
INTEGRITY SURVEY OF PUBLIC SERVANTS IN TIMOR-LESTE



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INTRODUCTION

SINCE the Anti-Corruption Commission (CAC) was launched in July 2010 by the National Parliament (Act 8/2009), its two main missions under the law have been the investigation and prevention of corruption. CAC is also undertaking extensive education/outreach, as well as research. CAC raises awareness to limit corruption, collusion and nepotism, and also seeks to increase the integrity of public institutions and authorities by helping to improve their processes. In the last years, CAC has made much progress in this work, setting itself up, building a team that now contains 67 staff members that work under three distinct Directorates. These units are responsible for conducting corruption investigations, preventing corruption, and educating public servants and the public at large to help them recognize and reduce corruption.

In 2013 CAC decided to undertake an integrity survey of public servants in Timor-Leste. The purpose of this survey is to better understand what parts of public service are already working well and which improvements are needed to better serve the citizens of the country. The survey, conducted by CAC itself, had a broad scope. We interviewed 1,387 respondents face-to-face and covered 29 public institutions. The survey was conducted to international standards.

The findings thus are reliable and they should be useful in a number of ways. Government institutions can use them to improve their services even further. CAC will use the results to better target its prevention and outreach programs, based on the public mission it has been given by the law. Citizens can learn the perspective that public servants have on the challenges they face in their work.

Although public servants are engaged and committed, they also highlighted a number of concerns. Survey findings show that more needs to be done to strengthen prevention, reduce temptation, improve tendering processes and to raise awareness about appropriate conduct. Public servants can play a key part in addressing these problems. As the survey shows, they understand the challenges well, and can contribute to further improving the standards of conduct, and processes and procedures.

Ensuring that citizens of Timor-Leste get the service they are entitled to is not an easy task. Data and evidence can help measure progress, and concentrate effort where it will make the biggest difference. This report is one contribution to that broader task.

This survey was possible with the great support of the MCC/USAID Anti-Corruption Program, FOTI Timor-Leste. I would like to thank FOTI's Chief of Party, Eduardo Flores-Trejo and Jim Coy from USAID for their enormous support in terms of ideas and financial support. Dr. Hans Gutbrod has been a great mentor, from the inception of the project to the final shape of this survey. The Team from CAC, including students, worked tirelessly and did a brilliant job in conducting the survey in all 13 Districts of Timor-Leste. I believe this instrument will contribute significantly to our efforts to prevent and combat corruption in Timor-Leste in years to come.

Adérito de Jesus Soares

Commissioner

EXECUTIVE SUMMARY


PUBLIC servants in Timor-Leste are satisfied with the institution they work for, and care about serving the public. According to the survey undertaken by CAC in August and September 2013, public servants also have positive things to say about their colleagues and managers. However, an overwhelming majority recognizes that standards need to improve for the citizens of Timor-Leste to get the service they deserve. A number of challenges need to be addressed. Public servants identified widespread instances where conduct fell short of the standards that they aspire to. This includes cases of minor transgressions, such as public servants giving false or grossly inaccurate information to citizens, but also serious misbehavior, such as the giving or receiving of money in exchange for services, or theft. The reporting of such transgressions remains hazardous, as public servants fear that little corrective action will be taken and that whistleblowers may be subject to retaliation. In response, processes need to be strengthened, as public servants say that they currently still leave too many temptations. One particular challenge arises around tendering practices for awarding contracts to do work for the government. Practically all public servants who have tendering experience thought that these processes require improvement.

More broadly, although many public servants appear to be familiar with codes and standards of conduct they could be made even more relevant to everyday work. Public servants say they want their managers to take more of a lead in emphasizing the importance of integrity and appropriate conduct within their institutions. Public servants also said that they want to receive training, so as to be able to do their job better. As for CAC, many public servants appeared familiar with the institution, and had high expectations of CAC's contribution to increasing the integrity and conduct of public service. CAC's trainings and outreach appear to be

popular, yet more needs to be done to monitor their impact. In summary, public servants highlighted that there are many opportunities for improvement, and that there is much demand for these improvements to be put in place. Monitoring of transgressions, increased attention on merit and performance, improved internal communication within institutions, as well as an effort to emphasize prevention of corruption, collusion and nepotism, would help to address the main concerns that the survey identified. By continuing to emphasize data and evidence, institutions can learn to target their measures and find out which approaches work in their local context. This survey is intended as a contribution to that overall effort.

The survey was conducted by staff and representatives of CAC between mid-August and early October 2013, interviewing a total of 1,387 respondents from 29 institutions, covering the capital and all districts of Timor-Leste, including Oecussi. Face-to-face interviews were conducted with tablet computers, and typically lasted between 25 and 40 minutes. Extensive procedures were put into place to protect the anonymity of respondents' answers. While a proportion of respondents may have been cautious about answering sensitive questions, the survey was specifically designed to put respondents at ease. Consequently many respondents did come forward to highlight problems they had identified. In all of these cases, the percentages show that there are public servants that are concerned about issues, and – given the right setting – willing to talk about them.

Nevertheless, survey numbers should be viewed in broader context, and some caution is required in interpreting the numbers. Percentages represent an aggregate of the answers from all institutions. The survey gave more weight to smaller institutions and less to the larger ones, to offer a balanced picture of all the public servants of Timor-Leste. Without this



weighting, the survey would primarily represent the views of teachers, health workers and police, as these three ministries account for nearly two thirds of all government employees. Although all aspects of the survey were implemented by CAC, the implementing team received continuous advice and support from an external expert with extensive international survey experience. Overall, the survey implementation went smoothly, providing reliable results. Some lessons were identified for future efforts. These lessons are documented in detail, together with all other technical information, in the Annex to this report.

GOOD MOTIVATION, CONSENSUS FOR IMPROVEMENT

THE public servants of Timor-Leste care about serving the public, and in general are overwhelmingly satisfied with the organization they work for. 96% said they were fully satisfied or satisfied with their organization, and less than 1% claimed they were fully dissatisfied. In their work, the majority of public servants have regular contact with citizens. 61% said they usually had contact with the general public several times a week, and another 17% reported that they interacted with the general public a few times per month. Only 11% of public servants said that they had practically no contact with the general public.

Overall, public servants also have good things to say about their colleagues and their senior management. 67% fully agreed that their colleagues set a good example of integrity and conduct, and 66% fully agreed that their senior management overall were good examples. Middle-management and immediate managers were seen as positive examples by 64% of respondents. For these questions, between 25% and 29% somewhat agreed that their colleagues and managers are good examples, slightly muting their endorsement, but on balance still giving positive assessments.

Yet public servants are also candid that standards of conduct need to improve, so that the needs and expectations of citizens can be met. In total 83% respondents identified room for improvement. Breaking these results down, 30% said that “extensive effort and resources” are needed to meet the needs and expectations of citizens, and another 19% said that there is “lots to do” to improve the performance. A minority, 16%, believed that their organization already operated to very high standards of service and integrity. Reinforcing the concern, more than half of the respondents in a subsample said that they had personally witnessed insufficient service delivery to the public.

Summarizing conduct in your organization, how would you describe its current standards?



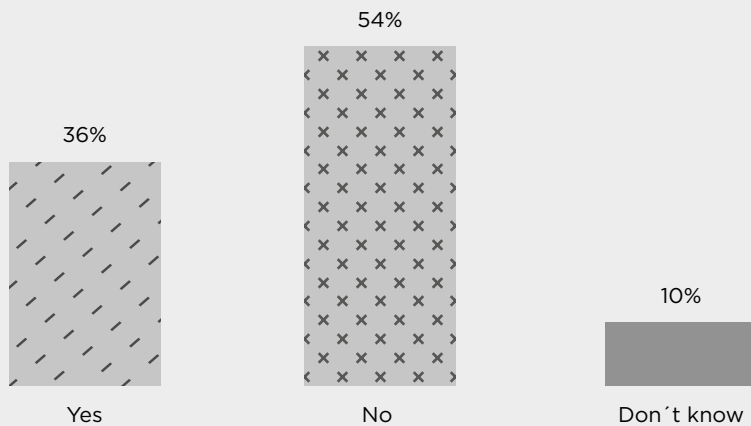
Integrity plays a large role in how respondents want to serve the public. 72% of respondents agreed very strongly that they would wish that their colleagues would “talk more about the importance of integrity and conduct and doing the right thing at the work we do”. Another 22% agreed somewhat with that statement, bringing the number that wants even more of a focus on integrity to a total of 94%.

TRANSGRESSIONS AT THE WORKPLACE

ALTHOUGH respondents may well have been cautious in answering sensitive questions, many highlighted that they themselves had witnessed a number of transgressions in the previous 12 months. At least 11% said that they had witnessed the giving of grossly inaccurate or false information to the public or individual citizens. At least 13% noted that they had observed false reports and documentation being produced. And more than a quarter of respondents, 26%, said that they had witnessed the transgression of office hours, for example manipulating attendance. All these questions were asked to a subsample that indicated a willingness to talk about their observation of transgressions involving corruption, collusion and nepotism (typically abbreviated in Tetum as KKN). Thus, these numbers indicate a floor rather than a ceiling of the real number of transgressions observed.

In total, more than a third of respondents (36%) said they had witnessed corruption, collusion, nepotism (KKN) or a conflict of interest at their workplace in the last year. More than two thirds (68%) of those reporting such transgressions said that they had seen actions that placed an employee's interests over those of the organization, suggesting that this is a significant concern among public servants.

In the last year, did you witness any KKN or favoritism or conflict of interest at your workplace?



Some respondents highlighted that they had seen serious violations. 15% of all respondents said that they had witnessed the “giving or receiving of money, presents, tickets, car, etc., for providing a service or benefit”. In the same context of questions about witnessing behavior at the workplace, 13% of all public servants said that they had observed theft.

Although these numbers show that there are widespread concerns, they again represent the floor rather than the ceiling of the real number. Represented as numbers of those (36%) who were willing to talk about observing KKN at the workplace in the last year:

- 68% said they saw the placing of private over an organization's interest;
- 41% reported having seen bribery, i.e. the giving or receiving of money or presents for providing a service or benefit;
- 36% claimed to have witnessed theft.

Perhaps revealing a degree of conflictedness on sensitive issues, respondents were more likely to answer “don't know” to questions involving criminal violations rather than disciplinary offenses. Asked whether they had seen KKN, 10% of all respondents said they did not know. Of those who agreed they had seen KKN, 12% said they did not know whether they had seen theft, and 10% said they did not know whether they had seen any bribing. By contrast, the number of “don't knows” dwindled for less sensitive topics, such as giving grossly inaccurate or false information to the public (6%), placing private above organizational interest (2%), or delivering service to the public that is insufficient (1%). It is thus fair to assume that at least some respondents chose “don't know” to side-step having to make a direct allegation.

Cross tabulations highlight that fewer women report witnessing actual transgressions. This was most pronounced in the case of bribery. Of all those who had seen KKN, 46% of men said they had witnessed bribery, compared to 32% of women. Although there is some evidence to suggest that less bribery takes place in front of women, more research would be needed to finally determine whether the main reason is that women are less likely to report bribery when they observe it.

Senior officials typically saw the same level of transgressions, although with some remarkable deviations. Compared with their junior colleagues that had witnessed KKN, they reported less abuse by a superior (52%

versus 59%), fewer instances of work not meeting specifications (57% versus 67%), less on putting private interest over those of the organization (60% versus 71%) and less on the manipulation of attendance/timesheets (68% versus 73%). That said, senior colleagues seemed more conscious of the provision of grossly false or inaccurate information to citizens (40% versus 30%) and the production of false reports (42% versus 36%). They reported similar levels of theft (35% versus 37%) and bribery (42% versus 43%), although on the question of bribery remarkably the number of senior officials who said they did not know was twice the number of junior public servants (17% vs 8%).

Public servants in Dili reported witnessing KKN significantly more (40%) than those outside the capital (25%). Those in the capital also reported more incidents. Public servants in the capital reported 17% more theft, 16% more bribery, 12% more discrimination based on political affiliation, and 8% more absenteeism. The difference likely reflects a combination of higher opportunities for transgressions in the capital and lower willingness to talk about wrongdoing outside Dili. For example, more than half (52%) of public servants in Dili say that their workplace is involved with awarding tenders, compared with just a quarter (25%) of public servants outside the capital. Conversely, public servants outside the capital may be more cautious in answering sensitive questions. Although this explanation is plausible, the data remains inconclusive. On many issues public servants outside Dili appeared as concerned and outspoken as their colleagues in the capital, although rarely more so. As with women reporting less bribery, follow-up focus groups and future surveys could probe the discrepancy in more depth.

Where does this leave the findings overall? One way of putting the numbers in perspective is to compare them with results from similar efforts, such as the Integrity Surveys done in New Zealand. These comparisons should be undertaken with caution, but can be indicative of the broader context.

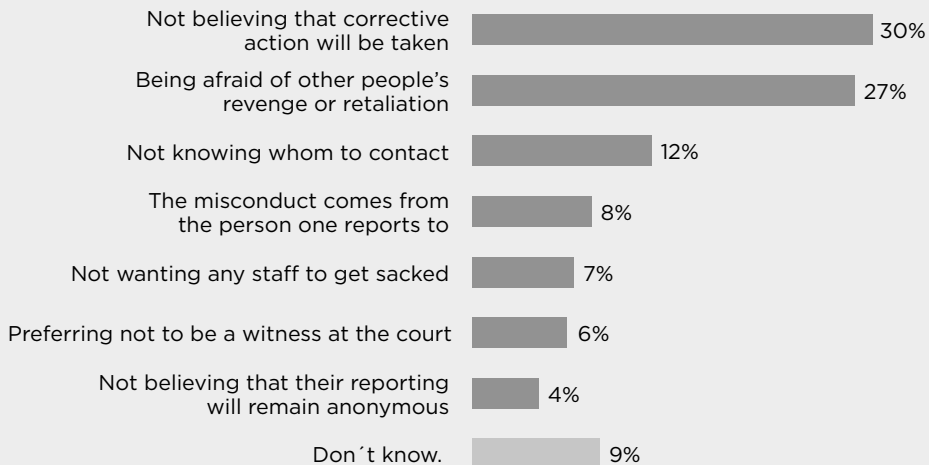
Results from this integrity survey suggest that the transgressions observed in Timor-Leste are a multiple of what happens in a settled and well-developed public service. Bribery in Timor-Leste happens at the very least three times as much as it does in New Zealand, and theft is at least twice as common. These are extremely conservative comparisons, as respondents in New Zealand likely were more candid. Their survey was conducted online by an external agency, thus with full assurance of anonymity of responses. A previous similar survey had demonstrated that there were no risks to participating. Thus respondents in New Zealand were more likely to report transgressions than those in Timor-Leste, who were interviewed face-to-face, by representatives of an agency tasked with investigating corruption. With all these constraints, it is an illustration of how widespread the transgressions in Timor-Leste are that so many public servants did come forward to report their concerns.

¹ See http://bit.ly/NZ_IntegritySurvey (retrieved November 5, 2013)

LACK OF REPORTING

With transgressions widely spread, why are they not reported more? Overall, respondents believe that reporting transgressions carries high risks and brings few rewards. More than a quarter of respondents (27%) said that they did not believe that corrective action would be taken. Another quarter (25%) said that they would be afraid of other people’s revenge or retaliation, another 6% said they would not want to be a witness at court, and 4% said that they did not believe that their reporting would remain anonymous. Taken together, 35% highlighted the risks of reporting. The availability of alternative reporting channels, however, also matters. 12% of the public servants said they would not know whom to contact (20% in the districts, 8% in Dili), a concern reinforced by another 8% who suggested that misconduct came from the immediate supervisor.

Some public servants know that superiors and colleagues in their workplace didn’t comply with laws and procedures, yet they do not report transgressions. In your opinion, why do those public servants not report?



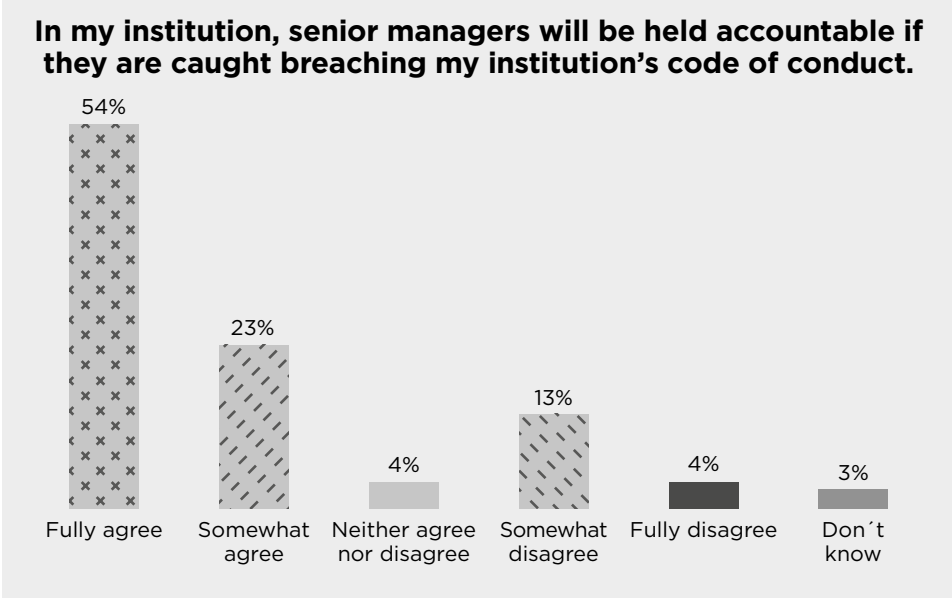
Taken together, increasing prominence of reliable alternative reporting channels, such as hotlines, could address a key reason for not reporting transgressions for 20% of the respondents. This is especially the case outside the capital. These alternative reporting channels, however, still need to earn broader trust to become effective. Primarily, as the data suggests, they need to demonstrate that whistleblowing does not lead to retaliation, and that anonymity is guaranteed. Some interviewees who had themselves dealt with whistleblowers in the course of their work said that they had encountered very strong pressure, including intimidation, to reveal their sources.


Given the overwhelming concern about the risks, one option would be to encourage whistleblowers to remain anonymous, so as to reduce the challenge of maintaining confidentiality. At least all hotline processes should be tested in rigorous and adversarial simulations, to make the prospect of reporting a transgression less terrifying than it currently seems to be. Putting into practice legal instruments to effectively protect whistleblowers, such as those set forth by Act 2/2009 and Act 5/2009 (Article 114), should also help.

Training by CAC may help public servants to be more sensitive in observing KKN, although this training needs to do even more to assure individuals of their safety from retaliation. 45% of those who said they were trained by CAC said they had observed KKN, as compared to 33% among public servants that had not been trained. At the same time, further cross tabulation highlights that those who had participated in trainings were more conscious of the risk of retribution. 34% of those who had participated in CAC trainings said that likely retaliation was the main reason for not reporting, as opposed to 23% of those who had not attended any

CAC training. Similarly, cross tabulations showed that higher officials were somewhat more concerned about retribution than their junior colleagues. 31% of senior managers said that retribution was the main reason not to report, as opposed to 26% of junior staff.

Public servants have good reason to fear being exposed at the workplace. 21% of them reported having witnessed abusive or intimidating behavior towards employees at the workplace. And while public servants generally expressed loyalty to their management, only 58% agreed fully that their immediate manager disciplines staff who breach workplace standards of integrity and conduct, with 8% somewhat or fully disagreeing. This finding was even more striking for senior managers. Only 54% agreed strongly that senior managers of their institutions will be held accountable if they are caught breaching standards of conduct. 17% disagreed somewhat or fully, thus saying that senior management in their institution enjoyed a degree of impunity.





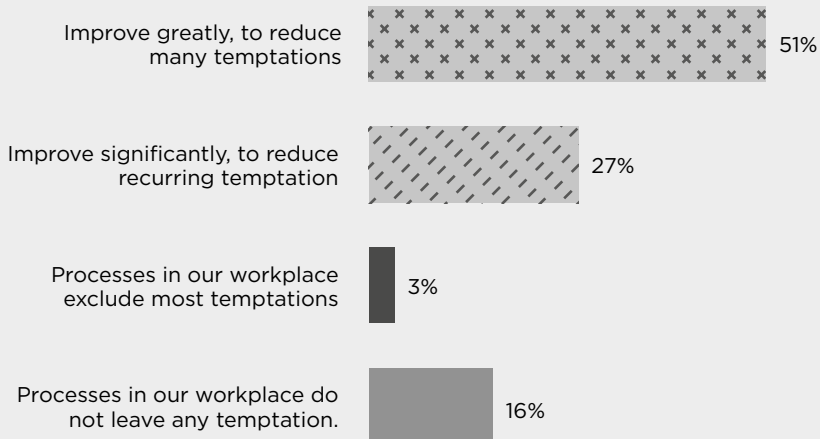
That sense of impunity is particularly pronounced among senior managers. Only 44% of senior managers agree fully that senior managers are held to account, compared with 54% of junior staff who believed that senior managers would definitely be held to account.

The findings thus highlight the importance of reinforcing standards and of creating accountability, from the top down. Given the high degree of employee loyalty, enforcing higher standards to a good degree is a matter of prevention and strengthening existing systems of accountability. Investigation and prosecution have an important role to play, but realistically face the challenge that strong social bonds will continue to limit the extent to which public servants report transgressions, especially if they are undertaken by their colleagues and managers.

NEED TO STRENGTHEN PROCESSES AND PREVENT TRANSGRESSIONS

THE survey results underline how important it is to strengthen systems and processes in public institutions. 78% of public servants said that in their workplace, the processes and regulations could be improved significantly or greatly, to reduce the temptation to get gifts or favors from citizens. Only 16% of public servants said that processes in their workplace currently do not leave any temptation, similar to the 16% mentioned earlier that believe that their institution already operated to very high levels of integrity. Senior public servants were more conscious of the problem, with 86% highlighting the need to strengthen systems and processes, as opposed to 79% of junior public servants.

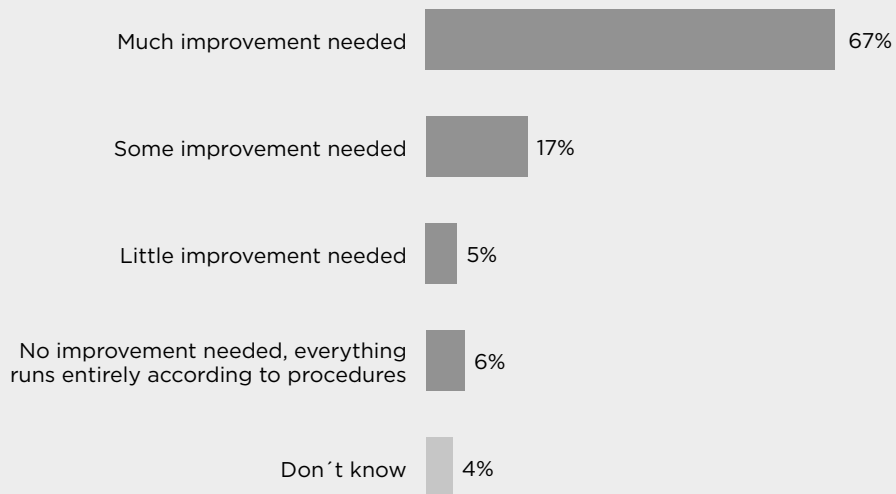
Sometimes public servants face inappropriate temptations to get gifts or obtain favors from citizens. In your workplace, could the processes and regulations be improved to reduce temptations to public servants?



The strengthening of effective controls certainly are a major consideration in this context. Nearly a quarter of respondents (23%) said that they had seen the provision of goods, services or work products that failed to meet specifications. Simple and robust standards, coupled with many regular checks and audits, may help to address some of these concerns.

Public servants also thought that tendering procedures required improvement. Of those whose workplace put out tenders, 67% respondents said that “much improvement is needed” to ensure that these projects are awarded fairly and entirely according to the rules. Another 17% stated that some improvement was required, bringing the total highlighting the need for improvement of tendering processes to 84%. Only 6% of those familiar with tendering procedures thought that no improvement is needed as everything runs entirely according to procedures. In a separate question, 19% of all respondents agreed fully or somewhat that “too many public servants own or are involved with companies that win government contracts”. Here again, junior public servants were slightly more (4%) concerned about propriety than their senior managers.

Of those whose workplace put out tenders (44%): In ensuring that these projects are awarded fairly and entirely according to the rules, how much improvement do you think is needed?



The data thus suggests that there is overwhelming support, perhaps even a mandate, for further improving tendering processes in Timor-Leste. It is a concern for many public servants, as 44% say that their workplace has put out a tender for public competition in the last two years. (On this question 14% of respondents said they did not know whether their workplace had put out a tender for public competition, a plausible number since not all public servants will be fully familiar with the range of activities of their institution.)

More than half the workplaces (57%) said that they awarded projects several times a year (37%) and once every three months or more often (22%), highlighting that this is a regular activity that leads to much public interaction.

KNOWLEDGE AND ATTITUDES

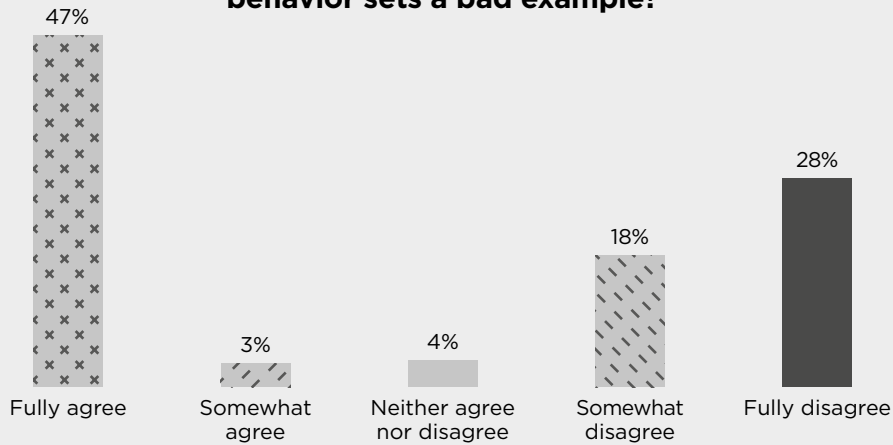
To improve integrity is not only a matter of processes, but also of knowledge and attitudes. The survey suggests that both need to be addressed.

The Code of Ethics for the Public Function (contained in Act 5 of 2009), or at least rules of conduct, appear to be widely recognized, with 85% claiming that their institution had one. However 26% of respondents did not know whether their code contained any guidance on how to report wrong conduct and this lack of knowledge was particularly pronounced among junior public servants. The relevance of the code to the work of public servants could be strengthened, and it should outline effective alternatives to report violations.

In terms of attitudes, public servants seem split on key questions of propriety. 50% of public servants thought that the private use of public property, specifically the use of state cars for going shopping or taking the family to weekend picnics, sets a bad example, potentially undermining public trust. Views were pronounced and almost polarized, with 47% strongly agreeing, and 3% somewhat agreeing.


Yet there is no consensus on this question. 46% of public servants do not think that the private use of public property sets a bad example. This suggests that public servants may need to be sensitized more. At least according to current regulation, the private use of state vehicles, for example for family outings on weekends, remains prohibited.

Senior civil servants often have access to state cars. According to media reports, some use their cars for what look like private purposes (going shopping, taking family to weekend picnics). Some people say that average citizens lose trust in public servants if they see state cars used for such private trips. Do you agree that such behavior sets a bad example?



Remarkably, senior public servants (who are more likely to have access to state vehicles) are less concerned about setting a bad example by the use of state vehicles. Only 40% of senior public servants thought that this private use of public property sets a bad example, as compared to 52% of junior staff. Public servants based in Dili seemed more concerned (50%) than those outside the capital (40%). Also, women (52%) tended to be somewhat more concerned than men (45%) by such behavior.

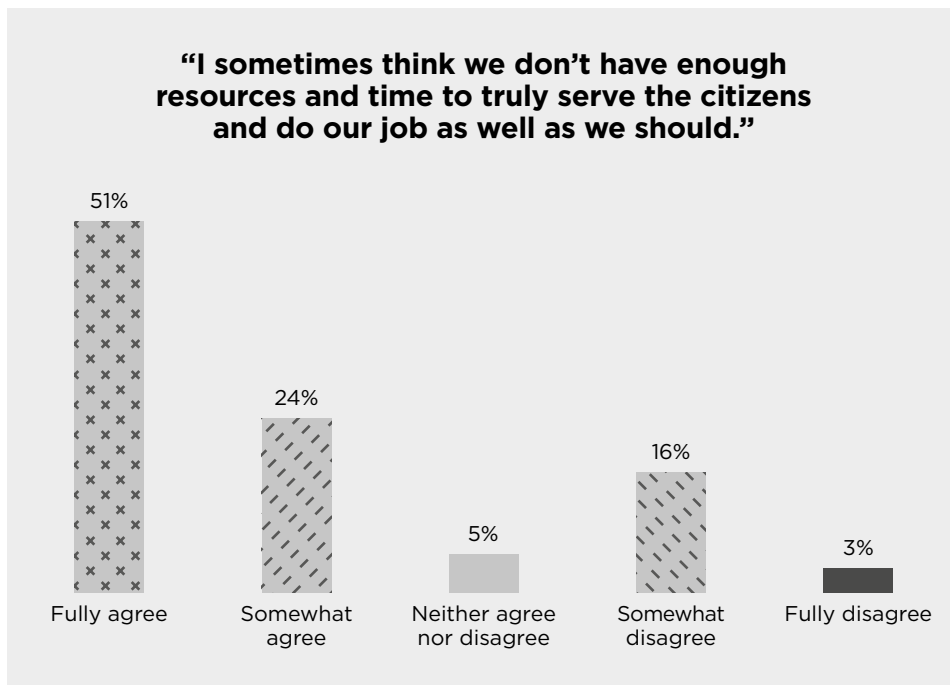
Further examination of public attitudes to this issue in Timor-Leste may help public servants understand to what extent this issue is seen as potentially undermining trust in them. As public servants in Dili are more concerned than those outside, an easy first step could be to focus on further sensitizing people in the capital to consolidate a consensus on what is appropriate, and to tackle countrywide attitudes in a second step.



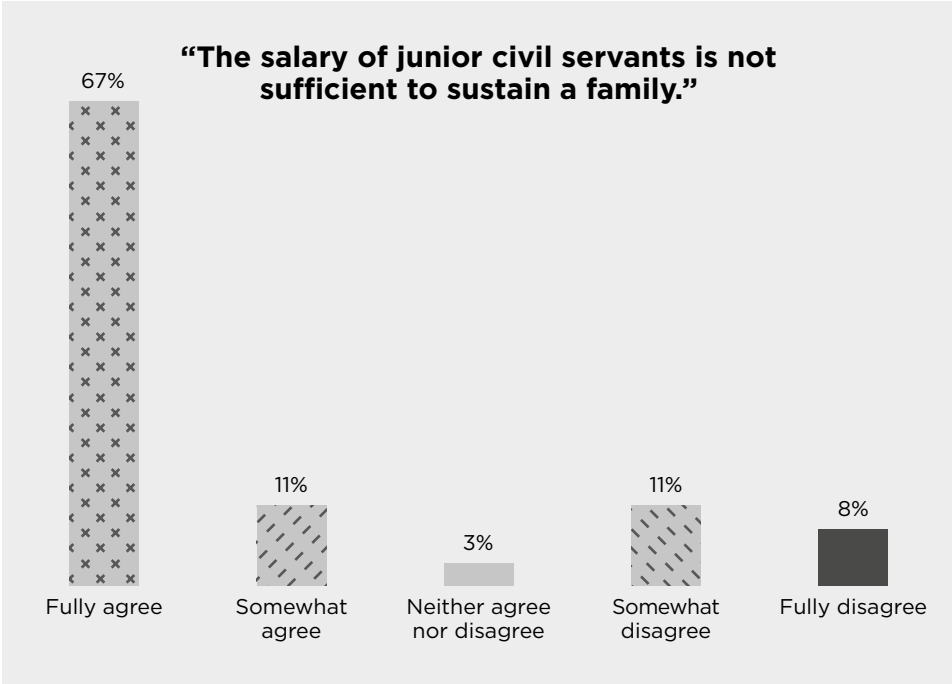
In doing outreach and education on this issue, it may be worth to explore alternate delivery mechanisms. Being trained by CAC appeared to have no discernible impact on attitudes towards the use of state cars, suggesting that strategies for sensitizing public servants to this issue need to be developed even further.

FACING A TOUGH WORK CONTEXT

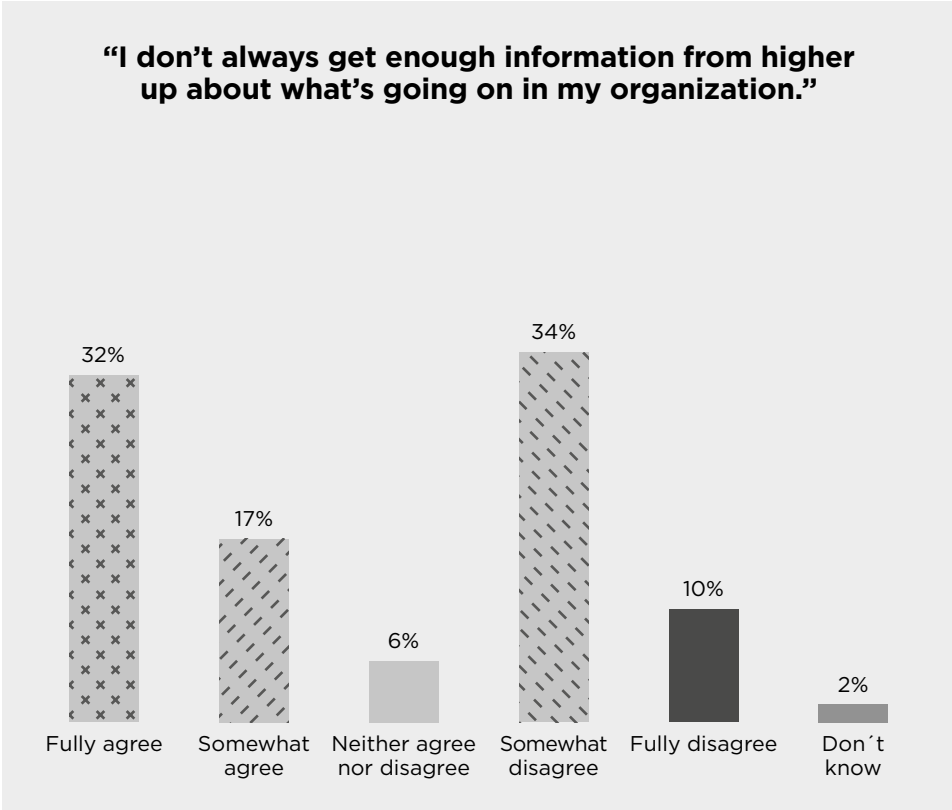
IN undertaking further reforms and improving procedures, one factor that has to be taken into account is that many public servants say that they face tough work conditions. 75% agreed that they sometimes do not have enough resources and time to truly serve the citizens and do their job as well as they should. More than half (51%) agreed fully, and about a quarter (24%) agreed somewhat. Only 3% of respondents fully disagreed with the statement, and 16% disagreed somewhat, yielding a total of 19%.



A major concern is salary. An overwhelming majority of public servants believe that salaries for junior staff are not sufficient to sustain a family: 67% agreed fully, and 11% agreed somewhat. 19% disagreed (11% somewhat, 8% fully) broadly in line with the 16-19% of respondents that in previous questions had said that things are already going very well. Public servants in the capital (80%) thought junior salaries were less sufficient than those outside Dili (71%) where living expenses are lower. Junior public servants were particularly concerned, with 83% agreeing that their salaries were insufficient to sustain a family. By comparison, 65% of senior public servants thought that junior salaries were insufficient.



Yet the concerns are not just centered on salary but also on management style. Nearly half of public servants (49%) do not feel that they get enough information about what goes on in their organization. On this question, only 10% fully disagreed, suggesting that the general information flow could indeed be improved. While it is hard to generalize from the survey, it may be that measures as simple as bulletin boards or a bimonthly institutional newsletter, printed in black and white for easy and inexpensive replication, could help to keep public servants more informed, and thus giving them even more of a stake in the institution's ongoing work and upcoming changes.



There is at least a degree of concern about political pressures. 14% said that they had witnessed, at their workplace, discrimination on the basis of political party affiliation. Emphasizing merit, and keeping political pressures out of the workplace, should contribute to the motivation and commitment of public servants. While the number of respondents that are concerned about political pressure at this point is not high, a further increase in perceived political pressure could have corrosive effects on the trust that public servants have in their institution in the long term.

The survey suggests at least two promising approaches to further improving the performance and integrity of public service.

Public servants overwhelmingly agreed (93%) that senior management in their institution could do even more to communicate the importance of integrity and conduct, and doing the right thing in the workplace. Only 3% disagreed, down sharply from the 16-19% that typically are satisfied with current conditions. Thus, practically all public servants seem to be waiting for senior management to take the lead in strengthening the integrity of their institution, both in substance and in making staff feel that they participate in this process. Given that there are a number of substantive concerns, any strategy needs to be robust and credible.

Practically all public servants (98%) also said that they would be interested in receiving further training. The main general topics that they expressed interest in are management and administration (45%), followed by Portuguese and English (38% and 37% respectively), leadership (29%), computer and IT (26%), financial management (22%). Also popular topics for training are planning; communication, presentation, media relations; and report writing (19%, 15% and 6% respectively). Nearly half (47%) of the public servants also want to have training in their specific subject area, and mentioned subjects such as teaching, agriculture, health, engineering, justice and law.

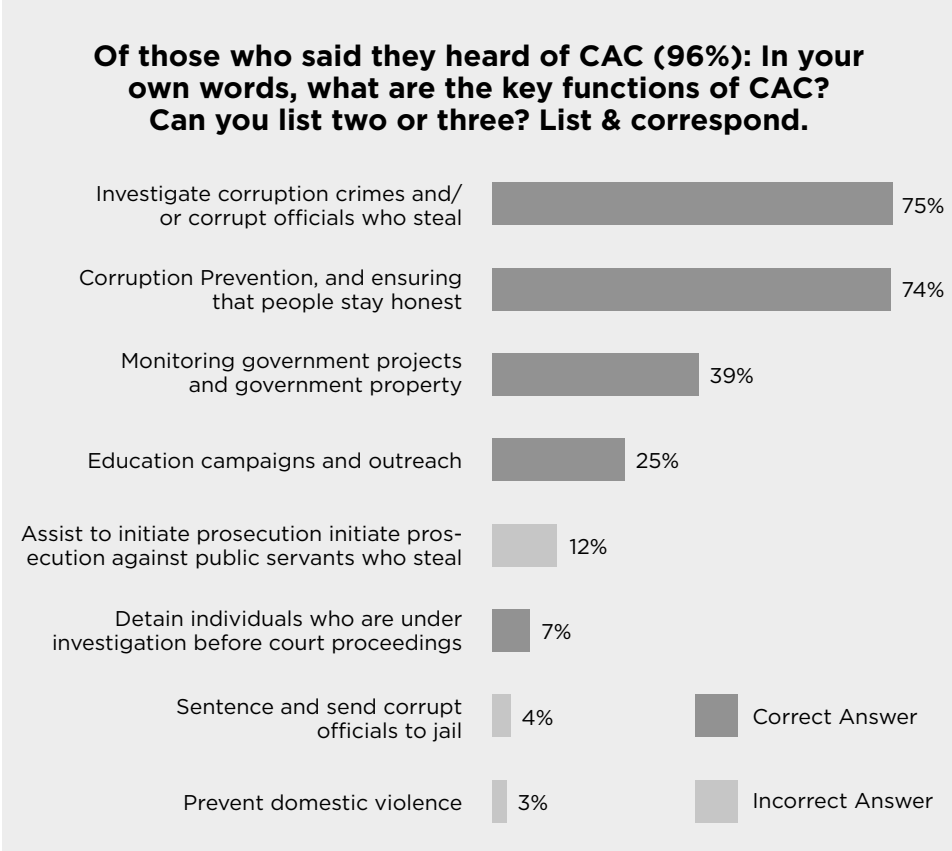
CAC KNOWN, EXPECTATIONS HIGH

AS for CAC itself, the survey results indicate that its work has considerable reach. 82% had seen outreach material, such as brochures, stickers or T-shirts in the previous year. CAC also appears to have a good presence in the media. 86% of respondents said that they had seen information about CAC on TV, radio or newspapers in the previous six months. 43% said they had seen both of CAC's TV specials *Ameu Harii Uma Kain* (a short drama raising public attention on certain social relations which may lead to corrupt practices) and *Movimentu Kareta Estadu no Utilizasaun Mina Estadu nian* (The Usage of State Vehicles and Fuel). About a quarter (24%) said they had only seen *Movimentu Kareta Estadu no Utilizasaun Mina Estadu nian*, a film that CAC also regularly shows in its trainings. A smaller proportion (4%) said they had seen *Ameu Harii Uma Kain*, an earlier program. 30% said they had seen neither program.

There may have been a “courtesy bump” in these responses, since the questions were asked by CAC representatives. This attempt to appear agreeable is familiar from all surveys, and may have been as large as 10% on some questions. In future surveys, including those of the general population, CAC would triangulate these findings, even if anecdotes also appear to suggest that CAC indeed has considerable reach.

At the time of the interview, potentially influenced by preparing themselves for being interviewed, public servants seemed to be knowledgeable about CAC. 71% of public servants correctly identified investigation and prevention as two of CAC's three pillars. About a quarter (24%) correctly named public education and outreach as CAC's third pillar. General information levels about CAC thus appear to be good, even if public education and outreach is not yet broadly recognized as an important role. The survey also highlighted some misunderstandings, as 12 % of respondents believe

that CAC has a lead role in prosecuting corrupt public officials, which is not a task of the organization. A small number of respondents (3%) believed that CAC had a role in preventing domestic violence, at least suggesting that not all answers were systematically rehearsed.



Although data collected by CAC on its own performance will not be as reliable as research from an external organization, the findings still seem to indicate that at this point CAC enjoys a considerable degree of goodwill. Specifically, 64% fully endorse CAC's work, and 11% endorse CAC somewhat. The survey left it open for respondents to say that it was "too early to judge CAC's performance" or that they just did not know, resulting in 20% that did not voice an opinion. These 20% are not necessarily critical of CAC, but nor do they specifically approve. It is thus fair to assume that overall, attitudes towards CAC are positive.


This goodwill entails that there are high expectations of CAC delivering on its promise. Interviewers reported that they were received very positively, to the point that some of the CAC staff involved in the survey fieldwork wondered whether CAC could deliver on the very high expectations that some public servants seem to have. The survey underlined the importance of CAC's future strategy, the need for resources to match the planned activities, and the importance of "small wins" to contribute to CAC's momentum. One interviewer mentioned that public servants may see the Indonesian anticorruption commission while watching Indonesian television, and have similar expectations, as also illustrated by the 12% that believed that CAC itself would prosecute. Yet, as the interviewer said, CAC neither has the authority nor the resources, nor quite yet the experience, to deliver on the same level. Managing and focusing expectations thus will remain an integral part of CAC's future development, according to the survey results.

CAC'S TRAINING

The survey results showed that a considerable proportion of public servants have interacted with CAC through the trainings and seminars that CAC offers. Across the institutions, 21% of respondents said that they and their colleagues had participated in a training seminar offered by CAC. Another 15% said that their colleagues had participated, even though they themselves have not. 66% said that neither they nor their colleagues had ever participated in a training by CAC.

On a technical point, these numbers are representative of an average of institutions in which small institutions are overrepresented. Weighting the data for all public employees, roughly 10% of public servants were trained, which broadly matches CAC's own data of having 3,541 participants in its trainings. The discrepancy is explained by CAC training primarily senior staff across many institutions, but not yet having worked with the Ministry of Education, which accounts for more than a third of all public servants. There may also have been a courtesy bump, but data broadly matches CAC's own training records.

Generally, it appears that the training is indeed targeted at many of those that need it. For example, those that attend trainings are more involved in tendering procedures (56%) than those who are not attending trainings (40%) and they have more regular contact with the public (67%) than those who have not been trained (59%). Those that participate in trainings also are more familiar with mechanisms to report violations to ethical standards (58%) than the untrained (48%). Remarkably, many more of those who have been trained (45%) report observing KKN, as opposed to those not trained (33%). More of them say that too many officials are involved in companies that win government contracts (21% of those trained, vs 18% of the untrained).



That said, the impact of the trainings is not always as pronounced as one may expect. The findings do suggest that it may be worthwhile for CAC to experiment with a range of different approaches, as part of a general learning process on how to maximize impact. Systematic monitoring would allow CAC to learn from all of its activities. The key would be to introduce such experimental and evaluative thinking to all staff, and make it part of all undertakings so that it is fully integrated into everyone's work, rather than being externalized onto a separate internal group. Regular after action reviews/lessons learned sessions may be a useful part of such an undertaking.

CONCLUSION

AS the public servants highlighted, there is much to do so that the citizens of Timor-Leste get the services they deserve. Some of these measures may be comparatively simple. For example, insisting on punctuality would be one measure that could help ensure that citizens receive more reliable service. Currently, according to many public servants, there are significant irregularities around hours worked. Another comparatively simple measure would be the improvement of internal communication, as many public servants say that they do not feel sufficiently informed. There are a number of well-established techniques to support such efforts.

Other desirable measures can take longer time to implement, such as a system and culture of hiring and promotions that emphasize merit above all other considerations. With these, as with many other issues, such as tendering, processes need to be improved further. CAC is building its expertise in this field, and could serve as an institution that facilitates the exchange of lessons learned in improving processes.


The integration of technology can assist in these processes. Among other things, technology could facilitate a regular audit of the payroll. The survey found, for example, that 1.4% of public servants sampled from a June 2013 payroll list were not in the offices where supposedly they are working, the majority of them deceased but still receiving a salary (in one case for two years). Requiring public servants to submit a phone number would facilitate payroll audits which could be undertaken at comparatively low expense. If the excess enrollment discovered during the survey is indeed representative (which most likely it should be), this could lead to sizable savings.

There are many opportunities for improvement. One key to this is prevention. The survey has already been used, and will continue to be used by CAC's Prevention's Unit in focusing its strategy on corruption in public sector procurement and improving public servants' knowledge and understanding of how and why corruption happens, and how to report corruption.

Whichever reform strategies are chosen, one key insight from this report is that they should be informed by solid evidence. Quality research can highlight which problems are most pronounced, and give suggestions how they can be addressed. The results sometimes are counterintuitive, as in highlighting that people that receive training become more concerned about the retaliation that whistleblowers may face. Although some such insights may appear discouraging, they ultimately should be seen as an invitation to experiment with innovative approaches, and to measure results rigorously. Ultimately, which solutions work on a local level is best determined by systematic monitoring.

Through this survey, CAC has collected invaluable experience on how to conduct such research. While it received some outside support, all the key aspects of the actual implementation were conducted by CAC itself. It thus will be able to conduct similar projects in the future, which could also be smaller in scale, to research very specific issues, or to test innovative approaches.

Certainly, the data collected in the survey can continue to inform CAC strategy. This report is merely a summary, and an overview over a huge data-set. More detailed comparisons are possible, and include analyses by institution. This analysis will be made available to each institution, to highlight in which field it already is doing well, and which areas require improvement relative to other organizations.



Overall, this undertaking was intended to inform many of the ongoing discussions about how to improve the services that the people of Timor-Leste receive. This purpose is best served if the findings are read, discussed, challenged, reviewed and considered widely, so as to help guide the next steps that institutions, public servants and citizens undertake.

SURVEY & FIELDWORK TECHNICAL REPORT

CAC undertook all aspects of this survey, while receiving technical and financial support from the MCC/USAID Anti-Corruption Program, FOTI Timor-Leste. The project team consisted of Cirilio Abi, Almerio Barros, Ezequiel Cristovao, Henrique Lopez and Ivo Rangel (in alphabetical order). Technical advice was provided by Dr. Hans Gutbrod, who worked as a consultant for MCC/USAID's FOTI Timor-Leste.

QUESTIONNAIRE DEVELOPMENT

To develop the questionnaire, the core team developed key hypotheses with reference to CAC's work. These hypotheses were discussed, reviewed and refined in a series of workshops over two weeks. The team developed questions to test these assumptions, typically deploying several questions to get at the same topic from various directions. In doing so, the team drew on existing literature and comparable survey efforts, including an Integrity and Conduct Survey of public servants in New Zealand in 2010 (see http://bit.ly/NZ_IntegritySurvey), adapting all questions to the context in Timor-Leste.

Questions were pretested on 45 respondents in Dili at the Cabinet of the Prime Minister and the Ministry of Education. The pretest highlighted that questions need to be straightforward to be understood by all respondents.

The questionnaire worked well in the field. Future surveys should include prompts that test respondents' tendency to agree and comply, as this will have been a factor in some of the responses. When modifying questions in

future surveys, the sample should be split, with one half being asked the original question, and the other the modified version. This would ensure comparability of results.

SAMPLING

Sampling was done from a list of all public servants on public payroll, which was current as of June 2013. Overall, CAC interviewed 1,387 respondents face-to-face and covered 29 public institutions.

Sampling was proportionate to institutional size, achieving a 10% margin of error for larger and 15% for smaller institutions, at a 95% confidence interval. In other words, for 20 comparable samples, the results would fall within +/- 10 % in 19 out of 20 cases. While a higher level of representativeness per institution would be desirable, it would have necessitated up to three times the number of interviewees especially at smaller ministries, thus tripling the cost of the fieldwork.

The results presented here are an aggregate of responses of all institutions. They thus seek to give a broad representation of views. Smaller institutions may be over-represented in proportion to their staff size, to reflect that they often have significant weight. Put differently, a proportional representation of all public servants would have given disproportionate weight to teachers, health workers and police, as these three ministries account for nearly two thirds of all government employees.

The existing payroll list proved mostly accurate, although in 19 cases, roughly 1.4 %, the sampling listed names that were either not recognized as currently serving public servants by their supposed colleagues, or deceased (in one case for 2 years already) or, in one case, a school pupil rather than a teacher.

INTERVIEWERS

For the survey, CAC mobilized a total of 32 fieldwork staff, 16 externally recruited students (5 female, 11 male), and 16 internal CAC staff (2 female, 14 male). The proportion of female interviewers (22%) approached but did not exactly reflect the distribution among the respondents (31%). Interviewers were divided into 4 teams, each with a supervisor and assistant supervisor. One central coordinator ensured smooth logistical and technical implementation of the survey.

The team trained the interviewers in two days, covering CAC's mission, the purpose of the survey, the survey questionnaire, appropriate techniques and the use of the Android tablets. Interviewers practiced in pairs, doing mock interview to refine their technique and their use of tablet computers.

TABLETS

To implement the survey, CAC used tablet computers to facilitate interviewing (especially around skip patterns), improve fieldwork control, and eliminate the paper-based entry stage. CAC used ODK Collect (<http://opendatakit.org>) as the interviewing interface, a software that has established itself as the leading open-source program and has also been used in Timor-Leste by The Asia Foundation. The CAC team used 30 tablets, Galaxy Samsung Tab 2.

In less than 5 cases, interviewers forgot to save the interview, necessitating a re-interview after data was lost. Future training will emphasize the need to save the interview data. In 8 cases, the tablets struggled to save the GPS location, or required several hours to save the location. Future programming of the interface should allow interviewers to override the requirement to save the location in case of malfunction. Technically, ODK Collect proved stable, only once requiring a reinstallation. One tablet lost functionality during the interviews and was returned to the vendor.

FIELDWORK AND NON-RESPONSE

Non-response was very low, as the survey came via an official request, and was agreed with participating institutions. Of those contacted, 2 could not be reached because they were out of office during the survey. Forty three (43) refused to answer. Fieldwork ran from mid-August 2013 to early October 2013, covered all regions of Timor-Leste, focusing on urban areas. Rural public servants were not interviewed, as they typically enjoy less discretionary powers and budget authority. Moreover, rural interviews would have added expense and effort, at comparably low additional benefit.

INTERVIEW LENGTH

The survey consisted of a total of 70 questions, of which 23 were subject to 6 skip patterns (i.e. would only be asked if they applied to the respondent). Without skips, the typical interview length was under 25 minutes.

BACKCHECKS

The survey was tightly monitored, as the core team was involved in the survey as supervisors and implementers. Tablet computers provided further safeguards. Additionally, the CAC team conducted back checks on 66 interviews, or 5% of interviewees. The backchecks, conducted by the core team, checked at least two interviews per interviewer (i.e. 4%), and were ready to schedule further interviews in cases of detecting discrepancies. No discrepancies were detected.

LESSONS LEARNT & DOCUMENTATION

The CAC team will finalize a separate lessons learnt report and collect all basic survey materials and templates, to facilitate future data collection efforts.

For methodological or other questions, please direct inquiries to cactimorleste@cac.tl.

Appendix II

DEMOGRAPHICS & SELECTED SURVEY RESULTS

Gender	%
Male	69
Female	31

Management Level	%
Senior	12
Middle	22
Junior	62
Don't Know	4

Location of Respondent	%
Dili	72
Outside Dili	28

Advanced Language Ability	%
Bahasa Indonesia	65
Portuguese	13
English	6

IT	%
Computer	71
Internet	48

GOOD MOTIVATION, CONSENSUS FOR IMPROVEMENT

(P1) Please indicate the extent to which you agree or disagree with the statement - I am satisfied in general, with the organization I work for?	%
Fully agree	80
Somewhat agree	16
Neither agree nor disagree	2
Somewhat disagree	2
Fully disagree	0

(P3) Before joining your current organization, have you previously worked as a public official for any significant time?	%
Yes	15
No	85

(P4) In your work, how much contact do you have with the general public?	%
Very regular contact - usually several times a week	61
Regular contact - a few times per month	17
Infrequent contact - once or twice per month or less	11
No contact	11

(P22.2) Overall, senior management sets a good example of integrity and conduct	%
Fully agree	66
Somewhat agree	27
Neither agree nor disagree	4
Somewhat disagree	2
Fully disagree	1

(P21.7) “Overall, my colleagues set a good example of integrity and conduct.”	%
Fully agree	67
Somewhat agree	25
Neither agree nor disagree	4
Somewhat disagree	3
Fully disagree	1

(P23) Summarizing conduct in your organization, how would you characterize its current standards?	%
Very high standards of service and integrity.	16
Good standards, but some improvement possible.	34
Reasonable standards, but lots to do to meet citizen needs and expectations.	19
Extensive effort and resources needed, so that we can meet citizen needs and expectations.	30

(P21.3) “I wish my colleagues would talk more about the importance of integrity and conduct and doing the right thing in the work we do.”	%
Fully agree	72
Somewhat agree	22
Neither agree nor disagree	2
Somewhat disagree	2
Fully disagree	0

(P15) In your workplace, do you have any standards that are hard to follow, even though you make big efforts to make them work?	%
Yes	63
No	36
Don't Know	1

SIGNIFICANT TRANSGRESSIONS AT THE WORKPLACE

(P16) In the last year, did you witness any KKN or favoritism or conflict of interest at your workplace?	%
Yes	36
No	54
Don't Know	10

Of those (P16) who said they had seen KKN (36%):	
(P17.1) Delivering service to the public that is insufficient	%
Yes	70
No	29
Don't Know	1

Of those (P16) who said they had seen KKN (36%):	
(P17.2) An action that places an employee's interests over the organization's interests	%
Yes	68
No	29
Don't Know	2

Of those (P16) who said they had seen KKN (36%): (P17.3) Superiors that show abusive or intimidating behavior towards employees	%
Yes	57
No	39
Don't Know	3

Of those (P16) who said they had seen KKN (36%): (P17.4) Provision of goods or services or work product that failed to meet specifications	%
Yes	63
No	34
Don't Know	3

Of those (P16) who said they had seen KKN (36%): (P17.5) Giving or receiving money, present, tickets, car, etc., for providing a service or benefit	%
Yes	41
No	48
Don't Know	10

Of those (P16) who said they had seen KKN (36%): (P17.6) Misrepresentation of any records and reports	%
Yes	36
No	54
Don't Know	10

Of those (P16) who said they had seen KKN (36%): (P17.7) Discrimination on the basis of political party affiliation	%
Yes	40
No	54
Don't Know	6

Of those (P16) who said they had seen KKN (36%): (P17.8) Theft	%
Yes	36
No	52
Don't Know	12

Of those (P16) who said they had seen KKN (36%): (P17.9) Giving grossly inaccurate or false information to the public, or individual citizens	%
Yes	31
No	63
Don't Know	6

Of those (P16) who said they had seen KKN (36%): (P17.10) Manipulating hours worked in the time sheet	%
Yes	71
No	27
Don't Know	3

(P11) Some public servants know that superiors and colleagues in their workplace didn't comply with laws and procedures, yet they do not report transgressions. In your opinion, why do those public servants not report?	%
Not believing that corrective action will be taken	27
Not knowing whom to contact	12
Being afraid of other people's revenge or retaliation	25
Not believing that their reporting will remain anonymous	4
Not wanting any staff to get sacked	7
The misconduct comes from the person one reports to	8
Preferring not to be a witness at the court	6
Don't Know	9
Refuse to Answer	2

(P22.5) In my organization, senior managers will be held accountable if they are caught breaching my organization's code of conduct.	%
Fully agree	54
Somewhat agree	23
Neither agree nor disagree	4
Somewhat disagree	13
Fully disagree	4
Don't Know	3

(P22.6) My immediate manager disciplines employees who breach my workplace standards of integrity and conduct.	%
Fully agree	58
Somewhat agree	27
Neither agree nor disagree	4
Somewhat disagree	7
Fully disagree	1
Don't Know	2

NEED TO STRENGTHEN PROCESSES AND PREVENT TRANSGRESSIONS

(P12) Sometimes public servants face inappropriate temptations to get gifts or obtain favors from citizens. In your workplace, could the processes and regulations be improved to reduce temptations to public servants?	%
Improve greatly, to reduce many temptations	51
Improve significantly, to reduce recurring temptation	27
Processes in our workplace exclude most temptations	3
Processes in our workplace do not leave any temptation.	16
Don't Know	2

(P21.5) “Too many public servants own or are involved with companies that win government contracts.”	%
Fully agree	12
Somewhat agree	7
Neither agree nor disagree	4
Somewhat disagree	37
Fully disagree	34
Don't Know	5

(P18) In the last two years, has your workplace put out a tender for public competition?	%
Yes	44
No	41
Don't Know	14

Of those (P18) whose workplace put out tenders (44%):	%
(P19) How regularly does your workplace award such projects?	%
Fairly regularly: once every three months or more	22
From time to time: a few times per year	37
Rarely: only once a year or less often.	33
Don't Know	8

Of those (P18) whose workplace put out tenders (44%): (P20) In ensuring that these projects are awarded fairly and entirely according to the rules, how much improvement do you think is needed?	%
Much improvement needed	67
Some improvement needed	17
Little improvement needed	5
No improvement needed, everything runs entirely according to procedures.	6
Don't Know	4

(P13) Senior civil servants are often given cars, to do their official work. Some of them occasionally use their cars for what look like private purposes, such as going shopping or even taking their family to picnic on the weekend, according to reports in the media. Some people say that average citizens loose trust in public servants, if they see state vehicles used for such private trips. Do you agree that such behavior sets a bad example?	%
Fully agree	47
Somewhat agree	3
Neither agree nor disagree	4
Somewhat disagree	18
Fully disagree	28

(P14) Here, where you live and among your friends and relatives, would you agree that this private use of public property is a major concern that citizens have about public servants?	%
Fully agree	29
Somewhat agree	5
Neither agree nor disagree	4
Somewhat disagree	31
Fully disagree	31

FACING A TOUGH WORK CONTEXT

(P21.1) “I sometimes think we don’t have enough resources and time to truly serve the citizens and do our job as well as we should.”	%
Fully agree	51
Somewhat agree	24
Neither agree nor disagree	5
Somewhat disagree	16
Fully disagree	3

(P21.2) “I don’t always get enough information from the top about what’s going on in my organization.”	%
Fully agree	32
Somewhat agree	17
Neither agree nor disagree	6
Somewhat disagree	34
Fully disagree	10
Don’t Know	2

(P21.4) “For junior civil servants, it can be hard to support a typical family at their current salary levels.”	%
Fully agree	67
Somewhat agree	11
Neither agree nor disagree	3
Somewhat disagree	11
Fully disagree	8

(P22.1) Senior management in my organization could do even more to communicate the importance of integrity and conduct and doing the right thing in the work we do.	%
Fully agree	69
Somewhat agree	25
Neither agree nor disagree	2
Somewhat disagree	2
Fully disagree	1



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