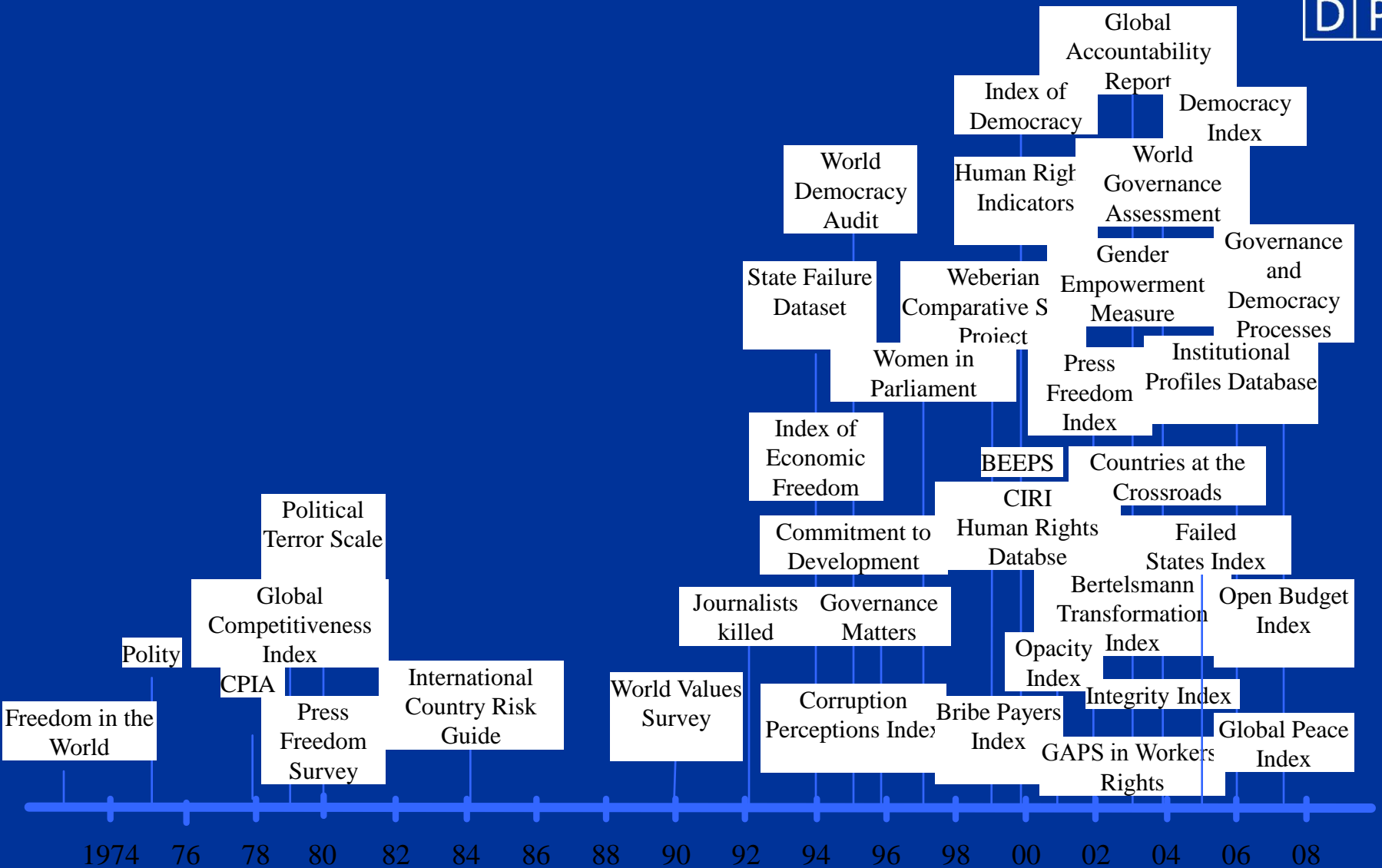




Measuring Governance and Corruption

Global governance indicators



Global Indicators: Worldwide Governance Indicators project of the World Bank



reports aggregate and individual governance indicators for 213 economies over the period 1996–2010, for six dimensions of governance:

- **Voice and Accountability**
- **Political Stability and Absence of Violence**
- **Government Effectiveness**
- **Regulatory Quality**
- **Rule of Law**
- **Control of Corruption**

The aggregate indicators combine the views of a large number of enterprise, citizen and expert survey respondents in industrial and developing countries. The individual data sources underlying the aggregate indicators are drawn from a diverse variety of survey institutes, think tanks, non-governmental organizations, and international organizations.

Why measure governance?



If you can't measure it, you can not improve it!

- Counting is an essential function of modern states - a state that is not able to measure its core functions performance can be seen as having lost the ability to fulfill them
- Counting is essential for *democratic governance*:
 - figures can be challenged by opposition parties and civil society;
 - figures can –and frequently do—become a focal point for processes of public opinion sensitization.
- Counts produce political debates and influence the complex establishment of priorities.
- Counting is not purely technical, but rather a highly political process.

Why measure governance?



- Reviews of MDG achievements highlight governance as one of the missing links in the achievement and sustainability of MDG results.
- Recent events in the Arab region and elsewhere demonstrate that monitoring MDGs is not an adequate framework to measuring citizen well-being and country progress.
- A governance or democracy goal for new international commitments - post Rio+20, post –2015
- Previous attempts have failed either because of resistance to internationally recommended standards on what was considered a domestic affair, or because of expected difficulties in measuring progress on such goal and targets.

Critique of global indexes



Controversial ranking

- Starting Point differs among countries with same ranking
- Many countries are on the margin of extremes
- Ranks do not show country evolution
- Ranks dependent on which countries go in and out of dataset
- Ranking does not capture quality of governance nor commitment to reform

Methodological limitations

- Measures often based on perceptions
- Measures often based on composite indices with problematic weighting
- Margins of error make it difficult to categorize countries

Lack of disaggregation

- Most measures are aggregate on the national level
- Most measures do not capture regional, gender, income variations within countries

Policy Relevance for Reform

- Global sources not country-operational
- Do not prioritize reform for effective delivery & monitoring
- Often lack national ownership & societal engagement



Critique of global indexes

VALIDITY OF FINDINGS

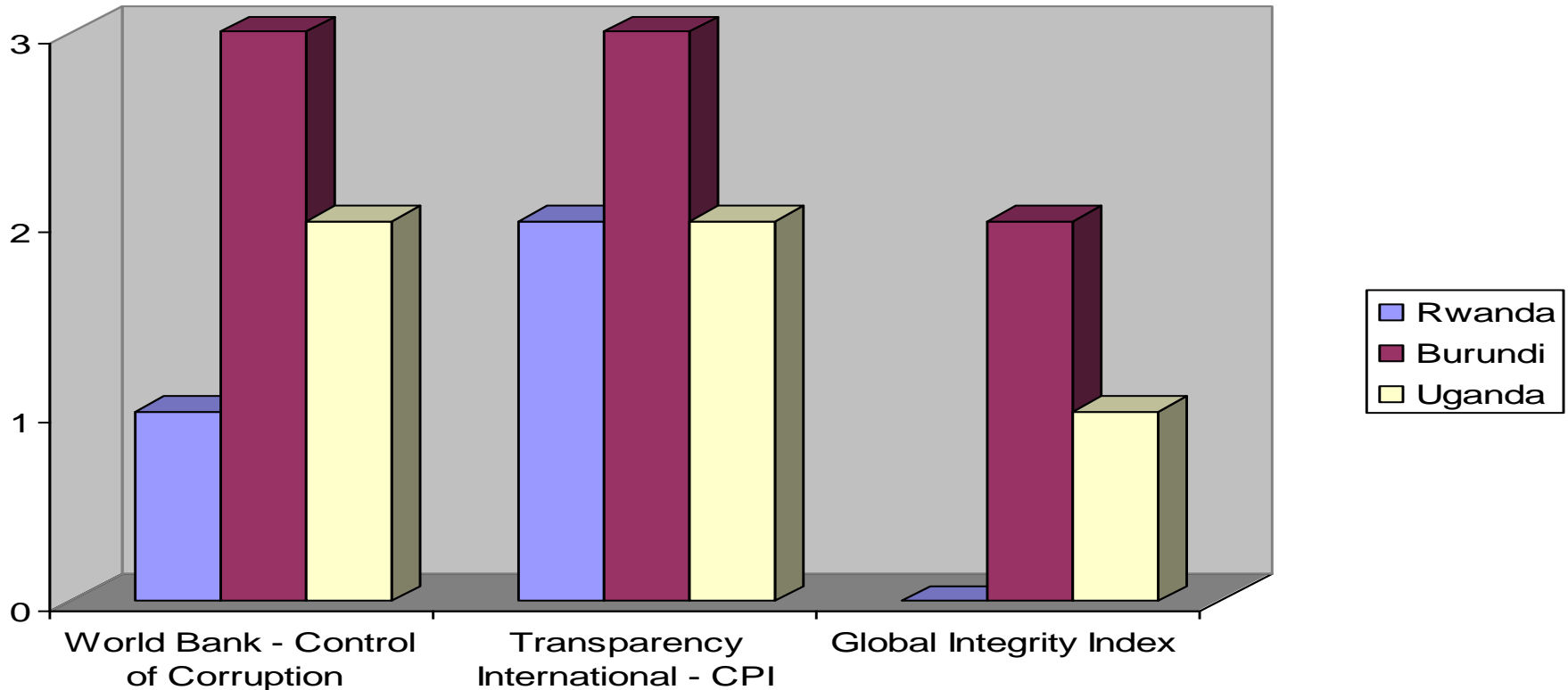
- Ambiguities of definitions & assumptions embedded in indicators and weighting
- Variation in methodologies and sample sizes over time making findings unreliable
- Often based on perception data, of experts, which misses the point of the experiences of the poor and vulnerable.
- Indices can be valuable instruments in the area of gender equality. However, due to missing data in the medium and low human development categories, the global indexes cannot be calculated for a wider range of countries for other than basic/simpler measures. That is why we need alternative & more complex national measures.
- Most aggregate global indices place pillars of indicators next to each other, without advancing understanding on the interaction between economic, social, cultural and political spheres of governance in order to advance equitable service delivery.

Critique of global indexes:

Corruption in Rwanda in 2007: 3 indices, 3 stories...



Corruption indices for Rwanda: Variations in rankings



Corruption in public & private sector (+ some indicators at household level) as perceived by "experts" + opinion polls (incl. NGO experts)

Corruption in public sector as perceived by "experts"

Existence, effectiveness and citizen access to anti-corruption mechanisms, assessed by national experts

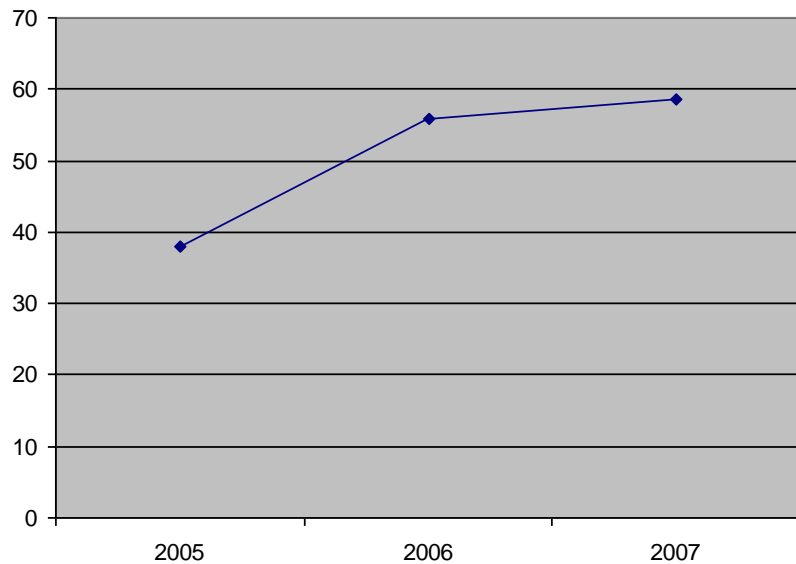
Critique of global indexes:

Corruption in Rwanda overtime (2005- 2007)

2 indices, 2 stories...

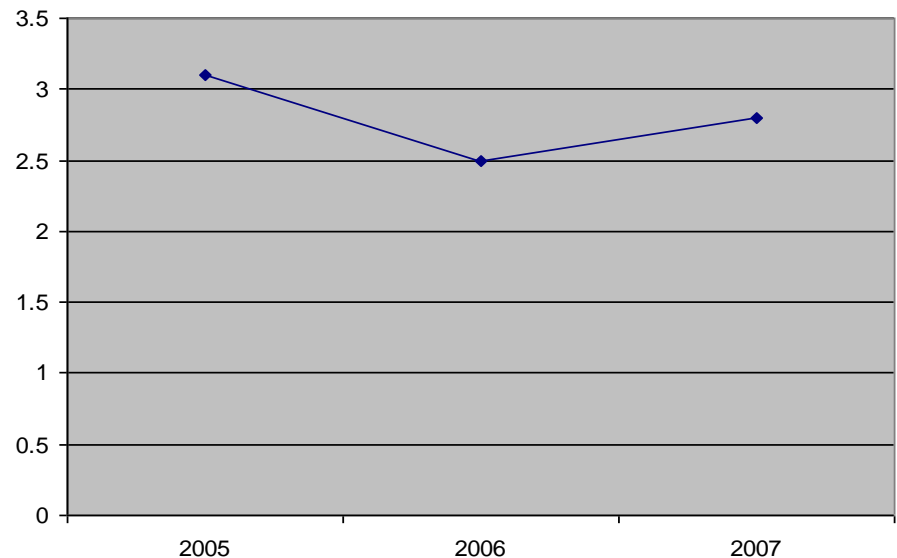


World Bank - Control of Corruption (Rwanda) 2005-2007



According to the World Bank, Rwanda is doing ***better*** in 2007 than it was in 2005

Transparency International - CPI (Rwanda) 2005-2007



According to TI, Rwanda is doing ***more or less the same or slightly worse*** in 2007 than in 2005

UNDP's approach to Nationally-led governance assessments



1. National ownership

- Yes but select relevant actors, usefulness of ICA

1. Capacity development of national stakeholders

- Use international consultants?
Yes, but for raising capacity, not just for “doing the work”
- Conduct trainings on indicators and measurements
Yes, but make sure efforts are sustainable. E.g.: Slovenia's training programme of risk assessors

3. Alignment with national priorities

...which reflect a shift in thinking: the Social Accountability Agenda



Assessment by others >> to Self-assessment

- Accountability to donors >> accountability to citizens
- Cross-country comparison >> a national measure of progress over time
- Alignment to international measuring needs >> alignment to national policy processes
- Using international consultants >> being led by national stakeholders (country-led)

Customizing a governance assessment



What is measured?	<ol style="list-style-type: none">1. Governance as a whole (e.g. State of Democracy Framework from IDEA)2. Areas of governance (Human Rights, corruption, public administration, elections, civil society etc.)3. Principles of governance (integrity of the water sector)
Who measures?	Multi-stakeholder country-led processes <ul style="list-style-type: none">• President's office• Ministries• Parliament-led• Independent accountability institutions (ACAs)• Think-tank• Civil society
For what purpose?	<ol style="list-style-type: none">1. Promote democratic reform2. Evidence-based policy making3. Enhance performance based management4. Monitor policy implementation5. Accountability

Types of indicators



- **Objective Indicators:** Indicators constructed from undisputed facts (i.e. existence of anti-corruption laws or the funding received by the anticorruption agency).
- **Perceptions-based Indicators:** Indicators based on the opinions and perceptions of corruption in a given country among citizens and experts.
- **Experience-based Indicators:** Measure citizens' or firms' reported experiences with corruption (i.e. have they been offered or given a bribe).
- **Proxy Indicators:** assess corruption indirectly by aggregating as many “voices” and signals of corruption, or by measuring its opposite: anti-corruption, good governance and public accountability mechanisms.
- **Pro-Poor and Gender-Sensitive Indicators:** focusing on those living in poverty; captures the different experiences and interests of women and men.

HOW? Plethora of tools, Choosing smartly



Official data sources

- Administrative data
- M&E of national policies and plans
- M&E at municipal level
- Household surveys

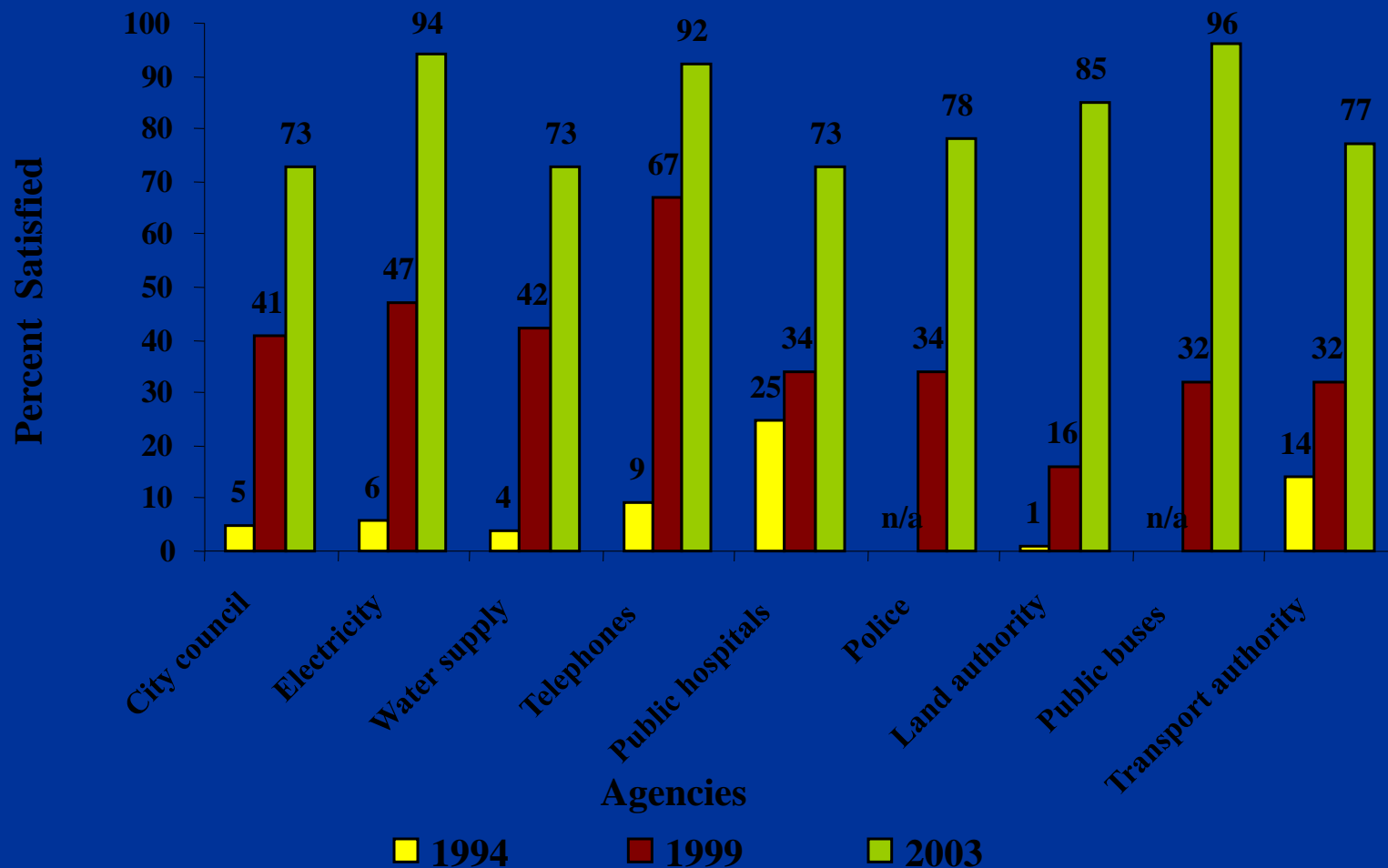
Citizen Driven Assessments

- Policy audit
- Participatory social impact analysis
- Public opinion poll
- Public revenue monitoring
- Independent budget analysis
- Public expenditure tracking survey
- Citizen report cards (CRC)
- Community scorecards (CSC)
- Participatory output monitoring
- Social audit
- Citizen audit
- Research and studies

Social Accountability tools

- Citizen jury
- Public hearing
- Study circle
- Appreciative inquiry summit
- Public forum
- 'Future search' public workshop
- Virtual town hall meeting
- Democratic Dialogue
- Referendum: or plebiscite
- Deliberative polling
- Alternative budget
- Community-led procurement
- Participatory budgeting

Results of Citizen Report Cards in Bangalore, India



Source: Public Affairs Center, India



Triangulation – example from UNICEF Malawi:

- the use of **three** “triangulation points” to determine the exact position (height and distance) of any fourth point
- 3 distinct and complementary sources of data for key outcome indicators in health, education, water etc: (i) **Management Information System**; (ii) **DHS and commissioned surveys**; (iii) **community based monitoring (CBM)**
- Malawi’s Ministry of Planning leads the process, instituted District Statistics Days in which all stakeholders review triangulated data and performance, providing robust analysis and accountability.
- Improved accountability, responsiveness, voice.

Citizen-driven initiatives: Zabatak

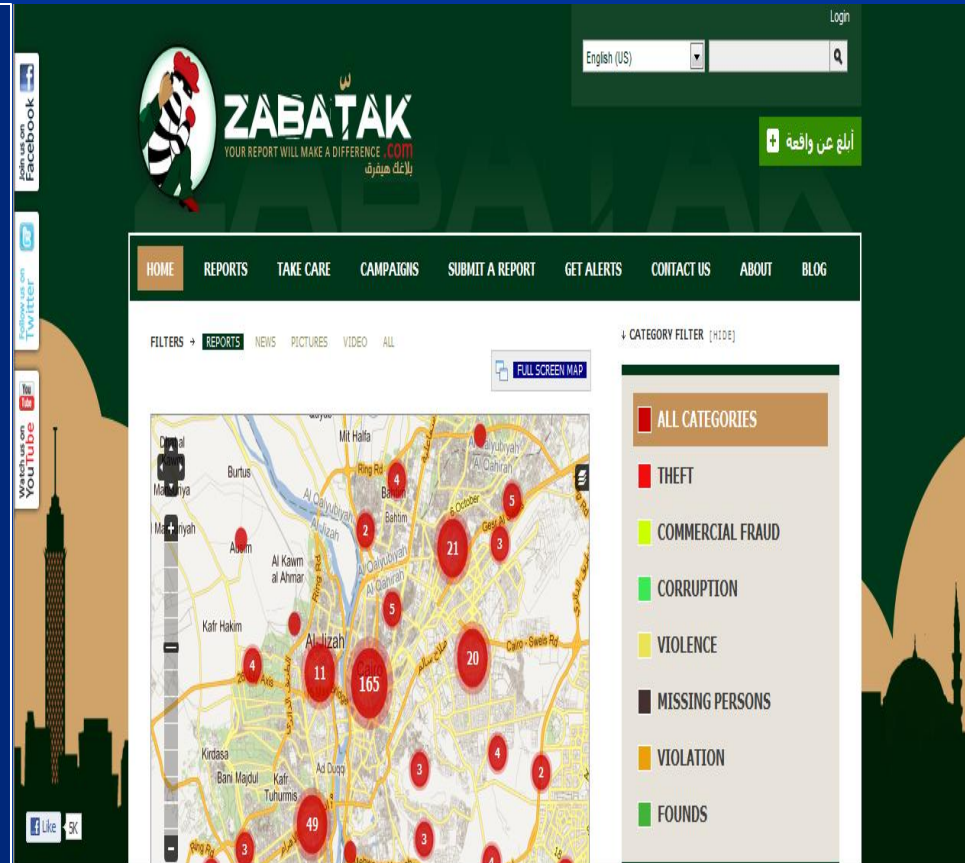
www.zabatak.com

Piloted in Egypt

Purpose: Creating a bribery-free and safe Egypt.

Citizens participation: Through the website, citizens report corruption, theft, cheating, missing persons, violence and commercial fraud.

Reports are then verified and many cases have been brought to trial.





Citizen-driven initiatives: Zabatak

Weaknesses:

- Outreach to the citizens to ensure reporting
- Partnerships with the government and service providers to ensure responsiveness
-
- Sustainability

Role for the government:

- Appreciating the service provided by CSOs/citizens (identification and verification of problems)

Role for UNDP:

- Facilitating/convening role to improve relations between CSOs and Government agencies
- Convening role to support partnerships among CSOs to ensure outreach

Features of an effective country-led governance assessment



1. Alignment to **national political priorities** and processes
2. Assessment is **country contextualized**
3. Methodology is **rigorous**
4. Selection of indicators is **transparent and participatory**
5. Results are stored in a public **national database**
6. Indicators are **pro-poor** and **gender-sensitive**
7. **Capacity** of national stakeholders is developed
8. **Cost-effective** and timely
9. The results are **widely communicated**
10. The assessment is **repeated**

National Assessment Frameworks:

EGYPT

Generic Governance Framework



Stakeholders/ Components	Accountability	Participation	Transparency	Rule of Law	Control of Corruption
Civil Society	The extent to which civil society organizations are accountable	The extent to which citizens, NGO's and other organizations participate.	Civil society activities and operations are transparent	Civil society organizations abide by the concerned laws	Control of corruption within civil society organizations
Political Society	Legislators and political parties are accountable to the public (Legislature Accountability).	Political parties and legislators' participation in policy making	Transparency of political parties' activities and parliamentary affairs	Political processes abide by the law	The existence and utilization of legal measures to combat corruption within the Parliament and political parties
Government	Executive Accountability & financial Accountability of the government to citizens and society.	The degree of participation that exists among high level policy makers and senior politicians	Government decisions are made and disseminated in an open manner	Government decisions conform to respective laws	Efforts to combat corruption within the government apparatus
Bureaucracy	Civil servants are held accountable.	Civil servants' role in policy formulation and implementation	Civil service decision making is transparent, while providing access to information by citizens	Civil service decision making respects the law, especially administrative law	Institutional capacities and implementation mechanisms used to control corruption within the bureaucracy
Economic Society	Private sector is accountable to the state entities and citizens	Private sector actively participates in policy making	Private sector operations and activities are known to the public	Private sector abides by the concerned laws	Degree of corruption within the private sector
Judiciary	Judicial officers are held accountable (Judicial Accountability)	N.A	Transparency in judicial verdicts	The extent to which the judicial system abides by the respective laws	Corruption cases within the judicial system

National Assessment Frameworks:

EGYPT Examples from Environment indicators



	Sub - Dimension	Indicators	Sub - Indicators	Basic - Indicators	
Accountability	Service providers accountability to Government entities	Determining Entities that have the right of accountability	Portion of Households who see that the Governorate and the local unit have the right to hold local employees accountable	Households who see that the Governorate and the local unit have the right to hold local employees accountable	
			Portion of Households who see that the Local Popular Council has the right to hold local employees accountable	Households who see that the Local Popular Council has the right to hold local employees accountable	
			Portion of Households who see Regulatory bodies have the right to hold local employees accountable	Households who see Regulatory bodies have the right to hold local employees accountable	
	Service providers accountability to citizens	Citizens' conviction of their right of accountability	Portion of Households who see That Citizens have the right to hold local employees accountable	Households who see That Citizens have the right to hold local employees accountable	
			Portion of Households who had a positive reaction when facing problem in services concerning environment improvement sector	Households who had a positive reaction when facing problem in services concerning environment improvement sector	
			The existence of mechanisms and channels allowing accountability	Portion of Households who are aware of the existence of a certain way to receive complaints in the entities specialized in environment improvement	Households who are aware of the existence of a certain way to receive complaints in the entities specialized in environment improvement
			The existence of clear and specific procedures to be taken to account	Portion of Households knowing the procedures needed to hold the responsible accountable in failure	Households knowing the procedures needed to hold the responsible accountable in failure
		The existence of clear mechanisms to deal with faults and failures	Portion of Households knowing the procedures needed to hold accountable the local development services' providers	Households knowing the procedures needed to hold accountable the local development services' providers	

National Assessment Frameworks: Vietnam



The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) is a policy tool that monitors and measures the performance of governance and public administration (including public service delivery) of all 63 provinces in Viet Nam based on citizens' experiences and perceptions

Where	<ul style="list-style-type: none">• In 2009: piloted in three provinces (Phu Tho, Da Nang and Dong Thap)• In 2010: expanded to 30 provinces (randomly selected by propensity score matching)• In 2011: All 63 provinces, covering 207 districts, 414 communes, 828 villages divided in two types: certainty units and probability proportion to size random selection
How	Public surveys (face-to-face) of citizens' experiences about governance and public administration performance in their localities (random selection)
Who	13,642 randomly selected citizens, with 7,225 female and 6,417 male, interviewed in 2011
What is assessed	<ol style="list-style-type: none">1. Participation at Local Levels2. Transparency3. Vertical Accountability4. Control of Corruption5. Public Administrative procedures6. Public Service Delivery
Implementing agencies	<ul style="list-style-type: none">• Centre for Community Support and Development Studies (CECODES)• The Front Review (VFF Central Committee) and 63 provincial VFF Committees• Committee for People's Petitions (CPP) <i>(since February 2012)</i>• United Nations Development Programme (UNDP)

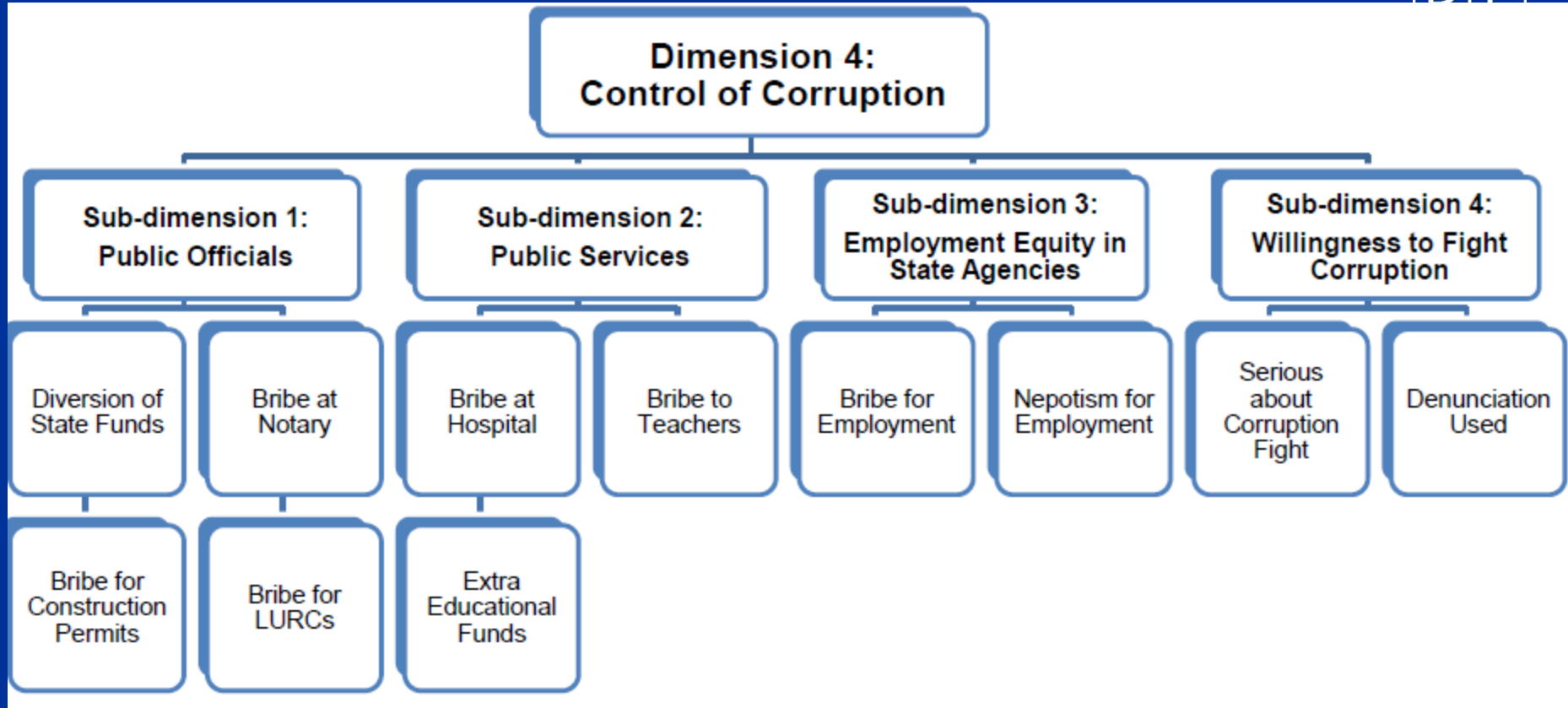
National Assessment Frameworks: Vietnam



Provincial Governance and Public Administration Performance Index (PAPI)

D1. Participation at Local Levels	D2. Transparency	D3. Vertical Accounta-bility	D4. Control of Corruption	D5. Public Admin. Procedures	D6. Public Service Delivery
1.1. Civil Knowledge 1.2. Opportunities for Participation 1.3. Quality of Elections 1.4. Contributions to Local Projects	2.1. Poverty Lists 2.2. Communal Budgets 2.3. Land-Use Plan / Pricing	3.1. Interactions with Local Officials 3.2. People's Inspections Boards 3.3. Community Investment Supervision Boards	4.1. Limits on Public Sector Corruption 4.2. Limits on Corruption in Service Delivery 4.3. Equity in Employment 4.4. Willingness to Fight Corruption	5.1. Certification Procedures 5.2. Construction Permits 5.3. Land Procedures 5.4. Personal Procedures	6.1. Public Health 6.2. Primary Education 6.3. Infrastructure 6.4. Law and Order

National Assessment Frameworks: Vietnam

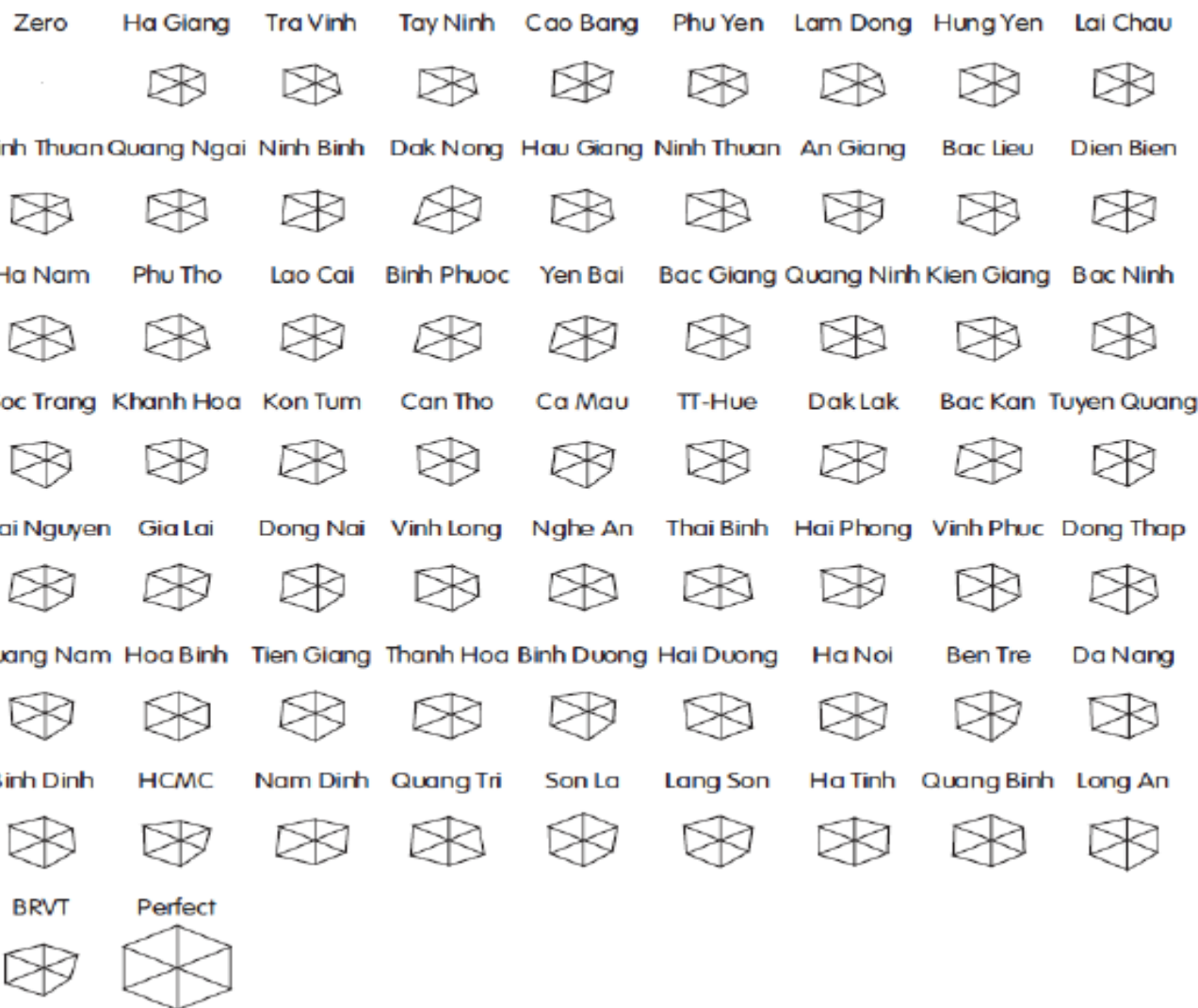


National Assessment Frameworks: Vietnam



PAPI
2011

Aggregate PAPI 2011 Dashboard



- Some degree of uniformity in performance levels.
- Diversity in socio-economic conditions of high and low performers
- Dimension 6 on Public Service Delivery features as area of strength
- Other dimensions lagging behind

Measuring governance



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2012