BI
Building Integrity

Transparency, Accountability and
Integrity in the Defence and Security Sector

**Impact on Nations
and Contributions
to Capacity Building**

MESSAGE FROM THE ASSISTANT SECRETARY GENERAL FOR POLITICAL AFFAIRS AND SECURITY POLICY

The NATO Building Integrity (BI) Programme is part of NATO's ongoing effort to provide nations with practical tools and tailored support to make defence and security institutions more effective, build capacity and provide value to taxpayers. BI is demand driven and participation is on a voluntary basis. The programme is open to NATO Allies, Euro-Atlantic Partnership Council members, Mediterranean Dialogue, Istanbul Cooperation Initiative and Partners Across the Globe. Request from other nations are reviewed on a case by case basis by Allies. More than 30 nations take part in the programme of activities and make use of the BI tools. As of December 2013, 11 nations completed the BI Self Assessment Questionnaire (SAQ) and Peer Review Process.

In December 2013, I invited the 11 nations who have completed the SAQ and Peer Review to share lessons learned and to provide feedback on their experiences. The aim of this survey was to gauge the impact of the NATO BI Programme as a contribution to capacity building as well as nations' recommendations to improve the programme and better embed it into NATO and partnership systems and mechanisms. Completed surveys were provided by all 11 nations: Afghanistan, Bosnia and Herzegovina, Bulgaria, Croatia, Georgia, Hungary, Latvia, Montenegro, Norway, Serbia and Ukraine.

Nations were invited to review the results and share experiences at a meeting conducted 20-21 February 2014. The results at annex draw on the written replies and presentations made by nations assessing the impact of BI and in answer to the question "what has changed?".

Overall, the results reported by the 11 nations are very encouraging and highlight a wide range of positive changes supported by the BI Programme. Nations reported changes to business practices and personnel, and most importantly, a commitment to the implementation of the NAC agreed BI Education and Training Plan.

These results demonstrate that the practical tools developed in the framework of the BI programme contribute to capacity building of Allies and partners. Nations who have to date not made use of these tools are encouraged to take advantage of the practical support available through the BI Programme.

Ambassador Thrasyvoulos Terry Stamatopoulos

INTRODUCTION

The BI Self-Assessment Questionnaire (SAQ) is a diagnostic tool. When completed, the SAQ survey provides nations with a snap shot of existing procedures and practices. The replies provided by nations are reviewed by a NATO-led team of subject matter experts. The Peer Review Report prepared on the basis of the completed SAQ and consultations in capitals identifies good practice as well as recommendations for action. This is intended to help nations develop a BI Action Plan and make use of existing BI and other NATO mechanisms including the Individual and Partnership Cooperation Programme (IPCP) and the Partnership for Peace Planning and Review Process (PARP).

Participation in BI is on a voluntary basis, implementation of the recommendations is a national responsibility. Since its introduction in 2009, BI SAQ and Peer Reviews have been completed with 11 nations - six Partners (Afghanistan, Bosnia and Herzegovina, Georgia, Montenegro, Serbia, and Ukraine) and five Allies (Bulgaria, Croatia, Hungary, Latvia and Norway). In 9 nations, reviews were conducted with the Ministry of Defence (MOD). In the case of Afghanistan the review was completed with the Afghan Ministry of Defence and Ministry of Interior. In Ukraine, the review was conducted with nine ministries reporting to the National Security Council. (Since January 2014, 5 additional nations are in the process of completing the SAQ and Peer Review).

In December 2013, the 11 nations who had completed the BI SAQ and Peer Review were invited to provide feedback on changes resulting from participation in the BI Programme as well as recommendations on how to further improve the SAQ and Peer Review process. The results of the survey are being used to guide follow-on work, better harmonising BI with other NATO lines of work and complement efforts led by other international organisations such as the United Nations Office on Drugs and Crime (UNODC) and the Organization for Security and Co-operation in Europe (OSCE).

MAJOR OUTCOMES

- Development of a programme of change and enhancement of ongoing programmes of reform
- High level engagement at senior and government level
- Development of a BI Action Plan to take forward and promote recommendations
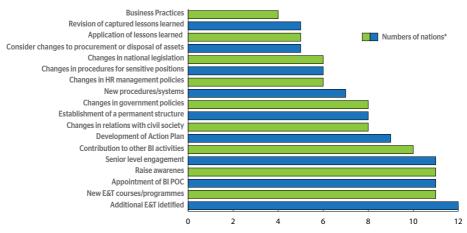- Strong impact on national E&T with long term benefits
- Increased contribution to other BI and international efforts aimed at reducing the risk of corruption
- Improved relations with civil society and media
- Establishment of a permanent structure and coordination mechanisms to promote good practice

OUTCOMES

The results of the survey were reviewed with the 11 nations during a two-day workshop conducted at NATO Headquarters on 20 - 21 February 2014 at NATO Headquarters. Table 1 shows the overall impact of BI. Table 2 shows details for individual nations. The results provide a snap shot of ongoing changes in 23 ministries in 11 nations.

The overall results are positive- nations report that the decision to participate in the BI SAQ and Peer Review served as a catalyst for developing a programme of change or was used to further enhance ongoing reforms. All nations reported high level engagement at senior management and government level. The most significant changes include:

- 8 nations have developed action plans;
- 11 nations have revised policy and procedures; and
- 10 nations are developing new education and training for civil and military personnel.

Business Practices, Revision of captured lessons learned, Application of lessons learned, Consider changes to procurement or disposal of assets, Changes in national legislation, Changes in procedures for sensitive positions, Changes in HR management policies, New procedures/systems, Changes in government policies, Establishment of a permanent structure, Changes in relations with civil society, Development of Action Plan, Contribution to other BI activities, Senior level engagement, Raise awarenes, Appointment of BI POC, New E&T courses/programmes, Additional E&T idetified

Numbers of nations*

*11 nations = 10 nations + 2 separate reports provided by Afghanistan MOD and MOI

All nations reported high level engagement at senior management and government level. Most nations (and all partner nations) have developed a BI Action Plan to take forward and monitor recommendations and have established permanent structures and coordination mechanisms to promote good practice. Ukraine reported financial savings of an estimated 2 Million Euros due to the introduction of new policies and procedure as a result of NATO BI work. In addition, a number of nations also highlighted the following benefits resulting from the BI Programme:

- increased Parliamentary attention and reporting on implementation of Peer Review recommendations (Latvia);

- establishment of a Centre for Integrity in the Defence Sector and development of a compulsory electronic learning module for all MOD staff (Norway);
- development of new or revised codes of conduct or ethics for personnel (Croatia, Georgia and Hungary);
- improved relations between the MOD and civil society (Afghanistan, Croatia, Montenegro and Serbia); and
- revised policies as regards vetting of personnel, rotation for sensitive positions, and inclusion of ethical matters in recruitment (Afghanistan, Georgia, Montenegro, Norway, Serbia and Ukraine).

The BI Programme has also had an impact on national education and training, helping to indentify requirements. Ten nations reported the development of new or revised courses on ethics, integrity and corruption risks. A number of nations reported increased efforts to develop and deliver BI courses as well as the addition of BI modules to existing courses. These developments, including the offer to share education and training resources, demonstrate nations' commitment to the implementation of the BI Education and Training Plan agreed by the North Atlantic Council (NAC) in August 2012. This will have longer term benefits which are likely to result in more efficient and effective defence institutions across the Alliance and among the Partners and will contribute to the Connected Forces Initiative. New courses include:

- Norway has developed a compulsory electronic learning module for all MOD staff;
- Bosnia and Herzegovina has developed 2 courses delivered at the Peace Support Operations Training Centre (PSOTC); a new course combining BI and 1325 will be conducted later this year in Albania by a mobile team from PSOTC;
- Latvia has developed a conflict of interest awareness training for middle level officers conducted at the National Defence Academy; and
- Bulgaria has developed a new set of executive level course offered at the National Defence Academy.

All countries except one report increased contribution to other BI activities and/ or international efforts aimed at strengthening good practice and reducing the risk of corruption. Five nations (Bosnia and Herzegovina, Bulgaria, Croatia, Montenegro and Serbia) are actively engaged in the Tailored BI Programme in the framework of the South Eastern Europe Defence Ministers Process (SEDM).

Changes in governmental policies, national legislation and the initiation of new procedures and systems have been reported by most nations. Ukraine identified gaps in existing anticorruption investigative procedures and has taken measures to address gaps between the MOD and State Prosecutor procedures. Four nations (Bosnia and Herzegovina, Bulgaria, Croatia and Georgia) developed new or revised codes of conduct or ethics for personnel. A number of nations report the

introduction of new procedures. Ukraine, for example, has developed a practical handbook "Rules of conduct for personnel of the Ukrainian State Border Service with a view to preventing corruption".

Most nations also report a positive effect of BI in improving relations with civil society and the media and in highlighting BI as a national issue. In Afghanistan, a conference on developing cooperation between the defence sector, other governmental entities and civil society to counter administrative corruption and ensure transparency and accountability was organized. In Ukraine, productive cooperation is underway in the "Public Council of the Ministry of Defence", which brings together 75 public, trade union, religious and charitable organizations. Croatia nominated a person responsible for public access to information within existing MOD structures.

As expected, the replies indicate more modest changes in the areas of human resources and financial management. Similarly, nations report little impact to date as regards review and application of lessons learned from operations. Change in these areas will require sustained effort and harmonising of NATO lines of work.

OVERALL RESULTS

Overall, the results reported by the 11 nations are very encouraging and highlight wide ranging positive changes supported by the BI Programme. Nations reported changes to business practices and structures, most importantly, have demonstrated a commitment to the implementation of the NAC agreed BI Education and Training Plan.

The results also demonstrate what can be achieved with relatively modest means. As the Alliance moves to Implement the Wales Summit decisions, a key message should be the good news story of Building Integrity and the clear contributions it is making to a wide-ranging group of Allies and Partners as regards shepherding scarce defence resources and improving the efficiency and effectiveness of how defence funds are spent. While there are a number of initiatives focused on good governance, the NATO led BI Programme focused on the defence and security sector is unique and is a valued contribution to capacity building and the United Nation led efforts to understand and reduce the risk of corruption.

QUESTIONS	Afghanistan MOD	Afghanistan MOI	Bosnia and Herzegovina	Bulgaria	Croatia	Georgia	Hungary	Latvia	Montenegro	Norway	Serbia	Ukraine	TOTAL
Senior level engagement	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	11
Raise awareness	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	11
Changes in national legislation	Yes	Yes	No	Yes	Yes	Yes	No	No	No	No	No	Yes	6
Changes in government policies	Yes	Yes	Yes	Yes	Yes	Yes	No	No	No	Yes	Yes	No	8
New procedures/systems		Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes	No	No	7
Appointment of BI POC	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	11
Establishment of a permanent structure	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	No	Yes	No	No	8
Additional E&T identified	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	12
New E&T courses/programmes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	11
Changes in procedures for sensitive positions	Yes	Yes	No	Yes	No	Yes	No	No	Yes	No	No	Yes	6
Changes in HR management policies	Yes	Yes	No	Yes	No	No	No	No	Yes	Yes	No	Yes	6
Contribution to other BI activities	No	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes	10
Revision of captured lessons learned	No	Yes	No	Yes	Yes	No	No	No	Yes	No	No	Yes	5
Application of lessons learned		Yes	No		Yes	No	Yes	No	Yes	No	No	Yes	5
Consider changes to procurement or disposal of assets	No	Yes	No	Yes	Yes	Yes	No	No	No	No	No	Yes	5
Business Practices	No	No	No	Yes	Yes	No	No	No	No	No	Yes	Yes	4
Changes in relations with civil society	Yes	Yes	Yes	Yes	Yes	No	No	No	Yes	No	Yes	Yes	8
Development of Action Plan	Yes	Yes	Yes	Yes	No	Yes	No	Yes	Yes	No	Yes	Yes	9

FURTHER INFORMATION

For further information on the Integrity Self-Assessment Process,
please contact the following:

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For further information on the NATO Building Integrity Programme, please see the
following websites:

http://www.nato.int/cps/en/natolive/topics_68368.htm

http://buildingintegrity.hq.nato.int/

http://buildingintegrity.hq.nato.int/