UNDP

Measuring Democratic Governance
A framework for selecting pro-poor
and gender sensitive indicators

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Acronyms

ACHPR	African Charter of Human and Peoples' Rights
ACHR	American Convention on Human Rights
CAT	Convention Against Torture
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CERD	International Convention on the Elimination of all Forms of Racial Discrimination
CO	Country Office
COE	Council of Europe
CRC	Convention on the Rights of the Child
ECHR	European Convention on Human Rights
FAO	Food and Agriculture Organization
FIDH	International Federation of Human Rights Leagues
GDP	Gross Domestic Product
HDI	Human Development Index
HRBA	Human Rights Based Approach
HRBP	Human Rights Based Programming
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social, and Cultural Rights
INGOS	International Non-Governmental Organizations
NGOS	Non-Governmental Organizations
NHRI	National Human Rights Institutions
OHCHR	Office of the High Commissioner for Human Rights
OMCT	World Organization Against Torture
PQLI	Physical Quality of Life Index

Measuring Democratic Governance

A FRAMEWORK FOR SELECTING PRO-POOR AND GENDER SENSITIVE INDICATORS

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Executive summary

Most indicators of democratic governance in poor countries have been developed by external stakeholders for the purpose of comparing and ranking nation states. These stakeholders include risk assessment agencies working in and for the private sector, as well as international organisations concerned with evaluating the performance of countries receiving overseas development assistance. These indicators have not been designed primarily as tools to assist individual countries undertake governance reforms.

The aim of this guide is to provide a framework for generating pro-poor gender sensitive indicators to assist policy-makers monitor and evaluate democratic governance at the country level. Pro-poor means that indicators should be targeted and focused on those living in poverty. Since poverty can be defined in many different ways, pro-poor can have many different meanings. This guide is sufficiently flexible to accommodate a variety of definitions of poverty. Gender sensitive means that monitoring governance must track both changes in women's empowerment and in gender equality.

Democratic governance indicators need to be derived directly or indirectly from an underlying set of values. This guide uses International IDEA's Democracy Assessment Framework as the source for the basic principles and mediating values required to derive a set of pro-poor gender sensitive indicators of democratic governance. The framework is extended by distinguishing four senses in which a governance indicator might be considered pro-poor: (i) disaggregated by poverty status; (ii) specific to the poor; (iii) implicitly pro-poor, and (iv) chosen by the poor. Gender sensitive may be understood in similar fashion: (i) disaggregated by sex; (ii) gender specific; (iii) implicitly gendered, and (iv) chosen separately by men and women.

For indicators which are specific to the poor, or specific to either men or women, an improvement in the indicator (which may be an increase or decrease in its value) is sufficient evidence of a pro-poor and/or gender sensitive result. The same is true for indicators selected by the poor and for indicators chosen separately by men and women. Interpreting changes in the values of indicators, which are disaggregated by poverty status and/or by sex, is more controversial.

This framework is completed by presenting three tools for shaping the demand for pro-poor and gender sensitive indicators. These include (i) a set of key questions directed to different areas of governance (ii) a process

flow chart, which may be used to identify indicators for elections, the criminal justice system and the national budget, and (iii) an integrated indicator matrix, which provides an overview of where gender sensitive and pro-poor indicators are needed.

Information sources for governance indicators are reviewed and two distinctions are made. Firstly, poverty data and governance data can be collected from the same instrument (single source strategy) or from different instruments (multiple source strategy). Secondly, first generation indicators should be distinguished from second-generation indicators. First-generation indicators are those for which data currently exist so that they can be used now. However, they may suffer from methodological weaknesses relating to relevance, definition, coverage, frequency of data collection, reliability and timeliness. Second generation indicators are not currently available, but could be produced in the future. They promise to be methodologically superior to some first generation indicators, which they may replace and/or complement once they come on stream. Identifying second-generation indicators provides a mechanism whereby users of data, and policy-makers in particular, can articulate their demands for improving the quality of statistics to monitor governance.

The guide applies this framework to seven areas of democratic governance: parliamentary development, electoral systems and processes, human rights, justice, access to information and the media, decentralisation and local governance, and public administration reform and anti-corruption. After defining the scope of each area of governance, a set of key questions is presented followed by a pair of indicator matrices. The first matrix provides examples of pro-poor indicators, while the second matrix suggests possible gender sensitive indicators.

In conclusion, this guide argues that indicator selection is itself a governance process. A system of indicators can only be used to promote pro-poor and gender sensitive democratic governance if it is fully understood by, and if it commands widespread support among, a broad range of national stakeholders. For these reasons, it is important to ensure that all key decisions including the choice of indicators and the creation of an appropriate institutional framework for data collection and monitoring, derive from an inclusive and participatory debate.

Some guidance is provided on how to engage key stakeholders, identify priority governance issues, and link this UNDP initiative to the Poverty Reduction Strategy process and the African Peer Review Mechanism of the New Partnership for Africa. For those countries where no poverty monitoring system is yet in place, an illustration is provided of a possible sequence of activities (including a timetable) leading up to the choice of a set of pro-poor and gender sensitive governance indicators. Parliament should have a central role in selecting and using governance indicators and in exercising effective oversight over the entire monitoring system.

1 Introduction

1.1 Aims and outline of the guide

The aim of this guide is to provide a framework for generating pro-poor gender sensitive indicators to assist policy-makers monitor and evaluate democratic governance at the country level. It is hoped that this document will be useful to UNDP staff engaged in democratic governance work as well as to national policy makers and Civil Society Organisations (CSOs) for incorporating poverty and gender dimensions into the measurement of governance.

Measuring democracy, governance and human rights is a broad and complex task, which is currently the subject of much analysis by the international community. The framework outlined here is a contribution to this ongoing work as part of UNDP's pilot project on *Governance Indicators for Pro-Poor and Gender Sensitive Policy Reform*.[1]

The guide consists of four parts. Part I reviews the normative foundations of pro-poor and gender sensitive governance indicators. It outlines different conceptions of what is meant by pro-poor and gender sensitive. Part I also introduces three tools that can be used to shape the demand for pro-poor and gender sensitive indicators: (i) a set of key questions that address governance issues from a gender and poverty perspective (ii) a process flow chart, and (iii) an overview of potential indicators using an integrated indicator matrix. The information sources for pro-poor, gender sensitive governance indicators are reviewed and a distinction is made between objective and subjective indicators, as well as between first- and second-generation indicators. The importance of second-generation indicators is to highlight how the indicator base can be improved over time.

Part II applies the methodology using the formulation of key questions to shape the demand for pro-poor and gender sensitive indicators in core areas of democratic governance: parliamentary development, electoral systems and processes, human rights, justice, access to information and the media, decentralisation and local governance, and public administration reform and anti-corruption. Illustrative indicators are provided for each of these core areas of democratic governance.

Part III of the guide provides advice on how the process of selecting indicators can be made more democratic (inclusive and participatory) to ensure national ownership and use.

Finally, Part IV of the guide contains a list of references and links to additional resources.

1.2 Why are pro-poor and gender sensitive indicators important?

An indicator is a measure that helps 'answer the question of how much, or whether, progress is being made toward a certain objective".[2] Indicators can be used at the highest policy levels to measure progress towards a general goal, such as growth with equity. At a second level, indicators are also commonly used to measure progress towards organisational objectives, such as greater diversity in the work force. At a third level, indicators can be used to measure daily activities through which organisations can attain their objectives, such as the attendance rate of staff. This guide focuses on the first level, specifically the use of indicators to measure progress in meeting democratic governance goals articulated in national development plans.

Most indicators of democratic governance in poor countries have been developed by external stakeholders for the purpose of comparing and ranking countries. These stakeholders include risk assessment agencies working in and for the private sector, as well as international organisations concerned with evaluating the performance of countries receiving overseas development assistance. These indicators have not been designed primarily as tools to assist individual countries undertake governance reforms. The UNDP *Governance Indicators: A Users' Guide* (2004)[3] presents an overview of currently available and frequently used indices related to democracy, governance and human rights. Very few of these sources were intended to assist national policy makers

undertake governance reforms, and even fewer of them adopt a pro-poor, gender sensitive approach.

In many countries, even when governance indicators have been developed by national stakeholders, they do not explicitly include a focus on poorer groups in society or on the different experiences that men and women have of government institutions and governance processes. Owing to differences in gender roles and to the impact of gender stereotypes, women and men are likely to have different perspectives and different experiences in many areas of governance. The core components of governance — transparency in decision-making, access to information, accountability of both public and private sectors through mechanisms such as a free press and freedom of expression, efficiency and effectiveness of public administration, popular participation through democratic institutions, and the rule of law based on universally recognized principles of human rights — are important to all. However, they tend to mean different things to different individuals and social groups.

Therefore, indicators of governance need to capture and reflect the potentially different impacts that the mechanisms and processes of governance have on different social groups. To determine the kinds of governance indicators that are required, the needs, situation and capabilities of users must be taken into consideration. This is important because the effective use of indicators by those governed is, in itself, an integral part of governance processes, including participation and accountability. *The role of national or local users is vital because democratic governance is essentially demand driven.* Other things being equal, the governed will get the quality of governance that they demand. Gov-

ernance will be honest, transparent, accountable and responsive to the needs of the governed, if, and only if, citizens from all significant social groups demand that it be so. Such demands will be made effective, among other means, by the cogent use of indicators in monitoring, evaluation, advocacy and lobbying. Therefore, governance indicators need to incorporate a strong role for the governed in their design and use. This will require changes in both the nature of governance indicators and in the capabilities of users. The objectives of democratic governance can only be achieved if governance indicators are gender sensitive and pro-poor, as well as user-friendly and designed to meet the needs and match the capabilities of a diverse range of users among the governed. Equally importantly, the capacity of such users, including women and the poor, must be developed to enable them to make more effective use of such indicators.

It is only at the national and sub-national levels that it is possible to focus on specific mechanisms of governance and to develop new indicators that can capture the different experiences of women and men in general, and poor women and poor men in particular. A gender sensitive governance indicator must capture the different experiences and/or interests of women and men, but some may focus on differences between non-poor women and men. Thus, the proportion of Parliamentarians who are women is a valid gender sensitive indicator, but it may not be pro-poor in orientation. However, any indicator focusing specifically on the needs of the poor must be gender sensitive because a majority of the poor are women, and because women play particularly strategic roles in the eradication of poverty in poor households.

part one

The framework for selecting pro-poor and gender sensitive governance indicators
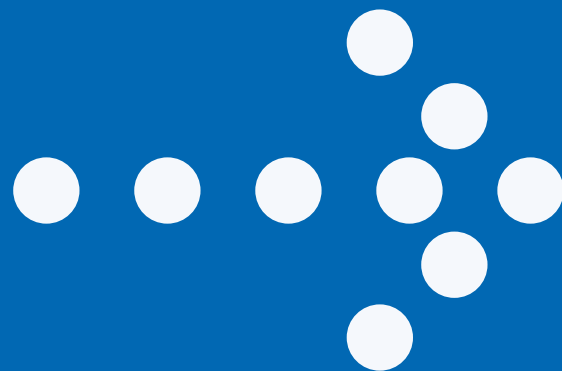
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The democratic values and principles which underlie pro-poor and gender sensitive governance indicators

The articulation of a set of values provides the normative context for selecting governance indicators and for framing key questions to focus the demand for such indicators.

2.1 International IDEA's Democracy Assessment Framework

Two basic principles of democracy drawn from International IDEA's Democracy Assessment Framework *(the State of Democracy Project)* have been used to identify the democratic values, which underlie pro-poor and gender sensitive indicators.[4] These values are:

1. Popular control over public decision making and decision makers

2. Equality between citizens in the exercise of that control

(5)

In order to apply these principles to assessing a country's system of governance from a poverty and gender perspective, it is necessary to specify a set of mediating values through which they are realised in practice. These values include *participation, representation, accountability, transparency, responsiveness, efficiency and equity*.[5]

Taken together, these mediating democratic values serve as a useful normative base for a set of pro-poor, gender sensitive governance indicators by focusing attention on selected research questions directed at different areas of governance. Indicators provide evidence of the extent to which these values are being realised in particular countries at a specific point in time. The link between democratic principles and what is required to make these principles effective in a pro-poor and gender sensitive manner is set out in Table 1.

For example, to realise the principle of representation in a pro-poor and gender sensitive manner requires that Parliamentarians at national and sub-national level articulate the concerns and priorities of women and the poor. One institutional mechanism for realising this requirement could be political party quotas for female electoral candidates.

(6)

2.2 Defining pro-poor

Since poverty is multidimensional and can be defined in many different ways, 'pro-poor' can have many different meanings. For the purpose of this guide, the use of the term 'pro-poor' is to make indicators more targeted and focused on those living in poverty. Poverty can be measured objectively or subjectively. Objective measures include absolute income poverty (calculated by reference to a poverty line) and relative income poverty (calculated by reference to mean or median incomes). Other approaches to objective poverty measurement are based on asset ownership and unfulfilled basic needs. Subjective measures are derived from surveys that ask respondents how they define poverty and whether they themselves feel that they are poor or experience poverty. This guide is sufficiently flexible to accommodate any one of these definitions of poverty.[6]

2.3 Defining gender sensitive: distinguishing women's empowerment from gender equality

Gender sensitive monitoring has two related, but distinct dimensions. Firstly, some interventions are designed to strengthen women's capacity to access resources and opportunities in order to overcome a historical backlog of discrimination and exclusion. Monitoring such policies tracks changes in *women's empowerment*. Indicators of female empowerment might include government spending per head of female population on programmes to reduce discrimination against women, and the proportion of national Parliamentary seats reserved for women.

Secondly, a particular policy or governance practice may have a different impact on men as compared to women. Measuring such differential impacts is important in order to prevent (unintended) discrimination against either men or women on grounds of gender. Monitoring such policies tracks changes in *gender equality*. Indicators of gender equality might include the ratio of parliamentary attendance rates among male and female legislators. If this ratio is persistently greater (or less) than unity, it may indicate that certain governance practices, such as the proportion of time Parliament is in session outside normal working hours, are having a disequalising impact on men and women.

The relationship between these two dimensions of gender sensitive monitoring and different classes of indicator is described and explained in section 3.2 below.

TABLE 1: REALISING DEMOCRATIC VALUES IN A PRO-POOR AND GENDER SENSITIVE MANNER		
MEDIATING VALUES	**REQUIREMENTS TO BE PRO-POOR AND GENDER SENSITIVE**	**INSTITUTIONAL MEANS OF REALISING THESE REQUIREMENTS**
PARTICIPATION	» Women/men and poor/non-poor enjoy and exercise same rights to participate » Women/men and poor/non-poor possess the capacities and resources to participate » An inclusive participatory culture exists which encourages women and the poor to be active politically	» Civil and political rights are enforced and safeguarded for all citizens » Electoral quotas for women and groups experiencing severe social disadvantage, e.g. Scheduled Castes/Tribes in India. » Civic and voter education programmes targeted at women and the poor
REPRESENTATION	» Parliamentarians at national and sub-national level articulate the concerns and priorities of women and the poor » Civil service is representative of social composition of electorate, including women and the poor	» Political party quotas for female electoral candidates » Anti-discrimination legislation and equal opportunity policies in the civil service » Affirmative action policies
ACCOUNTABILITY	» Clear and effective lines of accountability (legal, financial, administrative and political) to safeguard judicial integrity, and to ensure honest and efficient performance by civil servants in the delivery of public services to women and low income groups	» Speedy and low cost access to law courts, administrative tribunals and Ombudsmen by the poor » - Existence and enforcement of legislation against domestic violence » Anti-corruption programmes » Procedural initiatives to strengthen budgetary oversight by National Parliaments with support of Auditor-General and Accountant-General » Public Expenditure Tracking of spending on health and education » Robust political parties, civil society organisations and pressure groups to promote the interests of women and the poor
TRANSPARENCY	» Government decision-making in areas of particular concern to women and low income groups should be open to legislative and public scrutiny	» Freedom of information legislation » Independent media allowing journalists to report on gender and poverty issues » Gender sensitive budgeting (at local level) » Benefit incidence analysis of major items of public expenditure
RESPONSIVENESS	» Accessibility of government to advocates of pro-poor, gender sensitive policy formation, implementation and service delivery	» Systematic and open procedures of public consultation on issues of particular concern to women and the poor » Effective legal redress for women and members of low income groups » Local governments' policy agenda and decisions includes local priorities of women and the poor
EFFICIENCY	» Goods and services provided by the public sector at least cost and in the quantities/qualities desired by citizens	» Procedural initiatives to strengthen budgetary oversight by National Parliaments with support of Auditor-General and Accountant-General
EQUITY	» State redistributes entitlements through taxation and public expenditure in accordance with a democratically expressed social welfare function	» Progressive system of taxation and expenditure » Use of targeted welfare programmes

3 Identifying pro-poor and gender sensitive indicators

3.1 What is a pro-poor indicator?

Pro-poor requires a focus on those living in poverty. For the purposes of selecting indicators, there are four senses in which a governance indicator might be considered pro-poor: (i) *Disaggregated by poverty status* (ii) *Specific to the poor* (iii) *Implicitly pro-poor and* (iv) *Chosen by the poor.*

3.1.1 Disaggregated by poverty status

The value of the indicator is calculated separately for the part of the population or the electorate characterised as poor, and for the non-poor. As indicated in section 2.2, poverty can be defined in a variety of different ways and this guide can be used with any definition. Disaggregation is important because it allows the value of an indicator for the poor to be compared with the value of the same indicator for the non-poor.

Example: Ratio of voter turnout among the electorate living in poor households to that of the electorate living in non-poor households.

3.1.2 Specific to the poor

The indicator measures a governance practice, which is specifically targeted at the poor, such as low cost law courts.

Example: Coverage of the poor population by People's Courts (Lok Adalats) in India (%). Proportion of cases brought to trial at People's Courts, which were initiated by non-poor households (%).[7]

3.1.3 Implicitly pro-poor

The indicator makes no explicit reference to the poor. However, if it is interpreted within a wider economic,

social and political context, it is clear that the indicator is of particular relevance to low income groups.

Example: Number of hours per day that polling booths are open during election periods. [The higher the number of hours, the greater the opportunities for casual labourers and shift workers to vote without loss of earnings.]

3.1.4 Chosen by the poor

The integration of participatory techniques with survey methods provides an opportunity for low-income groups to identify and have measured governance indicators considered to be of particular interest to the poor.

Example: Acceptance by the authorities of documentation other than birth certificates in the process of voter registration.

3.2 What is a gender sensitive indicator?

As explained in section 2.3, gender sensitive monitoring needs to track changes in women's empowerment and in gender equality. There are four senses in which a governance indicator might be considered gender sensitive:[8] (i) *Disaggregated by sex* (ii) *Gender specific* (iii) *Implicitly gendered, and* (iv) *Chosen separately by men and women.*

3.2.1 Disaggregated by sex

The value of the indicator is calculated separately for men and women, and so allows comparisons to be made between the two groups. Such disaggregation is important because it may reveal the differential impact on men and women of a given policy or governance practice that may pose a challenge to achieving gender equality. It is important to note that large differences in the value of certain governance indicators, such as the propensity to vote, may exist between subgroups of

both men and women (by age, income or ethnic group). In such circumstances, the high variance of the indicator across subgroups of the same sex may be as relevant to policy as a large difference in the mean value of the indicator between the sexes.

Example: Ratio of voter turnout among men to that of voter turnout among women.

3.2.2 Gender-specific

This group of indicators measures governance practices which are specifically targeted at women or men. In practice, it is likely to be made up largely of the inputs, outputs and outcomes of policies designed to increase women's empowerment.

Example: Proportion of seats in National Parliament reserved for women (%).

3.2.3 Implicitly gendered

In this case, the indicator makes no explicit reference to gender. However, if it is interpreted within a broader context, it is clear that the indicator is of particular relevance to women or men.

Example: Number and proportion (%) of reported rape cases prosecuted in courts (victims almost exclusively female); Number and proportion (%) of reported cases of domestic violence prosecuted in courts (victims predominantly female).

3.2.4 Chosen by women

These two groups of indicators need not refer to gender at all. They may simply reflect differences in men's and women's preferences and priorities regarding different areas of governance.

Example: Percentage of women who say that they receive adequate information from the government on policies and laws that affect them.

4 Tools for shaping the demand for pro-poor, gender sensitive governance indicators

This section presents three tools for shaping the demand for pro-poor and gender sensitive indicators:

1. A set of key questions for selecting pro-poor and gender sensitive indicators;

2. A process flow chart to use as a tool for identifying indicators;

3. An integrated indicator matrix to provide an overview of where gender sensitive and pro-poor indicators are needed.

4.1 Formulation of key questions for selecting pro-poor and gender sensitive indicators

Once the normative foundations of the methodology have been made explicit, it is useful to formulate sets of key questions to shape the demand for pro-poor, gender sensitive indicators in different areas of governance. Some of these questions will be answered by using objective indicators based on survey or administrative data. Other questions will be answered by drawing on subjective indicators that measure respondents' perceptions and attitudes. (See also section 5.4 on subjective and objective indicators).

As an illustration, Table 2 lists some questions that can help in selecting pro-poor, gender sensitive indicators in the area of justice.

4.2 Use of a process flow chart as a tool for identifying indicators

An additional tool to shape the demand for indicators is a process flow chart. This provides a framework for asking questions about a specific governance process, such

TABLE 2: KEY QUESTIONS ON JUSTICE	
LEGAL PROTECTION	Are women and the poor effectively protected by the rule of law? Do women enjoy the same property rights (particularly to land) as men?
LEGAL AWARENESS	Are women and the poor aware of (i) their right to seek redress through the justice system; (ii) the officials and institutions entrusted to protect their access to justice; and (iii) the steps involved in starting legal procedures?
LEGAL ACCESS	What legal aid and counsel are available to women and the poor to access the justice system? Do the poor make significant use of informal mechanisms of dispute resolution?
ADJUDICATION	How do women and the poor assess the formal systems of justice as victims, complainants, accused persons, witnesses and jury members? How effective is the justice system in detecting crimes of domestic violence, convicting the perpetrators and preventing them from re-offending? Are men and women treated as equals by informal mechanisms of dispute resolution? How do women and the poor assess and access informal and alternative dispute resolution systems at local levels?
ENFORCEMENT	Are women's property rights (particularly to land) enforced as stringently as those of men?
PARLIAMENTARY AND CIVIL SOCIETY OVERSIGHT	What institutional mechanisms exist in Parliament to oversee the justice system? How effective are NGOs in improving the treatment of the poor and women by the justice system?

FIGURE 1: PROCESS FLOW CHART OF THE CRIMINAL JUSTICE SYSTEM WITH POTENTIAL INDICATORS

CRIMINAL JUSTICE PROCESS

INDICATORS

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                    CRIME COMMITTED                              [1]

        NOT REPORTED        REPORTED

                POLICE INVESTIGATION                             [2]

        NO ARREST MADE      SUSPECT ARRESTED                     [3]

            SUSPECT RELEASED    SUSPECT CHARGED            [4] [5] [6]

                    TRIAL STARTS                           [7] [8] [9]

        CASE DISMISSED      TRIAL CONTINUES                      [10]

                    VERDICT REACHED                             [11]

        NOT CONVICTED       CONVICTED                           [12]

  PROBABILITY OF      ACCESS TO      REHABILITATION    [13] [14] [15] [16]
  BEING ASSAULTED   LEGAL ADVICE

                    LEAVES PRISON

        SUPPORT FOR REINTEGRATION INTO SOCIETY                  [17]

        UNEMPLOYMENT RATE AMONG EX-PRISONERS              [18] [19]
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RATE OF REOFFENDING

CLEAR-UP RATE *(Convictions/Reported crimes)*

(11)

19 POTENTIAL INDICATORS	RELEVANT AREA IN TABLE 2
1. Delay in reporting crime to police (in days)	Legal protection/ awareness
2. % of police stations staffed by policewomen trained to interview complainants/victims of rape or domestic violence, and having separate rooms for interviewing.	Legal awareness/ access
3. % of reported crimes which lead to an arrest: »robbery and theft »domestic violence »rape	Legal protection/ awareness; Enforcement
4. Average time from arrest to charge (in days)	Legal access
5. Number and % of suspects held (whether charged or not) receiving free legal advice	Legal access
6. Number and % of those charged who are unemployed	Legal access
7. Average time on remand (in days)	Legal access
8. % of reported rape cases prosecuted in the courts	Adjudication
9. % of reported cases of domestic violence prosecuted in the courts	Adjudication

19 POTENTIAL INDICATORS	RELEVANT AREA IN TABLE 2
10. % of the poor population covered by special courts for low income groups	Legal access
11. Average length of trial (in days)	Adjudication
12. Clear-up rate (convictions/reported crimes %)	Adjudication
13. Probability of assault by prisoners/warders while in prison	Parliamentary/ civil society oversight
14. Number and % of prisoners receiving free legal advice	Legal access
15. Number and % of prisoners in rehabilitation (training, education)	Parliamentary/ civil society oversight
16. Facilities for female prisoners who are pregnant or give birth in prison	Parliamentary/ civil society oversight
17. Extent and nature of support received by prisoners after release	Parliamentary/ civil society oversight
18. Unemployment rate (%) among ex-prisoners one year after	Parliamentary/ civil society oversight
19. Rate of reoffending (%)	Parliamentary/ civil society oversight

as the holding of elections, the operation of the criminal justice system or the passage of the budget. The process flow chart maps a chronological sequence of steps (actions and decisions) in a specific legal, administrative or political process and can be a useful entry-point for identifying pro-poor, gender sensitive governance indicators, particularly those based on administrative data. The charts can be generated by professionally moderated multi-stakeholder group discussions on priority governance processes.

An example of a process flow chart is given in Figure 1 that has been used to identify potential performance indicators of the criminal justice system. The chart identifies 19 indicators of which three are implicitly gendered (#2,#8,#9) and one is specific to women (#16). Of the remaining 15 indicators, eleven can be disaggregated by sex (#4-7,#11,#13-15,#17-19). This leaves only four indicators that are gender-blind (#1,#3,#10 and #12). Most of these indicators can be constructed from administrative records held by the police, the courts, the prison service and the probation service.

Developing pro-poor indicators of the criminal justice system is more challenging because information on prisoners' poverty status is less readily available from administrative records. Of the 19 indicators listed in Figure 1, three are specific to the poor (#5,#10 and #14), while two are implicitly pro-poor (#6,#18). However, as is shown in section 10 in Part II which focuses on the justice sector, it should be possible in many countries to disaggregate the performance of the criminal justice system between poor and non-poor districts (rather than individuals) using information from spatially disaggregated poverty maps (see section 5.2.2).

4.3 Use of an integrated indicator matrix

When designing a governance indicator system for a specific area such as justice or electoral processes, it may be useful to classify potential indicators according to whether they are pro-poor, gender sensitive, poverty blind or gender blind. Figure 2 is an integrated indicator matrix that can be used as a template to provide an overview of the range of proposed indicators in order to identify any gaps. *For example, it can highlight where there are too few poverty and gender sensitive indicators, and too many gender and poverty blind indicators*. Part II of the guide provides examples of pro-poor and gender sensitive indicators that can be inserted directly into the matrix, or can be used to inspire discussion of new indicators.

FIGURE 2. ILLUSTRATIVE INTEGRATED MATRIX FOR THE CRIMINAL JUSTICE SYSTEM

			GENDER SENSITIVE				GENDER BLIND
			SEX-DISAGGREGATED	GENDER-SPECIFIC	IMPLICITLY GENDERED	CHOSEN BY WOMEN(MEN)	
PRO-POOR	Poverty-status disaggregated	Objective	» Ratio of (% of judges & magistrates who are female attending court in poorest 40% of districts/ % of judges & magistrates who are female attending court in other districts) » Ratio of (time on remand of male prisoners in poor districts/ time on remand of male prisoners in nonpoor districts) » Ratio of (time on remand of female prisoners in poor districts/ time on remand of female prisoners in nonpoor districts) » Ratio of (time on remand of male prisoners in poor districts/ time on remand of female prisoners in poor districts)	....	» Ratio of (% of police stations in poor districts staffed by policewomen trained to interview victims of rape & domestic violence with separate rooms to conduct such interviews/ % of police stations in nonpoor districts with similar facilities) » Ratio of (% of rape cases reported in poor districts which are prosecuted in the courts/ % of rape cases reported in nonpoor districts which are prosecuted) » Ratio of (% of domestic violence cases reported in poor districts which are prosecuted in the courts/ % of domestic violence cases reported in nonpoor districts which are prosecuted)	....	
		Subjective	» Level of trust in the police, the law courts and the criminal justice system among the poor	....		....	
	Specific to poor	Objective	» Ratio of (% of male prisoners receiving free legal advice/ % of female prisoners receiving such advice)	....	....	....	» % of the poor population covered by special courts for low income groups
		Subjective		....	....	....	
	Implicitly pro-poor	Objective	» Ratio of (% of male suspects unemployed when charged/ % of female suspects unemployed when charged) » Ratio of (% of male exprisoners unemployed 12 months after release / % of female exprisoners similarly unemployed)			....	» % of suspects unemployed when charged » Unemployment rate (%) among exprisoners 12 months after release
	Chosen by poor	Objective	....	....	....	....	....
		Subjective	....	....	....	....	....
POVERTY-BLIND		Objective	» Ratio of (% of male prisoners in overcrowded cells/ % of female prisoners in such cells)	» % of prisons with special facilities for prisoners who are pregnant or give birth in prison	» % of police stations staffed by policewomen trained to interview victims of rape & domestic violence with separate rooms to conduct such interviews. » % of reported rape cases prosecuted in the courts » % of reported cases of domestic violence prosecuted in the courts » Number & % of female lawyers experiencing sexual harassment at work	....	
		Subjective				....	

5 Information sources for governance indicators

The data requirements to support a comprehensive set of pro-poor and gender sensitive governance indicators are considerable. However, much relevant information already exists, even though it may not be widely used.

(14)

The progress of democratic governance reforms can be measured from a baseline in the past or with respect to a target in the future.[9] In some cases, such as several of the MDGs, the numerical value of a target depends on the baseline value.[10] Thus, it is important to establish an accurate baseline for all governance indicators at the start of the monitoring process. Note that it may not be possible to set the same baseline date for all indicators given that different kinds of data are collected with different frequencies. However, it is desirable that the dates of different baselines do not vary by more than three years.

5.1 Important data sources

The data sources available for constructing pro-poor and gender sensitive governance indicators, are described briefly below.

» *Surveys and Censuses:* Household surveys are essential for the analysis of citizens' experiences and perceptions of governance. However, aggregate household-level analysis may hide important differences among household members. If men are the typical respondents to household surveys, then the experiences and perceptions of women will not be captured. While censuses cover the whole population of a country, surveys interview only a sample of households. The sample must be randomly chosen to be representative of the country as a whole. See *Box 2* for an example of how household survey data can be used to inform democracy and governance policy formulation.

» *Administrative Data:* In many countries, administrative data are the most accessible, but often the least reliable data source. Usually provided by line ministries and specialized agencies, these data describe specific activities and programs in different sectors.

» *Qualitative methods:* Qualitative research tools range from participatory assessments, ethnographic case studies and sociological enquiries, to institutional and political investigations including face-to-face interviews. These methods gather information that household surveys are not able to capture, or can capture only partially. Participatory assessments, in particular, can help policy makers identify indicators important to the poor or to women. These exercises can also reveal information that is difficult to elicit from other sources, such as the incidence and effects of domestic violence.

» *Other sources (international organisations, national CSOs and the media):* There are several international

sources for aggregate and composite governance indexes that include the World Bank Institute (the *Governance Matters* series), Freedom House, Transparency International and Amnesty International. *Governance Indicators: A Users Guide*[11] (www.undp.org/oslocentre/docs04/UserGuide.pdf) published by UNDP and Eurostat provides an overview of these and assesses their strengths and weaknesses. *Narrative and qualitative reports* are produced by foreign and domestic organisations, both governmental and non-governmental. For example, the US State Department and the UK Foreign Office issue human rights reports that are examples of foreign governmental organizations collecting descriptive information on human rights practices.[12] International non-governmental organizations (INGOs) such as Amnesty International and Human Rights Watch,[13] publish annual reports on democracy practices around the world. Their coverage focuses on those countries where there are significant problems. Reports generated by national CSOs that are based on robust analysis and data are also important sources of information. In some cases, the press/media may also be an important source of information from which to base indicators. Monitoring and analysis of press coverage on specific governance themes can be used to supplement other information sources.

5.2 Single source versus multiple data sources

Two methodological strategies exist for developing governance indicators that are more pro-poor and gender sensitive. These options, single source versus multiple data sources, are not mutually exclusive.

5.2.1 Single source

Poverty data and governance data can be collected in the same instrument. One example of this strategy is DIAL's (Développement Institutions et Analyses de Long Terme) insertion of a governance module into a standard household expenditure questionnaire which was used in West Africa, Madagascar and Latin America (see Box 2). DIAL's survey was confined to seven capital cities in West Africa and seven cities in Madagascar. However, in Latin America, both rural and urban areas were included. Another example of the single instrument approach is Transparency International's insertion of an income module into a household survey of corruption in Mexico.[14]

5.2.2 Multiple sources

This strategy combines poverty data and governance data from different instruments. One example of this approach is to draw on different sources of administrative data. Information on voter turnout in electoral districts, which is available from the National Electoral Commission, can be put together with poverty proxies

for those districts, such as access to safe drinking water that is available from the relevant line Ministry. Another example is to match district level voter turnout with consumption-poverty data from spatially disaggregated poverty maps which are produced by combining data from a Population Census with a household expenditure survey. A growing number of countries have such maps including Ecuador, Panama, Mexico, Malawi, South Africa, Madagascar and Vietnam.

5.3 First- and second-generation indicators

There are two important categories of pro-poor and gender sensitive indicators: first generation indicators and second-generation indicators. *The importance of second-generation indicators is to highlight how first generation indicators can be improved.*

5.3.1 First-generation indicators

First-generation indicators currently exist and are based on data drawn from surveys, censuses, administrative records and participatory exercises, such as focus groups. Examples of first-generation indicators include

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BOX 2. Using household surveys for monitoring governance, poverty and democracy*

DIAL has undertaken pioneering work in the use of household surveys as a statistical instrument for developing indicators of governance and democracy in low-income countries. In partnership with national institutions, especially the national statistics agency, DIAL develops modules on governance, democracy and poverty that are inserted into household survey questionnaires. This work has been carried out in 12 African and Latin-American countries. The survey results enable an investigation of the population's support for democratic principles; the respect for civil and political rights and the trust in the political class; the "need for the State", particularly of the poorest; the extent of petty corruption; the reliability of expert surveys on governance; the perception of decentralisation policies at local level, and the level and vitality of social and political participation. An evaluation of the surveys showed that it is possible to develop indicators for measuring how well the population believes that institutions and democracy are working, and to estimate the extent of support for policies among the general public. Furthermore, the close involvement of national statistics agencies helped to strengthen their institutional capacity. The survey results are a public good produced by the official statistical system for measuring governance and democracy. The process of setting up the surveys constitutes one of the main strengths of this initiative. It brought together the national statistics institutions, government ministries and a cross-section of civil society organisations. The latter included representatives of marginalised groups in society who were involved in the design of the questionnaire, the data analysis and the institutionalisation of the survey revision process over time.

* For more information on DIAL's governance household survey work see www.dial.prd.fr/

the proportion of seats held by women in national Parliament and the level of government spending per head of the female population on programmes to reduce discrimination against women.

5.3.2 Second-generation indicators

Second-generation indicators are not currently available and may be divided into two groups:

» *Indicators for which data are available, even though the indicators themselves have not yet been created*: One example is the level of trust in the police, the law courts and the criminal justice system among the poor. The Global Barometer Survey[15] asks questions relating to both the level of trust and the economic status of its respondents. This would allow the construction of governance indicators for a sample of the poor in several countries. Another example is the average voter turnout in districts where at least 30% of the population is poor. This indicator could be created by overlaying electoral data on a spatially disaggregated poverty map.

» *Indicators for which data are not yet available and will have to be collected*: One example is the experience of sexual harassment at work among female legislators. This would require a survey to be undertaken by Parliament. Another example would be the incidence of assault experienced by male and female prisoners. This information may already exist on administrative records, but is unlikely to be reliable. It is best collected by an organisation independent of the Prison Authorities and under conditions where the anonymity of respondents can be guaranteed.

5.4 Subjective and objective indicators

The illustrative indicators that are provided in Part II of this guide include both subjective and objective indicators. Objective indicators measure phenomena external to the mind, such as turnout rates at elections, while subjective indicators are based on citizens' or experts' perceptions and beliefs, such as trust in the police. Since there is no simple relationship between external phenomena and people's perceptions, it is important to use both subjective and objective indicators when measuring performance in the different areas of democratic governance.

The indicators drawn from the Global Barometer Survey network are especially helpful in advancing work on subjective indicators for governance. The survey results from the New Europe Barometer, the Latinobarometro (www.latinobarometro.org/), the Afrobarometer (www.afrobarometer.org/) and the East Asia Barometer can be disaggregated by sex and poverty status. The questionnaires indicate the sex of the respondent and also contain information on several variables which can be used to distinguish between poor and non-poor respondents, e.g. educational attainment and occupational status of respondent, type of dwelling, characteristics of dwelling (windows/no windows, roof material).

part two

Application of
the framework
to seven areas
of democratic
governance
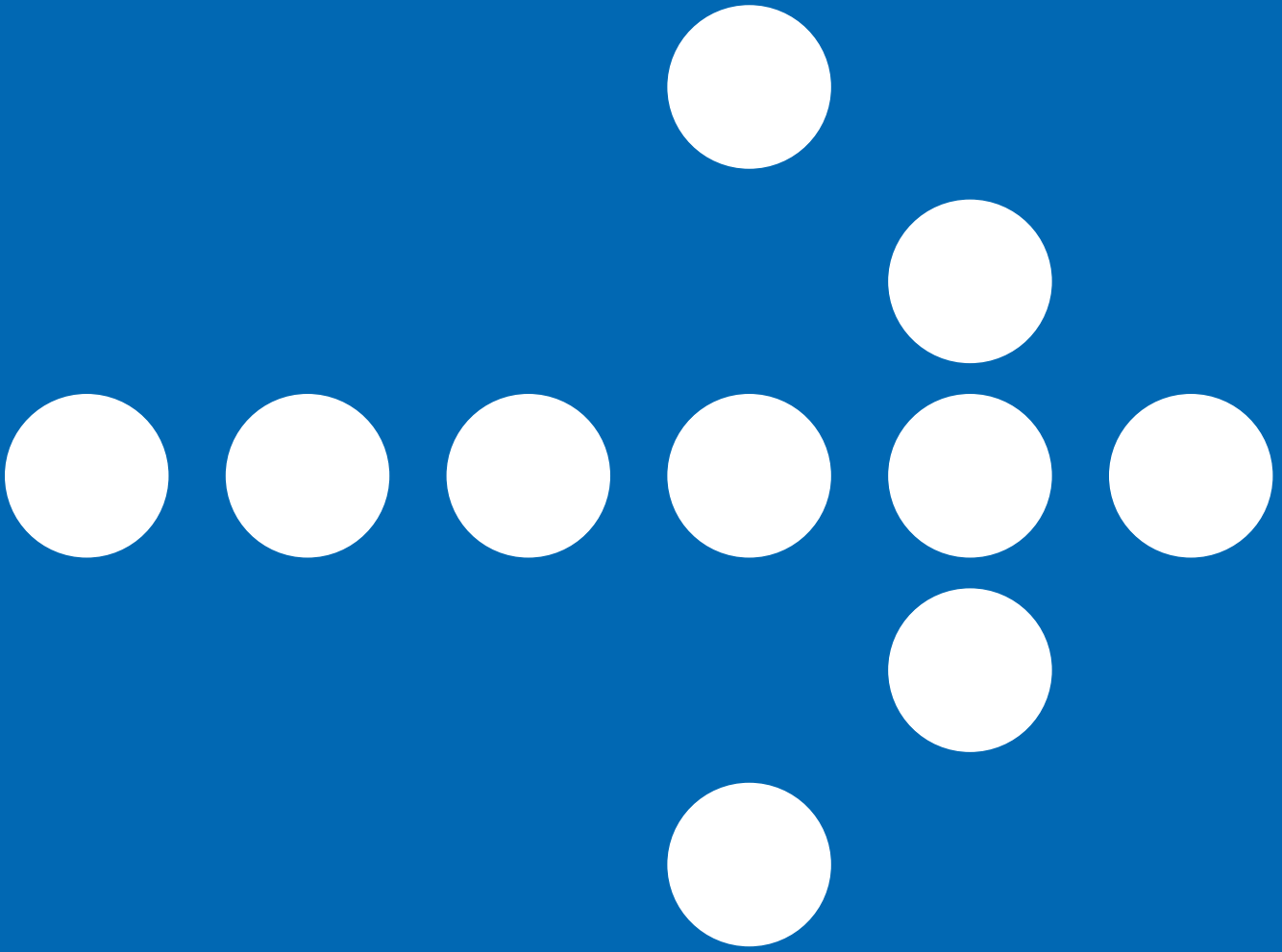
6 Selecting pro-poor and gender sensitive indicators

This section of the guide provides examples of governance indicators based on the different senses of pro-poor and gender sensitive outlined in sections 3.1 and 3.2. These indicators are presented for seven core areas of democratic governance.

1. Parliamentary development
2. Electoral systems and processes
3. Human rights
4. Justice
5. Access to information and the media
6. Decentralisation and local governance
7. Public administration reform and anti-corruption

These seven areas do not cover all aspects of governance for which performance could be measured, but they include the most important dimensions of democratic governance. They will need to be supplemented by democratic governance indicators that respond to and address additional country-specific governance priorities.

The indicators provided are purely illustrative. They are offered as examples to enhance the gender and poverty sensitivity of indicator systems for measuring and monitoring democracy, governance and human rights.

(19)

One pair of indicator matrices is given for each area of democratic governance. The first matrix provides examples of pro-poor indicators, while the second matrix suggests possible gender sensitive indicators. Each matrix presents information in a way that invites policy analysis. Thus, in the area of *Electoral Systems and Processes*, a policy-maker might ask two questions:

1. Is an increase in public expenditure aimed at raising female voter registration in poor electoral districts associated with a rise in the percentage of eligible females registered as voters in those districts? If the answer if 'No', then such expenditure should be reviewed.

2. Are changes in voting turnout among females eligible to vote in poor electoral districts related either to changes in the percentage of adult females registered as voters in those districts, or to changes in the percentage of poor female respondents believing the way they vote could improve their future welfare? If changes in turn-out are only weakly related to changes in registration, then there may be a case for switching the focus of public policy from promoting registration to reducing the costs of voting, such as providing more polling stations (particularly in rural areas) and/or ensuring secrecy of the ballot to guarantee voter anonymity.

7 Parliamentary Development

7.1 Definition and scope of the area

Parliamentary development comprises '…activities that aim to enhance the representative, legislative or oversight capacity of representative institutions in the governance process'.[16] These institutions include both national and sub-national bodies. However this guide focuses on national Parliaments.

7.2 Key questions

The questions listed below address the three roles of representative institutions identified in 7.1.

Representation

i.   Are women and low-income groups adequately represented among members of Parliament?

ii.   Does a women's caucus exist? If so, what is the extent of its activities?

iii. Does Parliament provide an adequate working environment for women and MPs drawn from low-income groups?

Legislation

iv.   Does civil society influence Parliamentarians directly on legislation relating to poverty and gender issues?

vi.   Does legislation exist that criminalises domestic violence?

Oversight

vii. Is the budget process in Parliament (formulation, approval, monitoring and evaluation) gender- and distributionally-sensitive?

viii. How many civil servants and government Ministers were called to account before Parliamentary Select Committees in the last year?

ix.   How many Parliamentary Select Committees are chaired by women?

TABLE 7.3 ILLUSTRATIVE INDICATORS FOR PARLIAMENTARY DEVELOPMENT

ILLUSTRATIVE PRO-POOR INDICATORS		POSSIBLE DATA SOURCES
POVERTY-STATUS DISAGGREGATED	» Percentage of legislators in national Parliament from an underprivileged background.[17]	» Survey of Parliamentarians
	» Level of confidence among poor citizens that the Parliament represents their interests.	» Perception survey of poor households (Annex 1 [1],[2])[18]
	» Average number of meetings Parliamentarians from poorer electorates have with their constituents compared with the average for Parliamentarians from all districts.	» Survey of Parliamentarians from poorer electorates
	» Percentage of Parliamentarians from poorer electorates that have functioning and accessible regional or local offices to meet with constituents.	» Survey of Parliamentarians from poorer electorates; survey of constituents in poorer electorates
SPECIFIC TO THE POOR	» Percentage of new laws that as bills were accompanied by a written technical analysis, opinion papers, and/or legislative study on the impact of such laws on poorer groups in society.	» Identify key laws passed during the year or take a random sample
IMPLICITLY PRO-POOR	» Frequency of engagement of pro-poor CSOs in consultations on the legislation making process (e.g. drafting, select committee input).	» Survey of CSOs; participatory assessment
	» Percentage of legislative sessions (plenary and committee) during which translation services are provided for minority languages.	» Survey of minority language Parliamentarians
CHOSEN BY POOR	» Views of the poor on the problems that they consider to be most important compared with those issues that are given priority in the national agenda.	» Perceptions based survey of poor households or households in poorer geographic areas

ILLUSTRATIVE GENDER SENSITIVE INDICATORS		POSSIBLE DATA SOURCES
SEX DISAGGREGATED	» Percentage of seats held by women in national Parliament.	» Administrative data, as well as international databases: www.ipu.org/wmn-e/world.htm, www.quotaproject.org
	» Percentage of Parliamentary Committees chaired by women.	» Administrative data
	» Level of confidence among female citizens (poor and non-poor) that the Parliament represents their interests.	» Perceptions based survey of women (poor and non-poor) in a sample of electorates
	» Views of women/men on the problems that they consider to be most important compared with those issues that are given priority in the national agenda.	» Perceptions based survey of households
GENDER SPECIFIC	» Percentage of Parliamentary sessions held outside normal working hours.	» Administrative data
	» Proportion of seats in National Parliament reserved for women.	» Administrative data
	» Percentage of new laws that which as bills were accompanied by a written technical analysis, opinion papers, and/or legislative study on the impact of such laws on women /men.	» Observation and analysis of public meetings and hearings and legislative debates; interviews with relevant CSOs
	» Number of Parliamentarians subject to gender sensitivity training including gender budgeting.	» Administrative data
IMPLICITLY GENDERED	» Legislation against domestic violence.	» Analysis of legislation
	» Legislation on workforce/workplace issues that can affect such areas as maternity leave.	» Analysis of legislation
CHOSEN BY WOMEN	» Level of confidence among women on whether the Parliament is adequately addressing issues that affect women.	» Perceptions based survey of women

8 Electoral systems and processes

8.1 Definition and scope of the area

The practice of free and fair elections is a necessary condition of democratic governance. Elections serve as a means for people to choose their representatives, as a mechanism for choosing governments and as a device for conferring legitimacy on the political system. This area of democratic governance includes the design of electoral systems, the administration of elections, voter registration (including the demarcation of electoral districts), civic and voter education, and electoral dispute resolution.[19]

8.2 Key questions

The questions listed below address some of the particular challenges to electoral systems for women and the poor. If the costs of voting for marginalised groups (including the costs of voter registration), are very high (see iii below), the electoral system becomes not just a political but also an economic issue. For example, in some countries, those not registered on the electoral lists cannot be employed by the administration, nor buy or sell land.

Voter registration

i. What efforts are being made to increase electoral participation (as voters and as candidates) by women and the poor?

ii. What proportion of men and women in poor households who are eligible to vote have registered as voters?

Private costs of voting

iii. What are the costs of voting faced by men and women in poor households, e.g. time it takes to get to voting booths, transport costs, intimidation, lack of security, and how may these be reduced?

Voter turnout

iv. What proportion of men and women in poor households who are registered as voters actually vote?

Gender composition of candidates

v. What is the ratio of female to male candidates in national Parliamentary elections?

Perceptions of the electoral process

vii. How do men and women in poor households perceive the electoral process?

TABLE 8.3 ILLUSTRATIVE INDICATORS FOR ELECTORAL SYSTEMS AND PROCESSES	
ILLUSTRATIVE PRO-POOR INDICATORS	**POSSIBLE DATA SOURCES**
POVERTY-STATUS DISAGGREGATED	» Expenditure on voter education specifically targeted at poor households and schools and other meeting places in poorer geographic areas.	» Administrative data and analysis of external donor programmes supporting voter education
	» Ratio of poor to non-poor voters in elections.	» Analysis of census data matched with voting data
SPECIFIC TO THE POOR	» Average time (minutes, hours) required to vote in state/national elections in poor electoral districts (travel, queuing, voting).	» Administrative data or survey data
IMPLICITLY PRO-POOR	» Number of hours per day that polling booths are open during election periods.	» Analysis of polling booth opening hours
	» Acceptance by the authorities of documentation other than birth certificates in the process of voter registration.	» Assessment of electoral legislation and regulations; analysis of reports by CSOs on voter registration
	» Percentage of voter education campaigns that use communication techniques that do not require literacy.	» Analysis of a sample of voter education initiatives
CHOSEN BY POOR	» Percentage of poor respondents believing the way they vote could improve their future welfare.	» Perceptions based survey (Annex 1 [3])
	» Percentage of poor respondents that have not registered because of a sentiment that their vote is meaningless.	» Perceptions based survey (Annex 1 [4])
	» Percentage of poor respondents who are registered, but did not vote because of a sentiment that their vote is meaningless.	» Perceptions based survey (Annex 1 [5])
	» Percentage of poor respondents that are not voting because of the private costs of voting (including lack of security).	» Perceptions based survey (Annex 1 [6])

ILLUSTRATIVE GENDER SENSITIVE INDICATORS	**POSSIBLE DATA SOURCES**
SEX DISAGGREGATED	» Expenditure targeted on increasing female voter registration in poor electoral districts.	» Administrative data
	» Percentage of eligible females registered as voters in poor electoral districts.	» Analysis of electoral roll in poorer geographic areas
	» Voter turnout (percentage) among registered females in poor districts.	» Administrative data
	» Expenditure on special programmes in civic and voter education targeted at women.	» Administrative data and analysis of external donor programmes supporting voter education
	» Ratio of female to male voters in elections.	» Analysis of voting data
	» Ratio of female to male candidates in elections.	» Administrative data
GENDER SPECIFIC	» Prevalence of women in poor districts indicating that it was common for women to vote as instructed by father, husband or other male figure.	» Assessment of reports generated by national and international CSOs particularly based on focus group discussions and survey data.
	» Percentage of seats in national Parliament reserved for women.	» Global database of Parliamentary quotas for women: www.quotaproject.org and http://epicproject.org/ace/compepic/en/VE06
IMPLICITLY GENDERED	» Degree to which electoral laws facilitate or hinder the participation of women as candidates for elections or as voters.	» Comparative content analysis of existing laws and regulations as well as reform proposals
CHOSEN BY WOMEN (MEN)	» Percentage of women respondents believing the way they vote could improve their future welfare.	» Perceptions based survey (Annex 1 [7])
	» Percentage of poor women that have not registered or who are not voting because of a sentiment that their vote is meaningless.	» Perceptions based survey (Annex 1 [8])

9 Human rights

9.1 Definition and scope of the area

Respect for human rights forms part of the normative foundations of democratic governance. The UN Charter and the Universal Declaration of Human Rights, together with two International Covenants (on Economic, Social and Cultural Rights, and on Civil and Political Rights), provide the global framework for recognising and protecting human rights. This International Bill of Rights is supported by five International Conventions that protect the rights of women, children and migrant workers, as well as seeking to eliminate racial discrimination and torture. These covenants and conventions are legally binding, and signatories have reporting obligations to the relevant committees charged with monitoring their observance. Domestic laws embodying human rights are one of the most important steps towards ensuring that States fulfil their international human rights obligations.

(24)

UNDP has produced specific guidance for developing and selecting human rights indicators: *Indicators for Human Rights Based Approaches to Development in UNDP Programming — A Users Guide* (2006), which can be accessed at the UNDP Oslo Governance Centre's website at http://www.undp.org/oslocentre/. This Users Guide specifies four critical areas for using indicators: (i) understanding the human rights situation at the country level through the identification and use of indicators that can be used to provide an assessment of the baseline human rights situation (ii) understanding the capacities of individuals and groups as 'rights holders' to claim their rights as well as the capacities of state institutions as 'duty bearers' to promote and protect human rights on the ground (iii) identifying and using indicators for ensuring the incorporation of human rights principles in the design, implementation and monitoring of development programmes and (iv) identifying and using indicators to determine the likely impact of programmes on furthering human rights in the country.

9.2 Key questions

Human rights define the relationship between individuals and groups with valid claims *('right holders'*), and state and non-state actors with corresponding obligations *('duty bearers'*). To promote and ensure a human rights based approach requires three important steps:

1. Identifying the different groups of rights-/claim-holders among the poor in order to assess their degree of empowerment and their capacities to claim human rights.

2. Distinguishing the corresponding groups of duty-bearers and assessing their level of compliance and their capacities to comply.

3. Evaluating the extent and nature of the dialogue between claim-holders and duty-bearers.

TABLE 9.3 ILLUSTRATIVE INDICATORS FOR HUMAN RIGHTS	
ILLUSTRATIVE PRO-POOR AND GENDER INDICATORS FOR HUMAN RIGHTS	**POSSIBLE DATA SOURCES**
POVERTY-STATUS / SEX DISAGGREGATED	
» Evidence of key duty bearers (e.g. Ministry of Social Welfare, Ministry of Labour, Ministry of Justice and its administrative branches, Ministry of Health, Ministry of Indigenous Affairs) having an understanding and knowledge of human rights principles and their responsibilities to claim-holders specifically to poor people and women.	» Administrative data and CSO sources on existence and number of training programmes on human rights in key duty bearing institutions
» Evidence of duty bearers' knowledge of the size, characteristics and geographic location (particularly the poor) of their claim-holders through undertaking analyses and consultations with CSOs and interest groups.	» Administrative data (existence of reports) and CSO sources on whether analysis is undertaken
» Evidence of understanding of duty bearers of the impact of their programmes and policies on their claim-holders.	» Administrative data (existence of reports) and CSO sources on whether such analysis exists
» Data on whether key duty bearers have the capacities to perform their duties (including authority, information/data and resources).	» Data by ministry on resources allocated to fulfilling human rights responsibilities including training, information provision and access to decision making processes
» The extent to which duty-bearers have accepted and internalised the responsibility to act according to their responsibilities.	» Existence of human rights training programmes, internal policies and guidelines on human rights
» Existence of national human rights commissions and other independent state institutions (Ombudsman) charged with protecting and promoting human rights.	» Mapping of institutions
SPECIFIC TO THE POOR/WOMEN	
» Existence of the state's ratification of relevant International Conventions affecting human rights particularly those that affect the poor and women.	» Comments from the UN treaty bodies and Special Rapporteurs that monitor the extent to which State Parties are fulfilling their obligations. Qualitative and quantitative analysis of national reports to specific convention such as the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)
» Existence of legislation, institutions and policies that give effect to these conventions.	
» Government spending per capita of female population on programmes to reduce discrimination against women.	» Administrative data by ministry
» Existence of formal/informal institutional mechanisms and processes through which claim-holders and duty-bearers maintain a dialogue including specific and deliberate outreach to women and poorer groups.	» Administrative data and CSO sources
» Number of annual face-to-face meetings between representatives of claim-holders and duty-bearers.	» Administrative data and CSO sources
IMPLICITLY PRO-POOR / GENDER SENSITIVE	
» Existence of right to information legislation including provision for proactive disclosure of official information e.g. regularly updated user-friendly websites posted by duty-bearers as well as use of information and communication channels that are relevant to the poor (i.e. accessible to illiterate groups).	» Qualitative and quantitative analysis of national laws. Freedom.org (www.privacyinternaitonal.org) maintains a global database of countries with right to information legislation
» Number of independent CSOs and support organisations devoted to women's issues and the empowerment of women that identify human rights promotion as part of their mandate.	» Administrative data on number of CSOs registered. International and national qualitative reports on the state of civil society
» Evidence that an enabling environment exists for civil society and non-governmental organisations that advocate for the poor and for women.	» Qualitative and quantitative analysis of national laws. CIVICUS (www.civicus.org) also maintains a programme for assessing the state of civil society in a range of developing countries across all regions
CHOSEN BY POOR / WOMEN	
» Evidence that women and the poor are aware of their rights.	» Proportion of human rights awareness activities that are specifically targeted at women and to poorer groups

10 Justice

10.1 Definition and scope of the area

The justice sector includes the criminal and civil justice systems, and encompasses both formal and informal mechanisms of dispute resolution. Frequently used indicators for assessing the performance and quality of the formal justice system may miss important facets of the experiences of those who are poor and marginalised. Therefore informal and traditional justice sector indicators are needed to complement indicators for the formal justice system. However, the data to support such indicators often does not exist or are difficult to collect.

(26) In many countries, the poor live in rural areas far from police stations and the courts. They may also experience difficulties in finding legal representation. The poor are also often over represented in the number of those arrested, charged and held in detention, and the ability of the police, courts and prisons to provide fair and humane treatment is critical for protecting this population. Women also tend to suffer disproportionately under inefficient or corrupt justice systems. In many areas the police, courts and judiciary are male dominated. Women may find it difficult to get fair representation and may experience discrimination or abuse when they seek to do so.

The Vera Institute of Justice (www.vera.org) is a leading international organisation in the development of pro-poor and gender sensitive indicators for measuring the quality and performance of the justice sector. A useful guide on Justice Sector indicators developed by the Vera Institute of Justice can be accessed at the UNDP Oslo Governance Centre's website at www.undp.org/oslocentre/docs05/cross/Justice%20Indicators%20Background%20Paper.pdf.

10.2 Key questions

In order for any justice system to supply an appropriate remedy for a specific grievance, six capacities are required: protection, awareness, access, adjudication, enforcement and oversight.[20] These actions provide a framework for identifying a set of pro-poor, gender sensitive justice indicators.

Legal protection

» Are women and the poor effectively protected by the rule of law?

» Do women enjoy the same property rights (particularly to land) as men?

Legal awareness

Are women and the poor aware of:

» Their rights to seek redress through the justice system?

» The officials and institutions entrusted to protect their access to justice?

» The steps involved in starting legal procedures?

Legal access

» What legal aid and counsel are available to women and the poor to access the justice system?

» Do the poor make significant use of informal mechanisms of dispute resolution?

Adjudication

» How effective is the justice system in detecting crimes of domestic violence, convicting the perpetrators and preventing them from re-offending?

» Are men and women treated as equals by informal mechanisms of dispute resolution?

» How do women and the poor assess the formal and informal systems of justice as victims, complainants, accused persons, witnesses and jury members?

Enforcement

» Are women's property rights (particularly to land) enforced as stringently as those of men?

Oversight

» How effective are CSOs in improving the treatment of the poor and women by the justice system?

» What institutional mechanisms exist in Parliament to oversee the justice system?

The use of household surveys to measure perceptions of justice among the poor and their trust in various institutions of the justice systems e.g. trust in the police, law courts and criminal justice system is increasingly common.[21] Such surveys are important tools in capturing the voice of the poor, but often are more costly than administrative data.

TABLE 10.3 ILLUSTRATIVE INDICATORS FOR JUSTICE

ILLUSTRATIVE PRO-POOR INDICATORS		POSSIBLE DATA SOURCES
POVERTY-STATUS DISAGGREGATED	» Ratio of women to men accessing civil courts.	» Court records
	» Probability of assault on (i) male and (ii) female prisoners.	» Administrative data from the Police and Ministry of Justice
	» Ratio of prosecution caseloads in courts serving rich communities to those in courts serving poor communities.	» Court records and census data
	» Clearance / solution rate of crimes in poorest 40% of districts in the country.	» Administrative data from the Police and Ministry of Justice
SPECIFIC TO THE POOR	» Number of courts operating in rural and urban areas with concentration of poor people.	» Court records and census data
	» Number of public defenders and defenders provided through legal aid and law clinic defenders per 100,000 of population.	» Administrative data from the Ministry of Justice, census data
	» Existence of programmes targeted at poorer geographic areas promoting awareness of citizens' rights to seek redress through the justice system, the officials and institutions entrusted to protect their access to justice, and the steps involved in starting legal procedures.	» Administrative data from the Ministry of Justice, census data, CSO sources
IMPLICITLY PRO-POOR	» Number of CSOs who are engaged in improving the treatment of the poor by the justice system.	» Administrative data on number of CSOs registered with such a mandate. International and national qualitative reports
CHOSEN BY POOR	» Level of trust in the police, the law courts and the criminal justice system among the poor.	» Survey data (Annex 1 [9])
	» Percentage of citizens that say they have access to the court system to resolve disputes disaggregated by region and level of urbanisation.	» Survey and census data
	» Percentage of citizens who say that the police will respond to them without requiring a bribe if called to resolve a dispute disaggregated by gender, ethnicity, region and level of urbanisation.	» Survey and census data, country reports produced by Transparency International (Annex 1 [10])

ILLUSTRATIVE GENDER SENSITIVE INDICATORS		POSSIBLE DATA SOURCES
SEX DISAGGREGATED	» Percentage of judges and magistrates who are female.	» Court records and Ministry of Justice data
	» Proportion of female lawyers.	» Court records
	» Prevalence of violence against women cases prosecuted in the courts.	» Court records
	» Prevalence measure of reported domestic violence as well as estimates of unreported violence.	» Administrative data from the Police and the Ministry of Justice as well as other sources (CSO, media and international reports)
GENDER SPECIFIC	» Legal basis for access to justice (legislation and policy) exists that provides equality of access to women and men including property rights.	» Qualitative analysis of legislation and policies
	» Existence of programmes targeted at women promoting awareness of citizens' rights to seek redress through the justice system, the officials and institutions entrusted to protect their access to justice, and the steps involved in starting legal procedures.	» Administrative data from the Ministry of Justice, census data, CSO sources
IMPLICITLY GENDERED	» Number of CSOs who are engaged in improving the treatment of the poor by the justice system.	» Administrative data on number of CSOs registered with such a mandate. International and national qualitative reports
CHOSEN BY WOMEN	» Percentage of citizens who say that they have access to court systems to resolve disputes disaggregated by gender, region and level of urbanisation.	» Survey data
	» Percentage of women who say that use informal/traditional mechanisms of dispute resolution as opposed to the formal system.	» Survey data

11

Access to information and the media

11.1 Definition and scope of the area

A well-informed citizenry is a key component of demo-
cratic governance. Access to information is fundamental
in bolstering democratic principles of openness, trans-
parency and accountability and in eradicating poverty.
Information can empower poor communities and
strengthen their position when dealing with govern-
ment. The media (especially press, radio and television)
play a key role in providing citizens with information.

11.2 Key questions

Many desirable attributes of the media in a democracy
and of the right to official information are both gen-
der- and poverty-blind, e.g. a free and independent
press, journalists able to work without harassment or
intimidation, citizens protected from unwarranted press
intrusion.

In order to understand what is meant by a pro-poor,
gender sensitive media or right to information it is nec-
essary to:

» Review what information poor men and women
require to participate in public decision-making pro-
cesses and achieve full citizenship.

» Resolve how this information is best made available
and accessible to them in different national and local
contexts.

» Assess whether the media provide this information in
an appropriate fashion.

Pro-poor

» If right to official information legislation is in place,
are poor people using it?

» Is official information made available in form that is
useable with low levels of literacy?

» Is it possible to waive or reduce any charges for infor-
mation in order to ensure that poor people are not
blocked from access in practice?

» Is information produced in a form that is useful to the
poor in terms of content and accessibility?

» Has the government developed special programmes
to raise awareness of the right to information among
marginalised groups? (i.e. the South African and
Indian right to information laws explicitly require
public education programmes to be developed
which target marginalised groups.) **(29)**

» Do systems exist for providing information in rural
areas through community radio, mobile phone provi-
sion or local internet access points?

» Do mechanisms exist that enable the poor to articu-
late their own information requirements and needs?

» Do public officials travel to rural areas to answer
questions and participate in discussion?

» Which media are used by the poor as sources for
news and information?

» Do the poor trust the media?

» Of those languages used by the poor, what propor-
tion serves as the means of communication for at
least one daily newspaper/radio/TV programme?

Gender sensitive

» If right to official information legislation is in place, is
it being used by men more than women?

» Is information provided that is relevant to women?
Is such information available in a way that allows
women access without being controlled by men?

» Are the gender implications of official information made explicit, i.e. budgetary information should reveal how taxation and public expenditure affect men and women differently?

» Is official information transparent about discrimination against women and marginalised groups, e.g. by demonstrating an awareness of how these groups' needs are, or are not, being addressed? This is particularly important in sectors like health and education.

» Do mechanisms exist that enable women to articulate their own information requirements and needs?

» What proportion of press, radio and TV journalists at national level are women?

» What proportion of senior media executives at national level are women?

» What is the extent of media coverage of issues that might be of direct interest or relevant to the situation of women e.g. child and reproductive health (including nutrition and access to clean water); domestic violence.

UNDP has produced specific guidance for developing and selecting indicators related to the effective implementation of a right to information and the implications for the poor and women, A *Guide to Measuring the Impact of Right to Information Programmes* (2006) which can be accessed at the UNDP Oslo Governance Centre's website at http://www.undp.org/oslocentre/.

TABLE 11.3 ILLUSTRATIVE INDICATORS FOR ACCESS TO INFORMATION AND THE MEDIA

ILLUSTRATIVE PRO-POOR INDICATORS		POSSIBLE DATA SOURCES
POVERTY-STATUS DISAGGREGATED	» Percentage of poor households possessing a radio and/or TV.	» Household survey
	» Percentage of poor households possessing a mobile phone.	» Household survey
	» Percentage of schools in poor districts with access to the Internet.	» Ministry of Education
	» Number of requests for official information from people in poorer areas of the country.	» Administrative data from Ministries, the Information Commissioner / Ombudsman or institution charged with overseeing a legislated right to information
SPECIFIC TO THE POOR	» Use of radio, TV, mobile phone, Internet and press as information sources by the poor.	» Survey data matched with census data
	» Coverage by the media of issues that affect the poor.	» Qualitative analysis of mainstream media programmes especially those that are most used by the poor
	» Evidence that state institutions are adopting information and communication mechanisms that are relevant to the poor when making information public about their policies and actions.	» CSO assessments and qualitative / quantitative analysis of major information sharing initiatives
	» Evidence that the regulations enabling right to information do not restrict access by poor people, e.g. high fees for access to official information.	» Qualitative analysis of the legislation and guidelines for providing access to information
	» Evidence of awareness raising programmes on the right to information targeted at poor people.	» Administrative data and CSO reports, survey data
IMPLICITLY PRO-POOR	» Existence of legislation providing a right to official information and its effective implementation.	» Qualitative and quantitative analysis of national laws. Freedom.org (www.privacyinternaitonal.org) also maintains a global database of countries with right to information legislation
	» Existence of CSOs acting as information intermediaries for the poor, i.e. transforming information for the poor by using appropriate tools.	» Administrative data on number of CSOs registered with such a mandate. International and national qualitative reports
CHOSEN BY POOR	» Perceived information deficit about political life and actions of the government among the poor.	» Survey data (Annex 1 [11])
	» Perception of whether the mainstream media cover issues that are of interest and relevant to the poor.	» Survey data
	» Level of trust in State Broadcasting Corporation and other media among the poor.	» Survey data (Annex 1 [12])

ILLUSTRATIVE GENDER SENSITIVE INDICATORS		POSSIBLE DATA SOURCES
SEX DISAGGREGATED	» Percentage of Press, radio and TV journalists at national level who are women.	» Data collected from media outlets
	» Proportion of women/men that have requested official information.	» Administrative data (although sex of the requester may not be recorded)
GENDER SPECIFIC	» Proportion of media coverage on issues that are of importance to women (e.g. child/ reproductive health and domestic violence).	» Qualitative analysis of mainstream media, CSO sources, interviews with senior media executives from selected media outlets
	» Evidence that the gender implications of official information are made explicit, e.g. how the budget affects men and women differently.	» Focus group discussion with selected officials from key government ministries
	» Evidence that the provision of official information is gender sensitive as a result of being disseminated through different channels for men and women.	» Qualitative analysis of information programmes on men's and women's issues, including an assessment of whether the channels used are appropriate
IMPLICITLY GENDERED	» Existence of legislation providing a right to official information and its effective implementation.	» Qualitative and quantitative analysis of national laws. Freedom.org (www.privacyinternaitonal.org) also maintains a global database of countries with right to information legislation
	» Existence of CSOs acting as information intermediaries for women i.e. analysis and dissemination of information that has special relevance to women.	» Administrative data on number of CSOs registered with such a mandate. International and national qualitative reports
CHOSEN BY WOMEN	» Percentage of women who say that they receive adequate information from the government and the media on policies and laws that affect them.	» Survey data

12 Decentralised governance for development

12.1 Definition and scope of the area

Decentralised governance for development comprises 'decentralisation, local governance, and urban/rural development'.[22] Political decentralisation transfers power and authority to sub-national levels, such as state assemblies and elected village councils. Devolution occurs where the sub-national authority becomes wholly autonomous. Fiscal decentralisation implies the allocation of some public resources by central government to local governments. Administrative decentralisation takes two forms: (i) deconcentration which transfers authority to a local unit that remains accountable to the central government agency which has been decentralised; and (ii) delegation which occurs when authority is transferred to a local unit which may not be a branch of the delegating agency. However, vertical accountability to the delegating central agency is retained.

In large federal states, such as India, Mexico or Brazil, there may exist several sub-national tiers of government, e.g. state, province and district. In smaller states, there will be fewer levels of administration.

12.2 Key questions

The questions listed below address several key aspects of decentralised governance from a pro-poor, gender sensitive perspective.

Extent and nature of decentralisation

» What is the extent of political, fiscal and administrative decentralisation?

Representation

» Are women adequately represented among members of local assemblies/ councils, senior office holders in local government and the civil service at local level?

» Do women's caucuses exist in local assemblies?

Oversight

» Is gender sensitive budgeting practised at local level?

» Are local civil servants and local government Ministers accountable to local assemblies/councils?

Capacity building

» How many local authorities had staff who undertook gender-sensitivity training in the last 12 months?

Civil society

» Are pro-poor and gender sensitive non-governmental organisations active in the poorest districts?

A useful resource for selecting indicators for Local Governance, specifically for urban/city local governance is the UN Habitat, *Urban Governance Index* (www.unhabitat.org/campaigns/governance/activities_6.asp). The index includes a range of indicators to help cities identify key urban governance issues and assess their progress towards improving the quality of city-life.

Another important resource is the United Cities and Local Governance (UCLG) programme's database on women in local decision-making, which provides an overview of the percentages of female elected representatives at global, regional and national levels in 54 countries(**www.cities-localgovernments.org/uclg/index.asp?pag=wldmstatistics.asp&type=&L=EN&pon=1**)

TABLE 12.3 ILLUSTRATIVE INDICATORS FOR DECENTRALISED GOVERNANCE FOR DEVELOPMENT	
ILLUSTRATIVE PRO-POOR INDICATORS	**POSSIBLE DATA SOURCES**
POVERTY-STATUS DISAGGREGATED » Percentage of legislators in local assemblies/ councils from an underprivileged background, e.g. coming from a poor household, minimal schooling, minority group.	» Survey data
» Number of non-governmental organisations active in the poorest districts.	» Administrative data on number of registered NGOs at district level
SPECIFIC TO THE POOR » Evidence of local policies targeted at the poor, e.g. employment programmes, improved access to basic services.	» Analysis of local government policies
IMPLICITLY PRO-POOR » Percentage of local service delivery units (schools, clinics) publicising their planned and actual expenditures.	» Administrative data
» Existence of an agency to investigate cases of corruption at the local level.	
» Existence of public fora for citizens to discuss their views with locally elected officials.	» Administrative data and focus group discussions with local CSOs
CHOSEN BY POOR » Perceptions of poor respondents on whether they believe there has been an improvement in the provision of public services because of decentralisation.	» Survey data
» Percentage of poor households in favour of decentralisation.	» Survey data (Annex 1 [13])
» Perceptions of poor households on the performance of local government.	» Survey data (Annex 1 [14])
» Perceptions of poor households on corruption in local government.	» Survey data (Annex 1 [15])
ILLUSTRATIVE GENDER SENSITIVE INDICATORS	**POSSIBLE DATA SOURCES**
SEX DISAGGREGATED » Percentage of seats held by women in local assemblies/councils.	» Administrative data
» Percentage of committees of local assemblies/councils chaired by women.	» Administrative data
» Percentage of mayors who are women.	» Administrative data
» Percentage of local authority staff who are women.	» Administrative data
» Percentage of female legislators in local assemblies/ councils from underprivileged background.	» Administrative and survey data
GENDER SPECIFIC » Average number of NGOs engaged in gender-advocacy in rural and urban districts.	» Administrative data on number of registered NGOs in the district
» Percentage of local authorities whose staff undertook gender-sensitivity training in the last 12 months.	» Administrative data
» Percentage of local assemblies/ councils having a women's caucus.	» Administrative data
» Percentage of local assemblies/ councils practising gender sensitive budgeting.	» Qualitative analysis of budget process in local government
IMPLICITLY GENDERED » Number of organisations (governmental and NGOs) supporting women and children at local level in cases of domestic violence and rape, e.g. through provision of refuges for battered women.	» Administrative data on number of registered NGOs in the district
CHOSEN BY WOMEN » Perceptions of women and men on whether there has been an improvement in the provision of public services because of decentralisation.	» Survey data
» Levels of satisfaction expressed by men and women regarding local government service provision.	» Survey data

(33)

13 Public administration reform and anti-corruption

13.1 Definition and scope of the area

Public administration includes the institutional apparatus of the executive branch of government at national and sub-national level. Public administration reform encompasses four areas:

1. Civil service reform

2. Increasing the efficiency and responsiveness of policy-making

3. Improving the machinery of government

4. Strengthening systems of public revenue and expenditure management

Corruption is understood as 'the misuse of public power, office or authority for private benefit through bribery, extortion, influence peddling, nepotism, fraud, speed money or embezzlement'.[23] While agents in the private sector may also misuse their office or authority for private benefit, this paper concentrates on corruption in the public sector.

13.2 Key questions

The questions listed below address some of the features of public administration reform and anti-corruption programmes that are likely to be of particular significance for low-income groups and women. Note that a robust and independent media acts as an important check to corruption.

Civil service reform

» Do affirmative action programmes for women in the civil service exist?

» Do anti-sex discrimination laws and equal opportunities policies in the civil service exist and are they enforced?

» How do men and women compare with respect to

  • Their share of jobs in the civil service and in the senior civil service?

  • Their average wage in the civil service?

  • The relative degree of wage compression in the civil service?

  • The relative wage differential between the public and private sector?

Increasing the efficiency and responsiveness of policy-making

» Are policies of particular relevance to women, e.g. child and reproductive health, monitored and evaluated effectively?

Improving the machinery of government

» How satisfied are women in poor households with the delivery of public services?

Strengthening systems of public revenue and expenditure management

» Are Public Expenditure Tracking Surveys (PETs) undertaken regularly for education and health?

Anti-corruption

» How does poor women's experience of corruption compare with that of men?

» How do poor households rate the incidence of corruption across different public agencies?

» Do poor households believe that the incidence of corruption is increasing or decreasing?

» Is anti-corruption legislation actively enforced?

TABE 13.3 ILLUSTRATIVE INDICATORS FOR PUBLIC ADMINISTRATION REFORM AND ANTI-CORRUPTION

ILLUSTRATIVE PRO-POOR INDICATORS		POSSIBLE DATA SOURCES
POVERTY-STATUS DISAGGREGATED	» Percentage of poor households using public services who experienced corruption directly in the last 12 months.	» Survey data (Annex 1 [16])
SPECIFIC TO THE POOR	» Percentage of reported corruption in public agencies of particular relevance to the poor, e.g. education (schools), health (clinics, hospitals) and the police.	» Survey data (Annex 1 [17])
IMPLICITLY PRO-POOR	» Number of public agencies for which public expenditure tracking surveys (PETS) are regularly conducted.	» Administrative data
CHOSEN BY POOR	» Percentage of poor households believing that corruption is unchanged or rising.	» Survey data (Annex 1 [18])

ILLUSTRATIVE GENDER SENSITIVE INDICATORS		POSSIBLE DATA SOURCES
SEX DISAGGREGATED	» Ratio of women to men employed in (i) civil service and (ii) senior civil service.	» Administrative data
	» Average wage of women in the civil service/ average wage of men in the civil service.	» Administrative data
	» Average wage of women in the civil service/ average wage of women in the private sector as a proportion of the average wage of men in the civil service/average wage of men in the private sector.	» Administrative data
	» Sex-disaggregated benefit incidence analysis of public spending on education and health.	» Gendered budget analysis
	» Percentage of women in poor households having contact with the administration in the last 12 months who experienced corruption directly, compared with the percentage of men in poor households having contact with the administration in the last 12 months who experienced corruption directly.	» Survey data (Annex 1 [19])
GENDER SPECIFIC	» Existence of affirmative action programmes for women in the public ministries and administration.	» Survey data
	» Annual expenditure on affirmative action programmes for women in civil service.	» Administrative data
	» Existence of anti-sex discrimination laws and equal opportunities policies in the civil service and evidence of their enforcement and implementation.	» Qualitative and quantitative analysis of legislation and Ministry/Administration policies
	» Annual expenditure on anti-sex discrimination legislation/equal opportunity policies.	» Administrative data
IMPLICITLY GENDERED	» Incidence of reported corruption in public agencies of particular relevance to women, e.g. those responsible for improving access to safe drinking water in rural areas.	» Survey data (Annex 1 [20])
CHOSEN BY WOMEN	» Level of satisfaction with public services expressed by women in poor households.	» Administrative data on user activity, survey data

(35)

part three

Indicator selection as a governance process

14

The process of selecting governance indicators

A system of indicators can only be used to promote pro-poor and gender sensitive democratic governance if it is fully understood by, and if it commands widespread support among a broad range of national stakeholders. For these reasons, it is important to ensure that all key decisions including the choice of indicators and the creation of an appropriate institutional framework for data collection and monitoring, derive from an inclusive and participatory debate. Consequently, this part of the guide provides some guidance on the following areas:

» Engaging key stakeholders

» Identifying the priority governance issues

» Selecting indicators

» The institutional framework for monitoring indicators

14.1 Engaging key stakeholders

The engagement in indicator selection of a broad range of stakeholders including government, civil society, political parties, the media and academia is critical for national ownership, and for securing a commitment to the use of governance indicators. Furthermore, the involvement of CSOs is important to ensure that the voices of marginalised groups in society are reflected in discussions of how to measure democratic governance, as well as in holding government to account.

The poverty reduction strategy (PRS) process provides a key entry point for working with a variety of stakeholders in developing governance indicators and monitoring democratic reform. Attempts should be made to build on the stakeholder engagement processes linked to the PRS that already exist, and to integrate democratic governance measurement and monitoring with these systems.

For African countries that have acceded to the New Partnership for Africa (NEPAD) African Peer Review Mechanism (APRM), there already exists a helpful framework for multi-stakeholder consultation around democratic governance issues.[24] The APRM is a voluntary compliance mechanism that includes peer review in four core areas, one of which includes 'democracy and good political governance'. For each of these areas, the various international and regional democracy and human rights standards embodied in treaties and declarations are reduced to a set of indicators by means of which countries will be assessed. The APRM provides for a series of consultations with a range of stakeholders to facilitate the exchange of information and promote national dialogue on what the challenges to democratic governance are and what the appropriate response should be. The APRM provides both a transparency and an accountability mechanism in the area of governance.

In countries where a framework for effective multi-stakeholder dialogue does not exist, or is not well established, the situation varies widely. Some countries, particularly

in Latin America, have strong CSOs that already monitor different aspects of governance, e.g. the Colombian and Brazilian Chapters of Transparency International. In other countries, civil society is much weaker. One way forward might be to establish a Parliamentary (Sub-) Committee or Steering Committee on Governance Indicators with a representative membership (by party, age and gender). This (Sub-) Committee would need to be supported by a small secretariat, which would coordinate the activities of several working groups. These groups would be responsible for the technical work on governance indicators, which they would undertake directly, or commission from others. Membership of the working groups would be drawn from political parties, Ministries, the National Statistical office, civil society organisations, academia and the media. If each working group covered 2-3 areas of governance, then three groups might be required.

14.2 Identifying the priority governance issues

The identification of priority governance issues is critical for establishing the baseline for reform. A desk study should be undertaken by an organization(s) with expertise in carrying out democracy assessments. This study should use a well established methodology for undertaking the assessment, and be combined with existing quantitative governance indicators to provide as comprehensive a picture as possible of the state of democracy in the country. The investigation should draw together what is known about the strengths and weaknesses of democratic governance within the country and identify opportunities for and threats to further democratic reforms. The review should select areas in need of further research, draw conclusions and make recommendations. The document should serve as a diagnostic tool for identifying those aspects of the country's governance that need to be researched further. Special emphasis should be placed on identifying poverty and gender information gaps as well as statistical capacity development needs. The assessment would serve as the basis for a series of workshops and other forms of dialogue involving key national stakeholders. International IDEA has successfully piloted this method in eight countries including both mature and restored democracies including Bangladesh, El Salvador, Italy, Kenya, Malawi, New Zealand, Peru and South Korea. Mongolia and the Philippines are currently carrying out the assessment.

This method differs from others in the following ways:

» The key aim of the assessment is to contribute to public debate and consciousness- raising, while also helping to identify reform priorities and to monitor their progress;

» The prime agents of the democracy assessment are the citizens of the country being assessed;

BOX 3. Developing nationally owned governance indicators in Mongolia*

As part of the follow up to the International Conference on New and Restored Democracies (ICNRD), the Government of Mongolia committed to develop nationally owned democratic governance indicators to track progress in improving the quality of governance in that country. Although not directly related to ICNRD, the Parliament of Mongolia passed a resolution on the Millennium Development Goals (MDGs) which included a 9th Goal obliging the Government to uphold human rights and foster democratic governance along with a corruption-free environment. The ICNRD project and the democratic governance indicators in particular, will be used to benchmark and monitor progress towards Mongolia's MDG 9. After consulting with key democratic governance players and undertaking extensive research, the Government of Mongolia and other national stakeholders decided to adopt International IDEA's Democracy Assessment as the method for developing governance indicators. The key features of the consultation process to develop a national governance indicator system included:

» A National Conference held at the outset of the democracy assessment in the Mongolian Parliament to inform and receive feedback from key stakeholders. Over 300 participants from government, civil society, media and the public participated in this event. The researchers held multiple workshops during the conference on the core areas of the assessment framework (i.e. Citizenship, Law and Rights, Representative and Accountable Government, Civil Society and Participation). A democracy survey was undertaken of 150 participants at the Conference.

» A technical workshop with International IDEA and Mongolian researchers was conducted to receive international validation of the national assessment process. The ICNRD civil society partners and other stakeholders participated in the workshop

» A desktop study provided by the University of Essex on the state of Democracy in Mongolia, which is being used as a source for the national assessment and as an important baseline for national data collection. The research team has agreed to collaborate with the Mongolian National Statistical Office (NSO) on governance indicators. The NSO has provided access, advice and suggestions for conducting the democracy assessment. The final indicator findings for the democracy assessment will be validated by the NSO to ensure statistical quality of the findings.

» A press conference planned by the democracy assessment team to release the findings of the public survey concerning the state of democracy in Mongolia.

» Several surveys conducted by the team including a national survey and a parliamentary survey that both use the state of democracy questionnaire.

» A national launch conference on the ICNRD follow-up project, including the Democracy Assessment, which will be held once all the indicators have been completed.

*For more information on this process see www.icnrd5-mongolia.mn

TABLE 4: TIMETABLE OF ACTIVITIES RELATED TO INDICATOR SELECTION		
MONTH	ACTIVITIES	DECISIONS
1	Parliamentary (Sub) Committee and Secretariat start work	Announcement of intention to establish a system of pro-poor, gender sensitive governance monitoring under Parliamentary control
1-3	Preparatory work for 1st National Workshop on Monitoring Democratic Governance	
4	1st National Workshop on Monitoring Democratic Governance (2 days)	Reach a consensus on the 'road map' by the end of the workshop
4-9	Working Groups prepare material on different areas of governance that feed into Secretariat's report. Secretariat drafts proposals for monitoring democratic governance	
10	2nd National Workshop on Monitoring Democratic Governance (1-2 days): discusses Secretariat's report and proposals.	
10-11	Follow-up to workshop by Working Groups and Secretariat	
11	Secretariat submits final report and proposals to Parliamentary (Sub)Committee	
12		Parliament approves a system for monitoring democratic governance, which includes a set of pro-poor, gender sensitive governance indicators

» The assessment criteria embrace a wide range of democratic governance issues and themes, while allowing for selection within them;

» The assessment is based on qualitative judgments of strengths and weaknesses in each area, complemented by quantitative measures where appropriate;

» The choice of benchmarks, standards or indicators is a matter for decision by the country assessors;

» The assessment process involves wide public consultations, including a national workshop to validate findings;

14.3 Selecting indicators

Where no poverty monitoring system is yet in place, the sequence of activities leading up to the choice of a set of pro-poor and gender sensitive governance indicators will vary from country to country. However, it may be useful to offer an illustration of what might be involved together with a provisional timetable. The process begins with an announcement of the intention to establish a system of pro-poor, gender sensitive governance monitoring under Parliamentary control (see 14.1 above).

A Parliamentary (Sub-) Committee with its own secretariat is established and preparatory work starts for a National Workshop on Monitoring Democratic Governance. The aims of this workshop are:

» To discuss and explain why and to whom governance indicators matter;

» To review and assess the range of governance indicators currently available at the national level;

» To consider draft proposals (road map) for establishing a system to monitor democratic governance.

There should be representatives at the workshop from the following organisations: any Parliamentary committees concerned with issues of procedure and/or reform, the Electoral Commission, any public agencies charged with protecting Human Rights, the State Prosecuting and Defence Services in the criminal justice system, the Press and/or Media Complaints Commission (if such exists), the government agency charged with implementing decentralisation of the public sector, local government organisations and the official anti-corruption organisation (if such exists).

It is essential that the *National Statistical Office* be actively engaged in the workshop in order to give a view on the quantity and quality of official data available to construct governance indicators. Civil society organisations should also be represented at the workshop. Some countries with large numbers of CSOs have established a single secondary association of such organisations to facilitate dialogue with government.

The workshop could be organised as a mix of plenary sessions and parallel sessions focused on specific areas of governance. The key output of the workshop would be agreement among a broad range of stakeholders on the 'road map'. During the next six months, the secretariat would co-ordinate the activities of the working groups that would prepare material on different areas of governance. This material would feed into a report by

the secretariat for consideration by a second National Workshop. Following this event, the proposals would be subject to a final revision before submission to the Parliamentary (Sub-) Committee for approval. This entire process could be completed within one year, as is indicated in Table 4.

Once established, the system of governance indicators would be subject to regular assessment and review. It is likely that the sources of data for certain indicators will change over time, while new indicators may be introduced to replace or complement existing indicators as they become available.

14.4 The institutional framework for monitoring indicators

Where no poverty or governance monitoring system is yet in place, a Steering Committee should be established that comprises representatives from national and local governments, Parliament and local assemblies, civil society and academia. As policy makers are the 'end users' of governance indicators, their inputs and collaboration are vital for the success of any initiative to improve the quality of governance through the use of pro-poor and gender sensitive indicators. Therefore, it would be important to include in the Steering Committee a representative group of such policy makers drawn from national and local levels of the administration. The Steering Committee should be located in an appropriate national institution. In many cases, this will be the Parliament (Secretariat of the Parliament). This is because the Parliament usually has several important governance institutions reporting directly to it, including the Constitutional Court, Elections Commission/Committee, the National Statistical Office, the Central Bank, the Securities and Exchange Commission, the National Human Rights Commission, and the Civil Service Council or equivalent institution.

Annex 1: List of questions in the surveys produced by DIAL and Afrobarometer for constructing democratic governance indicators

This annex provides more detailed information on two data sources that are available for constructing specific indicators proposed in Part II of the guide. These sources are the household questionnaires designed by Afrobarometer and DIAL. The entry for indicator [1] (Afrobarometer,SA#68) states that values for this indicator can be derived from the answers to question No 68 of the first round Afrobarometer survey in South Africa, 2000: How interested do you think Parliament is in what happens to you or hearing what people like you think?[25] The entry for indicator [2] in the list below (DIAL,AF#G2,LA#2) states that values for this indicator can be derived from the answers to question 2 of DIAL's governance module in Africa (AF#G2) and Latin America (LA#2): Are you confident in Parliament?

INDICATOR NUMBER	HOUSEHOLD SURVEY QUESTION NUMBER
[1]	Afrobarometer,SA#68
[2]	DIAL,AF#G2,LA#2
[3]	Afrobarometer,SA#47
[4]	DIAL,AF#D9-11,LA#30-31
[5]	DIAL,AF#D9-11,LA#30-31
[6]	DIAL,AF#D9-11,LA#30-31
[7]	Afrobarometer,SA#47
[8]	DIAL,AF#D9-11,LA#30-31
[9]	Afrobarometer,SA#78
[10]	DIAL,LA#11.16
[11]	Afrobarometer,SA#46b
[12]	Afrobarometer,SA#78e/f2
[13]	DIAL,LA#22
[14]	Afrobarometer,SA#75
[15]	Afrobarometer,SA#76
[16]	Afrobarometer,SA#35; DIAL,AF#G4a,LA#5
[17]	DIAL,AF#G2,LA#11
[18]	DIAL,AF#G5,LA#4
[19]	DIAL,AF#G4a,LA#11
[20]	DIAL,AF#G2,LA#11

Endnotes

1 www.undp.org/oslocentre/cross.htm

2 This definition comes from the *Handbook of Democracy and Governance Program Indicators.* USAID, Centre for Democracy and Governance. (1998) http://ftp.info.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pnacc390.pdf

3 www.undp.org/oslocentre/docs04/UserGuide.pdf

4 See International IDEA's State of Democracy (SoD) methodology www.idea.int/democracy/sod.cfm.

5 There may exist trade-offs between the mediating values of democracy. In some circumstances, having more of one value may mean having to accept less of another.

6 For recent research on income poverty, see 'Frontiers in practice: reducing poverty through better diagnostics'(http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY). The Poverty and Economic Policy (PEP) research network supports policy-oriented academic work on multi-dimensional poverty in developing countries (http://www.pep-net.org). Afrobarometer's 'Lived Poverty Index' combines subjective and objective indicators of poverty (www.afrobarometer.org/papers/AfropaperNo56.pdf).

7 Since all targeted policies are vulnerable to two sources of error, such indicators should be selected in pairs. One member of each pair should measure errors of exclusion and the other member of each pair should measure errors of inclusion.

8 There is a possible fifth meaning of gender sensitive, which refers to indicators arising from more engendered processes of collecting statistics, i.e. processes that are more sensitive and open to gender issues. This meaning of gender sensitive is more properly an attribute of the statistical system than of individual indicators. It refers to circumstances, which make it more likely that the four types of gender sensitive indicator described in the text will be identified.

9 A target is a numerical value set for a particular indicator at some future date.

10 MDG1 is to halve income poverty between 1990 and 2015. Consequently, a country's poverty target in 2015 will depend on the incidence of poverty in 1990.

11 www.undp.org/oslocentre/docs04/UserGuide.pdf

12 US State Department Human Rights reports: www.state.gov/g/dr/hr and the UK Foreign Office http://www.fco.gov.uk/servlet/Front?pagename=OpenMarket/Xcelerate/ShowPage&c=Page&cid=1007029393564

13 Human Rights Watch: www.hrw.org and Amnesty International: www.amnesty.org

14 Alejandro Salas, National Efforts to Monitor Corruption, presentation to UNDP-ICSSR Technical Workshop, New Delhi, April 2005 (http://www.undp.org/oslocentre/docs05/cross/Workshop%20report.pdf).

15 www.globalbarometer.net

16 See the UNDP Practice Note on Parliamentary Development (2003) — http://www.undp.org/governance/docs/Parl%20-%20PN%20-%20ENGLISH.pdf

17 An underprivileged background could be defined as membership of a socially disadvantaged group, e.g. Scheduled Caste/Tribe in India, or as lacking educational qualifications beyond the primary level. Which of these proxy variables is most appropriate can be decided at country-level depending on data availability.

18 Further details on possible questions and surveys for constructing this indicator are given in Annex 1 for indicators [1] and [2].

[19] See the UNDP Practice Note on Electoral Systems and Processes (2004) — http://www.undp.org/governance/docs/Elections%20-%20PN%20-%20English.pdf

[20] See the UNDP Practice Note on Access to Justice (2004) — http://www.undp.org/governance/docs/Justice%20-%20PN%20-%20English.pdf

[21] See the Global Barometer Survey network for information on collecting and using these kinds of subjective based data at http://www.globalbarometer.net/Strategy.htm

[22] See the UNDP Practice Note on Decentralised Governance for Development (2004) — www.undp.org/governance/docs/DLGUD%20-%20PN%20-%20English.pdf

[23] See the UNDP Practice Note on Anti-Corruption (2004) — http://www.undp.org/governance/docs/AC%20-%20PN%20-%20English.pdf

[24] As at March 2006, 23 of the African Union's 53 member states have signed the APRM memorandum of understanding, which signifies their willingness to accede to the peer review process. These countries include Algeria, Cameroon, Rwanda, Malawi, Burkina Faso, Gabon, Senegal, Lesotho, Republic of Congo, Mali, South Africa, Tanzania, Ethiopia, Mauritius, Uganda, Angola, Ghana, Mozambique, Egypt, Sierra Leone, Kenya, Nigeria and Benin. See www.nepad.org/2005/files/aprm.php

[25] See www.afrobarometer.org/questionnaires.html.

part four
Resources

15 References and links

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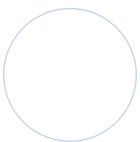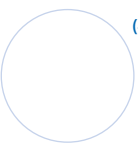
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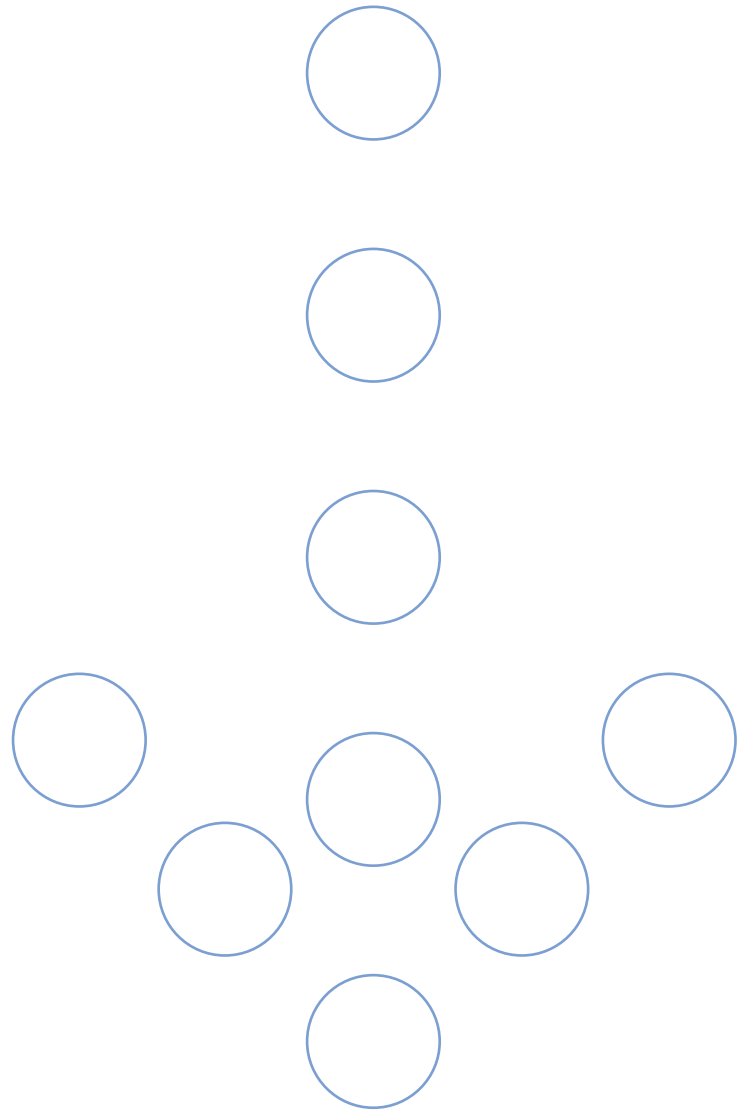
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