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The Corruption Risk Assessment Methodology

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Corruption Risk Assessment Methodology

- Within the framework of the **Intersectoral Anti-Corruption Strategy 2024–2030**, the Corruption Risk Assessment methodology is a key component for identifying and managing corruption risks in public sectors and institutions.
- The strategy has identified several vulnerable sectors, such as property, health and social care, education, public procurement, taxation, and customs, which have a significant impact on governance and public trust in institutions.
- On the other hand, at the institutional level, anti-corruption coordinators have been appointed in 26 institutions.
- This instrument will be used by anti-corruption coordinators to assess corruption risk by analyzing the likelihood of corruption occurring, also based on whistleblowing reports, citizen complaints, or media initiatives. For institutions that do not have anti-corruption coordinators, this process will be overseen by the GDAC.

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Types of Corruption Risk Assessment

- **Institutional-level CRA** – This process is useful for strengthening preventive measures and identifying weaknesses that may lead to corruption within an institution.
- **Sectoral CRA** – Unlike institutional CRAs, sectoral CRAs are more oriented toward the systemic characteristics of a specific sector. This type of assessment focuses on systemic risk factors and shared risks across institutions within the sector, such as public procurement management, budgeting, or human resource management. Sectoral CRAs can be integrated with other assessments at the institutional level to create a comprehensive risk management framework in the relevant sectors.
- **Targeted or ad hoc CRAs** – This type of assessment focuses on analyzing corruption risks in specific projects, structures, work processes, or policies within an institution. It helps analyze why a process has not functioned properly and what measures can be taken to prevent similar events from occurring in the future.

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CORRUPTION RISK ASSESSMENT PROCESS:

KEY STEPS FOR EFFECTIVE IMPLEMENTATION

01. Planning the Corruption Risk Assessment

- Establishing the working group
- Mapping the areas and decision-making processes that will be assessed

02. Risk Assessment and Development of the Risk Map

- Assessing corruption opportunities and their potential consequences
- Developing a risk map that identifies risk levels for each area and intervention priorities

03. Developing Mechanisms to Address Corruption Risks

Creating strategies and action plans for:

- addressing identified risks
- ensuring the implementation of preventive and corrective measures

04. Monitoring and Evaluation

Monitoring progress in implementing all aspects of the Corruption Risk Assessment, including updating it to reflect changes in priorities, activities, the legal framework, and the organizational structure.

05. Transparency and Consultation

Consultation should be conducted with various stakeholders, including:

- Public institution employees
- Civil society organizations
- The business sector
- Academic experts

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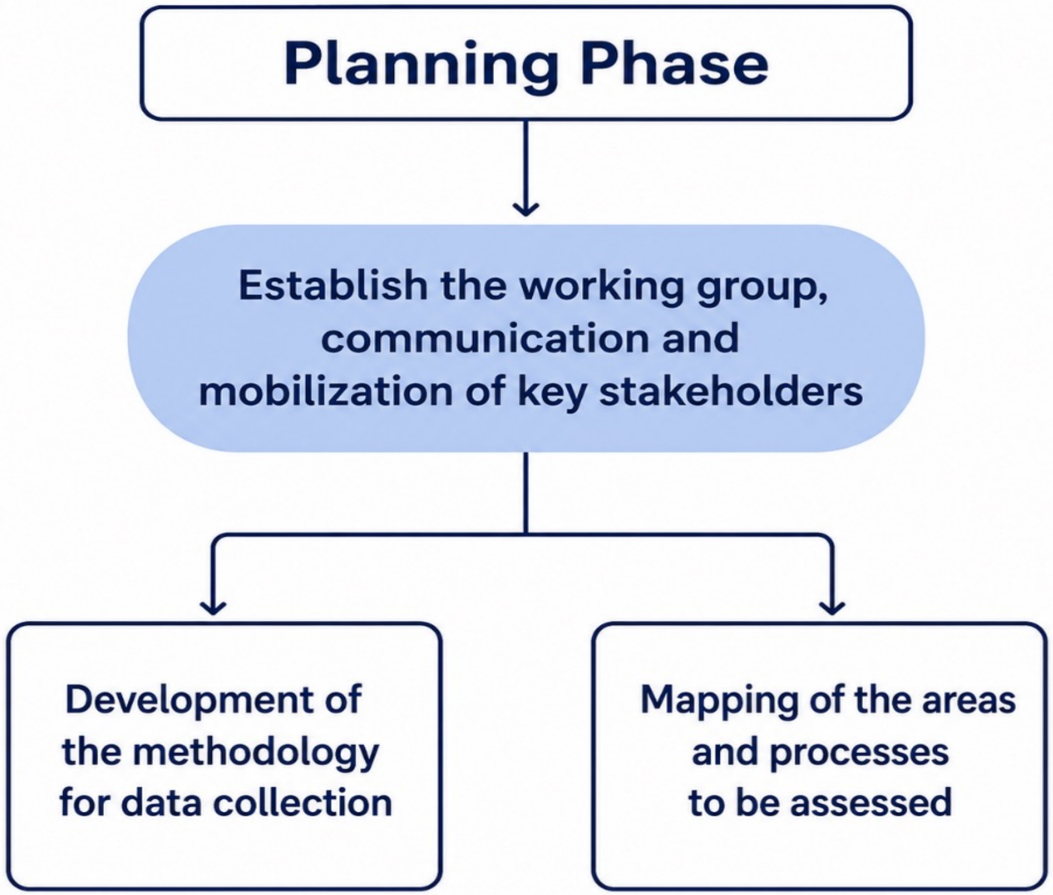

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Establishment of the Working Group

•**At institutional level:** The Head of the Institution establishes a working group for the CRA. It includes the highest-ranking senior official, the anti-corruption coordinator in the institution (process coordinator), the integrity coordinator, the ethics advisor, the focal point for the implementation of the Anti-Corruption Strategy within the institution, directors of key departments within the institution, the head of the authority responsible for preventing conflicts of interest, the head of the whistleblowing and whistleblower protection unit in the institution, risk coordinator, the coordinator for the right to information etc.

•**At sectoral level**, the composition of this group should be multi-stakeholder and include various actors from the sector (in the form of a task force) who are closely related to corruption risk management. This group may include:

- Employees/officials from the relevant sector.
- Representatives from anti-corruption bodies, such as the General Directorate for Anti-Corruption , SAI, HIDAACI, the Commissioner for the Right to Information and Protection of Personal Data , as well as the Commissioner for Protection from Discrimination, who provide expertise and oversight.
- Civil society actors: for example, representatives from NGOs, academics, trade unions, etc., who have relevant expertise or operate within the respective sector.

•**Targeted CRA at process or project level** – The working group is established by the Head of the Institution and includes the anti-corruption coordinator (or, in their absence, a representative of GDAC), the risk coordinator in the institution, as well as employees involved in the process or project being assessed.

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Mapping of the Areas to be Assessed

•In corruption risk assessment, it is essential to identify the areas and key decision-making processes that may create opportunities for acts of corruption.

•Within public institutions/sectors, decision-making areas are divided into common areas, which are the same for every institution/sector, and specific areas, which include those functions for which institutions/sectors have defined responsibilities and competencies.

•In this context, the identification of **decision-making processes** within the assessment areas is essential. Every decision made within these assessment areas may create opportunities for corruption.

•The methodology analyses 8 high risk areas:

- ✓ Policy and legislative development
- ✓ Financial management
- ✓ Public procurement
- ✓ Control, audit, and anti-corruption mechanisms
- ✓ Transparency and accountability
- ✓ Human resources management
- ✓ Public service delivery
- ✓ Licensing and permits

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Data Collection Methodology

The data collection methods within the framework of corruption risk assessment are varied and interrelated, including desk research, questionnaires, focus groups and interviews, analysis of whistleblowing reports, as well as information collected from the media.

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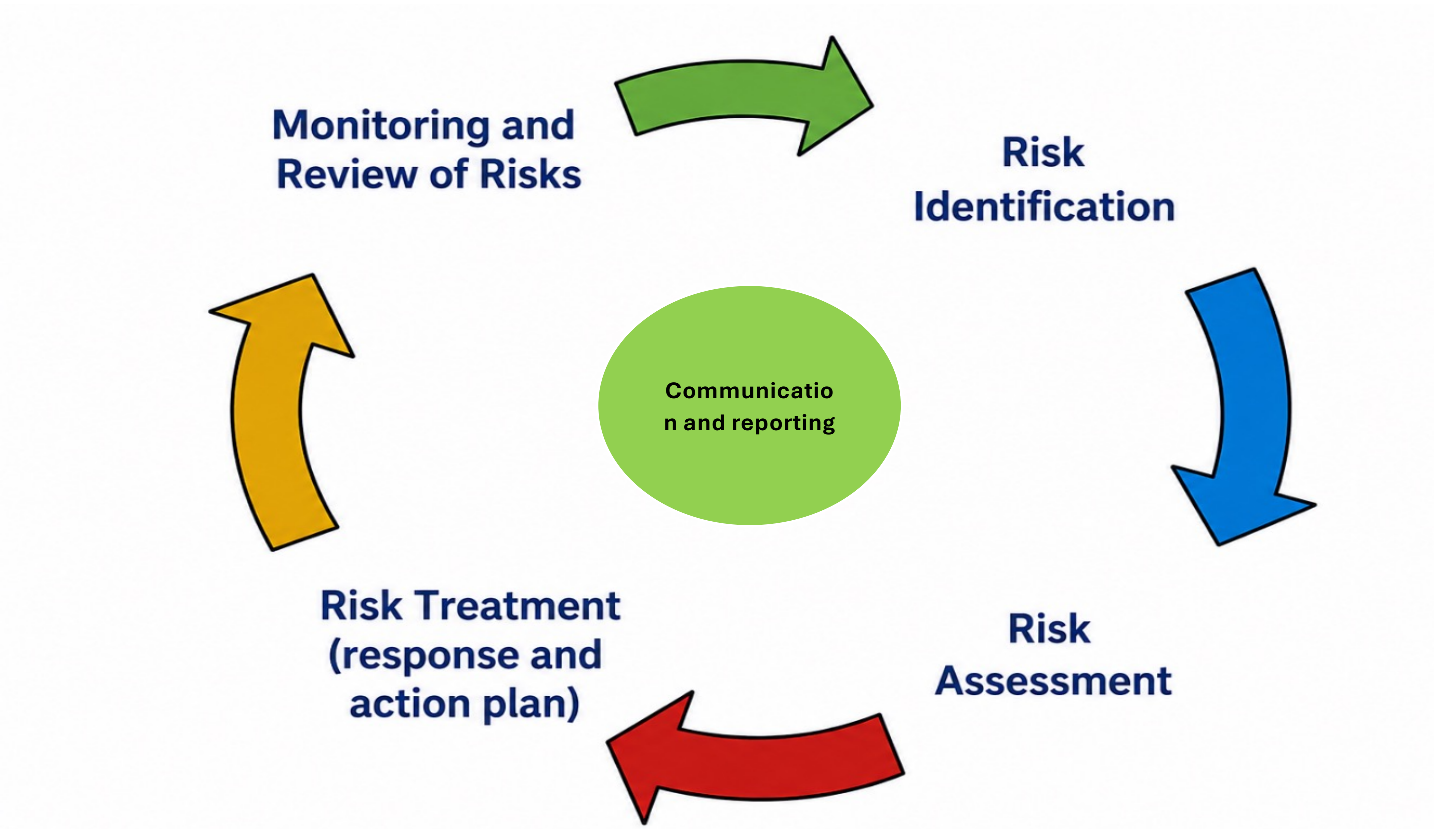
Corruption Risk Management Cycle



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Risk Intensity Assessment – Risk Matrix

The risk level assessment is based on a combination of the likelihood of an event occurring and the impact if it occurs.

Risk Intensity Assessment		RISK ASSESSMENT		
		The risk did not occur in the past or occurred very rarely, so it is unlikely to occur in the future. (1)	The risk has occurred in a number of cases in the past, so the likelihood that it will occur in the future is moderate (2)	The risk has occurred frequently in the past and is highly likely to occur in the future (3)
	The impact is insignificant **(1)**	**1**	**2**	**3**
	The impact is significant **(2)**	**2**	**4**	**6**
	The impact is very significant **(3)**	**3**	**6**	**9**

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Risk Management Plan

- The final outcome of this phase is the development of a detailed plan that will guide the measures for managing risks and ensure that they are properly addressed and prioritized.
- This plan should take into account the available resources, such as finances, and human resources, which will enable the effective implementation of the measures.
- The risk register, prior to approval, is communicated to all employees of the institution and other stakeholders. This step ensures transparency and allows all actors to provide comments that may be useful for further improving the plan and the measures taken.

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Monitoring and Evaluation of CRA

- The main objective is to improve performance and assess the achievement of objectives.
- M&E is also essential for learning from previous experiences and for undertaking future initiatives. It enables the early identification of problems in a process, project, or program.
- Since the Anti-Corruption Plan has a 3-year timeframe, its implementation will be monitored every 1.5 years.
- In the case of monitoring the implementation of the Anti-Corruption Plan in a specific institution, the Anti-Corruption Coordinator is responsible for carrying out the monitoring of the plan. At the sectoral level, this monitoring will be conducted by GDAC and the relevant sector unit. To ensure objectivity of the process, the evaluation may be carried out by independent evaluators, such as civil society experts, independent institutions, and other external stakeholders.

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Transparency and Consultation

•A key element for the success of corruption risk assessment is transparency and the active engagement of citizens, civil society, and other stakeholders. For this reason, it is important that the results of the assessment and the plan of measures for addressing corruption risks are made available to the public.

•Likewise, publishing the results of periodic monitoring is necessary to ensure transparency and to enable civil society and other actors to contribute to and oversee the process. This ongoing engagement not only helps increase trust and accountability but also provides an opportunity for stakeholders to offer recommendations and actively contribute to policy-making.

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Innovations and Benefits

•This document compiles international best practices and is designed to be adapted to the Albanian context, providing an appropriate framework for national authorities in the fight against corruption. It incorporates well-known international knowledge and practices from organizations such as Transparency International, UNDP, UNODC, OECD, and EC in order to offer a comprehensive and suitable framework for national authorities in combating corruption.

•It also takes into account previous experience in Albania under the Anti-Corruption Project in Albania (PACA), funded by the Council of Europe and the European Union in 2010, as well as the Integrity Risk Assessment Methodology of 2020.

•It is the first methodological document that addresses corruption risk assessment at institutional, sectoral, and targeted (process) levels.

•It clarifies the role of anti-corruption coordinators and the General Directorate for Anti-Corruption in the process.

•It is user-friendly, as it provides concrete examples of all steps of the process, including possible risks in high-risk corruption areas, as well as the instruments that make the methodology implementable, including questionnaires.

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Thank you

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