

# **A PRACTICAL GUIDE TO INTEGRITY ASSESSMENT**

A Practical Guide to  
Integrity Assessment

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Chapter

# I



## What is Integrity Assessment?

1. Background of Integrity Assessment
2. Necessity and Objectives of Integrity Assessment
3. Characteristics of Integrity Assessment
4. History of Integrity Assessment

## 1. Background of Integrity Assessment

Renowned British physicist Lord Kelvin said “If you cannot measure it, you cannot improve it.” What he meant is that when faced with problems, we cannot successfully deal with them without diagnosing the current status and objectives. Likewise, corruption is one of the social phenomena and problems we have to tackle. In order to carry out anti-corruption policies effectively, we need to make an accurate diagnosis of the areas prone to corruption and the level of seriousness of corruption.

The Integrity Assessment (IA) was developed to encourage public organizations to voluntarily work on improving their integrity, by assessing their integrity levels and corruption-prone areas based on the survey of people who experienced their public service and data on the occurrences of corruption. The Integrity Assessment is designed to compare integrity levels of different public agencies and to analyze their integrity levels and challenges.

There have been a variety of corruption diagnosis systems such as the Corruption Perceptions Index (CPI) released by Transparency International before the IA was introduced. However, most of existing corruption diagnosis systems were carried

out on many “unspecified” individuals, and were based on their perception of corruption, rather than experience of corruption. Even when they share the same experiences, different individuals can have different psychological criteria for the level of corruption. Because of these limitations, many questioned the objectivity of the results of this kind of perception surveys continuously.

Besides, existing systems used broad units of analysis such as defense, taxation and education. Without a further examination of corruption-prone units, it was hard to identify the specific areas, causes, and phenomena of corruption exactly. For this reason, the survey results could not feed into anti-corruption policies sufficiently.

In 1999, the Presidential Special Committee on Anti-Corruption of the Republic of Korea developed the basic framework of the Integrity Assessment to overcome the limits of existing corruption diagnosis systems. After carrying out three rounds of pilot assessment, the Committee finalized the assessment framework. Since 2002, the Korean government has been carrying out the IA on an annual basis.

## 2. Necessity and Objectives of Integrity Assessment

To carry out effective anti-corruption policies and improve national integrity, we need to accurately identify corruption-prone areas and diagnose the levels of corruption first. However, identification of corruption phenomenon alone cannot bring about fundamental and effective countermeasures against corruption, and has limits in nipping corruption-causing factors in the bud. The forms, levels and trends of corruption must be identified in order to reflect the results of diagnosis in anti-corruption policies.

Such an analysis of corruption can be useful in developing effective anti-corruption policies as it helps public organizations to focus their preventive strategy on corruption-prone areas. The objectives of the Integrity Assessment for public organizations are to offer basic data for preventive anti-corruption policies.

The implementation of effective anti-corruption policies based on the Integrity Assessment for public organizations is a necessary step to bring national administration in line with global standards and to increase the level of national transparency to that of advanced countries. An increase in national integrity level can contribute to enhancing national

competitiveness and promoting economic development through positive effects such as increased foreign investment.

The objectives of the IA are as follows:

- Provision of basic data for improving the levels of integrity and enhancing the effectiveness of anti-corruption activities by measuring the levels of integrity in public organizations objectively and scientifically;
- Identification of priority areas and works in public service to increase the integrity levels of individual public organizations by diagnosing Integrity levels in specific service units;
- Creation of an environment where each public organization is motivated to voluntarily carry out anti-corruption activities through the disclosure of Integrity Assessment results to the general public; and
- Creation of a consensus on the need to improve integrity not only in the public sector but also in society as a whole through the promotion of the Integrity Assessment and disclosure of its results.

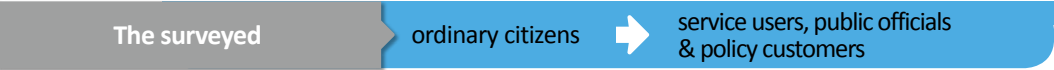
### 3. Characteristics of Integrity Assessment

The Integrity Assessment was developed to overcome the limits of existing corruption diagnosis systems and accurately gauge corruption levels, and to better utilize the results of the diagnosis. To meet these objectives, the Integrity Assessment has the following characteristics.



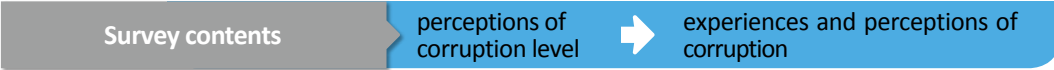
Assessment units are not macro policy areas such as education, national defense, taxation, and legal affairs but public organizations’ works for the people or other public organizations such as permission, approval and budget deliberations. Unlike other corruption diagnosis systems, from the early stage of development the Integrity Assessment was designed to gauge corruption levels in each of the major works conducted by public organizations for the people and other organizations.

The assessment results point out the areas where corruption is most severe in each organization, making it possible for public organizations to focus their efforts on addressing corruption in those areas and improving relevant legal and institutional frameworks. This increases the efficiency in the utilization of limited resources.



The scope of the surveyed is specified as citizens and public officials who experienced works conducted by public organizations, and policy customers. Most of existing corruption diagnosis systems target ordinary people including businessmen, the youth, foreigners and public officials by usually grouping them according to age, nationality and occupation. This grouping of people can be useful in a perception survey of overall society. However, perception surveys have limitations in securing a high level of objectivity in the survey results. The Integrity Assessment was designed to strengthen objectivity in survey results by limiting the subjects to those citizens and public officials who actually experienced the works of the

public organizations concerned as well as stakeholders and experts who have an interest in those organizations.



The Integrity Assessment measures experiences of corruption on top of perceptions. Whereas most of the corruption diagnosis systems were centered on subjective perceptions of corruption levels, the Integrity Assessment was devised to increase objectivity in survey results by measuring experience of corruption such as the frequency and amount of gratuities and entertainment offered.

## 4. History of Integrity Assessment

In 1999, the Presidential Special Committee on Anti-Corruption was founded to improve irrational systems that cause corruption and to provide advice to the President on anti-corruption issues. In the same year, the Committee developed a new Integrity Assessment system that can overcome the limits of existing corruption diagnosis systems.

The model developed back then was External Integrity Assessment that surveys citizens and public officials who experienced services provided by public organizations. The model was composed of “experienced corruption” measuring the actual occurrences of corruption and “potential corruption” gauging the possibility of corruption. The External Integrity Assessment model was used until 2008 when the IA model was improved.

The initial assessment model developed in 1999 went through three rounds of pilot tests to verify its relevance from 2000 to 2001. It was since 2002 that the Integrity Assessment for public organizations in Korea has been conducted on an annual basis. The assessment model has since been improved in a sophisticated manner to better reflect the patterns of actual corruption cases.

The initial model measured only “External Integrity” based on a survey of citizens and public officials who experienced the works of public organizations as external customers. As this model did not cover corrupt practices related to internal affairs of public organizations, an assessment of “Internal Integrity” was introduced in 2007. “Internal Integrity” was evaluated by having the integrity levels of internal affairs such as personnel affairs and budget execution measured by public organization employees, who are internal customers of public organizations.

In 2008, the assessment model was further improved by reflecting changes in the social and political environment and people’s expectations. The new model is more suitable for a new policy environment since it assesses not only the levels of corruption but also transparency of public organizations and accountability of public officials; expands the concept of corruption from gratuities and entertainment to convenience; and produces Comprehensive Integrity by combining External and Internal Integrity.

In 2009, the questionnaire for the Internal Integrity survey was re-designed to en-

hance the convenience of respondents by deleting repeated questions, and the weights of questions were adjusted. Also, some questions were simplified in order to facilitate understanding by respondents.

In 2010, a standardized calculation method was adopted to prevent the scores of Experience of Corruption from creating too wide a gap between the integrity levels of public organizations. In addition, the weights for External and Internal Integrity combined into Comprehensive Integrity were adjusted to improve the validity and reliability of the Integrity Assessment.

In 2011, the Corrupt Public Official Disciplinary Index was added to the assessment model to reflect the statistics on corruption cases that occurred at target organizations in the assessment result. The previous assessment model had only reflected survey results. The Corrupt Public Official Disciplinary Index is designed to get a score with the formula reflecting the position and grade of the corrupt officials who were disciplined and the amount of illegally received money, and then to subtract the score from the Comprehensive Integrity score.

In addition, in order to enhance fairness and credibility of the assessment, a question was added to the questionnaire in order to subtract scores in proportion to the number of respondents who said that they were

encouraged or requested to give positive answers to the survey questions.

In 2012, the Policy Customer Evaluation was introduced to assess overall operation of the target organizations including policy decision-making process. In general, policy customers include experts and stakeholders who have an interest in the public organizations concerned, including local residents for local governments and school parents for offices of education.

Furthermore, the Corruption Case Index was introduced to reflect corruption cases involving the employees of public service-related organizations and political appointees of government agencies that cannot be covered by the Corrupt Public Official Disciplinary Index. The Corruption Case Index is produced by gathering media reports, press releases from the prosecution service, and the results of audits conducted by the Board of Audit and Inspection related with corruption cases involving target organizations; verifying facts and arguments related with the cases; calculating the score through expert evaluation; and subtracting the given score from the total integrity score.

In 2012, the components of the Transparency Index and the Accountability Index of External Integrity were simplified and integrated into the Corruption Risk Index.

Also, newly-defined types of corruption such as “abuse of power,” “handling duties based on nepotism,” and “unfair seeking of personal gains” along with indirect experience of corruption were added to the Corruption Index. Indirect experience of corruption was included to address the tendency among respondents to be reluctant to frankly answer the questions about direct experience of corruption, and also to measure the prevalence of the practice of offering valuables and gratuities to public officials in relation to certain duties.

In 2016, with the Improper Solicitation and Graft Act taking effect on September 28, “improper solicitation” was added to the survey questionnaire and included in the components of Occurrences of Corruption.

The number of target organizations and respondents has been consistently increasing since 2002. In 2002, 348 lines of work of 71 organizations were assessed with 30,639 respondents, and the figures amounted to 2,295 lines of work of 573 organizations with 235,600 respondents in 2017.

[Table 1-1] Progress in the administration of Integrity Assessment

Year	Progress
1999	<ul style="list-style-type: none"><li>• Development of Integrity Assessment model by commissioning outside experts</li></ul>
2000-2001	<ul style="list-style-type: none"><li>• Three rounds of pilot tests on 30 organizations with 10,240 respondents</li></ul>
2002	<ul style="list-style-type: none"><li>• 71 organizations, 348 works, 30,639 respondents surveyed<ul style="list-style-type: none"><li>- Telephone interview: 1st survey from July 2 to August 17; 2nd survey from September 25 to November 23</li><li>- Notification of results to organizations concerned: April 8, 2003</li></ul></li></ul>
2003	<ul style="list-style-type: none"><li>• 77 organizations, 394 works, 36,458 respondents surveyed<ul style="list-style-type: none"><li>- Telephone interview from September 22 to December 29</li><li>- Release of results: January 19, 2004</li></ul></li><li>* A pilot assessment was conducted for 232 local government organizations. The integrity assessment for all local government organizations started from 2004.</li></ul>
2004	<ul style="list-style-type: none"><li>• 313 organizations, 1,324 works, 75,317 respondents surveyed<ul style="list-style-type: none"><li>- Telephone interview from September 4 to November 30</li><li>- Release of results: January 4, 2005</li></ul></li></ul>
2005	<ul style="list-style-type: none"><li>• 325 organizations, 1,330 works, 86,892 respondents surveyed<ul style="list-style-type: none"><li>- Telephone interview from August 25 to October 27</li><li>- Release of results: December 9, 2005</li></ul></li></ul>

Year	Progress
2006	<ul style="list-style-type: none"><li>• 304 organizations, 1,369 works, 89,941 respondents surveyed<ul style="list-style-type: none"><li>- Telephone interview from August 28 to November 3</li><li>- Release of results: December 18, 2006</li></ul></li><li>• Pilot assessment of Internal Integrity<ul style="list-style-type: none"><li>- 93 organizations and 3 areas (personnel management, budget execution and improper orders given by superiors)</li></ul></li></ul>
2007	<ul style="list-style-type: none"><li>• External Integrity: 333 organizations, 1,347 works, 90,272 respondents<ul style="list-style-type: none"><li>- Telephone interview from October 1 to November 29</li></ul></li><li>• Internal Integrity: 138 organizations, 3 areas (integrity capacity, personnel affairs, budget execution), 13,160 respondents<ul style="list-style-type: none"><li>- Online survey from November 15 to December 15</li></ul></li><li>• Release of results: January 16, 2008</li></ul>
2008	<ul style="list-style-type: none"><li>• Improvement of Integrity Assessment model in August 2008</li><li>• External Integrity: 377 organizations, 1,329 works, 90,036 respondents<ul style="list-style-type: none"><li>- Telephone interview from September 25 to November 21</li></ul></li><li>• Internal Integrity: 171 organizations, 13,502 respondents<ul style="list-style-type: none"><li>- Online survey from October 17 to November 22</li></ul></li><li>• Release of results: December 18, 2008</li></ul>
2009	<ul style="list-style-type: none"><li>• External Integrity: 474 organizations, 1,573 works, 105,517 respondents<ul style="list-style-type: none"><li>- Telephone interview from September 1 to November 15</li></ul></li><li>• Internal Integrity: 164 organizations, 13,840 respondents<ul style="list-style-type: none"><li>- Online survey from September 1 to November 15</li></ul></li><li>• Release of results: December 19, 2009</li></ul>
2010	<ul style="list-style-type: none"><li>• External Integrity: 707 organizations, 2,395 works, 150,454 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 31 to November 23</li></ul></li><li>• Internal Integrity: 710 organizations, 76,401 respondents<ul style="list-style-type: none"><li>- Online survey from August 31 to November 23</li></ul></li><li>• Release of results: December 9, 2010</li></ul>
2011	<ul style="list-style-type: none"><li>• External Integrity: 684 organizations, 2,638 works, 145,155 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 11 to November 11</li></ul></li><li>• Internal Integrity: 684 organizations, 66,452 respondents<ul style="list-style-type: none"><li>- Online survey from August 11 to November 11</li></ul></li><li>• Policy Customer Evaluation: 53 organizations, 7,517 respondents</li><li>• Release of results: October 12, 2011, December 13, 2011</li></ul>
2012	<ul style="list-style-type: none"><li>• External Integrity: 662 organizations, 2,532 works, 164,538 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 662 organizations, 72,461 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 91 organizations, 15,491 respondents</li><li>• Release of results: November 26, 2012</li><li>* A separate assessment was conducted for 35 national/public universities based on a different assessment model.</li></ul>

Year	Progress
2013	<ul style="list-style-type: none"><li>• External Integrity: 653 organizations, 2,628 works, 165,191 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 653 organizations, 56,284 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 103 organizations, 18,507 respondents</li><li>• Release of results: December 19, 2013</li></ul> <p>* Separate assessments were conducted for 47 local councils and 46 public medical institutions based on different assessment models.</p>
2014	<ul style="list-style-type: none"><li>• External Integrity: 640 organizations, 2,798 works, 176,081 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 640 organizations, 56,701 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 121 organizations, 21,037 respondents</li><li>• Release of results: December 3, 2014</li></ul> <p>* Separate assessments were conducted for 36 national/public universities and 45 public medical institutions based on different assessment models.</p>
2015	<ul style="list-style-type: none"><li>• External Integrity: 617 organizations, 2,514 works, 166,873 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 617 organizations, 56,988 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 125 organizations, 21,237 respondents</li><li>• Release of results: December 9, 2015</li></ul> <p>* Separate assessments were conducted for 62 local councils, 36 national/public universities, and 45 public medical institutions based on different assessment models.</p>
2016	<ul style="list-style-type: none"><li>• External Integrity: 606 organizations, 2,441 works, 156, 738 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 606 organizations, 54,808 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 124 organizations, 20,855 respondents</li><li>• Release of results: December 7, 2016</li></ul> <p>* Separate assessments were conducted for 46 local councils, 36 national/public universities, and 45 public medical institutions based on different assessment models.</p>
2017	<ul style="list-style-type: none"><li>• External Integrity: 537 organizations, 2,295 works, 152,000 respondents<ul style="list-style-type: none"><li>- Telephone interview from August 1 to November 15</li></ul></li><li>• Internal Integrity: 537 organizations, 63,200 respondents<ul style="list-style-type: none"><li>- Online survey from August 1 to November 15</li></ul></li><li>• Policy Customer Evaluation: 132 organizations, 20,400 respondents</li><li>• Release of results: December 6, 2017</li></ul> <p>* Separate assessments were conducted for 47 local councils, 36 national/public universities, and 46 public medical institutions based on different assessment models.</p>

Chapter

II



What are the Criteria for Integrity Assessment?

1. Concept of Integrity
  2. Components of Integrity Assessment
  3. External Integrity Assessment
  4. Internal Integrity Assessment
5. Policy Customer Evaluation
  6. Occurrences of Corruption
  7. Acts Lowering Assessment Reliability



# 1. Concept of Integrity

“Integrity” is an abstract concept and can be defined differently by different people. “Integrity” of public organizations in the Integrity Assessment is defined from the perspective of public service users. The

level of “integrity” is defined as “the degree to which a public official carries out his/her duties transparently and fairly without committing an act of corruption.”

**Definition of “act of corruption”**  
(Article 2 of the Act on Anti-Corruption and the Establishment and Operation of the Anti-Corruption and Civil Rights Commission)

The "act of corruption" means any act falling under any of the following items:

- ① The act of any public official’s abusing his/her position or authority or violating Acts and subordinate statutes in connection with his/her duties to seek gains for himself/herself or any third party;
- ② The act of inflicting damage on the property of any public institution in violation of Acts and subordinate statutes, in the process of executing the budget of the relevant public institution, acquiring, managing, or disposing of the property of the relevant public institution, or entering into and executing a contract to which the relevant public institution is a party; and
- ③ The act of coercing, urging, proposing and inducing any act referred to in items ① and ②.

# 2. Components of Integrity Assessment

The Comprehensive Integrity Index is calculated by reflecting the scores of External Integrity, Internal Integrity, Policy Customer Evaluation, Occurrences of Corruption, and acts undermining the credibility of the assessments. It is a composite indicator of the level of integrity and occurrences of corruption in the public sector that are evaluated from the perspective of citizens, employees of public organizations, and policy customers.

As of 2017, the Integrity Assessment is divided into the assessments of External Integrity, Internal Integrity, Policy Customer Evaluation, and Occurrences of Corruption.

The assessment of External Integrity, which is carried out on the people who used public service for citizens and organizations, diagnoses the level of integrity based on the experience and perception from the perspective of public service users.

The assessment of Internal Integrity, which is carried out on the employees, or internal customers of the public organizations concerned, gauges the level of integrity in internal affairs such as personnel management and budget execution.

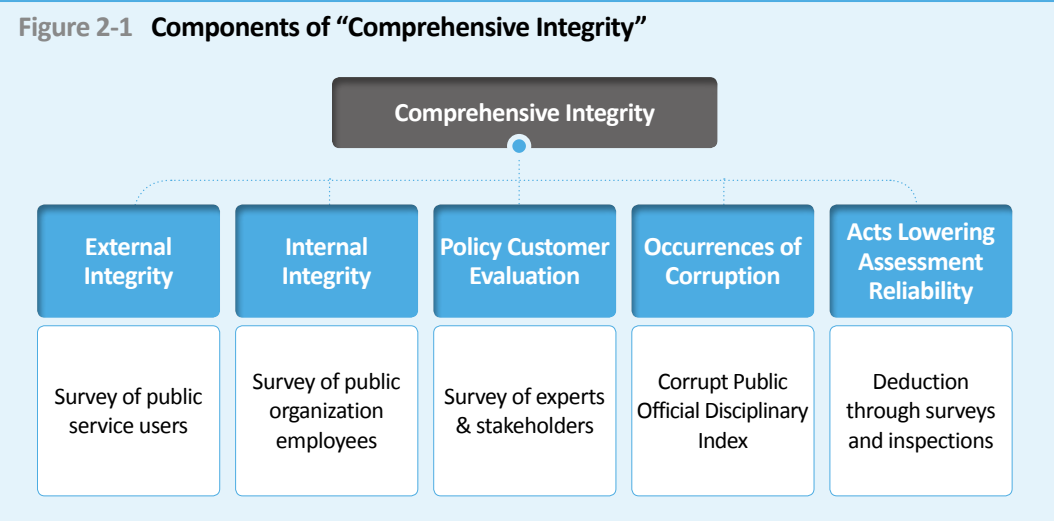
For Policy Customer Evaluation, policy customers including experts, duty-related parties, local residents, and school parents evaluate the integrity level of the overall operation and policy decision-making process of the target organization.

And for Occurrences of Corruption, scores are given in relation to corruption cases that occurred at the target organization.

Meanwhile, acts which can undermine the reliability and fairness of the assessment including manipulation of the survey sample and the list of respondents lead to deduction of scores from the total score.

A separate assessment model is applied to organizations with distinctive characteristics in terms of its operation and functions such as public universities, local councils, and public medical institutions. The overall assessment framework is the same as general public organizations.

Figure 2-1 Components of “Comprehensive Integrity”



Definition and components of External Integrity

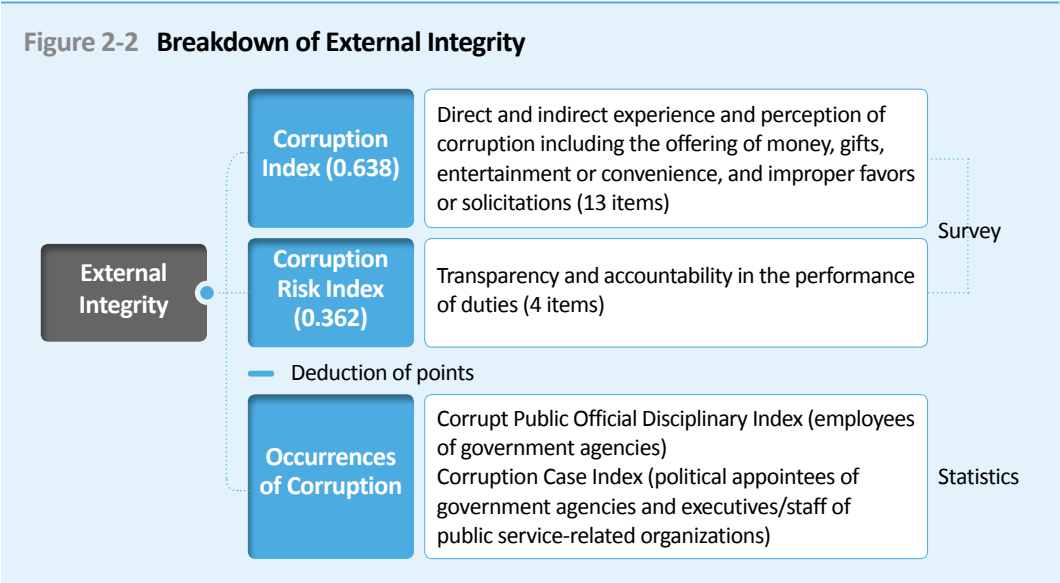
External Integrity is defined from the perspective of service users. Administrative service users evaluate External Integrity, which refers to the degree to which public officials carry out their duties transparently and responsibly without committing acts of corruption, such as the acceptance of gratuities or entertainment, in the course of providing administrative services to citizens or other public organizations.

External Integrity is divided into the Corruption Index and the Corruption Risk Index. The External Integrity Index is calculated by adding the scores of Corruption Index and Corruption Risk Index, and deducting the score for Occurrences of Corruption that were detected by an external investigation.

The Corruption Index means the level of corruption such as receipt of money, entertainment or convenience, and provision of advantages or benefits experienced or perceived by citizens and public officials. The Corruption Risk Index is the level of possibility or risk of corruption perceived by citizens and public officials in terms of openness of work procedures, acceptability of standard work procedures, and accountability.

Starting from 2014, the score for Occurrences of Corruption that were detected by an external investigation is deducted from the score of External Integrity to increase the validity of the assessment results.

Figure 2-2 Breakdown of External Integrity



Definition and components of Internal Integrity

Internal Integrity is defined as the level of integrity of public organizations evaluated by their employees as internal customers. It is composed of the Integrity Culture Index and the Work Integrity Index. The Internal Integrity Index is calculated by adding the scores of the Integrity Culture Index and the Work Integrity Index, and deducting the score for Occurrences of Corruption that were detected by an internal audit.

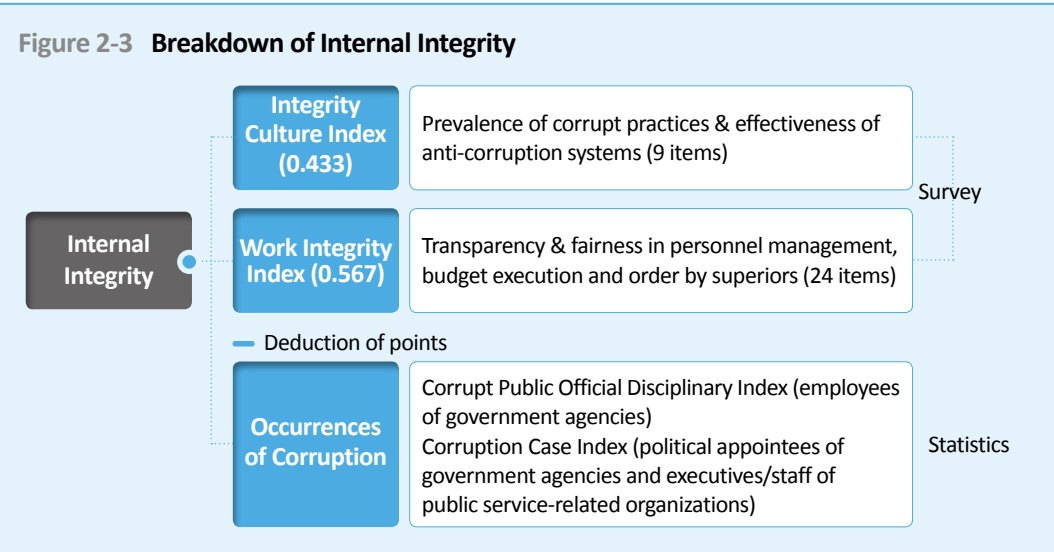
The Integrity Culture Index shows the level of prevalence of corrupt practices and tolerance for corruption, and effectiveness of anti-corruption measures. It examines the existence or effectiveness of internal anti-corruption mechanisms and systems such as whistle-blowing programs, and employees’

perception toward culture and behaviors related to corruption.

The Work Integrity Index means how transparently and fairly public officials deal with internal affairs such as personnel management, budget execution and superiors' order without pursuing personal gains of themselves or third parties.

In other words, Internal Integrity measures employees' experience and perception about corruption involving major internal works such as the offer of gratuities or entertainment in relation to personnel management, improper execution of budget, or unfair orders given by superiors.

Starting from 2014, the score for Occurrences of Corruption that were detected by an internal audit is deducted from the score of Internal Integrity to increase the validity of the assessment results.



Definition and components of Policy Customer Evaluation

Policy Customer Evaluation is defined as "assessment of integrity level of policies and overall operation at the organizational level from the perspective of policy customers such as experts, duty-related parties, local residents and school parents." It consists of the Perception of Corruption Index, the Control of Corruption Index and the Experience of Corruption Index.

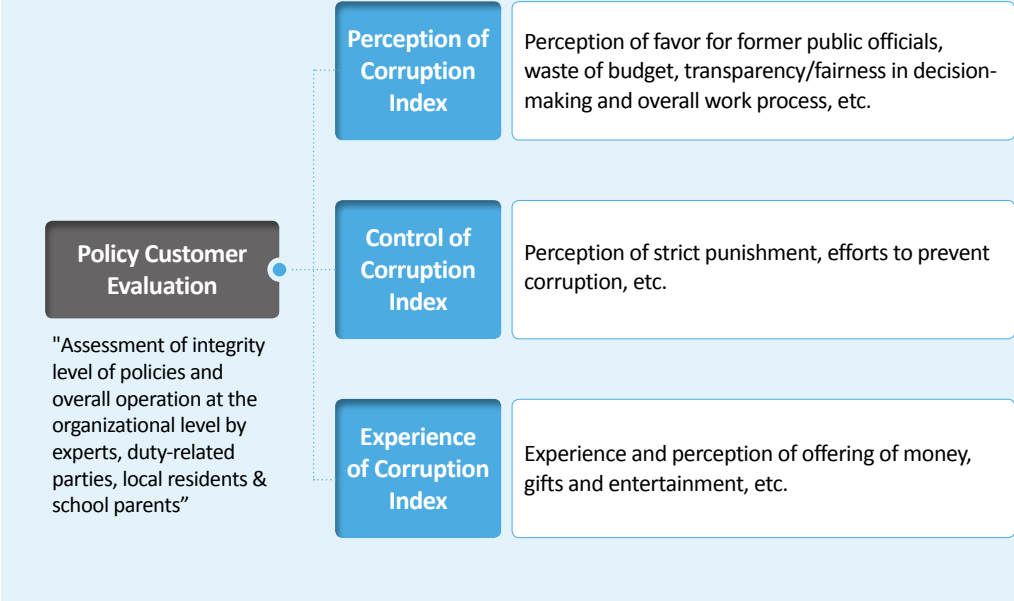
The Perception of Corruption Index is the level of perception about the receipt of money, entertainment and convenience,

and waste of budget as well as the level of transparency of policy decision-making process and work procedures.

The Control of Corruption Index indicates establishment and operation of effective anti-corruption mechanism and measures such as strict punishment and corruption prevention efforts.

The Experience of Corruption Index shows direct/indirect experience of offering money, entertainment or convenience.

Figure 2-4 Breakdown of Policy Customer Evaluation



Definition and components of Occurrences of Corruption

"Occurrences of Corruption" is defined as "actual occurrence of corruption cases." It consists of the Corrupt Public Official Disciplinary Index and the Corruption Case Index.

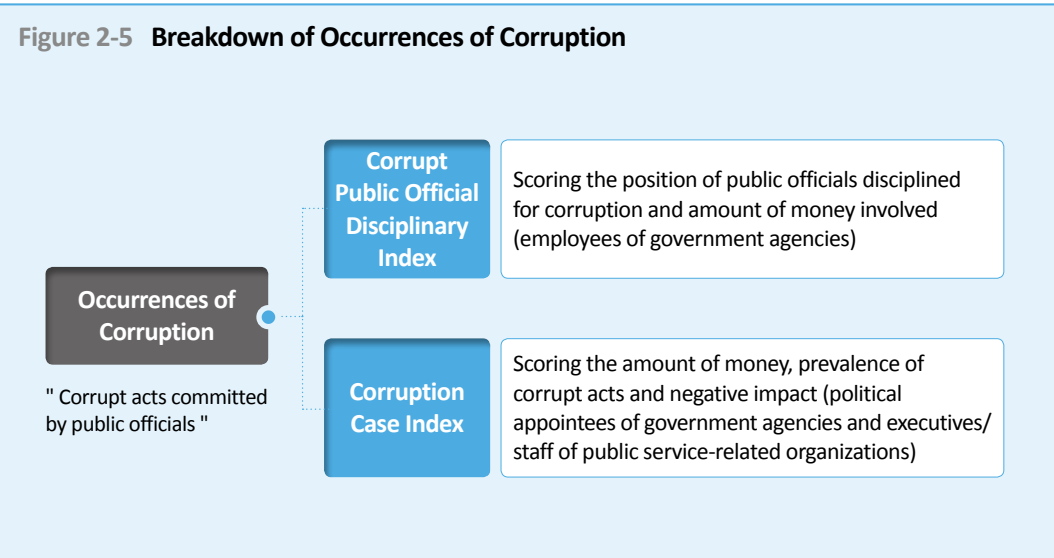
The Corrupt Public Official Disciplinary Index is calculated based on the data on public officials disciplined for corrupt acts by evaluating the position of corrupt officials and amount of money involved.

The Corruption Case Index is calculated based on the corruption cases disclosed

through audit results and media reports by evaluating the amount of money related with corruption, level of prevalence or systematization of corrupt acts, negative impact of the case, etc.

The score of Occurrences of Corruption deducted from the Comprehensive Integrity score equals the occurrences of corruption detected by both external investigations and internal audits.

Figure 2-5 Breakdown of Occurrences of Corruption



Definition and components of Acts Lowering Assessment Reliability

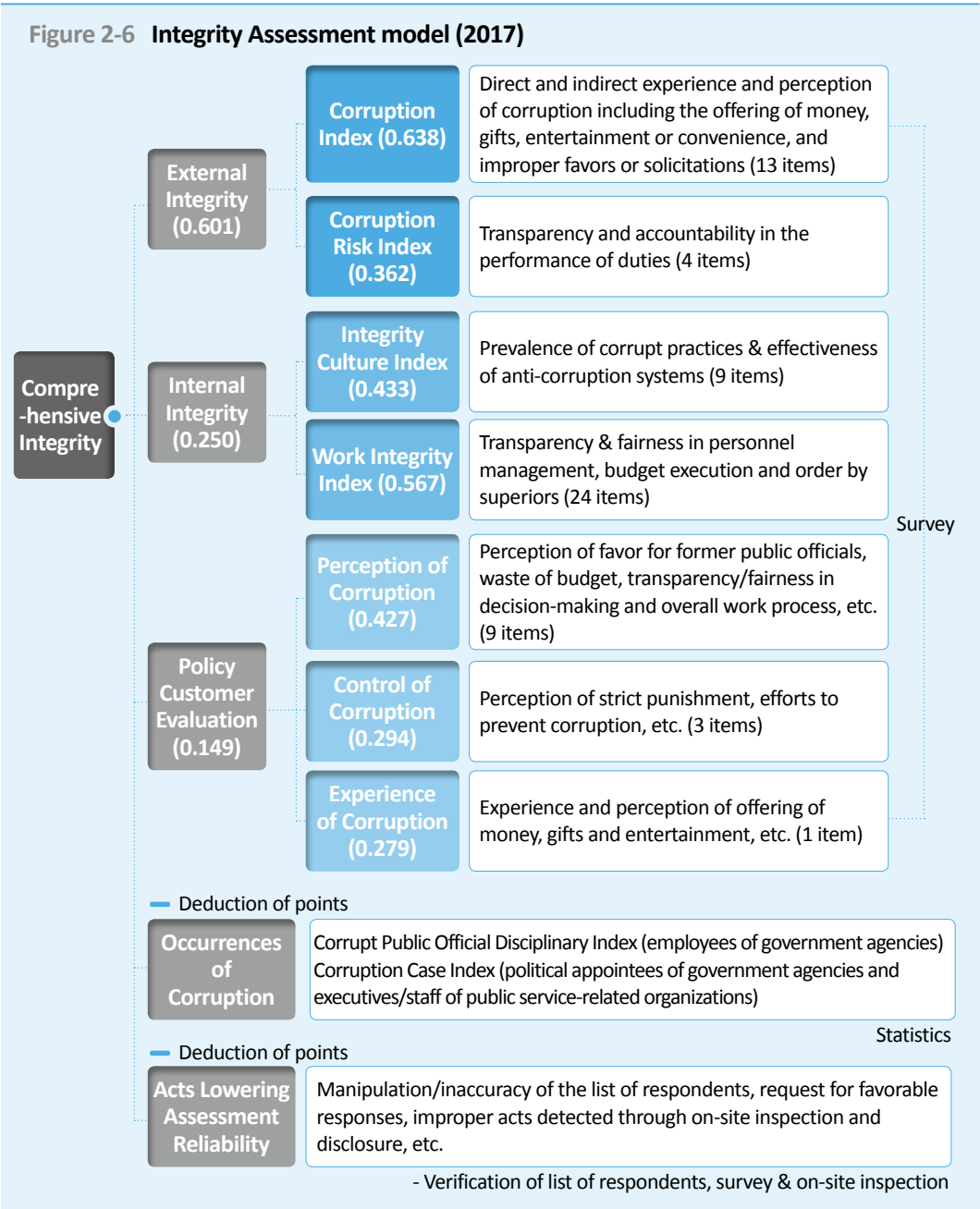
“Acts lowering assessment reliability” refers to improper acts conducted by a public organization subject to the Integrity Assessment for the purpose of affecting the assessment results. Such acts can be detected through surveys and inspections, and will result in having scores deducted from Comprehensive Integrity.

Survey questionnaires include a question aimed at identifying the public organizations which requested respondents to give favorable answers in the Integrity Survey.

On-site inspections are conducted to detect any acts to manage the survey sample such as prior contacts with prospective respondents or violation of the criteria for conducting the Integrity Assessment autonomously.

Also, an examination of the list of respondents can reveal any random changes in contact information of respondents or listing of unqualified persons as respondents.

Figure 2-6 Integrity Assessment model (2017)



\* “External Integrity” and “Internal Integrity” in the Integrity Assessment Model indicate the results of each survey.

\* In the case of municipal governments and public service-related organizations that are not subject to Policy Customer Evaluation, the weighted values of “External Integrity” and “Internal Integrity” are 0.735 and 0.265, and 0.763 and 0.237 respectively; in the case of public organizations type I and II, the weighted values of “External Integrity”, “Internal Integrity” and “Policy Customer Evaluation” are 0.622, 0.224, and 0.154 respectively.

### 3. External Integrity Assessment

The assessment of External Integrity is not carried out on all works of public organizations. It concerns representative works which public organizations conduct for citizens and other organizations, works about which public officials in a superior position can make a decision which may benefit themselves or other parties, as well as corruption-prone works such as contracting.

This is intended to make an accurate diagnosis of corruption-prone areas, and based on the diagnosis, to obtain data useful for improving legal and institutional frameworks and setting up preventive anti-corruption strategies. In this regard, the selection of target works for External Integrity is very important.

How much weight is each target work given in External Integrity? Generally, there are two methods: the first method is to determine the weight in proportion to the size of the population, i.e. to give more weight to the works that have a larger population, while the second method is to give the same weight to all works regardless of population sizes. Normally, weight is given according to the population size in a poll.

However, in the Integrity Assessment, each work is given the same weight in assessing External Integrity. The reason is that even the works with a small number of population may involve corruption due to collusive ties between public officials and public service users, and it is hard to say that there is a direct correlation between the possibility of corruption and the proportion of a population. Calculation of the External Integrity score could be more accurate if weights vary according to the possibility of corruption for each work. However, in reality there is no way to determine the possibility of corruption of each work in advance. Therefore, the same weight is given to each work.

Factors of External Integrity:  
Corruption Index & Corruption Risk Index

External Integrity assesses acts of corruption (Corruption Index) and corruption risks related to transparency and accountability (Corruption Risk Index).

The Corruption Index assesses violations of integrity-related legal duties such as the acceptance of money, gift, entertainment, or convenience, the offering of favors,

and performance of duties according to improper solicitations or personal connections.

The Corruption Risk Index assesses transparency and accountability of public service. The index evaluates the openness and availability of standard procedures for handling duties, efforts to complete duties, and abuse of power.

The External Integrity score is calculated by deducting the score for occurrences of “external corruption” from the weighted sum of the Corruption Index and the Corruption Risk Index. Corruption which involves external parties such as an act of receiving money, gifts, or entertainment from external duty-related parties, or leaking office secrets is classified as “external corruption” and translated into the External Integrity score.

[Table 2-1] Weighted components of External Integrity

Areas		Items of measurement	Scoring methodology
Corruption Index (0.638)	Perception of Corruption (0.351)	Favor for a small number of people (0.258)	Individual respondent scoring
		Impact of personal connection and relationship on performance of duty (0.256)	Individual respondent scoring
		Improper influence peddling (0.266)	Individual respondent scoring
		Impact of improper solicitation on performance of duty (0.220)	Individual respondent scoring
	Direct Experience of Corruption (0.511)	Frequency of offering money or gifts (0.198)	Aggregate organization scoring
		Value of money or gifts offered (0.188)	Aggregate organization scoring
		Rate of offering money or gifts (0.085)	Aggregate organization scoring
		Frequency of offering entertainment (0.154)	Aggregate organization scoring
		Value of entertainment offered (0.144)	Aggregate organization scoring
		Rate of offering entertainment (0.069)	Aggregate organization scoring
		Frequency of offering convenience (0.103)	Aggregate organization scoring
		Rate of offering convenience (0.059)	Aggregate organization scoring
	Indirect Experience of Corruption (0.138)	Indirect experience of providing money, valuables, entertainment or convenience (1.000)	Aggregate organization scoring
Corruption Risk Index (0.362)	Transparency (0.552)	Openness of work standards and procedures (0.555)	Individual respondent scoring
		Acceptability of work standards and procedures (0.445)	Individual respondent scoring
	Accountability (0.448)	Efforts to complete duties (0.502)	Individual respondent scoring
		Abuse of power (0.498)	Individual respondent scoring

\* Weights in parentheses used in 2017

4. Internal Integrity Assessment

Corruption inside the public sector can be individual wrongdoing, but on many occasions it is structural corruption caused by organizational and cultural factors. Since structural corruption occurring over the course of handling internal matters is attributed to organizational, institutional and cultural factors, it is hard to detect and members of the organization tend not to recognize it as an act of corruption.

To deal with such internal, structural corruption caused by weaknesses in institutions and culture, continuous efforts are needed to diagnose and remedy problems in institutions and culture. The assessment of Internal Integrity embraces institutional and cultural aspects so as to approach structural problems.

Factors of Internal Integrity:  
Integrity Culture Index & Work Integrity Index

Internal Integrity is composed of two factors: Integrity Culture Index and Work Integrity Index. The Integrity Culture Index measures cultural characteristics within an organization and the status of

corruption control system, and their general relevance to corruption. The Work Integrity Index gauges the level of corruption in corruption-prone internal works in a public organization. The Integrity Culture Index consists of items on organizational culture and corruption control system to make a multi-dimensional diagnosis on corruption-causing factors and environment within an organization. The Work Integrity Index is produced by measuring corruption experience and perceptions related to personnel management, budget execution and superiors' order that may involve corruption in the performance of duties.

The Internal Integrity score is calculated by deducting the score for occurrences of “internal corruption” from the weighted sum of the Integrity Culture Index and the Work Integrity Index. Corruption which occurs internally such as an act of offering money, gifts, or entertainment in regard to personnel management within an organization or an employee’s embezzlement of public funds is classified as “internal corruption” and translated into the Internal Integrity score.



[Table 2-2] Weighted components of Internal Integrity

Areas		Items of measurement		Scoring methodology
Integrity Culture Index (0.433)	Organizational Culture (0.631)	Transparency in work process (0.178)		Individual respondent scoring
		Impact of improper solicitation on performance of duty (0.151)		Individual respondent scoring
		Impact of personal connection and relationship on performance of duty (0.159)		Individual respondent scoring
		Improper influence peddling (0.169)		Individual respondent scoring
		Private use and disclosure of duty-related information (0.148)		Individual respondent scoring
		Prevalence of corrupt practices (0.195)		Individual respondent scoring
	Anti-corruption System (0.369)	Effectiveness of protection for corruption reporters (0.322)		Individual respondent scoring
		Strictness of criteria for disciplinary action or level of punishment (0.381)		Individual respondent scoring
		Efficiency of internal corruption control system (0.297)		Individual respondent scoring
Work Integrity Index (0.567)	Personnel Management (0.413)	Direct Experience (0.515)	Frequency of offering money or gifts (0.239)	Aggregate organization scoring
			Value of money or gifts offered (0.222)	Aggregate organization scoring
			Rate of offering money or gifts (0.097)	Aggregate organization scoring
			Frequency of offering entertainment or convenience (0.188)	Aggregate organization scoring
			Value of entertainment or convenience offered (0.172)	Aggregate organization scoring
			Rate of offering entertainment or convenience (0.082)	Aggregate organization scoring
		Indirect Experience (0.173)	Indirect experience of providing money, valuables, entertainment or convenience (1.000)	Aggregate organization scoring
		Perception (0.312)	Offering of money, valuables, entertainment, and convenience (0.500)	Individual respondent scoring
			Impact of offering of money, valuables, entertainment or convenience (0.500)	Individual respondent scoring

Areas		Items of measurement		Scoring methodology
Work Integrity Index (0.567)	Execution of Budget (0.347)	Experience (0.606)	Frequency of illegal or improper spending of business promotion expenses (0.148)	Aggregate organization scoring
			Amount of illegal or improper spending of business promotion expenses (0.129)	Aggregate organization scoring
			Rate of illegal or improper spending of business promotion expenses (0.067)	Aggregate organization scoring
			Frequency of illegal or improper spending of operating/travel costs (0.130)	Aggregate organization scoring
			Amount of illegal or improper spending of operating/travel costs (0.114)	Aggregate organization scoring
			Rate of illegal or improper spending of operating /travel costs (0.066)	Aggregate organization scoring
			Frequency of illegal or improper spending of project costs (0.151)	Aggregate organization scoring
			Amount of illegal or improper spending of project costs (0.134)	Aggregate organization scoring
			Rate of illegal or improper spending of project costs (0.066)	Aggregate organization scoring
		Perception (0.394)	Illegal or improper execution of budget (1.000)	Individual respondent scoring
	Fairness in orders given by superiors (0.240)	Experience (0.600)	Frequency of improper orders given by superiors (0.718)	Aggregate organization scoring
			Experience of improper orders given by superiors (0.282)	Aggregate organization scoring
		Perception (0.400)	Sparing oneself and avoiding responsibilities (0.235)	Individual respondent scoring
			Improper orders given by superiors (0.413)	Individual respondent scoring
			Disadvantage in disobeying orders (0.352)	Individual respondent scoring

\* Weights in parentheses used in 2017

5. Policy Customer Evaluation

Surveys of citizens and public officials who experienced the works of public organizations, and employees of public organizations alone cannot assess the works that do not involve external parties or policy decision-making process. Policy Customer Evaluation has been introduced to assess not only works for citizens or other public organizations but also overall works and policy decision-making process of public organizations by expanding the scope of respondents to experts, stakeholders, local residents, school parents, etc. Policy Customer Evaluation consists of components that can assess the overall integrity levels of public organizations from the perspective of outsiders.

**Factors of Policy Customer Evaluation:**  
Perception of Corruption, Control of Corruption & Experience of Corruption

Policy Customer Evaluation comprises three factors: a) perception of corruption which covers various types of corruption such as waste of budget, unjust influence peddling by retired public officials, and disclosure or personal use of office secrets; b) corruption control which evaluates willingness to eradicate corruption within an organization along with system to prevent corruption; and c) direct and indirect experience of corruption.

[Table 2-3] Weighted components of Policy Customer Evaluation

Areas	Items of measurement	Scoring methodology
Perception of Corruption (0.427)	Waste of budget (0.128)	Individual respondent scoring
	Improper influence peddling (0.123)	Individual respondent scoring
	Impact of improper solicitation on performance of duty (0.109)	Individual respondent scoring
	Favor for a small number of people (0.114)	Individual respondent scoring
	Impact of personal connection and relationship on performance of duty (0.118)	Individual respondent scoring
	Disclosure of policies and information (0.111)	Individual respondent scoring
	Abuse of power (0.102)	Individual respondent scoring
	Illegal influence peddling by retired public officials (0.099)	Individual respondent scoring
Control of Corruption (0.294)	Private use and disclosure of duty-related information (0.096)	Individual respondent scoring
	Strictness of criteria for disciplinary action or level of punishment (0.374)	Individual respondent scoring
	Effectiveness of protection for corruption reporters (0.306)	Individual respondent scoring
Experience of Corruption (0.279)	Efforts to prevent corruption and enhance integrity (0.320)	Individual respondent scoring
	Direct/indirect experience of offering money, valuables, entertainment or convenience (1.000)	Aggregate organization scoring

\* Weights in parentheses used in 2017



## 6. Occurrences of Corruption

There are limitations in the survey-based integrity assessment because the assessment result can be inconsistent with the actual statistics of corruption cases.

For External Integrity, the survey is conducted on public service users by selecting target works, which are closely related with main tasks and functions of the target organization as well as with the services directly provided to citizens. However, there have been some cases where there is discrepancy between an organization's integrity level and the actual occurrence of corruption cases. For example, corruption cases happened in the work areas which are not subject to the Integrity Assessment while the integrity level of the organization is high.

Another problem is that the survey has limitations in identifying any collusion between public officials and respondents.

Therefore, a gap can be found between the result of the Integrity Assessment based on surveys and the public perception of an organization's integrity level. To narrow the gap, statistics of corruption, which can be regarded as an objective indicator, are reflected in the Integrity Assessment result.

“Occurrences of Corruption” consists of two components: Corrupt Public Official Disciplinary Index and Corruption Case Index. The Corrupt Public Official Disciplinary Index is derived from statistics on public officials who were disciplined for corruption, while the Corruption Case Index is based on corruption cases which were disclosed by media coverage or other sources.

The acts of public officials disciplined for corruption in central and local administrative agencies, offices of education, and state or public universities are subject to the Corrupt Public Official Disciplinary Index.

As for the Corrupt Public Official Disciplinary Index, scores are given based on the statistics on disciplinary action or internal punishment imposed on employees for corrupt acts under the ACRC Act. Disciplinary action or internal punishment includes compulsory retirement and all forms of disciplinary actions (reprimand, reduction of salary, dismissal, demotion, and suspension from office) stated in the State Public Officials Act.

The score for the Corrupt Public Official Disciplinary Index will be calculated if the final decision for disciplinary action is made during the assessment period. In the case of

major corruption cases, however, the score will be deducted if an official is prosecuted for corruption and disciplinary action is pending between the assessment period and the announcement of the assessment results.

Meanwhile, corruption cases detected by an internal audit are not reflected in deducting points in order not to discourage public organizations' voluntary efforts to detect and punish corruption. The Corrupt Public Official Disciplinary Index score is calculated by applying weights to the position of the corrupt official and the amount of money involved in corruption, and then by considering the number of staff of the organization.

The Corruption Case Index applies to public service-related organizations because it is difficult to get the statistics on corruption cases and internal punishment within those organizations. Unlike government agencies, public service-related organizations have different guidelines and criteria for disciplinary action against corrupt employees, and this is why the Corruption Case Index is used instead of the Corrupt Public Official Disciplinary Index. In addition, political appointees at government agencies are not subject to disciplinary action or internal punishment within the agency. Therefore, the Corrupt Public Official Disciplinary Index cannot be applied to those political appointees, so the Corruption Case Index is utilized for them.

The Score for the Corruption Case Index is calculated under the procedures as follows: 1) collecting information about the cases of corruption reported by the media or the prosecution service or disclosed through other channels such as audits by the Board of Audit and Inspection or supervisory organizations, and establishing a database; 2) deciding which cases can be reflected in the index by considering the opinions of the organization concerned; and 3) producing the final score based on the analysis of the experts panel.

Corruption cases collected cover all forms of corrupt acts under the ACRC Act ranging from receiving money and entertainment, embezzlement of public funds, to abuse of power, and cases which were concluded as corruption over the course of audit, investigation, and litigation are also collected.

As for the Corruption Case Index, cases detected during the internal audit mechanism are excluded for calculating scores in order not to undermine the organization's voluntary efforts to prevent and punish corruption.

The Corruption Case Index for each organization is calculated based on the assessment by experts panel on each index item such as amount of money related with corruption, position of corrupt officials, level of prevalence of corrupt practices, number of parties involved in the case, and negative impact of the case.

7. Act Lowering Assessment Reliability

“Acts lowering assessment reliability” refers to the acts conducted by the organizations subject to the Integrity Assessment to affect the assessment results in an improper way. Such acts can be detected through surveys and inspections.

Surveys can be used to detect target agencies’ acts of inducing respondents to provide favorable answers. For example, respondents are asked during External and Internal Integrity surveys if they were requested or instructed to answer favorably to surveys conducted by the ACRC. The number of the respondents who answered “yes” to the above question is used to determine the degree to which target agencies induced favorable answers. The ACRC confirms such acts, translates them into scores, and deducts such scores from Comprehensive Integrity.

Acts lowering assessment reliability can be detected through an on-site inspection by examining the lists of respondents submitted by target agencies and by detecting the acts of influencing respondents. The lists of respondents are examined to detect any omission of respondents, arbitrary modification of the lists and listing of unqualified respondents. The acts of influencing respondents include making prior contacts with respondents before the Assessment and encouraging them to give favorable answers through training or prior notification.

Meanwhile, conducting a self-assessment similar to the Integrity Assessment during the Integrity Assessment period is also regarded as an act lowering assessment reliability as it may have a carryover effect. Therefore, an agency that intends to conduct its own Integrity Assessment should consult with the ACRC in advance.

[Table 2-5] Types of acts lowering assessment reliability

	Types of acts lowering assessment reliability
Omitting respondents from the list or manipulating the list	• Omitting some respondents from the list, or omitting the respondents who are likely to give unfavorable answers
	• Manipulating the lists of respondents, making erroneous entries, or asking proxies to act as respondents
Influencing respondents	• Encouraging respondents to give favorable answers by contacting them before the Assessment
	• Recommending answers in favor of the target agency through e-mail, notification, training, and meeting
	• Conducting a self-assessment similar to the Integrity Assessment during the Integrity Assessment period
Omitting information or submitting false information related to Occurrences of Corruption	• Identifying employees who participated in the internal integrity survey
	• Not submitting data on officials disciplined for corruption
	• Submitting false information related to the Corruption Case Index

Chapter

# III

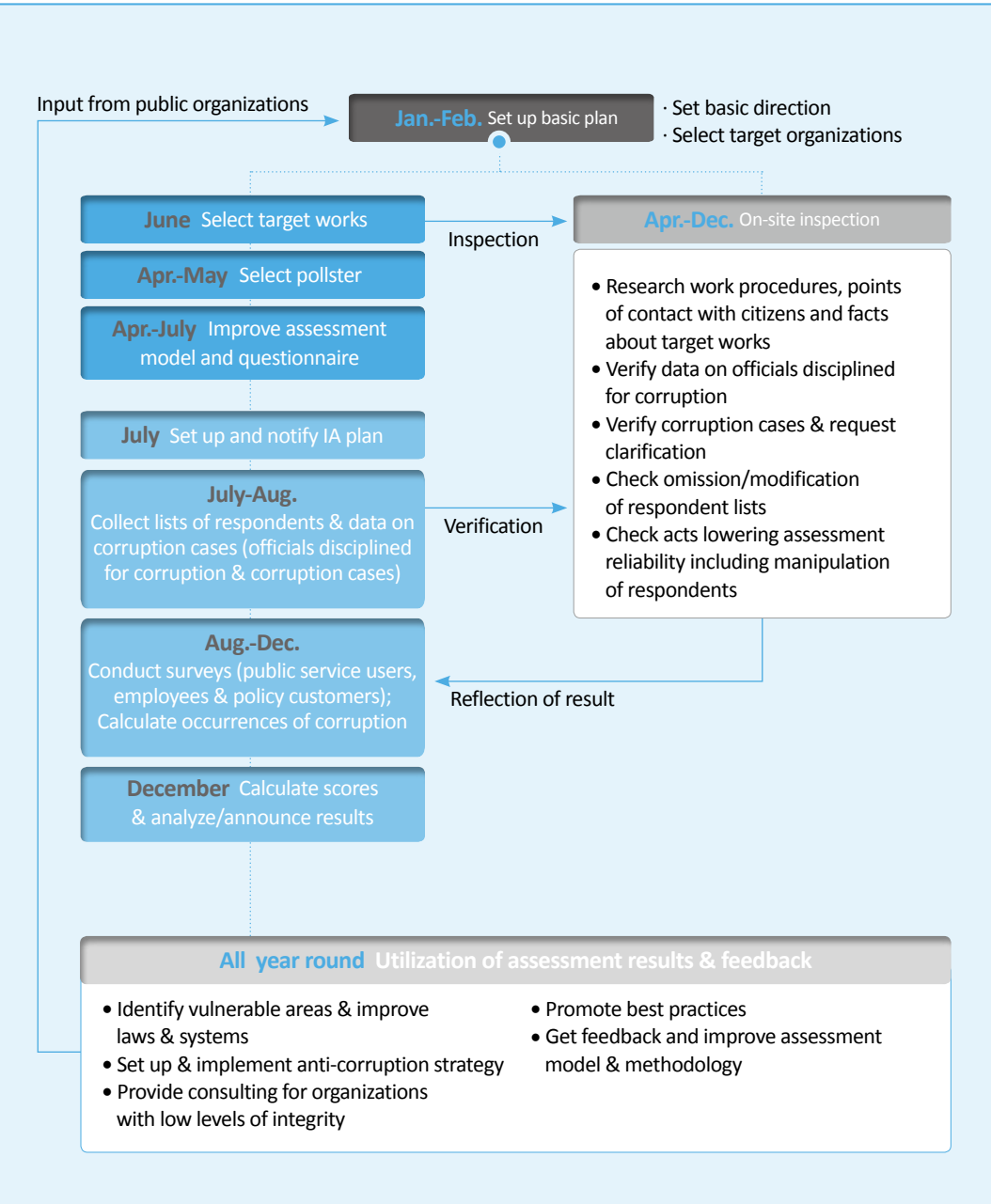


## What are the Procedures for Integrity Assessment?

1. Outline of Integrity Assessment Procedures
2. Selection of Target Organizations
3. Selection of Target Works
4. Compilation of Respondent Lists

5. On-site Inspection of Target Organizations
6. Conduct of Integrity Assessment
7. Utilization of Assessment Results

1. Outline of Integrity Assessment Procedures



2. Selection of Target Organizations

The Integrity Assessment for public organizations is carried out based on Article 12 (Functions) of the Act on Anti-Corruption and the Establishment and Operation of the Anti-Corruption and Civil Rights Commission (hereinafter referred to as the ACRC Act) and Article 7 (Review and Evaluation of Current State) of the enforcement decree of the same Act.

Pursuant to Article 2 of the ACRC Act, all public organizations are subject to the Integrity Assessment. However, under Article 84 of the Act (Special Cases for National Assembly, etc.), the National Assembly, courts, the Constitutional Court, the National

Election Commission, and the Board of Audit and Inspection are not liable to have their integrity levels assessed by the ACRC.

All central government agencies, local government agencies, and offices of education are subject to the Integrity Assessment under the ACRC Act. According to the Act, the Integrity Assessment is also applied to public service-related organizations as specified in the Public Service Ethics Act. However, target organizations are selected among total public service-related organizations by considering the size and characteristics of each organization.

**Public organizations subject to the Integrity Assessment**  
("public organization" defined by Article 2 of the ACRC Act)

- ① Administrative agencies at various levels under the Government Organization Act and executive organs and local councils of local governments under the Local Autonomy Act
- ② The Superintendents of the Offices of Education, the district offices of education, and the boards of education under the Local Education Autonomy Act
- ③ The National Assembly under the National Assembly Act, the courts at various levels under the Court Organization Act, the Constitutional Court under the Constitutional Court Act, the election commissions at various levels under the National Election Commission Act, and the Board of Audit and Inspection under the Board of Audit and Inspection Act
- ④ Organizations related to public service under the Public Service Ethics Act

Public service-related organizations subject to the Integrity Assessment  
("public service-related organization" defined by Article 3-2 of the Public Service Ethics Act)

- ① Bank of Korea;
- ② Public enterprises;
- ③ Institutions and organizations invested, contributed, or subsidized by the Government (including re-investment and re-contribution), and other institutions and organizations conducting governmental tasks under the entrustment of the Government;
- ④ Institutions and organizations invested, contributed, or subsidized (including re-investment and re-contribution) by local government-invested public corporations and local government public corporations established under the Local Public Enterprises Act and local governments, and other institutions and organizations carrying out local governmental tasks under the entrustment of local governments;
- ⑤ Institutions and organizations, the appointment of whose officers is required to be approved, consented, recommended, and agreed by the head of the central administrative agency or the head of the local government or the officers of which are appointed, named, and commissioned by the head of the central administrative agency or the head of the local government.

3. Selection of Target Works

(1) Criteria for selecting target works

Target works for Internal Integrity assessment include personnel management, budget execution and superiors' order identically for all public organizations. In the case of the External Integrity assessment, selection of target works for each organization is an important process.

The External Integrity assessment does not target all works of a public organization. Target works for External Integrity assessment are major representative or corruption-prone works of a public organization that are conducted for citizens or other organizations. The criteria for selecting target works are as follows:

(a) Works for citizens or other organizations

The External Integrity assessment is based on a survey of citizens and public officials who experienced services provided by a specific public organization. External Integrity cannot be measured for those organizations that do not provide services for citizens or other organizations.

(b) Sufficient number of respondents

Even when an organization provides services for citizens and other organizations, there should be a sufficient number of survey respondents. The normal success rate for a social survey is 10 to 20%. The success rate for a survey of sensitive issues of corruption such as experience of offering gratuities and entertainment can be much lower than that. Generally, for a reliable survey result, there should be more than 50 respondents for a work. To this end, a population of at least 500 service users needs to be secured. Of course, this is not an absolute requirement and numbers can be different depending on the number of target works and the size of the organization. If necessary, the entire population can be surveyed. Even in this case, there should be a certain number of respondents to have statistical validity.

(c) Direct contact between target organization and respondents

Representative works with over several thousand cases handled yearly cannot be target works as long as there is no direct contact between target organizations and service users (citizens or public officials). There should be contact between target organizations (or their employees) and service users over the course of work

handling process so that service users can evaluate transparency, accountability and integrity of the organizations or their employees in charge in a comprehensive manner. Services handled through electronic means do not involve direct contact with users, making the works concerned invalid for the Integrity Assessment.

(d) Representative and corruption-prone works

Among the works that have a sufficient number of survey population, and are conducted for and involve direct contact with citizens and other organizations, the works that can be selected for the Integrity Assessment are either major works of the organizations concerned or the works with high risks of corruption. The works that fall under this category are works conducted by public organizations in a position of authority such as permit, approval, guidance and inspection; works involving coordination and management of multiple organizations; financial support for or supervision of subsidiary or affiliated agencies; and works involving execution of budget such as contract management.

(e) Excluding simple and repetitive works

Representative works for citizens and other organizations or works conducted in a position of authority can be excluded from

assessment if they can be taken care of by simple formalities or handled by simple and repetitive administrative processes such as counseling service or issuance of certificates and documents.

Since organizational characteristics differ among public agencies, their target works for the IA are also different. Depending on organizational characteristics, target works can be promotive and supportive works for some organizations, and investigation and regulation works for others. Even in the case of local government organizations or offices of education whose functions are more or less similar, the nature of their works can vary according to their location, for example, metropolises, rural areas or industrial areas. For these reasons, IA results can be useful for diagnosing corruption-prone areas within an organization, not for making a direct comparison among different organizations.

(2) Detailed criteria for selecting target works

Target works for the integrity assessment of each organization are selected in every first half of the year. The ACRC officials concerned collect and analyze information and data on various public organizations such as purposes of foundation, major functions and works, inspection results and corruption cases covered in the media,

and review process of works for citizens and other organizations, number of cases handled yearly, points of contact with service users, etc. in a comprehensive manner. In this process, ACRC officials can

request public organizations to submit relevant materials or visit them for an on-site inspection. Target works are included in the Integrity Assessment Plan notified to all public organizations subject to the IA.

Process of selecting target works

- ① Preparation of detailed criteria for selecting target works
- ② Review of target works
  - General information such as the purpose of organization, major works, and corruption situation
  - Process of works for citizens and organizations, the number of cases or works handled yearly, and points of contact with service users
- ③ Compilation of a draft list of target works
- ④ Collection of opinions from target organizations
- ⑤ Confirmation of target works



[Table 3-1] Checklist for selecting target works

Items	Review points	Note
Work nature	Works for the citizens or other organizations	Include works conducted for other organizations.
	Inspection, investigation, contract, supervision, guidance, examination, permit, approval, authorization, report, etc.	Include non-compulsory works such as examination and contract.
Work contents	Are the works conducted directly by the organization concerned or outsourced to other organizations? What is the scope of supervision over outsourced work?	Exclude the works that are outsourced to other organizations and do not require substantial supervision.
	Sub-works making up target works	A respondent list should be made for each sub-work.
	Disadvantageous administrative dispositions	Check the rate of disadvantageous disposition.
Handling process	Overall work process	
No. of cases handled annually	Rough statistics on the cases handled for the last 12 months <i>* If an investigation was conducted for 10 people, it should be counted as 10 investigations, not 1.</i>	Exclude the works involving less than 20 cases per year.
Nature of respondents	Scope of the citizens or organizations that used the services of the target organization <i>* In the case of the work involving investigation of organization A, which was prompted by a citizen, the respondent should be organization A, not the citizen.</i>	Important factor in collecting lists of respondents
	Is the respondent a simple service user or the one who harbors malignant intentions against the organization?	This is one of the main reasons why organizations at various levels raise objections to the survey results.
Contact with respondents	In what stage are contacts between service users and public officials made? (application, discussion, investigation, notification of results, etc.)	Exclude the works involving no contact with respondents.
	What means are used for contact? (Internet, phone, face-to-face meeting, etc.)	Sufficient contacts are needed for a respondent to evaluate integrity level of the organization concerned.
Frequency of contacts with respondents	One-off, frequent, regular or irregular <i>* Applicable to sufficient contacts in a single occasion, but not to frequent contacts through the Internet</i>	Sufficient contacts are needed for a respondent to evaluate integrity level of the organization concerned.

[Table 3-2] Classification of target works

Work nature	Description	Work classification in detail	Example of works
Inspection	Works involving investigation into condition of objects or ingredient of substances to see if criteria are met or not	Test, inspection, verification	Clearance of tourists' belongings, test of foods and medicines, examination of ships, etc.
Investigation	Works involving investigation into related persons to get information or confirm facts (including compulsory/non-compulsory investigations, desk reviews and on-site investigations)	Investigation	Investigation into untruthful ads, and unfair transactions of stocks, and on-site investigation into state-owned properties
Contract/supervision	Works involving purchase of goods or services, and continuous management and supervision of the supplier or contractor after the purchase or construction	Contract/management/supervision	Purchase contract, construction management, maintenance of facilities construction, etc.
Control/regulation	Works involving inducement of acts in a certain direction or enforcement of orders or rules as a result of inspection	Control/regulation	Regulation of traffic violators and businesses damaging the environment, inspection of ships and maritime facilities, etc.
Examination	Works involving judgment on applications submitted by citizens according to certain criteria	Examination, assistance/ support/ personnel affairs/ office organization	Lending state-owned properties, technology evaluation guarantee, personal loan, ad company registration by proxy, deliberation on medical care allowance, provision of industry promotion fund, etc.
Permit/approval	Works involving granting rights such as permit and approval based on applications by citizens, including lifting of bans	Permit & approval	Permit/approval on changes in articles of association, sale of state-owned forestry products, temporary return of confiscated property, etc.
Authorization/report	Works involving giving consent to the applications submitted by citizens, and being informed by citizens of certain facts	Authorization/report	Authorization of official medical care allowance, flame proof test, changes in decision on military service, application to be designated as credit security company, factory registration, corporate tax return, etc.

## 4. Compilation of Respondent Lists

### (1) What is a respondent list?

Since the Integrity Assessment is carried out based on a survey of public service users, employees of public organizations, and policy customers, the lists of respondents are needed to conduct a survey. The respondents are those who evaluate the integrity levels of public organizations: citizens and public officials who experienced services of the public organizations subject to the assessment for the External Integrity assessment; employees of the public organizations concerned for the Internal Integrity assessment; and experts and stakeholders for Policy Customer Evaluation.

### (2) Who are respondents?

It is obvious that target respondents for the Internal Integrity survey are employees of the public organizations concerned. However, it can be somewhat confusing to grasp the concept of respondents for the External Integrity survey. Target respondents for the External Integrity survey are those who directly experienced the services for citizens and organizations provided by the public organizations concerned. In other words, the targets are natural persons, legal persons and organizations that are the other party to an action taken by a public organization.

The scope of respondents of the External Integrity survey is not restricted to "civil petitioners" which can be defined as natural persons, legal persons, and organizations who request administrative agencies to perform certain acts. Respondents for the External Integrity survey, on the other hand, is a broader concept that refers to natural persons, legal persons and organizations that are the object of certain acts performed by public organizations. The object of public service can be, depending on the nature of the works concerned, applicants for permits and approvals, or employees of other public organizations that receive subsidies.

### (3) Scope of respondent lists to be submitted

Once target organizations and target works are finalized, public organizations at various levels are required to draw up respondent lists and submit them to the ACRC. Pursuant to Article 29 of the ACRC Act, the ACRC collects respondent lists from public organizations to carry out the Integrity Assessment.

Respondents of the External Integrity survey are citizens and public officials who came in direct contact with the public organizations

and public officials concerned in relation to target works for the latest twelve months as of June 30th of the baseline year (July 1st 2016 to June 30th 2017 for 2017 Integrity Assessment). The reason why the assessment covers a period of twelve months is to reflect the nature and contents of public services that may vary with the season.

In order to secure reliability of assessment results, the number of target respondents for each target work needs to be at least 10 times larger than the number of respondents who actually participate in the survey. However, when it is difficult to draw up respondent lists because there are too many respondents, respondent lists can be drawn up on a quarterly or monthly basis (for example, once every odd or even month or quarter) by considering seasonal differences in the number of respondents. And when a single work is taken care of by multiple offices (headquarters, regional offices, affiliated organizations, etc.), it is possible to select some offices to submit respondent lists.

If it is necessary to submit respondent lists on a monthly or quarterly basis or to select offices to submit respondent lists, target organizations can consult with the ACRC officials in charge about the submission of respondent lists. Considering the nature of works and organizations, the ACRC officials in charge randomly choose the offices to

turn in respondent lists, and notify the organizations concerned.

Respondents of the Internal Integrity survey are all the employees working for target organization including headquarters, regional offices, and affiliated organizations as of June 30th of the baseline year (June 30th 2017 in the case of 2017 Integrity Assessment).

Respondents of the Policy Customer survey are experts (reporters accredited to target organizations, parliamentary aides, legislative examiners, academic experts, etc.) and stakeholders (supervisory or subsidiary organizations, interest groups, civil society organizations, etc.) who can assess target organization as of June 30th of the baseline year (June 30th 2017 in the case of 2017 Integrity Assessment).

Local residents and school parents are included in the list of stakeholders respectively for metropolitan or provincial governments and offices of education. It is not necessary for these organizations to submit a list of local residents and school parents to the ACRC.

### (4) Criteria for compiling respondent lists

Table 3-3 shows the general criteria for compiling a list of respondents of the External Integrity survey by type of target work.



In the case of central government or-organizations and public service-related organizations, since organizational characteristics and target works are different among organizations, the specific criteria for making a list of respondents can be different according to target works. Therefore, central government organizations and public service-related organizations need to consult the ACRC officials in charge when they have uncertainty about the scope of respondents to be listed.

Respondents for the Internal Integrity survey are, in principle, all employees that are working in the organization subject to the assessment on the base date (June 30th of the relevant year). However, the head of the organization, high-ranking officials of Grade A to C, part-time workers, and public officials with less than one year’s work experience are excluded.

Table 3-4 shows the criteria for compiling a list of respondents of the Internal Integrity survey by type of organization.

(5) How to write respondent lists

Respondent lists are written according to the checklist provided in Table 3-5. It is necessary to check points in each stage in order to minimize omission of respondents or erroneous markings.

In principle, respondent lists should be submitted in an Excel file and sent to the ACRC via official document or e-mail. The electronic document containing respondent lists should be encrypted to protect personal information.

[Table 3-3] Respondents of the External Integrity Survey by target work

Target works	Example of works	Respondents	Note
Inspection	Inspection of fire fighting facilities, schools and water quality	The person who was subject to inspection	When the person who applied for an inspection and the one who was subject to inspection are different, the latter should be the respondent.
Investigation	Investigation into industrial safety/ disaster, tax matters, traffic accidents	The person who was subject to investigation	When an investigation is initiated by reporting, the person who is investigated should be the respondent, rather than the informant.
Contract/ supervision	Contract and supervision	Counterparty to contract or supervision	In the case of a service or construction contract, both the contracting party and the ones who actually carry out the contract are respondents.

Target works	Example of works	Respondents	Note
Control/ regulation	Regulation of illegal fishing and business damaging the environment	The person who was subject to control or regulation	In the case that the owner of a business and the person who was subject to control or regulation are different, the latter should be the respondent.
Examination	Deliberation on regulations, patents, corporate finance	The person who applied for an examination	
Permit/ approval	Approval of river occupation, use of port facilities	The person who applied for a permit/ approval	Submit the list of all applicants whether the permit or approval was made or not.  Check whether the application was made by the applicant or a proxy.
Authori- zation/ report	Authorization of official medical care allowance/ report of corporate tax	The person who applied for an authorization/ who reported facts, etc.	
Support/ supervision of subordinate organizations	Supervision and oversight in relation to personnel matters, budget and management including performance evaluation, supervision over corporate management, coordination of functions, oversight of budget management and project implementation, provision of subsidies, etc.	The person who contacts a superior organization to receive support, etc.	Submit the list of all contact persons whether support, etc. was provided or not.
Works for other organizations	All works conducted for other organizations	Public officials or employees of public service-related organizations	Submit the list of those who dealt with the work concerned and their immediate superiors.

[Table 3-4] Respondents of the Internal Integrity Survey by type of organization

Type of organization	Criteria
Central government agencies	All employees of headquarters and subsidiary organizations in the 3rd or lower grade (colonel or lower grade for the Ministry of National Defense) * Excluding the heads of subsidiary organizations
Provincial/ Metropolitan governments	All employees of headquarters in the 3rd or lower grade All employees of subsidiary organizations in the 4th or lower grade * Excluding the heads of subsidiary organizations
City/ County governments	All employees in the 4th or lower grade * Excluding mayors and vice-mayors
Offices of education	All employees of headquarters in the 3rd or lower grade All employees of subsidiary organizations in the 4rd or lower grade * Excluding the heads of subsidiary organizations All administrative officials and teachers of public schools * Excluding principals and deputy-principals
Public service-related organizations	All employees * Excluding senior executives

[Table 3-5] Checklist for drawing up respondent lists

Type of organization		Matters to be checked
① Period		<ul style="list-style-type: none"><li>• Period for making a list<ul style="list-style-type: none"><li>- External Integrity: last 12 months as of June 30th of the baseline year</li><li>- Internal Integrity: June 30th of the baseline year</li></ul></li><li>• When the number of respondents exceeds 1,000:<ul style="list-style-type: none"><li>- Consult the ACRC about the possibility of submitting monthly or quarterly lists or designating some offices to submit lists</li></ul></li></ul>
② Criteria		<ul style="list-style-type: none"><li>• Check criteria in the annual Integrity Assessment plan.</li><li>• Check detailed criteria by target work.</li><li>• In the case of Internal Integrity, check exceptions. * Mark the respondents who filed a lawsuit against the public organization concerned and the employees who faced disciplinary measures, and attach evidential documents.</li></ul>
③ Contents	External Integrity	<ul style="list-style-type: none"><li>• Write the name of work in detail. * When one work involves several works, draw up a list for each specific work</li><li>• Draw up a list in order of dates for handing the works.</li><li>• When one respondent handled multiple works, the respondent should be included in all relevant lists of respondents.</li></ul>
	Internal Integrity	<ul style="list-style-type: none"><li>• Make lists classified into headquarters, subsidiary organizations, and positions of employees.</li><li>• Make lists in order of divisions/units and positions in the headquarters and subsidiary organizations.</li></ul>
④ Cover page (for External Integrity)		<ul style="list-style-type: none"><li>• Prepare a cover for each office in an organization (headquarters, XX local office, YY regional office).</li><li>• Write anomalies such as absence of phone numbers and incomplete submission of lists.</li><li>• Write contact information of the official in charge who can answer questions about the lists.</li></ul>
⑤ Verification		<ul style="list-style-type: none"><li>• Compare the lists with various registers and documents based on which the lists were made.</li></ul>
⑥ Security measures		<ul style="list-style-type: none"><li>• Set passwords when writing, managing and turning in lists.</li></ul>
⑦ Submission of lists		<ul style="list-style-type: none"><li>• Turn in the lists in an electronic file.</li><li>• The main office is requested to collect and submit the respondent lists of its subsidiary organizations.</li><li>• Submit the lists in the form of official document, email, or registered mail.</li></ul>

## 5. On-site Inspection of Target Organizations

### (1) Reasons for on-site inspection

The Integrity Assessment requires close collaboration between the ACRC and public organizations at various levels. Without public organizations' cooperation, the Integrity Assessment cannot be carried out smoothly. The ACRC comes up with the assessment framework, designs the assessment model, carries out the assessment, analyses and announces assessment results, whereas public organizations carry out basic works needed for the Integrity Assessment by participating in the selection of target works and compiling and supplementing the lists of survey respondents. The key stakeholder that utilizes the results of the Integrity Assessment is public organizations at various levels. They use the results of the assessment in diagnosing corruption-prone areas and reflect them in various anti-corruption policies.

Therefore, it is very important in the Integrity Assessment to fully understand the actual practices of public organizations, listen to their difficulties related to the Integrity Assessment, and seek ways to improve assessment procedures. In this regard, an on-site inspection of target

organizations is a very important process. Through on-site inspections, the ACRC can get accurate information about the working practices of target organizations, process of handling target works, and points of contact with public service users to reflect its findings in the selection of target works. On-site inspections also provide an opportunity to collect and spread best practices of public organizations in their efforts to improve integrity, listen to difficulties related to the Integrity Assessment and suggestions for improvement, and help public organizations have a better understanding of the Integrity Assessment.

Another purpose of on-site inspections is to improve the reliability of the results of the Integrity Assessment. To that end, the ACRC verifies the accuracy of respondent lists written and submitted by public organizations of various levels, and checks any incidence of sample manipulation and self-assessment of integrity conducted during the assessment period.

### (2) Selection of target organizations

The ACRC carries out an on-site inspection of target organizations every year. Public organizations subject to on-site inspections

are chosen randomly. On-site inspections can be performed on regional offices of public organizations as well as their headquarters.

Beginning from the stage of selecting target works, the ACRC investigates and takes countermeasures against any acts that may lead to lowering the reliability of the Integrity Assessment such as omission of respondent lists, manipulation of respondents, and failure to submit data on officials disciplined for corruption.

In principle, organizations subject to on-site inspections are chosen randomly. However, those organizations which committed serious misbehavior lowering assessment reliability in the previous year are also targeted for an additional inspection.

### (3) What public organizations need to prepare for on-site inspection

The ACRC conducts on-site visits to the public organizations subject to the Integrity Assessment after it collects respondent lists from them. Public organizations are requested to prepare the respondent lists they submitted to the ACRC, the documents based on which the respondent lists were made, all documents on public officials disciplined for corruption, and computers to be used by the ACRC staff who will carry out an on-site inspection.

## 6. Conduct of Integrity Assessment

### (a) Determine the sample size

The first step is to determine the size of the survey sample that is needed to secure the validity of the Integrity Assessment. For the External Integrity survey, it is required to get at least 50 samples per target work in principle. The sample size for each type of organization is determined by taking into account the size of the organization and the proportion of its works for citizens and other organizations.

In the case of Internal Integrity, the sample size is determined by considering the size of the organization and the number of its employees. In the case of Policy Customer Evaluation, the sample size depends on the characteristics of policy customers for each type of organization.

### (b) Prepare survey questionnaires

The main priority in drawing up questionnaires is to secure the internal and external validity of survey items. To this end, the assessment model needs to be discussed with outside advisors, public organizations subject to the assessment, and the poll agency. Based on the discussions, the contents and expressions of questionnaires

are confirmed in accordance with the guidelines for writing questionnaires.

### (c) Build a database of respondent lists submitted by public organizations

The ACRC collects respondent lists submitted by each target organization and then uploads them to the database of the poll agency. If specific information is missing from the lists or any deviation from the guidelines for compiling the lists is found, the organization in question will be asked to correct the problems.

### (d) Take samples from the database of respondents

Random samples are extracted from the database of respondents. In the case of the External Integrity survey which is conducted through telephone interviews, respondents are automatically extracted by Computer Aided Telephone Interview (CATI) system. Under CATI system, the entire process from management of the list of respondents, sample extraction, data processing, to management of interviewers is carried out by computers. The information about respondents, who are selected by CATI system, appears on the computer screen of interviewers.

In the case of the Internal Integrity survey, which is an online survey using Computer Aided Web Interview (CAWI) system, samples are extracted according to a set rate from each group of headquarters, sub-organizations and positions of employees.

For Policy Customer Evaluation, the rate of samples is also allotted to each group of respondents. In the case of local residents and school parents, samples are extracted after the rate of samples is allotted to each sub-region (city, county & district), gender and age group based on population statistics, and then these groups are stratified by zone.

### (e) Conduct surveys

In the case of the External Integrity assessment, an interviewer performs a telephone interview with the respondent by reading the survey questionnaire on the computer screen and entering the respondent's answer right into the computer, allowing researchers to view survey results on a real-time basis.

For the Internal Integrity assessment which is done in the form of an online survey, the questionnaire is prepared online, the

survey website is launched, and an email containing information on the Internal Integrity survey is sent to respondents. Following the link included in the email, respondents log on the webpage for the Internal Integrity survey, go through the authentication process, and answer the survey questionnaire. When respondents are done with the questionnaire, the survey automatically ends.

## 7. Utilization of Assessment Results

The results of the Integrity Assessment are analyzed and released in December every year. The major purpose of the Integrity Assessment is to diagnose corruption-prone areas in public organizations. Based on the assessment results, the ACRC helps public organizations come up with and implement anti-corruption strategies befitting their nature and situation.

The key stakeholder that utilizes the results of the Integrity Assessment is public organizations at various levels. The reason why public organizations participate in the selection of target works is to include corruption-prone areas that they intend to diagnose in the Integrity Assessment.

They are advised to try to find fundamental structural, behavioral, cultural and institutional causes of corruption in their organization, rather than focusing on the results of the Integrity Assessment.

The Integrity Index has been used as an indicator of various performance evaluations carried out by government agencies in Korea: performance evaluation of municipal and provincial offices of education conducted by the Ministry of Education; local governments by the Ministry of the Interior; public companies by the Ministry of Strategy and Finance; and city and county government agencies by provincial and metropolitan governments.

### Chapter

# IV

## Calculation of Integrity Scores

1. Scoring Methodology
2. Scoring for Two Types of Survey Questions
3. Standardization of Scores for Experience of Corruption
4. Deduction of Scores

# 1. Scoring Methodology

The score for each component of the Comprehensive Integrity Index is scaled from 0 to 10 points with 10 indicating the highest level of integrity. Likewise, when it comes to the Corruption Index, which is one of the components of the Comprehensive Integrity Index, the score closer to 10 means a higher level of integrity, or a lower level of corruption.

The methodology used to produce Integrity scores is as follows:

First, the score for each survey item is multiplied by its weight and the products are

added up to get the index score. The score for each index score is then multiplied by its weight and the products are added up, producing the External Integrity, Internal Integrity and Policy Customer Evaluation scores.

Then, the scores for External Integrity, Internal Integrity, and Policy Customer Evaluation are weighted and added together. Finally, the scores for the occurrences of corruption within and outside the organization and acts lowering assessment reliability are deducted from the sum to get the score for Comprehensive Integrity.

## Calculation of integrity scores

- 1. Calculation on a scale of 0 to 10**  
Scores for Comprehensive Integrity and all the component indices are calculated on a scale of 0 to 10.
- 2. Weighted sum of scores**  
Scores for sub-categories are added up to get scores for the components of each index, which are added up to get scores for indices. Scores are weighted before being added. The Comprehensive Integrity score is the weighted sum of scores of indices.
- 3. Calculation of scores by “individual respondent scoring” and “aggregate organization scoring”**
- 4. Scores for sub-category “direct experience of corruption” calculated by “aggregate organization scoring” are standardized before being added to get the score for the upper category.**
- 5. Scores for “aggregate organization scoring” are calculated by using UCP to which gamma-distribution is applied.**
- 6. Calculation of scores for deduction**  
Scores for “motives for corruption” are deducted for the calculation of External and Internal Integrity; scores for “corruption committed by colleagues” included in the Internal Integrity Survey are deducted for the calculation of External Integrity; and scores for "occurrences of corruption" and "acts lowering assessment reliability" are deducted for the calculation of Comprehensive Integrity.



2. Scoring for Two Types of Survey Questions

To produce the Integrity scores, the scores for each survey item need to be calculated first. Different score calculation methods are used for individual respondent scoring and aggregate organization scoring. The score for each survey item is calculated as follows:

(1) Individual respondent scoring

• Survey questions for individual respondent scoring

Survey questions of “individual respondent scoring,” for which scores are calculated for individual respondents, present answer choices on a 7-point scale (“strongly agree,” “agree,” “slightly agree,” “neutral,” “slightly disagree,” “disagree,” and “strongly

disagree”). All survey items of External Integrity except for those related to experience of corruption, and all items of Internal Integrity except for those related to experience of corruption in personnel management, budget execution and superiors' order fall under this category.

• Calculation of the scores for individual respondents

Let us suppose we are calculating the score for survey question A. First, the scores for individual respondents are produced by converting the scores for each answer from a 7-point scale to a 10-point scale. For a positive question, if the answer is “strongly disagree” (1 point on a 7-point scale) then

the score is 0, and 10 for “strongly agree” (7 points). In the case of a negative question, the score is calculated the other way around.

The formula to turn 7-point scores into 10-point ones and points assigned to each scale are given in Table 4-1. Two different

scores are assigned to each scale according to whether the survey question is positive or negative.

As for Internal Integrity and Policy Customer Evaluation, scores of individual respondents are averaged to calculate scores for each question.

[Table 4-1] Formula to convert 7-point scale into 10-point and scores assigned to each scale

10-point score =  $\frac{(7\text{-point score} - 1)}{6} \times 10$

Answer	Scale	10-point score
Strongly disagree	1	0 or 10
Disagree	2	1.67 or 8.33
Slightly disagree	3	3.33 or 6.67
Neutral	4	5
Slightly agree	5	6.67 or 3.33
Agree	6	8.33 or 1.67
Strongly agree	7	10 or 0

Two types of survey questions

If you take a look at a survey questionnaire for the Integrity Assessment, you will notice that there are two kinds of survey questions. The first type of question asks you to answer by choosing one out of 7 choices (7-point scale): “strongly agree,” “agree,” “slightly agree,” “neutral,” “slightly disagree,” “disagree,” and “strongly disagree,” for example. The other one is about the respondent’s experience/frequency/amount of corruption or gratuities. The scoring method for the former is referred to as “individual respondent scoring,” while the scoring method for the latter is called “aggregate organization scoring.”

Individual respondent scoring

It is called “individual respondent scoring” because scores are produced for individual respondents. For each question, respondents are requested to choose one from 7 answer choices (7-point scale) (“strongly agree,” “agree,” “slightly agree,” “neutral,” “slightly disagree,” “disagree,” and “strongly disagree”).

**Score calculation:** A 7-point scale is converted into a 10-point scale, and the score is assigned to each respondent. Individual scores of each respondent are added together to produce the total score for each survey item.

Aggregate organization scoring

It is called “aggregate organization scoring” because the score is produced for the entire organization subject to the Integrity Assessment although the questions are answered by individual respondents. Respondents answer survey questions on their experience/frequency/amount of corruption or gratuities.

**Score calculation:** Individual respondents’ experience/frequency/amount of corruption or gratuities are added together for each organization, and then put into a set formula to come up with scores for each organization. Scores for individual respondents are not produced.

● Calculation of the scores for each work by averaging individual respondents’ scores (applicable to External Integrity only)

Survey item A’s score for each work is produced after the calculation of scores for each respondent. Scores for each work are generated by averaging the scores of individual respondents for each work concerned. If there are 50 respondents for “work a,” for example, you can add up the scores for all 50 individual respondents and divide the sum by 50 (the number of respondents) to get the score for “work a” of survey item A. If there are 100 respondents for “work b,” add up the score of 100 individual respondents and divide the total by 100. Then, the score for “work b” of survey item A is generated.

Score of “work a” in survey item A =

Sum of scores of respondents for “work a”

Number of respondents for “work a”

● Calculation of the scores for each survey item by averaging the scores for each work (applicable to External Integrity only)

If scores for work a, work b, work c in survey item A have been produced, then the score for survey item A can be calculated. The score for survey item A is generated by averaging scores for each work, that is, by adding up scores for work a, work b, and work c, and then dividing the aggregate number by 3 (the number of work).

Score of survey item A =

Score of work a + score of work b + score of work c

Number of works

(2) Aggregate organization scoring

Survey questions of “aggregate organization scoring” are those that ask questions about respondents’ “experience” of corruption—frequency and rate of offering gratuities, entertainment or convenience, and amount of gratuities, entertainment or convenience offered.

[Table 4-2] Survey questions for aggregate organization scoring

	Direct experience of corruption	Indirect experience of corruption
External Integrity	<ul style="list-style-type: none"><li>• Frequency/amount/rate of offering gratuities; frequency/amount/rate of offering entertainment; and frequency /rate of offering convenience in the Corruption Index</li></ul>	<ul style="list-style-type: none"><li>• Indirect experience of offering gratuities, entertainment or convenience in the Corruption Index</li></ul>
Internal Integrity	<ul style="list-style-type: none"><li>• Frequency/amount/rate of offering gratuities, entertainment or convenience in relation to personnel management;</li><li>• Questions related to experience in budget execution</li><li>• Questions related to experience in fairness in orders given by superiors</li></ul>	<ul style="list-style-type: none"><li>• Indirect experience of offering gratuities, entertainment or convenience in relation to personnel management</li></ul>
Policy Customer Evaluation	<ul style="list-style-type: none"><li>• Direct/Indirect experience of offering gratuities, entertainment or convenience in Experience of Corruption</li></ul>	

(a) Calculation of scores for questions on direct experience of corruption

● Calculation of the total frequency and total amount of corruption experience for each organization

First, we need to calculate the total frequency and total amount of corruption experience (gratuities/entertainment/convenience offers, illegal and unfair budget execution, unfair orders given by superiors, etc.) for each organization.

The total frequency of corruption experience of an organization can be produced by adding up the scores for the frequency of

corruption experience of each respondent. The total amount of corruption experience can be produced likewise. In the case of External Integrity, for example, if “respondent A” said that he or she offered gratuities to public officials 8 to 10 times, respondent A’s frequency score is 9. The frequency scores for respondent B, C, and D can be produced in this way, and by adding them all, we can come up with the total frequency of gratuities offered for an organization.

The frequency or amount of corruption experience can be scored as follows for the year 2017. The values may vary each year according to changes in the questionnaires.



Total amount (or frequency) of organization A's corruption experience = the sum of scores for the amount (or frequency) of each respondent's corruption experience

● Calculation of the frequency/amount of corruption experience for External Integrity

① Frequency of gratuities/entertainment/convenience offered

1 time = 1	2 times = 2	3 times = 3	4-5times = 4.5
6-7 times = 6.5	11-15 times = 13	more than 16 times = 16	

② Amount of gratuities/entertainment offered

50,000 won or less = 5	60,000-150,000 won = 10.5
160,000-300,000 won = 23	310,000-500,000 won = 40.5
510,000-1 million won = 75.5	1.01-2 million won = 150.5
2.01-3 million won = 250.5	3.01-5 million won = 400.5
5.01-10 million won = 750.5	10.01 million won or more = 1,001

● Calculation of the frequency/amount of corruption experience for Internal Integrity

① Frequency of gratuities/entertainment/convenience offered in relation to personnel management

1 time = 1	2 times = 2	3 times = 3
4-5times = 4.5	6-10 times = 8	more than 11 times = 11

② Frequency of illegal/undue execution of budget, and frequency of orders hindering fair performance of duties

1 time yearly = 1	2-3 times yearly = 2.5	1-2 times quarterly = 6
1 time monthly = 12	2 times monthly = 24	3 or more times monthly = 36

③ Amount of gratuities/entertainment offered in relation to personnel management

500,000 won or less = 50	510,000-1 million won = 75.5	1.01-2 million won = 150.5
2.001-3 million won = 250.5	3.01-5 million won = 40.5	5.01 million won or more = 501

④ Amount of business promotion/operating/travel expenses illegally or unduly executed

500,000 won or less = 50	510,000-1 million won = 75.5	1.01-3 million won = 200.5
3.01-5 million won = 400.5	5.01-10 million won = 750.5	10.01 million won or more = 1001

⑤ Amount of project costs illegally or unduly executed

10 million won or less = 1000	10.01-50 million won = 3000.5	50.01-100 million won = 7500.5
100.01-500 million won = 30000.5	500.01-1 billion won = 75000.5	1.00001 billion won or more = 100001

● Calculation of the average frequency or amount of corruption experience for each organization

After calculating the total frequency and the total amount of corruption experience for an organization, we can get the average frequency and amount for an organization. The average frequency/amount is produced by dividing the total frequency/amount by the total number of respondents.

In this case, "respondents" do not mean those who answered that they have experienced corruption but all the respondents who answered the questions, regardless of their experience of corruption. For example, if organizations A's total frequency of gratuities offered is 10 and the total number of respondents is 100, then organization A's average frequency of gratuities offered is 0.1. That means one respondent offered gratuities 0.1 time on average.

Organization A's average frequency  
(or amount) of corruption experience =

Organization A's total frequency (or amount)  
of corruption experience

Total number of respondents

● Calculation of the rate of corruption experience for each organization

The rate of corruption experience for an organization can be calculated by counting the number of respondents who answered that they had offered money, gifts, entertainment or convenience to a public official of the organization concerned, and then dividing the number by the total number of respondents for the organization.

Organization A's rate of corruption experience = 100 ×

Number of respondents who experienced corruption

Total number of respondents

● Calculation of scores for each survey question

Aggregate organization scores for survey questions on direct experience of corruption are calculated by applying the following formulas to the average frequency/amount and the rate of corruption experience:

Formula to get the scores for direct experience of corruption in External Integrity

Frequency of gratuities/entertainment/  
convenience offered for an organization

$$= 10 \times \left( 1 - \frac{\text{Average frequency of offers for an organization}}{UCP_1} \right)$$

\*  $UCP_1$ = value equivalent to 95% of cumulative gamma distribution of average frequency of offers for all organizations

Amount of gratuities/entertainment offered for  
an organization

$$= 10 \times \left( 1 - \frac{\text{Average amount of offers for an organization}}{UCP_2} \right)$$

\*  $UCP_2$ = value equivalent to 95% of cumulative gamma distribution of average amount of offers for all organizations

Rate of offering gratuities/entertainment offered  
for an organization

$$= 10 \times \left( 1 - \frac{\text{Average rate of offers for an organization}}{UCP_3} \right)$$

\*  $UCP_3$ = value equivalent to 95% of cumulative gamma distribution of average rate of offers for all organizations

Formula to get the scores for direct experience of corruption in Internal Integrity

Frequency of offering gratuities/entertainment/convenience  
in relation to personnel management; frequency of illegal/  
unfair budget execution; frequency of improper orders given  
by superiors

$$= 10 \times \left( 1 - \frac{\text{Average frequency of offers (experience) per respondent}}{UCP_1} \right)$$

\*  $UCP_1$ = value equivalent to 95% of cumulative gamma distribution of average frequency of offers for all organizations

Amount of gratuities/entertainment/convenience offered  
in relation to personnel management; amount of budget  
executed illegally or unfairly

$$= 10 \times \left( 1 - \frac{\text{Average amount of offers (experience) per respondent}}{UCP_2} \right)$$

\*  $UCP_2$  = value equivalent to 95% of cumulative gamma distribution of average amount of offers for all organizations

Formula to get the scores for direct experience of corruption in Internal Integrity

Rate of offering gratuities/entertainment/convenience in  
relation to personnel management; rate of illegal/unfair  
budget execution; rate of improper orders given by superiors

$$= 10 \times \left( 1 - \frac{\text{Average rate of offers (experience) per respondent}}{UCP_3} \right)$$

\*  $UCP_3$  = value equivalent to 95% of cumulative gamma distribution of rate amount of offers for all organizations

(b) Calculation of scores for questions on indirect experience of corruption

● Calculation of the rate of indirect experience of corruption for each organization

We can get the rate of indirect experience of corruption for an organization by dividing the number of the respondents who answered that they had indirectly experienced corruption by the number of total respondents for the External Integrity Survey of the organization concerned.

Rate of indirect experience of corruption =  $100 \times \frac{\text{No. of respondents with indirect experience of corruption}}{\text{Total number of respondents}}$

● Calculation of scores for each survey question

Aggregate organization scores for survey questions on indirect experience of corruption are calculated by applying the following formula to the rate of indirect experience of corruption:

Formula to get the score for the rate of indirect experience of corruption for an organization

Score for indirect experience of corruption

$$= 10 \times \left( 1 - \frac{\text{Rate of indirect experience of corruption}}{UCP_1} \right)$$

\*  $UCP_1$  = Value corresponding to 95% of accumulated gamma distribution of rate of indirect experience of corruption for all organizations

Questions on UCP

- UCP (Upper Cut-off Point)  
“Corruption ceiling,” after which everything is regarded as 0.
- How to calculate UCP  
When the values for the frequency or amount of corruption of all public organizations are arranged in ascending order, the shape formed is a cumulative gamma distribution. The value at 95% in the distribution curve is UCP. To put it simply, UCP is so extreme a value or “outlier” in the distribution of values for the frequency or amount of corruption that everything exceeding that value is regarded as 0.
- Why is the score for frequency and amount 0 when one person offered bribes?  
Since the value for UCP is determined by taking into account a distribution of corruption experience of all public organizations, the UCP value gets smaller when there is no occurrence of corruption in other organizations. When the corruption ceiling is low, a few incidences of corruption makes the score 0.

### 3. Standardization of Scores for Experience of Corruption

*Necessity of standardization*

Integrity scores and rankings can be disproportionately influenced by the scores of "experience of corruption." The components related to "experience of corruption" account for a considerable part of the Integrity Assessment Model, because even a single case of corruption should not occur.

Since 2002, respondents who "experienced corruption" in the surveys have been decreasing overall. Such a trend has resulted in greatly widening the gap in the assessment results between those organizations in which a few corruption cases occurred and other organizations which recorded no case of corruption. In other words, relatively rare instances of corruption influence the assessment results disproportionately. In order to address this problem, the ACRC recently introduced standardization to reduce the excessive gap in the components of "experience of corruption."

*Improvement of score calculation through standardization*

Standardization is used in cases where there is a big standard deviation among variables in order to ease disproportionateness and deviation and to enable relative comparison of variables. The above-mentioned problem occurs, because the scores for "experience of corruption" with a big deviation (0-10) and the scores for "perception of corruption" with a small deviation (7-9) are simply added as they stand.

In order to minimize the occurrence of this problem, the scores of "experience of corruption," which have a large deviation, are standardized so that the standard deviation may be applied identically, while all the other components are calculated according to the existing method.

Standardization is widely used, including in schools to compare scores between different subjects with different levels of difficulty. The mean of the population and the standard deviation are used for each variable (or subject) to make an identical standard deviation of “1.”

Standardized score of Organization X = Mean of the population ( $\mu$ ) + Z ( $= \frac{X - \mu}{\sigma}$ )

*X* : Raw score of experience for Organization X  
*μ* : Mean of the population  
*σ* : Standard deviation of the population

In short, standardization decreases the standard deviation to “1” for the components of "experience of corruption" that have a large deviation. This process helps to prevent the components of "experience of corruption" from unduly influencing the integrity level of an organization, while increasing the proportion of "perception of corruption" with a relatively small deviation in the results of the Integrity Assessment.

Example of standardization of scores for "experience of corruption"

Organization	A	B	C	D	E	Mean	Standard deviation
Raw score	0.00	5.00	7.00	8.00	10.00	6.00	3.81
Standardized score	4.42	5.74	6.26	6.53	7.05	6.00	1.00

- Standardized score of "experience of corruption" for Organization A = 6.00+(0.00-6.00)/3.81=4.42
- Standardized score of "experience of corruption" for Organization E = 6.00+(10.00-6.00)/3.81=7.05

→ The raw score of “0” for Organization A is calculated as a standardized score of “4.42.”  
While the mean value remains the same, the deviation among organizations is reduced.

4. Deduction of Scores

In calculating Comprehensive Integrity, the components of “Occurrences of Corruption” and “Acts Lowering Assessment Reliability” lead to a deduction of scores. External Integrity scores are deducted according to occurrences of external corruption, and "motives for corruption" based on the External Integrity Survey, and "corruption committed by colleagues" based on the Internal Integrity Survey. Internal Integrity scores are deducted according to occurrences of internal corruption and "motives for corruption" based on the Internal Integrity Survey.

The score for “Occurrences of Corruption” which is deducted from Comprehensive Integrity is a sum of scores from occurrences of external and internal corruption. When calculating Comprehensive Integrity, the overall deduction is applied to the results of surveys on External and Internal Integrity. Therefore, scores from a single corruption case are not deducted duplicately from External or Internal Integrity and Comprehensive Integrity.

(1) Scoring of Occurrences of Corruption

The types of corruption covered by "Occurrences of Corruption" include all forms of

"corruption" as stated in the ACRC Act, including receiving of money, gifts, and/or entertainment, embezzlement, diversion of public funds, abuse of authority, and divulgence of office secrets.

The corruption cases used to score "Occurrences of Corruption" are those exposed by external organizations (the ACRC, the Board of Audit and Inspection, the Prosecution Service, the Police, the Office for Government Policy Coordination, higher supervisory institutions, etc.). The corruption cases detected internally are excluded in order to prevent the case where public organizations are unwilling to expose and/or punish internal corruption for fear of getting low integrity scores.

(a) Corrupt Public Official Disciplinary Index

The ACRC collects data on corruption committed by public officials against which disciplinary actions were confirmed and major corruption cases about which inspection and/or prosecution was completed in the last twelve months (July 1, 2016 - June 30, 2017 for 2017 Integrity Assessment). This period is the same as for collecting the lists of respondents from public organizations.

The types of disciplinary actions covered by the Corrupt Public Official Disciplinary Index include caution, warning and admonition as well as compulsory retirement and all forms of disciplinary actions (reprimand, reduction of salary, dismissal, demotion, and suspension from office) stated in the State Public Officials Act.

The Corrupt Public Official Disciplinary Index for each organization is calculated by applying the weighed value to the position of the corrupt public officials who received disciplinary measures and to the amount of corruption proceeds, and by reflecting in the calculation the total number of staff in the organization.

The raw score for the position of corrupt public officials for Organization K is calculated by applying different weight values according to the positions divided into three categories (high-rank, mid-rank, and low-rank) to the number of corruption cases that occurred in the organization per position, while the raw score for the amount of corruption proceeds is calculated by adding the proceeds of corruption that occurred in the organization.

The Corrupt Public Disciplinary Index is converted to a final score by reflecting the total number of staff in the organization, and the score is then deducted from Comprehensive Integrity.

(b) Corruption Case Index

Corruption cases used for the Corruption Case Index are those that were disclosed through inspection by the Board of Audit and Inspection or higher supervisory authorities as well as media reports in the last twelve months. The ACRC uses only the cases in which suspicion of corruption has been confirmed during inspection, investigation (prosecution), and/or trial after verification and vindication by the organizations involved.

The Corruption Case Index is calculated by an Expert Assessment Committee, consisting of anti-corruption experts from academia, media, and legal circles.

The Corruption Case Index comprises three components: “amount of money involved and type of corruption” that includes the type of corruption, the amount of corruption proceeds and the position of those who are involved in corruption; “level of prevalence and systematization” that reflects the number of corruption cases and those involved, as well as the level of collusive links; and “negative impact” that indicates the level of negative influences on the organization and society overall.

An organization in which a corruption case occurred is given a score for each of the three components on a semantic differential

scale of 11—from 0 (little corruption) to 10 (very serious corruption). The Corruption Case Index is converted to a score according

to the deduction formula, and the score is then deducted from Comprehensive Integrity.

Formula to get the Corrupt Public Disciplinary Index

Step 1: Calculate row scores

- $X_K$  (Raw score for “position” of Org. K) =  $\frac{(0.445)X_{K1} + (0.330)X_{K2} + (0.225)X_{K3}}{\sqrt[4]{N_K}}$ 
  - $X_{K1} X_{K2} X_{K3}$  : Frequency of the occurrences of corruption for high-rank, mid-rank, and low-rank positions
  - $N_K$  : Total number of staff in Org. K

- $Y_K$  (Raw score for “corruption proceeds “ of Org. K) =  $\frac{\sqrt[2]{Y_{K0}}}{\sqrt[4]{N_K}}$ 
  - $Y_{K0}$  : Total amount of the proceeds of corruption that occurred in the organization
  - $N_K$  : Total number of staff in Org. K

Step 2: Convert row scores to 10-point scale

- $X^*_K$  (Score converted to 10-point scale for “position” of Org. K) =  $10 \times ( 1 - \frac{X_K}{UCP_x} )$
- $Y^*_K$  (Score converted to 10-point scale for “corruption proceeds” of Org. K) =  $10 \times ( 1 - \frac{Y_K}{UCP_y} )$ 
  - $UCP$  = 95% of cumulative gamma probability distribution calculated based on distribution of scores for the amount of corruption proceeds in the organization

Step 3: Calculate the Corrupt Public Disciplinary Index

- $W_K$  (Corrupt Public Official Disciplinary Index of Org. K) =  $(0.423)X^*_K + (0.577)Y^*_K$ 
  - $X^*_K Y^*_K$  : Score for “position” and “corruption proceeds” converted to 10-point scale



Formula to deduct the Corrupt Public Official Disciplinary Index

Deducted score for public officials disciplined for corruption =  $0.70 \times \left(1 - \frac{\text{Corrupt Public Official Disciplinary Index}}{10}\right)$

\* Scores deducted from External and Internal Integrity are calculated by multiplying the ratio of external and internal cases and the score deducted from Comprehensive Integrity.

Formula to get the Corruption Case Index

Step 1: Calculate row scores

- $X_K$  (Amount of money involved & type of corruption for Org  $K$ ) =  $10 - \left(\sum_{i=1}^n X_{Kh} \div n\right)$
- $Y_K$  (Level of prevalence & systematization of corruption for Org  $K$ ) =  $10 - \left(\sum_{i=1}^n Y_{Kh} \div n\right)$
- $Z_K$  (Negative impact for Org  $K$ ) =  $10 - \left(\sum_{i=1}^n Z_{Kh} \div n\right)$

\*  $PX_{kh}, Z_{kh}$ : Score for “amount of money involved & type of corruption”, “level of prevalence & systematization of corruption” and “negative impact” of Org  $k$  given by Expert  $h$

\* The maximum and minimum values are excluded in the calculation of the average score for each component.

\* The final score is produced by reversing the average of scores given by experts. For example, 10 points for “very serious corruption” is converted to 0 point.

Step 2: Calculate the Corruption Case Index

- $W_K$  (Corruption Case Index of Org  $K$ ) =  $(0.295)X_K + (0.375)Y_K + (0.330)Z_K$

Formula to deduct the Corruption Case Index

Deducted score for corruption cases =  $0.70 \times \left(1 - \frac{\text{Corruption Case Index}}{10}\right)$

\* Scores deducted from External and Internal Integrity are calculated by multiplying the ratio of external and internal cases and the score deducted from Comprehensive Integrity.

\* Maximum deduction is 0.70 for public service-related organizations and 0.15 for political appointees in administrative organizations.

(2) Restriction on the Acts Lowering Assessment Reliability

Any acts that may lower the reliability of the Integrity Assessment result in deducting scores for Comprehensive Integrity. Such acts can be detected through surveys and inspections conducted by the ACRC.

Deduction based on surveys

Both External and Internal Integrity Surveys contain a question about whether the respondent was asked to give favorable responses about the public organization subject to the assessment. The number of requests for such responses and the number of survey samples are considered to deduct scores.

Deduction based on inspections

In the case that an on-site inspection of public organizations or inspection of the lists

of respondents identifies any omission or fabrication of the lists, or management of the sample, scores are deducted from the Comprehensive Integrity score. The scope of abnormality on the lists of respondents that results in a score deduction includes arbitrary change of the contact information in the list of respondents, inclusion of unqualified persons, omission of respondents, etc. Management of the sample refers to inducement of favorable responses by contacting the prospective respondents in advance or communicating with internal employees through education and meetings.

Any action incurring damage to the reliability of the Integrity Assessment will result in penalties, such as corrective action, caution, deduction in the Integrity score, invalidation of the survey, and official announcement of such action, by considering the type of action and the possibility of restoring assessment results.

Formula to deduct scores based on surveys

Deducted score for requests for favorable responses =  $\text{Constant} \times \frac{\text{The number of requests for favorable responses in External + Internal Integrity Surveys}}{\sqrt{\text{External + Internal Survey Samples}}}$

(3) Scoring of "motives for corruption" and "corruption committed by colleagues"

Deduction for "motives for corruption"

One important factor in judging the relative seriousness of corruption, along with the frequency and scale, is the circumstances, such as the motives for an act of corruption or the causes of an occurrence of corruption. In other words, the circumstances or causes that led to corruption must be considered in the assessment. Questions regarding motives for giving money, gifts, entertainment, and/or convenience have been used for score deduction since 2012.

As an answer to the question in the survey about causes and motives for occurrences of corruption, one can choose from choices, including "Because of a request from a public official (employee) in charge," "To speed up work process," "To obtain relevant information" and "To cover up or reduce punishment." Among them, "Because of a request from a public official (employee) in charge," which is more serious than other causes, results in score deduction.

Scores are deducted from the External and Internal Integrity scores according to the number of respondents who chose "Because of a request from a public official (employee) in charge" as an answer to the question about motives for corruption in the External and Internal Integrity Surveys, and the number of survey samples.

Deduction of the External Integrity score based on responses on "corruption committed by colleagues" in the Internal Integrity Survey

It can be difficult to assess experience of corruption based only on the External Integrity Survey if respondents are reluctant to answer questions about their experience with corruption because of their relationship with the public officials in charge. In order to overcome such a problem, questions were added to the questionnaire for the Internal Integrity Assessment in 2014.

During the Internal Integrity survey, employees of public organizations are asked about whether their colleagues received money, gifts, entertainment, and/or convenience in the past 12 months from citizens or other organizations. Scores are deducted from the External Integrity scores according to the number of responses on corruption committed by colleagues.

Formula to deduct External & Internal Integrity scores for "motives for corruption"

$$\text{Deducted score for "motives for corruption" from External (Internal) Integrity score} = \text{Constant} \times \frac{\text{The number of responses on "motives for corruption" in External (Internal) Integrity Survey}}{\sqrt{\text{External (Internal) Survey Samples}}}$$

Formula to deduct the External Integrity score for "corruption committed by colleagues"

$$\text{Deducted score for corruption committed by colleagues from External Integrity score} = \text{Constant} \times \frac{\text{The number of responses on corruption committed by colleagues in Internal Integrity Survey}}{\sqrt{\text{Internal Survey Samples}}}$$

Chapter

# V



## Achievements and Recommendations



## Achievements and Recommendations

The integrity scores of each public organization are disclosed to the public through the media, which has caused competition among public organizations to make voluntary efforts to improve corruption-prone areas in their organizations and increase their integrity levels.

As a result, since the Integrity Assessment officially started in 2002, the Comprehensive Integrity Index of the Korean public sector has increased steadily from 6.43 in 2002 to 7.94 in 2017. And corruption experienced by citizens dealing with public service also has been decreased substantially. The rate of respondents who answered that he/she had offered money or other valuables to public officials was 4.1% in 2002, but the rate has continuously decreased to 1.0% in 2017.

These results indicating the improvement of integrity level can be regarded as strong evidence for the positive impact of the Integrity Assessment. According to the ACRC's survey conducted in May 2011, the public officials surveyed said that the Integrity Assessment made the greatest contribution to preventing corruption in the public sector among the ACRC's anti-corruption measures.

Many countries are now paying attention to the Integrity Assessment as best practices in preventive anti-corruption measures. The ACRC has received requests for technical assistance from numerous countries that intended to adopt the Integrity Assessment system. The Integrity Assessment has already been introduced to several countries including Indonesia, Bhutan, Mongolia and Thailand.

The Integrity Assessment won the 1st prize in the category of Preventing and Combating Corruption in the Public Service at the 2012 United Nations Public Service Awards.

The Integrity Assessment is useful when corruption comes from corruption-causing systems and institutions, as well as from behavioral factors of public officials.

To implement the Integrity Assessment, anti-corruption agencies need to set up anti-corruption strategies at the pan-governmental level, have legal authority to evaluate the strategies and performance of public organizations, and make a consensus at the governmental level about the need to measure corruption in the public sector. In the beginning stage, especially, it is important to build

a logical and sophisticated evaluation system to overcome the resistance of public organizations and the opposition of regulatory organizations against which citizens have negative feelings.

In addition, a national anti-corruption atmosphere needs to be created so that public opinions can put pressure on the public organizations with low integrity scores to enhance their anti-corruption efforts.





# Appendix

1. Templates for Respondent Lists
2. Survey Questionnaires
3. Results of 2017 Integrity Assessment
4. Frequently Asked Questions

<Appendix 1> Templates for Respondent Lists

A. Template for a respondent list for External Integrity Assessment

• List of the persons contacted for <name of the work/service>

No.	Public organization	Office/ Bureau/ Directorate	Division /Unit	Work name in detail	Handling date	Amount (Unit: KRW 1,000)	Disadvantageous disposition	Service User			Agent		
								Organization	Name	Phone/ E-mail	Organization	Name	Phone/ E-mail
1													
2													

<How to fill out the form>

1. **Name of work in detail:** When the target work can be classified as a specific area and a type of work, write down the area and the type of work in detail.  
*\* For example, in the case of the area of “contract and supervision,” specify the type of work as purchase, consignment or construction.*
2. **Work handling date:** Write down the handling date such as the contract date, report date, registration date, approval date, etc.
3. **Amount:** Write down the amount of the contract, subsidy, etc. in KRW 1,000.  
*\* Applicable only when the work involves government spending such as contract and supervision, subsidy and management for local government organizations and private organizations, etc.*
4. **Disadvantageous disposition:** Mark V if the respondent received disadvantageous dispositions in relation to the target work such as crack-down and detection of violation, imposition of penalty surcharge, failure to get a permit/approval or financial support, etc.
5. **Organization:** Applicable only when the respondent is an organization or a business
6. **Service user's name:** Write down the name of the respondent or employee in charge in an organization or a business.

7. **Agent:** When there is an agent (patent lawyer, lawyer, labor attorney, tax accountant, or builder) who carries out the work such as an application for a permit or approval on behalf of someone else, write down his/her name along with the respondent’s name.

8. **Format:** Use Microsoft Excel.

B. Template for a respondent list for Internal Integrity Assessment

• List of the employees in <name of the public organization>

No.	Division/ Unit	Job category	Position	Name	Gender	No. of years in the organization	Private e-mail	Mobile phone
1								
2								

<How to fill out the form>

1. **Job category :** General, professional, functional, contract, etc.
2. **Format :** Use Microsoft Excel.  
*\* Attach a table of the staff quota and information about organizational structure.*

C. Template for a respondent list for Policy Customer Evaluation

• List of experts for <name of the public organization>

No.	Type of expert	Organization	Name	Phone	E-mail
1					
2					

<How to fill out the form>

1. **Type of expert**
  - Journalist: correspondents to the public organization concerned
  - Executive assistant to a National Assembly member: Executive assistants to a member of a permanent committee of the National Assembly

- Retired public official: former public officials who retired from the public organization concerned less than two years ago (excluding those who were dismissed for corruption)
- Academia: professors, researchers, etc.

2. **Format:** Use Microsoft Excel.

- List of related organizations for <name of the public organization>

No.	Type of organization	Organization	Name of the head	Phone	E-mail
1					
2					

<How to fill out the form>

1. **Type of organization**

- Public organization: subordinate organizations of the public organization concerned
- Interest group: interest groups such as those closely related to the work of the public organization concerned, associations of retired employees, etc.
- Civil society: civil society organizations closely related to the work of the public organization concerned

2. **Format:** Use Microsoft Excel.

<Appendix 2> Survey Questionnaires

2017 Survey on the External Integrity of Public Organizations

I am ○○○ (name of interviewer), employed at \_\_\_\_\_. We are conducting a survey on the integrity level of public organization □□ at the request of the Anti-Corruption & Civil Rights Commission. Your response will be used to develop anti-corruption policies while your personal information and response will remain strictly confidential in accordance with the Statistics Act. We would appreciate it if you could take a moment of your time to answer the following questions.

- Name of public organization assessed: \_\_\_\_\_
- Presence of agent: 1. Public service user      2. Agent
- Name of public service assessed: \_\_\_\_\_
- Experience in administrative disposition: 1. Yes      2. No

**SQ1.** Have you had the work of ■■ processed by a public official (employee) at public organization □□ **between July 2016 and June 2017?**

1. Yes      2. No → Stop the interview

Please answer the following questions based on your experience of having the work of ■■ processed by public organization □□ between July 2016 and June 2017.

Please listen to the following questions carefully and choose the answer that best applies to you.

Corruption Risk Index

- Transparency

**Q1.** Do you believe the **standards or procedures** for work ■■ are **disclosed in a transparent manner?**

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

**Q2.** Do you believe the **standards or procedures** for work ■■ are **reasonably practicable?**

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

### ● Accountability

**Q3.** Do you believe that the person in charge of ▯▯ work **made active efforts to process the work** by meeting the deadline, giving detailed explanations, etc.?

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

**Q4.** Do you believe that the public officials (employees) involved in ▯▯ work are **abusing their authority in processing the work**?

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

### Corruption Index

### ● Perception of Corruption

**Q5.** Do you believe that **public officials (employees)** involved in ▯▯ work **have given favors to particular persons**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q6.** Do you believe that having a relationship with public officials (employees) based on **regionalism, school relations, kinship and religion affects the handling of ▯▯ work**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q7.** Do you believe that the public officials (employees) involved in ▯▯ work **make improper solicitation to or exercise influence over external duty-related parties**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q8.** Do you believe that the public officials (employees) involved in ▯▯ work **perform their duties in an improper manner according to the solicitation made by duty-related parties or third parties**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

### ● Direct Experience of Corruption

Please answer the following questions if you have provided money, valuables, entertainment and/or conveniences to a public official (employee) of ▯▯ directly or through his/her spouse in the past 12 months. Your response will be used only for statistical purposes and remain strictly confidential under the Statistics Act. Your frank response will serve to enhance integrity in the public sector.

**Q9-1.** Have you **provided money, gift certificates, certificates, admission tickets, works of art, gifts, etc.** to a public

official (employee) of ▯▯ directly or through his/her spouse?

1. Yes
2. No

**Q9-2.** Have you **provided excessive or improper honorarium, consulting fees, contributions, etc.** to a public official (employee) of ▯▯ directly or through his/her spouse?

1. Yes
2. No

**Q10-1.** (If you have provided any of the benefits indicated in Q.9-1 or Q.9-2) Then, how many times in total did you provide money, gift certificates, honorarium, consulting fees, contributions, etc. in the past 12 months?

- |                  |                  |
|------------------|------------------|
| 1. Once          | 2. Twice         |
| 3. Thrice        | 4. 4 - 5 times   |
| 5. 6 - 7 times   | 6. 8 - 10 times  |
| 7. 11 - 15 times | 8. Over 15 times |

**Q10-2.** (If you have provided any of the benefits indicated in Q.9-1 or Q.9-2) Then, what is the total amount of the money, gift certificates, honorarium, consulting fees, contributions, etc. you provided in

**the past 12 months?**

1. Under KRW 50,000
2. KRW 60,000~150,000
3. KRW 160,000~300,000
4. KRW 310,000~500,000
5. KRW 510,000~1 million
6. KRW 1.01~2 million
7. KRW 2.01~3 million
8. KRW 3.01~5 million
9. KRW 5.01~10 million
10. Over KRW 10.01 million

**Q11-1.** Have you **provided meals, drinks, entertainment, etc. worth over KRW 30,000 per person** to a public official (employee) of ▯▯ or his/her spouse?

1. Yes
2. No

**Q11-2.** Have you **provided golf trips, domestic/overseas travels, etc.** to a public official (employee) of ▯▯ or his/her spouse?

1. Yes
2. No

**Q12-1.** (If you have provided any of the benefits indicated in Q.11-1 or Q.11-2) How much in total did you spend in providing **meals, drinks, entertainment, golf trips, domestic/overseas travels, etc. worth over KRW 30,000 per person** in the past 12 months?



- |                  |                  |
|------------------|------------------|
| 1. Once          | 2. Twice         |
| 3. Thrice        | 4. 4 - 5 times   |
| 5. 6 - 7 times   | 6. 8 - 10 times  |
| 7. 11 - 15 times | 8. Over 15 times |

**Q12-2.** (If you have provided any of the benefits indicated in Q.11-1 or Q.11-2) How much in total did you spend in providing **meals, drinks, entertainment, golf trips, domestic/overseas travels, etc. worth over KRW 30,000 per person in the past 12 months?**

1. Under KRW 50,000
2. KRW 60,000~150,000
3. KRW 160,000~300,000
4. KRW 310,000~500,000
5. KRW 510,000~1 million
6. KRW 1.01~2 million
7. KRW 2.01~3 million
8. KRW 3.01~5 million
9. KRW 5.01~10 million
10. Over KRW 10.01 million

**Q13-1.** Have you **provided accommodation, transportation, sponsorship for an event, improper support for work, etc.** to a public official (employee) of □□ or his/her spouse?

1. Yes
2. No

**Q13-2.** Have you **helped the relatives of a public official (employee) of □□ find employment or given the public official (employee) any favors in financial or real estate transactions, etc.?**

1. Yes
2. No

**Q14-1.** (If you have provided any of the benefits indicated in Q.13-1 or Q.13-2) How many times in total did you provide **accommodation, transportation, favors in employment, or financial or real estate transactions, etc. in the past 12 months?**

- |                  |                  |
|------------------|------------------|
| 1. Once          | 2. Twice         |
| 3. Thrice        | 4. 4 - 5 times   |
| 5. 6 - 7 times   | 6. 8 - 10 times  |
| 7. 11 - 15 times | 8. Over 15 times |

**Q15-1.** (If you answered "yes" to Q. 9, Q.11, or Q.13) **When did you provide the above benefit(s)?** Please indicate all that apply.

1. Before the processing of work
2. During the processing of work
3. After the processing of work
4. Frequently
5. On special occasions such as holidays or events held by the public organization

6. During transfer of the public official (employee) in charge of the work
7. Other  
(please specify: \_\_\_\_\_)

**Q15-2.** (If you answered "yes" to Q. 9, Q.11, or Q.13) What was the reason for providing **the above benefit(s)**? Please indicate all that apply.

1. It was requested by the public official (employee) in charge
2. To speed up the work process
3. To collect relevant information
4. To facilitate the work or alleviate the penalty
5. As an appreciation for service
6. As a customary practice or courtesy or to maintain relationship
7. Other  
(please specify: \_\_\_\_\_)

● Indirect Experience of Corruption

**Q16.** Have you seen or heard of **your friend, colleague, employee in the same line of industry, or acquaintance providing money, valuables, entertainment or conveniences to a public official (employee) of □□ involved in work directly or through his/her spouse** in the past 12 months? Please exclude the information that you have obtained through the media.

1. Yes
2. No

## Additional Questions

**Q17.** Have you been asked by a public official (employee) of □□ to give good reviews if you participate in this year's Integrity Survey conducted by the Anti-Corruption & Civil Rights Commission?

1. Yes → Go to Q. 17-1)
2. No → Go to DQ. 1)

**Q17-1.** (If "Yes") How were you asked, and what was the content of the request? Please specify in detail.

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## Questions for Data Classification

**DQ1.** This brings an end to the survey. Finally, let me ask one question for classification of the data. Which age group do you fall under?

1. 20s
2. 30s
3. 40s
4. 50s
5. 60 or over

**DQ2.** Gender of the respondent:

1. Male
2. Female

\* To be recorded by the interviewer by listening to the voice of the respondent.

▪ Thank you for participating in this survey. ▪



2017 Survey on the Internal Integrity of Public Organizations

We at \_\_\_\_\_ are conducting a survey on the integrity level of public organizations at the request of the Anti-Corruption & Civil Rights Commission. This is a survey on the “internal integrity” of the organization of your employment perceived from your perspective. Your personal information and response will remain strictly confidential in accordance with the Statistics Act. Your honest opinions and answers will contribute to improving the integrity of your organization, which will help your organization develop a better working environment and culture and gain more public confidence. We would appreciate it if you could take a moment of your time to answer the following questions.

• The following question is for data classification purposes.

**SQ1.** For how many years in total **have you been working** at \_\_\_\_\_ (name of organization)?

1. 10 years or less
2. 11 to 20 years
3. 21 to 30 years
4. 31 or more years

Please read each of the following questions carefully and choose the answer that best applies to you.

Integrity Culture Index

• Organizational Culture

**Q1.** Do you believe that the members of your organization **handle their tasks transparently**?

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

**Q2.** Do you believe that the members of your organization **perform their duties in an improper manner according to the solicitation made by duty-related parties or third parties**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q3.** Do you believe that **relationships based on regionalism, school relations, kinship and religion affect** the members of your organization in performing their duties?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q4.** Do you believe that the members of your organization **make improper solicitation to or exercise influence over external parties** in relation to their duties?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q5.** Do you believe that the members of your organization **use internal information for private purposes or give it to a third party**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

**Q6.** Do you believe that the members of your organization **accept money, valuables, entertainment and/or conveniences from other employees or duty-related parties**?

- Money and other valuables: Money, gift certificates, admission tickets, works of art, gifts, excessive/improper contributions, honorarium, consulting fees, etc.
- Entertainment: Meals/drinks worth over KRW 30,000, golf trips, domestic/overseas travels, etc.
- Conveniences: Accommodation, transportation, sponsorship for an event, improper support for work, arrangement for employment of the relatives of the official in charge, favors for financial or real estate transactions, etc.

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

• Anti-Corruption System

**Q7.** In the case that you report an act of corruption or public interest violation to your organization, do you expect that you will be **properly protected** from retaliatory

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

**Q8.** Do you believe that **those involved in corruption are effectively detected and punished** in your organization?

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

**Q9.** Do you believe that the system to prevent improper solicitation and graft **is operated efficiently** in your organization?

- Facilitation of consultation with the official in charge of handling improper solicitations and graft
- Management of reports of improper solicitations and outside lectures
- Training and promotional activities for employees to prevent improper solicitations and graft

Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
①	②	③	④	⑤	⑥	⑦

Work Integrity Index

• Personnel Management

**Q10.** How often do you believe **money, valuables, entertainment, conveniences and/or favors are provided**

in relation to personnel affairs such as recruitment, promotion, transfer, and performance evaluation in your organization?

Very often	Often	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q11.** To what extent do you believe providing money, valuables, entertainment and/or conveniences affects the result of personnel affairs in your organization?

Very often	greatly	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q12.** Did you provide other employee or his/her spouse with money or other valuables in relation to personnel affairs, such as promotion or transfer, in the previous 12 months?

1. Yes → Answer Q. 12-1) and Q. 12-2), and go to Q. 13)
2. No → Go to Q. 13)

**Q12-1.** (If you have provided any of the above benefits) Then, how many times in total did you offer money or other valuables in relation to personnel affairs, such as promotion or transfer, within the past 12 months?

1. Once
2. Twice
3. Thrice

4. 4 to 5 times
5. 6 to 10 times
6. 11 or more times

**Q12-2.** (If you have provided any of the above benefits) Then, how much money or other valuables in total did you provide in relation to personnel affairs in the past 12 months?

1. KRW 500,000 or less
2. KRW 510,000 to 1 million
3. KRW 1.01 million to 2 million
4. KRW 2.01 million to 3 million
5. KRW 3.01 million to 5 million
6. KRW 5.01 million or more

**Q13.** Did you provide other employee or his/her spouse with entertainment or conveniences in relation to personnel affairs, such as promotion or transfer, in the previous 12 months?

1. Yes → Answer Q. 13-1) and Q. 13-2), and go to Q. 14)
2. No → Go to Q. 14)

**Q13-1.** (If you have provided any of the above benefits) Then, how many times in total did you offer entertainment in relation to personnel affairs, such as promotion or transfer, within the past 12 months?

1. Once
2. Twice
3. Thrice
4. 4 to 5 times
5. 6 to 10 times
6. 11 or more times

**Q13-2.** (If you have provided any of the above benefits) Then, how much money or other valuables in total did you provide in relation to personnel affairs in the past 12 months?

1. KRW 500,000 or less
2. KRW 510,000 to 1 million
3. KRW 1.01 million to 2 million
4. KRW 2.01 million to 3 million
5. KRW 3.01 million to 5 million
6. KRW 5.01 million or more

**Q14.** (If you answered "yes" to Q. 12 or Q. 13) What was the reason for providing money, valuables, entertainment and/or conveniences in relation to personnel affairs? Please indicate all that apply.

1. It was requested by those related to personnel affairs such as superiors or personnel committee members
2. To collect relevant information
3. As an appreciation for the processing of personnel affairs
4. To prevent disadvantages in terms of personnel affairs
5. It is a customary practice
6. Other  
(please specify: \_\_\_\_\_)

**Q15.** Did your colleague provide other employee or his/her spouse with

money, valuables, entertainment and/or conveniences in relation to personnel affairs such as recruitment, promotion, transfer, and performance evaluation in the past 12 months?

1. Yes
2. No

● Execution of Budget

**Q16.** How often do you believe unlawful or unjustifiable execution of budget is occurring at your organization?

Very often	Often	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q17.** Were there any cases of unlawful or unjustifiable execution of budget for business promotion at your organization in the past 12 months?

- Payment for dining with colleagues, private gathering, etc.
- Gift of money to unspecified persons for celebration, condolence, consolation, farewell, etc.
- Encouragement money or contributions for outside events
- Holiday gifts, gifts to congratulate promotion
- Buying gift certificates and exchanging them for cash
- Overpayment and acceptance of the excess in cash

1. Yes → Answer Q. 17-1) and Q. 17-2), and go to Q. 18)
2. No → Go to Q. 18)

**Q17-1. (Only for those who observed unlawful or unjustifiable execution of budget) How many times in total have there been cases of unlawful or unjustifiable execution of budget for business promotion at your organization in the past 12 months?**

1. Once a year
2. 2-3 times a year
3. 1-2 times per quarter
4. Once a month
5. Twice a month
6. More often than twice a month

**Q17-2. (Only for those who observed unlawful or unjustifiable execution of budget) How much of the budget for business promotion in total was executed in an unlawful or unjustifiable manner at your organization in the past 12 months?**

1. KRW 500,000 or less
2. KRW 510,000 to 1 million
3. KRW 1.01 to 3 million
4. KRW 3.01 to 5 million
5. KRW 5.01 to 10 million
6. KRW 10.01 million or more

**Q18.** Were there any cases of **unlawful or unjustifiable execution of budget for operational costs, travel expenses, allowances, etc.** at your organization in the past 12 months?

- Overpayment and acceptance of the excess in cash
- Receipt of excessive travel expenses by falsely increasing travel dates, etc.
- Receipt of overtime payment by doing private activities in the office or having the overtime register signed by a colleague

1. Yes → Answer Q. 18-1) and Q. 18-2), and go to Q. 19)
2. No → Go to Q. 19)

**Q18-1. (Only for those who observed unlawful or unjustifiable execution of budget) How many times in total have there been cases of unlawful or unjustifiable execution of operational costs, travel expenses, allowances, etc. at your organization in the past 12 months?**

1. Once a year
2. 2-3 times a year
3. 1-2 times per quarter
4. Once a month
5. Twice a month
6. More often than twice a month

**Q18-2. (Only for those who observed unlawful or unjustifiable execution of budget) How much of the operational costs, travel expenses, allowances, etc. in total was executed in an unlawful or unjustifiable manner at your organization in the past 12 months?**

1. KRW 500,000 or less
2. KRW 510,000 to 1 million
3. KRW 1.01 to 3 million
4. KRW 3.01 to 5 million
5. KRW 5.01 to 10 million
6. KRW 10.01 million or more

**Q19.** Were there any cases of **unlawful or unjustifiable execution of budget for project expenses** at your organization in the past 12 months?

- Receipt of personnel expenses by falsely registering relatives as workers or assistants
- Inflation of the invoice amount and personal use of part of project costs
- Separation of orders to make a private contract
- Use of unspent budget for unspecified purposes

1. Yes → Answer Q. 19-1 and Q. 19-2), and go to Q. 20)
2. No → Go to Q. 20)

**Q19-1. (Only for those who observed unlawful or unjustifiable execution of budget) How many times in total have there been cases of unlawful or unjustifiable execution of project expenses at your organization in the past 12 months?**

1. Once a year
2. 2-3 times a year
3. 1-2 times per quarter

4. Once a month
5. Twice a month
6. More often than twice a month

**Q19-2. (Only for those who observed unlawful or unjustifiable execution of budget) How much of the project expenses in total was executed in an unlawful or unjustifiable manner at your organization in the past 12 months?**

1. KRW 500,000 or less
2. KRW 510,000 to 1 million
3. KRW 1.01 to 3 million
4. KRW 3.01 to 5 million
5. KRW 5.01 to 10 million
6. KRW 10.01 million or more

**Q20. (If you answered "yes" to any of the questions from Q. 17 to Q. 19) What do you believe are the reasons for the unlawful or unjustifiable execution of budget occurring at your organization? Please indicate all that apply.**

1. Insufficient operational, travel and promotional expenses, etc.
2. It had been a customary practice for a long time
3. It was instructed by superiors
4. Due to external pressure, lobbying, solicitation, etc.
5. Lack of ethics among individuals
6. Other  
(please specify: \_\_\_\_\_)



● Fairness in Orders Given by Superiors

**Q21.** How often do you believe the senior staff of your organization does not actively perform their given duties or avoids or imputes their responsibilities?

Very often	Often	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q22.** How often do you believe the senior staff of your organization gives unjustifiable work instructions?

Very often	Often	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q23.** How often do you believe disadvantageous treatment has been given as a result of non-compliance with the unjustifiable work instructions of the senior staff at your organization?

Very often	Often	Slightly	Neutral	Rarely	Hardly	Never
①	②	③	④	⑤	⑥	⑦

**Q24.** Have you been given unjustifiable work instructions by the senior staff while performing your duty within the past 12 months? (Please respond based on your own personal experience.)

1. Yes → Answer Q. 24-1) and go to Q. 25)
2. No → Go to Q. 25)

**Q24-1.** (Only for those who have been given unjustifiable work instructions) How many occasions in total were you given unjustifiable work instructions from the senior staff within the past 12 months?

1. Once a year
2. 2-3 times a year
3. 1-2 times per quarter
4. Once a month
5. Twice a month
6. More often than twice a month

● Corruption Committed by Colleagues

**Q25.** Did your colleagues perform their duties in an illegal or improper manner according to the solicitation made by duty-related parties or third parties in the past 12 months? Please exclude the information that you have obtained through the results of audit or media reports.

1. Yes
2. No

**Q26.** Did your colleagues accept money, valuables, entertainment and/or conveniences from external duty-related parties in the past 12 months? Please exclude the information that you have obtained through the results of audit or media reports.

1. Yes
2. No

The following questions deal with the willingness of the head (chief executive) of your organization to improve the integrity of your organization, and the effectiveness of anti-corruption efforts.

**Q27.** When considering the overall situation, to what extent do you believe the head of your organization is making efforts to improve the integrity of your organization

Never	Hardly	Rarely	Neutral	Slightly	Greatly	Very greatly
①	②	③	④	⑤	⑥	⑦

**Q28.** To what extent do you believe the senior staff of your organization is playing a leading role to improve the integrity of your organization?

Never	Hardly	Rarely	Neutral	Slightly	Greatly	Very greatly
①	②	③	④	⑤	⑥	⑦

The following question is regarding the assessment of integrity of the agency that supervises your organization. This is not related to the assessment of integrity of your own organization.

**Q29.** Have you, your colleagues or executives of your organization provided money, valuables, entertainment or conveniences to a public official of xx, the supervising agency of your organization, or his/her spouse in the past 12 months?

1. Yes
2. No

**Q30.** Have you been asked or ordered by your organization to give good reviews if you participate in this year's Integrity Survey conducted by the Anti-Corruption & Civil Rights Commission?

1. Yes → Go to Q. 30-1)
2. No → Finish the survey

**Q30-1. (If Yes)** How were you asked and what did they request? Please refer to the following, and specify in detail.

For instance, instructions or recommendations were made via e-mail, phone or text message, or during an training session or meeting, etc.; they emphasized that the integrity score is reflected in the evaluation of the organization and bonus, or they appealed for solidarity of the staff after mentioning the integrity score of the previous year.

▪ Thank you for participating in this survey. ▪

2017 Policy Customer Survey on the Integrity of Public Organizations

I am ooo (name of interviewer), employed at \_\_\_\_\_. We are conducting a survey on the integrity levels of public organizations at the request of the Anti-Corruption & Civil Rights Commission. This survey is "Policy Customer Evaluation," in which the integrity level of the public organization concerned is assessed by experts and members of related organizations who have knowledge about the functions of the public organization and its policy-making process. Your personal information and response will remain strictly confidential in accordance with the Statistics Act. We would appreciate it if you could take a moment of your time to answer the following questions.

SQ1. Classification 1 (Automatically checked based on the database)

- 1. Expert → Go to SQ2-1
- 2. Stakeholder → Go to SQ2-2

SQ2-1. Expert (Automatically checked based on the database)

- 1. Academic expert or advisor
- 2. Reporter accredited to the organization concerned
- 3. National Assembly (legislative aide or examiner)
- 4. Metropolitan/provincial council (councilor, aide, expert member)
- 5. Civil auditor
- 6. Auditor of a supervisory agency
- 7. Former employee of the organization concerned

SQ2-2. Stakeholder (Automatically checked based on the database)

- 1. Employee at a public organization
- 2. Member of an interest group
- 3. Member of a civic organization

SQ3-1. (Excluding those who chose Answer 7 of SQ2-1) Do you work in the line of business or are you in charge of work related to public organization oo?

- 1. Yes    2. No → Stop the interview

SQ3-2. (Only those who chose Answer 7 of SQ2-1) Did you work at public organization oo in the past?

- 1. Yes    2. No → Stop the interview

(Excluding those who chose Answer 7 of SQ2-1) Now we will start a survey on the integrity level of public organization oo. Please listen to the following questions carefully and choose the answer that best applies to you.

(Only those who chose Answer 7 of SQ2-1) Now we will start a survey on the integrity level of public organization oo where you worked in the past. Please listen to the following questions carefully and choose the answer that best applies to you.

Perception of Corruption

Q1. Do you believe that the public officials (employees) of OO have pursued unnecessary projects or wasted budget?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Q2. Do you believe that the public officials (employees) of OO have made improper solicitation to or exercised influence over external parties in relation to their duties?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree
①	②	③	④	⑤	⑥	⑦

Q3. Do you believe that the public officials (employees) of OO have performed their duties in an improper manner according to the solicitation made by duty-related parties or third parties?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Q4. Do you believe that the public officials (employees) of OO have given favors to particular individuals?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Q5. Do you believe that having a relationship with the public officials (employees) of OO based on regionalism, school relations, kinship and religion affects the handling of their work?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Q6. Do you believe that public organization OO is disclosing information on its major policies and projects in a transparent manner?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Q7. Do you believe that the public officials (employees) of OO have abused their authority in performing their duties?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

**Q8.** Do you believe that the **retired public officials (employees) of OO** have **attempted lobbying or influence-peddling over OO**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

**Q9.** Do you believe that the public officials (employees) of OO have **used internal information for private purposes or given it to a third party**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Control of Corruption

**Q10.** Do you believe that public organization OO **strictly controls and punishes those involved in corruption**?

Strongly agree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

**Q11.** Do you believe that public organization OO **effectively protects reporters of corruption and public interest whistle-blowers**?

Strongly disagree	Agree	Slightly agree	Neutral	Slightly disagree	Disagree	Strongly disagree	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

**Q12.** In your opinion, to what extent is public organization OO **making efforts to prevent corruption and improve its integrity**?

Never	Hardly	Rarely	Neutral	Slightly	Greatly	Very greatly	Don't know/ No response
①	②	③	④	⑤	⑥	⑦	⑧

Experience of Corruption

**Q13.** Have you **seen or heard of the public officials (employees) of OO accepting money, valuables, entertainment or conveniences from colleagues or third parties** in the past 12 months? Please exclude the information that you have obtained through the results of audit or media reports.

1. Yes
2. No

Improper Solicitation

The following questions are regarding improper solicitations in the public sector. They are not reflected in the Integrity Score of public organization OO.

**Q14.** Have you received any **improper solicitations** from the **public officials (employees) of OO** to **exercise influence** on their duties in the past 12 months?

1. Yes
2. No

**Q15.** Have you **seen or heard** of the public officials (employees) of OO **performing their duties in an improper manner according to the solicitation made by external duty-related parties or third parties** in the past 12 months? Please exclude the information that you have obtained through the results of audit or media reports.

1. Yes
2. No

▪ Thank you for participating in this survey. ▪



<Appendix 3> Results of 2017 Integrity Assessment

2017 Integrity Index of Korea slightly increased to 7.94

ACRC announced the results of 2017 Integrity Assessment of public organizations

On December 6, the ACRC announced the results of the 2017 Integrity Assessment of 573 public organizations. The integrity score of public organizations is calculated by combining the survey results of citizens who had direct/indirect experience of the works of the target organizations and the score for the occurrences of corruption.

The Comprehensive Integrity Index is produced out of a 10-point-scale by adding up the scores from the external integrity, internal integrity and policy customer surveys, and deducting points for the occurrences of corruption and actions lowering the reliability of the survey results.

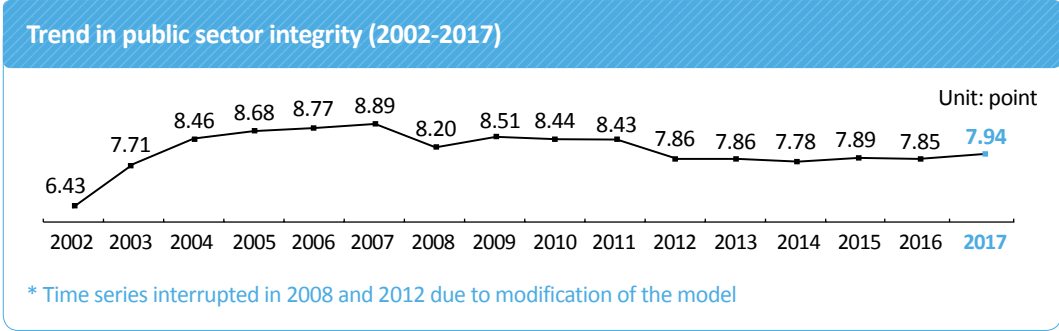
The survey this year was conducted for 4 months from August to November and was administered to more than 235,600 people in total, including 152,000 public service users (external integrity assessment), 63,200 staff members of public organizations (internal integrity assessment), and

20,400 policy customers (policy customer evaluation) consisting of experts from academia, civil society, local residents and school parents.

Overall integrity level in the public sector

The comprehensive integrity score of all public organizations in 2017 was 7.94 out of 10, a 0.09-point increase from 7.85 of the previous year. Over the past year, both external integrity and policy customer integrity levels rose to 8.13 points and 7.29 points respectively, while internal integrity level decreased to 7.66 points.

The results indicate that since the implementation of the Improper Solicitation and Graft Act in September last year, the rate of offering money, gifts and entertainment to public officials and the amount of such benefits offered considerably declined, while public sector employees are less tolerant of corruption.

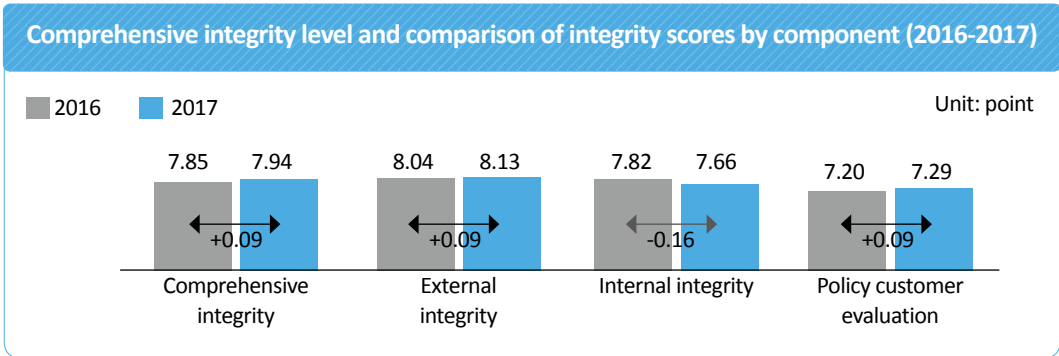


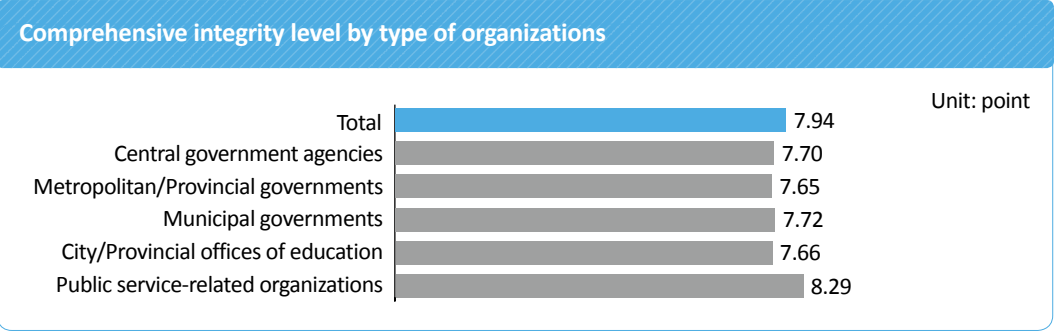
By type of target organization, the comprehensive integrity level of public service-related organizations showed the highest score of 8.29 points, while metropolitan/provincial governments recorded the lowest score for the comprehensive integrity level as 7.65 points.

Among central administrative organizations, Statistics Korea and the Ministry of Personnel Management had the highest level of integrity. In the local government category, Chungcheongnam-do Province received the highest integrity score among provincial and metropolitan governments; Gyeongsan-si of Gyeongsangbuk-do, Changnyeong-gun of

Gyeongsangnam-do, and Haeundae-gu of Busan Metropolitan City for the respective categories of cities (si), counties (gun) and districts (gu); and the Busan Metropolitan Office of Education among the offices of education.

In the case of public service-related organizations, the highest levels of integrity were exhibited respectively by National Health Insurance Service, Korea Midland Power, Korea Housing Finance Corporation, Police Mutual Aid Association, Ulsan Port Authority, Korea Institute of Science and Technology, Gwangju Metropolitan Rapid Transit Corporation and Daejeon Metropolitan Express Transit Corporation.





External integrity level

The external integrity levels evaluated by the people who had direct experience with the services of public organizations scored 8.13 points, a 0.09 point increase from 8.04 points of last year.

Over the past year, the ratio of survey respondents with direct experience of corruption by offering money, entertainment or convenience to public officials was reduced significantly to 1.0% from 1.8% of last year. Particularly, the ratio of offering money or entertainment to public officials decreased by 34% and 57% respectively from last year, which indicates the substantial reduction of corrupt practices of offering graft to public officials since the implementation of the Improper Solicitation and Graft Act in September 2016.

Meanwhile, the public perception on performance of duties according to improper solicitations (+0.05 points), special favors given to certain people (+0.06 points), performance of duties based on personal relationships (+0.07 points), and improper exercise of influence (+0.05 points) have improved from a year earlier.

This year’s assessment was conducted for 2,295 work areas in a total of 573 organizations. The survey results show that the external integrity levels are relatively high for management of contracts and provision of subsidies.

Corruption-prone areas by type of organization include investigation and inspection for central administrative organizations and public service-related organizations, and management and supervision of construction and permission and approval for local governments.

Internal integrity level

The internal integrity levels evaluated by the employees of public organizations scored 7.66 points, a 0.16 point decrease from 7.82 points of last year.

The Integrity Culture Index, including organizational culture and anti-corruption systems, and the Work Integrity Index, including personnel management and budget spending, have decreased by 0.13 points and 0.19 points respectively compared to the previous year.

The rate of offering money, entertainment or convenience in relation to personnel management (0.4%) remained the same as last year. The rate of experience of illegal or undue execution of budget increased by 0.8% point to 8.5%, and the rate of experience of improper order by superiors rose by 1.2% point to 8.7%.

Corruption-prone areas by type of organization include offering money, entertainment or convenience in relation to personnel management (0.7%) and illegal or undue execution of budget (9.7%) for municipal governments, and improper order by superiors (10.2%) for offices of education.

Deduction for corruption cases

The ACRC has enhanced the validity of the Integrity Assessment by calculating the occurrences of corruption and deducting points from the survey results since 2012. This year, the number of corruption cases reflected in the assessment result is 488 cases from 202 organizations in total.

By type of organizations where corruption cases occurred, administrative agencies (central government agencies, local governments, and offices of education) recorded 406 cases from 148 organizations, and public service-related organizations had 82 cases from 54 organizations.

While the number of public organizations subject to deduction of integrity scores slightly increased from the previous year, the total amount of assets involved in corruption decreased to 7.88 billion won from 8.4 billion won of last year.

Follow-up action

Based on the results of this year’s Integrity Assessment, the ACRC will encourage the public organizations with low levels of integrity to make voluntary efforts to reduce corruption by implementing corruption prevention policies and initiatives focusing on their corruption-prone areas.

At the same time, the Commission will spread the best practices of the organizations with high integrity scores in order to raise the level of integrity in the public sector as a whole.

Starting from 2016, public organizations are required to publish the results of integrity assessment on their respective websites for at least one month.

<Appendix 4> Frequently Asked Questions

Q1. What is the purpose of the Integrity Assessment?

The IA is carried out to accurately identify the causes and status of corruption in public service on the basis of assessments by both external and internal customers of public service (citizens, employees of public organizations, stakeholders, and experts). It is impossible to ensure an objective assessment if assessment results rely on limited sources such as media reports or subjective perceptions of organizational image. To avoid this, the IA is based on the results of surveys of citizens and employees of public organizations who have experienced public organizations’ works as well as experts and stakeholders. Data sources also include objective data including the statistics of corruption cases.

Q2. Why is the Integrity Assessment based on the result of surveys?

An assessment and analysis of the levels of corruption in the public sector needs to be based on facts and reality so that it can be used to accurately diagnose the current status of corruption and develop effective anti-corruption strategy. The current status of integrity in public

organizations can be evaluated by their employees from an internal perspective, while external viewpoints can be provided by citizens, public officials and stakeholders who have experienced the works of the public organizations concerned. Surveys that guarantee complete anonymity and confidentiality can attract frank answers from respondents.

Surveys are widely used worldwide to measure the levels of corruption. A majority of the source data comprising the Corruption Perceptions Index (CPI) draw on survey results.

Starting from 2011, the ACRC has incorporated Incidences of corruption in public organizations in the assessment framework to improve the objectivity of assessment results.

Q3. Why is the Integrity Assessment carried out by survey companies?

The Integrity Assessment for public organizations is based on a survey of more than 200,000 respondents. Such a large-scale survey needs to be conducted by a professional poll agency with professional staff and facilities to ensure accuracy and

efficiency. That’s why the ACRC commissions the surveys for the Integrity Assessment to private pollster companies, which are selected through open bidding process every year.

Q4. Why does the Integrity Assessment not cover anti-corruption "efforts" made by public organizations?

In the Integrity Assessment, “integrity” is defined as the degree to which public officials perform their duties in a transparent and fair manner without committing corruption. It does not refer to the degree of anti-corruption efforts made by public sector organizations. In other words, the Integrity Assessment measures the “current status of integrity levels” achieved as a result of such anti-corruption efforts.

There is a separate anti-corruption tool called the Anti-Corruption Initiative Assessment, which has been implemented by the ACRC since 2002 to evaluate the anti-corruption efforts of public organizations.

Q5. How are weights for External Integrity, Internal Integrity and Policy Customer Evaluation calculated?

The weight for each component of Comprehensive Integrity represents the relative importance of one component against the others. People have different

views about the relative importance of various concepts. Therefore, weights for the components and survey items of the Integrity Assessment are produced by a group of academics, related experts, civic organizations and the public organizations subject to the assessment based on the Delphi method. The weights can vary every year according to the improvement of the assessment framework.

Q6. Can we get the External Integrity score by averaging the Corruption Index and the Corruption Risk Index?

No. We cannot get the score for External Integrity by simply averaging the total score of its components. Each of the components comprising the Integrity Index is weighted, and the score for each component is multiplied by its own weight. In addition, the score of Occurrences of Corruption is applied to get the final score for External Integrity.

Q7. Can we get the External Integrity score by averaging the scores for target works of each public organization?

No. External Integrity score is different from the value produced by averaging the integrity scores for each work. The reason is that there are two types of survey items

with one requiring answers on a 7-point scale, and the other requiring answers in frequency or amount of corruption experience.

Depending on the type of questions, different methods are used to produce the integrity score. In the case of survey items with 7–point scale answer choices, scores are produced by averaging the integrity scores of each work. In the case of survey items asking frequency or amount of corruption experience, on the other hand, scores are not produced for each target work but for the entire organization by applying a formula using the UCP value.

Q8. What is the rate of gratuities offered?

It is the rate of the people who answered that they provided gratuities to public officials out of entire respondents. That is, the rate of gratuities offered = (the number of people who said to have provided gratuities/the number of entire respondents)×100. Here, entire respondents mean all respondents who participated in a given survey.

Q9. Can we get 0 for the score of Corruption Experience?

Yes. In the case of Corruption Experience, a cut-off point (UCP) is determined to deal with outliers in the statistical distribution,

and the score for Corruption Experience of an organization exceeding this point will be zero.

For example, we can arrange the values for the average frequency of gratuities offered for each public organization (total frequency of corruption experience/the number of entire respondents) in ascending order, and suppose the highest frequency is 100. If organization A’s average frequency of gratuities offered is below 95% of entire organizations’ average frequency of gratuities offered, the score for frequency of gratuities offered is produced according to the formula below. If the organization’s average frequency of gratuities offered is 95% or higher, the score for gratuities offered will be 0.

Frequency of gratuities/entertainment/convenience offered for an organization

Average frequency of offers for an organization

$$= 10 \times (1 - \frac{\text{Average frequency of offers for an organization}}{UCP_i})$$

\* UCP<sub>i</sub>= value equivalent to 95% of cumulative gamma distribution of average frequency of offers for all organizations

Q10. Can we get a list of the public officials who received gratuities or entertainment?

The survey questionnaire for the Integrity Assessment does not include questions about the persons who were offered gratuities or

entertainment by respondents. Therefore, the survey findings do not tell us which public officials received gratuities or entertainment. Besides, since the main purpose of the Integrity Assessment is to diagnose the status and causes of corruption, it is not appropriate if survey findings are used to detect public officials who committed corruption.

**Q11. Can we know the respondents who offered gratuities or entertainment to public officials?**

The responses to the survey for the Integrity Assessment are codified before being registered in the database system. Therefore, it is impossible to identify survey respondents according to the contents of their answers. Besides, personal information of survey respondents cannot be disclosed since information that has become known in the course of conducting a survey should not be used for any purpose other than that of collecting statistics.

**Q12. What we need to do to improve the integrity score of our organization?**

It is difficult to give a perfect answer to the question about improving integrity since the characteristics of functions and

organizational environment vary among organizations. However, we can notice some common features from the organizations rated highly in the Integrity Assessment. First of all, leaders demonstrate a strong determination to tackle corruption and high-level officials take the lead in maintaining high levels of integrity. Such organizations make an effort to remove the possibility of corruption through monitoring of public service delivery, while trying to ensure reasonableness in personnel management and budget spending. They also impose heavy punishment on corrupt officials by applying strict disciplinary standards.

In addition, steady efforts to prevent corruption by improving systems, culture and practices will be effective in improving integrity in the long term rather than fragmentary or perfunctory attempts to improve the integrity score. Organizations are advised to make a voluntary effort to examine detailed and specific causes of their vulnerability to corruption. Besides, since the Integrity Assessment is based on the assessment made by internal and external customers of public service, it is necessary to set up a strategy to improve integrity from their perspective.





