

Anti-corruption System in a Higher Education Institution in the Context of Good Governance

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Abstract

A higher education institution striving for excellence puts effort to render effective, transparent services, sparingly use financial resources provided by the state and customers, intellectual resources and property. Corruption prevention is part of quality in a higher education institution therefore creating an anti-corruption system and integrating it into the internal quality assurance system can be the first step of the institution towards better governance. Even if no corrupt practices have been identified in an institution an all-encompassing anti-corruption policy will reduce a corruption risk and will promote international cooperation. The paper presents the survey carried out in 2012-2013 in the university and the model of an anti-corruption system built on the findings. The survey showed that both, the decision-makers, surveyed online, and the interviewed experts, specialists in the field, are of the opinion that an anti-corruption system should be created and implemented in a higher education institution as it is a precondition for good governance.

Introduction

Good governance results in the quality of services; the term ‘good governance’, used in the public sector, is linked to quality, efficiency (a long-term effect) and transparency of services. All that is particularly relevant to higher education institutions since they manage funds allocated by the state as well as those provided by the EU, consequently, taxpayers are concerned whether their money is used efficiently to develop competencies needed in the labor market. Nowadays, when higher education has become global, academic networks have been created, students and teaching staff have become mobile, a transparent, open higher education institution, access to its services are the key precondition for entering a global higher education space, experience sharing, developing research, labor force. It is set out in communication from the European Commission *European Higher Education in the World* of 11 July 2013 that higher education institutions committed

to attract and retain most talented students should improve the quality of rendered services. Lithuanian scholars in higher education note that greater openness, publicity of activities of Lithuanian higher education institutions will be a step towards that goal (Bileviciene, Bileviciute, 2012; Puraite, 2011; Saparniene et al., 2011).

Corruption surveys carried out in the EU and Lithuania (e.g. The National Integrity Study, The Youth Integrity Study, etc.) show that corruption level is rather high and integrity level is low in Lithuania. Corruption, i.e. *abuse of trusted powers for private gain*, is one of the most harmful social phenomena since it puts institutions in danger, undermines their stability and the moral foundations of society. In the public sector, it is first and foremost related to excessive bureaucracy and over-regulation, inability to reconcile discretion and accountability in decision making. That is typical of higher education institutions although namely they should promote society’s intolerance to corruption, encourage citizens to take strong actions against it.

According to *The Lithuania Map of Corruption 2011*, although higher education institutions are less corrupt than the Seimas, police, courts, etc., they are still on the list of corrupt institutions and were among top corrupt institutions in the previous study. As scholars note, corruption is a deep-rooted phenomenon and may take sophisticated forms so it is even more dangerous, may cause conflicts of interest among employees, teaching staff, politicians. C. Ferguson claims that corruption in universities is the main barrier and hinders from putting their principles into practice and implementing their goals. One way of preventing corruption in a higher education institution is to discuss it openly. An anti-corruption policy set forth in the strategic documents of an institution can raise its reputation, attract more applicants, help build international partnerships.

The National Anti-Corruption Programme 2011-2014 (hereinafter Programme) has identified that university teachers and students need more knowledge of anti-corruption. The Programme, approved by the Seimas of the Republic of Lithuania on 16 June, 2011, sets forth that higher education institutions should more actively participate in corruption prevention activities, promote the public to take strong actions against corruption. A higher education institution, like all state and municipality institutions, should accept a challenge and put effort into preventing corruption in itself: foresee measures against corrupt practices, analyze corruption-related offences, inform the public about the results, offer anti-corruption education to the community. Since a higher school is accountable for the implementation of a state anti-corruption policy, corruption prevention activities should be integrated into its general management system or a separate anti-corruption management system should be created.

An anti-corruption system in an institution encompasses management, legal basis. Its parts, foreseen measures can be analogous to those developed by other institutions. An institution, having identified that the implementation of an anti-corruption policy is not part of its key strategic goals, having understood its systemic impact on other activities, seeking to improve them (management including) should create a unique system or modify the existing one and adapt it to its needs. The new one will function more effectively since it will be created taking into consideration preparedness of the academic community to implement an anti-corruption policy and its parts, interactions, measures will be chosen having performed analysis.

The aim of this paper is *to model an anti-corruption system in a higher education institution based on scientific literature on corruption prevention, survey findings, opinions of the academic community and experts, their insights into the need of an anti-corruption system (sub-system of management) and its structure.*

The following research methods were used: analysis of scientific literature and sources, a questionnaire-based survey, a semi-structured interview, systematization, comparison and analysis of research data using the SPSS and Excel software, modeling of a system.

Good governance and an anti-corruption policy in a higher school

The issue of good governance, brought into focus by international organizations (The World

Bank, The International Monetary Fund, the United Nations) and analyzed for two decades by many foreign and Lithuanian researchers into the public sector (Drechsler, 2004; Chhotray, 2009; Saparniene, 2010, 2011, 2012, 2013, Pivoras, Visockyte, 2011) is closely linked to the issues of transparency, effectiveness, efficiency, employee participation in management, the purport of good management, responsibility and accountability, the rule of law, market economy, democracy and justice. Not going deep into each of them, it is obvious that the following attributes of good governance directly contribute to corruption prevention in an organization: 1) participation in management, developing an anti-corruption system (sub-system), an continuously improving 2) transparent management at all levels, 3) supremacy of the rule of law, 4) assessment of service effectiveness and efficiency against approved criteria. Saparniene (2010) emphasizes that good governance ensures access to services irrespective of gender, social status, nationality or faith, demonstrates integrity and transparency. Good governance is related to human rights, democracy, general values: respect for human rights, fairness, impartiality, participation and accountability (Pivoras, Visockyte, 2011). The characteristics of good governance also imply integrity. An institution that pursues an anti-corruption policy strives to ensure fairness, honesty, impartiality, transparency of activities. An anti-corruption system developed in an institution, where no incidents or manifestations of corruption have been identified, will contribute to the quality of activities, prevent from corrupt practices in the future, strengthen institutional integrity.

Corruption in a higher education institution is particularly harmful due to its long-term effect: incidents of corruption or absence of reaction to it have a negative impact on each member of the academic community and prospective members. That will make the institution less attractive. According to the theoreticians of corruption, corruption as a phenomenon is an aftermath of an imperfect society or an organizational structure of the institution; a scientific approach to the analysis of internal and external environments of the organization is necessary in order to effectively use its internal resources and apply measures approved by the community (Rumianceva, 2005).

Review of recent publications on the implementation of an anti-corruption policy in society (Chan, 2012; Abaroa, Klitgaard, Parris, 2005;

Klitgaard et al., 2005; Global Programme..., 2002; Palidauskaite, 2005, 2008; Palidauskaite, Vaisvalaviciute, 2005; Vaisvalaviciute, 2007; Steponaviciene, 2005; Piliponyte, 2006) *allows to claim that an organization committed to internal and external integrity should approach corruption prevention consistently and systematically. It shall demonstrate its systematic approach by creating the atmosphere of intolerance towards corruption, eliminating all opportunities that allow corruption to occur, allocating resources necessary to fulfill its mission, providing other support. Such organization shall:*

1. Demonstrate the understanding of the corruption phenomenon and its consequences, announce an anti-corruption position in its main strategic documents.
2. Ground its anti-corruption activity on international, national and institutional legal acts, regularly review and update them.
3. Orient its corruption prevention activities towards a long-term effect, rely on community initiatives, integrate its anti-corruption plan into the strategic activity plan, apply anti-corruption measures together with other measures, implement them strategically and consistently.
4. Foresee structures, persons responsible for analysis and publicity of corruption incidents, implementation of an anti-corruption plan, control of its implementation, personal responsibility for corrupt practices.
5. Responsibly analyze corruption incidents in the organization, other similar organizations, society, announce its position towards them, decisions publicly.
6. Regularly analyze the effectiveness of its anti-corruption policy, plans, activities, revise and modify them taking into consideration results. If corruption persists, it shall identify factors that support corruption, develop a strategy, re-organize structures, improve the legal basis.
7. Regularly organize anti-corruption education for staff, cooperate with institutions that implement an anti-corruption policy at the state level, maintain relations with them.

Analysis of the *Law on Corruption Prevention* (2011) and *The National Anti-Corruption Programme* (2011) showed that the mission and responsibility of higher education institutions regarding anti-corruption education is wide since they have necessary competence to: 1) regularly assess corruption risk in an organization, state, region, 2) assess the effectiveness of anti-corruption

measures, 3) participate in international, national, regional, sector anti-corruption programmes, 4) organize a qualified anti-corruption education of the public, etc.

Corruption prevention is not an end in itself activity, it is a guiding principle seeking to improve organizational governance, the quality of provided services.

The mission of a higher education institution regarding anti-corruption is to build an integral society (*Anti-Corruption Education, 2012; Anti-Corruption Education and Information of the Public, 2012*). A higher education institution, apart from the attributes any state and public institution must have in order to implement an anti-corruption policy, it has specific competencies and experiences:

1. It is equipped with theory and methods to independently or with other institutions conduct regular research on corruption, present the findings to specialist and non-specialist audiences, propose insights into anti-corruption policy to state institutions.
2. It possesses competencies necessary to build an integral society: knows methods of the development of an anti-corruption system in an organization, application of a variety of anti-corruption measures, dynamic and evidence-based corruption reduction methods and is able to present the methodology of their application to the public in a scientific and popular way.
3. It actively cooperates with international, national, local institutions while implementing anti-corruption programmes, effectively collaborates with state institutions while preparing and improving corruption prevention documents.

Most of Lithuanian higher schools have announced their position towards corrupt practices, intolerance to corruption directly in their activity strategy or by linking to their key goals. That is seen in the wording of their strategic documents or strategic goals, objectives, e.g., to serve the public interest by developing an active citizen of a democratic society; to keep to the principles of openness, transparency, integrity in their activities; to carry out studies, render services in science and arts that meet the standards of the European higher education area; to responsibly cooperate with social partners in training specialists for the present and future labor market, etc. Academic communities, seeking to achieve the goals set in their documents, must be guided by the principles of lawfulness, transparency, accountability, flexibility, integrity.

The Law on Science and Studies of the Republic of Lithuania promotes participation of the public and the academic community in organizational governance. Lithuanian higher schools have set up structures, e.g., the anti-corruption commission, the ethics commission, etc., which deal with the complaints of any academic community regarding a noticed or experienced incident of corruption or any ethical problem. Many higher schools have integrated various anti-corruption measures into their strategic action plans, e.g., conduct an internal audit on a regular basis and inform the public about the findings; develop and improve internal and external communication tools; timely inform the public about new management decisions; assess research (arts) staff and student performance against set criteria; conduct research into academic dishonesty; award incentives to staff and students on the basis achieved results, evaluate them against in advance known and community approved criteria; organize the Anti-Corruption Day (Week), the Quality Month (Week), etc. The topic of corruption prevention has been integrated into study courses, free electives that analyze the theory and practice of corruption prevention are offered to students. All that creates an internal atmosphere of intolerance to corruption but in order to achieve a long-term effect and implement the mission delegated by the state - to develop an integral society - a system, which would encompass continuous analysis of the corruption phenomenon, its changes, interpretation, prevention issues, is necessary.

Anti-corruption system in a higher school

Systems and organizational governance systems scientists in particular (Licker, 1987; Ginevicius, 2009; Kvedaravicius, 2006; Matkeviciene, 2006; Norvaisas, 2007; Lydeka, 2001; Gimzauskiene, 2007) claim that a system is the unity of inter-related agents (their groups), of their interfaces directed towards the goal, affected by a macro and micro environment, where each element is important since it affects the behavior of others, and an external environment; all that should be taken into consideration while creating or improving organizational governance, creating a separate anti-corruption system or a sub-system aimed at improving the quality of organizational activity which will increase transparency, responsibility, etc.

A higher school is an organization the governance system of which is relatively open otherwise it would be difficult to ensure a continuous accumulation,

systematization, application of knowledge and experiences and create new ones, they carry out planned activities openly and transparently and, due to their specificity, are closely linked to an external environment. An anti-corruption system (hereinafter ACS) in a higher school may be created as part of its general governance system, a sub-system (within the quality management system) or as a separate system, which later would be integrated into the general system; in both cases an ACS must have not only technical parameters (structure, links, environments, interested parties) but also be socially integrated since it will affect other already functioning systems in the organization. An ACS in a higher school should be continuously renewable, cover the main parts of creating a transparent environment. An ACS should have all necessary parameters of a system (*input, process, output*) and be linked to an external environment through feedback. We understand a macro environment as the environment where products and services, created in a state or even a union of states (e.g. the EU), regulated by the legal acts for the higher education area, interact in a variety of ways (e.g., at different governance levels, sectors of activity, state institutions, etc.) and contribute to the creation of responsible and transparent governance, the results, processes and activities of which shall ensure a further development of society. With the expansion of a macro environment, e.g., from the European higher education area in the early 21st cent. to the global area, transparent activities, other anti-corruption attributes are of primary importance for a higher school which seeks to stay in the higher education area. A micro environment shall be a higher school itself, its values, regulations, information dissemination, type of knowledge, etc. that affect it and determine creation of a transparent environment.

Input in an ACS shall be particular data gathered in various research, situation analysis. If a higher school does not want to attract too much attention to the corruption concept, separate signals of possible corruption may be analyzed, e.g., transparent activities or how the organization was defined as open, responsible. Analysis of the opinion of the community, its approval will help fix criteria against which the effectiveness of an ACS shall be measured.

Process shall encompass the phases of management (planning of risks, resources, terms which will be set having analyzed the internal and external environments, implementation, monitoring

of interim results, control, performance assessment, system improvement). Monitoring and control (internal and external) are very important since they help assess objectively and compare. According to J. Palidauskaitė, corruption prevention will be ensured when each member in the organization will be responsible and help control activity of other members (Palidauskaite, 2005, p. 34; 2008, p. 105).

Output in ACS shall be hypothetical results, achievements. It must be taken into consideration that anti-corruption is a complex matter (corruption prevention, elimination, community and society education) and it is not the main goal of the institution but rather an orienting attitude, principle. An ACS is policy of the institution, activity which will bring benefits to the institution, e.g., build a positive image in the media, help attract more talented students due to the quality of studies, increase citation of scientists' works in international journals. A feedback on an ACS will help improve it. Since corruption is a dynamic phenomenon, the most appropriate way to address it is flexible, evidence-based, consistent, strategically balanced measures, actions (Global Programme..., 2002).

To sum up, an ACS in a higher school should be unique, developed by the community:

1. The phenomenon of corruption is unique, difficult to define by legal terms, dynamic and changeable (Huntington, 1968, p. 46);
2. An ACS should be socially integrated into the community, focus on a long-term effect rather than on separate actions (Klitgaard et al., 2005; Vaicekauskiene, 2009).

Accepting the statement that the whole is bigger and more effective than a sum of its parts, any ACS created in other sociums will not be effective since it will hardly address the social groups, sub-groups, interactions of that particular organization.

An anti-corruption policy, implemented in an institution, shall contribute to quality improvement, overall improvement of governance. For that reason a unique ACS encompassing integrity, anti-corruption, transparency, etc. should be created in a higher school and linked to other governance systems.

Research methods

The following research methods were used: analysis of legal acts, a questionnaire-based survey, a semi-structured interview (problem issues, provided in advance, were further developed in an interview). Gathered data were coded and systematized using the SPSS and Excel software. Content analysis was

used for analysis of answers to open-ended questions and in interviews.

Seeking to identify whether the community approves / disapproves the development of an ACS, its integration into the organizational governance system, potential developers and implementers of an ACS, its components, corruption prevention measures and their use in the university respondents were selected against one criterion - *direct participation in decision making in the high school*.

Such persons in the university are: members of the Senate, the Council, faculty boards, students delegated to the Senate by the Student Representation body. Sample size was established using the V.I.Paniott formula (77 respondents, part of the Senate members were also on faculty boards). Response rate: 51%, sample distribution by gender: 67,5% females, 32,5% males. The majority of respondents - faculty board members, members of the Senate (14). A questionnaire of 17 closed-ended and open-ended questions / statements was filled out online.

The expert interview method was used purposefully. A questionnaire-based survey showed that the academic community would delegate the development of an ACS to experts in that field therefore, alongside with the criteria which were agreed upon in advance (participation in decision making, having influence on decision making, handling legal matters, having work relations with officers in the corruption prevention system), one more criterion was included - *work in the corruption prevention system*. Following that, 5 experts were interviewed: 1 expert on quality management, 1 - on law, 1 - from the SIS, 2 - from Transparency International.

A questionnaire of a semi-structured interview was composed referring to scientific literature. Block I questions in the both, questionnaire and interview, were aimed at identifying respondents' opinion about an ACS in the higher school, Block II - its structural parts, of Block III - parts of an anti-corruption action plan.

Implementation of a corruption prevention policy in a university: situation analysis

Analysis of the university's legal acts, activity reports led to a conclusion that some effective but fragmented elements of an ACS are in place in the university (Krutinyte, 2013): the main university documents are approved openly, available to the public, an anti-corruption position is set forth; corruption

prevention measures are set forth in the activity plans but are fragmented, inconsistent, attention to anti-corruption education of employees is insufficient; corruption control, legal liability are foreseen in the governance structure, legal acts; responsibility, funds for the preparation and implementation of corruption prevention plans not foreseen; only some research and study subdivisions participate in anti-corruption education (e.g., by integrating corruption-related topics into study courses, offering free electives on the anti-corruption offered, conducting research on academic honesty every year, presenting the findings to the public, preparing Final Theses on research findings, etc.), motivation mechanisms for other subdivisions are not foreseen, etc. The new Quality Assurance Manual sets out that transparent activities and corruption prevention are one of the objectives of the university, job descriptions are being revised and responsibility for the implementation of an anti-corruption policy will be foreseen, anti-corruption policy will be included into the general strategy, all that will promote an anti-corruption culture and make an anti-corruption education of the public more effective. Presently the need to implement an anti-corruption policy is not understood in full in the university, an ACS has not been integrated into the strategic action plans, anti-corruption measures are used irregularly, society education is organized inconsistently and unsystematically.

Survey findings: opinion of the academic community on an ACS

The initiative to implement an ACS was supported by the majority (74%) of respondents, all up to the age of 25 (20,8%), the majority of the members of the Senate. Their opinions could be grouped as follows: *corruption prevention mechanisms are necessary (will improve governance)* and *corruption prevention will bring benefits in the long-run (will enhance transparency, the quality of studies, the image, integrity)*. Those who did not support an ACS claimed that there is no corruption

in the University, it proves that corruption and its consequences are still understood narrowly, as material gain obtained in illegal ways. The *Law on Corruption Prevention* (2002) sets forth that corruption prevention is disclosure and elimination of its roots and opportunities to arise through a created and implemented system and relevant measures, discouraging people from corrupt practices, such persons should participate anti-corruption education.

As for benefits of an ACS (proposed: *the quality of organizational governance will improve, activities will be more transparent, the image will improve, corrupt practices will be prevented*), the majority of respondents chose *activities will be more transparent, corrupt practices will be prevented*. The majority of the members of the Senate selected all, the Council members: *activities will be more transparent* (5,2%), the students: *the quality of organizational governance will improve, activities will be more transparent, the image will improve*, the faculty board members: *activities will be more transparent, the quality of organizational governance will improve* (62,3%).

As for the components of an ACS, the majority of respondents noted: *anti-corruption activities, joint activities with special services, legal acts*, i.e. supported all proposed.

As for the process of creation an ACS (proposed: *to create a unique ACS by themselves, to use a created ACS in other higher schools (institutions), to use a created ACS and adapt it*) answers showed that the decision makers know the principles of good governance: the majority supported *to create a unique ACS by themselves* (53,2%) or *to use a created ACS and adapt it* (31,2%). Only part of respondents were of an opinion that the Government should recommend (10%).

As for *how an ACS should function, integrated into the functioning system, e.g. quality management system* dominated (see Fig. 1).

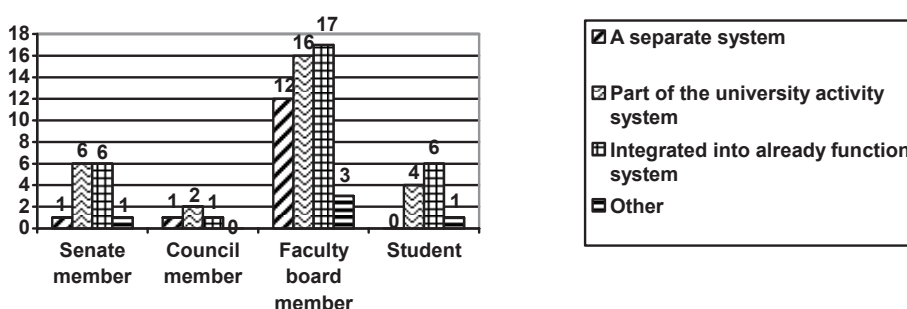


Fig. 1. Opinion on the functioning of an ACS

It is quite understandable that the academic community, allergic to bureaucratic structures, preferred to have an integrated system rather than several functioning in parallel. The university started implementing its quality assurance system built on dialogue and responsibility so it would be reasonable to integrate an ACS into it since they both address quality governance and quality activities.

As for *who should create an ACS in the university*, the majority of respondents were of an opinion that external experts should take part in its creation (see Fig. 2). Explanation for that is that corruption is a very specific issue and participation of experts, competent in the matter, will contribute to the quality of the processes, make it more transparent, eliminate “friendly networking” still existing in academic communities as well as administrative inertia. Moreover, an ACS would be

not only documented but also put into operation. According to respondents, both, the academic community and the experts would benefit from joint work: the working group of the academic community would have an opportunity to share information about their higher school, its problems, legal basis, the experts - to propose methods applicable to the higher school, review legal acts, assess the situation in the institution. These findings show that there are problems with organizational governance in the university: the university lawyer and the internal audit service are unable to implement necessary changes independently (they lack a systemic approach to process management, understanding of its integral nature), the community has no trust in the chief executives. These problems can create conditions for corruption to emerge and expand.

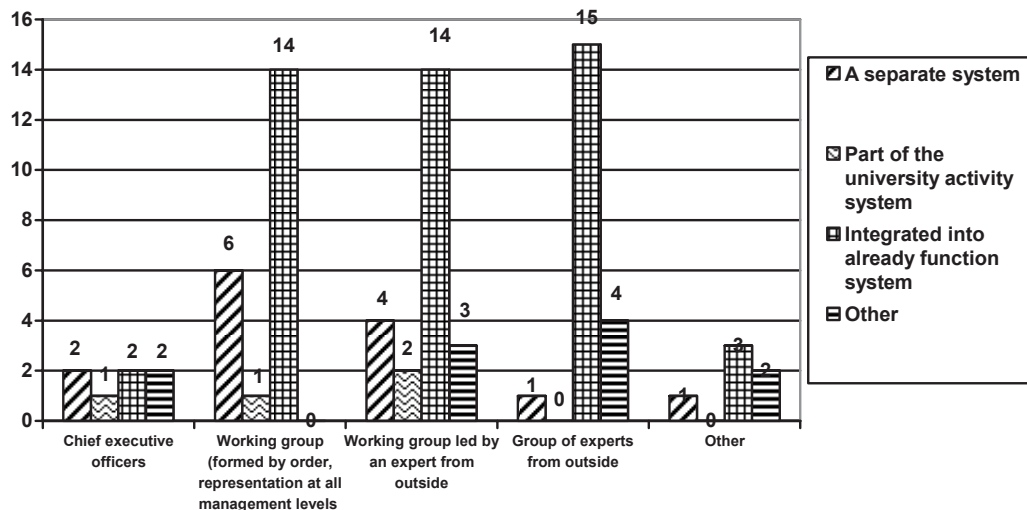


Fig. 2. Opinion on the developers of an ACS

As for the implementation of an ACS, the majority of respondents supported both proposed: *to include anti-corruption activities in the strategic plan, to draw up a separate programme of anti-corruption activities*, 17% supported none of them. Opinion distribution by the groups of respondents was insignificant.

Summarizing opinions of all respondents (members of the Senate, the Council, faculty boards, students), it may be concluded that the majority of respondents supported the following: *to create a unique ACS* (83%), *to involve community members into anti-corruption activities through education (seminars, events)* (77%), *to identify the main factors that give rise to corruption* (86%). Least supported were: *to develop strict monitoring and control mechanisms, to develop anti-corruption plans for*

separate groups (students, teachers, administration, etc.).

Since one of the components of an ACS is *an anti-corruption activity plan* it was expected to identify most effective measures supported by the academic community, persons (divisions) responsible for the implementation of the plan, assessment criteria, implementation activities. The majority of respondents were of the opinion that the chief officers who develop a strategy and are responsible for an anti-corruption policy in the university should draw up the plan. Those respondents who tried to draft the plan, proposed such parts: *measure, target group, implementation deadlines, responsible person, assessment criteria, responsible for monitoring and assessment person, funding*. Some respondents proposed a more detailed

structure: *measure, aim, intended outcome, possible risk, regulating document.*

As for *who should implement the anti-corruption plan*, respondents were of one opinion: students, teaching staff, other employees, should participate in its implementation (over 80%). As for *who should be responsible for monitoring the implementation of the plan*, opinions split (see

Fig. 3). It shows that the role of monitoring in management is understood not in full: data gathering, recording on a regular basis can help make timely decisions, assessment of interim results - achieve better results. However, employee or subdivision assessment by results, assessment of management and administrative performance has not been put into practice in the university.

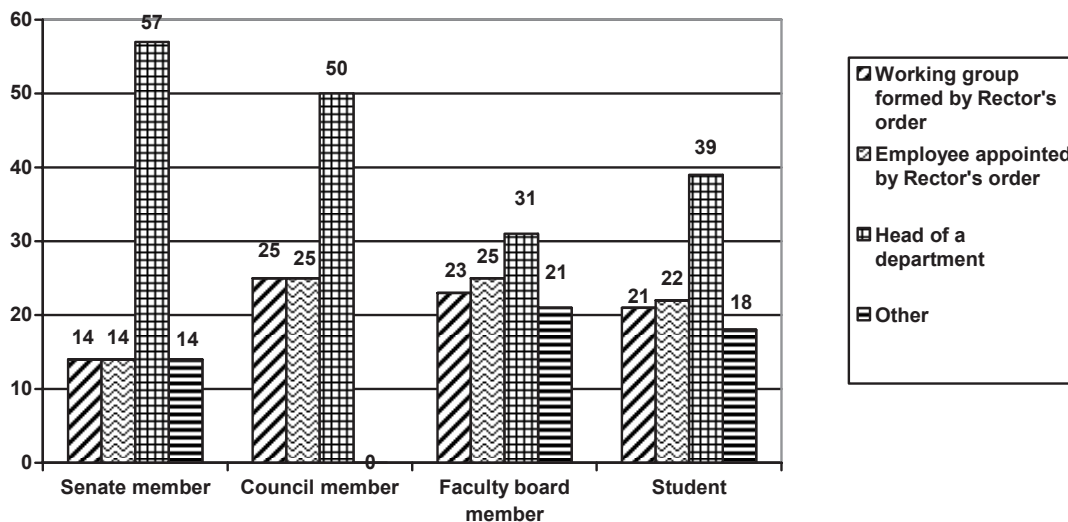


Fig. 3. Opinion on monitoring

Many respondents had difficulty in distinguishing criteria for performance assessment and indicators of activity effectiveness. Competencies of the decision makers in performance assessment should be improved. Criteria for performance assessment builds on specificity, causality (logical link product-output-impact), utility, measurability, reliability, attainability, periodicity, stability, balance, leadership, competencies, cooperation, logical link to the strategic goals, aims and objectives of the implemented programme; the same applies to the assessment of programme implementation. Generally, criteria for impact assessment are foreseen by linking to the strategic goal, output - to the objective, product - to implementation. Additional criteria for process or input assessment may be foreseen in annual activity plans or other internal planning documents, especially in service providing institutions since it may be difficult for them to quantify services (Methodology for formulating and applying performance measures used in strategic planning documents, 2011, 12-15). Performance indicators should be understood as a management, good governance tool, help the institution pursue its goal and objectives, reasonably allocate available and scarce resources, monitor, measure, assess results

and ensure effective performance. Indicators provide stakeholders with information on the situation in the institution, are used when accounting for activities and achieved results to the community, stakeholders, social partners, supervision institutions. Performance indicators usually forecast situation improvement and increase responsibility and accountability, enhance the transparency of activities, help effectively use resources. Result-oriented indicators specify the goals and priorities of activity of the institution.

When proposing activity assessment criteria respondents were rather inaccurate, rarely referred to the strategic goals of the university, mixed criteria and indicators. They proposed the following assessment criteria: *numbers of periodically conducted surveys (of students, teachers, other staff), numbers of internal audits, numbers of corruption incidents, the corruption perception index (set regularly), assessment of Senate resolutions, Rector's orders, Deans' ordinances related to anti-corruption, numbers of rotations of chief officers, numbers of filed appeals and disclosed corruption incidents, numbers of imposed sanctions, number of students punished for academic dishonesty, numbers of attainments in anti-corruption, numbers of discussions on anti-corruption, numbers of participants (teaching*

staff, students, specialists from SIS), good practice disseminated, numbers of surveys conducted, numbers of competitions on transparency, numbers of participants in anti-corruption education seminars, events, competitions, conferences, reports on activities in the strategic plan .

Respondents named the following as indicators of effectiveness (to be gathered at least once a year): *student surveys - 2 times a year, covering students of all faculties surveyed, not less than half of each faculty students, good opinion about anti-corruption activity, effectiveness results announced publicly each half a year (upon creation, implementation, monitoring), regularly updated, surveys - once half a year, corruption intolerance of the academic community is stable (over 50% of the academic community understand the phenomenon, know anti-corruption measures, etc), 50% of community members have good opinion about an ACS, its benefits, job satisfaction of the academic community does not change; publicity of decisions made, less negative information about the university in the media, stable numbers of anti-corruption education events, decreasing numbers of students' academic dishonesty incidents.*

Although respondents demonstrated insufficient competence in strategic management, they realistically defined the potential of activity monitoring and assessment although criteria against which effectiveness of anti-corruption activity could be assessed or indicators of changes were not set forth in the strategic documents of the university.

To sum up the survey findings, respondents-decision makers in the university *supported an initiative of the higher school to create an ACS*, which would be integrated into the governance system, the quality management system, anti-corruption measures would be included in the strategic activity plans, at the beginning measures would be provided in detail since it is a new field of activity, results would be assessed at least once a year. An ACS, created by themselves or adapted the one which is successfully functioning in another institution would firstly enhance activity transparency, improve the quality of governance, prevent corruption. Respondents-decision makers named a wide range of anti-corruption measures, e.g., to identify factors that give roots to corruption, to set internal control, to involve the community in the implementation of an anti-corruption policy, but rarely defined their own role in anti-corruption policy implementation, building an integral society. They

supported that the results of anti-corruption activity should be monitored, assessed, the community should participate in the implementation of an anti-corruption programme, responsibility for anti-corruption measures should be foreseen.

The survey findings showed that respondents-decision makers do not have deep knowledge of corruption, of a special mission of higher schools in anti-corruption education. Insufficient competence in strategic management, which determines absence of a systemic approach to effective institutional governance, leads to an insufficient quality of activity. They were competent in process planning, preparation of plans but insufficiently competent in performance assessment against self-established criteria, formulating activity effectiveness indicators, responsibility distribution.

Interpretation and comparison of the findings

The majority of the surveyed academic community supported the creation of an ACS in the university, meanwhile the experts from the state governance institutions emphasized that it is a must. They referred to *The Law on Corruption Prevention* which obligates all state, municipality institutions, NGOs to implement a national anti-corruption policy (Law on Corruption Prevention, Article 16), *The Law on Public Institutions* which obligates the university, a public institution, to keep to the accountability standards (public institutions like private entities are also at risk to incur losses if they do not establish at least a minimal corruption risk management policy, e.g. a lawsuit may be brought against a legal person if its employee gets involved in corrupt actions, if faulty goods and services are provided, if illegal deals between employees of several entities are made, etc.), *The Law on Science and Education* which lays down regulation of activity transparency, responsibility and accountability. The experts emphasized a link between an ACS and organizational governance in general, its role seeking to improve the governance system. It is evident that higher schools should get professional consultation from external experts, develop a professional and systemic approach to decision making regarding the implementation of an anti-corruption policy.

Analysis of the experts' opinions on benefits of an ACS for the institution showed that law and quality management experts have international level experience in anti-corruption activity. They demonstrated a complex approach to an ACS (ensures

activity transparency at all governance levels, improves activity effectiveness, develops an anti-corruption position), and could provide consultation since the surveyed academic community failed to establish a link between an anti-corruption policy in the university and an anti-corruption education of society.

Both, the surveyed academic community and the experts, supported the idea to create a unique ACS integrated into the governance structures (the quality management system), its main components should be: *legal acts, its management structures, responsibilities, institutional networks and interactions, anti-corruption measures*. They emphasized that the situation should be analyzed on a regular basis so that activities were purposefully modified, measures selected, risks forecasted, feedback obtained, results assessed. The experts maintained that the purpose and objectives of an ACS should be clear for the community, they also highlighted that legal regulation, information on institutions to be addressed upon any signal of corruption in management should be public, all community members should participate in the implementation of an anti-corruption policy. The experts recommended not to include external experts into the working group while creating an ACS, noting that they do not have opinion on the preparedness of higher schools to implement anti-corruption measures, participate in an anti-corruption education of society.

As for planning of anti-corruption activity, both, the experts and the surveyed academic community, emphasized control, monitoring of activity implementation, responsibility, regular assessment of activity. The experts highlighted that surveys of the academic community should be regular (that would help identify community supported measures, create the atmosphere of intolerance towards corruption in the institution), recommended more active participation of the university in inter-institutional, national, international anti-corruption programmes. They were of an opinion that an anti-corruption commission should be set up in the university to monitor and assess anti-corruption activity against pre-determined criteria: *The Law on Corruption Prevention* sets forth that the head of the institution shall be responsible for corruption prevention, shall have the right to set up corruption prevention subdivisions or appoint employees responsible for this activity, the function of the

commission shall be to control the implementation of corruption prevention measures, the SIS shall participate in coordinating corruption prevention control.

Meanwhile practice is different in higher schools: *The Law on Science and Studies* sets forth that the Rector shall set up new structures upon the approval of the Academic Council. Activity standardization, governance and administration matters should be approved by the academic community of the higher school. In general, the academic communities do not support setting up many commissions, ethical issues are settled by the ethics commission.

The both groups emphasized the importance of legal acts but the experts demonstrated a deeper understanding of the matter. They stressed that legal acts on corruption prevention, corruption risk assessment should be public, regularly revised, transparency and accountability should be assured.

The surveyed academic community proposed a long list of criteria and indicators regarding an ACS but were rarely able to link them to the strategic objectives of the university. The experts placed more emphasis on the general principles of formulating criteria and indicators; according to them, particular criteria and indicators may be proposed knowing the strategic objectives and tasks of the institution. The experts proposed to formulate them clearly, e.g., *regular analysis of community integrity level, numbers of corruption-related incidents disclosed, numbers of implemented anti-corruption measures per year, numbers of persons participating in anti-corruption education, etc.*, to monitor, record, compare every year.

Model of an anti-corruption system in a higher school

On the basis of scientific literature, upon having evaluated the opinions of the interviewed experts as well as the opinions and expectations of the surveyed academic community, the following model of an ACS in a higher school has been proposed (see Fig. 4).

The proposed model of an ACS in a higher school would encompass the following processes: planning of anti-corruption activity, its implementation, assessment and improvement. Its main components would be: working groups, activity monitoring and assessment criteria, activity indicators, legal acts regulating the system, the implementation of an anti-corruption policy, institutional networks, measures

(in the anti-corruption plan), regular monitoring of the situation.

Upon the approval by the Senate and by the Rector's order **The Anti-Corruption Commission** and **The Working Group for Anti-Corruption Activity** (or Corruption Prevention, or Activity Transparency Assurance of, etc., hereinafter Working Group) formed by the Rector from the most integral persons competent in the academic ethics, corruption prevention, anti-corruption education representing all university governance levels and the academic community (students, teaching staff, researchers, artists, other employees) would be set up. At the beginning an expert from outside experienced in anti-corruption policy implementation would be included into the Working Group. The Anti-corruption Commission would be integrated into the Ethics Commission or function separately in close collaboration with the Ethics Commission since corruption is an ethical issue. The Working Group would implement the anti-corruption programme coordinating its activity with the Ethics Commission.

During the planning phase the Working Group would: substantiate benefits of an anti-corruption policy for the university, available resources, experiences needed for its implementation, formulate anti-corruption activity monitoring and assessment criteria, indicators of the effectiveness of the ACS coordinated with and approved by the interest groups, submits the system of the approved indicators to the Rector's Office. Having identified that anti-corruption activity assessment criteria are absent from the strategic documents, the Working Group would formulate them referring to the result (corruption risk reduced, legal acts on transparency adopted, approved, regularly revised, improved, integrity enhanced, intolerance towards corruption strengthened, competencies in anti-corruption education developed, etc.) and the strategic documents on higher education in the Republic of Lithuania (The Lithuania National Anti-Corruption Programme of the Ministry of Education and Science,...).

The proposed criteria and indicators would be approved by the Rector's order and integrated into the strategic plans of the institution as the result of the implementation of the anti-corruption programme.

The Working Group, having evaluated its experience in corruption elimination, would summon up the academic community, students, teaching staff, researchers, artists, social partners, institutions

experienced participate in anti-corruption activities and prepare an anti-corruption plan, which shall be approved by the academic community and made public.

The second phase, *implementation of the ACS*, would encompass: *legal acts* shall be revised and improved or new prepared, *networking* (cooperative anti-corruption activities), *anti-corruption activity plan* in the higher school.

Legal acts. The university shall be guided by the national and local legal acts. Since an anti-corruption policy implemented in the university and set forth in its legal acts (the Statute, The Code of Ethics, Internal Rules of Procedure) is not related to its strategic goals the Working Group, together with experts from the SIS (under agreement with the institution) shall modify its strategic documents, other legal acts. Emphasis shall be put on the principles of transparency, honesty, responsibility, accountability. The whole community as well as social partners shall participate in the implementation of anti-corruption measures, the prepared anti-corruption programme may be approved by the Seimas together with other programmes as part of the national anti-corruption programme.

Networking. Networking would be inter-institutional, internal (internal communication), inter-professional. Inter-institutional networking (national and international) shall be beneficial for society anti-corruption education. The present research showed that internal networking (among divisions, faculties, students) should be improved in the university.

Anti-corruption activity plan. An anti-corruption activity plan would encompass the following: goal, objectives, measures, activities while implementing measures, deadlines, target group or participants, responsible for the measures and activities. It shall be drawn up for 1 or 3 years. In the opinion of the surveyed academic community, 2-3 main goals should be set in the first phase, e.g., to create and implement an ACS, to foster a culture of intolerance to corruption in the university, to participate in anti-corruption education of society together with other institutions, to plan objectives and measures, responsible persons or subdivisions.

Assessment and improvement, very important while implementing an ACS, would be built on feedback from the public, the academic community. The Anti-Corruption Commission shall conduct planned monitoring of anti-corruption activity, interim assessment of activity effectiveness and draw up a report and submit it to the Working Group and the

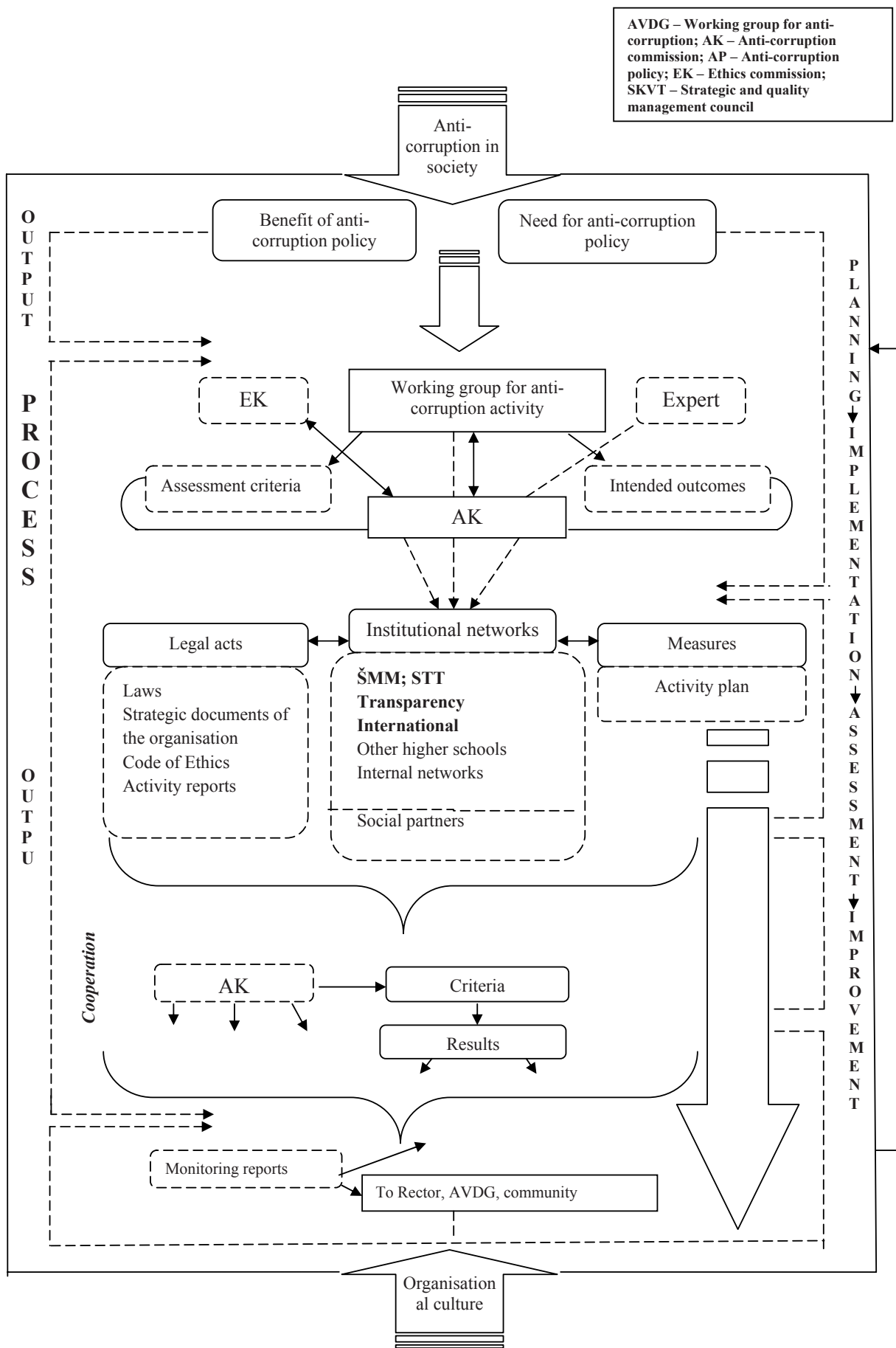


Fig. 4. Model of an ACS in a higher school

Rector, the Working Group shall revise and improve the ACS, submit proposals on the modification of the plan of measures, assessment criteria, etc. to the community. The Anti-Corruption Commission shall conduct effectiveness monitoring at least once a year as provided for by law.

In order to assess the effectiveness of an ACS, exhaustive analysis should be carried out. It may be carried out by universities, which have social science research subdivisions. Some statistical indicators shall be validated by the administrative subdivisions, e.g.,: numbers of study courses on anti-corruption, numbers of academic dishonesty incidents while preparing Final theses. Other indicators shall be validated only by competent divisions or persons, e.g., not less than 90% of university employees are satisfied with publicity in the university, not less than 90% of university employees are satisfied with an anti-corruption policy, etc.

The proposed model of an ACS in a higher school shall integrate anti-corruption activity into the main activities of the institution: anti-corruption activity and strategic activity plans shall be coordinated, the academic community shall participate in decision making, the foreseen long-term perspective of anti-corruption activity shall be aligned with the mission delegated by the state - to build an integral society. This ACS shall enhance the organizational culture, the image of the institution, prove commitment of the institution to improve organizational governance.

Conclusions

Analysis of scientific literature, documents on the tendencies and problems in the EU higher education, the findings of the present research show that institutional integrity and commitment of the institution to build an integral society are the attributes of good governance since good governance is characterized by transparent activity and quality assurance.

An institution which is committed to integrity and is striving to enhance it should: develop an understanding of the corruption phenomenon, openly declare its position in the main documents; have a satisfactory legal basis necessary for the implementation of an anti-corruption policy; integrate anti-corruption activity measures, oriented towards long-term effectiveness, into its strategic activities; foresee anti-corruption structures and mechanisms, make corruption-related incidents and decisions public; regularly analyze organizational

integrity; organize an anti-corruption education for the community in cooperation with state institutions, etc. The mission of a higher school, delegated by the State, should be linked to a higher form of the mission - to build an integral society - and fulfill specific requirements: anti-corruption activity of the institution should be not end in itself but the guiding principle in order to improve the quality of services, organizational governance; the institution should have competencies in theories and methodology to undertake research into corruption and professionally present it to various audiences; the institution should have competencies and resources to build an integral society; the institution should actively and competently participate in initiating, improving and implementing an anti-corruption policy at the state, national and, if needed, international level.

Upon having made a decision to create an ACS, prescribed by legal acts on public sector institutions of the Republic of Lithuania, the necessity of which was emphasized by the surveyed academic community and the experts, an ACS should be unique (created by themselves). The purpose and benefits of an ACS, approved by the academic community and integrated into the quality assurance system of the university should be as follows: *to improve the quality of services, to enhance activity transparency, to eliminate and prevent corruption, to build a positive image of the institution in the public*; it shall encompass *legal acts, networking, anti-corruption activity plan*, implementers (*the academic community*), management processes (*planning, implementation, assessment, improvement*).

Having compared the opinions of the surveyed academic community (decision makers) and the experts it was identified that:

1. The academic community need a wider and deeper understanding of the purpose of an anti-corruption policy and its effectiveness. The experts have a complex approach to the implementation of an anti-corruption policy, its benefits (to enhance quality and effectiveness of activities), wider opportunities and effect of the implemented anti-corruption policy (to develop anti-corruption attitudes), a special mission of higher schools (to implement the national anti-corruption programme, to build an integral society).
2. The experts do not have sufficient information on the competencies and preparedness of higher schools to organize an anti-corruption education of society, create internal anti-corruption systems

or integrate them into the existing ones. They are unwilling to participate in the creation of an ACS, in the working groups; meanwhile anti-corruption is a specific issue for the academic community and they need expert consultations.

3. The academic community do not have sufficient competencies to formulate anti-corruption activity assessment criteria and activity effectiveness monitoring indicators, do not link them to the strategic goals and objectives of the institution. That shows that the decision makers do not have sufficient knowledge of strategic management.
4. The academic community and the experts confirm that anti-corruption measures should be supported by the community, common for all groups of the community, their effectiveness should be regularly analyzed. The academic community and the experts should put more emphasis on corruption prevention than on corruption research mechanisms.

The model of an ACS in a higher school presented in the paper should be recommended for those higher schools in which strategic management should be improved.

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Aukštosios mokyklos antikorupcinė sistema gero valdymo kontekste

Santrauka

Mokslinės literatūros, pastarųjų metų ES aukštojo mokslo tendencijas ir problemas analizuojančių aktų analizė patvirtina, kad institucijos atsparumą korupcijai (angl. *integrity*) ir jos aktyvų įsitraukimą į visuomenės antikorupcinį ugdymą galima laikyti gero institucijos valdymo požymiais, nes šie požymiai neišvengiamai įgyjami institucijos veiklą vykdant skaidriai ir atsakingai, rūpinantis teikiamų paslaugų ir kuriamų produktų kokybe.

Korupcija įgyja vis subtilesnių formų ir yra ypač pavojinga aktyvioms sąveikoms, pavyzdžiui, *institucijos darbuotojai – visuomenė – politikai*. Su tokiais sąveikomis siejamos ir aukštosios mokyklos. Korupcija yra viena iš etikos problemų ir nusikalstamų veikų. Tai organizacijos veiklos rezultatus smukdantis, institucijos įvaizdžiui kenkiantis reiškinys. Aiški aukštosios mokyklos pozicija korupcijos atžvilgiu, išsakyta pagrindiniuose strateginiuose dokumentuose, matoma kasdienėje veikloje ir ugdant visuomenės nepakantumą korupcijai, gali padidinti institucijos patrauklumą nacionaliniame ir tarptautiniame bendradarbiavime.

Įvertinus, kad dėl veiklos specifikos (prioritetas mokslo, studijų procesams) strateginio valdymo srityje aukštųjų mokyklų patirtis dar nedidelė, o apie universitetų valdymą vis dar diskutuojama aukščiausiu lygmeniu,

antikorupcinės politikos įgyvendinimas yra tik vienas iš uždavinių, kurių visoms viešojo sektoriaus institucijoms numato *LR korupcijos prevencijos įstatymas* ir *LR nacionalinė kovos su korupcija 2011–2014 metų programa*. Šis uždavinys nelaikomas prioritetiniu. Trūksta mokslinėje literatūroje analizuotų patirčių, kurios atskleistų, kaip aukštoji mokykla gali pagerinti savo antikorupcinį klimatą ir būti visuomenei maksimaliai naudinga, didinti bendrą žmonių atsparumą korupcijai. Atliekant straipsnyje pristatomą tyrimą pasirinktas institucijos antikorupcinės sistemos modeliavimo kelias.

Šio straipsnio, kuriame pateikiami vienoje aukštojoje mokykloje atlikto tyrimo rezultatai, *tikslas – remiantis mokslinės literatūros analize, akademinės bendruomenės nuomonių tyrimo rezultatais, kovos su korupcija srityje dirbančių ekspertų išvalgomis apie antikorupcinės sistemos (valdymo posistemės) būtinumą ir struktūrą aukštojoje mokykloje, bandyti modeliuoti aukštosios mokyklos antikorupcinę sistemą*. Probleminiai klausimai, ar reikalinga tokia sistema aukštajai mokyklai, kodėl, kokie turėtų būti sistemos struktūriniai elementai, jos kūrimo etapai ir dalyviai, buvo pasirinkti kaip pagrindas formuojant tyrimo instrumentus: virtualią atvirų ir uždarų klausimų anketą akademinės bendruomenės atstovams ir pusiau struktūruo-

to interviu klausimyną kovos su korupcija srityje dirbantiems ekspertams. Tyrimo rezultatai pasitarnavo modeliuojant aukštosios mokyklos antikorpacinę sistemą.

Žinoma, kad institucija, primanti išsūkį nesitaikstyti su korupcija, didinti savo atsparumą korupcijai, privalo: išmanyti korupcijos reiškinių ir savo poziciją jos atžvilgiu viešai išsakyti pagrindiniuose dokumentuose; turėti pakankamą teisinę bazę antikorpacinei politikai įgyvendinti; ilgalaikį veiksmingumą numatančias antikorpacinės veiklos priemonės integruoti į strategines institucijos veiklas; numatyti struktūras ir mechanizmus kovai su korupcija, viešinti korupcijos atvejus, su jais susijusius sprendimus; periodiškai analizuoti institucijos nepakantumo korupcijai lygį; bendradarbiaujant su valstybės institucijomis nuolat vykdyti antikorpacinę institucijos bendruomenės švietimą ir kt. Aukštoji mokykla, kurios misiją valstybė sieja ir su antikorpaciniu visuomenės ugdymu, turi tenkinti ir specifinius reikalavimus: kova su korupcija aukštojoje mokykloje yra ne savitiksliis dalykas, o orientacinis principas gerinant paslaugų kokybę, tobulinant valdymą; institucija teoriškai ir metodiškai pasirengusi vykdyti mokslinius tyrimus korupcijos srityje ir juos kvalifikuotai pristatyti įvairioms auditorijoms; turi kompetencijų ir resursų ugdyti korupcijai nepakančią visuomenę; yra aktyvi ir kompetentinga dalyvauti inicijuojant, tobulinant ir įgyvendinant antikorpacinę politiką valstybės, vietos ir, jei reikia, tarptautiniu lygmenimis.

Pasirinkus antikorpacinės sistemos kūrimo organizacijoje kelią (šią galimybę numato Lietuvos Respublikos teisės aktai viešojo sektoriaus institucijoms), tokiems veiksmams pritarė tyrime dalyvavę respondentai, sistemos unikalumo (*pačių sukurta*) būtinumą pabrėžė sprendimų priėmimo dalyvaujantys tirtos universiteto atstovai ir kovos su korupcija ekspertai. Akademinės bendruomenės atstovai pritaria, kad aukštojoje mokykloje būtų sukurta ir į veiklos kokybės valdymo sistemą integruota antikorpacinė sistema, mato tokios sistemos paskirtį ir naudą (*paslaugų kokybės gerinimas, kova su korupcija ir korupcijos prevencija, teigiamo įvaizdžio visuomenėje formavimas*), apibūdina pagrindinius elementus (*teisės aktai, tinklai, antikorpacinės veiklos planas*), jos kūrėjus (*darbo grupė iš universiteto ir ekspertai iš šalies*) ir įgyvendintojus (*visa akademinė bendruomenė*), vadybinius procesus (*sistemos planavimą, įgyvendinimą, vertinimą ir tobulinimą*).

Palyginus tyrime dalyvavusių akademinės bendruomenės atstovų, dalyvaujančių priimant sprendimus,

ir ekspertų, tiesiogiai susijusių su kova su korupcija, pasisakymus, akivaizdu, kad:

1. Akademinėje bendruomenėje iš tiesų dar stinga išsamesnio paties korupcijos reiškinių, antikorpacijos politikos paskirties ir veiksmingumo suvokimo. Kovos su korupcija ekspertai turi kompleksinį požiūrį į antikorpacijos įgyvendinimą, jos naudą (veiklos kokybė ir efektyvumas), mato platesnes kovos su korupcija įgyvendinimo galimybes ir poveikį (antikorpacinių nuostatų ugdymas), ypatingą aukštųjų mokyklų misiją įgyvendinant nacionalinę kovos su korupcija programą, šviečiant ir ugdant korupcijai nepakančią visuomenę.
2. Ekspertams trūksta informacijos apie aukštųjų mokyklų kompetentingumą ir pasirengimą vykdyti antikorpacinį visuomenės ugdymą, apie pasirengimą sukurti vidines antikorpacijos sistemas arba integruoti į jau sukurtas. Specialistai nemato savęs aukštųjų mokyklų darbo grupėse, kuriančiose antikorpacijos sistemas, nors aukštosios mokyklos atstovai kovą su korupcija laiko specifiniu klausimu ir jo įgyvendinimui pageidautų ekspertų pagalbos.
3. Akademinės bendruomenės nariams trūksta kompetencijų antikorpacinės veiklos veiksmingumo vertinimo kriterijams ir veiklos veiksmingumo stebėjimo rodikliams kurti, šių kompetencijų aukštųjų mokyklų atstovai nesieja su organizacijos strateginiais tikslais ir uždaviniais.
4. Akademinės bendruomenės atstovai ir ekspertai pasisako už vienodas visai bendruomenei ir jos palaikomas antikorpacines priemones. Antikorpacinės priemonės turi būti nuolat peržiūrimos, jų veiksmingumas tiriamas.

Straipsnyje pasiūlytas aukštosios mokyklos antikorpacinės sistemos modelis pirmiausia rekomenduojamas toms aukštosioms mokykloms, kurios jaučia poreikį gerinti strateginį veiklos valdymą. Sukurtas modelis atskleidžia, kaip antikorpacinė veikla integruojama su pagrindinėmis institucijos veiklomis: antikorpacinė veikla suderinama su strateginiais institucijos veiklos planais, įtraukiami visi akademinės bendruomenės atstovai, dalyvaujantys priimančios aukštosios mokyklos sprendimus. Numatomos ilgalaikės šios veiklos perspektyvos, susijusios ir su valstybės užsakymu – ugdyti nepakančią korupcijai visuomenę. Ši aukštosios mokyklos antikorpacinė sistema gali prisidėti prie organizacijos kultūros, įvaizdžio gerinimo, aktualizuoja siekį geriau valdyti institucijos veiklą.

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