

Tetra Tech DPK's Institutional Integrity Model



Promoting integrity in public institutions

The Institutional Integrity Model embraces a ground-up approach, in which ethical conduct and procedures for improving integrity are defined by institutions themselves.

Tetra Tech DPK (Tt DPK) provides a model for increasing the institutional integrity of public institutions that capitalizes on current individual institutional strengths and values and uses a ground-up approach in which ethical conduct and procedures for improving integrity are defined by institutional members. Our approach is a positive tool, owned by participants, in which the institutions define integrity elements that should be in place within the workplace; develop their own mechanisms, incentives, and staff improvement programs; and ensure that appropriate means of monitoring, oversight, and accountability are in place, with sanctions for inappropriate behavior and rewards for appropriate behavior.

The Institutional Integrity Model facilitates the design, development, and implementation of new integrity systems that reflect a preventative philosophy by assisting each institution to address for themselves:

- Ethics as an institutional and individual obligation
- Prevention of transgressions within the current institutional framework
- Investigatory procedures of accusations and their link to the disciplinary processes within the institution
- Public service as a profession with enhanced responsibilities for the common good
- Improved customer service orientation

Tt DPK draws on international best practices and models to support counterparts in developing the core elements of institutional integrity, aligned to four key pillars:

Norms and public policies

- A **legal framework** that promotes and institutionalizes integrity and transparency and is developed and implemented with broad stakeholder participation.
- **Protocols and procedures** that enable policies to be operationalized and clearly define responsibilities within and across organizations for transparency and accountability.

Transparent, efficient, and effective management

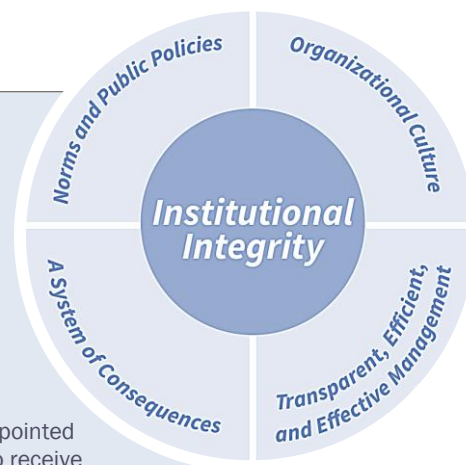
- **Human resource management systems** with a clearly defined organizational structure, job descriptions and requirements, transparent promotion and assignment procedures, and employee manuals.
- **Clear terms and conditions for public sector personnel**, including salaries that are commensurate with professional level, attractive retirement systems, objective criteria for transfers and assignments, and security of tenure.
- **Educational and professional development programs**, including training for new technical, management, and administrative staff and continuing education for experienced personnel.

Organizational culture

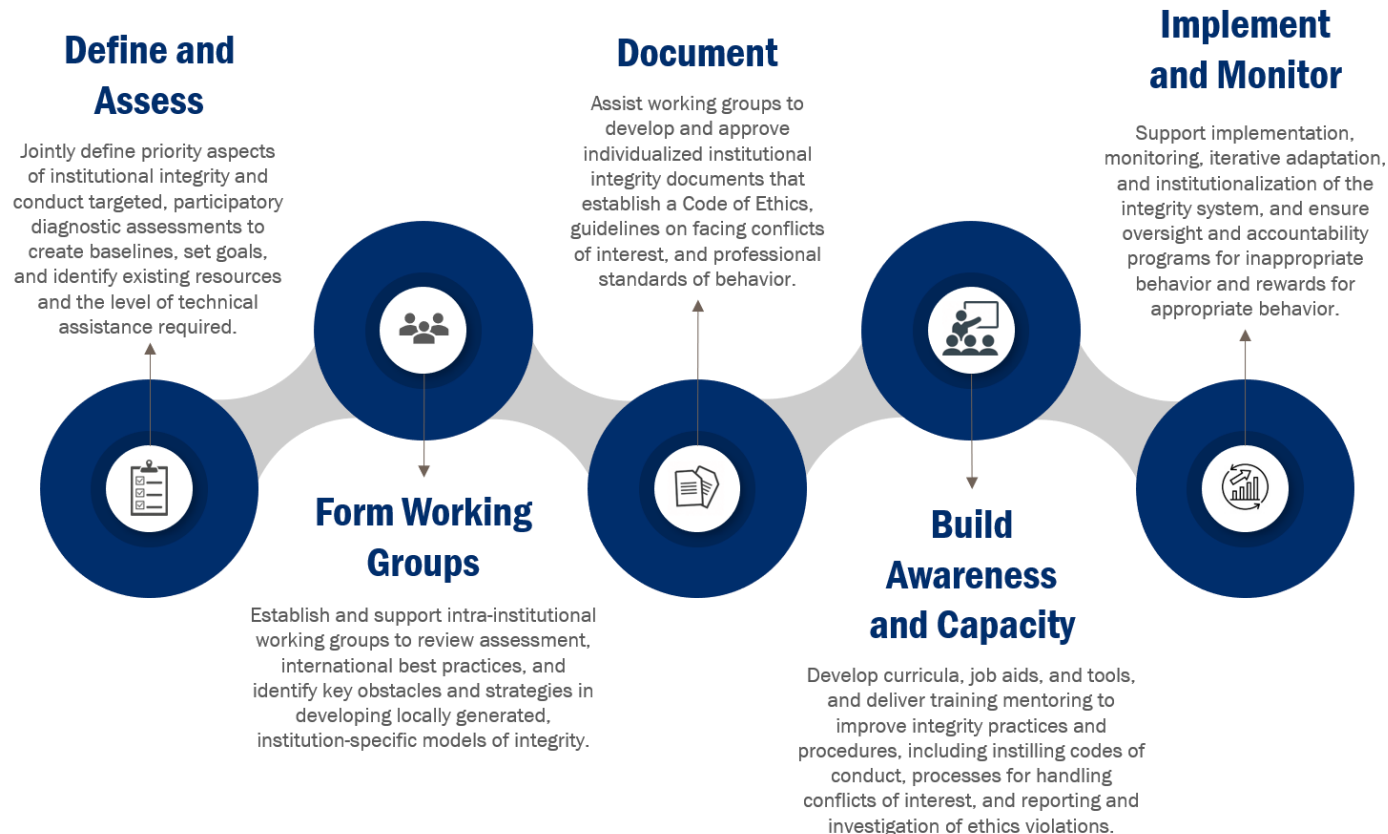
- **Clear codes of ethics**, established by professional associations or institutions, to provide uniform standards and guidance for professional conduct.
- **Advisory committees** and/or appointed ethics coordinators, available to receive inquiries from personnel who are facing ethical questions or have observed unethical behavior.
- **Mentoring programs** pairing new staff with more experienced professionals to guide them on ethical questions that arise in the daily performance of their duties.

A system of consequences

- **Performance management practices** that positively acknowledge effective, accountable leaders and promote role modeling and mentoring.
- **Reporting systems** for follow-up investigation and sanctions, as appropriate, in cases of unethical behavior by public officials and civil servants.
- **Due process** for public officials and civil servants against whom complaints are brought.



The Institutional Integrity process



The Institutional Integrity Model in practice

Tt DPK has flexibly applied this model in five countries in Latin America, including the Dominican Republic, El Salvador, Guatemala, Mexico, and Peru. In each case, it was adapted to meet the local context and needs of diverse institutions, ranging from the Judiciary in Guatemala to Women's Justice Centers in Mexico and the Attorney General's Office and municipal governments in El Salvador.

“The Institutional Integrity Model has strengthened the ethical awareness of workers and improved efficiency practices and public service.”

– Head of the Office of Human Resources at Peru's Ministry of Justice and Human Rights



Dominican Republic

Under the USAID-funded Transparency and Accountability Project, Tt DPK used the Institutional Integrity Model to support the Judicial Power, the Public Ministry, and the Public Defender Service to organize, plan, and carry out a work program grounded in institutional integrity. All three adopted institutional integrity as a guiding principle for judicial reform; they developed ethical codes, updated their disciplinary systems, reorganized their human resource and financial management systems, and disseminated their respective institutional integrity plans throughout their organizations.

A Supreme Court resolution in 2009 approved the framework and an interagency implementation staff was subsequently established, and in 2012, a Presidential Decree in 2012 established a Directorate of Governmental Ethics and Integrity. In 2010, the institutional integrity approach received international recognition: the Innovare Institute in Rio de Janeiro conferred its prestigious O Globo Innovare International Award on the Judicial Power in the Dominican Republic based on improved management practices of the criminal court in the province of La Vega.



Peru

Tt DPK's USAID-funded Pro-Integridad project worked with the Ministry of Justice and Human Rights to develop and implement a tailored Institutional Integrity Model, which included assessments, trainings, protocols, and process development to reduce the risk of corruption and to diminish functional inefficiencies at the organizational level. Demonstrating the commitment generated, the model was integrated into the Ministry's Anti-Corruption Plan, with budget and human resources allotted for its implementation.

Efforts included the development of an ethical code, the preparation of training guides on institutional integrity, the introduction of recurring weekly workshops on ethics and integrity, and training on public ethics. The weekly workshops were particularly successful; initially supported by Tt DPK, they continued without further assistance. The Ministry highlighted these “Ethics and Integrity Thursdays” (“Jueves de Ética e Integridad”) in a 2015 Peruvian government submission to the Mechanism for Follow Up on the Implementation of the Inter-American Convention against Corruption.



El Salvador

Through the USAID Government Integrity Project, Tt DPK is partnering with the Government of El Salvador to enhance its transparency, accountability, and professional standards at the national and municipal levels. The project is supporting key agencies that oversee transparency and ethics regulations—the Institute for Access to Public Information (IAIP), the Ethics Tribunal, the Ministry of Public Works (MOP), and the *Procuraduría General de la República*—to adapt and implement the Institutional Integrity Model at the central level.

Tt DPK worked with these agencies to develop a tailored integrity scorecard, a self-assessment and change management tool that enables them to systematically review their institutional policies, business processes, and organizational culture across six jointly defined dimensions: transparency, public ethics, accountability, public efficiency, preventing and combatting corruption, and citizen participation.

Scorecard results feed into locally driven improvement and action plans, which each agency dedicates resources to and assesses progress against. Notable achievements stemming from these plans have included a new mandate for the formal disclosure of asset declarations for MOP employees, a citizen rights charter instituted at the MOP, implementation of the ethics commission manual at the IAIP, and activities to promote greater citizen participation at the Ethics Tribunal to address self-identified gaps in openness to public scrutiny.

The project also works with municipal governments and adapted the model to realities at the local level, where the concept of public integrity is at a more nascent stage and access to human and financial resources is more limited. Each participating municipality has created a multidisciplinary and multi-party municipal integrity commission that works with the Municipal Council and civil society to assess the adequacy of performance.



Mexico

Under the USAID-funded PROJUST project, Tt DPK is working with government to increase public support for the National Criminal Justice System, increase access to justice, and improve victims' assistance. Tt DPK has worked closely with Mexico's National Commission to Prevent and Eradicate Violence against Women (CONAVIM) to introduce an Institutional Integrity System to strengthen the efficiency, effectiveness, transparency, and overall performance of the country's 42 Women's Justice Centers. The participatory process helped centers to identify the priority aspects of institutional integrity, formulate indicators of measurement, and develop action plans, tools, and procedures to achieve higher levels of institutional integrity. The positive outcomes of these initial efforts persuaded CONAVIM to designate the Institutional Integrity System as the official tool for certification of the centers throughout the nation. In December 2017, the National Council for Public Security ratified this designation at its annual public meeting, making it a national policy for centers throughout the nation.



Guatemala

Tt DPK's USAID Program Against Violence and Impunity (PAVI) worked in partnership with local actors to improve criminal prosecution and combat organized crime. The project joined efforts with Guatemala's Judiciary to successfully launch an institutional integrity system based on a "zero tolerance for corruption" platform, to foster ethical and cultural change in the administration of justice, based on effective strategic management at the political level (decisions and reputations of high-level authorities), at the institutional level (operational integration of key units linked to performance and career paths), and at the level of any given individual (individual behavior, commitment, and attitudes).

Working closely with the Supreme Court of Justice (CSJ), PAVI developed a implemented a phased approach, which included:

- Developing a Public Policy on Integrity and a conceptual platform for the integrity system through a participatory process with the CSJ.
- Conducting a Leadership and Integrity Diagnostic Assessment within the Judiciary to identify factors that could support or hamper the effective implementation of the integrity system.
- Fostering and training mentors and multipliers as change agents within the Judiciary, taking advantage of personnel with long careers and broad expertise.
- Strengthening performance management model and practices, including a performance evaluation system for First Instance Judges and Justices of the Peace.

As part of operationalizing the integrity system and supporting its sustainability, Tt DPK helped establish a Network of Positive Leadership comprising key public officials from the Judiciary, the Public Ministry, the Public Defense Institute, and the National Civilian Police, who then modeled and replicated the basic principles of leadership, team work, conflict resolution and active communication in their areas of influence.



TETRA TECH

605 Market St Suite 800
San Francisco, CA 94105 USA

To learn more, visit: <http://www.tetrattech.com/en/documents/institutional-integrity-essential-building-block-of-sustainable-reform>

Learn more at tetrattech.com

