# COMPONENT 1 - CODIFICATION OF ANTI-CORRUPTION INITIATIVES

The Codification of Anti-Corruption Initiatives was aimed at putting together all the initiatives in combating corruption in the country. Under this component, the major activities undertaken included the design of the source book format, gathering and organizing of anti-corruption documents, presentation of outputs (draft source books) during the Validation Workshop, and finalization of the source books.

The codification highlighted the different approaches used in anti-corruption campaign. These are policy initiatives, prevention, promotion, prosecution, performance management, and perception management.

Individual agencies/organizations served as primary sources of information for the codification. However, workshop/seminar/training/conferences with anti-corruption topics were rich sources of anti-corruption initiatives. The donors' list of projects also yielded several projects that contributed to corruption prevention.

To present and validate the draft source books, a **Validation Workshop for the National Anti-Corruption Program of Action Sourcebook** was conducted last December 2, 2005 at the Leonides Virata Hall of the Development Academy of the Philippines in Pasig City.

The workshop aimed to:

1. Create appreciation of the convergence strategy towards a National Anti-Corruption Program of Action;
2. Inventory the anti-corruption strategies and initiatives of the agencies of the government;
3. Systematize, prioritize, and program the specific anti-corruption strategies and initiatives of the agencies of the government;
4. Translate initiatives into projects key strategies and initiatives; and
5. Prepare work plans for inclusion in the agency commitments in the NACPA for the Anti-Corruption Summit

To achieve these objectives the workshop was designed around five major activities: Understanding NACPA, Inventory of Anti-Corruption Strategies and Initiatives, Formulating Strategic Linkage Diagrams, Project Management, and Project Planning. These activities are contained in the workshop program, which can be found in *Annex A.*

Prior to the scheduled workshop, the draft source books were sent to the individual agencies for their review and correction. The agency/organization-designated participants were requested to bring their materials to work on during the workshop. The workshop was also considered as the priming activity for the scheduled Anti –Corruption Convergence Summit.

A total of 54 participants attended and actively participated in the workshop. The participants included representatives from different government agencies, constitutional bodies, the legislative branch, and civil society organizations. Most of the participants were from agencies/offices under the Executive branch.

Public sector participants occupied varied positions ranging from Planning Officer I to Assistant Secretary. There were two Department Chiefs, six Directors, eight Division Chiefs, a State Auditor V, a Management and Audit Analyst IV. Other participants were middle level staff. The participants from the NGOs ranged from project staff to heads of the organization (i.e. Chairperson/ Executive Director).

The directory of participants is shown in *Annex B.*

**Highlights of the Workshop:**

**Opening Program**

The workshop was formally opened after the registration of participants. Ms. Emily Nem Singh led the invocation and the singing of the national anthem. This was followed by the introduction of the participants and the lead facilitator.

**Presentation of the National Anti-Corruption Program of Action (NACPA)**

Dr. Romero introduced the NACPA framework by citing the different initiatives that preceded the conceptualization of the framework. In the presentation of the NACPA Framework, Dr. Romero situated the Integrity Development Action Plan (IDAP) Outputs and the European Commission-Office of the Ombudsman (EC-OMB) Corruption Prevention Project's Solana Type Workshop Outputs in the framework. The framework was familiar to some of the participants. Some participants asked about the Philippine Development Forum (PDF) meetings and the facilitator described its composition and explained the agenda of their meetings. Other questions were solicited and answered.

The framework is composed of six tracks; namely: (1) Agency-level Anti-Corruption Action Program, (2) System-wide Good Governance Program, (3) Inter-Agency and Stakeholder Prioritization and Coordination, (4) Performance Monitoring, Measurement, and Management, (5) Communications Program and Perception Management and (6) Transformative Political Leadership. It also presents the role of PDF in responding to the challenge of good governance and anti-corruption in the short term.

**Gallery Viewing of Agency Anti-Corruption Strategies and Initiatives**

Prior to the workshop, a list of anti-corruption projects of each agency was posted on the wall for gallery viewing.  The list was culled from the draft source book that was sent to the individual agencies for validation.

During the workshop the participants were asked to go over their own anti-corruption programs and to peruse the Anti-Corruption Strategies and Initiatives of other agencies. The exercise proved useful because some participants were not aware of the initiatives of other agencies and were glad to know about these.

The participants were then asked to review the draft source books of their respective agencies, which were sent to them before the validation workshop. The source book contains the name of agency, its mandate, and the list of its anti-corruption project under the different approaches in fighting corruption e.g., prevention, promotion, prosecution, performance management, and policy initiative. The listed project is identified by its title, the work unit and contact number where it is lodged. There is also a description of the project that presents its objective, approach/methodology, and nature of participation of the agency/organization. If there are participating agencies/organizations in the project, these are also identified. The other information provided are expected output/work product, expected outcome/results, duration of the project, the project price, and funding source.

The participants were also provided the workshop outputs from the National Anti-Corruption Conference held last October 26-27, 2004 also known as 10 to 10, which were given out together with the source book. The outputs are lists of priority initiatives and target schedules. These materials were included to help the agencies identify anti-corruption activities they may have done in the past or would like to prioritize in the future.


**Formulation of Strategic Linkage Diagrams**

Dr. Romero discussed the use of a strategic linkage diagram. He said that this could be used together with the Balanced Scorecard. Both are tools for strategy formulation, total performance management, and communication and advocacy.

Then he discussed the following as the framework and elements of an anti-Corruption Strategy:

- The 7Ps: Policy, Prosecution, Prevention, Promotion, Partnerships, Performance Management, and Perception Management
- The 22 Doables classified into Prosecution, Deterrence, Prevention, and Strategic Partnerships

Dr. Romero also said that to imbed the Agency Anti-Corruption Strategies in the larger Agency Strategic Plan for 2006, these should be (1) located in Agency Logical Objectives Framework (Log Frame) and included in the (2) Operations Plan with proper Assignment of Time, Logistics, and Human Resources.

He suggested that the prioritization and sequencing of these initiatives should be as follows:

- Three Must Anti-corruption strategies: Internal Audit Section (IAS), Code of Conduct (COC), Internal Affairs Unit (IAU)
- Three elective strategies to address agency-specific corruption vulnerabilities and risks
- Supporting and synergizing strategies

Then he showed the participants how to draw a strategic linkage diagram by making a background matrix (dimension by sequence) and putting in the three (3) must strategies, three (3) electives and supportive strategies as example.

The presentation materials of Dr. Romero can be found in *Annex C.* The presentation entitled Mapping the Agency Integrity Development and Anti-Corruption Strategy introduces the Balanced Scorecard Performance Framework as a useful tool in anti-corruption work. Then the material discusses strategy mapping or linkage diagram and how it is used as a visual tool in telling the balanced scorecard story. It presents the strategy-mapping model, which is the causal loop diagram. Likewise, the material discusses important Balanced Scorecard terms such as perspectives, objectives, measures, targets, initiatives, and cascading. There are comparisons between leading and lagging measures and leading and lagging indicators. It also identifies the tasks involved in building a strategy map and a sample is provided.

**Workshop 1: Formulation of Individual Agency/Office Strategic Linkage Diagram**

Dr. Romero walked the participants through the process of drawing a strategic linkage diagram for their own agencies.

He said that in order for the participants to prepare their agency/organization's strategic linkage diagram, they should follow the following steps:

Step 1: Participants to group by agency/office. They were given two sheets of Manila paper; meta strips of four colors (pink, light green, light blue, and yellow), five per color, and one each of black, blue, and red pentel pens.

Step 2: Participants to select 3-6 key anti-corruption strategies or initiatives of their agencies over the next 3 years. They could refer to the gallery of agency strategies and initiatives still posted on the walls. They may add new ones, taking some appropriate ideas from the other agencies' presentations.

Step 3: Using pentel pens, the participants should write each initiative (using keywords only) on a colored meta strip as follows:

- Pink for IAS, COC, and IAU
- Light Green for elective agency anti-corruption initiatives (from 22 doables, etc.)
- Light Blue for other supporting systems development or enhancement initiatives that are not necessarily anti-corruption in nature
- Yellow for other initiatives (e.g., values inculcation, leadership    training, etc.)

Step 4: Participants prepare their manila paper, making a 7x3 grid that has the 7Ps (Policy Initiatives, Prevention, Promotion, Prosecution, Partnership, Performance Management, and Perception Management) as row headings, and "Upstream", "Midstream" and "Downstream" as column headings.

Following is the matrix used:

|  | Upstream | Midstream | Downstream |
|---|---|---|---|
| Policy Initiatives |  |  |  |

| Prosecution | | | |
|---|---|---|---|
| Prevention | | | |
| Promotion | | | |
| Partnership | | | |
| Performance Management | | | |

| Perception Management | | | |
|---|---|---|---|

Step 5: Participants classify the strategies and initiatives into the 7Ps and arrange them on Manila paper. They assign the strategies and initiatives into the cells of the grid and temporarily tape them.

Step 6: Participants specify the linkages between the strategies and linkages using pencils to draw arrows, showing how upstream strategies and initiatives lead to or prepare the ground for downstream strategies. One headed arrows, two headed arrows, and joint arrows can be used to indicate relationships.

Step 7: Once the participants are agreed on the strategic linkage diagram, they tape the meta strips more securely and use pentel pen to draw the arrows.

Step 8: Participants put the name of their agency and their individual names on a free corner of the diagram and put it up in the designated gallery space for these diagrams. (Note: these diagrams must be contiguous to those of the other agencies that are assigned to their clusters of three.)

The participants were able to prepare their respective agency's strategic linkage diagram and posted this on the wall for viewing and presentation.

**Gallery Viewing of Strategic Linkage Diagrams**

Once the participants have put up their agency/office strategic linkage diagram, they were given time (10-15 minutes) to view the others' work posted around the walls of the room.

**Agency Cluster Presentation of Agency Strategic Linkage Diagrams**

After the participants have viewed the gallery of strategic diagrams, Dr. Romero asked each agency to present its outputs to the cluster group. The following steps were followed:

Step 1: Agencies are assigned to clusters of three agencies/offices as far as possible related in function.

Step 2: The representatives of each agency take turns in presenting the strategic linkage diagram of their agency to the others. The audience asks clarificatory questions and gives constructive comments on how the diagrams can be improved.

Step 3: The representatives of each agency note down the comments on a sheet of bond paper and attach the comments on their strategic linkage diagram (as a reminder of what modifications need to be made later).

After the gallery viewing and the cluster presentation, the participants were asked which presentations they are most curious about (want to know more), which they think is best formulated (sound strategic linkage of valid component strategies), and which they think needs reformulation or modification (not responsive to perceived corruption vulnerabilities and risks in the agency).

The participants were reluctant to give their assessment of the other agencies' outputs. However, they requested the AFP-DND participants to present their output to the big group. Afterwards, the participants asked more questions about the Philippine Development Reform from which the presentation was based.

Towards the end of the workshop, it was agreed that the individual agency strategic linkage diagrams be cleaned up by DAP then sent to the concerned agencies for finalization. The final output will be submitted to DAP one week before the Stakeholders Summit on December 16, 2006.

**Project Identification**

Dr. Romero gave a short input on Project Management. The objective of the session was to review project management principles and tools. He discussed the tools for project planning, such as a clearly stated goal, a work breakdown structure, a flow chart, a budget, and project management software. He presented a  sample project plan template.

This is the third presentation of Dr. Romero, which can be found in *Annex C.*

**Workshop 2:  Initial Project Planning for a Selected Project**

As a practice for project planning, the participants were asked to prepare a project plan for a selected project based on the previous discussion. The following step- by- step approach was used.

Step 1: Participants are grouped into related agency clusters as earlier defined.   They are reminded of the anticorruption strategies and initiatives on the walls for their reference.

Step 2: Participants agree on a strategy or initiative common to all of them (e.g., IAS, CoC, IAU, or others) that they will work on.

Step 3: Participants prepare a Gantt chart on manila paper for the project. Templates were provided per table.

Illustration of Gantt Chart Template

| Activity | Semester 1 | | | | | | Semester 2 | | | | | | Dependency | Resources |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 1 | 2 | 3 | 4 | 5 | 6 | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

Step 4: Participants post their Gantt charts on their designated display areas.

Step 5: Participants take 10 minutes to view the displays.

The clusters discussed among themselves the anti-corruption projects they are implementing and chose one project to draw up a plan for. Three clusters opted to do the formulation of a customized Code of Conduct for their planning practicum but only two ended up doing it.

**Presentation of Cluster Project Plans**

There were five clusters that worked together to prepare an initial plan for one anti-corruption initiative. Two clusters presented the project plan they have prepared. The projects were: (1) the DND Code of Conduct and (2) Improvement of the System of Blacklisting of Suppliers, Contractors and Consulting Firms (a joint effort of GPPB-TSO, DOST and PAGC.

The outputs of the cluster initial project planning are shown in *Annex D.* These draft outputs of the participants in the Project Planning Workshop are the DND Code of Conduct, System of Blacklisting of Suppliers, Contractors and Consulting Firms, Ethics and Moral Recovery Program, Establishment of DILG IAS, and Agency Code of Conduct (BIR, PS, BOC, and LTO),

**Closing Program**

Dr. Romero gave a recap of the session then discussed the following next steps and assignments:

1. Overview of Agency's Integrity Development and Anti-Corruption (INDAC) Program and Strategy
2. Finalization of the INDAC Strategic Linkage Diagram
3. Completion and Finalization of one Key Project Plan
4. Agency Head's undertaking (Declaration/Memo of Understanding with ACSWAT) to pursue the Agency Integrity Development and Anti-Corruption Program
5. Agency Head's designation of the Agency Integrity and Anti-Corruption Team

The participants agreed to the next steps/assignments. They were informed that they could call on the DAP for technical assistance.

The individual agencies were able to finalize and submit their source books in time for the March 17, 2006 Anti-Corruption Convergence Summit. Please see Annex E for the Finalized Source Books.