Mapping exercise of Corruption and Governance Measurement Tools In Asia and Caucasus countries

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Transparency International Secretariat

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Part I: Background and methodology

The purpose of the study
Following on from the report on Local Corruption Diagnostics and Measurement Tools in Africa, carried out by Transparency International for the U4 in February 2004, DFID has requested that TI identify and present the international, national and local tools that measure corruption and related phenomenon in Asia and the Caucasus.

DFID has expressed interest in the following key focus countries for this exercise: Armenia, Bangladesh, Cambodia, Georgia, Kyrgyzstan, India, Indonesia, Malaysia, Moldova, Nepal, China, Pakistan, Sri Lanka, Tajikistan, Thailand and Vietnam. For Pakistan and India, special attention will be given to the tools assessing the provinces of Punjab, Orissa and West Bengal.

Methodology of the study (including coverage and contents)[2]
The mapping covers a range of tools in 16 countries from the Asia and Caucasus region. For the purpose 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 methodology (opinion polls, expert surveys, press monitoring, and citizen's report cards etc.), 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, synthesizing 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, press monitoring, report cards, indices of institutions, sectoral indicators and democracy and governance indicators etc.). Under each such heading, all relevant tools for the countries covered are listed in alphabetical order. Each tool is then 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 distinctions in terms of the types of tool, 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). Indeed, the extent of the coverage often has implications on a tool's methodology, implementation, as well as its use and impact.

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[1] The mapping has been conducted under the coordination of Marie Wolkers, with the help of Anna Hakobyan, Dominic Elliot and Eva Mayerhöffer.
[2] Disclaimer: the mapping may not be exhaustive for all countries as some information is not always easily available

To complement the narrative report, we also present the information in the form of a matrix. We expect the table to be useful for locating overview information on any particular country. In other words, our aim is that the information on tools can be obtained both through types of tool (via the narrative report) and through countries (via the table). The table will also contain page references to the narrative report, making it easy to go back and find the narrative (and more detailed) description of each tool.

Part II: Mapping the Tools

A. Single country tools

A.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.

A.1.1 Armenia Country Corruption Assessment (2002)

Type of tool:
Public Opinion Survey

Coverage:
Armenia

Source:
Centre for Regional Development/TI Armenia in partnership with Civil Society Development Unit and Development Network

Funding:
OSCE Yerevan Office ($10,000) and USAID Armenia ($8,783)

Purpose:
The purpose was to evaluate the current situation in the country and identify possible solutions for reducing corruption as seen by the general public.

Methodology and implementation:
A nationwide survey was conducted with the sampling of 1,000 households, 200 entrepreneurs and 200 public officials.

Use and impact:
The survey, the first of its kind in Armenia, is above all a raising awareness and advocacy instrument. Following the publication of the survey, a workshop was organised to present and discuss the survey findings involving representatives of state institutions, civil society and international organisations. The reaction of the authorities was neutral after the publication of the report because they usually only refer to TI tools when the results are positive for them. The Centre for Regional Development (TI national chapter in the country) organised many TV and radio programmes to disseminate the results and two years later, still uses the findings to support their message and advocate for change. The results of the polls seem to have had a strong negative impact on public perception of the phenomenon of corruption and the TI chapter feels the need to repeat the exercise, if funding allows, in order to update the information and really capture the reality.

Reports and contact information:
http://www.transparency.am/Website/Publications/Survey/Survey-eng.pdf

A.1.2 Public Opinion Survey on Armenia's Anti-corruption Strategy Programme (2004)

Type of tool:
Short public opinion survey conducted by telephone

*Coverage***:**
Certain regions and cities within Armenia

Source:
Centre for Regional Development/TI Armenia with the assistance of the Helsinki Citizens Assembly, Vanadzor Branch and the Goris Teachers Union.

Funding:
Centre for Regional Development

Purpose:
The main aim was to establish public awareness of the Government adoption of a national anti-corruption strategy programme in December 2003 and also to enquire about the public's opinion as to its likely effectiveness in combating corruption in the country.

Methodology and implementation:
The survey consisted of 4 questions and was conducted among 680 customers of the automatic telephone stations (150 from Vanadzor, Ararat and Goris, and 527 from Yerevan). Parallel to the phone survey, the questionnaires were distributed to the participants of the seminars organized by the IFES in Shirak, Lori, Gegharkunik, Aragatsotn, Kotayk, Syunik Marzes and in Yerevan city. In total, 202 questionnaires have been filled in.

Use and impact:
The results are summarised as information leaflets and used as part of public awareness raising campaign. The results have been used in many publications and disseminated broadly. Some update would be needed in order to track changes in terms of public opinion perception since last year.

Reports and contact information:
http://www.transparency.am/Website/Activities/phonesurvey-Eng.pdf

A.1.3 Survey on Corruption in Bangladesh (1997, 2000)

Type of tool:
Opinion survey, random sample of households, general population.

Coverage:
Bangladesh

Source:
The 1997 survey was conducted by The Survey and Research System, Bangladesh, on behalf of Transparency International-Bangladesh (TIB), with assistance from The Asia Foundation. The 2000 survey was conducted by TIB research staff with assistance from TI-S.

Funding:
For 1997 survey, the funding source was The Asia Foundation and the amount was US $50,920 while for the 2000 survey funding of $20,909 was provided by TI-S.

Purpose:
This 'Survey on Corruption' in Bangladesh was divided into two phases. Phase 1 consisted of a 'Pilot Study' to:

   o   Ascertain, wherever possible, the nature, extent and intensity of corruption
   o   Determine the level of corruption within certain sectors
   o   Obtain perspectives of service deliverers and of service receivers.

Phase 2 consisted of a larger scale survey to provide more baseline information on corruption, extending the number of sectors under evaluation for instance.

Methodology and implementation:
In the first phase, or pilot study, a small-scale national household survey was undertaken to reveal how public services performed in six different sectors. By simultaneously conducting an institutional survey on

performance or delivery of public services in these six sectors it was possible to obtain information on corruption from both a recipient's and provider's point of view. On-the-spot verification from persons receiving services was also collected in the institutional survey. The sectors that the pilot survey looked at were education, health, judiciary, *grameen shalish*, and the police service and land administration. It also considered the public perception of corruption.

The Phase 2 baseline survey consisted of a sample size of 2500 households and information related to: services provided by various sectors and delivery of services and corruption in providing services. The pilot study of Phase 1 furnished valuable guidelines on scope, conceptualisation and coverage. The base line survey extended the sectors. The additional sectors were the municipal service sectors (water supply, electricity supply, holding tax and business and trade license), public transport and the media.

Use and impact:
When the report was published in 1997, it received extensive media coverage both in print and electronic form, generating a good public response. On the other hand, the reaction of the judiciary, especially the lower court, was obviously quite negative, including calls on the Government to close down TIB.

Indeed, the police and judiciary were highlighted as the two most corrupt sectors in Bangladeshi society. The findings of the base line survey revealed that about one-half of the complaints (49.5%) made prior arrangement with the police for dismissal of their cases; the majority (55%) of the arrangements were made to prevent disputes from reaching court, while nearly two-fifths (38%) of the arrangements sped up the complaints process. 71% of the respondents reported that police deliberately delayed sending cases to court.

Results suggest the standard of the legal system, particularly the legal profession itself, is poor. More than three-fifths (63%) of the households involved in court cases reported that they had to bribe court officials. The proportion of rural households paying bribe money to court officials was 63.6% compared to that of 57.1% of urban households. Cash for bribes was paid to court employees by 73.1% of households, followed by 16.3% of households to opposition lawyers. The majority of households (53.3%) made payments for bribes directly, i.e., in person, and 28.1% of households through the lawyers.

Those results were used by TI B as a very powerful instrument to raise awareness about corruption in Bangladesh, especially in the two most criticized sectors which are the police and the judiciary.

As a consequence of those findings, TI B carried out a diagnostic study on the police. This study recommended setting up specialized investigation cells in all police stations throughout the country exclusively for the purpose of investigation, while having no administrative or other assignments. The government recently decided to introduce this on a trial basis in 300 police stations.

Reports and contact information:
Reports on the two phases are available at: www.ti-bangladesh.org/olddocs/survey/phase1.htm and at www.ti-bangladesh.org/olddocs/survey/phase2.htm. A summary of the survey is also available on Transparency International-Canada's website, at: http://www.transparency.ca/Readings/TI-F01.htm.

A.1.4 Corruption as People See it (1999)

Type of tool:
Opinion survey based on narratives of personal experiences from a number of structured interviews, selected sample of the population.

Coverage:
Bangladesh.

Source:
Transparency International-Bangladesh.

Funding:
TIB conducted this study with the financial assistance from a local NGO named Gono Sahaiyja Sangstha (GSS) (People's Assistance Organization. The estimated amount was US $ 1600.

Purpose:
The goals of the project were to:

   o   Elicit the views of the general public on the corruption that affects them

- o Learn about their experiences, and
- o Check these against press-monitoring analysis and household survey findings.

Methodology and implementation:
The sample size for this study was 160. Sixteen out of 64 districts of Bangladesh were covered.
Transparency International-Bangladesh (TIB) organised discussions with people who had direct knowledge of corruption and people who were victims of corrupt practices in selected locations throughout Bangladesh. The discussion meetings were arranged by a national NGO active in social mobilisation and education programmes. In the absence of a trained moderator, a member of TIB directly interacted with the participants. This was, therefore, a qualitative and case-oriented survey rather than a quantitative one.

Use and impact:
The report was printed and disseminated widely to the relevant public authorities. Especially via this type of tool and other public opinion surveys, corruption only recently became a key issue in public discourse in Bangladesh.

The more qualitative approach of this survey, via structured interviews, was an efficient way to corroborate evidence on corruption from other tools that TIB employs, such as its news scan analysis and household baseline surveys.

The report on this survey calls for critical administrative overhaul for the improvement of public service delivery. It notes the relative powerlessness of civil society in Bangladesh. Following the publication of this survey and the call for more public participation, TI B noticed that people are more actively participating in demands for transparency, accountability and good governance, especially at local grassroots levels. TI B's became a social movement through Committees of Concerned Citizens (CCCs). Results are particularly visible with positive impacts in some selected areas of CCC work in ensuring accountable public service delivery in such areas as education, health, and local administration.

TIB, despite the weaknesses of the experience in the implementation process of the survey, found the tool very useful and are happy to do more of this type of study subject to the availability of funds and other necessary resources.

Reports and contact information:
The report is available online at: http://www.ti-bangladesh.org/docs/survey/people.htm .

Additional Remarks:
TIB recognised the limitations of not using a trained moderator but interventions by local participants aided discussions. Lack of time was the main constraint during the exercise. Four to five hours of discussion was found inadequate to match the enthusiasm of the participants who are without an appropriate forum to air complaints.

A.1.5 National Survey on Public Attitudes towards Corruption (1998)

Type of tool:
Opinion Survey, random sample of the general population.

Coverage:
Cambodia.

Source:
Centre for Social Development (CSD), Cambodia.

Funding:
Centre for Social Development.

Purpose:
The purpose of the tool was to determine public attitudes toward corruption. The intention was to sample enough of the population for the survey to be nationally representative and to collect baseline data for future counter-corruption legislation and education. The survey addressed the following questions:

- o In the perception of the public, which groups of society practice corruption and how frequently?
- o Where does corruption start and are some acts more corrupt than others?
- o What effects does corruption have on society?

o   How can corruption be stopped and how long will this take?

Methodology and implementation:
Between January and May 1998, the Centre for Social Development (CSD) in Phnom Penh, Cambodia, surveyed 1,513 urban and rural adults. For this project, corruption was defined as the misuse of public power for private profit.

Use and impact:
The Center for Social Development used this survey primarily as an awareness raising tool. The instrument conclusively demonstrates that widespread public support exists to fight corruption in Cambodia, but extensive education is needed on the nature of corruption and its human, social and economic costs. The Center for Social Development also used it as an advocacy tool to present realistic solutions for countering corruption.

Reports and contact information:
Project Director: Dr. Sieng Huy. A report on the survey is to be found at:
http://www.bigpond.com.kh/users/csd/report/cs_content.htm

A.1.6 Cambodia Governance and Corruption Diagnostic Surveys (Three surveys, 1999)

Type of tool:
Opinion Surveys of the public sector, private sector and the general population, random samples.

Coverage:
Cambodia.

Source:
Government of Cambodia, World Bank.

Funding:
World Bank, World Bank Institute.

Purpose:
The government of Cambodia requested that the World Bank conduct these surveys and a follow-up report to assist the government in capacity building and fighting corruption. To this aim, it addresses the following questions:

o   What is the status of governance in Cambodia?
o   How do households, enterprises, public officials perceive public service quality and how important do they consider governance to be?
o   What are the benefits of good governance and the costs of weak governance?
o   How do the households, enterprises and public officials rate the performance and integrity of public institutions and public services?
o   What is the relationship between performance and integrity?
o   What are the revenue mobilisation implications of good governance?
o   How does governance affect the poor?
o   How does it affect foreign direct investment?
o   What are the sources of strong and weak governance in Cambodia?
o   What are the causes of institutional strengths?
o   How effective are accountability mechanisms?

The surveys were designed based on the World Bank's experience in other countries and the knowledge and expertise of the Council for Administrative Reform and Lidee Khmer on governance issues in Cambodia. The surveys were designed to assist in policy and strategy formulation for an action programme to enhance governance in Cambodia in at least three ways:

1. Collecting the views and concerns of households, enterprises and public officials in Cambodia,
2. Measuring the dividends of good governance, and
3. Helping to identify the sources of good governance, and highlighting priority areas for future work.

Methodology and implementation:

Three large-scale governance surveys were carried out in Cambodia during November and December 1999 and involving 1068 households, 326 private enterprises, and 671 public officials. Methodology for the surveys was based on the World Bank Institute's previous country governance surveys.

Use and impact:
The main outcome of the surveys was the publication of a report, commissioned by the government as part of the project.

The surveys were used by the authorities as a diagnostic tool to assess the importance of the corruption issue in the country and take stock of the key findings such as the shared perception of households and enterprises on the importance of public sector corruption as a key constraint to development in Cambodia. Both categories identified this as the most serious problem in Cambodia. Business in Cambodia reportedly pays bribes more frequently than enterprises in Latvia, Georgia, and Ecuador. The level of bribe-paying is closest to that of Albania but still exceeds it.

The instrument also provided responses in terms of policy recommendations, which still need to be addressed by the Government. The report on the surveys for instance highlights various important factors linking performance and integrity: competitive wages that are paid on time; adequate financial resources; meritorious personnel management practices; transparent budget processes; free-flows of information; effective penalty systems; and effective complaint mechanisms linked to penalty systems.

Reports and contact information:
See http://www.worldbank.org/wbi/governance/pdf/guide_pdfs/06-survey_report.pdf for the report on these surveys.

A.1.7 Corruption Survey in Georgia (2001, 2002, 2003)

Type of Tool:
Public Opinion Survey

Coverage:
15 principal regions throughout Georgia

Source:
Georgian Opinion Research Business International (GORBI)

Funding:
GORBI

Purpose:
Help both civil and governmental structures to better understand the current situation in Georgia, direct public attitude towards the corruption and compare the current data with previous statistics

Methodology and Implementation:
The sample size is 1000 respondents and 100 sampling points. It covers urban as well as rural populations. The survey was conducted using the face-to-face interviewing method. The survey employs a nationally representative sample through multi-stage random probability sampling of the Georgian adult population (age 18+).

Use and impact:
The survey results were widely disseminated in the media and used by civil society organizations to demonstrate the public significance of the corruption problem. It also assesses the degree of its penetration in the various social structures, social institutions, and groups on a comparative level in terms of dynamics. According to GORBI, the kind of monitoring used is not yet sufficiently respected in Georgia.

Contact and Report Information:
The report is available at: www.gorbi.com/download.html

A.1.8 All India Survey (2002)

Type of tool:
Opinion survey, random sample of the general population.

Coverage:
India

Source:
Transparency International-India and ORG-MARG Research Private Ltd.

Funding:
Transparency International-India

Purpose:
The purpose of the study was to assess the presence and extent of corruption in various sectors of public domain and its impact on people in India.

The key objectives of the survey were:

- o   To assess the presence, locations and extent of corruption
- o   To understand the types of corruption - money, nepotism, etc.
- o   To understand the perceived reasons for corruption
- o   To assess the intensity and impact of corruption on people
- o   To quantify the amount of money lost to corruption
- o   To elicit suggestions from the public to combat corruption

Methodology and implementation:
Over five thousand citizens of India were interviewed in the house-to-house survey carried out to assess the perceptions of corruption in ten sectors: education, health, the police, power, telecoms, transport, land & building administration, the judiciary, taxation and ration (a public distribution system).

Use and impact:
As a follow-up to the survey, TI-India carried out various activities:

a) Disseminated the results of the survey to legislators', Central & State Governments, Sectoral Departments and Institutions, NGOs, and the public through print and electronic media.
b) Pressed for the formulation and effective implementation of citizens' charters in all government departments and allied institutions.
c) Pressed for service charters from private business and institutions involved in delivery of services to the citizens.
d) Pressed for transparency in actions of the government agencies in the discharge of their functions.
e) Continued the programs already in hand for Moral and Ethical education, introducing Lok Pal (Ombudsman), and e-readiness and judicial reforms.
f) Lobbied for access to information legislation.

They are also working on:
a) Pressing for augmenting the use of Information Technology to enable quick and easy access, and prompt disposal of cases by the government.
b) Strongly requesting accountability of all functionaries.

Reports and contact information:
The report is available at: http://www.ti-bangladesh.org/ti-india/documents/corrInd.htm. For further information email TI-India at: tindia@ndf.vsnl.net.in or tiindia@hotmail.com.

A.1.9 A Report Card on Public Services in Indian Cities (1996-1999)

Type of Tool:
Public Opinion Survey

Coverage:
7 cities in India (Bangalore, Pune, Ahmedabad, Chennai, Kolkata, Mumbai and Delhi)

Source:
Public Affairs Centre, Bangalore

Funding:

National Foundation for India

Purpose*:*
Purpose of the report card study was to create an aggregate of public ratings on different aspects of service quality. The basic concept behind the Citizens Report Card is that citizens as users can provide useful information on the quality and adequacy of services and the problems they face with the service providers. They know better than anyone else how responsible or reliable an agency is or what are the costs attached to a service. Thus the Report Card is expected to "reflect the actual experience of people with a wide range of public services". Such feedback will be valuable to judge the performance of a service provider and serve as an input to the government in policy making and reform.

Methodology and Implementation:
Random sample surveys of users of different public services (utilities) in a city. The specific aspects addressed in the survey include availability of service, usage, satisfaction, service standards, major problems with service, the effectiveness of grievance redress systems, corruption encountered and other hidden costs experienced by citizens on account of poor service.

Use and impact:
The Report Card studies carried out in some cities have been instrumental in initiating changes in the quality of public services. For example, the second Report Card study in Bangalore in 1999 carried out as a sequel to the earlier study in 1993, provided rich insights into the changes in the quality of public services in the city. It has succeeded in creating greater awareness among both the citizens (users) and the government agencies (service providers). Dialogues with service providers for reform have been an important outcome of these exercises.

A review on the Bangalore Report Cards by The World Bank's Operation Evaluation Department (OED) has stated the following outcomes and impacts of the survey:
- Improved Quality of Services**:** The heads of two agencies -BWSSB and BDA- had taken note of the findings soon after the first Report Card (in Bangalore) was published, and they interacted with PAC. They initiated training programs with a view to improve the skills and customer responsiveness of the staff. I.e. in the BMC, a new property tax system intended to increase transparency and to reduce corruption was designed. The period following the second Report Card in 1999 saw marked improvements in the quality of service provided by almost all agencies.
- Increased civic activism and public awareness
  Citizen groups, especially resident associations, increased in the years following the first Report Card. The role of the media in promoting civic activism has been significant. Various newspapers have carried the findings of the Report Cards. While they did not follow up by reporting the action taken on these findings, they have been active in reporting on civic issues and citizens' activities.
- Increased Client Orientation
  PSAs have become more conscious of catering to the needs of their clients. Most public services - such as water, power, and municipal amenities- are still monopolies, and all citizens constitute clients for these service providers. However, civic activism and proactive initiatives by the Government have induced PSAs to give the customer a more prominent place in their scheme of things.

The report card approach was further extended and used by PAC in its Millennial Survey of Public Services in India. Additionally, it has been adopted by several other organizations, such as TI Bangladesh.

The Industries Department in Karnataka has adopted the Report Card approach to get feedback from industrialists to improve governance in the industry sector. In Mumbai, a civic group called PRAJA has used PAC's approach and produced a report card on the city's services. PRAJA used the report card findings to jointly design a citizen charter on services with the City Municipal Corporation and made it operational. In addition, two cities in Ukraine and a social development project in the Philippines have prepared -with World Bank support- report cards based on the PAC model.

The Citizen Report Card was a pioneering effort to assess the satisfaction levels of ordinary citizens concerning the quality of public services and the performance of service providers. In spite of some weaknesses, it has contributed to increasing public awareness on civic issues, nudged some key officials and agencies to action, and stimulated citizen groups. Governments are not always able to monitor all aspects of services, hence the importance of user feedback as an aid to monitoring and corrective action. The Public Affairs Centre has shown that independent civil society groups can play a useful role to provide such feedback which can act as a stimulus to reform.

Reports and Contact Information:
For more information on the report card approach contact pacindia@vsnl.com. The OED's review can be found online at
http://lnweb18.worldbank.org/OED/OEDDocLib.nsf/DocUNIDViewForJavaSearch/D241684DF81FCE2785256EAD0062DE10/$file/ecd_wp_12.pdf

A.1.10 The Millennial Survey of Public Services in India (2002)

Type of tool:
Opinion survey, stratified random sample of the general population

Coverage:
India, national coverage.

Source:
Public Affairs Centre, Bangalore.

Funding:
Ford Foundation

Purpose:
The Survey has three key objectives:

a) To provide a well focused and independent assessment of key public services using citizen feedback
b) To create an independent database, which helps measure the progress and performance of these services over time, and
c) To stimulate public debates based on findings.

The survey was designed specifically to be of use to three different groups:
-   Policy makers / Administrators
-   Donors / Programme funders
-   NGOs / Civil Society Organisations

Methodology and implementation:
In 2002, the Public Affairs Centre's Report Card on Public Services in Indian cities was changed from local to national government coverage and renamed. The survey covered 115 districts, spread over 24 states, to reach 37,000 respondents. These respondents were selected through stratified random sampling. Roughly a fourth of the sample was from urban areas, including small towns and metros. To generate a balanced sample, socio-cultural regions within a state were identified as decisive clusters, for geographical spread of the sample.

The study was done in 3 parts:

a) A survey of households to get a rating of selected public services on measures of quality, reliability, etc
b) An actual assessment, based on observation, of public facilities such as primary schools, clinics, fair price shops, etc on indicators of their functioning; and
c) Case studies on service delivery, to throw light on processes experienced by citizens, which highlight good practices as well as serious constraints.

The survey focuses on five basic public services, which have seen considerable government investment. These areas are:

o   Drinking Water
o   Health & Sanitation
o   Education & Child Care
o   Public Distribution System (Fair Price Shops)
o   Road Transport

Use and impact:

The study generated a nation-wide state level database on aspects of quality and performance standards of the five selected public services during 2001, across the country, and state-wide assessment reports on service standards and on users' satisfaction with the quality and effectiveness of services. It enabled sectoral assessments and provided information on access to and usage of services.

The survey managed to achieve the following needs:
- To benchmark service standards
- To identify key issues affecting service delivery
- To highlight segments of population who are most affected

(for more information on the impact-use of report cards, see sub-section above regarding the report cards)

Reports and contact information:
A short report on this survey is available at: http://www.pacindia.org/rcrc/09copy_of_Millennial%20Survey. Contact pacindia@vsnl.com for further details.

A.1.11 The State of Orissa's Public Services (2002)

Type of Tool*:*
Public Opinion Survey

Coverage*:*
Baleshwar, Bhadrak, Jajpur, Kendrapara, Jagatsinghpur, Sambalpur, Bargarh, Sundargarh, Mayurbhanj and Balangir- **Orissa** (India)

Source*:*
Public Affairs Centre, Bangalore

Funding*:*
Ford Foundation

Purpose*:*
The survey, part of the nation-wide "Millennial Survey" attempts to assess the effectiveness and quality of basic services from the perspective of users of services. It is meant to give another approach to this issue than typical government monitoring, which measures achievement mostly in terms of the inputs rather than of the efficiency of the output.

Methodology and Implementation*:*
The survey covered 105 villages drawn from ten districts in the state of Orissa: Baleshwar, Bhadrak, Jajpur, Kendrapara, Jagatsinghpur, Sambalpur, Bargarh, Sundargarh, Mayurbhanj and Balangir. Responses were collected from 1239 households selected through multi-stage stratified sampling. The rural sample was drawn from 10 districts in the state of Orissa, spread over three geographical regions (Coastal Orissa, Gondwana and Orissa hills). Roughly a third of the sample was from urban areas comprising six towns, spread over 5 districts. Effectiveness of public services was examined on four key aspects: Access, Usage, Reliability and Satisfaction. The survey focused on five basic public services, provided mainly by the Government. Drinking Water, Health, Road Transport, Public Distribution System, and Education & Child Care.

Use and impact:
Feedback from the people who are at the receiving end of public services is used to help fill the information gaps in assessing effectiveness of public expenditure. Citizen feedback can provide early warning signals that could be used by governments to redesign services and make mid-course corrections so as to improve the service outcomes.

Reports and Contact Information:
http://www.pacindia.org/Programmes_Activities/02Research/06The%20State%20of%20Orissas%20Public%20Services

A.1.12 India's Sleaze Sheet (2003)

***Type of Tool*:**

Public Opinion Poll

*Coverage***:**
16 provinces throughout India

*Source***:**
India Today, ORG-MARG

*Funding***:**
India Today

*Purpose***:**
The purpose of this survey was to identify the perception of the general public on corruption, particularly on the expose of sleaze in Indian government. It aims to obtain a national ranking on issues including
- India's most corrupt politician
- India's most corrupt state
- India's most corrupt public service agency.

*Methodology and Implementation***:**
The survey was conducted in 16 major state capitals, while in the cases of Punjab and Haryana, the common capital of Chandigarh was replaced by the biggest cities, respectively, Ludhiana and Faridabad. It included 1,743 respondents. The respondents were asked to rate the three most corrupt states in India. They were then asked to do likewise for the three least corrupt states. They were also asked questions on corruption in the particular state administration and at the Centre. Finally, interviewees were queried on personalities and public service areas considered most conducive to corruption.

Use and impact:
The survey was published in the newsweekly India Today. It received broad secondary media coverage in India, especially as it has subsequently been published about every two years. Thus, it additionally allows tracking changes in the perception of corruption over time.

*Report and Contact Information***:**
An article on the survey can be found at
http://mahendraagarwalonline.20m.com/PR_IndiaSleazeCorruption.htm. The India Today article is available on subscription only at http://www.indiatoday.com/itoday/24111997/sleaze2.html. For more information on the tool contact gprasad@india-today.com.

A.1.13 A National Survey of Corruption in Indonesia (2001)

Type of tool:
National survey on corruption among business enterprises, households and public officials in 14 provinces in Indonesia.

Coverage:
Indonesia

Source:
The survey was commissioned by Partnership for Governance Reform in Indonesia (civil society organisation) and carried out by the independent research market firm INSIGHT.

Funding:
Partnership for Governance Reform

Purpose:
The national survey on corruption, together with 15 research papers on different topics on corruption in Indonesia, is part of an anti-corruption study initiated in October 2000. This study has the goal of providing inputs for productive policy discussion based on broad participation in explicit strategies and concrete action plans.

Methodology and Implementation:
The survey instrument was a semi-structured questionnaire containing a range of questions regarding perceptions of corruption and actual experiences with corruption that were tailored to the different

respondent groups. The questionnaires were administered to three types of respondents – households, business enterprises and public officials in 14 provinces as face-to-face interviews with the respondents in their homes or offices. The survey was conducted by the market research firm Insight.

The total sample size was 2,300 respondents consisting of 650 public officials, 1,250 households and 400 business enterprises. Each category of respondent was selected based on a range of different criteria in order to develop fair representation of the population.

• Household respondents were between 18 to 55 years old representing 14 provinces.
• For business enterprises, the sample was based on companies in seven industry sectors and eight cities.
• The public officials sample was selected from eight regulatory agencies, seven infrastructure departments, and four welfare service agencies for 28 different government units that were considered to have more relevance to the context of the study.

Lastly, there was a peer review of the Papers and a specially formed Select Steering Committee (SSC) reviewed the results of the Survey and participated in three workshops to formulate the policy recommendations and implementation strategy for a national anti-corruption program. The SSC consisted of eight members including three former ministers, one former judge, two lawyers and two businesspersons.

The national survey was completed in March 2001.

Use and impact:
This national survey was the first of its kind in Indonesia and went beyond raising awareness about the corruption issue in the country. It contributed to define the content of a possible reform strategy and facilitated the reform process by conveying key stakeholders around the table.

The report of the survey presents some new observations on peoples' behavior towards corruption; as well as refutes some common misperceptions on the causes of corruption. The report presents in a structured way the full results, such as public sector corruption, corruption in the legal system, public attitudes and corruption, and causes of corruption.

At the same time, the empirical findings formed an objective basis for informed dialogue leading to clear policy recommendations and implementation strategies discussed during three workshops and well presented in the report. The last two parts of the report conclude with a framework for an Anti-Corruption Program and clear proposals, including 17 policy recommendations, clustered around 3 core reform areas, for an Anti-Corruption Program.

Finally, a National Workshop was organised in October 2001 to present those recommendations in terms of anti-corruption plans to the authorities. Since publication of the report, the authorities used some of the recommendations to address the issue in a more effective way.

Reports and contact information:
The full report was published in December 2001 and can be found at
http://www.kemitraan.or.id/data/pdf/Survey2001.pdf.

A.1.14 Public Opinion Poll on Corruption (2002)

Type of tool:
Public opinion survey

Coverage:
Kyrgyzstan

Source:
The Centre for Public Opinion Studies and Forecasts, Kyrgyzstan

Funding:
UNDP

Purpose:
The survey approaches the question of corruption in the country seen by various layers of society. Points of interest to be determined by the survey were:

- o   Main obstacles on the way of effective economic reforms
- o   Sources of corruption and bribe-taking in Kyrgyzstan
- o   Scales of corruption in the country
- o   role of the government bodies in relation to corruption
- o   government bodies in which corruption spreads most of all
- o   Kyrgyz legislation and corruption
- o   Corruption influence on people's consciousness

Special emphasis is put on the question of how perception of and involvement in corruption varies among the different strata of society evaluated.

Methodology:
The investigation covered 2,100 responders among the following groups:

- o   Population: 1,200 responders selected by stratification incidental selection
- o   White-collar workers: 300 in Bishkek City
- o   Law-enforcement workers: 300 in Bishkek City
- o   Businessmen: 300 in Bishkek City

For conduction of the investigation there were developed four questionnaires for each survey group.

Use and impact:
The survey was used as a raising awareness tool, providing a considerable amount of information on the nature and extent of corruption in Kyrgyzstan. A finding of great impact was the fact, that 90% of the responders identified the police as the most corrupt state body.

In addition, the survey was used as advocacy tool, providing with certain ways to fight corruption in Kyrgyzstan. One clear message sent was the emphasis put on the media which should play a big role in to contribute to the fight against corruption, via its investigation role and public sensitization role.

Reports and contact information: The full report is available at
http://www.undp.kg/english/pubs5.phtml?l=0&id=14. For more information contact Alexander Kashkarev, National Program Coordinator, UNDP Kyrgyzstan.

A.1.15 Corruption in Moldova and its Impact on the *[sic]* Society (2000, 2002)

Type of tool:
Opinion survey of businesspersons, households, and NGOs, random stratified sample.

Coverage:
Moldova.

Source:
Transparency International-Moldova.

Funding:
UNDP

Purpose:
The main goal of the survey was to study the population's perception of corruption in Moldova. In addition, it also attempted to measure the extent of the public's understanding of corruption and the acuteness of corruption's affects, on both individuals and society as a whole. The questionnaire's goal was to establish those factors (economic, psychological, social, etc.) that directly or indirectly contribute to the spread of corruption within various activities. It also seeks to understand the affect of measures designed to eradicate corruption.

The objectives fashioned in view of these goals, included:

- o   Emphasise the main problems currently faced by society
- o   Study the causes of corruption and its evolution
- o   Evaluate the level of public tolerance towards corruption

- o Collect information about the population's contacts with public institutions and concrete cases of corruption
- o Determine the level of corruption in the public sector
- o Quantify the total amount of bribes collected within various public institutions
- o Examine the ability of society to cope with corruption
- o Investigate public opinion regarding the most effective ways to reduce corruption.

In addition, the purpose of the tool is to raise awareness and advocate for reform, especially by understanding the effect of measures designed to eradicate corruption. In addition, the surveys tend to analyse the dynamic trends of corruption over time (by comparing results with past editions of the survey) and also by providing a basis for cross-border comparisons with neighbouring countries such as Albania, Bulgaria and Macedonia, where similar surveys have been conducted.

Methodology and implementation:
The research used a standardised sociological questionnaire as a tool for aggregating this data. The surveys were divided to target specific respondents, with one intended for businessmen and another for households and NGOs. Other particulars were as follows:

- o Sample size: 1009 respondents: 404 business people, 401 households and 204 national and local non-governmental organisations;
- o Random, stratified, multi-stage sample;
- o Stratification criteria: 3 geographic areas – North, Centre, and South – residential area (urban-rural), size of the urban (2 types) and rural (3 types) locations;
- o The sample for business people was built using the catalogue of goods and services producers, VARO MOLDOVA, 2002. The statistical step method determined the individuals selected for investigation. Out of the 7,000 interviewed legal entities, 73% are located in Chisinau – 7% are located in the North, 13% in central areas, and 7% in the South;
- o The sample for the non-governmental organisations was designed according to the list offered by the National Centre for NGO Assistance and Information in Moldova, CONTACT. The organisation provided relevant representatives from both national and local levels. Representatives were selected according to a statistical step procedure;
- o The households' sample was designed based on the list of localities in each geographic area. In each locality the households were chosen using a random selection of birth-dates;
- o The duration of the field survey was October 15 – November 7, 2002.
- o The quality of data collection and the accuracy of their recording were verified by the representatives of Transparency International-Moldova.

The sections of the questionnaire were:
- o Data about the respondent
- o Main problems (for business and society)
- o Evolution and causes of corruption
- o Admissibility of corruption (degree of tolerance towards the behaviour of public officials)
- o Dissemination of corruption (perceptions as to the frequency of corruption)
- o Personal experience and contacts with the public service
- o Public procurement
- o Engagement to fight corruption.

In order to maintain continuity in studying corruption phenomena and analysing dynamic trends, the questionnaire repeats a series of questions previously used in L. Carasciuc's "Corruption and Quality of Government: the Case of Moldova". Questions from similar sociological studies conducted in Albania, Bulgaria and Macedonia were included to enable comparative, cross-border analysis. Research questions devised by Dani Kaufmann, a World Bank expert, were also adopted for questions on the relationships of respondents to state institutions.

Use and impact:
Data and information compiled from this survey was used as one half of a report entitled: 'Corruption and Access to Justice'. (Work on Moldova's justice system formed the other half of the report.). The survey was the first one to provide detailed information on corruption at the national level. As such, it is still being used by many stakeholders, including civil society organisations, international organisations like the Council of Europe, the World Bank and the IMF as the main source of quantitative data on corruption in Moldova.

TI Moldova used the results of the surveys to define its priorities of actions such as sensitisation programmes via promotion campaigns designed to diminish the tolerance toward corruption and trainings citizens' of their

rights, as well as advises on ways authorities can address the issue when somebody faces unethical behaviours among public servants.

The poll served also as a key source of findings to identify the sectors such as the police or customs for further sectoral analysis. Following a more detailed diagnostic produced on the customs service, TI Moldova has for instance recently been sued and won the case.

The report also provided a substantive comparison with the results collected using the same survey in 2000, underlying the main changes in the situation since then, offering a tool to track changes over time.

The analysis of the survey results also included some concrete recommendations, which were sent to public authorities and respective ministries. It should be underlined that, two years after the recommendations were made regarding public procurement, the government introduced some amendments to the law.

Reports and contact information:
A full report was published in 2002 and 500 copies were distributed. See:
http://www.transparency.md/Docs/cor_acces_en.pdf for the report online. Contact: office@transparency.md for further information.

Additional Remarks:
A third edition of the survey will be conducted in 2005.

A.1.16 National and provincial level Pakistan Corruption Survey (upcoming, 2005)

Type of tool:
This is an upcoming comprehensive public opinion survey about corruption

Coverage:
Pakistan. The survey is to be conducted in Islamabad, **four provincial capitals (including Punjab)** and some districts in each of the four provinces.

Source:
National Accountability Bureau, the central Anti-Corruption agency of Pakistan

Funding:
Government of Pakistan

Purpose:
The main objectives of the survey are to get the baseline data for measuring the effectiveness of NAB/NACS and other anti corruption/governance initiatives in subsequent years; to gauge people's perception about different aspects of corruption; to gauge the causes, extent, and impact of corruption in Pakistan; and to assess the social attitude towards corruption.

Methodology and implementation:
Not available as tool not published yet.

Reports and contact information:
The tender note with further details is at http://www.nab.gov.pk/Tenders/tender_notice.htm. When completed, survey results will be available on the NAB website at http://www.nab.gov.pk

A.1.17 Corruption as seen by the private sector (1999)

Type of Tool:
Opinion Survey of the private sector

Coverage:
Tajikistan (Dushanbe, Hujand, Kurgan-Tyube, Kulyab, Isfara)

Source:
Tokhir Mirzoev, Central European University, Hungary

Funding:
Open Society Institute, Budapest, Hungary

Purpose:
Besides the general attempt of understanding the problem of corruption in Tajikistan, the survey attempts to:

- o   Identify the relative importance of various factors impeding private sector development and general efficiency of the government in helping households and businesses
- o   Learn about the relative corruptness of various sectors and/or areas of government's involvement
- o   Study forms (and their relative importance) that corrupt behaviour takes in general and specific patterns of corrupt behaviour in the 4 chosen sectors
- o   Understand the relative significance of various causes of corrupt behaviour
- o   Outline program ideas on how to better approach combating corruption in Tajikistan

Methodology and Implementation:
The project was carried out in 1999 by Tokhir Mirzoev of Central European University. 201 business companies and 521 households were surveyed. Most companies surveyed are in the service sector (82%), with 14.4% involved in manufacturing and only 3.5% representing agriculture.

The majority of the respondents are young, small and privately owned companies, since they are the ones most exposed to active interactions with the central and local government. The main criteria for choosing the sample of households were relative population sizes in and within the different regions. There were two questionnaires designed to ask about general relations between the government and the private sector and on corruption in the four sectors - tax and custom authorities (questionnaire for businesses), health and education (questionnaire for households).

Use and impact:
The survey concludes that a systematic long-term combat of corruption in Tajikistan is hindered by specific cultural features that make patterns of corrupted behaviour hard to overcome as well as by the limited financial and technical resources of the government of Tajikistan. In this respect, the survey is used to call for broad assistance from the international community.

The survey was the first empirical research on corruption in Tajikistan. The results were published in the local media in hopes of stirring public opinion on the issue and developing useful recommendations on future anticorruption programs for local governments and development agencies such as the World Bank and UNDP. The survey concluded that a systematic long-term combat of corruption in Tajikistan was hindered by specific cultural features that make patterns of corrupted behaviour hard to overcome as well as by the limited financial and technical resources of the government of Tajikistan.

Reports and contact information: The report is available online at
apollo.econ.ohio state.edu/mirzoev/paper51.pdf. For further information contact mirzoev.1@osu.edu.

A.1.18 Combating Corruption at the Grassroots: The Thailand Experience (1999-2000)

Type of Tool:
Opinion and Experience survey

Coverage:
Ubon Ratchathani, Songkhla, Phitsanulok, Chiang Mai, Buriram Provinces/ Thailand

Source:
National Democratic Institute for International Affairs (NDI)

Funding:
National Endowment for Democracy (NED)

Purpose:
Measure the impact of anti-corruption activities and identify the most successful tactics

Methodology and Implementation:

One to two NDI representatives from each of the provinces evaluated were asked to rate their province's performance in combating corruption for four sets of indicators: Village Forums (8 indicators), Education Programs (8), Candidate Monitoring (4), Candidate Debates (2). The Indicators were previously discussed by the participants. Measurement was taken before and after debate to indicate changes in attitude. Each provincial partner completed a final evaluation report.

Use and impact:
The survey was used during a self-evaluation process of the combat of corruption in Thailand. It enabled comparison of the different provinces, so that the different regions could learn from the respective experiences and acquire an overall view of the corruption fighting program NDI was undertaking. A final evaluation meeting was conducted in 2000.

Contact and Report Information:
www.ndi.org; For information on the report and NDI's work in Thailand contact Laura Thornton, laurat@singnet.com.sg or laurat@ndi.org.

A.1.19 Public Perception on Thai Government's Curbing Corruption (1999)

Type of Tool:
Public Opinion Survey

Coverage:
32 provinces of Thailand

Source:
TI Thailand

Funding: TI Thailand

Purpose:
The survey is to inquire how people perceive the government in handling corruption problems/issues

Methodology and Implementation:
The sample included 2,898 people drawn from 32 provinces between 5 and 24 April 1999. The sample consisted of people between 20 and 39 years of age who were employed by various private organizations, government organizations and public enterprises

Use and impact:
TI Thailand used the survey to raise awareness about the corruption issue in the country. The results were published widely in the local media. It was also a tool used by TI Thailand to identify its priorities of action and organise more sensitisation programmes.

Contact and Report Information: www.transparency-thailand.org

A.1.20 „The Unusually Rich": Corruption and Unusual Wealth in Thai Society (2001)

Type of Tool:
Public Opinion Survey

Coverage:
Thailand

Source:
TI Thailand

Funding: TI Thailan

Purpose:
The occurrence of corruption and unusual wealth obtained by bribes or kickbacks are still perceived as common place in Thai society, little has been done to find remedies. The survey wants to further explore the public's opinion on the matter.

- o How does the population feel about the unusually rich? Is their existence perceived as harm to society and to what extent?
- o What do the people believe to be the source of unusual wealth; to what extent do they think corruption is to be blamed?
- o By finding out how people feel about the use of recovered assets and possible penalties on corruption, to determine how severe a crime corruption is perceived to be.

Methodology and Implementation:
The survey, conducted between May and September 2001, included 2,000 respondents throughout the country from prime business areas, semi-business/semi-residential areas and residential only areas.

Use and impact:
The study has elicited a number of rather surprising and varied responses from average Thai citizens. Many people still have the misconception that some corruption may lead to a better economy. To address this problem, a public forum was held in December 2001 on the "Unusually Rich".

Report and Contact Information:
Dr. Juree Vichit-Vadakarn, Centre for Philanthropy and Civil Society, National Institute of Development Administration (NIDA) on Telephone: 0-2377-7206, 0-2378-1284; www.transparency-thailand.com

A.2. Public sector diagnostics

A.2.1 Fact-Finding Survey on Good Governance in Public Institutions in Bangladesh (2001, 2002)

Type of tool:
Fact-Finding Exercise (FFE) – research and diagnostic tool used to examine in detail the activities, performance and weaknesses of an institution or organisation.

Coverage:
Bangladesh

Source:
TI Bangladesh (TIB) with the collaboration of the Bangladesh's Anti-Corruption Bureau, the Office of the Comptroller and Auditor General and the Public Accounts Committee.

Funding:
USAID, USD 3,500

Purpose:
The main objectives of the project were to:

- o Analyse the evolution of an institution to its present form
- o Examine the existing legal framework of a public institution
- o Analyse the institution's structure
- o Review the way in which it functions
- o Ascertain its efficiency, or lack thereof
- o Assess the performance of officials of the organisation
- o Analyse the role of the institution in tackling corruption
- o Raise awareness among officials and the public at large
- o Exert pressure on the government to undertake reform and make necessary changes
- o Enable TIB to play an effective role in curbing corruption and in improving accountability and transparency in the delivery of public services.

Methodology and implementation:
TI Bangladesh undertook FFE on three of the country's most important watchdog agencies:

- o Bangladeshi Anti-Corruption Bureau (published in 2001)
- o Office of the Comptroller and Auditor General (published in 2002)
- o Public Accounts Committee (published in 2002).

The FFE is a combination of surveys of public officials and document analysis.

The work started in 2000 and followed the stages below:

- o Preparation of a concept note, listing the basic purpose of each institution selected for the project, its structure, background and constraints
- o Identification of a list of facilitators both within and outside the organisation (either officials working in the institution or individual with a specific knowledge on it)
- o Review of literature about the institution as well as news-clippings to prepare and complement the survey
- o Survey with public officials from each institution
- o Production of the report
- o Publication and dissemination of the report.

The study period of a fact finding exercise lasts about six to ten months.

Use and impact:
These FFE reports, which were the first of this sort in the country, have been above all an advocacy tool and distributed to relevant government officials, policy-makers, civil society and media. TI Bangladesh seized the opportunity of these publications to present working papers for each of the institution under review.

The first FFE report published on the Anti-Corruption Bureau, was used as an advocacy tool demanding setting up of an Independent Anti-Corruption Commission (IACC) replacing the Bureau. From the reception by the media and other groups it became apparent that making use of critical analysis via a FFE was efficient to stimulate the debate. TI Bangladesh also used those reports to organise discussions on the proposed IACC and prepared, together with experts, a draft bill for an IACC. To a considerable extent thanks to the FFE and subsequent advocacy work together with like-minded civil society organizations, the Government has finally set up the Anti-Corruption Commission (ACC) at the same time closing down the BAC. TI Bangladesh is now exploring possibilities of providing technical and other support to the ACC. Indicators will also be developed to monitor the activities of the three organisations for further analysis.

Reports and contact information:
The reports are available at: http://www.ti-bangladesh.org/research/FFE.htm

Additional remarks:
TI Bangladesh is working on developing indicators to monitor the activities of the three organisations for further analysis.

A.2.2 Bangladesh: The Experience and Perception of Public Officials (2000)

Type of tool:
Opinion survey, selected public sector officials.

Coverage:
Bangladesh.

Source:
The World Bank and the Netherlands' Ministry of Foreign Affairs' Bank-Netherlands Partnership Program (BNPP).

Funding:
The BNPP.

Purpose:
The main objectives of the survey were to:

- o Compare organisations within the public sector
- o Identify points of institutional weakness that should be immediate targets for reform
- o Obtain a better understanding of where and why formal rules are not applied, and
- o Analyse what informal incentives constitute working reality for officials.

Methodology and implementation:
The survey was conducted in Bengali. It was administered between July and December 1999. The survey questionnaire was designed for administration to Class I, i.e. 'higher category' civil servants only from ministries (departments and directorates) and from statutory bodies. However, during the survey, the sample was extended to include district level officials and some officials not belonging to Class I.

The survey questionnaire contained 100 questions and was divided into seven sections covering the following areas: profile of respondents; experience; perception of personnel management practices; decision-making; rewards and discipline; sources of income; the budget environment; and procurement.

The sample size was 821. At the national level, the sample of 397 respondents was drawn from ministries and autonomous bodies. At the sub-national level, the sample of 424 was drawn from district-level officials in general administration, i.e. magistracy, development officials and staff; and from officials of line ministries posted at the district and sub district level. The survey managers reported that the agency sampling was based on ease of access and a balance between perceived good and bad performers. Within departments and service providing agencies, officials were mostly selected on a random basis.

Use and impact:
This survey was one of the preparatory exercises leading up to the World Bank's Institutional and Governance Review (IGR) of Bangladesh. The survey enabled a series of commonly held assertions about the civil service in Bangladesh to be empirically tested. This 'common knowledge' included assertions about patronage, interest groups, and excessively centralised and hierarchical management arrangements.

This survey highlighted the significance of cross-cutting reforms that focus on merit-based recruitment and reduced political interference but also emphasised some specific reforms such as improving erratic budget management arrangements and improving the predictability of resource flows.

Reports and contact information:
A detailed report of this survey is available at:
http://www1.worldbank.org/publicsector/civilservice/countries/bangladesh/bangladesh1113.pdf

A.2.3 Social Audit of Governance and Delivery of Public Services (2001/ 2002)

Type of tool:
A CIET (Community Information Empowerment and Training) social audit comprising: a household questionnaire, a community profile questionnaire, key informant interview schedules with service providers, key informant interview schedules with union councilors, and focus group guides.

This is not a corruption measurement survey as such, but examines the public's experience in dealing with different public services and government bodies. In most cases the replies are presented per province – allowing for comparisons.

Coverage:
Pakistan, district coverage. Districts in the 2001 pilot:

- o Sindh
- o Karachi West
- o Thatta
- o Balochistan
- o Jhal Magsi
- o Kalat
- o NWFP
- o Kohat
- o Mardan
- o Punjab
- o Jhelum
- o Mianwali
- o Narowal
- o Rawalpindi

The 2002 survey was expanded to cover 89 districts.
*Rest of Karachi was included

*Two districts in Balochistan were subdivided after the data collection.

Source:
CIET (commissioned by the National Reconstruction Bureau).

Funding:
UNDP, UNESCO, CIDA.

Purpose:
The overall aims of the CIDA funded Democratic Governance Programme, of which the CIET social audit is one element, are:

- o   Improved local governance policies and policy implementation
- o   More effective local democratic institutions and practices
- o   More effective participation of women in local governance, and
- o   More effective citizens' voice in setting local priorities and delivering social services and access to justice.

The aims of a social audit include:

- o   To provide policy makers with feedback on devolution from citizens;
- o   To provide policy makers with information about the on-the-ground situation across the provinces;
- o   To help district governments to make best use of their new powers and authorities to plan and implement services tailored to the needs of their local populations; and
- o   To provide a means for citizens to participate in an informed way in decisions that affect their lives.

The survey sought to ascertain overall (dis)satisfaction with public service delivery. More specifically it gathered information on: roads and transport, sewage and sanitation, garbage disposal, gas supply, electricity supply, health services, education, water supply, police, courts, local government, citizen community boards,

Methodology and implementation:
The Social audit methodology, developed by CIET, was adapted to the context of the Pakistan devolution.

In 2001, UNESCO provided funding for an initial ten district pilot social audit in order to establish the feasibility of the process and to establish a basis for extending the social audit to the whole country as well as to undertake detailed work to establish the social audit process at district and sub-district levels in one focus district.

In addition to the 57,321 household (433,107 people) interviewed in 2002, information was also collected from service providers: 751 school principals and 310 heads of government health facilities, and from 757 union *nazims*, *naib nazims* and councilors. The field teams constructed a basic community profile for each sample community. Preliminary findings from each district were taken back and discussed in gender stratified focus groups in the survey sites, a total of 373 male and 364 female focus groups. Some 14% of households in the survey were categorized as 'very vulnerable' based on house construction, room occupancy and occupation of the main breadwinner. About half the household respondents were women.

Within each district, representative communities were selected by a two-stage stratified random sampling process. The sampling frame in each district was the official list of union councils within the district, stratified into rural and urban types, according to official definitions, according to the urban and rural population proportions in the 1998 census. For the ten districts in the 2001 pilot, six union councils were randomly selected per district.

For the remaining districts included in the 2002 survey, a minimum of four union councils was randomly selected per district.

A social audit cycle consists of the following processes:

- o   Clarify the strategic focus
- o   Design instruments, pilot test
- o   Collect information from households on use and perceptions of public services
- o   Link this with information from the public services
- o   Analyse the findings in a way that points to action

- o Take findings back to the communities for their views about how to improve the situation
- o Bring evidence and community voice into discussions between service providers, planners and community representatives to plan and implement changes.

Use and impact:
First, at the national policy level, a social audit provides a *citizen feedback channel.* It provides policy makers with a means of tracking the views of citizens about public services, and their use and satisfaction with available services.

Second, at provincial level, the social audit provides policy makers with information about the on-the-ground situation across the province.

Third, the social audit, especially once established at district level, is intended to help district governments to make best use of their new powers and authorities to plan and implement services tailored to the needs of their local populations.

Finally, the social audit at district level and below provides a means of giving form to the intention under the devolution initiative of empowering citizens to participate in an informed way on decisions that affect their lives, and encouraging them to engage in local democratic processes.

The survey found overwhelmingly that:

- o 'Very vulnerable' households were acutely disadvantaged
- o Women were excluded from citizen engagement.

Reports and contact information:
For more information CIET Social Audits see http://www.ciet.org. A report which combines data from the pilot study in 2001 and from the survey in 2002 is available at:
http://www.balochistan.org.pk/pdf/Pak2002baseline.pdf

Additional Remarks:
The 87 district survey undertaken in 2002 (results published October 2003) and the survey in 10 districts in 2001, together provide a full national baseline of the situation at the beginning of devolved local government. This can be used as the basis for tracking over time changes to public perceptions about delivery of public services delivery and local governance. Annual surveys are planned for the next five years. CIET claim that technology transfer during this time should help to institutionalise the social audit methodology in Pakistan.

A.3.   Sectoral surveys

A.3.1 Parliamentary Elections and Vote Buying in Armenia (2003)

Type of tool:
Public Opinion Survey

Coverage:
Yerevan, Armenia

Source:
Center for Regional Development/TI Armenia

Funding:
Center for Regional Development/TI Armenia (implemented voluntarily through in-house staff resources)

Purpose:
The aim of the survey was to establish people's perceptions on vote buying, their attitude towards that phenomenon, and the type and "price" of the bribe for vote buying during the parliamentary elections.

Methodology and Implementation:

The survey was conducted in almost all the communities of Yerevan city. The database of ArmenTel was used for the preparing the sample: every 10th telephone number was randomly selected from the telephone list. 650 citizens participated in the phone survey.

Use and impact:
The results are summarised as information leaflets and used as part of public awareness raising campaign. The survey was also tied to and conducted simultaneously with TI Armenia's project entitled "Monitoring of the Party Campaign Finances during the Parliamentary Elections 2003", thus complementing the project.

The tool provided empirical data on political corruption, which TI Armenia has been using to advocate for change and promote key recommendations in this area.

Reports and contact information:
http://www.transparency.am/Website/Activities/vote-buying-Eng.pdf

A.3.2 Report Cards Survey on Primary Education (2001)

Type of tool:
Opinion survey, selected sample of the general population.
Coverage:
Bangladesh.

Source:
Transparency International-Bangladesh (TIB).

Funding:
ActionAid Bangladesh (US $2000)

Purpose:
The general objective of the survey was to measure the overall affect of the shortage of textbooks on Bangladeshi education and, in particular, the extent and nature of the losses incurred by students and guardians of secondary schools.

The specific objectives of the survey have been to generate student's feedback on:
- Availability of books
- Quality of printing of books
- Quality of binding of books
- Prices of books
- Errors in books
- Financial losses
- Academic losses

Methodology and implementation:
The survey was conducted through a random sampling of 636 students between classes six to nine and 53 headmasters of high schools in 27 thanas under 21 districts of the country. The sampling error of this survey was less than 4 % at a 95 % confidence level. TIB conducted this Report Card Survey during the months of February and March 2001.

Use and impact:
The Report card measured the impact that a shortage of NCTB books (educational textbooks) had on the primary education sector in the country. It was widely thought that this shortage was brought about by corruption. Report Cards have been found to be as a very useful tool to measure the public's satisfaction with the level of service and concerns about corruption. They also indicate the scope and areas that require intervention in order to improve service delivery a well as reducing corruption. As a regular activity engaging local level Committees of Concerned Citizens (CCCs) under its project titled "Making Waves", TIB has continued to produce report cards on various institutions such as education, health, local government, land administration.

Reports and contact information:

The executive summary of this survey is to be found at: http://www.ti-bangladesh.org/cgi-bin/cgiwrap/Wtiban/tibdocs-view.cgi?../TIB-docs/Recent_documents/989240998__english_version_of_nctb1.doc:none

A.3.3. Corruption in the Higher Education System of Georgia (2003)

Type of tool:
Report combining both qualitative and quantitative research

Coverage:
Georgia

Source:
The author of the research is Ketevan Rostiashvili. The research project was conducted within the framework of the Georgia Office of the American University'sTransnational Crime and Corruption Center (TraCCC)'s grant programme.

Funding:
Financial support was provided by the Bureau of International Narcotics and Law Enforcement Affairs of the U.S. Department of State, in coordination with the Office of Overseas Prosecutorial Development Assistance and Training (DOJ/OPDAT) of the U.S. Department of Justice; as well as the Starr Foundation, IREX.

Purpose:
The report analyzes the level of corruption within the higher education system of Georgia. It examines the main reasons for the existence of corruption and the variables influencing it.

Methodology and implementation:
The report uses a wide range of sources, such as international, national governmental and non-governmental resources and documents. In terms of the quantitative, diagnostic part of the survey, the researcher analyses the results of sixty in-depth interviews with 30 local experts, 15 students and 15 parents. The respondents were given two main sets of issues for discussion. The first set dealt with corruption in Georgia in general, while the second addressed issues directly connected with corruption in the higher education system. Each set also contained a subset of questions. Altogether, the study consisted of 93 issues: 25 issues were discussed with the experts, 34 issues with the parents and 34 issues with the students.

Use and impact:
The research recommends and discusses possible ways of eliminating corruption within the system, and generates a set of specific recommendations. These recommendations were discussed by the Georgian Parliament and influenced the adoption of a new education law in 2004, which was designed to stem corruption in the Georgian education system.
A conference on the survey was to be held by TraCCC Georgia and the Ministry of Education in the same year, but had to be postponed for heavy protests against the new law by students and minorities.
The conference is now scheduled for April 2005.

Reports and contact information:
The report is available at http://www.traccc.cdn.ge/publications/index.html.
The contact email of the author, Ketevan Rostiashvili, is: ketyrostiashvili@hotmail.com

A.3.4. Corruption in the Road Police of Chisinau Municipality (2004)

Type of tool:
Sociological study of minibus drivers

Coverage:
Moldova, Municipality of Chisinau

Source:
TI Moldova

Funding:
Novib (Oxfam, Netherlands)

Purpose:
Based on previous research conducted by TI Moldova, corruption in local public administration was identified as one main issue of concerns by the entire society. The main goal of the study is to assess the corruption in municipal road police and to set the consequences of corruption phenomenon in the public transport activity of Chisinau municipality.

The main objectives of the study are:
  o To determine the frequency of contacts between minibus drivers and representatives of municipal road police, the Department of Public transport and Communication Ways of Chisinau Municipality Mayoralty, as well the Inspectorate of Goods and Passengers Transportation;
  o To emphasize the main reasons for which the drivers of maxi taxi (minibuses) are usually stopped and the way they are treated by state's representatives;
  o To set the amount of fines and unofficial payments paid by drivers and to estimate their weight in total expenditures;
  o To elucidate the corruption cases in municipal road police;
  o To identify measures of fighting against corruption in the given area.

Methodology and implementation:
The study has been carried out by TI Moldova. According to the data of the Department of Public Transport and Communication Ways, 1800 minibuses were registered in the municipality of Chinisau at the beginning of 2004, which ensured passenger transportation on 68 routes. In order to emphasize the problems faced by the minibus drivers and assess corruption in the public transport of the town, a sample group of 210 minibus drivers or 11,7% of their total number that have daily routes on 42% of those 68 routes, was designed.

In order to reflect in the study the opinions of drivers from a larger number of routes that would cover the entire Chisinau municipality, interview operators went to the terminus stations in all sectors of the capital, and selected the respondents randomly. The interviews with individual drivers were made at their working places (minibuses), with an anonymous questionnaire. They were assured complete anonymity from the very beginning.

Taking into account the fact that a number of questions can be put only to the owners of minibuses, the questionnaire included two parts: first one with questions addressed to drivers, and the second one just for owners of minibuses. The questionnaire was designed by TI Moldova.

The field research was made by the network of researchers of the Urban and Rural Sociology Centre (URSC) between 28 January – 5 February 2004.

Use and impact:
The report was published in the form of a small booklet in December 2004. It presents the main results of the study such as the frequency of contacts between the minibus drivers and the representatives of the control bodies, the reasons behind those interactions, how often were unofficial payments requested and the overall estimated amount and the trends.

In order to improve the awareness about corruption in this sector, as well as the results of a recent study published on Access to Information and Corporate governance, TI Moldova is starting a series of training and workshops with CSO, public officials and representatives from the private sector in different regions from Moldova. TI Moldova also developed a partnership with the Academy of public administration in order to provide public officials with specific training modules on ethics for instance.

Reports and contact information:
A booklet containing the report is available at www.transparency.md

A.4.   Press monitoring

A.4.1. News Scan Corruption Database (2000, 2001, 2002, 2003, 2004)

Type of tool:
Newspaper survey (report presenting news analysis about corruption for a period of 6 months to 1 year).

Coverage:

Bangladesh

Source:
TI Bangladesh (TIB)

Funding:
US $5,000 per year (since 2003 as a component of the Making Waves project funded by DFID, DANIDA, SIDA and NORAD).

Purpose:
The main purpose of this research is to analyse the news about corruption given by newspapers.
Other aims include:
- o Adding value to news about corruption published in papers, from the point of view of the research
- o Analysing the news about corruption to isolate information about the sector it involves, the people who are involved (high or low rank officials), how the corruption is happening, which area it is occurring in, i.e., the geographical area, etc.
- o Creating awareness against corruption
- o Determining the cost/losses due to such corruption
- o Analysing the steps taken against the corruption, and
- o Validating objectivity in treatment of corruption

Methodology and implementation:
Between July and December 2003, for instance, the study made of 23 dailies showed a total of 1046 reports about corruption, which mention a total of 1115 incidents of corruption. These reports mentioned a total of 1115 incidents of corruption.

Of the news used in the research, only 15% was selected for appraisal of objectivity. Three different types of questionnaires were used for this verification.TIB approached three different types of population (respondents) with these questionnaires, such as reporters, the concerned office, and the district anti-corruption office.

Use and impact:
The publication and dissemination of the report each year receives a lot of national **media coverage** as it creates very precise, up to date statistics regarding the institutions reported to be most affected by corruption, the amount of corruption cases covered and the total cost of corruption, the persons involved, the mechanisms of corrupt behaviour, the distribution of corruption according to geographic areas, and the steps taken to counter corruption. All of the above are based on sourcing in the news.

In parallel to media attention, the report generally elicits some strong reactions from the ministers reported to be the most affected. Indeed, the report provides interesting figures about the number of reports of corruption per sector (out of 47 sectors in total) and the sectors most and the least affected by corruption.

The data gathered enable TIB to **advocate for reforms.** TIB concludes the report with concrete recommendations addressed to the authorities.

Following the release of the corruption data base report in 2003 for instance, the Ministry of Local Government, Village Development and Cooperative (identified as the second-most affected by corruption in that year's report) created a committee within the ministry to counter corruption. The committee requested from TIB a set of news items on which the research was based. In 2004, there was meeting of the committee in the Ministry of Local Government to discuss the reports, and some steps were taken to tackle corruption, including the creation of a monitoring cell in each of the directorates of the ministry.
Repeating the exercise each year enables **comparisons over time**. An analysis of trends in terms of the extent of corruption per sector, the geographic distribution of corruption and financial losses due to corruption are included in the report each year.

The Along with other TI-B tools, evidence from the news scan analysis was used in a report entitled: 'Governance, Structural Adjustment & The State Of Corruption In Bangladesh', available at: http://www.ti-bangladesh.org/olddocs/muzaffer/muzaffer.htm.

In the report, it is suggested that the news scan analysis shows that financial sector reform, taxation administration reform and decentralisation are yet to have any positive impact in Bangladesh.

Reports and contact information:
The reports are available under: http://www.ti-bangladesh.org/cgi-bin/cgiwrap/Wtiban/tibdocs-vodocs.cgi?category=Newsscan_database

Additional remarks:
This exercise is part of the TIB work plan and at least one report on the project has been published every year since 2000.

B. Multi country tools

B.1 Opinion Surveys

B.1.1 Citizen Feedback Surveys (2002)

Type of tool:
Opinion survey, random sample of the general population using the same methodology and questionnaire in each country.

Coverage:
Bangladesh, India, Nepal, Pakistan, Sri Lanka.

Source:
Transparency International (Secretariat)

Funding:
USAID.

Purpose:
As the first regional survey of its kind in South Asia, it aimed to:
- o Measure the extent, spread and intensity of corruption in seven key sectors from a user's perspective
- o Enable comparisons between the same sectors for different countries within the region
- o Highlight patronage networks and patterns of corrupt practices
- o Quantify the phenomenon of corruption, and
- o Provide useful benchmarks to measure progress and track changes over time.

Methodology and implementation:
The regional survey was originally to be carried out on a sample size of 3,000 households evenly distributed in rural and urban areas and administrative areas in each of the selected countries. Later, however, it was recognised that India should have a larger sample size.

Pre-testing with a sample questionnaire was done in two different locations (urban and rural) in each country. Following the initial testing, the questionnaire was modified accordingly. Quality control was also carried out by back-checking the data.

Conceptualisation, definitions and information to be collected were determined through consultation with all of the TI South Asian chapters. A comprehensive and structured interview schedule was developed. The data collection period was four months. The first two sections of the questionnaire served to collect information on the identification and socio-economic status of the sample households. The third section covered the frequency of their interaction with selected sectors and the opinions of respondents as to which sectors were most corrupt. Section four covered the sectors most used by the respondent, with respondents detailing their own experiences with corruption and providing recommendations on different sectors. For each sector, the following issues were covered in the questionnaire:

- (i) Interaction and process of interaction of the sectors;
- (ii) Types of corruption;
- (iii) Actors who may or may not have participated in corrupt practices;
- (iv) Irregular costs due to corruption;
- (v) Nature of interaction;
- (vi) Causal factors leading to corruption in service delivery.

The seven sectors considered were: education, health, power, land, administration, tax, police, and the judiciary.

Use and impact:
Experiences from various countries increasingly point to the growing potency of citizen feedback surveys as highly effective 'voice' mechanisms in themselves. In addition to being a great raising awareness tool at the national level, the multi country framework provided strong international coverage and also interesting regional findings and comparisons.

The police emerge as the most corrupt in all five countries surveyed. The judiciary was identified as the second most corrupt area in all countries except Pakistan, where land administration and the tax authorities were identified as the second and third most corrupt areas respectively. Land administration figures prominently in the list of the most corrupt sectors in four out of the five countries.

Reports and contact information:
A report on the survey is available at:
http://www.transparency.org/pressreleases_archive/2002/dnld/south_asia_report.pdf

Transparency International has also published a press release about the survey:
http://www.transparency.org/pressreleases_archive/2002/2002.12.17.south_asia_survey.html

B.1.2 Corruption in the countries of Central Asia and the Ural-Siberian Region of Russia

Type of Tool:
Focus groups, survey of selected public officials, citizens and business people

Coverage:
Ural-Siberian Region of Russia, Kazakhstan, **Kyrgyzstan**, and **Tajikistan**

Source:
The Centre for Public Opinion Study and Forecast, Kyrgyzstan

Funding:
UNDP

Purpose:
This multi-country study aims to determine the perception of corruption prevailing in the respective countries regarding the following areas:
- Social view of corruption
- Scope of corruption
- Reasons for corruption
- Forms of corruption
- Public authorities and corruption
- Corruption Legislation
- Influence of corruption on consciousness of people
- Possible eradication of corruption

In this regard, it identifies differences in the perception of corruption between population and public officials as well as between the different countries in the study.

Methodology and Implementation:
The partners in each country were assigned the task of field survey and data collection. All countries used the same methodology of research, including uniform instruments and identical parameters of sampling. Such approach enabled data to be collected that was representative of the whole set of similar phenomena in the countries and made it possible to conduct efficient comparison between the countries. Both quantitative and qualitative methods have been used.

The respondents represented different sectors and different social and professional groups that most often encounter the facts of corruption and in that respect became experts. 4 main groups were identified:
- State employees
- Members of national parliaments (deputies)
- Businessmen and
- Representatives of the population.

State employees and deputies were questioned based on methodology of quantitative research, for businessmen and the general population the focus group discussion was applied. In total, 600 respondents

were covered by the research. Each country was represented by an equal share of respondents (150). 528 (132 per country) of the surveyed were "state employees and deputies", 72 people (18 per country) represented business and population.

Use and impact:
The research was used by local stakeholders to raise awareness about the phenomenon of corruption and to promote dissemination of information which could help to identify corruption and initiate complex and targeted activities of fighting corruption in the countries.

Reports and Contact Information: The report is available at the UN Library in Kyrgyzstan or online at www.transparency.org.ru/CENTER/DOC/book05_eng.doc.

B.1.3 Criminal Victimisation in Seventeen Industrialised Countries (1992, 1996, 2000)

Type of tool:
Opinion survey, national households, random sample.

Coverage:
See: http://www.ministerievanjustitie.nl:8080/b_organ/wodc/publications/14-icvs-app1.pdf for detailed explanation of the coverage.

In Asia, the cities covered were: Jakarta (**Indonesia**), Seoul (South Korea), Bombay (**India**), Ulaan Baatar (Mongolia), Beijing (**China**), Port Moresby (Papua New Guinea), Manila (The Philippines). Note that not all were covered each year. There was also a small rural sample taken in some of the countries.

Source:
Ministry of Justice, Netherlands' Government (WODC).

Funding:
Ministry of Justice, Netherlands' Government

Purpose:
The ICVS was set up to serve three main aims:

- o To provide an alternative to police information on levels of crime. Offences recorded by the police are problematic for comparing crime in different countries.
- o To harness crime survey methodology for comparative purposes.
- o To extend information on whom is most affected by crime.

Methodology and implementation:
In each country, a regional spread, random sample of households was taken. Within each household, one randomly selected respondent aged 16 or over was questioned.

The ICVS uses a fully standardised questionnaire, as well as carefully controlled data management and analysis procedures.

By collecting social and demographic information on respondents who take part, the ICVS also aims to assess how crime risks vary for different groups, in terms of age, income levels and so on. Police statistics, generally speaking, provide little in the way of documenting the characteristics of victims.

Respondents were asked about eleven main forms of victimisation. All those who said they had been victimised over the five-year period were asked a number of follow-up questions about what happened – whether the police were notified for instance.

Use and impact:
The ICVS has two main features. First, it is an instrument for monitoring crime and perceptions of crime and criminal justice across the world in a standardised way, independently of information from official sources.

The second main feature of the ICVS is that it provides a wealth of data for researchers interested in the patterns, contours and effects of victimisation in both the developed countries and the rest of the world – which had previously gained less attention.

Since the ICVS has been repeated over time, it has been possible to compare information in trends in crime in different countries. However, results for Asia are yet to be disseminated.

Reports and contact information:
See http://www.ministerievanjustitie.nl:8080/B_organ/wodc/ci-organisation/infodesk.htm for more information.

Additional Remarks:
Respondents were asked about their experiences of 'street level' corruption in the 1996 and 2000 sweeps. This placed the experience of those in industrialised countries alongside countries elsewhere, where corruption at street level is a greater problem. (For consumer fraud and corruption, respondents were simply asked about their experiences in the last year; they were not asked how often it occurred.)

B.2 Public Sector Diagnostic

B.2.1 Public Integrity Index (2003)

Type of Tool:
Multicountry survey of social scientists and journalists, peer review panels

Coverage:
India, Indonesia

Source:
The Center for Public Integrity, Washington

Funding:
General funding of the center

Purpose:
The Public Integrity Index's purpose is to measure the opposite of corruption rather than the hidden practice of corruption itself. Thus, it focuses on the quality of deterrents to corruption—institutions and practices that discourage and prevent corruption and abuse of office by public officials.

The Public Integrity Index was constructed to measure three things:

1. The **existence** of public integrity mechanisms, including laws and institutions, that promote public accountability and limit corruption
2. The **effectiveness** of these mechanisms
3. The **access** that citizens have to public information to hold their government accountable

Methodology and Implementation:
The most qualified social scientists in each country on governance and corruption issues were identified, notified, and sent a contract with specific instructions on the scope of the consultancy involved. In each country, the project used teams of at least five researchers, working independently. A country team typically consisted of:

- o A lead social scientist
- o An investigative journalist
- o Five country readers forming a peer review panel

The Integrity Indicators that make up the Public Integrity Index are scored directly by the lead social scientist. The Integrity Indicators are divided into six main governance categories and 21 sub-categories. Further consultations were used on the final set of indicators that went into the field with the aim of retaining the distinctiveness and avoiding conceptual conflation at the sub-category level.

Since an expert assessment approach of a single social scientist in the field was used to compile the Integrity Indicators, feedback on the index was obtained through a peer review panel.

Use and impact:
This Index generates sound and comprehensive information about the anti-corruption environment of the country and can serve as a roadmap to navigate more in-depth information in the centre's country reports.

In addition to providing a potential tool to track changes overtime on public institutions at the country level, the multi-country approach ensures stronger international visibility and increases the advocacy power of the tool.

Reports and Contact Information:
For results on India see the report online at http://www.publicintegrity.org/docs/ga/2004India.pdf. The country report on Indonesia is available at http://www.publicintegrity.org/docs/ga/2004Indonesia.pdf. For information on the global project and methodology see http://www.publicintegrity.org/ga/default.aspx.

B.3   Private Sector Environment Surveys

B.3.1 Business Competitiveness Environment in Bangladesh (2001, 2002, 2003, 2004)

Type of tool:
Opinion survey with executives in the private sector, selected sample.

Coverage:
Bangladesh

Source:
Centre for Policy Dialogue (CPD)

Funding:
World Economic Forum

Purpose:
The Executive Opinion Survey carried out by the CPD is informed by four main objectives:

o   To elicit information on the competitiveness environment of the country to identify the major bottlenecks and impediments which constrain the proper functioning of the business sector
o   To generate information on positive achievements in terms of the trends in the economy with respect to the competitive environment for trade and investment
o   To understand inter-temporal change in competitiveness environment as opined by the executives of the companies based on the Global Competitiveness Report (GCR) 2004-05 and GCR 2003-04
o   To provide inputs for policymakers and stakeholders in their efforts to prioritise the areas for improving economic governance in the country through focused initiative.

Methodology and implementation:
The CPD Executive Opinion Survey dealt with issues related to macroeconomic stability, quality of services provided by public institutions, corruption, infrastructure, technology, environmental situation and role of international financial institutions. The respondents also expressed their assessment of the growth prospect of Bangladesh in 2005.

This executive opinion survey contains qualitative data. The CPD survey conducted for 2004-05 covered 100 companies. The survey was carried out in May-June, 2004. The survey included relatively big companies. While 23.2% of the surveyed companies had less than 100 employees; 47.5% had between 100 and 1000 employees; and the rest of the companies (29.3%) more than 1000 employees.

The geographical distribution of companies was heavily concentrated in Dhaka with 90 companies, followed by Chittagong with 3 companies. The other seven companies were located in Gazipur, Khulna, Pabna, Baghabari, Joydebpur, Sreepur and Tangail. Of the 100 respondent companies, 48% are engaged in manufacturing activities, 12% financial institutions, 15% in real estate and construction business, 8% in information and communication technology (ICT) sector, and 9% in transport and engineering sector. The rest (8 companies) are engaged in wholesale and retailing business, health and social works, agriculture, etc.

The questionnaire contained mostly structured, close-ended questions with a seven-point response scale. Questions on 2004-5 were contained in 13 sections of the questionnaire which included: the description of the company, perception of the economy, technology, government and public sector, public institutions, infrastructure, human resources, finance and openness, domestic competition, company operation and strategy, environmental and social responsibility and international institutions. There was also a section with general questions.

After an introductory briefing about the background of the survey, the structured questionnaire was administered by the Chief Executive Officer (CEO) of the respondent firm. It was ensured that the respondent was a member of the top level management team of the company. The CEO herself/himself or her/his nominee filled in the questionnaire which was then returned to the CPD.

Analysis has been conducted based on the data collected from the Executive Opinion Survey of 2004-05 and 2003-04. The surveys of these two years contained 148 common questions. As many as 40 companies were included both in the sample of 2004-05 and 2003-04 survey. However, for 2004-05 the sample contained 100 companies while there were 81 companies in the sample of 2003-04. The analysis has been performed by employing three statistical techniques: frequency analysis of the responses, application of weighted index for the questions, and chi-square test for identification of significance of difference between the perceptions of two years

Use and impact:
The surveys constitute part of CPD's contribution to the Global Competitiveness Report 2004-05 published by the World Economic Forum.

In 2004, as in 2003, most of the respondents cited corruption as the lead determining factor that is affecting the business environment. The descending order of the top five determining factors, as reported by the respondents, is as follows:

1. Corruption
2. Inefficient Government Bureaucracy
3. Crime & Theft
4. Inadequate supply of infrastructure
5. Access to Financing

Although in 2004, corruption is still the top determining factor on the business environment, it should be noted that its weighted index value was higher in 2003, implying a reduction in business environment corruption.

Reports and contact information:
A comprehensive report on the survey is available online at: http://www.cpd-bangladesh.org/bcer.pdf. Contact the Centre for Policy Dialogue at cpd@bdonline.com for more information.

Additional Remarks:
This survey is not specifically concerned with corruption but is, rather, a study of the business environment in Bangladesh.

B.3.2 World Business Environment Survey / Investment Climate Assessment

Type of tool:
Opinion Survey of private sector, selected sample.

Coverage:
Bangladesh, Cambodia, China and India.

Source:
World Bank.

Funding:
World Bank.

Purpose:

The purposes of the survey are:
- o To determine which features of Bangladesh's investment climate pose particular obstacles to economic growth and development
- o To identify the reforms most critical for private sector development and facilitate consensus on a more far-reaching reform agenda.
- o

The report on this survey was prepared to help the Royal Cambodian Government and key private sector and donor stakeholders identify and prioritise policy reforms to achieve three related objectives:

- o To enable the private sector to lead growth
- o To help diversify the economy, and
- o To increase the role of the private sector in public service delivery.

Methodology and implementation:

A. Bangladesh (2002 / 2003)
This investment climate assessment uses data from a 2002 survey of a 1001 manufacturing firms in Bangladesh and from myriad publicly available sources.

Investment climate assessments systematically analyse the conditions for private investment and enterprise growth in a country, drawing on the experience of local firms to pinpoint the areas where reform is most needed to improve the private sector's productivity and competitiveness. By providing a practical foundation for policy recommendations and involving local partners throughout the process, the assessments are designed to give greater impetus to policy reforms that can speed private sector growth, leading to faster overall economic growth and poverty reduction.

Produced by the World Bank Group in close partnership with a public or private institution in each country, the investment climate assessments are based on a survey of private enterprises designed to explicate the difficulties they encounter in starting and running a business—and, if the business fails, in exiting. The survey captures firms' experience in a range of areas— financing, governance, regulation, tax policy, labour relations, conflict resolution, infrastructure services, supplies and marketing, technology and training. All these are areas where difficulties can add substantially to the costs of doing business. The survey attempts to quantify these costs.

The findings of the survey, combined with relevant information from other sources, provide a practical basis for identifying the most important areas for reform aimed at improving the investment climate. The assessments look in detail at policy, regulatory, and institutional factors that hamper the provision of good-quality infrastructure services and the functioning of product, financial, and other markets, linking the constraints to firms' costs and productivity.

B. Cambodia (2003-2004)
The survey was conducted with support from Indochina Research, Strategic Management Solutions, and a team from Economic Consulting Associates/CEPA/DFDL.
The report employed an investment climate survey of 800 urban, rural, and informal firms to identify how the policy and institutional environment impacts individual firms, and benchmarks Cambodia with competing countries using the same core questions.

It also employed:
- (a) A value chain analysis of six Cambodian products to determine how constraints at the firm level contribute to increased costs of final products delivered to markets, particularly as those products are exchanged between firms;
- (b) A study of the policy and institutional environment for private participation in infrastructure;
- (c) The Bank's Doing Business indicators for Cambodia; and
- (d) Options for trade facilitation reform.

C. China (2002 / 2003)
With the collaboration of the Enterprise Survey Organization (ESO) of the Chinese National Bureau of Statistics, the World Bank surveyed 1500 Chinese firms in 2001 in five cities (regions): Beijing, Tianjin, Shanghai, Guangzhou, and Chengdu. The survey asked in-depth questions related to firm performance, production, labour, governance, financing and technology. In order to collect objective quantitative data, instead of asking if "red tape is an obstacle", managers are asked the "amount of time they spend with officials to meet regulation requirements." Or, rather than asking if labour laws are restrictive, information is gathered on the share of temporary workers and the extent to which firms have excess workers.

D. India (2000)
The survey asked business managers of 1000 different firms to identify the states that they thought had a better or worse investment climate than the state in which they were currently based. They were also asked to tell which of the 10 states had the best investment climate, and which had the worst.

Use and impact:
In each country the investment climate assessments draw on the guidance and expertise of local partners in government and the business community. The findings and policy recommendations emerging from the assessments are discussed extensively with the private sector and other stakeholders in the country. This broad dissemination of findings is aimed at engaging not only policymakers but also business leaders, investors, non-governmental organisations, and the donor community in shaping the national private sector development strategy, forging consensus on the priorities for reform of the investment climate, and laying the groundwork for concrete responses to the problems identified. Updates of the assessment can help track progress in improving the investment climate.

Reports and contact information:
The report on *Bangladesh* is available at: http://siteresources.worldbank.org/INTPSD/Resources/336195-1092412588749/00--Bangladesh--1-78.pdf
See page 31 for a brief discussion of how firms perceive corruption and for an indication of the number of unofficial payments made.

The report on *Cambodia* is available at: http://siteresources.worldbank.org/INTPSD/Resources/336195-1092412588749/cambodia.pdf
See pages 13-15 for a specific section on corruption and governance within the report.

The report on *China* is available at: http://siteresources.worldbank.org/INTPSD/Resources/336195-1092412588749/china.pdf

Report on India is available at: www.ifc.org/ifcext/economics.nsf/AttachmentsByTitle/IC-india_proof_3.pdf/$FILE/IC-india_proof_3.pdf.

B.3.3 Costs of Doing Business Survey (2002)

Type of tool:
Opinion survey, private sector, selected sample.

Coverage:
Moldova.

Source:
Transparency International-Moldova.

Funding:
The Agency for Enterprise Restructuring and Assistance (ARIA) at the request of the World Bank.

Purpose:
The survey sought to analyse the changes in the business environment in recent years and assess their impact on private enterprise development including small business. It also aimed to study private business development from the perspective of districts.

Methodology and implementation:
The sample comprised 606 businesses in the Administrative territory unit of Gagauz-Yeri, the City of Chisinau, and nine districts of Moldova. The survey sample aimed to be representative of the legal forms assumed by Moldovan businesses and their geographic distribution, as it is in statistical information furnished by the Department of Statistics and Sociology.

The survey included a limited sub-sample of 47 private entrepreneurs (7.8%).

Small businesses with up to 50 employees accounted for 61.2% of the respondents; enterprises with over 50 employees constituted 38.8% of the sample.

Virtually all businesses polled were in the services (44.6%) and manufacturing sectors (51.0%). Research and development companies made up 3.8% of the total.

Use and impact:
During 2001 and 2002, the new Parliament and Government adopted a set of economic laws and measures, which were seen to have an important impact on the economic environment. Results from the survey are being used as a reference point for further monitoring the processes of economic transformation and their influence on the business environment in Moldova, including the incidences of corruption.

The survey demonstrated that the Moldovan private sector is subject to excessive state regulation. These results were even more striking after comparison of the Moldovan business climate with that of Armenia, Belarus, Bulgaria, Georgia and Ukraine suggested that Moldovan entrepreneurs are markedly worse off than their colleagues in these countries.

Crucially, it is the high level of bribes paid to obtain state registration that sets Moldova apart from the other surveyed states. Registration processes in the different states did not differ radically. The comparison of import and export procedures shows that the time for clearing customs and costs in Moldova is much longer than in other countries. The comparison of product certification in different countries shows that the official and unofficial costs in Moldova are much higher than in other countries, excluding Georgia which is considered the most expensive and corrupt country in the region. Frequency of inspection was higher in Moldova than in other countries surveyed.

The survey report concludes that its results show that immediate private sector reform is critical if Moldova is to become an investor-friendly nation.

Reports and contact information:
See: http://www.transparency.md/Docs/WB_CostsDoBiz_en.pdf for the report online. Contact: office@transparency.md for further information.

B.4.   Democracy and Governance cross country indicators

B.4.1 Asia-Europe Survey (2000), AsiaBarometer (2003)

Type of tool:
Opinion survey, random sample of the general population on democracy and governance related issues.

Coverage:
Japan, Korea, China, Thailand, Malaysia, Vietnam, Myanmar, India, Sri Lanka, Uzbekistan + 10 others, 18 Countries in 2000, and 20 in 2003.

Source:
 Institute of Oriental Culture, University of Tokyo

Funding:
University of Tokyo, business firms, and the Japanese Ministry of Education and Science. Carried out by Gallup International, coordinated by the Nippon Research Centre.

Purpose:
The Asia-Europe survey concerned itself with identifying the political cultures of the countries surveyed, their potential for democracy, and the effects and extent of globalisation.

The AsiaBarometer was a natural successor to the Asia-Europe survey and focused on the daily lives of ordinary people (*bumiputra*) and their relationship to family, neighbourhood, workplace, social and political institutions and the market place.

The survey sought to:

a) Portray the daily lives of ordinary people and their physical, psychological, and sociological dimensions;
b) Assess their quality of life;

    c) Assess the types of goods and services they value in order to improve the quality of their own lives and their country; and

    d) Assess developmental, democratic and regionalising potentials.

Methodology and implementation:
Country-wide face-to-face surveys were conducted using standardised instruments designed around a common research framework.

The survey was designed to:
- Minimize the obtrusiveness of survey instruments
- Be culturally sensitive
- Highlight regional (i.e. Asia-wide) analysis in addition to cross-national analysis.

Focus groups were conducted where deemed necessary. Furthermore, the English language questionnaire and the questionnaires in local languages were thoroughly compared and discussed by those familiar with both. Local academics also participated in drafting the questionnaire and data analysis.

Use and impact:
The AsiaBarometer serves as a tool for gathering and disclosing information on key topics, such as the extent to which the rule of law is working to prevent crime and corruption and the objectives and policies according to which businesses, governments, and other socially significant organizations are operating.

Reports and contact information:
The project's website is http://avatoli.ioc.u-tokyo.ac.jp/%7Easiabarometer/pages/english/frame_e.html,
for further information contact: asiabarometer@ioc.u-tokyo.ac.jp.
There is also an academic paper written by the coordinator, Takashi Inoguchi, available at:
http://avatoli.ioc.utokyo.ac.jp/~asiabarometer/pages/english/symposium_e.html.

Additional Remarks:
The Asia Barometer is to be conducted every year in 20 countries in East, Southeast, South and Central Asia at least for the next 10 years.

B.4.2 East Asia Barometer (1999 – 2002, one survey only)

Type of tool:
Opinion survey, national households, random sample of general population.

Coverage:
Hong Kong, Mainland, China, the Philippines, South Korea, Taiwan and **Thailand** were published. **Indonesia**, Mongolia and Japan should be published soon.

Source:
National Taiwan University.

Funding:
A research grant from the Ministry of Education of the Republic of China for research activities, project, coordination, technical assistance and data archiving. Each participating country team was responsible for the cost of its data-collection activities.

Purpose:
To gather information on attitudes and values towards politics, power, reform, democracy and citizens' political action in East Asia.

The survey has more specific objectives relating to three areas of its concern:

1. Democracy
- Assess levels of popular support for democratic forms of government and belief in its legitimacy across the region
- Assess the process through which citizens acquire and internalise democratic values and orientation, and
- Engage the 'Asian Values" debate within and beyond the region.

2. Capacity Building
- o Build up the regional infrastructure for comparative social surveys
- o Enhance the survey research capacity in all East Asian emerging and aspiring democracies.

3. Networking
- o Develop a regional intellectual community for democracy study based on surveying the ordinary citizens, and
- o Collaborate with other regional surveys to build up and operate the Global Barometer.

Methodology and implementation:
Questions were put to households to ascertain values and perception on various topics, including:

- o Economic evaluations
- o Trust in Institutions
- o Social Capital
- o Political Participation
- o Electoral Mobilisation
- o Psychological Involvement and Partisanship
- o Traditionalism
- o Democratic Legitimacy and Preference for Democracy
- o Efficacy, Citizen Empowerment, System Responsiveness
- o Democratic vs. Authoritarian Values
- o State/Society Cleavage
- o Belief in Procedural Norms of Democracy

Participants were also asked to provide information on their socio-economic status.

In each of the nine countries or regions, a national research team administers a country-wide face-to-face survey using standardised survey instruments to compile the required micro-level data. Planning for the survey began in 1999 and survey fieldwork commenced in 2001. In cooperation with national academics from participating countries, a set of experts in the field collaborated to design and implement comparable countrywide surveys with the aim of compiling micro-level data under a common research framework and a standardised research methodology.

Use and impact:
The EAB has had an impact on thinking in both the academic and wider political communities. Academically, articles based on EAB data have been published in leading journals including the *Journal of Democracy, British Journal of Political Science, Japanese Journal of Political Science*, and several others. The EAB collaborators are also currently producing three edited volumes studying general political attitudes in the eight countries, the dynamics of value change, and the dynamics of regime support.

More broadly, the EAB has received widespread press coverage in several media outlets across the region, both in English and in local languages. It has also organized round-table discussion forums in Taipei and Bangkok to discuss the results and implications of the EAB surveys with policy makers, leaders of NGOs, journalists, academics, and other political elites. The EAB is also teaming up with regional barometers in Africa, Latin America, and post-communist Europe to form Global Barometer Surveys, which will produce authoritative, reliable, and comparable data on new democracies and developing societies around the world.

Reports and contact information:
The project's website is available at: http://eacsurvey.law.ntu.edu.tw/introduction.htm. For further information contact the Program Manager, Yu-tzung Chang, at: yutzung@ntu.edu.tw or the Assistant Program Manager, Nathan F. Batto, at: nbatto@ucsd.edu.

Summary

Demand for diagnostic data on and analysis of 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. The Asia and Caucasus regions present a wide range of tools, some of them very creative, which have already created change already in many countries.

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.

National instruments are often carried out once awareness has been raised of the extent of the phenomenon of corruption or governance problems via international indicators such as the World Bank Governance Indicators or the TI Corruption Perceptions Index. The national tools often provide more in-depth analysis of the phenomenon from different angles. Increasingly, a common approach to designing and engaging in any anticorruption strategy (coordinated at either the government or civil society level) involves getting 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 conclusions can be drawn from this type of mapping exercise in terms of the concrete outcomes and impacts local-national measurement tools can have. Both the use and impacts vary a lot depending on who commissioned the tool, which type of instrument has been used and who is using the information collected. One can nearly identify a chain in terms of tools being carried out at the national level, starting with opinion surveys, followed by sectoral tools and diagnostics.

Public opinion surveys, sometimes combined with private sector or public official surveys, are usually the first type of tool carried out at the national level, either by civil society organizations or under the initiatives of the authorities or of international organisations such as the World Bank or UNDP, once corruption-governance have been identified as problematic issues in the country. This is also the reason why opinion surveys are the most common type of tool identified in the region under review, but also worldwide.

One should underline that civil society organizations, especially when they are the authors, normally use the results in a large number of ways, depending on their own resources. In any case the findings are first published, on leaflets-booklets or cd roms and via internet, presented and widely disseminated to the local media.
The dissemination activities can for instance include some tv or radio programmes in local languages. The reports are also very often sent to the authorities, including some targeted ministries. Many organisations use the publication of the results to conduct some workshops-seminars inviting different local or international stakeholders, such as private sector representatives, public servants, donors and other civil society organisations. The main impact of the work is an increased awareness of the general public and of the main stakeholders about the issue of corruption and the ways to tackle it. Complementary initiatives such as the training of public servants are in some cases (like in Moldova) part of the awareness raising activities the civil society organisation can offer.

But beyond the **awareness raising impact**, opinion surveys seem to have an **advocacy impact** in a quite broad way. By identifying the main perceived causes of corruption, the main public sectors affected or the cost of corruption, the results are used by CSO to call for change, by presenting some key messages and recommendations to the authorities.

At a second stage, opinion surveys offer an **incentive to produce further sectoral diagnostic**, either quantitative or qualitative, such as more in depth studies in specific sectors, identified as weak sectors. The use of local expertise and the integration of country specific idiosyncrasies, may generate incentives for innovation, as the instruments are developed to fill in gaps in terms of diagnostics at the country or local level. TI Bangladesh, the Public Affairs Center in India or TI Moldova carried out several studies on the Customs, the Road Police or the Education, among others. Those diagnostic tools are then used as a **baseline for analysis and policy making recommendations** in a more detailed way. When opinion surveys are combined with more qualitative diagnostic they can also be a very efficient support for reforms.

If there is political will, the authorities prove to use measurement tools as reliable sources to draw on in order to better target their policy and reform efforts. The government in Bangladesh for instance, decided recently to adopt one of the recommendations from TI Bangladesh, following a study in the police sector. The creation of the Anti-Corruption Commission can also be considered as a result of TI Bangladesh Fact Finding Surveys.

In terms of impact, tools carried out by international organisations such as the World Bank or UNDP may be less prone to technical criticisms than those developed by CSOs, who are necessarily operated with greater resource constraints. The impact of such official tool is more limited in terms of raising awareness power but stronger in terms of academic use of the results in diverse publications. There are also often political factors that force a sense of restraint in these tools, thereby limiting impact.

Looking at **Report cards**, they seem to be particularly successful in providing an effective citizen feedback channel and support the work carried out by civil society organizations. They increase civic activism and public awareness among citizens and service providers. They also offer an effective way to initiate change in the quality of public services, by identifying key issues affecting service delivery. Moreover, the discussion of their outcome and possible follow-up facilitated the development of partnerships between public institutions and civil society organisations, and forge sustained joint anti-corruption efforts (such as in India, with the Public Affairs Centre's Report Cards). This tool proved to be a very good aid to monitoring public services delivery and for government to taking corrective actions.

Regarding **Newspaper surveys**, although this tool was only identified in Bangladesh, it offers a very effective way to track changes over time and capture the extent of corruption scandals and coverage per type of institution. The tool is also used to advocate for reforms, which led to some decisions taken by the authorities in specific sectors.

All the tools mentioned above can also **increase the visibility and profile of the coordinating or implementing civil society organisations** and their overall anti-corruption agenda tremendously (As a result of TI Armenia's work, the organisation is the only CSO part of the anti-corruption Committee for instance).

Multi-country tools can be very efficient in terms of advocacy, especially when they offer cross country comparisons. If their dissemination is conducted efficiently, they put higher pressure on governments by providing a baseline for a regional analysis.

Multi-country tools also offer opportunities to strengthen the local expertise through partnerships between two or more countries (normally within the same region, thus also adding a regional context factor), such as the Citizen Feedback Surveys in five countries. This enables cross-border, yet locally relevant, exchange of know-how and learning.

Last but not least, one important impact is the replication of best practices, when a tool proves its usefulness, either within the same country or in other countries. The purpose of the replication could be to track changes over time, as for the corruption survey in Georgia for instance, which

was conducted once a year from 2001, or to implement the same methodology to other sectors, such as for the report cards in India for instance. Some tools such as the report cards or World Bank surveys were used in other countries too.

The main conclusion to draw is that tools to measure corruption and governance are very useful tools and are able to create change, but can only do so if all stakeholders are invited to discuss the findings and if sustained education-sensitisation efforts are carried out by the media, civil society organisations and also the public sector. Strong civil society organizations and political will are pre-conditions for enhanced use of the findings of empirical research in these areas.