>94.4</b>	92.3	92.9	85.7	97.9	71.6	99.9	98.0	95.6
Improvement of integrity scores	<b>73.3</b>	73.4	69.5	72.6	77.1	52.8	75.2	74.1	75.4
Occurrence of corruption cases	<b>88.2</b>	90.4	82.9	87.2	96.5	89.8	85.1	90.9	86.1
<b>Total</b>	<b>83.2</b>	<b>78.2</b>	<b>77.8</b>	<b>72.3</b>	<b>87.6</b>	<b>71.5</b>	<b>90.8</b>	<b>87.7</b>	<b>83.5</b>

Forty organizations received the Anti-Corruption Initiative Assessment Grades 2 or higher for the past three consecutive years, including Fair Trade Commission, Military Manpower Administration, Busan Metropolitan City Government, Daegu Metropolitan Office of Education, and Korea District Heating Corporation. The number of organizations increased from 2013 (36 institutions).

**Note:** Most of the well-performing organizations showed well-established anti-corruption institutional infrastructures with strong voluntary efforts to improve corruption-prone areas.

Six organizations received the Anti-Corruption Initiative Assessment Grades 4 or lower for the past three consecutive years, including Korea Meteorological Administration, Metropolitan Office of Education, and Military Mutual Aid Association.

**Note:** These organizations lacked motivation and cooperative efforts in implementing anti-corruption initiatives. They also showed insufficient effort in implementing voluntary institutional improvements and in promoting awareness and a culture of integrity.

<Organizations that received Grades (Tiers)1 or 2 and Grades 4 or 5 for the past 3 years >

Organization type	Organizations that received Grades 1 or 2 (40)	Organizations that received Grades 4 or 5 (6)
Central gov.	Fair Trade Commission, Ministry of Unification, Military Manpower Administration, Statistics Korea, Korea Customs Service	Korea Meteorological Administration
Local gov.	Busan Metropolitan City Government, Gyeonggi Provincial Government, Jeollanam-do Provincial Government	
Education Office	Daegu Metropolitan Office of Education, Daejeon Metropolitan Office of Education, Gyeongsangbuk-do Office of Education, Jeollabuk-do Office of Education, Jeju Special Self-Governing Provincial Office of Education	Gangwon Provincial Office of Education, Seoul Metropolitan Office of Education
Public service related org.	Korea Expressway Corporation, K-Water, Korea District Heating Corporation, Korea Minting, Security Printing & ID Card Operating Corporation, Korea Western Power Co. Ltd. Korea Southern Power Co. Ltd. , Korea East-West Power Co., Ltd , Korea National Oil Corporation, Korea Transportation Safety Authority, National Federation of Fisheries Cooperatives, Korea Occupational Safety and Health Agency, Korea Credit Guarantee Fund,	National Forestry Cooperative Federation

Organization type	Organizations that received Grades 1 or 2 (40)	Organizations that received Grades 4 or 5 (6)
Public service related org.	Korea National Park Service, Korea Airports Corporation, Korea Racing Authority, Korea Employment Agency for the Disabled, Incheon International Airport Corporation, Korea Deposit Insurance Corporation, Korea Sports Promotion Foundation	National Forestry Cooperative Federation
Public service related org.	Environmental Corporation of Incheon, Korea Housing Finance Corporation, Postal Savings & Insurance Development Institute, Jeju Free International City Development Center, Korea Postal Logistics Agency, Korea Environmental Industry & Technology Institute, Korea Education and Research Information Service, Foundation of Agri, Tech, Commercialization & Transfer.	Daegu Environmental Corporation, Military Mutual Aid Association,

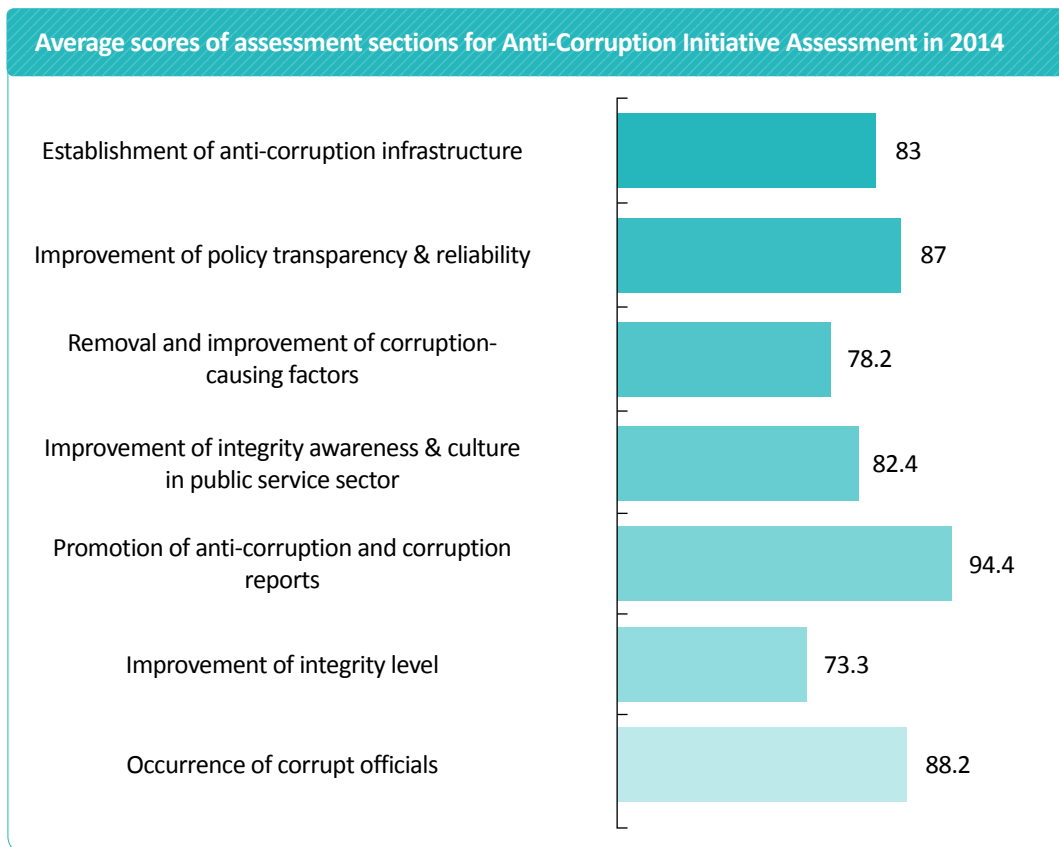
Four organizations improved by more than 3 grades from the 2013 AIA results: Ministry of Trade, Industry and Energy (from Grade 5 to Grade 2), Korea Communications Commission (from Grade 5 to Grade 1), Gyeongsangbuk-do Provincial Government (from Grade 5 to Grade 2), and Korea Midland Power Co. Ltd (from Grade 4 to Grade1). These organizations’ outstanding efforts to reduce corruption-causing factors and improve integrity awareness contributed to this achievement.

Two organizations fell by more than 3 grades compared to 2013: Ministry of the Interior (from Grade2 to Grade 5), Ministry of Culture, Sports, and Tourism (from Grade 1 to Grade 4). These organizations require more efforts to reduce corruption-causing factors and promote whistleblowing in order to improve their assessment scores.

### 3. Assessment of Key Findings with Exemplary Cases

#### A. Consolidation of assessment section results

Among 7 assessment sections, the Prevention of corruption & promotion of whistle-blowing section (94.4) achieved the highest score, while removal and reduction of corruption-causing factors (78.2) and improvement of integrity level (73.3) scored the lowest.



The standard deviations of the occurrence of corruption cases (17.3 points), promotion of a culture of integrity in the public sector (17.7 points), and improvement of integrity scores (18.4) sections were highest. This reveals a wide variation and discrepancy among the organizations in their implementation of anti-corruption initiatives within these assessment criteria.

### < Standard deviations of assessment sections for AIA in 2014 >

Assessment section	Standard deviation	Assessment section	Standard deviation
Establishment of institutional infrastructure for anti-corruption	11.4	Prevention of corruption & promotion of whistle-blowing	11.3
Improvement of policy transparency & reliability	9.4	Improvement of integrity scores	18.4
Removal and reduction of corruption-causing factors	14.3	Occurrence of corruption cases	17.3
Promotion of a culture of integrity in the public sector	17.7	Total points by organization	10.9

## B. Detailed analysis of assessment section results and exemplary cases

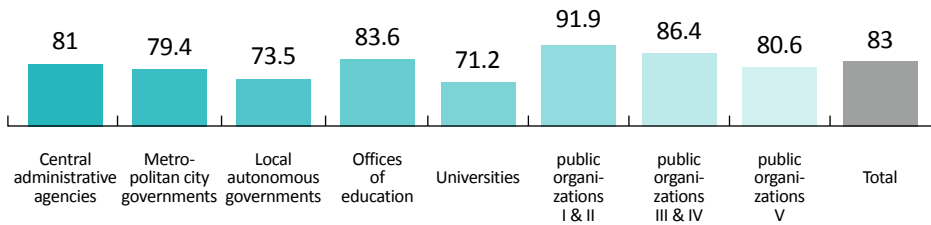
### 1. Establishment of institutional infrastructure for anti-corruption

This criteria section assessed organizations' efforts to establish an institutional foundation in implementing anti-corruption initiatives for improving the transparency and integrity of the organization at large. The criteria consists of 4 indicators: Creation of incentives and reinforcement of internal cooperation system for integrity; Promotion of self-inspection; Toughening penalties and punishment for corruption; Improvement efforts to enhance anti-corruption & integrity levels of affiliated agencies.

The average score of the establishment of institutional infrastructure for anti-corruption section is 83.0 points, which is relatively low compared to other evaluation sections.

**Note:** Public service related organizations group I & II (91.9) received the highest score, while University group scored the lowest.

Average score of "establishment of institutional infrastructure for anti-corruption" by organization type



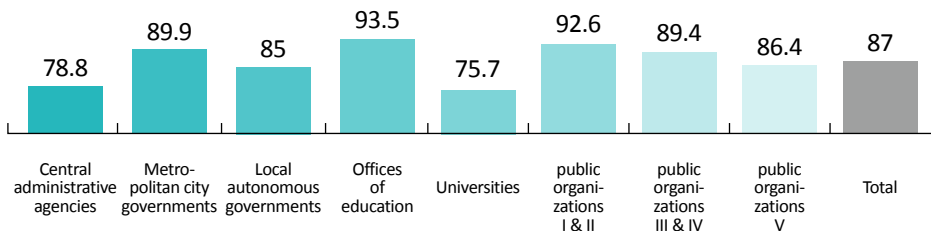
2. Improvement of policy transparency & reliability

This section measured efforts made by organizations to enhance transparency and reliability when establishing and implementing anti-corruption initiatives by using 3 indicators: Transparency of administrative procedures and reliability of policy enforcement; Disclosure of business promotion expenses; Operation of Integrity Ombudsman & public-private governance.

The average score of the Improvement of policy transparency & reliability section is 87.0 points, which is slightly higher than that of other sections.

**Note:** The Education Offices group (93.5) achieved the highest score, while the Central Government group (78.8) and University group (75.7) scored the lowest.

Average score of "improvement of policy transparency & reliability" by organization type

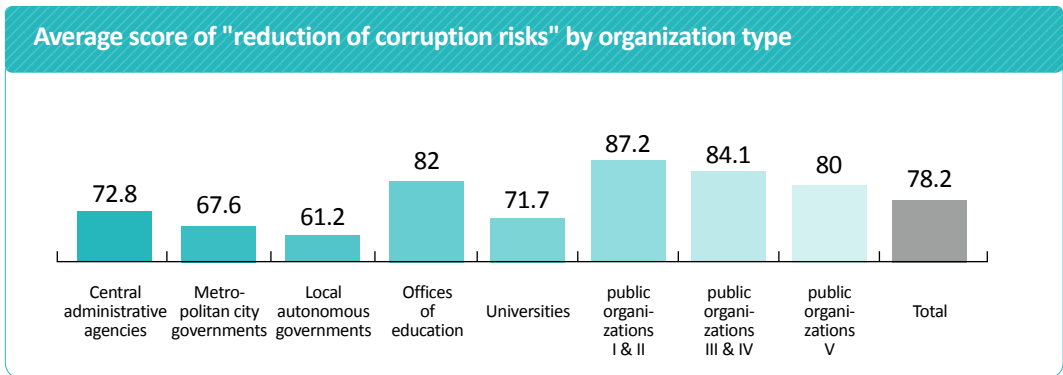


### 3. Removal and reduction of corruption-causing factors

This section evaluated an organization's institutional efforts to expose, improve, and eradicate corruption-causing factors within the organization by relying on 4 indicators: Implementation of ACRC recommended tasks; Implementation of recommendations resulting from Corruption Impact Assessment; Voluntary implementation of anti-corruption initiatives; and Intensive improvement of corruption-prone areas.

The average score of the Removal and reduction of corruption-causing factors section (78.2 points) is lowest among all the willingness and efforts for anti-corruption subsections.

**Note:** Public organizations group I & II (87.2) achieved the highest score, while Autonomous government group (61.2) scored the lowest.

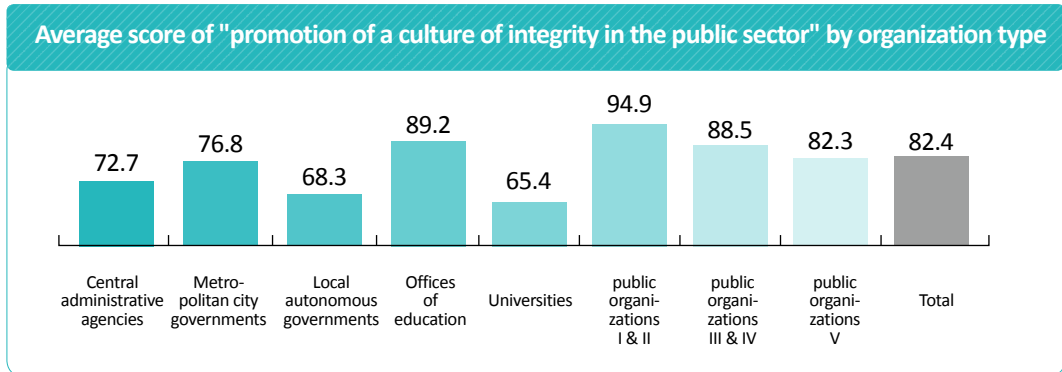


### 4. Promotion of a culture of integrity in the public sector

This section measured the interest and willingness of high-level officials to pursue anti-corruption initiatives, and to improve awareness among staff using 3 indicators: Anti-corruption commitment & efforts of high-level officials; Promotion of anti-corruption training; and Dissemination of anti-corruption best practices.

The average score of the Promotion of a culture of integrity in the public sector section is 82.4 points, which is slightly lower than the section's total average points of 83.2.

**Note:** Public organizations group I & II (94.9) achieved the highest score, while Autonomous government group (69.9) and University group (65.4) scored the lowest.

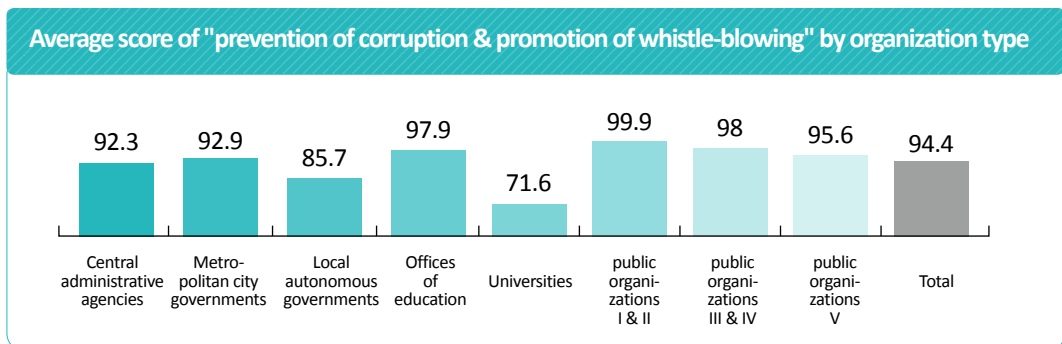


### 5. Prevention of corruption & promotion of whistle-blowing

This section assessed an organization’s efforts to strengthen its internal inspection in preventing corruption occurrence, and the level of corruption reporting and public interest in whistleblowing protections. A total of 3 indicators were used: Mechanism to prevent Code of Conduct violations; Promotion of whistleblowing & protection of whistleblowers; and Promotion of reporting of welfare fraud & waste of government budget.

The average score of the Prevention of corruption & promotion of whistleblowing section is 94.4 points, the highest among all the assessment sections.

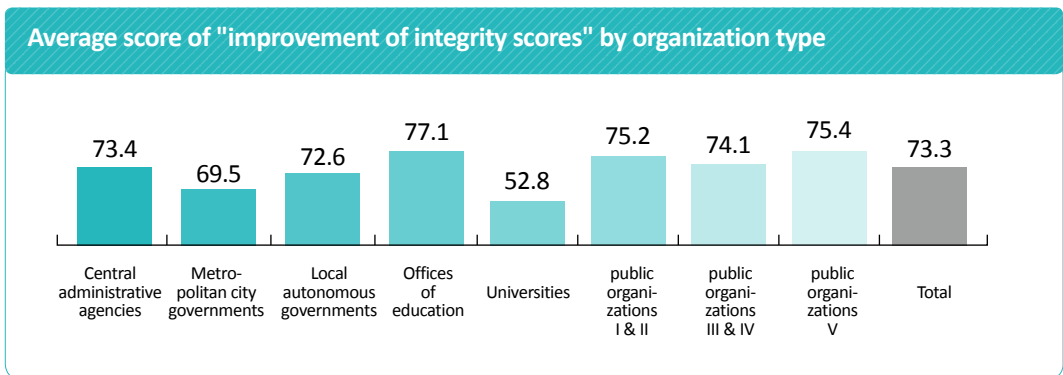
**Note:** Public organizations group I & II (99.9) achieved the highest score, while University group (71.6) scored the lowest.





## 6. Improvement of integrity scores

This section measured an organization's integrity level by utilizing results from the 2014 Integrity Assessment Survey and consists of 3 indicators: Comprehensive integrity level; Level of integrity improvement; Level of corruption awareness improvement. The average score of the improvement of integrity scores section is 73.3 points.



Organizations that maintained or showed improvements in their Anti-Corruption Initiative Assessment results from the previous year tend to retain or improve their Integrity Assessment scores as well.

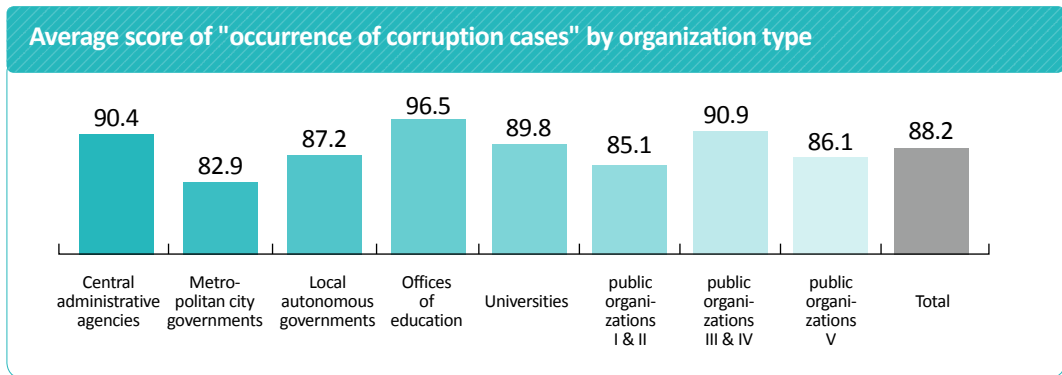
**Note:** Among the organizations that maintained or improved their Anti-Corruption Initiative Assessment grade, 58.9% achieved a higher grade or maintained the same grade in the Comprehensive integrity level section while 14.3% fell in ranking.

### < Proportion of grade changes in AIA and Comprehensive Integrity level >

Grade changes in Anti-Corruption Initiative Assessment (2013-2014)		Grade changes in Comprehensive Integrity level (2013-2014)		
		Increased	Maintained	Decreased
Increased	30.1%	12.0%	13.4%	4.7%
Maintained	43.1%	13.9%	19.6%	9.6%
Decreased	26.8%	4.3%	8.6%	13.9%

## 7. Occurrence of corruption cases

This section measures the number of corruption incidents reported during the 2014 Integrity Assessment (1 indicator: Number of corruption cases), which revealed an average score of 88.2 points.



## 4. Direction of the 2015 Anti-Corruption Initiative Assessment

### 1. Enhance the assessment of institutional foundations for anti-corruption policies

- Assess the implementation status of penalization in corruption cases (e.g. organization's actual implementation of punitive measures such as establishment of accusation standards, restrictions of penalty reductions and dismissal upon one's request\*).
- Reinforce the assessment of implementation and monitoring status of the institutional code of conduct.
- Seek to secure the momentum to implement existing anti-corruption systems.

\* This means letting go of those accused of corruption by allowing voluntary resignation, rather than subjecting that person to proper investigation and punishment.

### 2. Enhance the sharing and utilization of exemplary practices

- Actively disseminate best practices identified in the 2014 AIA.
- Strengthen efforts to promote adoption of exemplary practices that suit particular organizational characteristics (for instance through categorizing good practices per organizational type).

### 3. Conduct intensive assessments on corruption-prone areas

- Conduct more in-depth assessments of key areas of concern such as welfare frauds, budget wastes, local government corruption, reckless organization management, and corruption in the R&D sector.
- Assess organizational capacity to implement adequate measures in a timely manner when a corruption incident occurs (e.g. establishment of institutional improvement plans within 1 month after the AIA results).
- Expand the assessment to more medical organizations to prevent corruption in the medical sector (e.g. selecting about 10 medical institutions including national & public university hospitals that exceed a certain size).

## 5. Post-assessment Schedule

### 1. Release press releases with final assessment results (5 February 2015)

### 2. Release the final consolidated report of the 2014 Anti-Corruption Initiative Assessment (February 2015)

- Finalize the consolidated assessment report (ACRC together with the external evaluation team).
- Conduct an overseas study programme for the officials in charge of the anti-corruption tasks that were recognized for outstanding performances in the 2014 AIA (May 2015).
- Organize a reward ceremony for officials who distinguished themselves in helping their organizations receive outstanding results on the 2014 AIA (February 2015).

### 3. Develop assessment plans for the 2015 Anti-Corruption Initiative Assessment

- Create assessment indicators (all relevant divisions within ACRC) and gather feedback from various stakeholders (February 2015).
- Draft the guidance note, finalize the implementation plan and inform the target organizations (March 2015).