OMBUDSMAN AS AN AUDIT TOOL IN PUBLIC ADMINISTRATION: COMPARATIVE CASE STUDY RESEARCH OF TURKEY AND EUROPEAN UNION

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ABSTRACT: The audit implementation and alteration in public administration in our country and in other countries is a constant topical subject. In the new century, the great transformations in science and technology, politics and economics added a different and important dimension to the perception and understanding of audit. The main objective of the state is to provide goods and services to the public equally, to be in the same distance to all citizens and guard their rights and justice. With this perspective; the state can provide public goods and services by establishing healthy and well-functioning judicial order and a legal system which brings confidence and sustainability to the society. Guarding and assuring citizen’s rights and freedom against the public authorities is one of the basic features of democratic society nowadays. The judicial review, being limited and slowly moving, and having simple audit in public administration justify the Ombudsman institution, which is a contemporary audit system born and flourished in Sweden to protect citizens from administration abuse. Ombudsman institution is in a position which covers up other audits’ deficiency and increases their efficiency. Additional to other audit system, Ombudsman is a secondary guarantee mechanism in terms of guarding individual rights and realizing well-functioning administration. It has become a preferred audit mechanism in the world nowadays because it has simple, fast and free of charge application procedures and it takes in consideration the issues in terms of human rights, without involving bureaucracy and other effects.

In this research we will investigate the solutions for the problems faced by the implementation of Ombudsman in Turkey. From this perspective, the Ombudsman implementations will be searched, and the best practice models will be discussed comparatively in Turkey and in the European Union.

KEY WORDS: Public Administration, Public Service, Audit, Ombudsman, European Union

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1. OMBUDSMAN – AUDIT

“When law and morality contradict each other, the citizen has the cruel alternative of either losing his moral sense or losing his respect for the law.” Frédéric Bastiat, The Law

Considering that public administration respects the rights, security and freedoms of the citizens, it should be one of the basic features of a democratic society in our days.

From the judicial system review which Sweden adopted, it can be observed that one of the most important features implemented, is the one related to the control of the authority of the public administration, which was established in order to avoid the lack of effectiveness and to better supervise the audit procedures, with the help of the Ombudsman institution. (Brown, 2006: 151).

The Ombudsman is a mediator between the citizens and the administration, and the duty of the independent public officers is to take note of the complaints of the plaintiff, to research and investigate, to draw up conclusions involving all the concerned parts.

The role of Ombudsman is very important, as it represents the interest of the citizens by defending their rights, in an increasingly complex bureaucratic structure that exists today in the governmental organizations. This function was created in the context of defending human rights and freedoms, and its effects should be educational, corrective and curative. (Brown, 2006: 128).

After 1950, this began to spread rapidly throughout the world and in the Consultative Assembly of the European Council of 1975, 457 members decided to support the creation of the institution of Ombudsman, in the base of the Law 5548. Ombudsman in our country was implemented on the base of the Corporation Act. (Brown, 2006: 129).

Always there have been disapprovals among the citizens concerning the governance, negative reactions related to managers were observed, as well as a desire for an independent audit body to take responsibility for this. (Avsar, 1999: 41).

Considering its Swedish origins, Ombudsman means “representative, protective, official” and it is recognized by people around the world as an institution that investigates complaints related to public administration. According to the definition, the Ombudsman is appointed to the Parliament or to the legislature institutions, which are the responsible organizations, but it acts independently. It is its responsibility to analyze the complaints of public persons regarding various acts and actions, to report to the authorities and to propose corrective actions. (Holne, 1995: 23).

In 1809, the first Ombudsman institution emerged in Sweden, but historical beliefs said that its origin is in the history of the Ottoman Empire. Ombudsman investigates the problems that citizens from developed countries face with public administration institutions and the success of such investigations increases the confidence of people in the government.

In some developing countries, the activities of the administration to assert privacy to its actions and processes, reveal task abuses, problems against the management, that is why one of the restructuring institution which can establish the equity is considered to be the Ombudsman.

There were always discussions about the applicability of these institutions in Turkey. Nowadays, Law on Civil Servants and pathological conditions of the public administration and financing, were updated because of the insufficiency in solving the problems of the existing audit trail. In this sense, although the Supreme Administrative
Court controls the arbitrary actions of management and operation acts, complaints are increasing every day.

Ombudsman institution installed various functions according to the country where it is usually assigned by the President or Parliament, and it is composed of people who respect the society, all their actions being public and submitted to the Assembly, in order to preserve human rights and freedom, while trying to form a relationship between the government and its citizens based on trust.

In order to improve the quality of the Ombudsman in the Public Administration, the institution is transparent and accessible to all citizens. It should be noted that a contrary attitude of the citizens against the public administration would not be beneficial in terms of new forms.

Ombudsman contribution can be listed as follows (Erhür bearing, 1998: 101-102).
- Respecting the citizens rights based on positive law,
- Reduction of misunderstandings between citizens and governance,
- Improvement of public administration,
- Easing the burden of administrative justice,
- Realization of the participatory democracy.

The Ombudsman is an institution that primarily provides an important contribution to the protection of citizens' rights and freedoms. The Ombudsman finds its roots in the past years, but also it has a structure that can easily adapt to the modern world and it provides solutions to some of the problems of the democratic rule of law. The role of the Ombudsman, related to citizens and unsuccessful management, is to avoid arbitrary application and to assure security of their individual rights and freedoms.

The Ombudsman’s function is to ensure the transparency of the management of the public administration. It has the responsibility to notice the vulnerabilities of the management of the administration, to inform the citizens about the making-decision process while being transparent, open and showing comprehensiveness toward the actions taken (Temizel, 1997: 22).

Ombudsman’s function is to contribute to the reduction of the workload of the administrative judiciary system, in order to convert it into a more efficient and faster-processing one. In the case of the Ombudsman function, being effective means to be easy accessible, not to dispose increases related to fees.

"Ombudsman defines: contacts, violations of administration, power abuse, error, negligence, wrong decisions and bad management, the decision taken by the
administration to ensure that a more open institution was established in order to
demonstrate they provide more accountability of public employees." (International

The International Bar Association definition, from 1974, is as follows:

"The Constitution, which is responsible for the legislature or Parliament, it is an
independent bureaucrats, government agencies, officials and grievances of the people
wronged by employees or, acting on its own initiative, conduct research, discipline
proposition and an office with the right to publish report "(Holm, 1995: 13).

Hans Gammeltoft Hansen, considers the Ombudsman as " The person who observes
and take measures related to the conflict between Government Agencies and public,
investigates the injustices and complaints regarding areas with poor management, an
independent authority, established by the Constitution or the Law"(Hansen 1996: 195).

According to Yilmaz Altug, an Ombudsman is described as ‘‘A high-level impartial
inspector. These investigators deal with complaints which arose from wrong acts of public
authorities and consist in the transfer of data they obtained. These people can work in an
honorary capacity as they can work with salary "(Anderson, 2002: 31)

The ombudsman's TORC Assignments are: to examine people's complaints against
various actions on behalf of the parliament in public administration or a private office-
investigating officer" (Ataman, 1993: 217)

From Yilmaz, Guides and Scouts’s definition it can be extracted: ‘‘From the power of
the Ombudsman principle of Parliamentary field, both government as well as individuals
who have suffered from an independent and impartial manner in the administration of the
various operations and actions against the Parliament and complaints have made, which
constitutes examination and investigation actions, the institution manages to avoid abuses
and ensures the fact that the employees act according to the legislation, works with the
public and reports every year its activity to the Parliament. (Guides, Scouts 2003: 54).

Appointed by the Parliament, but against the Government, which is independent from
the Parliament, this institution, investigates the management actions and processes against
received complaints, researches the injustices of the management preventing the abuses,
respects the legislation and exists as an organization that pursues its objective to make the
necessary reforms to improve the execution of the public services. (Oyten, 1997: 195).

Ombudsman, investigates the administration's actions, transactions and propriety
control over behavior and withdrawal transactions that are against the law / removal for
the correction of inappropriate behavior towards this process or the elimination of losses
arising from actions and citizens and non-binding authorized to make decisions, is an
independent public body (Erhür bearing, 1998: 89).

2. OMBUDSMAN IN TURKEY

In the pre period, Kazaskerlik, Ahi, Şeyhülislam and the Court of the Republican
period with the State Supervisory Council, Parliament Petition Committee, Parliamentary
Human Rights Investigation Commission, Consumer Issues Arbitration Committee, the
Economic and Social Council and the Turkish Prime Ministry Ethics for Public Officials
as Board institutions are the organizations entrenched with important duties and responsibilities in this regard.

In the Constitution of Turkey, the Ombudsman institution is regulated by the Ombudsman Act. According to the Constitution Article 74; everybody may require the ombudsman investigation for complaints related to the functioning of the administration. The law Ombudsman concerning persons to be selected is described in the 10th Article: "To be a Turkish citizen, to lead auditor on the selection of construction of 50, must have completed 40 years of age for auditor, preferably in law, political science, economics and administrative sciences or business, to have 4 years of superior education, as example the Faculty of Economics can be accepted as equivalent or to have graduated from higher education institutions abroad, having worked at least 10 years, but not banned from public rights, he should not be a member of any political party (26/9/2004 dated 5237 Turkish Penal Code of 6853), not having been involved in crimes, not to have deliberately committed imprisonment or amnesty for offense or waiting for a postponed decision of a judgment, or, according to the Turkish Penal Code, to have committed crimes against state security, constitutional order and the functioning of this scheme crimes against humanity, crimes against national defense, state crimes against the secrets and crimes against the relations with foreign states with espionage or embezzlement, extortion, bribery, theft, fraud, forgery, breach of trust, fraudulent bankruptcy, bid rigging, deed execution of the rigging, the values of assets derived from crime but not convicted of money laundering or smuggling "conditions must be provided.

Natural person who may apply to the ombudsman institution in Turkey, should be real and legal persons. There is no obligation to apply for Turkish citizenship. On admission, name and surname of the applicant, place of residence or business address, Social Security numbers for Turkish citizens, passport number for foreigners, the applicant entity is a legal person's title and settlement with the authorized person's signature, if applicable, the center of the legal entity number and authorization of the composition that was made by Turkish petition, have to be provided. In this application, which is subject to compliance with the conditions laid down in the regulation of electronic media or other means of communication can be done. Turkish area has not been made a condition of the application regulations. If you find any law prescribed a mandatory administrative remedy before the first application, this should be submitted to this path. The answer from the administration where the application is submitted should provide an answer within 60 days and the entire process should be solved in 6 months. Ombudsman can also consult with the governor and district governors. Applicants are free. Thread is uncertain, the conditions stated are carried or adjudicated by judicial authorities who are seen and cause issues and parties before finalizing the applications are not examined by the same. (Office of Ombudsman Law Article 17)

In Turkey, the Ombudsman shall submit its report covering its activities and recommendations to the commission at the end of each calendaristical year. The Commission has to include their opinions and views to be presented to the General Assembly sends to the Presidency, within two months excepting the holidays period. Annual report is published in the official newspaper of the Authority. Investigation and research institutions should conclude within 6 months.
The 11th Article of Turkey's Ombudsman law mentioned that at the end of the deputy mandate, the tasks must be notified to the presidency council by the ombudsman institution in this state within 15 days from the date of expiration. The application period is announced by the Chair to people who want to apply to presidential candidates. Among those admitted by the Commission after the expiry of the application period selected, three candidates will be presented to the general assembly within fifteen days. Turkey is also elected for four years by a secret ballot in accordance with Article 74 of the Constitution related to Ombudsman. In order to become an Ombudsman, one should receive a majority of votes (two-thirds). If a simple majority of the members of the first integer fails to provide two-thirds of the votes, two sessions are required. In the third session, if still majority can be achieved, there will be a 4th round of voting for the two candidates with the most votes and the candidate who receives most of votes in the last session is selected.

The same law Article 15 according to the head ombudsman or ombudsman to understand later that they have the necessary qualifications to be elected or those qualities after being detected by the commission in this case it is lost after being elected chief ombudsman role of the Interview by the end of the General Assembly by the commission is to be dismissed ombudsman decision is issued.

According to the same Law, Article 15, if after the elections it is revealed by the commission that the Ombudsman selected does not have the necessary qualifications and qualities to accomplish his duties, the General Assembly will issue a decision in order to dismiss the former selected Ombudsman.

3. AUDITOR'S CONTROL AREA AND AUTHORITY

According to the Law No. 6328, Article 5, the institution of Ombudsman is related to natural and legal persons, investigates complaints on the functioning of the administration, and observes all kinds of acts and actions concerning the administration attitudes and behaviors. In the sense of respecting the human rights, the law and the justice, it is compulsory to investigate and make recommendations to the administration. However, the law disposes:

• President himself takes responsibility of the initiatives promulgated by his own decision
• Procedures for the exercise of legislative power,
• Decisions regarding the use of judicial power,
• The Turkish Armed Forces operations in a purely military nature are left outside the scope of the ombudsman

According to Article 7 of the Law; And Chief of the auditor's duties includes:

a) Authority to investigate complaints and make recommendations to the administration,
b) To prepare regulations for the implementation of this Act,
c) To prepare an annual report,
d) Whenever it seems necessary to prepare a special report excepting the Annual report,
e) Reports to publicize,
f) In the absence of inspectors to determine proxy itself,
f) To take charge of women's and children's rights, to arrange the division of labor between the auditors,
g) To appoint the Secretary General and other staff,
i) Perform other duties assigned by law.

The duties of the Auditor
a) Assist the Auditor in the performance of the tasks assigned to this Act,
b) Carry out the duties assigned by the Auditor.

The Ombudsman, who might want to receive official information and documents, may appoint an expert witness to listen.

According to Article 18 of the Law, during the investigation and research process, all the related information and documents, should be submitted in a period of 30 days from the date of notification. In the same time, the lead auditor or auditors request information and documents upon the request of the authorities concerned about those who open inquiries without a justifiable reason. However, State secrets or Trade secrets from the information or documents submitted, are analyzed by the highest and more competent authority, while keeping their status. (I mean keep them secret if this is the point, check the original). The nature of the information and documents presented is analyzed by an auditor or auditors.

4. HOW TO APPLY TO THE OMBUDSMAN

The regulations to apply to the Law on the Ombudsman are mentioned in Article 17. According to Article 17; “To this institution, real and legal persons may apply. Applicants should provide their name and surname, signature, place of residence or business address in the Republic of Turkey, Citizenship identification number, passport number for the foreigners; the person should be a legal entity with an authorized settlement and should provide the legal authorization, made by a Turkish petition. In the application, the subject of compliance should be mentioned with all the regulations stipulated, in an electronic media format or other means of communication.”

Applications that does not has the criterias:
- a) Does not contain a specific subject and,
- b) Those relating to the dispute resolved by the judiciary or judicial bodies are seen in organs,
- c) Those who transport the requirements specified in the second paragraph,
- d) Causes, issues and parties before finalizing the same ones can not be examined.

Located in the special laws and administrative remedies to be found in the application to the Authority is required to exhaust administrative remedies mandatory. Administrative remedies related to applications made before drying sent consumed.

There are also references to the provincial and district authorities. There are no fees received from the applicants. The institution should provide an answer, in 6 months. The applications deadline, is the period within it was given to the governor or district in some cases, and the date when it reaches the Authority in other cases. Applications are made up to the period of litigation, period that stops when the litigation begins.

The investigation and research made by the Ombudsman, the results and the solution proposed should be presented to the applicant within 6 months. If the administrative
authorities involved consider that the solution offered is not rational and cannot be applied, they are obliged to inform the Ombudsman within 30 days.

The Office of Ombudsman's jurisdiction covers the administrative activities of the Turkish Armed Forces; however, it does not cover the activities of the military nature. After listening to the recommendations of the Report of the Ombudsman institution, the administrations affiliated to the Assembly learn how to behave in this regard, having no other explanation but to work according to the law, whether the relevant authorities are.

Ombudsman Institution, by Act No. 6328 (the date of 6/14/2012, Date: 29/06/2012, No. 28338) was officially established in our country. The membership of the Supreme Court selected on 25.07.2005, M. Nihat Ömeroğlu. After retiring in 2012, he was selected by the General Assembly of the Parliament as Public Auditor. He is currently serving in this position.

5. OMBUDSMAN INSTITUTION REVIEWS

Since the 1970s, many writers in Turkey are giving examples of applications on which the Ombudsman institution brought benefits. However, the ombudsman institution has received many critics, because of the features of the Turkish administrative structure. There is no need to draw a wide variety of reasons and a number of people in Turkey that consider this institution unsuccessful, even suggesting that such an institution is very much corporate not be underestimated. The critics upon Ombudsman institutions are:

1. There are enough control units and institutions in Turkey. Improvement of the existing control units and institutions instead of creating a new supervisory body is more accurate.

2. In countries like Turkey, the administrative judicial ombudsman is not needed. Council of State is the best example. This idea based on individual rights and freedoms, the protection against unfair actions and procedures in the administration of the State Council, does more than its duty, and therefore there is no need of an ombudsman.

3. It will take time to connect to the results of the complaint with the creation of an Ombudsman institution, and this will bring with it the risk of dissolutions.

4. By being an ex officio institution, the inspections of the acts and actions of the Administration cannot guarantee the misuse of these powers.

5. It will be difficult to well-establish an Ombudsman institution, in the powerful central management structure of Turkey.

6. An institution like the Ombudsman in Turkey will be very crowded. This, according to those arguing it will not be successful in Turkey; they support the idea that there will be many applications on which a decision should be made, but due to the overload amount, there will not be enough time for research.

7. The structure of the Turkish administration will comply with the ombudsman decision. After the establishment and the operation of the Ombudsman institution, due to the fact that its decision is not a binding one, by the end, because of the public audit existing in institutions in Turkey, the ombudsman will abide the decisions taken against them.

8. In an Ombudsman institution "the principle of separation of powers" is claimed to be neglected. The Constitutional Court canceled the justification of the Ombudsman Act; GNAT connected and "administration" of the action, process, analyze attitudes and
behavior, the establishment of an institution investigating power system that is contrary to the Constitution inconsistent with the principle of separation "form of decision is indicated. It is considered that an institution which analyze attitudes, behaviors and processes, investigates the power system and does not respect the principal of separation, is against the Constitution.

9. Ombudsman as related "to the administration's integrity policy" is inconsistent. One of the organization's legal rationale thinking principles, is contrary to this one and is the decision of the Constitutional Court.

6. CONCLUSION

"Public ethics in a world of people who are not perfect, but unselfish, could be provided with an honest public service. The important thing is not to be selfish, but to be honest, makes the right decision when choosing between individual interests and the public interest. Ethical management can be achieved by selfish but dishonest public officials. It would be appropriate for the public interest, to take managerial decisions and actions, in order to adapt very good "(Sabiha, Tansal).

Today, the world of traditional values that dominate the management, approaches quickly and substantially unaltered, because of the new and modern management techniques, information and developments, technological innovations in communication technology, human values and democratization changes, citizens of central and local government perspectives, expectations for public services that has changed dramatically.

Increasing the state’s citizens expectations and demands for modern and high quality services requires a mandatory public administration capable to respond and to structure.

Having this competence of public administration, ethical thinking at the beginning related to the effective and efficient functioning of their efforts, dissemination and adoption of ethical behavior and ethical practices comes as corporate policies. To solve the problem, Public Administration, is considered the service with which the citizens should feel the impact, and should care about their request. To do this consciously, is of great importance in terms of the presence, to have an active and engaged citizenry system.

Scientific studies and legal arrangements were made on the subject related to unethical practices, which ended by revealing that radical solutions cannot be considered. There must be a mindset change in the thinking and behavior of public officials. In this process, the educational system, management style and philosophy, social structure, employee attitudes, expectations, estimates will be affected by the change. Principles and habits have become ingrained in the public administration, values, opinions will undergo towards fundamental change. The creation of a specific organizational culture, not made with the only purpose to find a new slogan or a new leader, it means creating a new lifestyle.

Public Administration, sustains ethical and honest behavior to realize the ruling, essentially related to humans, as every species is involved in personal and social relationships, has rights, sanctity, dignity and by directing them according to their values, make possible a constant improvement. These regulations, taken into consideration in order to improve the conditions to fulfill the qualifications and duties of officers, aims to
increase the confidence and loyalty toward its public conduct and public administration, according to the principles of democratization and efficiency of public services. In addition, management integrity, openness, together with principles such as protecting the public domain, it is aimed at the creation of justice and equality and the implementation-dependent value. Success will be achieved as a result of these arrangements; the rising level of ethics in Public Administration will make a great contribution.

Before criticizing by International organizations, the Government should be alerted in order to dispose the necessary steps that an institution will be allowed to accomplish. Complaints made to the European Court of Human Rights in Turkey, due to violation of human rights will be reduced. In this case, our country will be reflected positively on the human rights record and will ensure the reduction of criticism on human rights and strengthen the hands of Turkey's EU accession negotiations.

As a result, our country is impartial and independent of the newly condition, guaranteeing the Ombudsman Institution, administrations during the process of facing some actions will seek to protect the rights of individuals, the judiciary control mechanism will reduce significantly the load of both, good and democratic governance in Turkey establishment, will contribute to the ideal of participatory democracy and will be an indispensable institution which guarantees the fundamental rights of the individual.

Over more than 120 years, around the world the Ombudsman institution was adopted with independent conception towards democracy, the level of development, the history, the culture, the politics, the geography and the legal awareness, was applied in different ways and suffered changes.

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