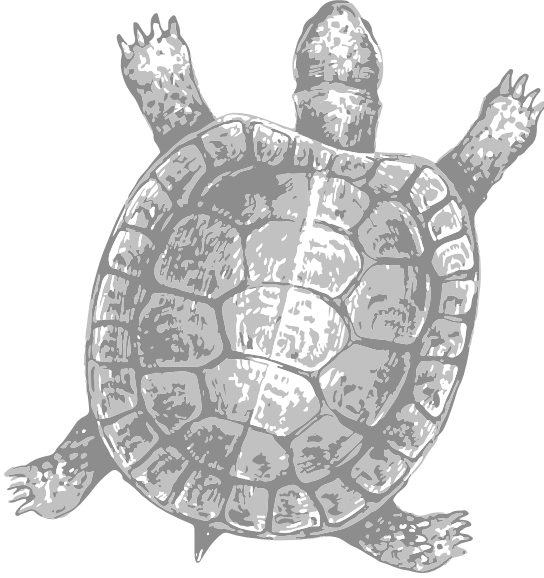


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HANDBOOK

INTEGRITY HANDBOOK

Integrity is a rare virtue. A virtue that must be protected. If protected, it would become a creator of greatness for centuries to come. If one is to draw an analogy from the animal kingdom, integrity can be equated to the great sea creature turtle. A creature who roams the deep sea and land alike. It is the best example for the virtue of integrity, which must be inculcated in all spheres.



HANDBOOK

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INTEGRITY HANDBOOK

“Integrity for Sri Lanka”

Commission to Investigate Allegations of Bribery or Corruption
Democratic Socialist Republic of Sri Lanka

Foreword

The Commission to Investigate Allegations of Bribery or Corruption (CIABOC) in collaboration with the Ministry of Public Administration has formulated these guidelines pursuant to the five year National Action Plan to Combat Bribery and Corruption (NAP) in Sri Lanka, which was launched on the 18th of March 2019.


Having recognized the key role played by preventive mechanism in the fight against corruption, novel concepts and procedures have been introduced to minimize the possibilities of corruption. These guidelines will supplement the existing legal and regulatory framework of the country by enhancing and empowering the public institutions of Sri Lanka.

This handbook has been formulated alongside the NAP and it is a product of lengthy consultations conducted in a span of one year. As such, ground level insights were gathered to more effectively understand corruption related community experiences and grievances. Numerous deliberations with both national and international experts on various related subjects have broaden the horizons of this endeavor. inspired by all these sources, the ensuing guidelines have been created so as to suit the situations unique to Sri Lanka.

Formulation of these guidelines are only the beginning of a journey that would ultimately lead Sri Lanka in the path of success and development. With a vision premised on integrity, the path ahead is clear. The collective effort of the nation in realizing this purpose is the key to the meaningful implementation of this handbook.

Message of the Secretary to the President

In the path towards eradicating bribery and corruption, formulation of a National Action Plan has been our greatest achievement. Under the aegis of the Presidential Secretariat, the Commission to Investigate Allegations of Bribery or Corruption has thus concluded the National Action Plan for Combatting Bribery and Corruption in Sri Lanka. The main aim of this attempt is to uplift the integrity of the public sector. Strengthening the integrity of each individual in each sector of government, increases Sri Lanka's image in the face of the international community. This handbook can be used as a guideline to be followed by public officers in their dispensation of duties, whereby the integrity of public institutions is further strengthened. I expect the contents of this guideline to enable public officers to build trust with the greater citizenry. After all, appointment of public officers aims to serve the people, the latter being the patron of the former. I sincerely hope that the relevant authorities will make the necessary policy decisions to implement this handbook.



Udaya R. Seneviratne
Secretary to the President
Presidential Secretariat

Message from the Secretary to the Ministry of Public Administration and Disaster Management

A focal point of discussion in the present world is the topic of bribery and corruption. This is even more so within the public sector which plays a pivotal role in the country's development under an open market economy. In any institution, from the accounting officer to the labourer, prevention of bribery and corruption is an important consideration. In such a context, I view this handbook as another component of the National Action Plan for Combatting Bribery and Corruption, formulated by the Commission to Investigate Allegations of Bribery or Corruption in Sri Lanka.

As the main Ministry entrusted with the mandate to introduce rules, circulars and policies for the entire public service system, our institution has given this handbook special attention. As such, these guidelines will help create a system of transparency and accountability where public officers will dispense their respective duties with integrity, preventing bribery and corruption in the process. By overcoming the shortcomings of the previously followed framework, the National Action Plan will pioneer an era of integrity within the public sector.

With the approval of the Cabinet of Ministers, this Action Plan aims to provide guidance to all officers who benefit under the Consolidated Fund to create a clean public sector, sans bribery and corruption. Therefore, after making the necessary policy decisions

to effectively implement the content of this handbook, our Ministry wishes success to this endeavor by continuing to render our heartiest assistance.



J.J. Rathnasiri

Secretary

Ministry of Public Administration and Disaster Management

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Introduction

The National Action Plan for Combatting Bribery and Corruption (NAP) identifies the public sector as a key player in the country's fight against corruption. It formulates ways and means of protecting the dignity of public servants by highlighting the need for integrity within institutions. The ensuing guidelines will empower the discretion bestowed upon public servants so as to ensure transparency within the system of administration. It aims at increasing the confidence of the citizenry towards the state machinery and its public institutions.

The guideline is divided in to six chapters proposing steps to mitigate the potential risk of bribery and corruption within public institutions. Primarily each institution will be required to appoint a Corruption Prevention Committee, Integrity Officer and Facilitating Officer. The Terms of References (TORs) of all these authorities are included in this handbook in chapters one, two and three respectively.

Chapter four deals with the Institutional Action Plan to Combat Bribery and Corruption (IAP). The head of the department will be responsible along with the corruption Prevention Committee and the Integrity Officer to formulate an institution specific IAP. It must be tailor made for the corruption risks within the institution with the ultimate aim of preparing a targeted preventive mechanism. Chapter four contains eight steps that could be followed by the institution in its formulation of the IAP, beginning from "Preparation and Sensitization" to "Monitoring and Implementation".

Chapter five details the ToR of the National Integrity Council which is the supreme authority established under the NAP for overall monitoring and evaluation

The NAP requires all institutions to display the Citizen's Charter and Chapter six provides a brief description of its features and content. The final chapter contains general guidelines.

These proposed guidelines have been formulated pursuant to the launching of the NAP. The introduction and implementation of guidelines pertaining to the integrity of the state machinery has been highlighted as a key factor within the action plan. The ensuing guidelines have been formulated to expedite the effective implementation of NAP. As such, any amendments to it may be carried out as required and the guidelines will come in to effect on a date prescribed the Ministry of Public Administration.

Chapter 1

TERMS OF REFERENCE: INSTITUTIONAL CORRUPTION PREVENTION COMMITTEE

Establishment

The NAP requires that all institutions of the government of Sri Lanka at both the national and provincial level establish an Institutional Corruption Prevention Committee.

Membership

The committee is to be comprised of at least five and no more than ten members drawn from different units with the institution and who together represent the institution as a whole. The head of the institution shall appoint the members in consultation with the institution's Integrity Officer. The head shall appoint one member as chairperson and a second as vice-chairperson after consultation with all members.

The institution head shall either appoint a member from civil society to serve on the committee or provide for the establishment of a civil society advisory group to provide the committee with advice and guidance.

Members will serve a two-year term. However, their term may be renewed at the discretion of the institution's head in consultation with the Integrity Officer and CIABOC's prevention department. In the event of a vacancy caused by removal by the institution head, termination of service, or other cause, the institution head shall appoint a replacement to complete the remainder of the term.

Service on the committee will be incorporated into members' existing work plans and their responsibilities will be adjusted to reflect the time required to fulfill their obligations as committee members. They will not be entitled to additional compensation or benefit for serving on the committee.

Meeting

The committee shall meet at least once a month at the call of the chairperson or in the chairperson's absence or incapacity, the call of the vice-chairperson. Any decisions shall be by a majority of those attending with the chair-person or vice-chairperson in the chairperson's absence entitled to cast a second vote in the event of a tie. The committee will receive administrative support as needed to organize logistics, record meetings and perform other tasks the committee assigns.

Duties and Responsibilities

1. Preparation of institutional action plan to combat bribery and corruption (IAP);
2. Implementation of IAP within the institution;
3. Formulation of overall risk assessment and analysis on bribery and corruption in the institution;
4. Mitigation of potential risks of corruption;
5. Conduct programmes to change the attitude and enhance values of employees;
6. Implementation of the National Action Plan to Combat Bribery and Corruption (NAP);
7. Extending the fullest support and cooperation to the Integrity Officer in carrying out his/her responsibilities and duties;
8. Committee shall obtain the support and assistance of the Integrity Officer in carrying out the committee's responsibilities and duties;
9. The committee will liaise and receive guidance from the prevention division of CIABOC in carrying out its responsibilities and duties;

10. Publish an annual report detailing the progress of the institutional corruption prevention action plan as well as the measures taken by the institution to implement the National Action Plan to Combat Bribery and Corruption (NAP)

Chapter 2

TERMS OF REFERENCE FOR INTEGRITY OFFICER

All public institutions shall appoint an Integrity Officer.

Appointment

The heads of all public institutions shall appoint a person to the position of Integrity Officer within three months of the coming into effect of the NAP. The head of department must take the necessary measures to provide the Integrity Officer with the necessary training required for this position.

Integrity Officers shall be appointed from the personnel within the institution or new recruits of the institution. They shall be individuals with a reputation for integrity and without a criminal record or history of financial misconduct. Pending the appointment of a qualified individual, the institute's head shall act as the Integrity Officer.

Personal Integrity Assurance

As a condition of taking their post, an Integrity Officer must agree to allow CIABOC to monitor his or her lifestyle and audit income and expenditure of the officer and the officer's spouse for any signs of illicit income or wealth. CIABOC will have the authority to review banks accounts, property holdings, and conduct any inquiries as necessary to ensure that the officer maintains the highest ethical standards.

Duties and Responsibilities

1. Examine procedures/ circulars in operation within the institution and where such documents lack clarity or are complex, take necessary steps to make them simple and clear;
2. Take action to apprise all employees regarding procedures and circulars of the institution;
3. Where required, under the guidance of the head of the institution, appoint a 'Facilitating Officer' to guide and facilitate the public;
4. Enable the facilitating officer to provide information, advice and facilitate the public who visit the institution to obtain a service;
5. Observe the day to day functions of the respective institution and report any potential situations of bribery or corruption to the head of the institution;
6. Play a lead role in creating a 'citizen's charter' on the services provided by the institution;
7. Display the citizen's charters so created, clearly to the public in the institution;
8. Take necessary action to align the institution with the objectives of the citizen charter;
9. Take steps to maintain the highest ethical standards in the institution, as such, the following should be considered:
 - a. Ensure that all employees sign an anticorruption and integrity pledge,
 - b. Take necessary action to implement a suitable code of ethics in the institution,

When preparing a code of ethics for public employees and updating the Establishments Code the following areas should be considered;

1. Preliminary concepts of integrity
2. Values related to the conflict of interest
3. Concepts governing gift policies
4. Duty to declare all assets, income and liabilities pertaining to an individual
5. International practices
10. Receive regular training consisting of at least two modules of three hours each per year, on ethics, integrity and anticorruption.
11. Take necessary action to ensure that all employees comply with gift rules specified in the NAP;
12. Take necessary action to ensure that all employees comply with rules on conflict of interests specified in the NAP;
13. Take necessary action to ensure that all employees in the institution comply with the Declaration of Assets and Liabilities law;
14. Learn and use the local and international best practices on integrity where appropriate to enhance integrity in the institution;
15. Take all steps to initiate digitisation, especially in the service sector of the institute.
16. Liaise with CIABOC prevention division and obtain guidance/advise in carrying out his/her responsibilities and duties
17. Support the annual reporting requirements with regards to the implementation of the NAP and IAP.

Chapter 3

TERMS OF REFERENCE: FACILITATION OFFICER

All public institutions shall appoint a Facilitation Officer.

Appointment

All public institutions shall appoint a person to the position of Facilitation Officer within three months of the coming into effect of the National Action Plan for Combatting Corruption.

Facilitation officers shall be recruited from officers currently serving in the public service. They shall be individuals with a reputation for integrity and with no criminal history and no history of financial misconduct. The Integrity Officer, under the guidance of the Head of the Institution, will be responsible for the appointment a 'Facilitating Officer'.

Personal Integrity Assurance

As a condition of taking their post, a facilitation officer agrees to allow CIABOC to monitor his or her lifestyle, auditing income and expenditures or the officer and the officer's spouse for any signs of illicit income or wealth. CIABOC will have the authority to review banks accounts, property holdings, and conduct such other inquiries as necessary to ensure the officer maintains the highest ethics standards.

Duties and Responsibilities

1. Offer guidance to the public and facilitate those accessing services from the institution.
2. Welcoming visitors in a kind courteous and respectful manner and direct visitors to their scheduled appointments or desk for required service.
3. Welcoming Officials and direct them to the relevant officer or department/ unit.
4. Taking and placing accurate phone messages/calls, ensuring they are routed in a timely manner to the proper source for response.
5. Facilitate the provision of information, advice and facilitate the public who visit the institution to obtain a service.
6. Contribute toward the creation a 'Citizen Charter' on the services provided by the institution.
7. Assist the display of Citizen Charters so created clearly to the public in the institution.

Chapter 4

GUIDELINES FOR FORMULATION OF INSTITUTIONAL ACTION PLANS TO COMBAT BRIBERY AND CORRUPTION

Introduction

The NAP requires each public institution to prepare an Institutional Action Plan to Combat Bribery and Corruption (IAP). The IAP should be formulated for a one-year time period, which will be renewed annually. The main responsibility for this endeavor rests with the Prevention Committee. Hereinafter it will explain how this process should be carried out in eight simple steps.

First-step is Preparation and Sensitization where institution personnel will be informed of the IAP and their suggestions/proposals invited. **Secondly**, information collated from the first step as well as other internal documents/circulars will be reviewed. **Thirdly**, corruption risks unique to the institution will be identified and prioritized from the information gathered. **Fourthly**, the identified risks will be evaluated in light of the damage it may cause to the institution. The **fifth-step** deals with the development of controls and safeguards against the identified risks which will lead to the **sixth-step**: formulation of IAP. **Seventh-step** is to get approval after which the **eighth-step** will cover the implementation and monitoring of the IAP. This step includes the submission of an annual report by the Prevention Committee detailing the progress of the IAP. The final document should also include the steps taken by the institution to implement activities under the NAP. Whilst the implementation of the IAP may overlap with the implementation of NAP, the report must separately highlight the latter.

While the committee will be accountable for conducting the risk assessment and preparing the IAP, it may set up other supporting mechanisms depending on the availability of resources within the institution. The committee will agree on the scope of the assessment, the resources and staff time require to complete it and draft the IAP.

01. Preparation and sensitization

As the first step of the formulation of the IAP, the Prevention Committee must be convened. The committee may gather additional assistance from within the institution if the circumstances so require. The committee must be trained on corruption prevention, why their institution is developing a plan, and how to develop a risk assessment and prevention plan. A one-day workshop will ordinarily suffice. A description of the process should be distributed beforehand along with a draft work plan listing the steps required and projected deadlines. The work plan should be discussed and amended in view of participants' comments. Ultimately, the committee must agree upon the scope of the IAP.

Secondly, the institution personnel have to be sensitized with the idea of the IAP. A directive can be issued explaining the rational and process of developing an IAP, encouraging personnel to contribute with their fullest support. It must be highlighted that the formulation and implementation of the IAP is not done as an investigatory process but rather a preventive mechanism adopted under the NAP.

02. Gather and review information

The primary aim of the formulation of an IAP is to produce a set of actions the institution can take to prevent bribery and other forms of corruption. For this purpose, there needs to be thorough evaluation of the existing framework of the institution.

A one-day workshop could be conducted to invite the views/suggestions/recommendations of the employees of the institution in the process of identifying likely risk areas. It must be carried out in such a way that all employees are given an opportunity to express their

comments. Questionnaires, consultations could be carried out in this regard.

Reviewing internal and external documents of the institution is another method of identifying potential risks. The committee should gather and review audit reports, complaints, circulars and other data relevant for assessing corruption risks.

03. Identifying corruption risks

The committee will use the information gathered, to identify where the institution is most at risk from different forms of bribery and corruption. These areas may be vulnerable for corruption, integrity violation or other unethical behavior. In selecting the appropriate areas, special attention should be paid to procurement, planning where experience shows there is significant vulnerability to corrupt and unethical behavior.

A list of risks can be compiled, noting the likely way in which corruption may occur. The aim of this is not to list every form of corruption to which the institution may theoretically fall victim. It is instead to produce a realistic, manageable list from which priorities can be determined.

04. Evaluation of risks

Based on the list of risks, the committee should estimate the likelihood each type of risk will occur. It must be noted here that only the high-risks should be considered. An occurrence may include, the commission of a corruption or any other unethical behaviour. For this purpose, the committee should supplement its own knowledge with the experience of institution personnel, auditors and accountants of other similar institutions.

Likelihood

After such evaluation, the likelihood occurrence may be estimated as follows:

- Very
- Moderate
- Not very

In addition to the likelihood of occurrence, the damage caused by the identified risk, must also be evaluated. When estimating the damage, two distinct types of damages can be identified.

Damage

- **Financial damage:**

Here, the damage caused to the institution is considered in monetary terms. It may be a loss of revenue, or revenue being diverted to a third party instead of the institution.

The damage may be estimated as

- a. high
- b. medium
- c. low

- **Non-financial damage :**

This would include reputational damage to the institution that has an impact the institution's ability to fulfill its mission.

The damage can be estimated using a scale of 1– 5. (5 being a serious damage and 1 being a damage that is negligible)

When developing estimates of the likelihood of occurrence and the damage that may be caused by the identified risks, the committee should bear in mind the following:

- a. The complexity of the corruption scheme and how many people would be involved in it;
- b. Whether similar types of corruption have occurred in the institution or in other government agencies;

- c. How much those involved in such a scheme would profit from it; and
- d. How the support of external institutions can be drawn in the successful implementation of the scheme.

05. Developing safeguards

Once the risk assessment is finalized, the committee must examine the existing safeguards against these risks. This may include laws, ethic codes or additional oversight by independent auditors. In short, any preventive mechanism that are already in place to combat bribery and corruption within the institution.

Safeguards

With the expertise of the institution's leadership and key personnel, the committee can judge the quality of the safeguards in place as:

- Effective
- Moderately Effective
- Not Effective

This grading can be done based on experience from the past. Whether there have been prior instances where the safeguard has succeeded or failed.

The next step is to determine whether additional safeguards are needed. These additional safeguards must be practical and explained clearly. They should not be costly. In determining the cost, external stakeholders, such as customers must also be considered. In trying to introduce additional safeguards, the customers should not be burdened with extra formalities. These safeguards must ensure that the identified risks are circumvented, and potential vulnerabilities avoided.

The additional safeguards must be realistic and within the institution's power to implement. This requirement rules out such measures as a major change to the constitution, new legislation, or other measures that are prohibitively costly in terms of time or resources.

Only in rare instances and only if the institution’s leadership together with CIABOC concludes such a measure is essential, should such a measure be included in the action plan.

The steps developed so far can be illustrated in the following chart. It forms the piece of the action plan. Prior to finalization, it too should be circulated for comments and discussion to the institution’s leadership, selected personnel and stakeholders.



06. Formulation of IAP

After completing the above 6 steps, the Prevention Committee must consult with the head of the institution, CIABOC prevention staff and other institution stakeholders on the progress so far. After such consultation, a draft IAP must be developed and circulated among all stakeholders.

The plan will include clear time-lines for their implementation, and the individual or individuals accountable for implementation.

07. Approval for IAP

The plan is to be approved by the institution's leadership. The plan must be publicised to the extent that it will enable the successful implementation of the IAP

08. Implementation and monitoring

An annual report, detailing the progress of the IAP should be submitted. The institution's Integrity Officer will assist the Prevention Committee in monitoring and reporting the plan's success in preventing corruption. In doing so, it must be noted that the confidentiality and secrecy of perpetrators are maintained. The report must address two main components. Firstly, the implementation and progress of the IAP and secondly, respective steps taken under the NAP within the institution. Refer annexure B for a detailed flow chart in this regard. Refer annexure E for a proposed format.

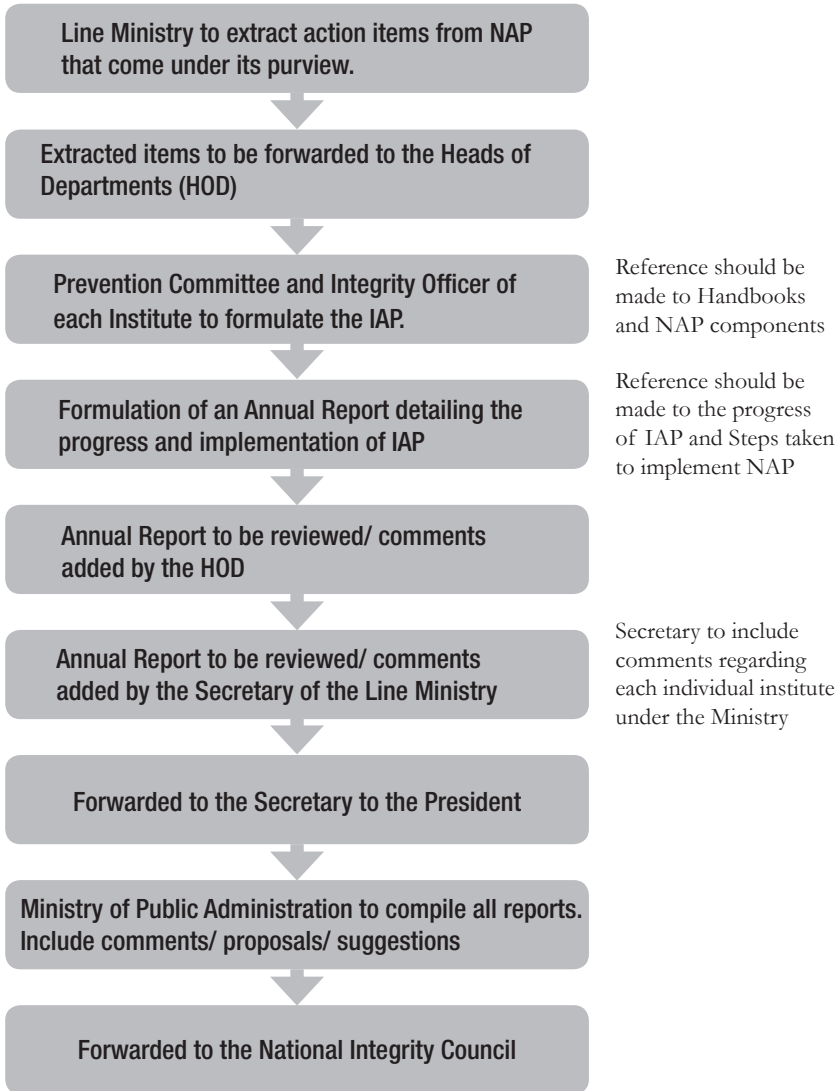
Annexures (A)

Checklist – IAP formulating progress

Phase	Actions
Preparation and sensitization	<ul style="list-style-type: none"> • Convene meeting of corruption Prevention Committee • Appoint working group/assign Integrity Officer • Agree on scope of plan • Issue institution-wide circular explaining purpose and process
Gather and review information	<ul style="list-style-type: none"> • Determine relevant information sources – i.e. complaints, audits, employee interviews, surveys and court cases • Gather and review materials
Identify corruption risks	<ul style="list-style-type: none"> • Conduct one or more brainstorming sessions with the institution's leaders/key employees • Prepare preliminary list of risks • Consult with institution's leaders/key employees/ CIABOC
Evaluate risks	<ul style="list-style-type: none"> • Consult institution's leaders/key employees on the severity of the risks • Prepare draft that prioritizes risks • Consult with institution's leaders/key employees/ CIABOC and finalize list of priority risks
Developing safeguards	<ul style="list-style-type: none"> • Assess effectiveness of existing controls • Recommend changes to current controls or additional, feasible ones where needed

Formulation of IAP	<ul style="list-style-type: none">• Consult with institution's leadership, CIABOC prevention staff, and institution's stakeholders on risk assessment• Develop draft institutional action plan and circulate• Finalize institutional action plan and publish summary
Approval for IAP	<ul style="list-style-type: none">• Approval taken from the head of the institution
Implementation and monitoring	<ul style="list-style-type: none">• Submit Annual Report

(B) IAP implementation and monitoring process



(C) Specimen risk assessment

Name of institution:					
Date of risk assessment:					
Names of the individuals conducting the assessment:					
Risk	Possibility of occurrence low, moderate, high	Potential damage If a financial damage high, medium, low If a non-financial damage scale of 1 -5	What are the existing safeguards?	How effective are existing safeguards? Effective, moderately effective, not effective	What additional ones are needed?

(D) Examples of risk assessment

Given below are some hypothetical situations of how the above format could be used in different institutions. The following illustrations are drawn from areas such as issuance of licences or permits, construction/infrastructure and management of institute resources.

Risk	How likely is it that it will occur? low, moderate, high	How costly will it be if it does occur? high, medium, low or 1 -5	What are the existing safeguards?	How effective are existing safeguards? Effective, moderately effective, not effective	What additional ones are needed?
Citizens can obtain driver's license by bribing officials	High	High	Issuance of licenses or permits Law against bribery	Not effective	Sign posted in public places warning of consequences of paying bribes
		5	Employee ethics code		Complaint box prominently displayed at each institution's office CIABO officers pose as citizen willing to pay bribe
Official bribed to ignore code violations	Moderate	Medium	Law against bribery Employee ethics code	Moderately effective	Sample of buildings re- inspected by independent experts
		4	Inspectors file report on each building inspected		Building owners warned of penalties for giving bribes Inspectors' life- style reviewed against salary earned

Risk	How likely is it that it will occur? low, moderate, high	How costly will it be if it does occur? high, medium, low or 1 -5	What are the existing safeguards?	How effective are existing safeguards? Effective, moderately effective, not effective	What additional ones are needed?
Citizens overcharged for licenses or permits	High	Low	Legal penalties for defrauding citizens Code of ethics	Moderately effective	Charges for licenses and permits posted on web site and at offices
		5			Citizen's charter posted at institute office with name of person who takes complaints
Construction/ Infrastructure					

Risk	How likely is it that it will occur?	How costly will it be if it does occur?	What safeguards are now in place?	How effective are existing safeguards?	What additional ones are needed?
Terms of reference (TOR) drafted to favour a particular company	High	High	TOR developed by a group within the institution	Not effective	Permit appeal of pre-award complaint
		5	TOR's publically displayed Complaint mechanism whereby anyone can raise objections during the pre-award phase		
Member of tender evaluation committee favours bidder for personal reasons	High	Medium	Committee members must declare potential conflicts	Effective	none
		5	Score sheets reviewed for bias		
Staff bribed to leak cost estimate	Moderate	Medium	Legal penalties for disclosure	Not effective	Limit staff who can access cost estimations
		4	Code of ethics		

Risk	How likely is it that it will occur?	How costly will it be if it does occur?	What safeguards are now in place?	How effective are existing safeguards?	What additional ones are needed?
Bidders rig tender prices	High	High 4	Legal sanctions for bid rigging Bidders warned of penalties at pre-award meetings	Not effective	Bidders required to certify that bids were prepared independently Tender notices widely circulated Bid prices examined for signs of rigging
Supervising engineer accepts bribe to approve substandard work or approve unnecessary extra work	Moderate	High 5	Institution's staff review supervising engineer's approvals Engineers' ethics code Contract gives institution right to collect damages for dereliction of duty Penalties for taking bribes	Moderately effective	Qualified engineers on the institution's staff make unannounced visits to job site Independent engineer retained to review supervising engineer's work
Management of the Institution's Resources					
Risk	How likely is it that it will occur?	How costly will it be if it does occur?	What safeguards are now in place?	How effective are existing safeguards?	What additional ones are needed?

Risk	How likely is it that it will occur?	How costly will it be if it does occur?	What safeguards are now in place?	How effective are existing safeguards?	What additional ones are needed?
Cashier does not record all the money that is received	Moderate	High	Legal penalties for theft	Not effective	Sign posted warning citizens to always obtain a receipt
		3	Employee ethics code		
Employee issues purchase order for goods delivered to home	Low	Medium	Legal penalties for fraud	Moderately effective	Responsibilities for issuing purchase order, certifying delivery, and payment split
			Employee ethics code		
Equipment stolen from institution's inventory	Moderate	High	Legal penalties for theft	Moderately effective	Access to records of inventory restricted
		3	Employee ethics code		

Risk	How likely is it that it will occur?	How costly will it be if it does occur?	What safeguards are now in place?	How effective are existing safeguards?	What additional ones are needed?
Employees submit fraudulent travel reimbursement requests	Moderate	Moderate	Ethics code, law against fraud	Not effective	Fixed rates set for hotels commonly used
	3	Pre-approval for travel required	Random audits of vouchers conducted		
		Receipts for all expenses required for reimbursement	Hotels and other vendors contacted		

(E) IAP Annual Report

Institutional Action Plan for the Prevention of Bribery and Corruption	
Name of Ministry/ Department/ Corporation/ Board/ Institution	
The Ministry/ Department pertaining to your institution	
Institutional Corruption Prevention Committee	
Members of the Prevention Committee	
Period of service of each member	
The roles and the responsibilities of the prevention committee	
Supervision of the Prevention Committee	
Number of meetings held and dates	
Integrity Officer	
Name of the Integrity Officer and length of service	
What are the powers vested in the Integrity Officer?	
What are the roles and responsibilities of the Integrity Officer?	

The Bribery and Corruption Prevention Measures Taken Under the Implementation of IAP	
What are the general prevention measures taken since the last IAP submitted?	
Number of training sessions held & subjects covered and Employees trained	
Materials distributed	
Number of requests for advice received	
Information with Regards to Conflict of interests	
Number of conflict of interest decision forms received	
Number of waivers granted	
Information with Regards to the Declaration of Assets and Liabilities	
How many officials are required to make such disclosures within the institution?	
How many officials have disclosed assets and liabilities within the year?	
Implementation of Gift Rules within the Institution	
The number of gift disclosure forms received	
The number of gifts disposed	

Major Risk Identified in Most Recent Institutional Risk Assessment and Existing and Additional Controls		
Risk	Existing Control(s)	Additional Control(s) Deemed Necessary

Correspondence with the National Action Plan for Combatting Corruption in Sri Lanka (NAP)					
No	Action	The reason for addressing this action in your institution	Mechanism implemented to address this action	Time taken for implementation	Objective of implementation/ comments

Chapter 5

MODEL CITIZEN'S CHARTER

What is a Citizen's Charter

As a citizen enters a public institution, the Citizen's Charter display the most basic information regarding the services of that institution. Most of these information are provided form the Reception of the institution. When a citizen is armed with such information, he is at a comfortable position to get the work done, without relying on a third party. Displaying the Citizen's Charter at the entrance itself, displaces the need for a third party to intervene, thereby minimizing potential risks of bribery.

Citizen's lack awareness and clarity regarding services delivered by public institutions and this has a tendency to result in increased incidents of abuse of power, irregularities and inconvenience to the public. All heads of institutions should take steps to identify particular units which are more vulnerable to incidents of bribery and corruption and update weak circulars and guidelines in order to provide effective and efficient service to the public.

A comprehensive guideline on Citizens'/Clients' Charter has been issued by the Ministry of Public Administration and Home Affairs by Circular No 05/2008 of February 06, 2008. In the formulation of the Citizens' Charter for your institution, to the following points, content of the above circular must be referred to and incorporated.

A Citizen's Charter aims to prevent bribery and corruption by empowering the citizen. Therefore;

- a. Public institutions providing services directly to the public should, in clear and simple language, inform the public by way of notices displayed or printed material/ websites/ digital screens, of the procedures to be followed, documents required, eligibility, time taken and the fee payable for each service.
- b. If a service provision is delayed by more than the stipulated time, the public officer should send a letter within three days stating the reason for the delay.
- c. The Facilitating Officer must listen to complaints and grievances of citizens and take appropriate measures of redress.

Features of a Citizen's Charter

The citizen's charter must be displayed in all three languages and must include the following components:

- a. Vision and mission statement of the institution
- b. Details of business transacted by the institute
- c. The fee required to obtain each service
- d. The documents needed for each service
 - a. Whether scanning facilities are available within the institution
 - b. If not, the number of copies that need to be submitted, and where photocopying facilities are available
- e. Statement of services including standards, quality, time frame etc. provided to each citizen/ client group separately and how/ where to get the services
- f. If a form is required to be filled, display a sample form that has already been filled.
- g. Details of a grievance redress mechanism and how to access it
- h. Expectations from the citizens

Citizen's Charter Format

Vision of the Institution:					
Mission of the Institution:					
Mission of the Institution:					
Objectives of the Institution:					
Mandate of the Institution:					
Services provided by the Institution					
Serial number	Service provided	Information/ documents to be submitted	Service standard (hours, days, weeks)	Main officer responsible (tel. no)	Complaint mechanism for default of service

Chapter 6

TERMS OF REFERENCE: NATIONAL INTEGRITY COUNCIL

Introduction

The National Integrity Council comprise of a panel of independent experts with multiple stakeholder representation, will be appointed by the President. One member of the council will be ex-officio from the CIABOC. The National Integrity Council will be the authority entrusted with the responsibility for monitoring and evaluation of the NAP and the consequent IAP thereunder.

Establishment

The NAP requires the establishment of a **National Integrity Council**. This council will be appointed by the President and be the key authority tasked with the responsibility of monitoring and evaluation of the NAP and IAP. The National Integrity Council will be responsible therein in reporting periodically to the presidential secretariat.

Membership

The council will comprise of a panel of independent experts with multiple stakeholder representation. One member will be ex-officio from the CIABOC prevention division.

The council will have at least eight and no more than fifteen members. The President shall appoint one member as chairperson and a second as vice-chairperson after consultation with all members.

Members will serve a two-year term. However, their term may be renewed at the discretion of the President. In the event of a vacancy, the President shall appoint a replacement to complete the remainder of the term.

Service on the Council will be incorporated into members' existing work plans and their responsibilities will be adjusted to reflect the time required to fulfill their obligations as council members. They will not be entitled to additional compensation or benefit for serving on the committee.

Meetings

The Council shall meet at least once a quarter at the call of the chairperson or in the chairperson's absence or incapacity the call of the vice-chairperson. A quorum shall consist of at least 5 of the membership inclusive of either the chairperson or the vice-chairperson. Any decision shall be by a majority of those attending with the chairperson or vice-chairperson in the chair's absence entitled to cast a second vote in the event of a tie. The council will receive administrative support as needed to organize logistics, record meetings and perform other tasks.

The calendar of meetings will be centered around the monitoring and evaluation plan to be developed, with periodic evaluations to be held on a bi-annual and annual basis, necessitating more frequent meetings around these timeframes.

Duties and Responsibilities

The key responsibilities of the National Integrity Council include;

Monitor on-going progress of the NAP

The monitoring and evaluation of the overall implementation of the NAP will have two components. Firstly, overall monitoring will take place on an ongoing basis with implementation progress being collated in relation to progress indicators. This information will

be uploaded monthly by the respective implementing agencies and tracked via online platforms. The collated information will be tracked and compared with the baseline data.

Periodical oversight of institutional action plan for the prevention of bribery and corruption

Each government institution will prepare an “Institutional Action Plan for the Prevention of Bribery and Corruption” (IAP) and the respective integrity committee of an institution will take action to implement the said plan in the institution. These committees will report based on pre-decided progress indicators to their respective line ministries, on the implementation of the plans and a collated analysis of these reports will be presented to the National Integrity Council by the Ministry of Public Administration and Ministry of Local Governments. For the full process of report submission, refer to annexure B above. The Council will also hold consultative sessions, on an annual basis, with institutions flagged for delays or non-compliance.

To conduct a periodic overall review of the implementation of the NAP

The information collated through the process of continuous monitoring in above will provide input into the second component, which is the periodic evaluation to be conducted on an annual basis in order to review the overall progress and impact of the NAP. The annual process will include consultative sessions with implementing agencies flagged for delays and a mechanism for regular consultation with civil society, sector and regional representatives to obtain feedback on the NAP. The Council will also hold regular media briefings on the progress of the NAP.

To review and adjust when necessary Key Performance Indicators (KPIs) within the NAP

The Council has the authority to provide observations, recommendations and suggestions to the implementing agencies and presidential secretariat to adjust KPIs within the NAP, for enhanced effectiveness and more feasible achievement.

To monitor the budgetary agencies on the implementation of NAP and recommend changes and additional resource allocations

The Council has the authority to monitor budgetary allocations on the implementation of the IAP/ NAP and recommend changes and additional resource allocations to the implementing agencies and presidential secretariat, in order to enhance the effectiveness of implementation.

Publish an annual report

The Council shall prepare and submit to the President, containing a detailed progress report on the implementation of the NAP and an evaluation of the impact of each action item therein. Additionally, this report must be submitted to the heads of the respective institutions as well as CIABOC. The report will also capture the progress of institutional action plans. The report shall be made public. However, where necessary, a confidential appendix shall be included to describe matters under investigation, other sensitive subjects or personnel issues that cannot be made public.

Chapter 7

OTHER

Introducing a logo containing integrity affirmation

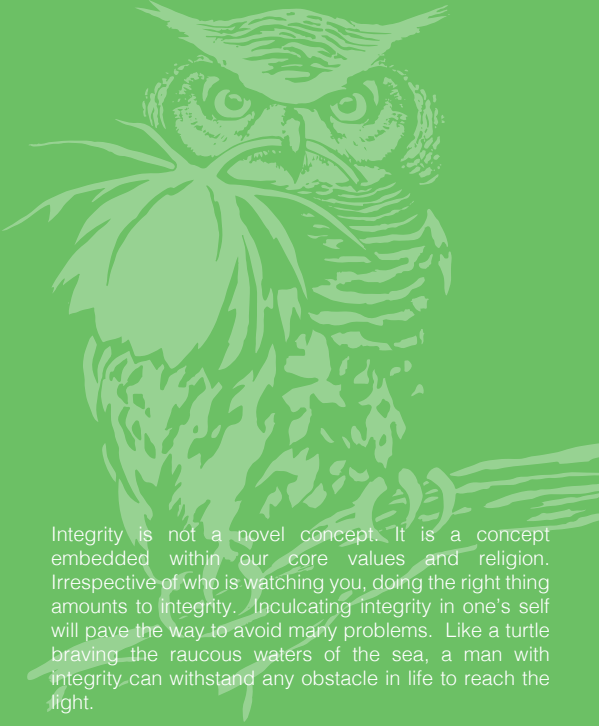
- i. A logo containing a pledge that an officer is against bribery and corruption and does not condone bribery and corruption by others should be created.
- ii. Directions should be issued to all public officials and to public representatives to wear the logo.

Institutions to be named as bribery and corruption free zone

- i. Notices citing “bribery and corruption free zone” should be displayed in public places.
- ii. These notices should be displayed in all ports of Sri Lanka (Eg. Airports)
- iii. All public officers should display it in the front area of their homes

Please note that this handbook was published pursuant to the launch of the National Action Plan to Combat Bribery and Corruption in Sri Lanka, held on the 18th of March, 2019.

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HANDBOOK INTEGRITY HANDBOOK

Integrity is not a novel concept. It is a concept embedded within our core values and religion. Irrespective of who is watching you, doing the right thing amounts to integrity. Inculcating integrity in one's self will pave the way to avoid many problems. Like a turtle braving the raucous waters of the sea, a man with integrity can withstand any obstacle in life to reach the light.

The foundation for a country's development is based on its public officer's integrity. Integrity is the jewel crown of a public institution. A public officer will have to constantly use his discretion in his official capacity. That discretion is strengthened by setting out boundaries thereby increasing its transparency. The citizen that enters a public institution must place his or her trust in the establishment. To that end, this handbook was created to ensure the following: introduction of an integrity officer, set out his responsibilities and identification and prevention of trigger points of bribery and corruption within the institution. As such, the citizen's charter, integrity pledge, integrity officer's powers and duties are included in this handbook.

2 GIFT RULES

3 CONFLICT OF INTEREST

4 LEGISLATIVE AMENDMENTS

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இலஞ்சம் அல்லது ஊழல் பற்றிய சார்த்துதல்களை புலனாய்வு செய்வதற்கான ஆணைக்குழு

COMMISSION TO INVESTIGATE ALLEGATIONS OF BRIBERY OR CORRUPTION

CIABOC