

Local Corruption Diagnostics and Measurement Tools in Africa

by

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The purpose of this mapping exercise - requested by the U4 Steering Committee - is to assess how national and local tools could provide a counterweight to international corruption surveys (risk assessments, perception indices and others, whose aim is often to rank countries against one another). This collection of existing local and national surveys provides development practitioners with the tools necessary to assess the value and promote the use of such measurement alternatives.

The mapping covers a total of 22 tools in 25 African countries. For the purposes of this exercise, we have included measurement tools relating both to corruption and more broadly to governance. The results are presented in the form of a narrative report that is arranged in accordance with types of measurement tools (i.e. opinion surveys, indices of institutions, sectoral indicators and democracy and governance indicators). In addition to listing them, each tool is expanded on and described following a standard format that includes information such as type of tool, coverage, source, purpose, methodology and implementation, primary use, impact and contact information. To complement the narrative report, we also present the information in the form of a table, as an appendix.

This mapping exercise of national and local measurement tools that have been developed and/or used in Africa is intended to be a first step towards improved and more carefully tailored measurement efforts. Part of the outcome of this exercise will consist of recommendations for the feasibility of carrying out similar exercises focusing on other regions and/or of a large scale global mapping exercise.

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Findings and Recommendations

Measuring corruption at the national/local level: strengths and limitations

Demand for diagnostic data and analysis on corruption and governance continues to grow. This type of research is starting to have an impact not only on awareness-raising, but also on advocacy and policy-making processes.

In addition to the extensive empirical work conducted at the international level to develop cross-country instruments, increased efforts have more recently been initiated, either at the country level or in the context of multi-country initiatives, to collect data at the local/national level. A diverse range of such tools, both in terms of typology as well as objectives and impact, has been emerging.

Local/national instruments often provide more in-depth analysis of the phenomenon from different angles. Increasingly, a common approach to designing and engaging in any anti-corruption strategy (coordinated at either the government or civil society level) involves getting a diagnostics of the extent and level of corruption across different segments of the population and across different institutions and sectors. This type of exercise could also aim at identifying the causes and consequences of corruption, the tolerance towards corrupt practices, etc. Some of the tools facilitate the disaggregating of data in terms of gender, education, social status, religion or localisation and help identify the types of victims. Household surveys, for instance, are important when studying the relationship between corruption and poverty (how much people spend in bribes as a share of their income and how much difficulty they encounter when accessing public services).

Some of the advantages of local/national tools include:

- The use of local expertise and the integration of country specific idiosyncrasies. These may generate incentives for innovation, as the instruments are developed to fill in gaps in terms of diagnostics at the country or local level (for example, the study on MPs expenses in Kenya or the transparency in universities in Morocco).
- There are opportunities to strengthen the local expertise through partnerships; for instance in the context of multi-country tools that use a similar format for two or more countries (normally within the same region, thus also adding a regional context factor), such as the Idasa's African Budget Project. This enables cross-border, yet locally relevant, know-how exchange and a learning curve.
- When the instrument is developed and carried out by experts and statisticians at the national level, the costs are normally lower and this may facilitate the chances for repetition of the tool over time and indirectly contribute to the improvement and sustainability of the tool.
- In addition, the fact that the surveys or studies are carried out locally develops ownership. Indeed, when the instruments are carried out and published locally, it can be used to increase the impact in terms of raising awareness and advocacy. The media coverage may be stronger (or more comprehensive and long-lasting) when local stakeholders are involved in the release of the findings.
- It is normally easier to plan and implement follow-up activities, including more in-depth sector or case studies, etc.

In terms of concrete outcomes, local diagnostic instruments can be used for a range of purposes by various actors. They can be used to support the work carried out by civil society organisations, serving as a baseline for analysis and policy making recommendations. The tools can also tremendously increase the visibility and profile of the coordinating or implementing civil society organisations and their overall anti-corruption agenda (for example, the opinion surveys conducted by Transparency Initiative Madagascar were the first big project of the association and contributed to identifying them as the main NGO fighting corruption in the country). The tools are also useful sources for authorities to draw on in order to better target their policy and reform efforts. Moreover, the tools and the discussion of their outcome and possible follow-up may facilitate the development of partnerships between public institutions and researcher/civil society organisations, and forge sustained joint anti-corruption efforts (such as in Kenya, following the publication of the 2001 Kenya Urban Bribery Index).

But one should also remain aware of the constraints of carrying out such empirical research at the micro-level, which may include:

- The availability of local expertise or reliable data; sometimes due to lack of access to information or non existing data and the reluctance of the authorities to provide authorization to conduct the study. Such obstacles may impact on the validity of the results.
- In some cases, due to limited funding, the results are not disseminated as widely as expected (e.g. the Ethics survey in South Africa). Lack of sufficient resources and technology (as can often be the case with local civil society initiatives) may also prevent the results of the exercise from being publicised as widely as desirable.
- Another area to be aware of is the possible politicisation of results by local groups. Issues of conflict of interest and impartiality of sources are amongst potential sensitivities to consider.

Recommendations for further research

It is hoped that the exercise will be of use in terms of filling gaps in the existing literature and information already available on measurement tools. It may also contribute to the identification of countries or areas where data is not available yet and create incentives to fill those gaps. For this purpose, the study was tailored around a unique format for presenting information that should enable its use for multiple purposes (tracking tools for each country, tracking tools according to type, having snap shots on each tool's implementation and impact, etc).

Part of the objectives of this exercise was to make recommendations as to the feasibility of conducting a similar mapping for other regions or arranging a global mapping across all regions. The overall recommendation is that it would be possible to conduct such mapping on a larger scale. The perspectives of having a global mapping would enable to get a fuller picture of existing tools at the local/national level. It would also provide opportunities to identify gaps in empirical research, both in certain countries and more generally; therefore creating incentives for replication/adaptation of best practices elsewhere. It would also invite us to question why some tools have not been implemented in or deemed appropriate for some countries and contexts. To make the mapping more exhaustive, however, potential time frames are recommended to be set at around 2 months for a region and/or 6 months for a global mapping effort. Another recommendation is that, should any such exercise be conducted in future, it is important to set

the task of presenting some key findings and analysing the implementation and impact aspect of each tool as part of the TOR, as simply mapping may limit the potential value of such future studies.

Mapping the Tools

1 Opinion Surveys on Perceptions and Experiences of Corruption

This first section includes surveys on corruption conducted among households, citizens, businesses, experts and/or public officials.

1.1 The Nigerian Governance and Corruption Surveys

Type of tool: Three complementary surveys among households, enterprises and public officials on assessment of Government service delivery and related corrupt practices.

Coverage: Nigeria

Source: The survey was commissioned by the present Nigerian Head of State, President Obasanjo, via the Ministry of Finance, soon after he came to power in 1999. It was conducted by a consortium of Nigerian Universities led by the Institute for Development Research of the Ahmadu Bello University Zaria in northern Nigeria.

Funding: The World Bank and USAID

Purpose: The main purposes were the following.

- Establish a baseline against which to measure the progress and success of anti-corruption programming efforts whether related directly to government reforms or the public's understanding of corruption and its ramifications for society;
- Reveal differences in attitudes about corruption among households, enterprises, and government officials by segmenting the stakeholders surveyed;
- Provide a lever for reform-advocating public officials to advance a specific reform agenda;
- Provide journalists, civil society organisations, and other stakeholders with a foundation upon which to build a campaign for the development of public support for reforms;
- Help identify government agencies with significant problems that can be targeted for reform, and;
- Provide the impetus to engage in a national dialogue about corruption, thereby focussing attention on the issue and creating windows of opportunity to pursue targeted reforms.

Methodology and implementation: The survey sample was shaped in such a way so as to represent Nigeria's diversity. In total, more than 5000 respondents were interviewed. For the households, a multi-stage area sampling design was used with 2,613 respondents being interviewed. The urban households and well-educated people were disproportionately represented due to expectations that urban households and respondents with higher social stature are most likely to have access to government utilities and public services. A total of 1,676 public officials, selected among federal, state and local governments in the sampling areas representing the 6 geopolitical zones, answered the survey. Finally, 1,008 business enterprise representatives were interviewed.

The data collection started in late 2001 and the reports were finalised in June 2003.

Primary use and other impact: The surveys provide a considerable amount of information on the nature and extent of corruption and the impact it has on service delivery and management of the State. Understanding the relationship between governance and corruption enhances the prospects for institutional reforms leading to improved governance, and thus economic growth. The intent of the study is to assist the Government of Nigeria in developing effective accountability/anti-corruption strategies.

One very interesting outcome was the organisation by the Independent Corruption Practices and Other related Offences Commission (ICPC) and the Zero corruption coalition of 20 workshops in November 2003, conveying civil society organisations, the media, the private sector and other relevant stakeholders to participate in an open debate on the findings of the 3 surveys. The discussion commented the results and in some cases contested them. Participants, for instance, disagreed with the findings that the police are the most corrupt public service; they rather pointed to the Presidency, followed by the National Assembly, as the most corrupt institutions. The debates also led to concrete recommendations and steps to be taken at the national level to tackle corruption and improve governance. Some suggestions included support for public education initiatives, institution of better controls on elected officials, or re-introduction of competitive examinations for public service employment and other ideas to increase transparency.

Reports and contact information: The three reports and a summary report were published in June 2003 and are available at http://support.casals.com/acc_nigeria/. The report on the different workshops will be available shortly.

1.2 Country Corruption Assessment Report

Type of tool: Three complementary surveys on corruption among households, businesses and public services

Coverage: South Africa

Source: Government of South Africa and the United Nations Office on Drugs and Crime – regional office for Southern Africa (UNODC/ROSA)

Funding: United Nations Office on Drugs and Crime

Purpose: The report aims to achieve the following.

- Offer a comprehensive overview of the phenomenon and nature of corruption in South Africa and the responses to it.
- Provide with an overview of the anti-corruption mechanisms currently in place or envisaged.
- Serve as a baseline to measure progress in preventing and combating corruption, as well as perception of corruption in South Africa.

Methodology and implementation: The report combines the methodology of the United Nations Global Programme against corruption with the main strategic considerations of the public service anti-corruption strategy (South Africa).

The instrument entails perception and experience based surveys among households, public service delivery, and businesses; analysis of legislation and codes of conduct; and data collection on criminal and disciplinary cases related to corruption.

The households surveys included in the report are:

The Markinor Omnibus survey (2000 metropolitans and 1500 rurally based respondents) conducted in December 2001, the International Crime Survey in 1992, 1996 and 2000 and the National Victims Survey (4000 respondents) in 1998.

The private sector survey covered, in May and April 2002, a nationally representative sample of businesses stratified according to economic sector.

A survey carried out in May 2002, whereby public users (951) and public officials (734) were interviewed. The report was released in 2003.

Primary use and other impact: The assessment provides with a:

- platform for education about the problem and the actions against corruption,
- first comprehensive review of the efficacy of the anti-corruption efforts of the South African Government and other sectors of SA society,
- assessment of both the strengths and weaknesses of the South African system,
- tool for anti-corruption policy review and improvement
- baseline from which progress on fighting corruption can be monitored and evaluated
- opportunity to share South Africa's experience globally

Reports and contact information: The full report is available at: <http://www.gov.za/reports/2003/corruption.pdf>

Additional remarks: The objective is to track changes over time through repeating the project on a regular basis.

1.3 Government Corruption Seen From the Inside

Type of tool: Survey on government official's perceptions of corruption

Coverage: Bisho, Eastern Cape, South Africa

Source: Public Service Accountability Monitor, PSAM, South Africa

Funding: Open society Institute, the Ford foundation and the Anglo American Chairman's Fund

Purpose: This survey is an attempt to approach the question of corruption in government from a different approach – from the perspective of government officials themselves. The main objectives are to:

- establish if such an 'insider' study of officials' perceptions and experiences of corruption is possible
- acquire benchmark information on the exposure to corruption in the Eastern Cape's capital
- measure (over the longer term) the effectiveness of various anti-corruption measures in the Eastern Cape and to track changes in government official's perceptions and experiences of corruption.

Methodology and implementation: The project was led in 2001 by Alan Colm and Unathie Millie from PSAM and Robert Mattes (Idasa)

The sample preparation consisted of identifying a sample, through a list of 2,008 public officials based in the head offices of provincial government departments in Bisho. A sampling strategy called stratified sampling – a combination of simple random sampling and systematic sampling – was used to identify the sample.

Out of the anticipated sample of 225 officials, the final sample was of 169 respondents (due to a lack of cooperation from some departments during the administration phase of the survey). This translates to a sample fraction of 8,9% of the total population, as opposed to the anticipated 11%. The results have been weighted accordingly.

The questionnaires (in English and Isixhosa) were administered on site between March and April 2001 and the report released in 2002.

Primary use and other impact: The primary use was to raise awareness among the authorities, the public opinion via the media and academics and to advocate for reforms in the public sector.

The report includes also very concrete recommendations such as the urgent need for the Provincial Executive and senior departmental managers to provide education and training to all officials on the definition, identification and adverse social impact of corruption, with an emphasis that the offer and/or receipt of gifts in return for official services constitutes an act of corruption and is punishable in terms of criminal and labour law.

Reports and contact information: The survey findings have been published in 2002 in the form of a booklet “Government Corruption seen from the inside: A survey of Public Officials perceptions of corruption in the Eastern Cape”. The full report is available under the website: <http://case.psam.ru.ac.za>, at <http://case.psam.ru.ac.za/Archive/othersources/226.pdf>. For additional information please contact: psam-admin@ru.ac.za

Additional remarks: The survey aims to be re-administered at regular intervals.

1.4 Corruption in South Africa, results of an expert panel survey

Type of tool: Expert panel survey on corruption

Coverage: South Africa

Source: Institute for Security Studies (ISS) which commissioned Markinor

Funding: European Union

Purpose: The purpose of the survey was primarily to collect new data, albeit qualitative, on corruption issues in South Africa as they were until this initiative widely dispersed in more general questionnaires such as the Afrobarometer or the national victim survey. The second reason for conducting the survey was to assist policy makers in prioritising interventions based on sound information.

Methodology and implementation: In 2000, after an open tender procedure, the ISS commissioned Markinor to conduct the survey. Dr Bob Mattes (Idasa) and Lala Camerer (ISS) designed the questionnaire based on existing corruption surveys, and submitted it for comment to a number of researchers in the field. The sample was provided by ISS. 157 (out of a list of 672) interviews with “experts” were conducted between August-October 2000. Those “experts” are individuals who attended major anti-corruption conferences and are all highly educated. A script of the questionnaire, including 28 questions, was created and administered by means of a computer-assisted telephone interviewing system (CATI). In total 24 calls were required to secure one completed interview. The report was published in 2001.

Primary use and other impact: The survey first provided interesting findings on

- the conceptual and practical understandings of corruption,
- the extent, location and seriousness of corruption,
- the conditions and causes of corruption,
- the evaluation of policy responses to fight corruption,
- the evaluation of anti-corruption agencies and anti-corruption strategies.

This type of qualitative data based on expert opinion plays a role in elucidating the understanding of corruption and stimulates the debate. It needs to be combined with other sources of information in order to promote a more informed approach to the problem of fighting corruption.

Reports and contact information: The full report (published in 2001) is available at <http://www.iss.co.za/Pubs/Monographs/No65/Contents.html>

1.5 Annual Report on the State of Corruption in Tanzania

Type of tool: Mix of qualitative analysis and opinion survey on corruption

Coverage: Tanzania

Source: The Prevention of Corruption Bureau (PCB), the state organ for fighting corruption in the country, commissioned the Economic and Social Research Foundation (ESRF) working with the Forum for Anti-Corruption Initiatives in Tanzania (FACEIT), through tendering, to report on the state of corruption in the country.

Funding: UNDP; 70,000 USD, including printing of 3,000 copies in both English and Kiswahili versions.

Purpose: The purpose of the tool was to help measure peoples' perceptions based on incidence, hearsay, and media reports.

Methodology and implementation: The methodology covered three components, the first two entailing visual observation pegged purely on qualitative and descriptive approach, the last one using a quantitative approach.

1. The first component looked into the institutional set-up to identify loopholes for corrupt elements/practices, and on how these institutions put in place checks and balances to prevent the loopholes from being used.
2. The second component sought to secure expert opinion from professional bodies on root causes of the corruption and on possible remedies to such causes.
3. The third component was a general survey of the population and other key stakeholders with a view to hearing on their experiences with corruption. This was more of a perception survey covering four regions-Arusha, Dar es salaam, Kilimanjaro and Mwanza.

Based on the survey, ESRF came with a number of recommendations which have formed the basis of the report. The methodology was a hybrid of qualitative and quantitative approaches with less focus on standard regression and regression analysis.

The fieldwork was conducted in 2001-2002. The timeframe of the exercise was 18 months including printing of the report.

Primary use and other impact: The expected outcome is to put in place a mechanism for informing government and the public on the progress made in the fight against corruption. The exercise is intended to strengthen awareness and advocacy components of fighting the scourge. It is intended to serve as reference for future action, the basis for further surveys and a benchmark for future performance.

The secondary use of the report is to share the recommendations with key stakeholders and possibly with the media. The recommendations of the report include promotion of awareness and advocacy components across the population, but more specifically amongst stakeholders for a pro-active approach to the fight against corruption.

Reports and contact information: The official launch of the report is yet to take place. Reaching agreement among all the project stakeholders and final arrangements to hold forum discussions in conjunction with the report launch led to the delay in completing the project. Parts of the report are available under: www.tanzanonline.org

1.6 The Cost of Doing Business: Firms' Experience with Corruption in Uganda

Type of tool: Survey on bribe payments across firms

Coverage: Uganda

Source: The project was developed by the World Bank and the survey was implemented by a local industry association (Ugandan Manufacturers' Association)

Funding: The World Bank

Purpose: The idea is to combine detailed financial and structural information from the firms with the quantitative graft data, yielding a unique data set to study the determinants and consequences of corruption at the firm level.

Methodology and implementation: The survey was designed by Jakob Svensson, Macroeconomics and Growth, Development Research Group, the World Bank, and Institute for International Economics Studies, Stockholm University. Overall, the survey provides bribery data for 176 firms out of 243 sampled. On the methodological point, the survey was implemented by a Ugandan industry association (UMACIS), in which most firms had confidence, to avoid suspicion of the overall objective of the data collection effort. The questions on corruption were phrased in an indirect fashion to avoid implicating the respondent of wrongdoing. The corruption related questions were asked at the end of the interview when credibility and trust was established. Finally, to enhance the reliability of the corruption data, multiple questions were asked on corruption. It is of relevance to underline that the collection effort was aided by the fact that corruption had been desensitized, due to several awareness-raising campaigns prior to the survey. The report was published in 2001.

Primary use and other impact: The first outcome was to provide a better understanding of the incidence and cost of corruption in the private sector and about its effect on firm performance.

The survey provided with very interesting findings such as:

- Firms have to pay bribes when dealing with public officials whose actions directly affect the firms' business operations. 80% of firms need to pay bribes.
- The amount paid depends on the "ability" of firms to pay.
- There seem to be no evidence that firms that pay higher bribes on average receive more beneficial government favours in return.

Reports and contact information: The report was published in June 2000 and is available at <http://worldbank.org/afr/wps/wps6.htm>

For additional information please contact: jakob.svensson@iies.su.se

1.7 An Opinion Poll on the Perceptions and Experiences of Corruption among Lusaka Residents

Type of tool: Opinion survey of Lusaka residents on corruption

Coverage: Lusaka, Zambia

Source: TI Zambia. The survey was conducted by an expert, Head of Department, Social Development Studies in Zambia.

Funding: UK DFID, 15,000 USD

Purpose: The tool is intended to monitor and evaluate the perceptions of the general public of corruption in the public sector, with particular emphasis on those government departments that are involved in service delivery (passport office, police, national immigration office, pensions board, national registration office, etc.).

Methodology and implementation: The survey focused on a cross-section of Lusaka residents of different socio- economic classes and gender and the sample size was 553 respondents. The sampling frame was obtained from the Central Statistics Office who conduct national surveys such as national census, etc. Probability sampling was used in the selection of the respondents to the survey and interviews were conducted through the use of questionnaires and verbal interviews. The structure of the questionnaire is the following: socio-economic and demographic background of respondents, knowledge of corruption, experiences of corruption, petty corruption, grand corruption, corruption in organisations and corruption trends.

Primary use and other impact: The results are considered as part of TI Zambia's advocacy programme in order to look into and assess those state departments that have direct dealings with the general public due to the fact that media reports show that there are high incidences of corruption in Government service delivery institutions.

The overall objective being that the findings are used to advocate for the necessary institutional and legal changes that need Government intervention. The survey is expected to be conducted

on an annual basis, so it also aims at offering comparative information which reflects the levels of improvement if at all any, in the various departments.

The surveys should ultimately create a challenge for the institutions under review to be proactive, by using the findings to improve their operations and reduce incidences of corruption.

Some actions taken by public authorities could be considered as concrete impact of the publication of the first survey. 139 corrupt police officers have for instance been dismissed 2 weeks after the survey results were published, ranking the police service as the most corrupt. The Public Service Pension fund offices were being declared "CORRUPTION FREE ZONE" with a decentralisation of payment points to the various provinces around Zambia, as opposed to the old method that entailed pensioners to travel to Lusaka to receive the monthly payments.

Report and contact information: A full report, published in 2003, is available attached. For additional information please contact. Tizambia@zamnet.zm or Dr Musonda Lemba (tel+ 260-95-502414).

1.8 Corruption in Zimbabwe – A survey of the perceptions of Zimbabweans on corruption

Type of tool: Opinion survey on corruption

Coverage: Zimbabwe

Source: the Mass Public Opinion Institute (MPOI) commissioned by Transparency International Zimbabwe.

Funding: NORAD; 20,000 USD

Purpose: The tool's objective is to

- measure the extent of corruption in the country,
- sensitise and consolidate citizens' awareness concerning corruption issues
- avail statistics on corruption

Methodology and implementation: The aimed sample was 1500 but it ended up with 1371 due to 121 questionnaires being deemed unsuitable for inclusion in the data analysis. The sample is split between rural (49,5%) and urban (50,5%) respondents. Two districts per province and two wards in each district were randomly selected for questionnaire administration on face-to-face basis. The project timeframe was 5 weeks for submission of the first report. The report was released in 2003.

Primary use and other impact: The primary use is to raise awareness and create a baseline for policy reforms at the national level.

Reports and contact information: The report, published in 2003, is attached. For additional information please contact: Tulani Sith, Acting Head of Research (e-mail: mpoi@mweb.co.zw).

1.9 Enquêtes nationales sur l'intégrité (National integrity surveys in Francophone Africa)

Type of tool: National household and private sector surveys on perceptions and experiences of corruption complemented by Focus group discussions, coordinated by TI chapters.

Coverage: Madagascar, Morocco and Senegal

Source: Project coordinated by TI International Secretariat and TI chapters who commissioned local polling institutes. Transparency International Initiative Madagascar commissioned OSIPD and ECR, Transparency Maroc, CSA-TMO and LMS and Forum Civil (Senegal) commissioned Orgathec.

Funding: Canadian International Development Agency. Budget of about 40,000 € per country.

Purpose: The surveys intend to measure according to both the general public and the private sector (formal and informal):

- the importance of corruption in relation with other socio-economic problems within the country, its nature, causes, manifestation, frequency, trend and cost
- in which key public and private entities (22) is the risk of corruption highest
- the degree of acceptability of corrupt behaviour and the trust in the complaint and sanction mechanisms
- the experience of corruption in politics.

Another important goal was to design a model for national corruption surveys that could be used in other countries in order to produce consistent and comparable data at the regional/international level.

Methodology and implementation: A model questionnaire and terms of reference for the surveys have been provided by Transparency International Secretariat for adaptation by the national chapters. The data collection, coding and entry and production of the reports were done by the local polling institutes selected after a bidding process.

The sampling was either a quota sampling (with 4 variables: sex-age-region-socio-economic status for HH surveys and 2 variables: sector and region for the private sector surveys) or a random sampling methodology. The samples had the following composition. In Madagascar: 1140 Households (42% rural and 58% urban) and 774 enterprises (59% formal and 41% informal) in 3 towns. In Morocco, 1000 Households (in rural and urban areas), and 400 enterprises (320 formal and 80 informal) in 12 geographical points were covered. In Senegal, 1227 individuals and 396 enterprises were covered.

The surveys were conducted on the basis of one-on-one interviews (40 min to 1 hour) with the heads of households and the managers of enterprises. The quality check was done by pre-tests, in-field supervision and back checks. The timeframe of the project until completion of the reports was about 6 months. The field work was conducted in each of the countries in 2001 and the reports were released in 2002.

Primary use and other impact: The publication of the findings had the following main impacts:

- **Raise awareness on the extent and nature of corruption in the respective countries**

The reports received very strong media coverage in the three countries at the national and regional level. In the case of Senegal, it created a strong negative reaction from the authorities, who tried to intimidate the association, but it still provided the organisation with an increased visibility.

- **Provide civil society with factual data to develop anti-corruption strategies**

The collection of substantive data complemented the pre-existing subjective information on the phenomenon and was used by the associations as a tool for sensitization activities. It helped the civil society organisations to identify sectoral priorities and to target certain population groups (the youth for instance).

- **Advocate for and support the reforms**

The CSO involved are using the findings on a regular basis to illustrate their proposals for reform. In Morocco for instance, where public contracting was pointed as an area experiencing considerable corruption, the chapter initiated a project to develop an in-depth diagnostics of public contracting regulations and practices, which helped in the design of policies in this area.

The surveys have been adapted and conducted in Haiti, and will be conducted this year in Niger. Transparency International Initiative Madagascar is also planning to conduct the exercise again.

Reports and contact information: The reports (in French) published in 2002 are available for Madagascar and Morocco at <http://transparency.org/surveys/index.html#timaroc> and <http://transparency.org/surveys/index.html#tiimadagascar>. For Senegal, the report is not published due to some concerns with data validity, but can still be provided by contacting Forum Civil.

For additional information please contact: transparency.mg@dts.mg (Madagascar) transparency.maroc@marocnet.net.ma (Morocco) and forumcivil@sentoo.sn (Senegal) or Marie Wolkers (mwolkers@transparency.org)

1.10 WBI Country Governance and Anti-Corruption (GAC) Diagnostics Tools

Type of tool: National surveys of households, public officials and enterprises containing a range of governance and corruption related questions.

Coverage: Of the countries of interest for the purposes of this study, work has been done or is ongoing in **Ghana, Sierra Leone, Mozambique** and **Zambia**. Results for Mozambique and Zambia are not yet available.

Source: National research teams or sub-contracted local survey groups/consultants in each country. The composition of the teams varies from country to country. In most countries the work is led by a Steering Committee composed of representatives from government, civil society, academia, etc.

Funding: Most are commissioned by the World Bank and some are funded through bilaterals, such as UK DFID.

Purpose: The tools are to promote capacity building through the institutionalization of the participatory approach in monitoring projects. In particular, the design and implementation of the surveys allows to:

- foster learning through the close collaboration between external experts and local counterparts;
- promote long-term, sustainable partnerships among local stakeholders;
- obtain an initial benchmark of governance and public sector performance; and
- monitor on a regular basis governance and public sector performance.

The analysis developed with this approach encourages local stakeholders to make use of the results to promote a constructive debate on institutional reforms and can lead to a non-political debate on concrete changes. The agency specific data steers the debate on institutions rather than individuals, de-politicizing the problem and facilitating the reform process.

Methodology and implementation: Originally designed by WBI and ECSPE, the GAC diagnostics consist of in-depth, country-specific surveys of thousands of households, firms, and public officials that gather information about vulnerabilities within the country's institutions. The field work, the analysis and the design of specific policy recommendations for concrete action is carried out through a participatory 'technology' that involves key stakeholders from the government, civil society and private sector. Key features of the GAC diagnostics comprise the following:

- multi-pronged, separate surveys of users of public services/households, firms and public officials, which permits triangulation of the results;
- use of experience-based (vs. 'opinions'/generic) type of questions;
- a broad governance and service delivery conceptual framework; and,
- rigorous technical specifications at the implementation stage.

Primary use and other impact, Ghana: the empirical work and evidence is viewed as part of the government response in the form of an anti-corruption strategy. This is believed to be followed by national initiatives, policies and reforms with local capacity built throughout the whole process.

Primary use and other impact, Sierra Leone: on October 28-29, 2003 the Governance Reform Secretariat (GRS), in collaboration with WBI, organized a National Action Planning Workshop. The main objectives of the National Workshop were to present the findings of the GAC report and to draft a governance and anti-corruption action plan based on the results of the diagnostic survey. After a plenary discussion on the key problem areas, the 130 participants broke into working groups to draft specific responses and actions to combat corruption and improve governance. The outcome of the working groups will be compiled by GRS into a draft National Governance Strategy and will be discussed in four Regional Workshops planned for 2004.

Reports and contact information: Reports for Ghana and Sierra Leone are available on WBI's diagnostics country pages at <http://www.worldbank.org/wbi/governance/ghana/results.html> and <http://www.worldbank.org/wbi/governance/sierraleone/results.html> respectively.

Results for Mozambique and Zambia are not yet available. Sample survey questionnaires for these countries can be viewed on WBI's diagnostics website at <http://www.worldbank.org/wbi/governance/capacitybuild/d-surveys.html>.

2 Corruption Indices of Institutions

2.1 Kenya Bribery Index

Type of tool: Index on extent of bribery – ranking institutions –published on an annual basis

Coverage: Kenya

Source: Transparency International Kenya who contracted for the 2001 and 2002 edition the Kenya Rural Enterprise Programme Advisory Services (KAS) to conduct the preliminary data analysis, fieldwork and data analysis. For 2003, TI Kenya appointed Steadman Research Services as field research agency.

Funding: UK DFID and the Royal Netherlands Embassy in Kenya. Budget around 33,000 USD

Purpose: The tool seeks to capture the bribery experiences encountered by the general public in both public and private organisations. Respondents are asked who they bribe, how much and for what. The tool also aims at raising awareness and advocating for and supporting the reforms.

Methodology and implementation: The methodology of the Kenya Bribery Index follows two stages.

- A survey has been carried out on the basis of a structured questionnaire administered through personal and telephone interviews. The 2001 edition (Urban Bribery Index) was only conducted in urban areas (6 towns) with a sample size of 1,164 individuals. 2,321 individuals (1,461 urban and 860 rural) were interviewed in 2002 and 2,400 in 8 Provinces (70 Districts) for the 2003 edition to be released soon. A random sampling method (with province as unit in 2002, and district in 2003) was used. Bribes were categorized into 5 purposes (law enforcement, regulatory (e.g. trade licenses), services (e.g. health, education, utilities) business and employment.
- The second step was the construction of the Index. 6 indicators were isolated: incidence, prevalence, severity, frequency, financial cost, bribe size. It is an aggregate index as an un-weighted average of the 6 indicators with a value range from 0 (no bribery) to 100. 52 institutions were ranked in 2001, 50 in 2002 and 38 are part of the 2003 edition.

The field work was carried out for 2 months each year, plus one month was allocated to the production of the report.

Primary use and other impact: The primary use since the creation of the tool is the collection of substantive objective data on the level and incidence of bribery in Kenya thanks to a newly tested research methodology to collect such information.

It receives each year, widespread coverage in both national and international media and creates great advocacy opportunities for TI Kenya with a huge impact on the general public.

The publication of the index has a strong impact on the public sector and seems to be used as a tool to set performance targets and monitor reforms. At least one Ministry alerted its staff to the

Index's finding via a circular. A number of meetings and conferences have been organized within public institutions.

Finally, the Index's publication led to the creation of some partnerships with public institutions (Kenya port authority, traffic police, etc.) willing to get assistance in reforming their organisations.

The comparison between the 2002 and 2001 data may also invite to suggest that the decline of the size of bribes may be due to the adverse publicity from the 2001 report.

In addition, TI Kenya has been approached by other civil society organisations with requests for assistance to develop similar tools in their country, as the tool seems to be quite easily replicable.

Reports and contact information: All the reports are available under www.tikenya.org. The 2002 report can be found at <http://www.tikenya.org/documents/BribIndex02.pdf>. For additional information please contact: Mwalimu Mati (mmati@tikenya.org).

Additional remarks: TI Kenya decided for the 2003 edition, to choose a new field research agency after a far more rigorous selection process and the methodology has been slightly revised and improved.

2.2 Etat de la corruption au Burkina Faso

Type of tool: Public opinion survey and sectoral analysis of corruption, including a ranking of sectors. Released on a yearly basis.

Coverage: Ouagadougou and Bobo-Dioulasso, Burkina Faso

Source: Renlac (Réseau National de lutte contre la corruption), Network of NGOs fighting corruption in Burkina Faso. The timeframe is about 7 months between the fieldwork (September) and the publication of the report.

Funding: A pool of 4 embassies (Denmark, Netherlands, Sweden and Switzerland). Budget of about 15,000 Euro

Purpose: Measure the perceptions of Burkina Faso citizens on corruption trends, manifestations and causes, including a special review per sector. Respondents are also questioned about their reflections over the situation and their suggested solutions. The tool provides a ranking of sectors (13 in 2000 and 10 in 2001 and 2002).

Methodology and implementation: The methodology has been improved from year to year. The 2000 review was only conducted in the Capital Ouagadougou, and expanded in 2001 to Bobo-Dioulasso, as the two towns concentrate the quasi-totality of business and administration activities. In 2001, the sample included 1993 individuals (1005 in Ouagadougou and 988 in Bobo Dioulasso) and 2000 in 2002.

The sampling is not representative across the population; there is an overrepresentation of men and highly educated people. The data collection consists of personal interviews based on a

specific questionnaire per sector (13 in 2000, 10 in 2001 and 2002). The 10 sectors are as follow: police, public administration, education, tax, customs, public procurement, media, municipality, health and justice. The sector ranking is an average of three criteria (the score given per sector by the respondents in terms of the level of corruption perceived per sector, by the number of experiences of corruption encountered by interviewees per sector and the ranking of the 5 most corrupted sectors).The quantitative data has been complemented by qualitative interviews with well-informed persons.

In 2002, the data collection has been carried out in 2 phases: during the first one 2000 individuals have been interviewed about their perception of corruption in 10 sectors and during the second phase 300 public servants and 600 public service users in the 7 worst public sectors ranked according to the 2001 survey, have been interviewed.

Primary use and other impact: The first intended impact of the instrument is to raise awareness on the phenomenon of corruption in the country. In this regard it receives after publication an important coverage in the media supported by discussions across citizens and groups. The secondary impact is advocacy through debates around the recommendations made by Renlac. Since the survey is carried out each year, it will is also instrumental in tracking changes over time.

Reports and contact information: The report (in French) is printed each year in May presented on website of Renlac at www.renlac.org. Each report is structured into three parts: a presentation of the findings of the survey, a special focus on one or several sectors (customs and public procurement in 2001 and tax department in 2003), followed by the recommendations from Renlac.

For additional information please contact: renlac@renlac.org

3 Sectoral Indicators

3.1 Ethics Survey

Type of tool: Survey on ethics in the public sector, private sector and civil society

Coverage: South Africa

Source: Three partners: KPMG, Transparency-SA and Public Service Commission

Funding: T-SA and Public service commission for free, and R75000 (about 10,000 USD) from KPMG.

Purpose: To measure to which extent have SA organisations (public service, private corporations and civil society organisations) succeeded in establishing certain basic ethics management practices. The survey did not intend to conduct a comprehensive measurement of either the quality or success of these practices and no judgment can therefore be made about the general “state of ethics” in South Africa.

Methodology and implementation: The sample of the survey comprises 166 individuals representing the public sector (30 respondents), the private sector (76 respondents) and civil society (60 respondents). A generic questionnaire was developed for all and a specific one for the public sector which sought to measure awareness and implementation of the public sector code of conduct. The survey, aiming at the three sectors: business, NGOs and government was implemented by means of an online questionnaire with telephonic follow-up. Hard copies were used for provinces without e-mail access.

Additional remarks: Difficulties were encountered as South Africa is not used to electronic surveys, hence the poor response, especially in the public sector.

Primary use and other impact: The main impact was advocacy but it was limited, even though a press conference was organised and a report was submitted to the Parliament.

Reports and contact information: The report published in 2001 is attached.

For additional information please contact at KPMG: Daniel Malan 2721-4087047 or email daniel.malan@kpmg.co.za

3.2 Public Service Ethics in Africa Study

Type of tool: Comparative study on public service ethics in Africa based on a combination of expert interviews and document analysis carried out by experts at the national level.

Coverage: 10 countries of Cameroon, Gabon, Ghana, Kenya, Madagascar, Namibia, Nigeria, Senegal, South Africa, and Uganda

Source: The United Nations Department for Economic and Social Affairs, Division for Public Economics and Public Administration (UNDESA DPEPA).

Funding: UNDP; 664,000 USD for the whole project.

Purpose: The overall aim of the regional comparison is to highlight gaps and best practices, which can serve as a basis to introduce new or improve existing ethics policies and programmes at the national level. The information collected by this study is intended to:

- assist African government and non-government actors to introduce or improve public sector ethics policies and programmes;
- support international organisations, such as the United Nations and UNDP, and other development partners in determining priorities, drafting recommendations and making funding decisions;
- be produced as part of a set of reports and set up in an electronic database which could be updated and available to public administration scholars and practitioners through designated web-sites;
- serve as a pilot study to be enlarged by the inclusion of other countries in the region, and;
- provide a basis for benchmarks of best practices against which individual countries can make improvements.

The final report, which will serve decision makers and public sector professionals as a policy-making and programming tool, presents individual country reports and a comparative analysis with key findings of the information gathered from the ten participating countries.

Methodology and implementation: The research design for the study is a combination of expert interviews and document analysis. The research process at the country level, conducted by national consultants, was guided by a detailed standardized questionnaire and research guidelines developed by UNDESA. The questionnaire focused mostly on publicly available statistics, administrative data, and legal documents. A Project Steering Group was set up to guide the research process through ensuring the validity and reliability of the data gathered and to increase the participation of regional and national stakeholders.

The conceptual framework of the study is the description of the specifics of the “ethics infrastructure” in each country: set of rules, institutions and practices that are in place to guide, manage and enforce good conduct in the public sector.

The project was launched in April 1999 and its duration was 18 months. The reports were released in 2001.

Primary use and other impact: In terms of impact, one of the most relevant at the regional level is that the NEPAD secretariat has asked to be able to draw on the project database in their Peer review process.

In addition, the study was disseminated in several regional and international conferences.

At the national level, the reports have been sent to participating countries and different stakeholders. Workshops have been organized in 6 countries to present the findings and in some

cases follow-up activities were organised: *Ghana* (2002), *Kenya* (2002): stimulated a proposal to computerize the case management system of the Kenyan Anti-Corruption Commission; *Namibia* (2001): the findings of the study contributed to the Namibian initiative to introduce national public service charters, supported by the Government of Germany; *Nigeria* (2002): currently discussing with the Presidential Adviser on Ethics and Good Governance and the regional UNDP office about incorporating findings of the study in the government's national good governance/anti-corruption programme; *South Africa* (2002): as a result of the study findings, the Government of South Africa has introduced more systematic collection of basic public sector data for not only promoting ethics but improving overall public sector management; *Uganda* (2002): the Office of the President undertook a "Mainstreaming Ethics" strategic planning exercise for the local level and is currently finalizing the strategy.

Reports and contact information: Complete information and reports (published in 2001) available at <http://www.unpan.org/ethicsWebsite/inc/overviewpg.htm>. A synopsis, the main findings and recommendations and the reports are available on the web site. The reports are in 2 volumes: a regional comparative report and 10 country reports available both in English and French.

For additional information: Elia Yi Armstrong, Project Coordinator, DPEPA, armstronge@un.org
Stefan Lock, Associate Expert, DPEPA, lock@un.org
Kyo Naka, Governance Adviser, UNDP Africa, kyo.naka@undp.org

Additional remarks: The challenges of constructing a regional comparative policy tool are enormous. Foremost are the logistical difficulties of finding and coordinating appropriate experts to carry out the fieldwork and the ability to do quality check of the data supplied. In the region, as in other developing regions, governments often lack resources to systematically collect or analyze the policy information that is sought. So even at the data level, it is difficult to properly gauge the validity and reliability. A process of cross-checks with the national consultants and against other sources, where possible, was instituted. But still, it was difficult to improve the quality of the information received. A tool such as the Public Service Ethics in Africa study can only become more valuable as it is repeated on a longitudinal basis -- thus improving its reliability as the governments verify the data -- and also spurring the governments to collect and analyze the data sought.

As to the perspectives, the original study sponsors: UN DESA and UNDP, do not plan to expand the coverage to other countries. (Should this be possible to be done within the NEPAD framework, either on a voluntary basis or with support from the donor community, they have expressed consent to provide technical support.). At this point, the priority has been given to follow up activities addressing the findings of the study rather than continuing with more research. Accordingly, UN DESA and UNDP Africa will be implementing a regional project to develop basic public service ethics training modules and tools.

3.3 Revenue Authority Staff Integrity Reviews

Type of tool: Reviews examining the procedures established for the maintenance of integrity of staff in the Authorities and assessing their effectiveness and perceived impact on the overall performance of the Authorities.

Coverage: Uganda, Tanzania, Ghana

Source: Transparency International (through Michael Waller) and partners

Funding: UK DFID

Purpose: A sound base for taxes and their collection is a vital ingredient to the health of countries, in some of which Governments have set up revenue authorities largely independent of the Civil Service in order to improve collections. These semi-independent revenue authorities have been the subject of various reviews by bodies such as the World Bank, none of which looked specifically at integrity management, and Transparency International therefore considered that staff integrity management within such authorities merited a separate review. Three countries were selected. The object was to identify both good practice procedures as well as challenges so that together with any further suggestions those subjected to the review as well as other interested Governments may be able to draw on such actual experiences.

Methodology and implementation: The reviews were conducted through in-country interviews with relevant staff, authorities and others and general examination of the system and practices in place. It is important to appreciate that the review was carried out in a limited time frame through interviews. There was remarkable commonality of views expressed in each country by those interviewed as to the background to the economy, corruption in the country and in the general views expressed concerning the relevant Authority including the successes and disappointments, albeit with differing emphases.

Primary use and other impact: The country reports and the working paper is a ground for drawing recommendations and a reference point for reform efforts.

Reports and contact information: A working paper by M. Waller (2000) is available at http://www.transparency.org/working_papers/index.html

3.4 Budget Transparency and Participation: Five African Case Studies

Type of tool: Case studies on budget transparency and participation, based on a combination of expert interviews and document analysis carried out by researchers at the national level.

Coverage: Ghana, Kenya, Nigeria, South Africa and Zambia

Source: The NGO International Budget Project (Washington) in collaboration with 5 African NGOs: IDASA in South Africa, ISODEC in Ghana, Transparency International Kenya, Integrity

in Nigeria and in Zambia Women for Change, the Catholic Commission for Justice and Peace and a consultant from the University of Zambia.

Funding: The Trust Fund for Governance administered by the World Bank, the Swedish International Development Agency (SIDA), and the Ford Foundation

Purpose: Collect information on the availability of specific budget information; assess its timeliness, accuracy and usefulness. The research should also emphasise the importance of scrutiny at all stages of the budget process, from opportunities for civil society to comment on budgetary priorities to the careful auditing of revenue and expenditure after the fiscal year has ended.

Methodology and implementation: This multi-country project is based on an earlier NGO effort to research budget transparency carried out in 1999 by the Institute for Democracy in South Africa (IDASA), in cooperation with the International Budget Project based in Washington. This initial project was expanded to four other countries in 2000 through joining with other NGOs in the respective four African countries.

The project relies on a case study method to explore the legal underpinnings of each country's budget process and budget information requirements, as well as the practices that each country actually followed. In each country, the local researchers conducted extensive interviews with officials in the executive and legislative branches, civil society groups and the media. Interviews were supplemented by a review of budget documentation, audit reports, policy papers and legislation.

A peer review group was established in each country to check the results.

The reports were published in June 2002.

Reports and contact information: Complete information and country reports available at <http://www.internationalbudget.org/resources/africalaunch.htm>

For additional information please contact at Idasa Marritt Claussent (marritt@idasact.org.za) and at IBP: Joel Friedman (friedman@cbpp.org) or Pamela Gomez (Gomez@cbpp.org)

Additional remarks: There are plans to update and expand the study, with five new countries being added: Botswana, Burkina Faso, Cameroon, Namibia and Uganda. This project is already being carried out in 5 Latin American countries and will also be expanded to 5 more countries in Africa.

3.5 Paying the Public or Caring for Constituents?

Type of tool: Pilot survey and combination of a qualitative and quantitative study through to analysis of the expenditures patterns of 7 MPs at the constituency level and interviews with 20 MPs.

Coverage: Kenya

Source: Transparency International Kenya

Funding: Friedrich Ebert Stiftung, 4,600 USD

Purpose: The study takes a look at one aspect of political life that appears particularly conducive to corruption in various forms: how MPs respond to actual and perceived demands placed upon them for individual and collective financial assistance at the constituency level.

The specific objectives of the study were to establish the amount of money that MPs spend on constituency affairs during the period covered, on a monthly basis, and to identify the principal expenditure categories; to probe MP's own perceptions of the political as well as the financial costs and benefits of such expenditure, and conversely, of failing to make them; to determine the general sources of the funds used for such purposes; to suggest (or at least question) the relationship between such demands and expenditure and the evolving democratic transition in Kenya.

Methodology and implementation: The study employed 2 samples, examined through the use of two distinct research devices:

- Quantitative instrument: The personal assistants of the 7 participating MPs were to keep weekly accounts of all expenditures related to the performance of their duties at the constituency level. Records were kept (with one exception) for periods of one to 4 months during the later quarter of 2002, some continuing through the election process (December 2002).
- Qualitative instrument: a survey questionnaire was administered to twenty MPs to record responses to particular factual and attitudinal questions about the sources, amounts and uses of money in the performance of the MP's duties with specific regard to addressing needs and demands of constituents. Questions such as: (1) If MPs cannot satisfy such demands from their own salaries and savings, where is all this money to come from, and; (2) What would have to occur in order that constituents no longer constantly bombard their elected representatives with such personalized and collective requests in the first place?

The report was published in November 2003.

Primary use and other impact: The tool had several concrete outcomes and impact:

- It was instrumental in enhancing the debate on political party finance, creating awareness and a public debate on the financial strains and pressure placed upon MPs and the way such "forced generosity" impact their performance as elected officials, both inside the National Assembly and on the ground in their constituencies.
- The report was circulated amongst APNAC (African Parliamentarian Network Against Corruption) members in Kenya.
- The report was also made widely available to the public and summarized in the TI-K newsletter, *Adili*.
- It was reported in two editions of the Sunday Nation (most widely-read paper in Kenya). The reports in the newspapers also contained excerpts from interviews with a number of MPs. Some of the results were as follows:
 - Hon. Kombo (Assist. Minister) who launched the publication, stated that the reason for the demand for these "hand outs" was poverty, unemployment and economic

- decline. He therefore stated that public education on the role of Parliamentarians was necessary in order to clear the misconception that MPs are basic providers.
- The report also included a statement from Dr. Wekesa (one of the MPs surveyed) that disputed the claim that ‘hand outs’ affect election outcomes.
 - A couple of MPs stated that there is pressure to give out money and that this can leave them financially unstable (despite the new pay rise).
 - One MP brought out a distinction between the demands that rural and urban oriented constituencies place on their MPs, with the former seeing the MP as a ‘family member’ who can assist with fees, seeds, etc., and the latter as someone who should/can perhaps push issues forward.
- o Summarized on the Weekly Round up of 29//11/03 – 5/12/03 for IRIN (Integrated Regional Information Network) for Central and East Africa – was distributed by CIDI (Center for International Disaster Information). It was the only piece of information relating to Kenya that was mentioned in the weekly round up; reported by IRIN on Dec 4, 2003 and published on the <http://www.warmafrika.com>, etc.
 - o As a significant proportion of ‘giving’ goes towards harambees (colloquial for community fund raising/resource pooling that often involves politicians), the report and the subsequent articles in the Newspaper could well have acted as a tool in preparing the public on the assessing the legitimacy of ‘harambees’ which have been topical and controversial recently.

Reports and contact information: The report published in 2003 is available at <http://www.tkenya.org/documents/paying.pdf>. For additional information please contact: transparency@tkenya.org.

Additional remarks: Need to somehow relativise the findings and their interpretation in terms of representation as the sample was very small.

3.6 CIVICUS Country Surveys on NGO Accountability - Civil Society Index

Type of tool: Index assessing the state of civil society on country-by-country basis.

Coverage: 12 countries were covered through the pilot project. Of the countries of interest for the purposes of this study, work has been done in **Ghana** and **South Africa**. The main phase is to cover a significantly larger number of countries (results will be available by mid-2005).

Source: The work has been led by CIVICUS.

Funding: various

Purpose: Compared to other social phenomena, there has been a distinct shortage of information on the state of CSOs, including internal transparency and other corruption-related issues. The index was developed by CIVICUS to fill this gap.

Methodology and implementation: The research methodology employed a common framework for all countries, but left ample space for country-specific adaptations of the indicators used. The data collected stemmed mainly from surveys of civil society stakeholders, supplemented by available secondary data sources. However, relying on ‘subjective’ stakeholder assessments made it difficult to compare results across countries since it is likely that respondents in different countries used different yardsticks. The analysis should be read with this qualification in mind.

Primary use and other impact: The project provides a diagnostic tool to assess the health of civil society and develop knowledge-based strategies to strengthen civil society. By placing ownership of the implementation process and research findings in the hands of local civil societies, the index seeks to ensure an effective linkage between research, reflection and action. A key element of the project is national workshops among civil society actors, which discuss and validate the research findings and develop action agendas for the future.

Reports and contact information: The full report on South Africa can be emailed upon request (contact ahakobyan@transparency.org). There is also an article in TI’s GCR 2003 (V.F. Heinrich: Transparency and corruption within civil society organisations) summarising the initiative at <http://www.globalcorruptionreport.org/download.shtml>, which has been used as a source for this analysis.

Additional Remarks: Of countries of interest for the purposes of this study, Ghana and South Africa, reports are available on South Africa only. A CIVICUS focal point explained that the Ghana report was not published due to some concerns with data validity, etc.

3.7 CIET Country Social Audits and National Integrity Surveys

Type of tool: Country social audits (studies on accountability, equity, effectiveness and value for money) that link quantitative and qualitative data mostly assessing service delivery and key sectors (such as customs, police, primary education, health services, etc). Uses hard data from households, schools, communities, etc.

Coverage: Of the countries of interest for our U4 study, work has been done in **Mali** (public services), **South Africa** Gauteng (the role of corruption in the prosecution and conviction of rape cases) and Wild Coast (unofficial charges for health care and other public services), **Tanzania** (corruption in the police, revenue and lands services), **Uganda** (audits of health and agriculture sectors). Also, in **Uganda**, a National Integrity Survey was conducted in 1998, producing district level indicators on the police, judiciary, health, education and local administration.

Source: the work is coordinated by CIET International (which has local presences in a number of countries) with active community participation.

Funding: various

Purpose: The main purpose of social audits is making organisations more accountable with regards to the social objectives they declare. Characterising an audit as "social" does not mean that costs and finances are not examined - the central concern of a social audit is how resources are used for social objectives, including how resources can be better mobilised to meet those objectives.

Methodology and implementation: Key features of a CIET social audit are:

- *Getting the evidence.* Hard data from households, schools and communities, as well as from the service itself, are gathered systematically to guide planning and action.
- *Community participation.* Communities not only co-produce the data, but, through focus groups and workshops involving community representatives, they help design local and national solutions.
- *Impartiality.* Community-based audit by a neutral third party can help to build a culture of transparency and strengthen service credibility.
- *Stakeholder buy-in.* All those who have a significant stake in service delivery are actively involved throughout the audit, from the initial stages of design to implementing community-led solutions.
- *No finger-pointing.* A social audit is intended to focus on system flaws and programme content, rather than on individuals or organisations. Even negative findings can be framed as a starting point for improvement.
- *Repeat audits.* Several audit cycles are usually needed to measure impact and progress over time, and to focus planning efforts where they can be most effective.
- *Dissemination of results.* A communication strategy, including feedback to communities, mapping and media dissemination is part of every social audit design.

Primary use and other impact: The audits focus on system flaws and build local solutions in a consultative process that draws together service workers and civil society. In Uganda, for example, social audit found that people are less likely to pay "extra fees" if given facts about how to use services and what to expect. The audit mapped out what information people needed, and how to get it to them, at local and national levels.

Communities are the key players in a CIET social audit, not just passive recipients of evidence. Evidence-based local solutions are devised that can *trickle up* to regional and national planners. The same evidence is shared with civil society, service workers, government and international donors, increasing pressure to build effective partnerships for change.

Reports and contact information: full reports on each of the countries are available at http://www.ciet.org/www/image/theme/_new-frames.html

3.8 La transparence à l'Université (transparency in the University)

Type of tool: quantitative and qualitative survey and focus group discussions on transparency in Moroccan universities

Coverage: Morocco, 7 University centres: Casablanca, Fès, Kénitra, Meknès, Oujda, Tetouan and Rabat.

Source: Transparency Morocco (survey coordinated by a team of 13 University professors and part of a broader project: l'Université de la transparence).

Purpose: The survey had three main objectives.

- Present a state of corruption and similar practices in universities based on the experiences and perceptions of its main actors (students, teachers and administrative staff);
- Identify some key elements of analysis on the reasons for the proliferation of such practices, on their mechanisms and consequences, on the main actors involved, etc.
- Suggest some actions to fight those practices at the University.

Methodology and implementation: The project has two components.

- A *survey* based on questionnaires with 10 items, some questions being specific to each target (one module for students, one for teachers and one for the administration staff of the university). 370 questionnaires have been administered, but after a quality check, the final sample was confined to 350, divided as follows: 169 students, 101 teachers and 80 employees from the administration.
- *Focus group discussions* (FGD). 16 FGDs were conducted with 85 persons (8 with teachers, 6 with students and 2 with personnel), on the basis of interview guidelines structured on 3 axes: the extent of corruption and other non transparent practices, the identification and analysis of such practices (causes and consequences), and perspectives and solutions suggested to address those issues.

The survey is a pilot project, which has only been conducted in 7 universities and is not supposed to be representative. Due to its coverage, one can still assume it provides with a good overview of the state of corruption and non transparent practices within Moroccan universities.

The fieldwork started in October 2001 and lasted 2 months.

Primary use and other impact: The findings, for the first time, provide with more concrete ideas on the extent, nature and cause of the phenomenon of corruption and non transparent practices within universities. This will allow the initiation of debates on the issue, which remains a taboo in this sector and will help to move beyond rumours and speculations.

Report and contact information: The report includes the findings from the survey and focus group discussions, some background articles on the issue of transparency in universities and the three modules of questionnaires. It is available in French as an attachment.

4 Democracy and Governance Indicators

4.1 AfroBarometer and Related Tools

Type of tool: Public opinion surveys covering a wide range of areas related to democracy, governance, conflict and crime, economics and markets, social capital and others. The data is available both in the form of a comparative tool as well as stand-alone country surveys. The tool contains sections on corruption (measuring both perceptions of corruption levels as well as personal experiences).

Coverage: 12 countries have been surveyed under Round I - **Botswana** (1999) **Ghana** (1999) **Lesotho** (2000) **Malawi** (1999) **Mali** (2001) **Namibia** (1999) **Nigeria** (2000) **South Africa** (2000) **Tanzania** (2001) **Uganda** (2000) **Zambia** (1999) and **Zimbabwe** (1999).

Source: The core partners are the Institute for Democracy, South Africa (IDASA), Centre for Democratic Development, Ghana (CDD) and the Department of Political Science at Michigan State University, USA (MSU) with national research partners in around 14 African countries.

Funding: various

Purpose: The Afrobarometer is a research instrument that measures the social, political and economic atmosphere in Africa. The surveys are conducted in more than a dozen African countries and, in several, will be repeated in a regular cycle. Ultimately, trends in public attitudes will be tracked over time.

Methodology and implementation: According to sources (R. Mattes), round I of this project grew out of several initiatives that were developing across the continent. It consists of 12 country surveys (conducted by various national partners) that are only partially identical (7 countries use identical questions). Some of the countries will be repeatedly surveyed and rounds 2 and 3 will form comparative tools with identical format and questions for each country.

Primary use and other impact: The results of Afrobarometer surveys are fed directly into the policy process, usually through NGOs. It seeks to reach diverse audiences: decision-makers in government, policy advocates, donor agencies, journalists and academic researchers, as well as voting-age adults in Africa who wish to become informed and active citizens

Reports and contact information: Complete data and codebooks for each of the 12 countries are available at <http://www.afrobarometer.org/howdata.html>. In addition, there is an article (R. Mattes and M. Bratton: Assessing Corruption in Southern Africa through the eyes of Southern Africans) in the TI GCR 2001 at <http://www.globalcorruptionreport.org/gcr2001.shtml>.

The article summarises results from 7 countries of the Round I (in which the questions were identical) focusing specifically on corruption questions of the survey. This format may be useful for an at-a-glance look, as it separates the corruption data results from the broader democracy and other related topics and presents the summary findings. Finally, a narrative report summarising finding of Round 1 (all 12 countries and the full range of topics, including summaries of corruption ones) is available to be purchased from Afrobarometer's website at www.afrobarometer.org (Working Paper 11).

Additional remarks: In our view, the tool may be useful not only as national data source or for comparisons across the participating countries, but has potential for observing correlations, such as between perceived corruption levels and several factors such as state legitimacy, economic growth, human rights, etc.

4.2 Enquêtes 1-2-3 / UEMOA

Type of tool: Public opinion surveys initially focussing on employment, informal sector and poverty, and expanded with 2 new modules on democracy and governance (including corruption).

Coverage: 7 capitals from the West African Economic and Monetary Union (Abidjan, Bamako, Cotonou, Dakar, Lomé, Ouagadougou and Niamey) and Antananarivo (Madagascar)

Source: Project commissioned by the WAEMU, coordinated by Afristat and Dial (Research department Cipré from Institut de Recherche sur le Développement) and conducted by the respective National Statistic Institutes.

Funding: European Commission and the French Cooperation.

Purpose: The objective of the study is to capture the functioning of public administration, the quality of public services and the appreciation and attitude of different groups of the population towards the role of the State. The instruments also collect the point of view of the population on the functioning (or malfunctioning) of the systems.

Methodology and implementation: In total nearly 35,000 adults were questioned through one-on-one interviews using structured questionnaires.

Primary use and other impact: The primary use of the study is to get an in-depth understanding of governance and corruption issues, among other democracy related areas. It seeks to reach diverse audiences: decision-makers in government, policy advocates, academics and researchers. Household surveys, by their nature, generate information on petty corruption rather than grand corruption. The data provided both subjective data on perceptions of corruption and objective information on individual's personal experience of corruption during the previous year. The survey also asked respondents to identify institutions where corrupt behaviour took place, the types of transactions involved and the sums of money. The objective data collected on respondents allows analysis of all the findings per gender, age, education, migration, employment and examining factors that may explain the incidence of corruption and thus get a better knowledge of the profile of the victims.

Reports and contact information: There is an article on Madagascar in TI GCR 2003 (M Razafindrakoto and F Roubaud, Wages and corruption: the case of Madagascar) and another article on the overall project in the coming TI GCR 2004.

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Methodology

Methodology of the study (including coverage and contents)¹: The mapping covers a total of 22 tools in 25 African countries. For the purposes of this exercise, we have included measurement tools relating both to corruption and more broadly to governance. Furthermore, we have also assessed tools of varied typology (opinion polls, expert surveys or others), coverage (local or national, multi-country or single-country) and frequency (one-off or time series).

The exercise involved mixed research methods. First and foremost, we conducted desk research: collecting data on various tools in each of the countries covered, synthesising and presenting the information along with some limited qualitative analysis. The results are presented in the form of a narrative report that is arranged in accordance with types of measurement tools (i.e. opinion surveys, indices of institutions, sectoral indicators and democracy and governance indicators) and under each such heading all relevant tools for the countries covered are listed in alphabetical order or per type of sector review. Apart from being listed, each tool is expanded on and described following a standard format that includes information such as type of tool, coverage, source, purpose, methodology and implementation, primary use, impact and contact information.

In addition to the distinction in terms of the types of tools (opinion surveys, sectoral indicators, etc.), attention should be drawn to the distinction in terms of i) tools that have a multi-country coverage (i.e. these are national level tools, which have been implemented in several countries with the same coordinating body but using national information/partners for each country) and ii) tools that cover a single country (at national or local level). It is important to keep in mind whether a tool has a multi-country or single-country coverage, as this often has implications on a tool's methodology, implementation as well as its use and impact.

To complement the narrative report, we also present the information in the form of a table. We expect the table to be useful for quickly chasing information on any particular country. In other words, the information can be traced both through types of tools (via the narrative report) and through countries (via the table). The table contains page references to the narrative report, making it easy to go back and find the narrative (and more detailed) description of each tool.

¹ Disclaimer: the mapping may not be exhaustive for all countries covered due to time limitations in collecting the information and producing the report.

Appendices

To be obtained by request from U4 at u4@u4.no or at www.u4.no/document/main.cfm

A- Country Table

B- Reports only available electronically, and not on the internet

- An opinion poll on the perceptions and experiences of corruption among Lusaka residents
- Corruption in Zimbabwe – A survey of the perceptions of Zimbabweans on corruption
- Ethics survey (South Africa)
- La transparence à l'Université (Morocco)