



MONITORING CORRUPTION AND ANTI-CORRUPTION IN THE SUSTAINABLE DEVELOPMENT GOALS

A Resource Guide

Transparency International is a global movement with one vision: a world in which government, business, civil society and the daily lives of people are free of corruption. With more than 100 chapters worldwide and an international secretariat in Berlin, we are leading the fight against corruption to turn this vision into reality.

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This resource guide has been developed by the Anti-Corruption Helpdesk to provide Transparency International national chapters with indicators and data sources to track anti-corruption progress at national level under the aegis of SDG 16 and monitor the impact of corruption across the entire SDG framework.

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EXECUTIVE SUMMARY

The 2030 Agenda for Sustainable Development

Spearheaded by the United Nations, the sustainable development goals (SDGs), also known as Transforming our World: the 2030 Agenda for Sustainable Development, is a set of 17 aspirational “global goals” and 169 targets adopted in 2015 by the 193 UN member states. Global targets and indicators have been set for each goal with the view to integrating them into national planning and policy processes. Countries are also encouraged to define national targets tailored to their specific circumstances and identify locally relevant indicators and data sources that will be used to measure progress towards achieving each of the SDG targets. As part of its follow-up and review mechanisms, the 2030 Agenda for Sustainable Development encourages member states to conduct regular national reviews of progress made towards the achievement of these goals through an inclusive, voluntary and country-led process.¹ In addition, each year certain state parties volunteer to report on national progress against the 17 SDGs to the High-Level Political Forum,² with reporting on SDG 16 due in 2019.³

Corruption and the SDGs

The SDG framework makes an explicit link between corruption and building inclusive and peaceful societies with a specific target to reduce corruption SDG 16.5. The United Nations’ introduction to SDG 16 notes that corruption, bribery, tax evasion and related illicit financial flows deprive developing countries of around US\$1.26 trillion per year, and that reducing corruption is an important component of the sustainable development agenda which all state parties have an obligation to address.⁴

However, there is a broad consensus in the anti-corruption community for the need to go beyond monitoring progress in the fight against corruption under the aegis of SDG 16 to also monitor the impact of corruption across the entire SDG framework. Corruption affects all SDG-related sectors, undermining development outcomes and severely compromising efforts to achieve health, education, gender equality, climate action, water and sanitation and other goals. This makes for a compelling case to monitor corruption in “mainstream” sectoral SDGs instead of limiting it to SDG 16 and 16.5 in particular.

The distinction between evaluating the progress of national anti-corruption efforts on one hand and monitoring corruption’s detrimental effect on sustainable development programming on the other has important implications for measurement. While the incidence of corruption is typically hard to quantify (as a generally concealed act), measuring the prevention response can be relatively straightforward, particularly through the use of process-related indicators and metrics. This is a theme returned to in chapter 4.

The role of civil society in the SDG monitoring process

While governments are expected take the lead in monitoring and reporting on progress made against each of the SDGs and targets, there are many opportunities for civil society organisations (CSOs) to participate either as part of the official review process or independently through parallel reviews and shadow reports. CSO involvement is particularly important given three key limitations in the official monitoring mechanisms: the inadequacy of the officially-selected indicators to account for the multi-dimensional nature of SDG targets, the unavailability of data for official indicators in many countries and questions around the credibility of data generated by government agencies.

¹ United Nations 2015a, paragraphs 78-79

² “The overarching political mandate and oversight for the SDGs sits with the UN High-Level Political Forum on Sustainable Development (HLPF). The HLPF is mandated to provide political leadership, guidance and recommendations throughout the period of the agenda’s implementation. It is also responsible for: keeping track of progress; encouraging the development of coherent policies informed by evidence, science and country experiences; addressing new and emerging issues; and providing a platform for partnerships. The HLPF is a unique hybrid forum that reports to both the United Nations Economic and Social Council (ECOSOC) and the United Nations General Assembly.” TAP Network 2016a, p.40

Although reporting to the HLPF is voluntary, countries must submit at least two reports by 2030.

³ United Nations 2017a

⁴ United Nations 2017b

CSO engagement is all the more pressing on politically sensitive SDG targets, such as corruption, where governments may not be willing or able to monitor progress, not least as the particular forms of corruption in a given country are likely to serve the interests of powerful groups and actors in and around state structures.⁵

- ▶ At the planning stage, CSOs can advocate for a transparent, open, inclusive and participatory official review process that provides for civil society's contribution to the process.
- ▶ CSOs can advocate for mainstreaming reporting on corruption across all of the SDGs.
- ▶ CSOs can promote the selection of country-relevant corruption indicators at the national and sub-national level both for Goal 16 and for other relevant SDGs, and contribute to the preparation of the monitoring/self-assessment tools.
- ▶ CSOs can actively contribute to the monitoring process and provide input into the official report, as peer reviewers, for instance.
- ▶ Outside of official processes, CSOs can engage in the process of monitoring country-specific corruption indicators that may not be officially selected by government.
- ▶ CSOs can also comment on the official country report, calling attention to inaccuracies, omissions or weaknesses, highlighting specific corruption issues, filling the gaps if need be and formulating recommendations.
- ▶ CSOs can conduct parallel reviews and produce alternative or shadow reports to alternative data sources to complement and/or scrutinise the story of progress being told through official monitoring.

The process of indicator selection

To fully engage with the process, CSOs need to identify corruption indicators relevant to the specific corruption challenges facing their country or the sector under review, which can then be included in the official review process or used in shadow monitoring initiatives.

The first step for indicator selection consists of mapping corruption risks at the country or sector level to identify the most prevalent and damaging forms of corruption, as well as gaps in the existing legal, institutional and ethical infrastructure, which may facilitate corrupt behaviour. This guide groups corruption risks into four broad categories to help CSOs conceptualise how best to concentrate their efforts.

- ▶ At the policy-making level, corruption manifests itself in two major forms: grand corruption and undue influence for personal gain exercised by interest groups over the formulation of laws and regulations.
- ▶ At the administrative level, the management of organisational resources, such as personnel, goods, supplies and budgets, can be vulnerable to discretionary abuse, misappropriation and unethical practices, such as patronage and nepotism.
- ▶ Embezzlement of funds during and after the procurement process is an area of concern across sectors, especially in sectors where large flows of money, specialised equipment and complex organisational structures create opportunities for corruption, such as in health and education.
- ▶ Corruption in service delivery at the client interface most frequently takes the form of bribery.

Especially where CSOs are interested in monitoring corruption in specific SDG sectors, a thorough understanding of the circumstances in which corruption occurs along sector-specific value chains is a prerequisite to identifying relevant indicators to measure the impact of corruption.

Once corruption risk assessments and/or integrity assessments have been conducted to identify vulnerabilities, relevant indicators can then be selected or developed to track areas of concern or measure the progress of anti-corruption reforms.

⁵ Ladner 2016

The final step is to match these indicators with datasets which address the specific corruption issue or risk to be measured. Such data could come from a range of sources, such as field testing, compliance testing, user/employee surveys, expenditure tracking surveys, external assessments, complaints mechanisms, government administrative data, and so on.

Which indicators to use to monitor corruption in the SDGs

There are various types of data that can be used to track corruption across the SDGs and four major ways to categorise this data:

► **In-law versus in-practice (de jure versus de facto):** laws, policies, operating procedures and/or administrative regulations (de jure) and the implementation of the de jure framework in practice (de facto)

► **Type of data:** perceptions (opinions or beliefs about specific corruption topics), experiences (frequency, location and cost of bribes, or the incidence and severity of crimes, as well as the extent of knowledge about specific laws, policies or practices), assessments (data captured through scoring, rating, ranking or qualitative evaluations), administrative data (“hard measures” of government laws, activities and performance)

► **Level of aggregation** (aggregate figure of more than one indicator or disaggregation along constituent variables, for example, sex, age, income, and so on)

► **Results chain:** inputs (legal and policy framework), activities (actions taken by government), outcomes (short-term change in the status quo), impacts (longer-term development or sectoral change)

There is a broad consensus that a reliance on single, standalone indicators can produce a misleading assessment of a particular corruption challenge or efforts to tackle it. It is recommended to use a “basket of indicators” approach, which allows for a more holistic assessment of progress against a given target through multiple indicators which capture different aspects of a corruption risk or anti-corruption initiative. Combining several different types of indicator in a “basket” can help to evaluate the effectiveness of a policy response to a corruption risk in a robust manner.

Indicator baskets typically combine input/output and process indicators (concrete steps taken to address the problem) with outcome indicators (short-term changes resulting from these actions) and impact indicators (longer-term changes and whether these changes are contributing to achieving the target).

Data sources

There are existing sources of corruption data at global, national and local levels which not only assess the various forms of corruption (corruption datasets) but also the constraining factors that limit corruption, such as transparency, accountability and participation (so-called proxy datasets). At the national and sub-national levels, data producers can include national statistic offices, government agencies, accountability institutions, international review mechanisms and CSOs.

There are a number of challenges that need to be taken into consideration when using data, including methodological challenges to ensure data quality, comparability over time, sustainability of data sources, credibility and reliability of data, and the costs, expertise involved in generating missing data, among others.

How to use this guide

The structure of the guide is intended to explain the role of CSOs in monitoring corruption in the SDGs, as well as how to identify potential indicators and data sources for this purpose. Throughout the guide, there are country examples of indicator selection, inclusive follow-up review processes and approaches to corruption monitoring.

Chapter 1 presents the SDG follow-up and review architecture and identifies entry points for CSO engagement with SDG monitoring processes. It includes discussion of the two major areas that will benefit from CSO involvement: indicator development and data collection, as well as review processes and mechanisms.

Chapter 2 focuses on monitoring approaches to target 16.5, as the target most specifically focused on controlling corruption, making an explicit link between corruption and building inclusive and peaceful societies for sustainable development. It also includes a discussion of targets 16.4, 16.6, and 16.10

The guide then describes the various steps involved in selecting relevant indicators for monitoring corruption across the SDGs and matching these to datasets.

Chapter 3 provides guidance on how to use risk and integrity assessment tools to map corruption risks in different sectors. After providing an analytical framework to help identify or develop relevant sectoral indicators, the chapter presents an overview of the major corruption challenges associated with five key SDGs (health, education, gender, climate finance and, water and sanitation).

Chapter 4 introduces the concept of “indicator baskets” that aim to present a robust picture of anti-corruption progress. Alongside this, the chapter presents a typology of data that can be used to monitor corruption in the SDGs. It also addresses key data challenges associated with measuring progress over time, sustainability and participatory monitoring initiatives as well as the credibility of data sources. Detailed examples of a variety of indicators that can be adapted to the local circumstances can be found in annex 2.

Chapter 5 identifies sources of corruption data at the global and national levels which could be matched with indicators, as well as proxy corruption datasets on accountability, transparency and participation. This chapter provides insight into where national-level data from governments and civil society can be accessed or generated to assess corruption’s impact on progress towards the SDG targets. Links to specific data sources and datasets are provided in annex 2.

Trade-offs in the use of specific datasets are presented in detail in the annexes, as well as an overview of existing global datasets that are freely available for use by any actor or can be adapted to collect locally relevant data.

SDG 3
**Ensure healthy lives and promote
well-being for all at all ages**

45%

**The proportion of people globally
who think that the healthcare sector in their country
is corrupt or extremely corrupt.***

* http://www.transparency.org/gcb2013/in_detail/

INTRODUCTION

INTRODUCTION

Monitoring corruption across the SDG framework: The role of civil society

The sustainable development goals (SDGs) were adopted in September 2015 by the United Nations' High-Level Political Forum on Sustainable Development as part of the 2030 Agenda for Sustainable Development. These 17 goals and 169 targets build on the millennium development goals (MDGs) and aim to guide countries in their efforts to end poverty, protect the planet and ensure that all people enjoy peace and prosperity. All UN member states have committed to these "global goals" that are intended to steer policy making and developmental funding for the next 15 years.

Global targets have been set for each SDG, with the expectation that they will be incorporated into national planning processes and policies. However, countries are also encouraged to adapt global targets to national circumstances and define national indicators that are relevant for their country circumstances, along with the identification of data sources that will be used to measure progress against each of the SDG targets.

Corruption represents a major obstacle to reaching many of these goals by hampering economic growth and increasing poverty in terms of income inequality, access to services and resource distribution. In addition, corruption occurs at every stage of the service delivery chain, from policy design and budgetary allocations to procurement and bribery, thereby undermining the quantity and quality of public services and restricting access to quality health, water and education services, with a disproportionate impact on the poor. As witnessed during the implementation of the millennium development goals, positive outcomes in the short term will not be sustained over the longer term if corrupt practices go unabated.

Encouragingly, the 2030 Agenda expressly recognises corruption as a severe impediment to progress on the SDGs,⁶ and corruption and accountable governance targets and indicators have been set at the global level as part of SDG 16 on sustainable governance. This goal obliges member states to "promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels".

Targets 16.4, 16.5, 16.6 and 16.10 are especially relevant to the governance and anti-corruption agenda at global, national and sub-national level:

- **Target 16.4:** significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organised crime
- **Target 16.5:** substantially reduce corruption and bribery in all their forms
- **Target 16.6:** develop effective, accountable and transparent institutions at all levels
- **Target 16.10:** ensure public access to information and protect fundamental freedoms in accordance with national legislation and international agreements

While governments are expected to take the lead in reviewing progress on the SDGs, national-level monitoring needs to go beyond the remit of governments to include civil society and other stakeholders. Indeed, this resource guide was developed in response to three key issues related to the official SDG monitoring processes: the multi-dimensional nature of SDG targets, data availability and perceived credibility of data generated by government agencies. Collectively, these limitations provide a strong rationale for sustained civil society engagement, particularly with regard to the development of complementary indicators at national level to supplement the global indicators.

⁶ United Nations 2015b

Firstly, several of the targets under Goal 16 are multi-dimensional in the sense that they measure broad concepts like “corruption” which cannot be adequately captured by a single indicator. Moreover, the indicators in the official global set do not sufficiently cover the full ambition of the targets; target 16.5 seeks a substantial reduction in corruption and bribery “in all their forms”, but the only approved global indicators measure bribery between public officials and the public or business. There are no measures of corruption within or between governments or other forms of non-governmental corruption. For some targets, the selected global indicators fail to capture critical aspects of the target. For instance, target 16.4 seeks to combat all forms of organised crime, but there is no official indicator that measures organised crime nor an indicator related to strengthening the recovery and return of stolen assets.

Secondly, even where the indicators are themselves capable of capturing progress towards SDG 16 targets, there is an absence of data to speak to these indicators. Many of the global SDG 16 indicators rely on data that is not regularly produced (Tier 2 indicators) or currently have no established methodology or standards for data collection (Tier 3 indicators). While such data may become available in the future, sole reliance on official indicators means that, at best, it will take several years to fully measure Goal 16. In turn, this will delay the development of feedback loops able to inform policy decisions, undermining progress towards the 2030 Agenda.

Finally, the official assessment of progress made towards the SDG targets will rely on data generated by government agencies, particularly national statistics offices. The reliability and credibility of official data may be open to question for two reasons. First, in some settings, national statistics offices may simply be overwhelmed by the task of producing data for 169 targets. Second, politically sensitive targets, such as those related to corruption and governance, require that governments assess their own efficacy; illicit financial flows (16.4) may involve government officials, corruption (16.5) may involve government elites, while governments may be restricting information, or even targeting journalists, trade unionists or civil society activists (16.10). In this context, independent analysis (in the form of third party collection and/or validation of data) is vital to assess the veracity of official reporting.

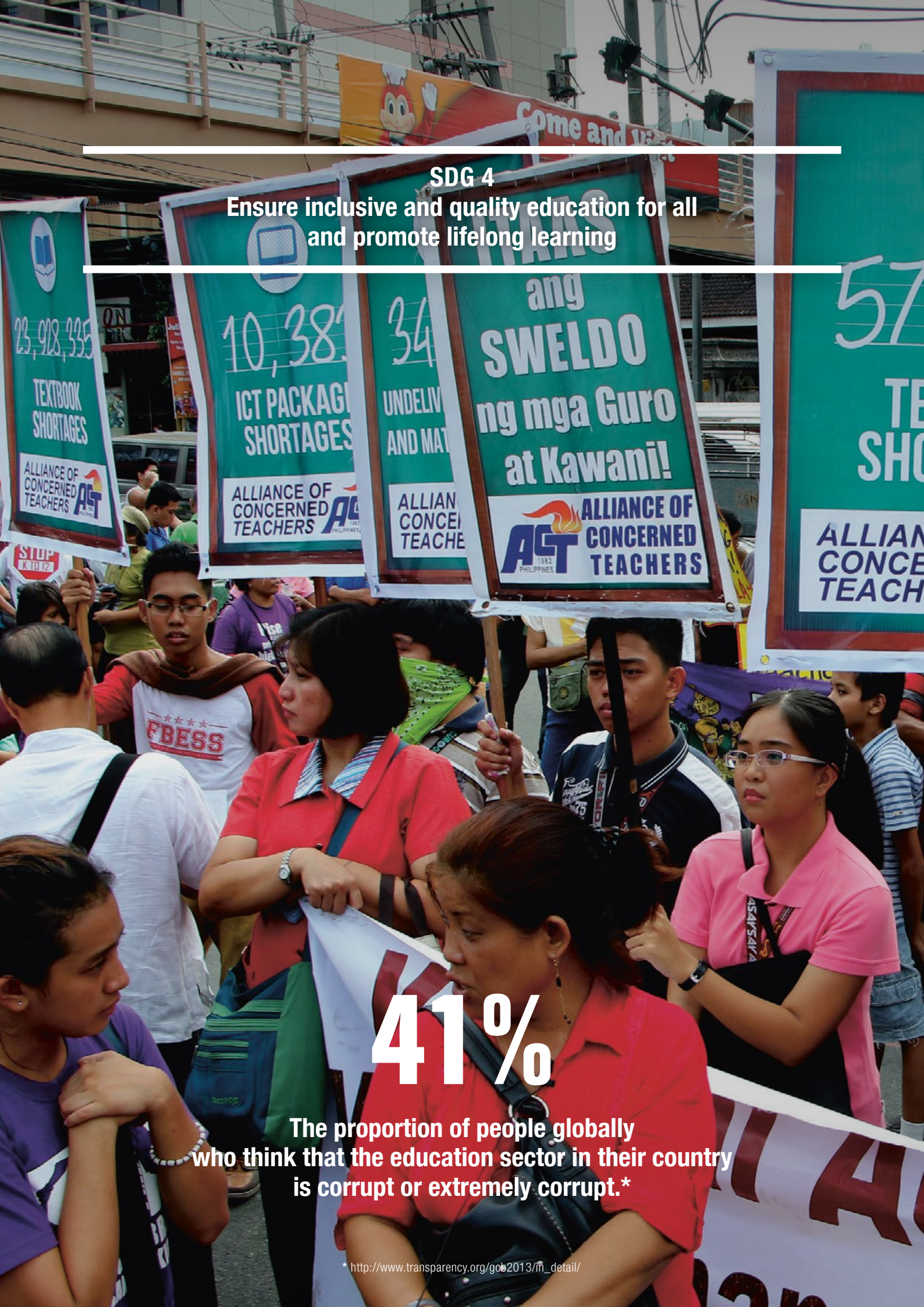
Where, despite the 2030 Agenda’s emphasis on multi-stakeholder monitoring partnerships, civil society groups are shut out of the official government process, shadow or alternative reviews and reports can help to scrutinise the story of progress being told through official monitoring.

It is to this end that the following guide has been developed, with the primary goal of providing civil society groups with guidance on monitoring corruption across the SDGs’ framework within their own national contexts. In so doing, the scope of the guide goes beyond monitoring progress towards the specific SDG target on corruption (16.5) and to consider how to monitor integrity risks related to other SDGs that are prone to corruption. Civil society monitoring can help hold governments accountable for progress on SDG targets such as health (SDG 3), education (SDG 4), gender (SDG 5), water and sanitation (SDG 6) and climate action (SDG 13) by promoting evidence-based discussion around corruption, as well as the related lack of accountability and transparency.

With this in mind, the guide aims to do the following:

- Address the challenges of insufficient indicator coverage and data unavailability by providing CSOs with a range of alternative indicators, proxies and data sources which can capture both the impact of and progress against corruption in the SDG framework. These resources will allow CSOs to develop sound baskets of indicators for selected targets and to effectively advocate for their adoption at national level.
- To provide CSOs with the technical know-how to (a) set baselines in national monitoring frameworks related to corruption, transparency and accountability and (b) track these using indicators to assess progress over time

This resource guide can be used to identify relevant corruption indicators and corresponding data sources, to be used either as part of governmental reporting processes or in shadow reporting initiatives. Whether lobbying the government for the adoption of robust corruption indicators or developing alternative indicators to demonstrate how official monitoring overlooks the impact of corruption, CSOs need to be familiar with how to develop and use indicators to track progress against corruption.



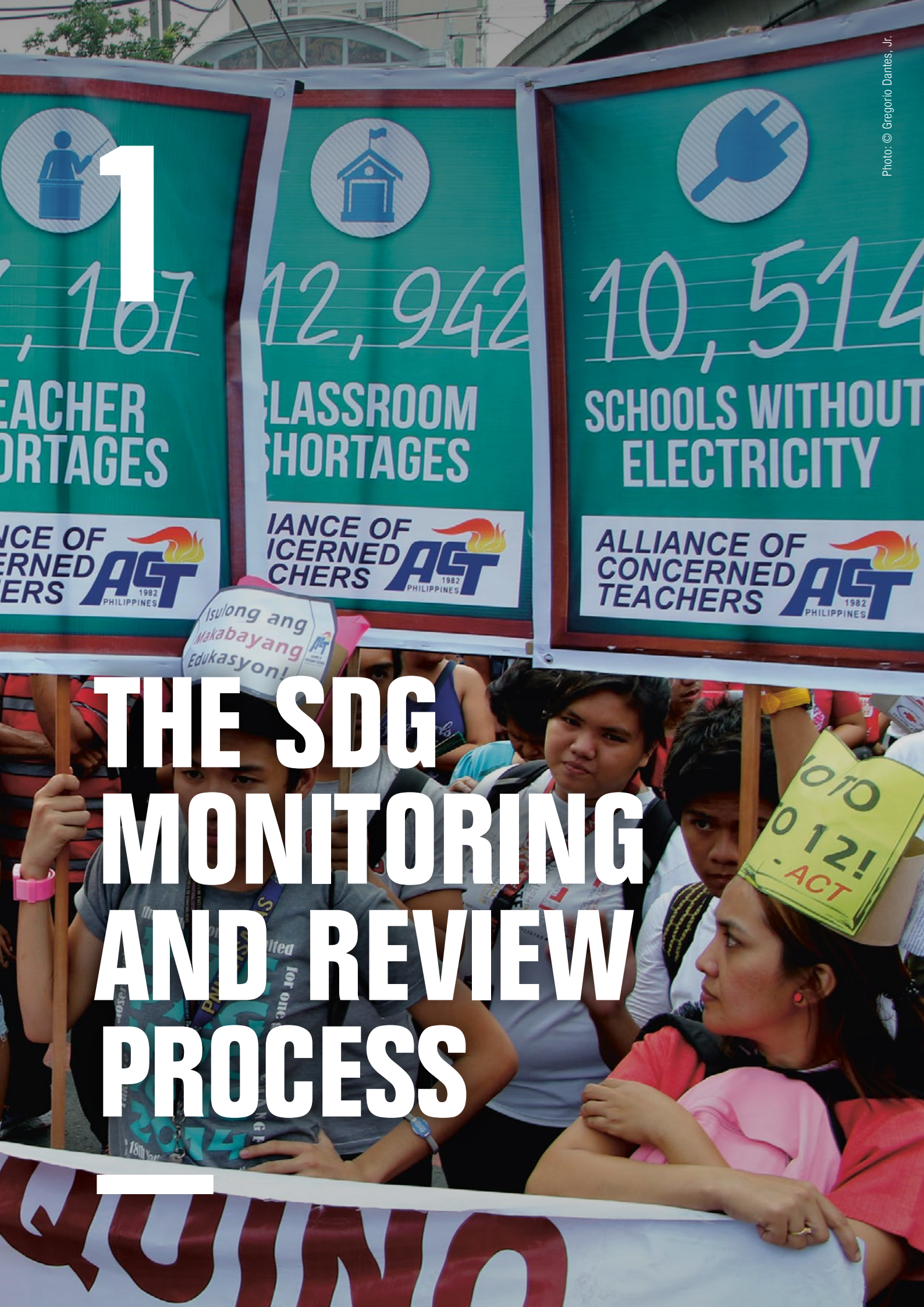
SDG 4

Ensure inclusive and quality education for all
and promote lifelong learning

41%

The proportion of people globally
who think that the education sector in their country
is corrupt or extremely corrupt.*

* http://www.transparency.org/gov2013/in_detail/



THE SDG MONITORING AND REVIEW PROCESS

QUINO

THE SDG MONITORING AND REVIEW PROCESS

Chapter 1 presents the SDG follow-up and review architecture and identifies entry points for CSO engagement with SDG monitoring processes. After an initial presentation of the SDG review mechanisms and principles and opportunities for CSO engagement, this chapter briefly discusses two major areas that can particularly benefit from CSO involvement – indicator development and data collection – and highlights some important conditions for successful participation of civil society in the SDG monitoring process.

Review mechanisms and principles

The follow-up and review architecture outlined in the 2030 Agenda is intended to ensure government accountability during the implementation of the SDGs. As part of these follow-up and review mechanisms, the 2030 Agenda for Sustainable Development encourages member states to “conduct regular and inclusive reviews of progress at the national and sub-national levels, which are country-led and country-driven”.⁷ These national reviews are intended to be voluntary, state-led, undertaken by both developed and developing countries, and involve multiple stakeholders. In addition, review activities are expected to be inclusive, participatory, transparent, gender sensitive and include the most vulnerable of populations, as outlined in very specific guidelines from the 2030 Agenda.

The onus is on national governments to review progress on nationally and sub-nationally adapted SDGs, and conduct this review processes in an inclusive manner. The 2030 Agenda implies that reviews should include the contributions of non-governmental stakeholders and reflect national contexts and priorities. As outlined in the 2030 Agenda, there are three levels at which review processes are expected to take place:

- At the global level, the High-Level Political Forum (HLPF) establishes the institutional framework for the review process. The HLPF will hold annual meetings to keep track of global progress on SDG implementation, as well as provide political leadership and address emerging issues. The HLPF encourages voluntary state reviews on progress in domestic implementation, which form the basis for exchanging best practices and building partnerships.⁸ Forty countries are due to report on progress in domestic implementation in 2017.
- At the regional level, follow-up activities will revolve around newly established regional forums on sustainable development, which will foster peer learning and exchange of best practices.
- At the national level, review processes will be entirely country driven with the stated aim of being regularly and inclusively prepared, with broad participation from a variety of groups specified in the 2030 Agenda. National follow-up and review processes are expected to be iterative cycles of review, planning, implementation, reporting and review. They thus require the regular release of data by public agencies for the purpose of tracking progress and maintaining dialogue between governments and stakeholder groups.⁹ Countries may submit voluntary national reviews of their progress as a measure of participation in the HLPF monitoring and review process.

Government monitoring systems are therefore being established to report on the global SDG indicators, as well as the national indicators selected through participatory processes.

⁷ United Nations 2015a, paragraph 79

⁸ Danish Institute for Human Rights 2016

⁹ Ibid.

Key principles for follow-up and review processes from the 2030 Agenda (para 74)

NATIONAL OWNERSHIP: reviews will be voluntary and country-led, will consider different national realities, capacities and levels of development and will respect policy space and priorities. As national ownership is key to achieving sustainable development, the outcome from national-level processes will be the foundation for reviews at the regional and global levels, given that the global review will be primarily based on national official data sources.

TRACK PROGRESS: they will track progress in implementing the universal goals and targets, including the means of implementation, in all countries in a manner which respects their universal, integrated and interrelated nature and the three dimensions of sustainable development.

OPEN AND INCLUSIVE: they will be open, inclusive, participatory and transparent for all people and will support reporting by all relevant stakeholders. They will be people-centred, gender-sensitive, respect human rights and have a particular focus on the poorest, most vulnerable and those furthest behind.

USE EXISTING PLATFORMS: they will build on existing platforms and processes, where these exist, avoid duplication and respond to national circumstances, capacities, needs and priorities. They will evolve over time, taking into account emerging issues and the development of new methodologies, and will minimise the reporting burden on national administrations.

EVIDENCE-BASED: they will be rigorous and based on evidence, informed by country-led evaluations and data which is high-quality, accessible, timely, reliable and disaggregated by income, sex, age, race, ethnicity, migration status, disability, geographic location and other characteristics relevant in national contexts.

BUILD CAPACITY: they will require enhanced capacity-building support for developing countries, including the strengthening of national data systems and evaluation programmes, particularly in African countries, least developed countries, small island developing states, landlocked developing countries and middle-income countries.

Indicator development and data collection

The United Nations Statistical Commission created the Inter-agency and Expert Group on SDG Indicators (IAEG-SDGs), composed of member states and including regional and international agencies as observers. In March 2016, the UN Statistical Commission agreed on the IAEG-SDGs' proposed global indicator framework and associated global indicators.

The introduction of these global-level SDG indicators is a welcome development for the monitoring of government actions against global targets, as they allow for cross-country comparability. While this approach necessarily omits indicators that are not appropriate for all countries, it still may yield insight into certain phenomena due to their specificity.

While global-level indicators have been selected to monitor progress internationally, countries are expected to track their own advances nationally and locally using indicators and data sources most appropriate to their specific contexts. Taking the global targets as their starting point, governments are tasked with selecting national-level indicators based on their own priorities and circumstances and establishing baseline data. This will set the tone for sustained, contextually appropriate monitoring of government actions in service of the SDGs.

Quality standards for SDG data

QUALITY OF DATA: data should be high-quality (rigorous methodology), accessible (publicly, freely available), timely (regularly generated, comparable over time) and reliable (with effective quality control). Such data will allow for more effective communication between various agencies, levels of government and stakeholders. These are high standards that may be difficult to achieve immediately, but in the long term, will establish a foundation for better, more meaningful data on corruption and its impacts.

DISAGGREGATION OF DATA: the commitment to “leaving no one behind” and tackling inequality and discrimination in the SDGs will require going beyond standard data reporting. Efforts must be made to include and account for the experiences of the most excluded population groups, which will necessitate careful consideration of how to tailor reporting systems to the needs of marginalised communities. Because of the nature of the SDG follow-up and review architecture, outlined explicitly in the 2030 Agenda, the type of data that is relevant for SDG monitoring should ideally be disaggregated on a number of variables: income, sex, age, ethnicity, migration status, disability, geographic location, nationally relevant characteristics (for example, caste).

(Source: UN 2015)

Several countries have already begun to identify indicators that are relevant for the governance context in their countries, taking into account existing sources of data at global and national levels. In some cases, the underlying indicators from composite global indices could be useful at the sub-national level (such as the Open Budget Index), but will require additional data collection – and therefore require the use of “home-grown data sources”. In other cases, domestic datasets developed by government and civil society will serve as the source for indicators that matter for specific country contexts. Besides using existing indicators (at global or regional level), defining nationally relevant targets and indicators may involve the development of new, country-specific indicators.

Because the process of selecting national targets and indicators is expected to be inclusive and nationally pertinent, rather than top-down and globally oriented, countries are encouraged to set up working groups that include all concerned stakeholders.

Inclusive participation in planning SDG implementation and monitoring indicator selection

INDONESIA: by May 2016, two public universities had engaged with the SDGs. The University of Indonesia is collaborating with the Sustainable Development Solutions Network and the Ministry of National Development Planning on localising the SDGs, while the University of Padjajaran has established an SDG Centre to prepare policy recommendations and independent monitoring of the SDGs.

CABO VERDE: Cabo Verde’s CSO platform, Plataforma de ONGs, invited government and UN representatives to discuss CSOs’ role in implementing the SDGs and ways to strengthen their capacity to effectively to shape the national development agenda. Dialogue between the National Institute of Statistics and CSOs has reaffirmed the critical role that civil society plays in the SDG follow-up and review process, and the need to strengthen its capacity to contribute meaningfully.

BRAZIL: the UNDP World Centre for Sustainable Development (RIO+ Centre) relaunched the Rio Dialogues space in 2015 with a focus on an interactive SDG space for Brazilian youth to learn about the SDGs and how to get involved. In 2016, for the implementation of the 2030 Agenda, there has been intense work to design a new institutional arrangement at the national level, with the aim of involving different stakeholders in implementing and following up the 2030 Agenda, including the SDGs.

MOROCCO: the Economic and Social Council, the Ministry of Foreign Affairs and the UN system brought together CSOs and national institutions to discuss how to support local authorities in the development, implementation and monitoring of the SDGs. The role of CSOs in maintaining the public debate was also highlighted.

BANGLADESH: UNDP, jointly with the Governance Innovation Unit (GIU) of the prime minister’s office, organised a workshop on the development of a national governance assessment framework. Representatives from the General Economics Division, Cabinet Division and GIU, as well as the Bangladesh Bureau of Statistics, Dhaka University, BRAC Institute of Governance and Development and the Centre for Policy Dialogue contributed to the draft framework.

(Source: UNDG 2016a and The Daily Observer 2016)

Somalia – inclusive participation in indicator selection

In post-conflict, fragile and low-income states, the priorities are focused on a gap analysis of missing data and sources, since much of the statistics infrastructure may have been destroyed or under-resourced for long periods of time. Yet even in these extremely challenging political contexts, there is a role for non-governmental groups to participate in the selection of national indicators. In Somalia, the Somali Institute for Development and Research Analysis, a think tank based in Puntland, is planning continued engagement with citizens to gain insight into how they perceive progress on the SDGs.

While the planning of the goals and targets is complicated, the main concern is the identification of the indicators where actual data exist that can be used to measure progress. The statistics infrastructure in the country was destroyed and needs to be redeveloped almost from scratch. In the absence of administratively collected data, this implies that the majority of indicators will need to be collected through dedicated surveys. The working group focusing on the national results framework has started discussions on a process that would allow for and stimulate harmonisation of the different countrywide surveys that are being planned, to create the necessary time-series data. UNICEF is also seeking to partner with academia to lead efforts to gather perception data and ensure that participatory monitoring takes place in parallel to government planning and consultation. This effort intends to ensure participation of children, youth and other stakeholders in the process and to build national-level awareness of the SDGs.

(Source: UNDG 2016b)

CSO engagement in the SDG monitoring process

While governments are expected to take the lead in reviewing progress on the SDGs, given the burden of reporting on a large number of indicators across the 17 SDGs, there is ample opportunity for CSOs to take the initiative and develop or monitor country-specific corruption indicators which may or may not be officially selected by government. Indeed, there are two main avenues for CSO participation in the tracking of progress against SDG targets: contributing to official government reporting or conducting independent “shadow reporting” where the government is not willing or able to involve civil society in official monitoring processes.

ENGAGING WITH OFFICIAL PROCESSES

CSOs may have access to institutional processes set out by the government and be able to secure “a seat at the table” both during the planning and implementation stages of the review process. Though the role of CSOs in official review mechanisms may be somewhat circumscribed, this type of participation is important to facilitate the inclusion of citizen responses and expert opinion into “feedback loops” to incorporate incoming findings into future iterations of SDG programmes.

Planning and implementation of official review processes

At the planning stage of the review process, CSOs can promote salient corruption (sub)national indicators for SDG 16, as well as campaigning for the inclusion of governance and corruption indicators in the key SDGs of health, education, gender, water and sanitation, and climate action and others. Evidence that highlights the ways that corruption skews development outcomes can be helpful in these discussions, along with theories of change that illustrate the points at which corruption threatens specific activities and outcomes.¹⁰ Corruption-related data can offer insight into potential challenges, gaps and obstacles to the achievement of the sectoral SDGs.

Where not foreseen by the official monitoring process, CSOs could argue for an inclusive review mechanism that provides opportunities for civil society participation.

¹⁰ Theories of change consider external influences (such as corruption) on the results chain. Points at which corruption influences the chain of events can be illustrated with a visual theory of change. Because theories of change link outcomes and activities to explain how and why the desired change is expected to happen, they can also be used to explain how corruption can skew outcomes. Theories of change make explicit the political and economic processes that can help or hinder project activities and their contribution towards the desired result. See Trapnell 2015.

During the implementation stage of the review process, CSOs can advocate for a transparent, open and inclusive monitoring process and ensure that civil society actively contributes to the preparation and implementation of the review mechanism. These participatory monitoring approaches can include securing civil society participation in the preparation of the monitoring/self-assessment tools, local ownership of survey design and data collection, consultation of civil society actors in the review process, provision of civil society input into the monitoring report and publication of the full report.

Commentary on the country review report

CSOs can also prepare a commentary on the official review report, highlighting findings and recommendations they agree with and consider important, calling attention to inaccuracies, omissions or weaknesses, filling the gaps and reviewing progress made at sector level through a corruption lens. In addition, in countries with limited statistical capacity, civil society could help to clean and verify official data to enable comparative and accurate analysis of the situation.¹¹

SHADOW MONITORING AND REPORTING

Unfortunately, in many countries governments will not necessarily be working in good faith with a range of non-state actors to achieve the SDGs, and this is less likely in politically sensitive areas such as corruption. Engagement with official review processes may not therefore yield adequate opportunities to stress the importance of corruption data, the relevance of corruption to implementation, or the need to address issues of corruption within sectors to make progress on the SDGs. In this event, alternative engagement with SDG review processes may consist of parallel monitoring of progress by non-state actors and shadow reports that complement official reports submitted to global forums of accountability.

Particularly where corruption data is not included as part of the national indicator selection for key SDGs, shadow reporting will be a key civil society tool. These shadow reports are the summaries of reviews conducted by CSOs, think-tanks or research institutions outside the formal accountability systems. They typically provide alternate sources of information and data to complement or challenge official assessments of government achievements in light of commitments set by international treaties or agreements. Shadow reports generally serve two functions, to assess government performance and to advocate for action to address emergent implementation gaps.¹² Through shadow/alternative reports, CSOs have the opportunity to participate in the reporting and monitoring process by publishing data (including statistical data and case studies) on the impact of corruption in the implementation of the SDGs.

Even where corruption has been included in national indicators, there is still a need for shadow monitoring if CSOs were not able to engage constructively with government in the course of selecting official national corruption indicators or with the official review process. CSO shadow monitoring provides a useful “check” against government data that may not have been collected rigorously or might be misleading when used out of context. CSOs could, for example, set up a repository of publicly available data which has already been collected (secondary data) that captures instances of corruption across contexts and over time.¹³ Once a baseline is established, there is ample opportunity to capture patterns and track trends in policy making, organisational resources (personnel, budget and goods), procurement and service delivery.

¹¹ UNDP 2016 p.40

¹² Droop, Isenman and Mlalazi 2008, p21; Sustainable Development Solutions Network 2015

¹³ See Chapter 5 on sourcing corruption data.

This data and analysis can serve as the basis for shadow reporting or other forms of advocacy. To the greatest possible extent and when feasible, CSOs could furnish the High-Level Political Forum with shadow reports and, further, hold the HLPF accountable for follow-up actions based on CSO findings. Although the HLPF has not specified that it will accept CSO shadow reports, the January 2016 report from the High-level Group for Partnership, Coordination and Capacity-Building for post-2015 monitoring affirms that data and information from existing reporting mechanisms should be used where possible.¹⁴ Shadow reports are an official part of the reporting process for treaty bodies such as the UN Committee on the Elimination of Discrimination against Women (CEDAW) and the International Covenant on Economic, Social and Cultural Rights (ICESCR).

Even where shadow reports are not submitted directly to the HLPF, they can be powerful tools if they are disseminated widely to the right audiences. Report findings should be shared and discussed with interested communities and media, and used as a means of initiating conversations with relevant agencies or ministries. Ultimately, shadow reports can be used as means to monitor government responses, both to the global forums on review processes and to local stakeholders.

Philippines – SDG Shadow Reporting

Social Watch Philippines, a civil society network composed of more than 100 CSOs and individuals, wrote a spotlight report with UN support to complement the government's voluntary national review for the 2016 HLPF. It was drawn from a series of consultations that analysed poverty and inequality, the inclusiveness of growth and its environmental implications, and structural and systemic issues, including multi-stakeholderism and partnerships. The results are expected to feed into the government's national visioning and planning exercise. Business groups are also planning a portal to capture the private sector's contributions to SDG targets.

(Source: UNDG 2016b)

¹⁴ High-level Group for Partnership, Coordination and Capacity-Building for Statistics for the 2030 Agenda for Sustainable Development 2016.

SDG 16

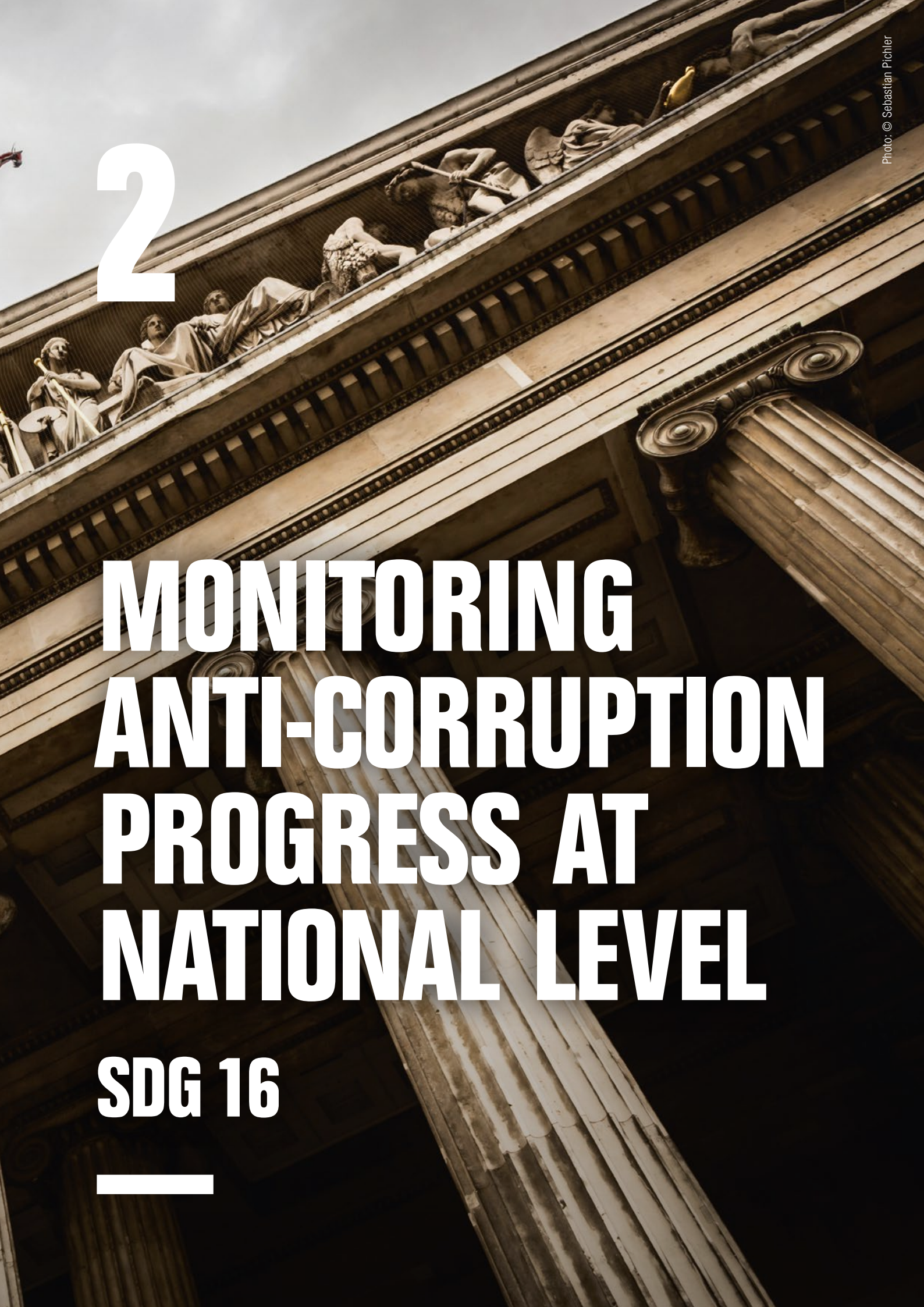
Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels



\$1.26 TRILLION

The total amount lost by developing countries to corruption, bribery, theft and tax evasion each year, according to United Nations estimates.*

* <http://www.un.org/sustainabledevelopment/peace-justice/>



2

Photo: © Sebastian Pichler

MONITORING ANTI-CORRUPTION PROGRESS AT NATIONAL LEVEL

SDG 16

MONITORING ANTI-CORRUPTION PROGRESS AT NATIONAL LEVEL – SDG 16

Chapter 2 focuses on monitoring approaches to Goal 16.5, as the target most specifically focused on controlling corruption, making an explicit link between corruption and building inclusive and peaceful societies for sustainable development. It also includes discussion of targets 16.4, 16.6, and 16.10.

Target 16.5: substantially reduce corruption and bribery in all their forms

Central to the spread of access to justice and effective and accountable institutions is the control of corruption, which serves as an obstacle at all levels of development: macroeconomic growth and stability, standards of living and accessible service delivery, particularly to the most vulnerable populations.

Corruption occurs behind closed doors at all levels of power and consequently presents particular challenges for monitoring and measurement. It can also take many forms: bribery, extortion, fraud, embezzlement, collusion, abuse of discretion, favouritism, gift-giving, nepotism, cronyism and patronage.¹⁵

Bribery is one form of corruption that has been consistently and successfully captured by surveys, and it is not surprising that the Inter-agency and Expert Group on SDG Indicators chose bribery as the basis of the two global indicators to measure progress towards achieving target 16.5.¹⁶

These measures of bribery are reliable and meet the high standards of data quality as outlined in the 2030 Agenda. However, they are general in nature and fail to capture other forms of corruption, particularly those that appear within the sectors that matter considerably for marginalised and vulnerable populations.

Indeed, bribery may not always be the form of corruption that is most detrimental to poor and marginalised groups. In fragile/conflict settings, extortion by security forces is a frequent form of corruption, and may be more harmful to the poor than bribery in service delivery since public service provision has likely ceased altogether. In addition, bribery measures do not provide insight into the ways corruption affects different sectors because surveys tend to aggregate at the national level. More generally, forms of corruption at the policy level, such as undue influence, nepotism, procurement rigging, while not directly affecting the poor, may be more harmful than street level bribery or other forms of corruption in service delivery. Finally, in spite of the universalist ambitions of the 2030 Agenda, the responsibilities of richer countries, including those related to integrity risks in transnational financial systems, are not captured by the global indicator framework's narrow emphasis on bribery.

There may, nonetheless, be scope at the national level for civil society to address these deficits by looking beyond just bribery, for instance by advocating for the inclusion of indicators that measure the value of the proceeds of corruption seized and repatriated to developing countries. The challenge for nationally-based CSOs would be monitoring progress against these more sophisticated forms of corruption, which are frequently transnational in nature.¹⁷

For these reasons, it is therefore important to consider selecting indicators that capture forms of corruption other than just bribery.

¹⁵ Trapnell 2015

¹⁶ UN Statistics Division 2017a

¹⁷ Reflection Group on the 2030 Agenda for Sustainable Development 2016, p

Table 1: Global Indicators for target 16.5

Goal 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels	
TARGET 16.5 Substantially reduce corruption and bribery in all their forms	INDICATOR 16.5.1 Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by those public officials, during the previous 12 months (Source: United Nations Office on Drugs and Crime (UNODC))
	INDICATOR 16.5.2 Proportion of businesses that had at least one contact with a public official and that paid a bribe to a public official, or were asked for a bribe by those public officials during the previous 12 months (Source: World Bank Enterprise Surveys)

Beyond bribery data, there is a significant amount of existing global data that assesses corruption at the national level, as well as proxy data that captures information on the factors that support efforts to curb corruption (transparency, participation, accountability). National corruption data may be generated by country-level institutions (for example, universities, think-tanks, CSOs, national statistics offices, etc.) across a variety of topics, but this may have to be aggregated to the country level.¹⁸ Specific indicators for country circumstances can be selected or adapted from any of the indicators presented in chapter 5.

Corruption indicators may also consider the existence or absence of specific laws and institutions which serve as necessary inputs for effective anti-corruption efforts. This kind of indicator is country-specific and will usually require qualitative evaluation rather than existing datasets. Indicators of this kind may include: the introduction of anti-corruption laws that address a variety of corruption risks, including income and asset disclosure,

whistleblower protections, illicit enrichment, access to information and other areas. They may also address the establishment of oversight agencies or the implementation of public registers for finances, company ownership, conflicts of interest, money laundering, as well as public recognition of international and national anti-corruption commitments.

Transparency International has developed a template for CSO shadow reporting on corruption and anti-corruption in the SDGs which captures a whole range of these issues and could be used to devise national-level indicators for SDG 16.5.

¹⁸ Aggregating country-level data may require identifying data sources, collecting data and analysing it before being useful in an advocacy context.

Common forms of corruption

Bribery is the act of offering someone money, services or other inducements to persuade them to do something in return.

A KICK-BACK is a form of bribe referring to an illegal secret payment made as a return for a favour or service rendered. The term is often used to describe, in an “innocent” way, the returns of a corrupt or illegal transaction or the gains from rendering a special service.

SPEED MONEY is paid to quicken processes caused by bureaucratic delays and shortages of resources. It normally occurs in offices where licences, permits, inspection certificates and clearance documents are processed.

EXTORTION is the unlawful demand or receipt of property, money or sensitive information through the use of force or threat. A typical example of extortion would be when armed police or military personnel demand money for passage through a roadblock.

EMBEZZLEMENT is the misappropriation of property or funds legally entrusted to someone in their formal position as an agent or guardian. It also includes the diversion of property, funds, securities or any other thing of value entrusted to public officials by virtue of their position. Peddling influence occurs when individuals solicit benefits in exchange for using their influence to unfairly advance the interests of a particular person or party.

PATRONAGE refers to the support or sponsorship by a patron (a wealthy or influential guardian). Patronage is used, for instance, to make appointments to government jobs, facilitate promotions, confer favours and distribute contracts for work. Patronage transgresses the boundaries of political influence and violates the principles of merit and competition because providers of patronage (patrons) and receivers (clients) form a network to bypass existing lawful systems through which access to various resources is obtained.

CRONYISM/CLIENTELISM refers to the favourable treatment of friends and associates in the distribution of resources and positions, regardless of their objective qualifications. Nepotism is a form of favouritism that involves family relationships. Its most usual form is when a person exploits his or her power and authority to procure jobs or other favours for relatives.

Mongolia's approach to anti-corruption in MDGs

In 2005, Mongolia became the first country to formulate an additional ninth MDG – on human rights, democratic governance and anti-corruption. This approach emphasised the role of democratic governance in successfully achieving the MDGs and other socio-economic development goals, even before the SDGs became a reality.

The MDG 9 included the following objectives:

1. Fully respect and uphold the Universal Declaration of Human Rights, ensure the freedom of media and provide the public with free access to information
2. Mainstream democratic principles and practices into life
3. Develop a zero-tolerance environment to corruption in all spheres of society

During the MDG 9 implementation period, Mongolia improved its conformity of domestic laws and regulations with international human rights treaties and conventions. Indicators demonstrated notable progress in enhancing democratic principles, particularly reforming the election system, decentralisation of political power and ensuring wider participation of citizens, improving accountability of public services and strengthening justice in the country. A substantial increase was observed in maintaining free media and increasing budget transparency of state organisations, and a large-scale reform was undertaken to combat corruption, reduce bureaucracy and injustice in public service, and accelerate decentralisation and remove conflict of interest.

(Source: Arajarvi (no date))

A number of countries, including Indonesia and the United Kingdom, are already going beyond bribery measures when selecting indicators for target 16.5.

Table 2: INDONESIA – proposed indicators for target 16.5

INDICATORS	SOURCES
Percentage of population who pay a bribe to officers or who are solicited (indicator 16.5.1)	UNODC
Index of opinion/assessment of public habits related to corruption	Local
Index of experiences related to certain public services (sectors)	Local
Other corruptive experience indexes	Local
Anti-corruption law enforcement index/corruption law enforcement index	Local
Corruption Perception Index (CPI)	Transparency International

Source: UNDP 2016

Table 3: UNITED KINGDOM – proposed indicators for target 16.5

INDICATORS	SOURCES
Proportion of senior officials and parliamentarians who fully disclose relevant financial interest	Financial register is available, although detailed investigations are only undertaken if there is a complaint
Proportion of people who report paying a bribe for services	Freedom of information act and open data charter ensure timely data should be available
Ratification of UNCAC and up-to-date legal framework against bribery, corruption and tax abuses which facilitates stolen asset recovery	Transparency International: Corruption Perceptions Survey (annual)
Existence of a mandatory public register that discloses the beneficial ownership of trust funds and companies	
Existence of a dedicated corruption-reporting mechanism through which citizens can report corruption cases	
Percentage of respondents who report paying a bribe when interacting with government officials in the last 12 months conviction rate for all corruption cases	

Source: UNDP 2016

Target 16.4: by 2030, significantly reduce illicit financial and arms flows, strengthen recovery and return of stolen assets, and combat all forms of organised crime

Illicit financial flows (IFFs) are commonly defined as the transferred monies that are earned, transferred or utilised through illicit means, into or out of a country. They include legally earned value, money and monetised instruments that are transferred illicitly or acquired through illegal activities, such as the proceeds of crimes, including corruption and tax evasion. They can also include tax avoidance and trade mis-invoicing.

Governance, economic growth and human security are all negatively affected by IFFs. The illicit economy generated by IFFs can exacerbate resource conflicts, pose impediments to sustainable economic growth and lead to human rights abuses.¹⁹ In addition, many modern armed conflicts are facilitated, aggravated and prolonged through the illicit proliferation of arms and ammunition.²⁰ Flows of illicit arms also affect countries that have enjoyed peace, sometimes for decades, by fostering high levels of violence.

► Global indicator 16.4.1: total value of inward and outward illicit financial flows (in US dollars)

► Global indicator 16.4.2: proportion of seized and small arms and light weapons that are recorded and traced, in accordance with international standards and legal instruments

Global indicators for target 16.4 address illicit flows of finances and arms, but national indicators have been proposed to assess a range of inputs, outputs and outcomes.

Characteristics of illicit financial flows (IFFs)

Typically, IFFs involve the hidden movement of profits, hidden transfers of ownership, or hidden income streams. The main motivations are tax evasion (corporate and individual); laundering the proceeds of crime (largely human trafficking and drug trafficking); and corruption (including the theft of state assets and the bribery of public officials). The damage done by IFFs in one jurisdiction is typically dependent upon the financial secrecy provided by another.

(Source: Cobham 2014)

¹⁹ UN Statistics Division 2017b

²⁰ Anders 2015; Diehl and Jenzen-Jones 2014; Florquin and Leff 2014

Table 4: INDONESIA – proposed national indicators for target 16.4

INDICATORS	SOURCES
Percentage of registered and tracked firearms based on international standards and regulations	Data not available
Percentage of marked and recorded small firearms at the time of import according to international standards	Data not available
Total value of illicit financial flows in and out of the country (in US\$)	Data not available
Realisation of corruption crime asset recovery paid into the state treasury compared to total assets seized by the state under court decisions	Data available from the anti-corruption agency and attorney general
Incidence of terrorism	Data available at several institutions such as the police and national agency for combatting terrorism

Source: UNDP 2016

Table 5: TUNISIA – proposed indicators for target 16.4

INDICATORS	SOURCES
Percentage of Tunisians declaring that terrorism is a potential threat to their security in their daily lives	Data not available
Number and estimated monetary value of seizures by the customs services of drugs, counterfeit goods, goods entering the country illegally in the last 12 months	Data not available
Total number of the reports of suspicious transactions transmitted by the Tunisian Commission for Financial Analysis to the prosecutor in the last 12 months	Data not available
Approval, ratification of the UN convention on the fight against transnational organised crime	Data available from the anti-corruption agency and attorney general

Source: UNDP 2016

Additional indicators could be developed related to anti-money laundering, beneficial ownership transparency, asset recovery and the fight against organised crime.

Table 6: Other potential indicators for target 16.4

INDICATORS	SOURCES
MONEY LAUNDERING	
Country's score in the Basel Institute on Governance's Basel Anti-Money Laundering Index	https://index.baselgovernance.org
Country's secrecy score in the Tax Justice Network's Financial Secrecy Index	http://www.financialsecrecyindex.com
The estimated illicit financial outflow of funds from a country in the latest available year, according to Global Financial Integrity	http://www.gfintegrity.org/issues/data-by-country
Whether the country has a law criminalising money laundering	FATF mutual evaluation reports http://www.fatf-gafi.org/publications/mutualevaluations
Statistics on enforcement of anti-money laundering legislation: ► The number of criminal investigations, prosecutions and convictions for money laundering (ML) activity ► Average length of custodial sentences imposed for ML convictions ► Average value of fine imposed on ML convictions ► Value of proceeds of crime, instrumentalities or property of equivalent value confiscated.	As FATF considers these statistics to be particularly useful, the data is likely to be included in the most recent mutual evaluation report: http://www.fatf-gafi.org/publications/mutualevaluations
Whether the country has signed the competent authority multi-national agreement on automatic exchange of financial account information	The OECD maintains a list of signatories https://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/MCAA-Signatories.pdf and provides information on the details of which jurisdictions will bilaterally exchange financial account information https://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs
how the OECD's Global Forum assesses a jurisdiction's performance on the exchange of information for tax purposes on request (compliant, largely compliant, partially compliant, non-compliant)	https://www.oecd.org/tax/transparency/exchange-of-information-on-request/ratings/#d.en.342263 Additional relevant information in the Global Forum's Peer Reviews http://www.oecd-ilibrary.org/taxation/global-forum-on-transparency-and-exchange-of-information-for-tax-purposes-peer-reviews_2219469x and on the Exchange of Tax Information Portal http://eoi-tax.org .

INDICATORS	SOURCES
BENEFICIAL OWNERSHIP TRANSPARENCY	
Country's score in the Open Company Data Index produced by Open Corporates	http://registries.opencorporates.com
Whether the country has a law clearly defining beneficial ownership	National legislation
ASSET RECOVERY	
Whether the country has a specific asset recovery policy and resources have been allocated to support its implementation	Government policies
Number and volume of assets confiscated and repatriated.	The STAR Corruption Case database http://star.worldbank.org/corruption-cases
FIGHT AGAINST ORGANISED CRIME	
Public trust in the integrity of the police	Data on perceived corruption and integrity of the police in the Global Corruption Barometer http://gcb.transparency.org

Target 16.6: develop effective, accountable and transparent institutions at all levels

Accountability is about ensuring appropriate responsibility for outcomes. It is comprised of answerability and enforcement. Answerability is the right of citizens to request a response to questions about government decision making, as well as the obligation of government to provide a response. Enforcement is the capacity to ensure that a responsive action is taken, and provides for access to mechanisms for redress when accountability measures fail.²¹

To be effective, accountable, and transparency, institutions must be responsive to the needs of the population seeking access to and obtaining basic public services, such as healthcare, education, water and sanitation, as well as services provided by the police and judicial system. This requires administrative effectiveness and efficiency, as well as oversight mechanisms that ensure organisational compliance with laws and policies.²²

► Global indicator 16.6.1: primary government expenditures as a proportion of original approved budget, by sector (or by budget codes or similar)

► Global indicator 16.6.2: percentage of the population satisfied with their last experience of public services

Global indicators for target 16.6 address government expenditures and user satisfaction, but national proposed indicators move beyond this narrow scope to address institutional performance, integrity, policy relevance, organisational compliance and administrative efficiency.

²¹ Schedler 1999

²² UN Statistics Division 2017b. Note that target 16.7 addresses responsive, inclusive, participatory and representative decision making at all levels.

Table 7: INDONESIA – proposed indicators for target 16.6

INDICATORS	SOURCES
Proportion of government's main expenditure against approved budgets	Local
Proportion of population satisfied with public services	Local, Public Satisfaction Index (PSI)
Number of policies of local government officials found unlawful by administrative courts (PTUN)	Local, Indonesia Democracy Index (IDI)
Local government efforts to provide regional budget (APBD) information	Local, Indonesia Democracy Index (IDI)
Results of regional government performance evaluation (EKPPD)	Local
Bureaucratic Reform Index	Local
Level of compliance with Law 25/2009 regarding public services	Local
Index of government performance accountability system (SAKIP)	Local
Public Service Integrity Index	Local

Source: UNDP 2016

Table 8: TUNISIA – proposed indicators for target 16.6

INDICATORS	SOURCES
Percentage of Tunisians who think that appointments to the public service are based on the criterion of professional merit	Perception survey (local)
Number of simplifications of administrative procedures, relative to the number of procedures reviewed	Administrative records
Presentation of the state budget by objective and annual assessments of the performance of these	Administrative records
Numbers of public bodies' governance standards developed, taking into account the challenges of sustainable development	Administrative records
Percentage of Tunisians who declare feeling excluded or not involved in the development, monitoring and evaluation of public policy choices at the local level	Perception survey (local)
Existence of a national participatory evaluation of public policy repository	Administrative records

Source: UNDP 2016

Target 16.10: ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements

The state is obliged to respect the human rights of all persons under its jurisdiction. It does so by refraining from infringement on rights, as well as honouring the obligation to protect individuals against acts of third parties. Human rights violations committed against journalists, trade unionists and human rights defenders contravene fundamental freedoms that are protected in accordance with international law. These freedoms include the right to freedom of opinion and expression, which includes the right to receive information, and the right to freedom of peaceful assembly and of association.²³

► Global indicator 16.10.1: number of verified cases of killing, kidnapping, enforced disappearance, arbitrary detention and torture of journalists, associated media personnel, trade unionists and human rights advocates in the previous 12 months.

► Global indicator 16.10.2: number of countries that adopt and implement constitutional, statutory and/or policy guarantees for public access to information

Global indicators for target 16.10 address violence against media, trade unions and human rights advocates, as well as the existence of legal frameworks guaranteeing public access to information, which are especially relevant to the anti-corruption agenda. However, national proposed indicators address a range of fundamental rights, including constitutional freedoms, safety and security, voting and participation rate in voluntary associations.

²³ UN Nations Statistics Division 2017

Table 9: TUNISIA – proposed indicators for target 16.10 (fundamental freedoms only)

INDICATORS	SOURCES
Percentage of Tunisians declaring that the decisions taken by their governments respect the fundamental rights and freedoms enshrined in the constitution	Perception survey (local)
Number of complaints filed by citizens (or civil society) for justice in relation to non-compliance with individual and collective rights and freedoms	Administrative records
Percentage of Tunisians feeling safe walking the streets at night in their locality	Perception survey (local)
Percentage of population reporting having personally felt discriminated against or harassed within the last 12 months on the basis of a ground of discrimination prohibited under international human rights law	Perception survey (local)

Source: UNDP 2016

Table 10: UNITED KINGDOM – proposed indicators for target 16.10 (fundamental freedoms only)

INDICATORS	SOURCES
National law or constitutional guarantee of freedoms: expression, association, movement, belief, etc.	Local authorities and the electoral commission have this information.
Percentage of respondents indicating that, in general, the freedoms of personal expression, movement, religion and association are respected in the country.	Very high data quality as numerous government departments collect and/or quality assure this information
Proportion of eligible population registered as voters	Registration to vote (continuously available)
Percentage of respondents who think that local elected councillors/traditional leaders listen to people like themselves.	British Social Attitudes Survey (annual)
Percentage of respondents indicating that they are a member of a local religious, professional, cultural, savings or investment, political, sporting or other organisation.	Press Complaints Commission (continuously available)
Proportion of requests for holding demonstrations accepted by the administrative authorities.	
Proportion of journalists and any other media persons who reported sanctions, political or corporate pressure for the publication of information.	
Percentage of respondents indicating that freedom of the press and other media is respected in the country.	

Source: UNDP 2016

Table 11: United Kingdom – proposed indicators for target 16.10 (access to information only)

INDICATORS	SOURCES
Right to information enshrined in constitution or national legislation that guarantees the public's right to information and access to government data.	Underlying data from the Open Budget Index should be able to capture progress in this area. There might be a need to revisit the participatory budget elements of the index to further refine measurements
Percentage of population with mobile phone and broadband coverage.	Freedom of Information Act (continuously available)
Administrative data on budget documents publication.	UK score on Open Budget Index (every other year)
Increase by x% the proportion of people surveyed who express satisfaction with government performance in fulfilling its obligations under its "access to information" system.	ONS website (publication of most official statistics)
Increase in transparency and participation in public budgeting.	official Journal of the European Union (OJEU – continuously available)
Existence of legislation on corporate reporting that requires companies to report on their social and environmental impact, including human rights impact and tax paid.	
Compliance with international standards for FOI/RTI legislation.	
Proportion of FOI requests that meet minimum standards of timeliness and open standards.	
Percentage of government procurement that is advertised publicly.	
Percentage of procurement decisions published.	
Compliance with EITI standards for extractive industries.	
Percentage of respondents saying they trust their taxes are well spent.	

Source: UNDP 2016

Table 12: Other potential indicators for target 16.10

INDICATORS	SOURCES
ACCESS TO INFORMATION	
Country's score in the Right-To-Information Rating	http://www.rti-rating.org/view_country
Existence of a national law or constitutional guarantee to the right to information	http://www.rti-rating.org/view_country
Number of requests for information made to public authorities each year in the previous three years: ► How many were answered within the time limits provided by the law? ► What percentage was fully answered, what percentage partly? ► What happened with the remaining requests?	Annual report by an Information Commissioner or other public body charged with overseeing the implementation of the law Data from civil-society operated FOI request portals
OPEN DATA	
Country's rank and score in the most recent edition of the Open Data Barometer	http://opendatabarometer.org/data-explorer
Country's score in the most recent available Open Data Index	http://index.okfn.org/place

SDG 5
**Achieve gender equality and
empower all women and girls**

23.3%

**The proportion of women parliamentarians
worldwide as of March 2017.* Promoting women's
participation in public life is essential to address
the gendered impact of corruption and level gender
power imbalances and inequalities.**

* <http://www.ipu.org/wmn-e/world.htm>

3

TRACKING CORRUPTION ACROSS THE SDG FRAMEWORK

A Sectoral Approach

TRACKING CORRUPTION ACROSS THE SDG FRAMEWORK – A SECTORAL APPROACH

Chapter 3 provides guidance on how to use risk and integrity assessment tools to map corruption risks in different sectors. After providing an analytical framework to help identify or develop relevant sectoral indicators, the chapter presents an overview of the major corruption challenges associated with five key SDGs (health, education, gender, water and sanitation and climate action).

Corruption in the SDGs: a cross-cutting issue

The link between corruption and “inclusive, peaceful and just societies” is explicitly acknowledged in SDG 16, which includes a specific target on reducing corruption (target 16.5) among other governance targets. Anti-corruption efforts are recognised as a crucial part of delivering sustainable development and underpin the achievement and sustainability of all other SDGs. This makes a compelling case for the importance of monitoring corruption across the SDG framework, rather than limiting monitoring efforts to targeting 16.5. Given that existing global datasets on corruption are not well-suited to a goal-by-goal analysis, as they are rarely disaggregated by sector, new initiatives to monitor sectoral corruption would be particularly timely.

The SDGs related to health (SDG 3), education (SDG 4), gender (SDG 5), water and sanitation (SDG 6), and climate action (SDG 13) are areas with major bearing on standards of living. Progress in these sectors has a great potential to help people rise out of poverty, while failure to improve conditions will leave the poorest people exposed to the ravages of deprivation and inequality.

Corruption is a key variable in this equation, and has a disproportionate effect on the ability of countries to achieve the 2030 Agenda’s commitment to “leave no-one behind”. This is because the engrained forms of corruption across the service delivery chains in these five sectors mean that intended end-users or beneficiaries are generally the ones most affected by a fall in service availability and quality caused by corruption.²⁴

Indeed, service delivery corruption has been shown to have negative effects on poverty rates,²⁵ human development indicators,²⁶ mortality rates,²⁷ child mortality rates,²⁸ school dropout rates,²⁹ trust in governments³⁰ and civil unrest.³¹ This type of corruption has also been shown to have devastating effects on the environment,³² which in some cases can lead to food and water insecurity and mismanagement of natural resources.

SDGs 3, 4, 5, 6 and 13 also relate to sectors characterised by: (a) large investments from national governments, foreign and multilateral donors, and private sources; (b) specialised goods; and (c) multiple points-of-service delivery, all of which make them especially vulnerable to corruption.

The achievement of many of the targets set for these five goals will rely on more effective service delivery, which necessitates tackling forms of corruption along the value chain. Corruption in policy making and the management of organisational resources leads to a waste of assets and funds, thereby exacerbating scarcity. Corruption also reduces the quality of services, particularly through fraudulent or lower-grade inputs utilised in infrastructure or essential supplies (like pharmaceutical products, equipment or textbooks). This undermines citizen trust in government and, in turn, erodes state legitimacy since government is the provider of basic services to all citizens. Moreover, by damaging state legitimacy and exacerbating exclusion of certain groups, corruption can lead to instability, inter-group tensions, violent conflict and loss of confidence in government.

²⁴ Kaufmann, Montoriol-Garriga, and Recanatini 2008

²⁵ Chetwynd, Chetwynd, and Spector 2003

²⁶ UNDP 2004

²⁷ Gupta, Davoodi, and Tiongson 2001

²⁸ Azfar and Gurgur 2005

²⁹ Ibid

³⁰ Rose-Ackerman 2001

³¹ Corruption Watch 2014

³² Chetwynd, Chetwynd, and Spector 2003

In light of the above, it would be extremely valuable to expand corruption monitoring efforts beyond tracking progress in the fight against corruption nationally to also assess the impact corruption is having on SDG-related programmes across the board. The “mainstreaming” of anti-corruption work through the inclusion of corruption-related indicators into sectoral targets is especially relevant for the five SDGs on health, education, gender, water and sanitation, and climate action.

Identifying corruption “hotspots”

The selection of appropriate corruption indicators for key SDGs requires an understanding of the circumstances in which corruption occurs, of how the data will be used, as well as of the type of information needed to prompt effective counter-measures. It is also important to recognise indicators and data sources that can provide baseline measurements from which national progress towards specific targets can be tracked.³³

Identifying vulnerabilities in the sectoral value chain is therefore an important first step when monitoring corruption. Corruption risk assessments and integrity assessments can be particularly helpful in this process, especially in areas of policy making, personnel management and procurement, where actions may be untraceable, and networks of individuals and groups may lead to strong instances of collusion.

One way to determine which kind of indicators would be suited to tracking corruption in a given sector is to conduct a risk assessment. Corruption risk assessments are diagnostic tools that aim to identify weaknesses within a system which may present opportunities for corruption to occur. As such, they focus on the potential for – rather than the perception, existence or extent of – corruption. Typically, such assessments involve prioritising corruption risks by assigning them a score calculated on the basis of the likelihood of corruption occurring and the severity of the impact it would have should it occur.³⁴ These assessments can be used to flag potential areas of concern, rank risks from minor to severe and identify existing anti-corruption instruments that may mitigate these risks.

Once this analysis has been conducted, indicators can then be selected to measure areas of concern as well as the progress of anti-corruption reforms. Where existing indicators are unable to adequately capture the high-lighted vulnerabilities, bespoke indicators could be created and matched with datasets. For guidance on how to conduct risk assessments, see Corruption Risk Assessment Topic Guide,³⁵ as well as Corruption Risk Assessment in Public Institutions in South East Europe.³⁶

Similar to risk assessments, integrity assessments can be used to establish vulnerabilities and background levels of corruption though their focus is on organisational ethics and administrative culture rather than corruption risks. Such assessments involve studying the values and behaviours of public officials and the constraining rules that attempt to mitigate risks or conflicts of interest. Integrity assessment tools usually aim to assess the institutional framework for promoting integrity and combatting corruption, and/or to identify vulnerabilities within specific government agencies or among public officials. For guidance on integrity assessments, please see Overview of Integrity Assessment Tools.³⁷

Once corruption risks in a sectoral value chain have been determined, the next step is to consider which indicators would be able to capture either progress in anti-corruption efforts or the impact of corruption on SDG delivery mechanisms. This approach is presented in the following section on corruption risks in sectors. After suitable indicators to assess a specific corruption risk have been established, chapter 4 considers how to identify data sources able to “speak to” that indicator.

³³ These could include Transparency International's National Integrity System assessments
³⁴ Risk score = likelihood (scale 1-5) * impact (scale 1-5). This simple means of assessment can produce a corruption risk score ranging from 1 to 25.

³⁵ McDevitt 2011
³⁶ Selinšek 2015
³⁷ Martini 2012a

Analytical framework for understanding corruption risks in sectors

Despite corruption's many guises, there are particular areas of concern in sectors characterised by frequent principal-agent interactions and large public procurement contracts. The diagram below presents an illustration of the various levels at which corruption can occur (policy making, organisations and client interface) and the procurement processes that connect them, as well as the specific organisational resources that may be vulnerable to corruption.

There are two main integrity threats at the policy formulation stage: grand corruption and undue influence. According to Transparency International's Anti-Corruption Plain Language Guide, grand corruption refers to "acts committed at a high level of government that distort policies or the central functioning of the state, enabling leaders to benefit at the expense of the public good". It can be perpetrated by a single individual or small group of individuals and generally deprives a particular social group or substantial part of the population of a fundamental right. This kind of corruption can have a hugely detrimental effect on certain communities and acts as a major impediment to the achievement of sustainable development.

Undue influence by interest groups may lead to administrative bribery, political corruption and state capture. Firms may try to affect the formulation of laws and regulations through illicit private payments to public officials and politicians, for example, through illicit contributions paid by private interests to political parties and election campaigns or the sale of parliamentary votes on laws to private interests³⁸ However, undue influence is not always illegal, even though it distorts political incentives and affects the direction of policies.³⁹

ORGANISATIONAL RESOURCES

The management of organisational resources, such as personnel, goods, supplies and budgets, is often characterised by weak oversight and discretionary abuse in the context of complex bureaucracies with overlapping responsibilities and jurisdictions. Embezzlement of funds during and after the procurement process is especially prominent in the health and education sectors where large flows of money, specialised equipment and complex organisational structures are commonplace. Patronage and nepotism are also a factor in the licensing and training of specialists and hiring practices.

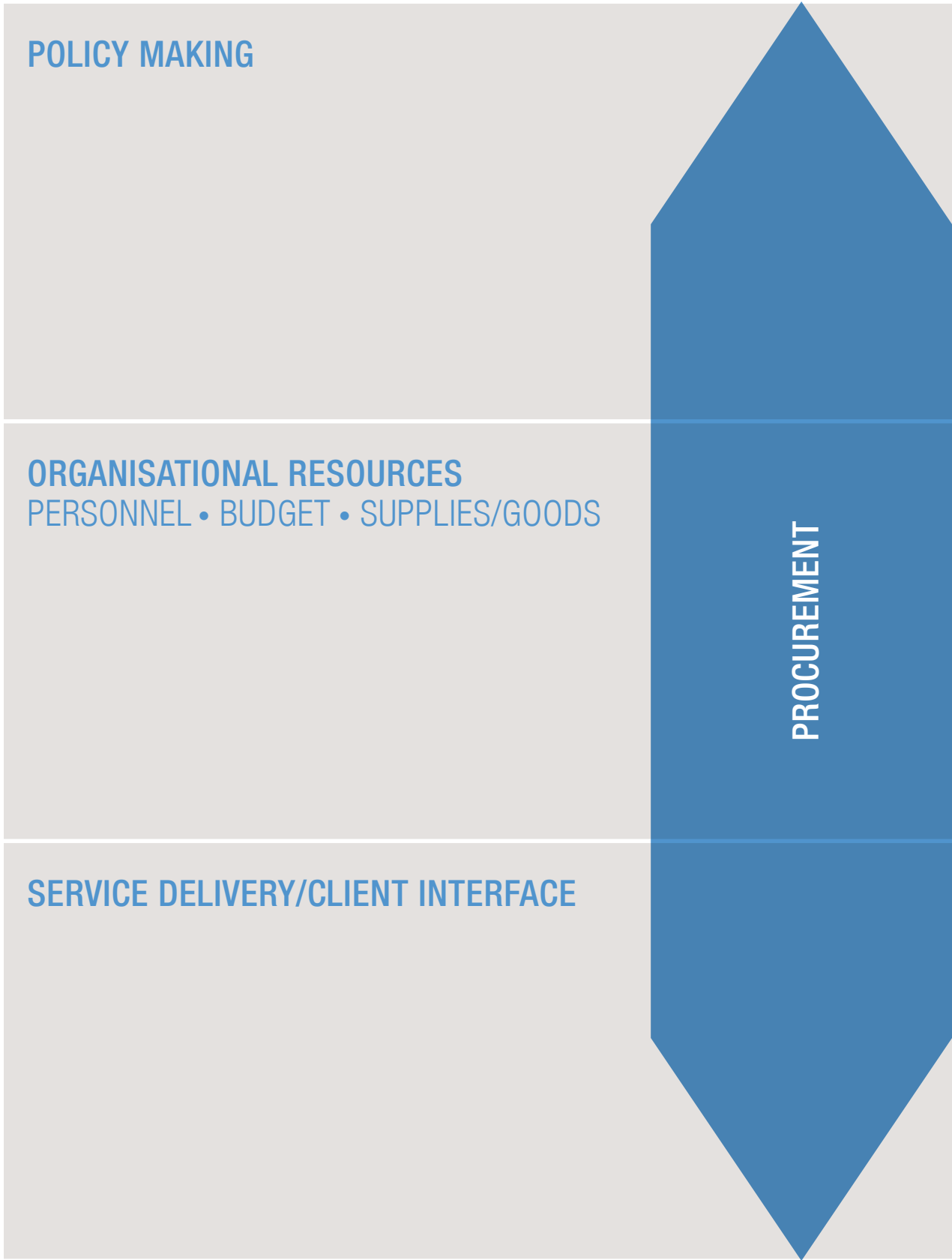
SERVICE DELIVERY/CLIENT INTERFACE

Corruption at the point-of-service, where citizens or customers receive services, often takes the form of bribery and extortion. This is commonly referred to as petty corruption: everyday abuse of entrusted power by low- and mid-level public officials in their interactions with ordinary citizens, who often are trying to access basic goods or services in places like hospitals, schools, police departments and other agencies.

³⁸ Kaufmann et al 2000

³⁹ Undue influence may consist of coercion and fraud, but it may also include kinship and personal relationships. It may require an act be performed in bad faith, or simply that a corrupt outcome occurred. The definition and criminalisation of undue influence therefore depends on the context and country laws. See Martini 2012b

Figure 1: A framework for understanding typologies of corruption in sectors



Using sectoral indicators

Indicators can be developed using the value chains for each sector and/or can mimic existing indicators from global and national-level datasets. For instance, the national-level data sources presented in chapter 5 contain a variety of indicators that are useful for measuring corruption, its risks and the factors that prevent it. While examples of these are mentioned in the following sections on the five key SDG value chains, they do not constitute the entirety of indicators that may be relevant in a specific context.

SDG 3 ENSURE HEALTHY LIVES AND PROMOTE WELL-BEING FOR ALL AT ALL AGES

The health sector provides numerous opportunities for corruption to flourish, especially given the large amounts of money flowing to and from the pharmaceutical industry. The need for specialised equipment also lends itself to collusion, bribery and embezzlement in the procurement process, such as when contracts are loaded with unnecessary additions, or when substandard materials are used to fulfil contractual requirements.

At the level of organisational resources, the diversion of funds and goods is common, and ghost workers may be a significant problem in payroll and personnel management. Extortion and bribery are common at the level of service delivery, where service providers demand bribes in exchange for services or basic medical equipment. The use of fraudulent prescriptions is a notable factor in the illegal commerce of prescription drugs.⁴⁰

Based on an analysis of corruption risks in the health value chain in a given country, service delivery indicators can be identified and tailored to specific contexts. Data on personnel management, equipment, goods and supplies can be used to highlight areas where corruption may be hindering effective service delivery.⁴¹ Though such data cannot reveal individual instances of corruption, further investigation (for example, user surveys, interviews, audits, etc.) can be used to cross-reference and identify the factors leading to the absence of personnel or goods and the lack of high-quality services. To be able to aggregate data at a national or sector level, sampling techniques can be applied to reflect the characteristics of the underlying population or datasets from multiple localities can be combined.

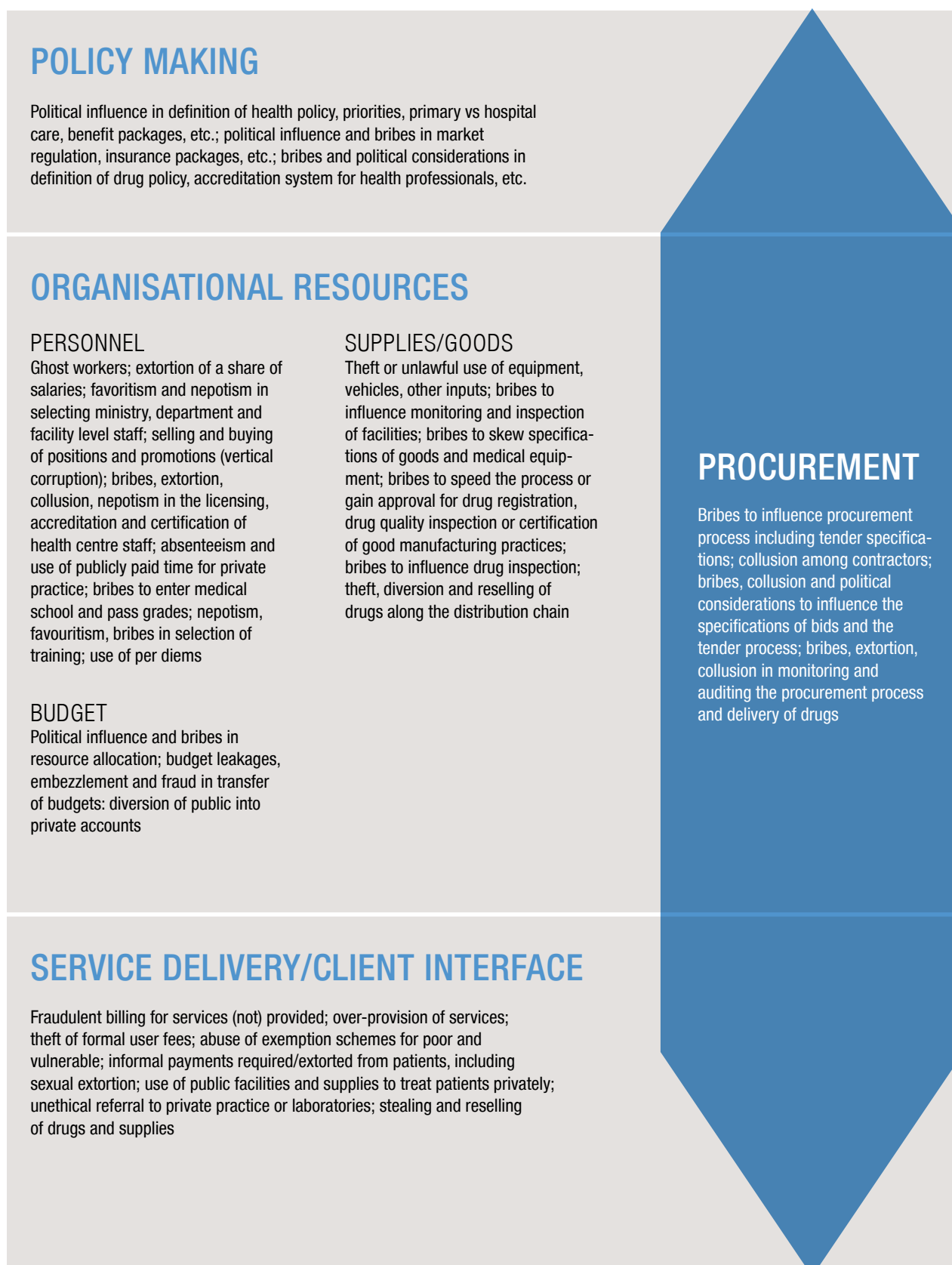
The table below provides examples of framework, progress and impact indicators that can be used to track the impact of corruption on health services to demonstrate how anti-corruption can be integrated in the monitoring of SDG 3. This typology is based on work by the OECD Water Governance Initiative for mapping and categorising various governance indicators,⁴² and national chapters may wish to revise these to capture the situation of their country in the most suitable way.

⁴⁰ Zachariah 2010

⁴¹ This data is already collected by local civil society groups through field visits and compliance testing, particularly through the use of community score cards, social audits, citizen report cards and project-based integrity initiatives, such as www.developmentcheck.org.

⁴² Conversation with Umrbek Allakulov, Water Integrity Network

Figure 2: Analysis of corruption along the health sector value chain



Sources: DFID 2010; Vian 2008

Table 13: Framework indicators for the healthcare sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
FRAMEWORK INDICATORS These indicators aim to capture evidence on the existing (or missing) framework conditions for a sector clean of corruption.		
Legal framework and administrative practices in healthcare transparency and accountability	Existence of complaints mechanisms and rating systems Integration of anti-corruption safeguards into national health policies, strategies and planning Existence of a unit or agency dealing with fraud and corruption in the healthcare system Existence of transparency requirements in the relations between the pharmaceutical and medical equipment industry and their trade representations and public and private healthcare providers Public availability of health budgets	Health institutions, Ministry of Health Independent agency reporting to the auditor general's office
Up-to-date healthcare standards which are easily accessible to the public	A list of standards (covering essential medicines, treatment procedures, performance indicators etc.) is periodically published	Health institutions, Ministry of Health, WHO
Codes of conduct in place for healthcare professionals	Existence of codes of conduct for various health officials, including doctors, nurses, administrators and healthcare inspectors	Health institutions, Ministry of Health
oversight and regulation of the pharmaceutical industry	Existence of publicly-accessible registries of clinical trial results Existence of regulation requiring pharmaceutical companies to report all financial contributions made to medical research units Existence of well-resourced, independent regulatory agencies responsible for registering of new medicines	WHO's clinical trial database http://apps.who.int/trialsearch/ and the ClinicalTrials.gov database https://clinicaltrials.gov/ Ministry of Health Food and Drug Administration

Table 13: Progress indicators for the healthcare sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
PROGRESS INDICATORS These indicators gauge the level of progress made to make the sector more transparent, accountable and subject to control by stakeholders and civil society.		
Complaints by health service users that lead to corrective action	Number and % of complaints effectively processed	National human rights commission, national health ombudsman or national body of medical supervision/ specialised courts
Control, oversight and sanctioning	Number of health institutions for which audits, public expenditures tracking surveys (PETS) etc. are regularly conducted Number of irregularities detected in audit reports and PETS Number of cases of corruption in the health sector prosecuted and sanctioned	Published administrative data Office of the auditor general, anti-corruption commission, ethics office
Effectiveness of health services: quality standards and performance of health facilities	Availability of essential drugs (%) and gender/age disaggregated statistics Qualification of health personnel (% of health personnel with minimum subject knowledge) Payroll leakages/in-kind leakages Absenteeism among healthcare professionals (%)	Administrative data, country-driven monitoring and oversight, random spot testing and site visits Direct observation, facility records public expenditure tracking surveys (PETS), quantitative service delivery surveys (e.g. World Bank service delivery indicators), facility surveys Interviews with public officials, recipient institutions and sample surveys of healthcare workers

Table 13: Impact indicators for the healthcare sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
IMPACT INDICATORS These indicators measure sector-specific outcomes and impacts that can relay varying degrees of evidence of integrity and corruption levels in the sector.		
Perception and experience of corruption in healthcare system	% of citizens reporting paying a bribe to access health services	Global Corruption Barometer, Afrobarometer, Latinobarometer, Eurobarometer, etc.
Quality and quantity of health services	Satisfaction of households with public and private health services Quality, quantity and safety of health procedures Value (\$) or proportion (%) of medicines checked found to be counterfeit Waiting time at health facilities Availability and usage of public health facilities	Published administrative data, citizen report cards, social audits, exit surveys, household surveys, Ministry of Health, health insurance providers, professional organisation of healthcare providers
Long-term health outcomes: indicators of health and well-being	Infant mortality, morbidity, immunisation rates, life expectancy, etc. Health expenditure per capita, capital expenditure in the health sector, financing of healthcare, financing of pharmaceutical expenditure	National statistics offices OECD Health at a Glance Indicators http://www.oecd.org/health/health-systems/health-at-a-glance-19991312.htm

SDG 4

ENSURE INCLUSIVE AND QUALITY EDUCATION FOR ALL AND PROMOTE LIFELONG LEARNING

Corruption risks in the education sector are broadly similar to that of the health sector, though the amounts of money into schools and school supplies tend to be on a smaller scale. Procurement of goods and supplies is often characterised by overpricing and kickbacks, while the management of organisational resources faces challenges with embezzlement, bribery for teaching positions, or favouritism and nepotism in hiring practices. Point-of-service corruption in education is common, particularly through and bribery for school placements, access to tutoring and passing grades.

Based on an analysis of corruption risks in a country's education sector, service delivery indicators could be adopted and tailored to the local contexts to highlight areas where corruption may be obstructing achievement of SDG 4 targets.

The table on page 47 provides examples of framework, progress and impact indicators that can be used to track the impact of corruption in the education sector and the extent to which anti-corruption is integrated into the monitoring of SDG 4. This typology is based on work by the OECD Water Governance Initiative for mapping and categorising various governance indicators,⁴³ and national chapters may wish to revise these to capture the situation of their country in the most suitable way.

⁴³ Conversation with Umrbek Allakulov, Water Integrity Network

Figure 3: Analysis of corruption along the education sector value chain



Sources: U4 Anti-Corruption Resource Centre 2006; Hallak and Poisson 2002

Table 14: Framework indicators for the education sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
FRAMEWORK INDICATORS These indicators aim to capture evidence on the existing (or missing) framework conditions for a sector clean of corruption.		
Codes of conduct in place for education personnel	Existence of codes of academic integrity/ conduct for head teachers, lecturers, students, inspectors, education authority staff, teachers and ancillary staff	Education institutions, Ministry of Education http://teachercodes.iiep.unesco.org/ http://www.iiep.unesco.org/en/chea-and-iiep-unesco-issue-advisory-statement-combatting-corruption-higher-education-3623 http://www.coe.int/en/web/ethics-transparency-integrity-in-education/academic-integrity-and-plagiarism
Legal framework and administrative practices to promote transparency and accountability in the education sector	Well-defined, transparent procedures and standards for merit-based teacher recruitment and promotion that do not permit favouritism Clear criteria for student admission tests and end-of-school examinations, administered by autonomous bodies Existence of an independent unit or agency to monitor compliance with anti-corruption requirements, investigate conflicts of interest and administer sanctions Existence of legislation providing public access to information related to educational policies, programmes, budgets, expenditure, accounting and procurement records Existence of complaints mechanisms and channels to appeal against staffing decisions Institutionalised involvement parents, student representatives and civil society in school oversight and university governance	Education institutions, Ministry of Education, legislation

Table 14: Progress Indicators for the Education Sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
PROGRESS INDICATORS These indicators gauge the level of progress made to make the sector more transparent, accountable and subject to control by stakeholders and civil society.		
Control, oversight and sanctioning	Number of educational institutions for which audits, public expenditures tracking surveys (PETS) etc. are regularly conducted Number of irregularities detected in audit reports and PETS Number of complaint by students, parents and teaching staff, and % that are acted upon Diversity of textbook suppliers over the past five years	Administrative data, office of the auditor general, anti-corruption agency, ethics office National ombudsman, school boards Procurement records
Effectiveness of education services: quality standards and performance of educational facilities	Enrolment figures (especially for minorities and disadvantaged groups) Qualification of teaching staff (% of personnel with diploma/certified by an appropriate authority) Payroll leakages/in-kind leakages teacher absenteeism (%) Prevalence of private tutoring (proxy for quality/availability of government-run classes)	Administrative data, random site visits, direct observation, social audits Public expenditure tracking surveys (PETS), quantitative service delivery surveys (e.g. World Bank service delivery indicators) Interviews with public officials, recipient institutions and education professionals

Table 14: Impact Indicators for the Education Sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
IMPACT INDICATORS These indicators measure sector-specific outcomes and impacts that can relay varying degrees of evidence of integrity and corruption levels in the sector.		
Perception and experience of corruption in education system	% of citizens reporting paying a bribe to access education	Global Corruption Barometer, Afrobarometer, Latinobarometer, Eurobarometer, etc.
Quality of education services	Satisfaction with the quality of education among parents and students Availability of free textbooks to all students disparities in the number of schools, teachers and pupils with regard to gender, district and school type (government-run vs private)	Administrative data, citizen report cards, social audits, exit surveys, household surveys, international surveys, etc.
Long-term education outcomes	% of school leavers with expected proficiency in reading and mathematics % of students passing school/university entrance exams (where these are administered by an independent agency) % of youth unemployment, by completed level of education	National statistics offices, international surveys (PISA, TIMSS, PIRLS) Country's education management information system (EMIS) http://www.unesco.org/new/en/education/themes/planning-and-managing-education/policy-and-planning/emis/

Sources: Hallak and Poisson 2007; UNDP 2011a; U4 Anti-Corruption Resource Centre 2006

SDG 5

ACHIEVE GENDER EQUALITY AND EMPOWER ALL WOMEN AND GIRLS

The realisation of gender equality and the empowerment of women and girls is a necessary precondition to ensuring progress across the SDGs. While women face some forms of corruption that are specific to their gender, the more pressing issue is their unique vulnerability to the effects of corruption, regardless of income, location or ethnicity.⁴⁴ The severity of these effects underlines the need to understand how corruption affects women across all sectors. In turn, this makes the collection of disaggregated data exceptionally important and its use in designing anti-corruption reforms all the more necessary.

As primary caregivers in families, women engage with public services more often than men and consequently face a higher likelihood of bribery and extortion when accessing education, health, utilities and justice.⁴⁵ Because of unequal power relations within households, women have fewer resources and information than men, and are less able to afford bribes. As a result, they are more frequently denied access to services in corrupt environments because of their inability to pay.⁴⁶ In poor families, this means that girls are denied education for failure to pay bribes associated with enrolment and supplies. Because resources for education are more likely to be spent on boys, daughters are more likely to be forced to tend to the household while their mothers work.⁴⁷ As entrepreneurs, women are faced with greater obstacles because they lack the information, experience and resources to manage networks of corruption that dominate business.⁴⁸

There are also gender-specific forms of corruption that are disproportionately experienced by women, such as sexual extortion. This phenomenon of “sextortion” entails women being forced to perform sexual acts in exchange for services, where their bodies are treated as a proxy currency in place of a bribe. This is a form of corruption that is likely to be significantly underreported due to widespread shaming and victim blaming.

Women and girls also make up a larger portion of refugees and displaced populations in conflict and post-conflict countries or in the aftermath natural disasters. Given that most aid workers and peacekeepers are men, opportunities arise for abuse of entrusted power, exposing vulnerable women and girls to sexual and other forms of exploitation (for example, “sex-for-food” scandals).

Women and girls are also uniquely vulnerable to human trafficking, which is a practice characterised by bribery and the abuse of power by border and visa officials. This chain extends further, however, in some cases widening to include law enforcement and security officials, as well as parliamentarians and embassy staff.

Collecting reliable disaggregated data can help capture the gendered impact of corruption and ensure that policy makers design targeted and effective anti-corruption policies. Gender-specific indicators can include data on women and girls’ access to public services (health, education, reporting and redress mechanisms, etc.), the existence of gender sensitive reporting mechanisms, women’s participation in public and political life, as well as the participation of women in the labour force of public services, among others.

⁴⁴ UNDP and UNIFEM 2010

⁴⁵ UNDP 2012

⁴⁶ Nyamu-Musembi 2007

⁴⁷ Kabeer 2004

⁴⁸ Ellis, Manuel and Blackden 2005

SDG 6

ENSURE ACCESS TO WATER AND SANITATION FOR ALL

The most common instances of corruption in the water and sanitation sector tend to be at the procurement and provision level, as there is little point-of-service interaction between providers and recipients.⁵² Water infrastructure and water treatment services tend to involve highly lucrative contracts, making the sector quite vulnerable to corruption.

Water and sanitation networks require heavy, long-term investment in infrastructure, and thus bribery and undue influence become important options to secure public contracts. Embezzlement and fraud at water treatment facilities may reduce resources for treating waste water or contracting experts to analyse water quality. Equipment is especially important when it comes to measuring water pressure, dissolved substances or water quality, as these are important factors to guarantee accessible and sanitary water delivery and liquid waste disposal.⁵³

At points-of-service, there are relatively few agents responsible for delivering water to ordinary citizens, households and companies, usually involving permitting and denying the flow of water to these people or services related to maintenance. Both of these responsibilities can be extremely important choke-points that service providers can use to extort bribes from citizens and businesses. Similarly, corrupt citizens and businesses can bribe these officials to get private benefits, like access to water during droughts or the diversion of water from one area to another.⁵⁴ Water quality inspectors may also play a large role in securing bribes in return for providing unfair advantage to competitors, such as turning a blind eye to violations of water policy or use of substandard equipment.

The table on the page 53 provides examples of framework, progress and impact indicators that can be used to track the impact of corruption in the water sector and the extent to which anti-corruption is integrated into the monitoring of SDG 6. This typology is based on work by the OECD Water Governance Initiative for mapping and categorising various governance indicators,⁵⁵ and national chapters may wish to revise these to capture the situation of their country in the most suitable way.

49 SIDA 2015

50 UNODC 2011

51 Transparency International 2016

52 Ibid

53 UNESCO 2013

54 Transparency International 2008

55 Conversation with Umrbek Allakulov, Water Integrity Network

Figure 4: Analysis of corruption along the drinking water and sanitation sector value chain



Table 15: Framework Indicators for the Water and Sanitation Sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
FRAMEWORK INDICATORS These indicators aim to capture evidence on the existing (or missing) framework conditions for a sector clean of corruption.		
Existence of policies and regulations required to provide an enabling environment for the realisation of the human right to water and sanitation	The right to water is expressly contained in the constitution or other law The right is justiciable in courts or other bodies There is a national strategy and plan of action for universal delivery of water and sanitation in a specific time period % of the national water and sanitation budget and of local authority water and sanitation budgets that is allocated to address the needs of marginalised and vulnerable groups	UNHR
Anti-corruption legislation	The existing anti-corruption legislation is well established, includes freedom of information and protection of whistle-blowers, and is relevant in terms of fines Access to independent information on anti-corruption legislation is well established and corruption cases are filed and properly deal with	Annotated Water Integrity Scan studies – Water Integrity Network (WIN) http://www.waterintegritynetwork.net/2015/02/26/sub-sector-participatory-assessments/
Transparency of online information provided by water management organisations	Water Management Transparency Index (assesses the extent to which a water agency makes relevant information available on the website)	Transparency International Spain http://transparencia.org.es/en/index-of-water-management-intrag/

Table 15: Progress Indicators for the Water and Sanitation Sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
PROGRESS INDICATORS These indicators gauge the level of progress made to make the sector more transparent, accountable and subject to control by stakeholders and civil society.		
Corruption in service delivery	% of respondents reporting having paid a bribe to obtain water services	Afrobarometer, World Bank enterprise surveys, Business Environment and Enterprise Performance Survey, household surveys
Accountability towards water users	Average response time of water sector organisation to customer complaints % of complaints by water users that lead to corrective action	Integrity Management Toolbox http://www.waterintegritynetwork.net/imtoolbox/low-responsiveness-to-complaints/
Enforcement of regulatory frameworks for water pollution control	Number of cases of deterioration of water sources brought to justice	UNHR Administrative data from law enforcement and judiciary
illegal water connections	number of re-connections to water services relative to reported disconnections	Integrity Management Toolbox http://www.waterintegritynetwork.net/imtoolbox/bribery-for-illegal-re-connections/
Level of participation in local water service management	% of water points with actively functioning water & sanitation committees or boards	Uganda Water and Sanitation Sub-Sector (WSS) Golden Indicators http://envalert.org/wp-content/uploads/2016/09/SPR-2016_final.pdf
Accountability in the use of resources	% of audit recommendations implemented from annual financial audits	Uganda WSS Good Governance Indicators http://www.mwe.go.ug/index.php?option=com_docman&task=doc_download&gid=966&Itemid=223
Enforcement of regulatory frameworks for the abstraction of water resources and for water pollution control	% of water abstraction and discharge permit holders complying with permit conditions	Uganda WSS Good Governance Indicators http://www.mwe.go.ug/index.php?option=com_docman&task=doc_download&gid=966&Itemid=223
Corruption risks in procurement	Proportion of contracts awarded by water sector organisations where there was a single bidder, or a legally minimum number of bidders	National public procurement databases

Table 15: Impact Indicators for the Water and Sanitation Sector

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
IMPACT INDICATORS These indicators measure sector-specific outcomes and impacts that can relay varying degrees of evidence of integrity and corruption levels in the sector.		
Loss due to illegal connections and leakage	Non-revenue water (difference between water supplied and water sold) as % of water production	IBNET http://www.spml.co.in/downloads/reports/Blue-Book-Water-Supply-Sanitation-WB.pdf
Progress with extending services to unserved and underserved	Proportion of previously unserved or underserved population that was extended access to a safe and affordable drinking water source/wastewater services in the reporting period	UNHR http://www.ohchr.org/Documents/Publications/Human_rights_indicators_en.pdf
Disparities in access to water service delivery by socio-economic grouping of household	% of households which reported water collection times greater than 30 minutes, where children/women are the primary collectors of water Water Poverty Index (measures the relationship between the physical extent of water availability, its ease of abstraction and the level of community welfare)	multiple indicator cluster surveys; and Demographic and Health Survey http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0155981 household surveys https://www.researchgate.net/publication/43996260_The_Water_Poverty_Index_Development_and_application_at_the_community_scale

SDG 13

TAKE URGENT ACTION TO COMBAT CLIMATE CHANGE AND ITS IMPACTS

Corruption risks hamper effective climate action at all levels, from global climate policy development to the implementation of climate adaptation and mitigation projects. An overarching challenge for the governance of climate change action is that it involves many sectors with extremely high risks of corruption, including construction, forestry and the energy sectors. The undue influence exerted by the fossil fuel lobby to limit global and national ambitions to transition to renewable energy is well documented, with claims that international climate policy has essentially been captured and steered towards carbon trading and adaptation rather than mitigation initiatives that would mean a loss of the energy market-share.⁵⁶ At the national level too, effective climate policy and regulations are opposed by vested interests, such as powerful corporations and industry groups in the agriculture, automobile and logging sectors.

It is vital to address corruption risks in the investments made to reduce the impact of, and adapt to, climate change. Decisions about the allocation of climate finance provide ample opportunities for bribery, embezzlement, clientelism and cronyism. Risks may relate to resource allocation, location and beneficiaries of projects, establishment of management structures, appointment of staff, selection of technologies and procurement processes, among others.⁵⁷ The highly technical nature of climate adaptation and mitigation work makes it easier for a small number of experts and vested interests to control and potentially distort information. This factor has proven especially problematic in monitoring carbon emissions reductions and, by extension, carbon-trading schemes, many of which have been plagued by allegations of fraud.

The table on page 58 provides examples of framework, progress and impact indicators that can be used to track the effects of corruption on climate action and the extent to which anti-corruption is integrated in climate policies and interventions. This typology is based on work by the OECD Water Governance Initiative for mapping and categorising various governance indicators,⁵⁸ and national chapters may wish to revise these to capture the situation of their country in the most suitable way.

⁵⁶ Whittington 2012

⁵⁷ Transparency International 2011

⁵⁸ Conversation with Umrbek Allakulov, Water Integrity Network

Figure 5: Analysis of corruption along the climate action value chain



Source: Chêne 2014

Table 16: Framework Indicators for Climate Action

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
FRAMEWORK INDICATORS These indicators aim to capture evidence on the existing (or missing) framework conditions for a sector clean of corruption.		
Integration of governance safeguards into national and local climate change policies, strategies and planning	# and quality of climate change policies, strategies and plans which include provisions guaranteeing transparency, accountability and integrity	Key ministries (environment, energy, agriculture, planning), local governments, UN agencies
Existence of regulations to monitor and guard against undue influence in climate policy development	# and quality of regulations in place to guard against lobbying # of companies disclosing climate policy engagement	National lobbying registers
Availability of publicly-accessible information on climate finance flows, projects and results	Quality of information made publicly available (in terms of accessibility, timeliness and comprehensiveness of information)	Ministry of Environment, UN agencies and donors' websites

SDG 13

Table 16: Progress Indicators for Climate Action

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
PROGRESS INDICATORS These indicators gauge the level of progress made to make the sector more transparent, accountable and subject to control by stakeholders and civil society.		
Spaces available for civil society to participate and influence climate change policy development and implementation, e.g. monitoring the achievement of the nationally determined contributions under the Paris agreement	# of multi-stakeholder platforms, initiatives, meetings, consultations for civil society to input meaningfully into climate policy # evidence of changes in climate policy/practice based on civil society's inputs	Ministry of Environment/Planning websites, national submissions to the United Nations Framework Convention on Climate Change (UNFCCC), national NGO coalition websites
Climate-related corruption complaints received and effectively investigated by public authorities, especially related to high risk sectors (including: land-use, forestry, large-scale hydro-power) and vulnerable groups (including: indigenous people, women and children)	# of complaints received # of complaints investigated (by climate financing institutions or national accountability institutions) # of complaints effectively resolved	National human rights commission, national ombudsman

SDG 13

Table 16: Impact Indicators for Climate Action

SAMPLE INDICATORS	METRIC/UNIT	POTENTIAL DATA SOURCE
IMPACT INDICATORS These indicators measure sector-specific outcomes and impacts that can relay varying degrees of evidence of integrity and corruption levels in the sector.		
Population with access to clean, reliable, sustainable energy (especially poor, rural communities often off the national grid)	% population with clean energy access, disaggregated by income	Ministry of Energy
Amount of climate finance allocated versus disbursed to developing countries (especially adaptation finance and most vulnerable areas)	Amount of finance disbursed (US\$) from bilateral/multilateral pledges	Relevant ministries, UN Agencies, donors' websites
Emissions reductions achieved in comparison to national targets set under the Paris agreement	# emissions reductions (tonnes of CO2 equivalent)	Reporting to UNFCCC on nationally determined contributions

SDG 6
**Ensure access to water
and sanitation for all**

30%

The estimated increase in cost due to corruption to connect a household to a water network in developing countries. In many countries, almost half of the water supply is lost to unmonitored leakages and illegal connections.*

* <http://www.waterintegritynetwork.net/2015/09/30/corruption-in-the-water-sector-puts-lives-and-livelihoods-at-risk/>

A person is shown from the chest up, splashing in water. The background is a blurred mix of green foliage and some white trash or debris. The overall tone is gritty and urgent.

4

Photo: © Ahmed Deeb

MATCHING INDICATORS WITH DATA TO MONITOR CORRUPTION ACROSS THE SDGS

4

MATCHING INDICATORS WITH DATA TO MONITOR CORRUPTION ACROSS THE SDGS

Chapter 4 introduces the concept of “indicator baskets” that aim to present a robust picture of anti-corruption progress. The chapter presents a typology of data that can be used to monitor corruption in the SDGs. It also addresses key data challenges associated with measuring progress over time, sustainability and participatory monitoring initiatives as well as the credibility of data sources. Detailed examples of a wide variety of indicators that can be adapted to the local circumstances can be found in annex 2.

Establishing baselines

It is important to provide a snapshot of the current state of a given indicator before SDG implementation gets underway. This consideration of historic and projected trends provides a baseline value against which to measure progress (or lack thereof) towards targets. Establishing a baseline thus allows for a better understanding of how reform efforts evolve over time and provides insight into what has occurred at which stage of a results chain to produce particular results.

Establishing baselines does not necessarily require pioneering or exhaustive work as many of the 179 signatories of the UN Convention against Corruption will already be measuring and reporting on corruption in some form. Of the countries in a UNDP pilot study on measuring governance in the SDG context, for instance, information needed to construct a baseline was at least partially available in Rwanda (governance scorecard), Tunisia (household survey data from the national governance, peace and democracy survey) and Albania (through its previous MDG 9 work).⁵⁹

Experience from the millennium development goals demonstrates the value of laying down clear baselines. In 2005, Mongolia became the first country to introduce MDG 9 on human rights, governance and corruption. Before implementation activities began, baselines for indicators were established, including indicators on index of corruption and perceptions of corruption in law enforcement and the public administration. This allowed to regular monitoring updates on progress towards each goal, demonstrating where efforts needed to be intensified, and ultimately to assess progress made by 2015.

(Source: UNDP Mongolia 2009, United Nations 2010, Khatanbold 2009)

⁵⁹ UNDP 2016

Using indicator baskets to assess corruption

Using single, standalone indicators is unlikely to reflect the full situation and can provide a misleading assessment of a particular corruption challenge. Indicators provide a more reliable picture of progress towards an individual target when linked with several other indicators as part of a “basket”. Using multiple indicators allows for triangulation of data to capture the different aspects of a particular corruption risk and assess progress towards each target in a robust fashion.

Indicators can be broadly categorised as follows:⁶⁰

► **Input, output and process indicators.** These indicators aim to show steps taken to address the problem. This could take the form of indicators evaluating input (financial and physical resources committed), process (utilisation of resources and activities undertaken) or output (the tangible and intangible products or services). These kinds of indicators assess the level of effort invested in a particular SDG and are likely to rely on administrative data. This data can also consist of de jure data or information about the legal and policy framework and activities that government is conducting to address specific problems or areas of corruption and can be collected through indicators or a regular review of laws, decrees, regulations, policies and operating procedures.

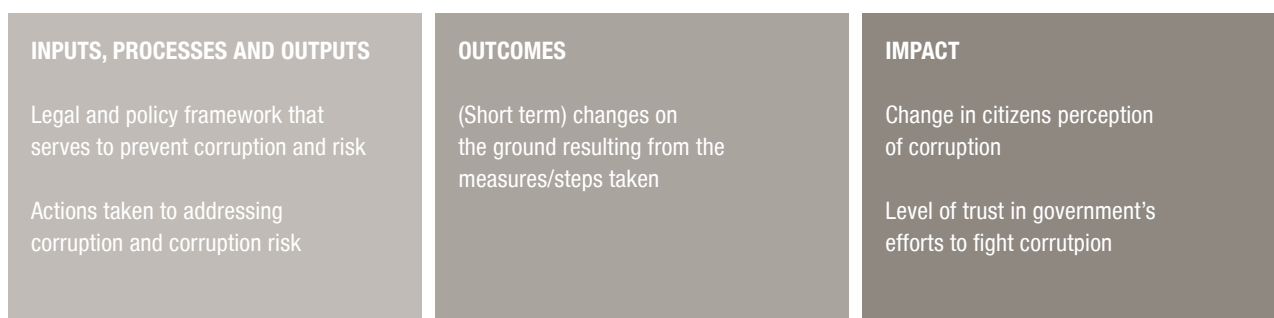
► **Outcome indicators** to show changes on the ground. This second group of indicators should measure outcomes (the benefits that the anti-corruption intervention is designed to deliver) to attempt an objective assessment of progress. Again, various forms of administrative data are probably best able to assess coverage and effectiveness of relevant government processes.

► **Impact indicators** to show whether these changes are contributing to meet the broader strategic objectives of the SDG target. This final type of indicator evaluates impact to reveal whether changes are contributing to improvements in people’s lives. Alongside expert assessments, survey-based indicators are particularly relevant here, and could focus on citizen experiences and perceptions to highlight any potential discrepancy between measurements of the “objective situation” (for example, the number of complaints filed for corruption cases) and measurements of actual citizen experiences (for example, level of citizen trust in the effectiveness of redress mechanisms when complaints are filed). Particularly at the local level, such citizen-generated data can help amplify and legitimise the concerns of typically marginalised communities.⁶¹

For each relevant anti-corruption target, it is thus recommended to consider identifying at least one indicator from each of these three types to form a “basket” able to capture progress holistically. This approach has been used recently in the UNDP-supported pilot to devise SDG 16 indicators for Tunisia.⁶²

Baskets of indicators typically combine “objective” and “subjective” datasets. Objective data typically consist of administrative data or assessments based on evidence that measure progress on government activities and is especially relevant for measuring inputs, processes and outputs. “Subjective” data consists of perceptions and experiences of corruption by users or expert assessments that complement more objective data and can provide insight into whether agency practices are making a different to service delivery and creating lasting changes (impact).

Figure 6: Example of indicator baskets to better understand progress against corruption



⁶⁰ See: DFID 2013; UN DPKO & OHCHR 2011; European Commission DG DEVCO 2013

⁶¹ Datashift 2016

⁶² UNDP 2016 & TAP Network 2015 p39

Using indicator baskets for SDG 16

The example basket of indicators below demonstrates how this approach can be employed at national level for SDG 16 to assess progress in the fight against corruption

Figure 7: Sample basket of indicators on income and asset declaration

INPUTS, PROCESSES AND OUTPUTS	OUTCOMES	IMPACT
Existence of a legal framework for the fight against illicit enrichment and for the declaration of assets	Number of civil servants filing asset declarations	Investigation rate for cases of suspected illicit enrichment
Existence of an oversight agency to monitor anti-corruption efforts and income and asset disclosure	Number of cases where officials failed to file declarations/filed incomplete declarations	Improvement in country performance on the Corruption Perception Index (CPI)
Website to make data publicly available	Number of cases of illicit enrichment/fraud detected through assets declarations	Improvement in citizens' trust in various categories of public officials subject to the asset declaration regime
Civil servant training events on integrity and ethics		Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by these public officials, during the previous 12 months

Using indicator baskets for sectoral SDGs

This approach may also be tailored to sectors to address specific corruption issues within the supply chains or local issues that are preventing effective service delivery. Below is an example of how an indicator basket could be developed by selecting several indicators from different stages of the results chain to monitor corruption in the

education sector. In this example, the corruption risk assessment has identified teacher absenteeism as a key vulnerability in a given country's education system. Potential indicators from across the results chain are considered and paired with data sources. CSOs could then select three or four of the most salient indicators to form a basket able to monitor anti-corruption interventions in more a comprehensive manner than reliance on a single indicator would permit.

Table 17: Potential indicators and datasets to assess teacher absenteeism

PHASE	BASELINE VALUE	EXAMPLE INDICATORS	EXAMPLE DATA SOURCES TO BE USED
INPUTS Financial and physical resources committed	% of budgetary allocation received by schools	How much money was allocated from the municipal budget to facilitate the social audit of teacher attendance How much was duly received	Freedom of information request Administrative data (local government budget & accounts)
PROCESS/ACTIVITIES Utilisation of resources and activities undertaken		How many school classes were monitored for absenteeism	Civil society documentation
OUTPUT The tangible and intangible products or services delivered		Report on teacher absenteeism produced and shared with the community to establish underlying root causes of absenteeism Patterns identified (e.g. which districts/schools are particularly affected)	Civil society documentation Observations (data gathered by researchers and field staff)
OUTCOMES The benefits that the anti-corruption intervention is designed to deliver	Rates (%) of teacher absenteeism	Marked decrease in the number of class with no teacher	Civil society documentation World Bank's service delivery indicators Administrative data (local government records)
IMPACT Longer-term strategic change	Citizen perception of corruption in education system % of citizens who report bribing school personnel Literacy rates of school pupils	Citizen perceptions of corruption in education system decreases Citizens report fewer instances of paying bribes to school personnel Better academic performance by students	Public perception survey Public experiential survey Administrative data (school records)

Typology of corruption-related data

Data can be used for a variety of advocacy purposes outside official monitoring processes to bring attention to overlooked areas or to highlight the need for government intervention. But this data use must be relevant to the SDGs in ways that are clear to the audience. Data should be linked specifically to the particular setting and corruption risk, rather than being a general measurement of corruption. It is also important to understand how data will fit into the discussion because this will determine how data are used; a general discussion of corruption in the health sector will require different kinds of data to that used to identify specific corruption “hotspots” and potential countermeasures.

Four common categorisations of data are:

1. in-law versus in-practice, or (de jure versus de facto)
2. type of data: perceptions, experiences, assessments, administrative data
3. level of aggregation
4. results chain: inputs, activities, outcomes, impacts

IN-LAW VERSUS IN-PRACTICE (OR DE JURE VS DE FACTO)

The de jure institutional framework consists of the formal rules governing the actions of individuals or organisations. These rules consist of laws, policies, operating procedures and/or administrative regulations that assign responsibilities and authority to act. The term de facto refers to the implementation of the de jure framework, or what happens “in practice” when laws and policies are enforced, for example outputs and outcomes. De jure data clarifies the mechanisms that are in place to prevent corruption or to sanction corrupt behaviour, while de facto data reveals whether these mechanisms are succeeding and in what ways.

TYPE OF DATA

A simple way of distinguishing between types of data is to focus on what the data represents.⁶³ These types of data can be used in a complementary fashion, in which comparisons can reveal any contradictions that arise between the stories that data are telling and highlight areas that may need more investigation.

⁶³ Trapnell 2015

► **Perceptions data** consists of opinions or beliefs on specific topics. It is helpful for capturing information about topics that are difficult to conceptualise for objective data collection, such as public trust, civic space, grand or political corruption and client preferences. Perceptions data is also important as an advocacy tool, particularly for influencing attitudes about corruption and prompting anti-corruption reform. Citizen perceptions are an excellent supplement to objective data (which may be misleading or not rigorously collected), because service delivery is experienced first-hand by users who may not feel empowered to complain or agitate for changes as individuals.⁶⁴

► **Experiential data** is comprised of specific citizen experiences (or knowledge). This includes the frequency, location and cost of bribes, or the incidence and severity of crimes, as well as the extent of knowledge about specific laws, policies or practices. It is useful for measuring the quality of service delivery and the extent and nature of petty corruption in particular sectors, such as bribes or crimes. It is very helpful in supplementing performance data collected by government agencies and validating perceptions data and, in this way, can be used to identify bottlenecks and problems at the government-citizen interface.

► **Assessments** are a form of data captured through scoring, rating, ranking or qualitative evaluations (such as reports). They are often comprehensive in scope, which provides a wide view of practices within sectors, but one drawback is that the indicators are not necessarily tailored to context. The scores and ratings come from experts who may be based outside the country. Because of the contentious nature of scoring and ranking, assessments may not be the most welcome type of data for governments, particularly if done by external experts.

► **Administrative data** captures what is considered “hard measures” of government laws, activities and performance. It often consists of agency statistics or performance data generated by governments about their own activities, as well as audit reports or project/programme reports. Administrative data is often a preferred type of evidence, but in contexts where the records management and monitoring capacity of the government is poor, this type of data will lack credibility and may be misleading.

⁶⁴ Rodríguez, Takeuchi and Hine 2015

LEVEL OF AGGREGATION

Data can be presented as an aggregate figure if more than one indicator is combined in a data point, or if there is no “slicing” of data along constituent variables, for example, sex, age, income, etc. Aggregation is not necessarily a flawed approach to the presentation of data. There may not be sufficient time or need to discuss underlying data or categories of variables, and a focus on aggregated data can have a major impact. However, underlying data points and constituent indicators should at a minimum be disclosed – which is not always the case.

RESULTS CHAINS

Results chains categorise data by its place on a quasi-linear process of inputs to impacts. This categorisation is a time-oriented approach to organising data, so that users understand the importance of data in the life-cycle of reform efforts.

Figure 8: Results chain



Data collection methodologies

Bribery questionnaires are an excellent means of identifying whether corruption is occurring at the level of client interface in service delivery, which explains their popularity and the bountiful supply of bribery data. But such surveys have little to say about other kinds of corruption risks, and the lack of attention to measuring corruption in specific sectors means that data for non-bribery indicators will be more difficult to obtain.

That said, any of the corruption or proxy indicators from existing global datasets presented in chapter 5 can be applied to local contexts. This will require some technical capacity for data collection and analysis, but donor partners are often willing to assist with CSO-driven data collection initiatives through funding or technical expertise.⁶⁵ Global data producers may also be interested in applying their indicators at the sub-national level, and may be open to requests or to partnerships with local actors to this end.⁶⁶ Open government data initiatives will allow CSOs to access data produced by government agencies about their own activities, which will shed light on bottlenecks and risk areas within sectors.

The following table is intended to help understand which kinds of data collection/generation methodologies would be suited to capturing various forms of corruption.

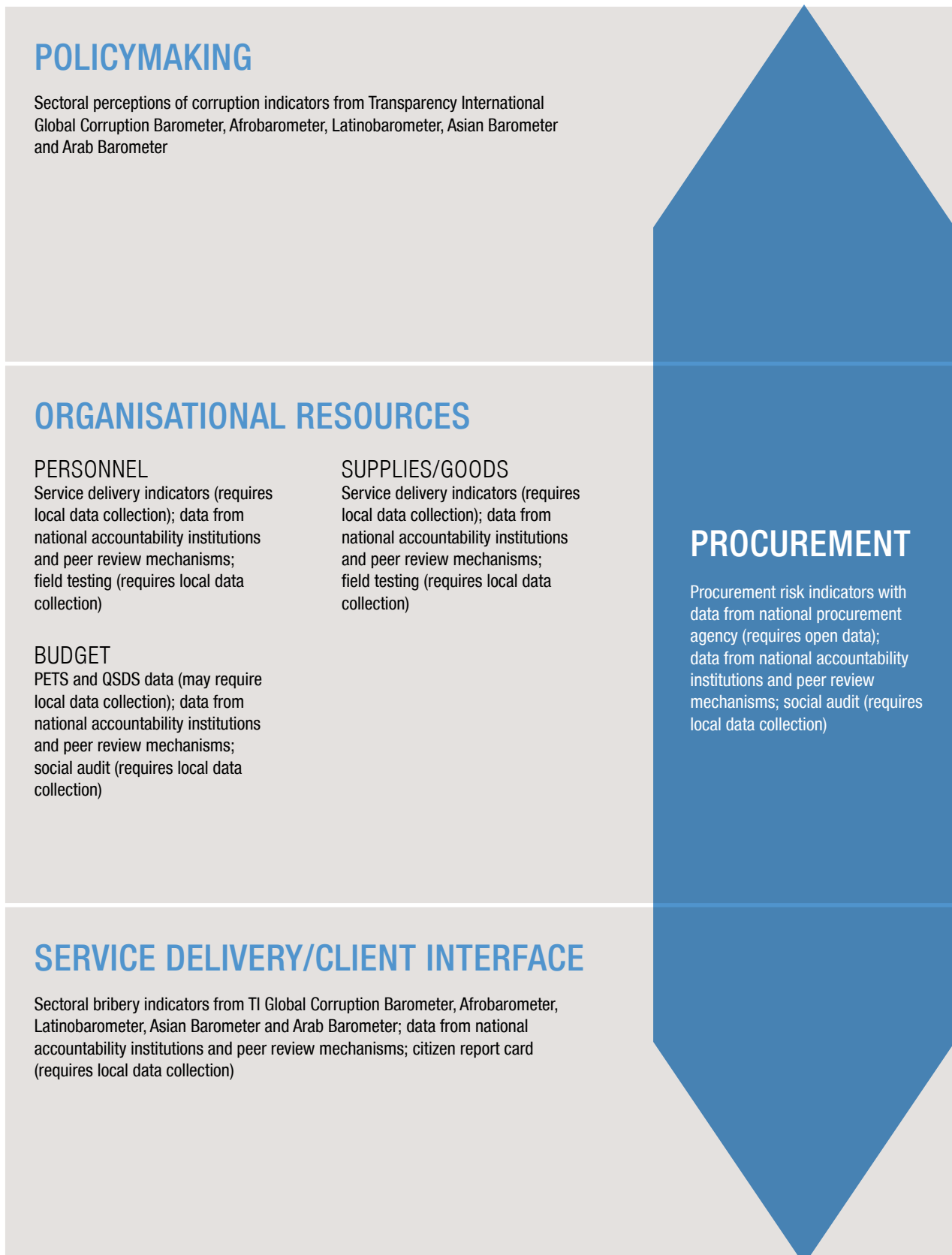
⁶⁵ Governments, multi-lateral banks, and larger NGOs/foundations frequently engage local groups to conduct data collection, either by hiring local organisations or through the use of grants such as the GPSA mechanism or Making All Voices Count.

⁶⁶ The NGO Global Integrity applied its indicators at the sub-national level in several countries quite successfully. See Local Integrity Initiatives <https://www.globalintegrity.org/research/reports/local-integrity-initiative/> and State Integrity Investigation: (<http://www.publicintegrity.org/accountability/state-integrity-investigation/>)

Table 18: Matching corruption risks with methodologies

METHODOLOGY	WHAT IS IT?	WHICH CORRUPTION AREAS CAN BE ADDRESSED?	WHAT ARE SOME EXAMPLES OF EXISTING DATA?
Field testing	Physically checking on government agencies and projects	Absenteeism, shirking of duties, inappropriate use of public facilities, faulty construction, missing supplies/goods, follow-up on government reform efforts, etc.	Service delivery indicators (World Bank), citizen report cards, social audits
Compliance testing	Identifying whether government obeys its own rules	Responses to request for information (RTI), proactive release of information, scheduling of health appointments, release of scholarship funds, etc.	Independent studies, citizen report cards, social audits, PETS, QSDS
User surveys	Surveys of service delivery users, e.g. health, education, licensing, permits, etc.	Petty corruption (bribery, extortion), service delivery delays and refusal	Household surveys, bribery surveys, service delivery surveys, exit surveys
Employee surveys	Surveys of officials working in government agencies	Employee dissatisfaction, employee knowledge and skills, inefficient practices, ineffective systems and rules	Integrity surveys and assessments, public administration studies
Expenditure surveys	Tracking funding flows from different parts of government	Embezzlement of funds from federal to local government, funds missing in procurement contracting and funding	PETS
Assessments (external)	Ranking, scoring and rating of corruption issues, usually by an external expert group	Perceptions of “soft” corruption (nepotism, patronage, undue influence, etc.) that may point to problems areas that are difficult to measure	Global datasets on corruption, transparency, accountability and participation
Government administrative data	Data generated by government agencies about their own activities and outputs	Identifying procurement abnormalities, irregular audit findings, inappropriate expenditures, etc.	Open government data, annual reports
Complaints mechanisms	Data from accountability institutions (ombudsman, anti-corruption authority, information commissioner, ethics agency, supreme audit institution, etc.)	Tracking number and type of complaints, number of investigations, penalties assessed, cases prosecuted, cases resolved, etc.	Open government data, annual reports
Risk assessments	Examination of organisational procedures (rules) and practices (implementation) in cooperation with agency	Identifying areas of corruption risk within organisations	Corruption risk assessments, integrity assessments

Figure 9: Sources of potential corruption data for key SDG sectors



DATA COLLECTION AT THE SUB-NATIONAL LEVEL

CSOs may apply specific methodologies to gather data on local conditions, including citizen report card, social audit, public expenditure tracking surveys (PETS), quantitative service delivery surveys (QSDS), exit/user survey, citizen/public official survey, household survey, crowdsourcing and compliance/field testing (see chapter 5). These approaches can be tailored to regional and local circumstances, particularly for areas with large data gaps, such as gender, water and sanitation and action.

Key data challenges

Linking findings to action

What is often missing from measurement efforts is a link from the data to reform action. Any data collected must not simply be delivered to government agencies or published in reports. Recommendations for action are necessary to demonstrate to government officials that issues of corruption can be addressed. This can be done in the form of an action plan that suggests which specific actions can be taken, however small or large, to improve governance and reduce the incidence of corruption.

Methodological changes

Over time, data producers tend to make changes to the underlying indicators or data collection methods to improve the quality of the dataset. This results in some challenges when trying to compare aggregated information over time. It is important to understand how the indicator base has changed so that inappropriate comparisons are not made about progress and trends. If data collection methods are changed (shifting from a citizen survey to expert assessment), the dataset is no longer representative of a larger community and may not be suited to disaggregation on the variables outlined in the 2030 Agenda. However, the issue of methodological change is not an insurmountable challenge if other sources continue to be available and well-balanced indicator baskets are created which draw on various types of data sources.

Substituting data

Care must be taken when substituting data for missing variables to ensure that comparisons are appropriate. Understanding how methodologies differ is critical to making appropriate choices about substitutions. For example, perception-based data cannot simply be substituted for experiential data.

Sustainability of data sources

The sustainability of data sources is critical to analysing trends in the short term and tracking progress over longer periods of time. Unfortunately, there is no guarantee that data producers will be able to generate additional rounds of data because data production is a complicated and expensive endeavour. CSOs should be aware that data sources may change over time. When initiating a data collection drive, it would therefore be advisable to look for low-cost methods and partnerships with strong institutional anchors, particularly national institutions with an official mandate to monitor governance/corruption such as national governance commissions, anti-corruption agencies or national statistics offices.

Generating missing data

When data is not available, there is always the possibility for CSOs to generate their own data. Data generation can require significant investment in resources and personnel to make certain that data will be useful and sufficiently disaggregated to capture the circumstances of marginalised populations. CSOs should consider whether they have adequate funding and expertise and a supportive enabling environment.⁶⁷ In many cases, collaborations among CSOs, governments, global data producers and donors will be a viable approach to generating sustainable datasets that can track progress over time. There may be strategic value for CSOs to partner with national institutions that have regular budget and official mandates for monitoring, as it can help establish sustainability of the exercise. In addition, this can be beneficial for the strategic timing of the exercise, as data collection efforts will have most impact if they are geared towards influencing a specific event/report/debate and coordinated with an official process.

► Costs

Collection costs tend to dominate the budgets of many attempts to generate datasets. Labour costs include project leaders, quality control staff, data analysts and staff that engage in dissemination activities.

► Expertise

It is quite difficult to learn the skills on-the-job without some research or prior experience. Simple surveys with few respondents may not need statistical expertise, but large-N surveys and aggregated indices require familiarity with statistical methods to eliminate bias and calculate margins of error. Quality control over data collection with large numbers of indicators may not be possible without

⁶⁷ For detailed guidance on how to approach measurement projects, see Trapnell 2015

clear procedures and oversight that an experienced researcher can provide. Indicator-driven case studies, audits and risk assessments require familiarity with several qualitative research methods, such as interviews, focus groups, document review and compliance testing.

► **Enabling environment**

The power dynamics among agents, structures and processes will influence the impact and dissemination of the data and the level of safety for participants. Before planning to produce or use data, CSOs must assess the civic space available, and adjust expectations accordingly. In particular, the risks of engagement by local stakeholders and partners should be considered a major constraint when considering new measurement strategies.⁶⁸

► **Reliability of data**

Some monitoring approaches, such as participatory monitoring initiatives, face specific challenges in terms of reliability of data. Data may be perceived as less reliable or accurate, and this may often be the case as quality control is expensive and time-consuming. It may take a long time for data to be collected, and it may only be released in report form. Because of the costs and labour involved, there may only be one round of data collection, or continuous data collection, eliminating the opportunity to track progress. In short, participatory monitoring has significant advantages to accessing marginalised populations, but methodological challenges may require collaboration with other groups and an extended time frame to accommodate capacity constraints.

Participatory open government initiatives contributing to the SDGs in the Asia-Pacific region

CITIZEN SATISFACTION INDEX (UNDP Pakistan)

An initiative that measures citizen satisfaction with a range of public sector services through national surveys representative at the local level. Data collection is done through geo-tagged electronic devices.

CHECK MY SCHOOL (ANSAEAP, Philippines)

A participatory monitoring initiative that measures the quality of educational services, allowing citizens to give feedback on teachers, textbooks and achievement tests, as well as measuring related concerns like student health and procurement deliveries.

LOCAL TARGET/LOCAL GOVERNMENT UNIT SCORECARDS (Department of Interior and Local Government, Philippines)

A performance management mechanism that gives local government units ratings depending on citizen feedback and satisfaction with local services.

TRANSPARENT CITIES NETWORK

(Citizen consumer and civic Action Group India)

An initiative that helps citizens collect data on government services in their localities, while training governments to build capacity to improve data to serve the needs of the poorest in society.

(Source: Open Government Partnership 2016)

⁶⁸ Trapnell 2015

Building credibility: using alternative and third-party data sources

When it meets standards of quality and comparability, third-party data can be used to supplement and validate data produced by government institutions, contributing to the creation of a more accurate picture of progress. To build credibility around the use of alternative and third-party data sources on corruption and anti-corruption, CSOs must use high-quality data that meets the 2030 Agenda standards.

Where the available corruption data does not meet these criteria, it is important that CSOs can explain how the data falls short as well as how data is still relevant and valuable despite the drawbacks.⁶⁹ In truth, no data is ever perfect. But it is necessary to acknowledge any deficiencies in the data and to understand its limits so that it is not used inappropriately in ways that will weaken credibility.

Government officials are less likely to believe in the credibility of the data and more resistant to change if they are only included in the final presentation of results. Shadow monitoring does not have to be conducted in secret and can be conducted in consultation with various stakeholders. In fact, it should be done in the open, with the involvement of interested government officials (and donors in developing countries) who may be sympathetic to certain viewpoints but not able to press for change via official channels. If government officials become stakeholders, they can help facilitate buy-in by those who may be sceptical of the reliability of citizen-generated corruption data.

Formal collaboration among CSOs over the collection, analysis and dissemination of corruption data is a strong means of building credibility with sceptical audiences. In particular, it can encourage improved and additional production of corruption data that is relevant to the SDGs. Joining forces with other CSOs can amplify the message that corruption data is extremely pertinent to progress in key SDGs such as health, education, gender, water and sanitation and climate action.

Potential points of CSO collaboration

- Comprehensive country-level shadow reporting frameworks across key SDGs, acknowledging that country-level efforts will have the most impact
- Goal-specific collaborations at the country and global levels, starting with areas where data is most limited and can add the most value, and then scaling up across all key SDGs
- A mapping exercise to identify corruption data sources across key SDGs, to better understand where and how civil society organisations may be collecting or using data against each SDG
- Joint advocacy for the inclusion of civil society and corruption data in member state-led monitoring and reporting processes
- Joint advocacy to harness resources to help strengthen the data literacy and capacity of CSOs, particularly through the proposed Global Partnership on Sustainable Development Data
- Engagement with national statistical offices (NSOs), including concrete opportunities for collaboration between NSOs and civil society organisations
- Collaborative initiatives that demonstrate the credibility of civil society and corruption data and highlight how it can usefully complement official sources of data

(Source: Adapted from Higgins and Cornforth 2015)

⁶⁹ Annex 2 provides methodological information that applies to all datasets, regardless of origin

SDG 13
**Take urgent action to combat
climate change and its impacts**

A woman wearing a pink headscarf and a green patterned jacket stands in a field filled with cut logs. The logs are stacked in rows, stretching into the distance. In the background, there is a line of green trees under a cloudy sky.

100 MILLION

**The number of people climate change could force
into poverty by 2030, according to the World Bank.**

**Transparency and good governance is
needed to make sure that the growing amount of
finance dedicated to fighting climate change
reaches those who most need it.***

* <https://openknowledge.worldbank.org/bitstream/handle/10986/22787/9781464806735.pdf>

A large pile of cut logs in a deforested area with trees in the background.

5

Photo: © David Rengel

SOURCES OF CORRUPTION DATA

5

SOURCES OF CORRUPTION DATA

Chapter 5 identifies sources of corruption data and specific indicators at the global and national levels, as well as proxy corruption indicators on accountability, transparency and participation, with associated datasets. This chapter provides an insight into where national-level data from government and civil society can be accessed or generated to assess corruption risks.

Despite the claim that corruption data is difficult to produce, there are existing sources of corruption data at global, national and local levels which not only assess the various forms of corruption (corruption datasets), but also key variables able to limit corruption, such as transparency, accountability and participation (proxy datasets).

Global secondary data sources can offer a valuable

insight into instances of corruption, but they are naturally of limited use when it comes to capturing variations at sub-national and local levels of government.

National and local-level datasets, produced by both government and civil society, can be used to identify potential areas of concern, as well as local perceptions and experiences with corruption. Multiple data sources can be aggregated to establish a baseline from which countries can monitor progress towards corruption targets.

Global and regional datasets and sources

High-quality, regularly-produced data on corruption can be found in cross-country comparative datasets that focus primarily on experiences with bribery at the level of service delivery and perceptions of levels of corruption in various public institutions.

Such global and regional datasets include (see annex 2) corruption indicators from:

- Transparency International Global Corruption Barometer
- Afrobarometer
- Latinobarometer
- Asian Barometer
- Arab Barometer

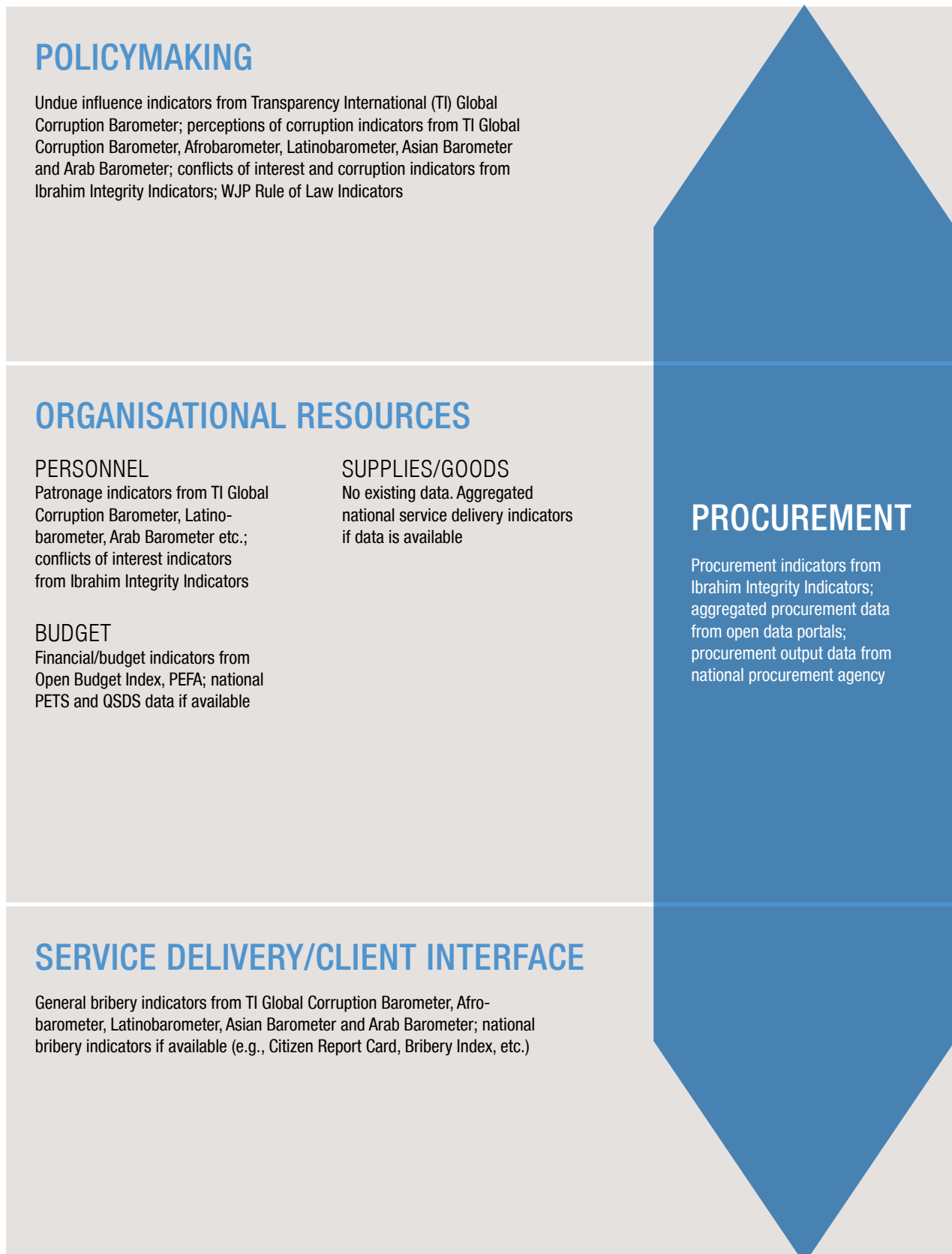
Global composite and aggregate indicators such as Transparency International's Corruption Perceptions Index or the World Bank's Governance Indicators can also be used, which combine multiple sources of information in one single measure, allowing for cross-country comparisons. For a more comprehensive overview of global or regional data sets, see Trapnell 2015.

However, as discussed above, while the global-level indicators for 16.5 agreed on by the IAEg-SDGs limit themselves to bribery, corruption consists of more than instances of facilitation payments or kickbacks. It is, therefore, important to consider data sources that attempt to capture data on various forms of corruption. Most data on financial violations, such as embezzlement and extortion, is likely to be in the hands of law enforcement or investigative journalists as it will be taken from criminal investigations. Data on "soft" forms of corruption that involve the trading of influence may be captured through assessments that rely on expert opinion and a collection of third-party sources. This kind of data covers topics such as undue influence and patronage.

National and local-level data sets and sources

Both governments and civil society organisations produce data at the national level that is more suited to local contexts than global comparisons. Government agencies, national statistics bodies and accountability institutions are expected to conduct data collection on corruption when there is a specific anti-corruption policy in place or the country is a signatory to an international agreement requiring a focus on corruption measurement, such as the United Nations Convention against Corruption (UNCAC) or the SDGs. In some cases, locally-designed indicators (also known as "home-grown indicators") are the main source of data for local assessments of corruption and governance. CSOs also produce a substantial amount of corruption-related information and can be an important source of corruption data at the national and sub-national levels. Local assessments typically always require primary ("fresh") local data collection.

Figure 10: Sources of existing data at the national level (corruption and proxy)



Use of locally-produced data in national assessments

HOME-GROWN INDICATORS:

RWANDA GOVERNANCE SCORECARD

The Rwanda Governance Scorecard (RGS) is a publication of the Rwanda Governance Board that seeks to accurately gauge the state of governance in Rwanda. The RGS is a comprehensive governance assessment tool constructed from data based on over 200 questions, which are structured based on a set of eight indicators, 35 sub-indicators and 143 sub-sub-indicators.

A unique and significant aspect of the RGS vis-à-vis external assessments is that it utilises a plethora of new, locally-generated data sources, such as citizen perception surveys and detailed institutional data, which are often not considered by external indexes. The methodology of the RGS aims at combining a firm foundation in international standards with an in-depth understanding of the Rwandan context. The eight indicators of Rwanda's governance performance that the RGS measures includes control of corruption, transparency and accountability:

- ▶ % of citizens reporting personal experience with corruption (Source: Rwandan Bribery Index)
- ▶ % of citizens satisfied with efforts to control corruption (Source: Citizen Report Card)
- ▶ % of tenders exceeding threshold awarded by competitive bidding (source: Rwanda Public Procurement Authority)
- ▶ Performance of parliamentary public accounts committee (Source: PAC report)
- ▶ % of annual national budget audited by Office of Auditor General (source: OAG report)
- ▶ Level of satisfaction in efficiency of accountability organs in local government (Source: Rwandan Local Government Barometer)
- ▶ % of timely submitted asset declaration by public officials (Source: ombudsman annual report)

(Source: Rwanda Governance Scorecard 2014)

NATIONAL STATISTICS OFFICES (NSOS)

National statistics offices are uniquely placed to collect data on corruption and proxy indicators because of their technical mandate and outreach. This data is typically produced by ministries and/or agencies and can be shared with CSOs. In contexts where NSOs are over-burdened and under-resourced, collaboration with CSOs may be an effective means of developing add-on modules addressing corruption to household and demographic surveys.

Governance and corruption data through African national statistics offices

The Strategy for the Harmonization of Statistics in Africa (SHaSA) was developed by the community of African statisticians and supported by UNDP, the AUC, the AfDB and the UNECA to address gaps in nationally-produced governance data. Such data is an essential tool for national planning and for preventing and managing conflict, yet, despite this, very few African countries have official monitoring systems that supply timely and robust governance, peace & security statistics (GPS) to national policy makers. Five lessons learned reveal that NSOs are uniquely placed to collect this type of data, and also suggest that corruption modules can be done in collaboration with CSOs:

1. Nationally-produced survey-based GPS statistics that are comparable across countries are feasible
2. NSOs in both transitional and democratic states are interested and able to conduct such surveys – politically, financially and methodologically
3. Survey results have revealed important differences in how the rich/poor, young/old, educated/uneducated, employed/unemployed experience governance and peace in their daily lives
4. Survey results have demonstrated the worth of using multiple indicators to get the “full picture” – both perception-based and experience-based indicators
5. SHaSA GPS survey results have proven to be methodologically robust, comparable to other economic and social statistics

(Source: TAP Network 2016b)

GOVERNMENT AGENCIES

Data produced by agencies on government outputs can also be used to highlight areas of corruption risk. This regularly-produced government data includes: procurement data, audit findings, customs data, tax and revenue data, and other administrative data on sectoral performance, and service delivery data and indicators, among others. It may be accessible through open data portals, from centralised oversight agencies or through the agencies' annual reports. While this data may not focus on corruption, it is useful for identifying areas of concern in organisational practices and bureaucratic procedures.

As an example, open procurement data can be used to highlight practices that serve to limit competition and favour certain bidders.

Public procurement: corruption risk indicator

The measurement approach exploits the fact that for institutionalised grand corruption to work, procurement contracts have to be awarded recurrently to companies belonging to the corrupt network. This can only be achieved if legally prescribed rules of competition and openness are circumvented. By implication, it is possible to identify the input side of the corruption process, that is techniques used for limiting competition (for example, leaving too little time for bidders to submit their bids), and also the output side of corruption, (for example, signs of limited competition: single bid received). By measuring the degree of unfair restriction of competition in public procurement, a proxy indicator of corruption can be obtained. This indicator, which is called the corruption risk index (CRI), represents the probability of corrupt contract award and delivery in public procurement falling between 0 and 1.

For further details, please see: New Ways to Measure Institutionalised Grand Corruption in Public Procurement. <http://www.u4.no/publications/new-ways-to-measure-institutionalised-grand-corruption-in-public-procurement/>

Table 19: Potential procurement corruption risk indicators

#	CORRUPTION RED FLAG/INDICATOR
1	Composition of evaluation team unchanging over time
2	Conflict of interest members of evaluation team
3	Multiple contact points
4	Contact office not subordinated to tender provider
5	Contact person not employed by tender provider
6	Preferred supplier indications
7	Shortened time span for bidding process
8	Accelerated tender
9	Tender exceptionally large
10	Time-to-bid does not conform to the law
11	Bids after the deadline accepted
12	Low number of offers
13	Artificial bids
14	Complaints from non-winning bidders
15	Award contract has new bid specifications
16	Substantial changes in project scope/costs after award
17	Connections between bidders undermines competition
18	All bids higher than projected overall costs
19	Not all bidders informed of the award and its reasons
20	Award contract and selection documents not all public
21	Inconsistencies in reported turnover/number of staff
22	Winning company not listed in chamber of commerce
25	Awarding authority did not fill in all fields in TED/CAN
26	Audit certificates by auditor without credentials
27	Negative media coverage
28	Amount of missing information

Source: Ferwerda et al. 2016

ACCOUNTABILITY INSTITUTIONS

Data from accountability institutions such as anti-corruption commissions, ethics bodies, information commissions, ombudsmen and supreme audit

institutions are also useful for both highlighting instances of corruption through complaints mechanisms and identifying whether issues of corruption are being addressed by the proper authorities.

Table 20: Data from national accountability institutions

DATASET	METHOD	TOPIC	DISAGGREGATED BY SDG VARIABLES?	AVAILABILITY
Government corruption data	Collected by anti-corruption authorities, ombudsmen, information commissions, ethics agencies, supreme audit institutions, etc.	Experiences with corruption and perceptions, administrative data	Not always. pressure for disaggregation may be necessary	Pressure for public release may be necessary
Sample indicators: ► Focus of complaint/report: public bodies, government departments, private sector, NGOs ► Characteristics of complainant: gender, location, income, education, etc. ► Type of corruption reported: administrative/petty, grand corruption, fraud, extortion bribery, etc. ► Number of investigations, prosecutions and convictions (or penalties assessed) related to corruption ► Information release/appeal rate related to official information requests ► Audit findings: irregularities in audit findings, follow-up on recommendations				

INTERNATIONAL REVIEW MECHANISMS

Official government reports submitted in response to reporting requirements for international review mechanisms may also be important sources of corruption data. Narrative reports may contain a great deal of

information on quality of service delivery and extent of corruption, so CSOs will need to carefully read through reports and itemise instances of perceptions or experiences with corruption, or to highlight corruption risks in specific sectors and spheres of work.

Table 21: Corruption data from global peer review mechanisms

DATASET	METHOD	TOPIC	DISAGGREGATED BY SDG VARIABLES?	AVAILABILITY
International peer review mechanisms, monitoring processes, follow-up reports, e.g. UNCAC, OGP, GRECO, OECD, MESICIC, CEDAW, etc.	Narrative reports	Qualitative data on reform efforts and difficulties encountered during implementation of standards	Not always. Pressure for disaggregation may be necessary	Public, every 1-2 years

CIVIL SOCIETY ORGANISATIONS

There is a considerable amount of data collected by local civil society groups through field visits and compliance testing, particularly through the use of community score cards, social audits, citizen report cards and project-based integrity initiatives. This data is produced for a variety of purposes and can include:

- ▶ Surveys of communities may be conducted to better understand experiences and perceptions of corruption. Many of the service delivery-related indicators from global datasets (such as global integrity indicators) can be applied in smaller, local contexts or specific sectors.
- ▶ Administrative data on bribery and extortion may be collected to support the implementation of projects and programmes.
- ▶ More complex case studies (social audits, public expenditure tracking surveys, etc.) may be done to monitor and evaluate the flow of resources and impact of patronage and undue influence on interventions.
- ▶ Shadow reports that include reference to perceptions of corruption in institutions and high levels of corruption within policy-making circles may be produced to support international review mechanisms, such as the UNCAC, or to contribute to global studies, e.g. CIVICUS' annual state of civil society report.⁷⁰

However, this data is rarely produced on a regular basis, in communities large or diverse enough to be considered nationally representative, or widely disseminated. Not only is it not made centrally available, it may never be published online. This does not mean it should be overlooked. These smaller-scale studies, if done rigorously with effective quality control, shed light on sectoral corruption that primarily harms marginalised groups and may prevent the effective implementation of the SDGs. Such small-scale datasets can be drawn together from a number of different locations and communities to illuminate the experiences that are common to an entire district or region. For this reason, there is a distinct benefit to establishing a central country repository for these smaller datasets and reports.

There are a number of methodologies that CSOs can use to generate corruption data:

- ▶ Citizen report cards are surveys that provide a quantitative measure of user feedback on the quality, efficiency and adequacy of different public services.
- ▶ Social audits are participatory auditing processes that collect information on the resources and performance of an organisation.
- ▶ Public expenditure tracking surveys (PETS) are used to track flows of budget from the centre of government to local levels. The focus is to identify delays and unpredictability of public funding, leakages and shortfalls in public funding and abuse of discretion in resource allocation.
- ▶ Quantitative service delivery surveys (QSDS) are multi-purpose surveys that assess quality and performance in resource usage at the frontline facility level, such as schools, health clinics and hospitals.
- ▶ Exit/user surveys are conducted immediately after users make use of a service to collect short feedback on quality and satisfaction with public services and instances of bribery or petty corruption.
- ▶ Citizen/public official surveys collect information on the experiences, satisfaction, knowledge or crime victimisation of individuals.
- ▶ Household surveys are conducted regularly by national statistics offices to collect information about households and the individuals living in those households.
- ▶ Crowdsourcing is the practice of collecting data by soliciting contributions from a large group of people, and especially from an online community, rather than from traditional surveys. It is used to aggregate many voices on a corruption topic that may be missed in traditional surveys, especially concerning collection of real-time data.
- ▶ Compliance/field testing is used to determine whether a service complies with standards and laws, and involves site visits and applications to government offices. It is used by citizen groups to investigate the quality of health, education, water and other services, and also to identify absenteeism, substandard equipment or buildings, missing books or medicines, etc.

⁷⁰ Higgins and Cornforth 2015

Citizen report card – bribery in Moldovan institutions

BRIBERY IN PUBLIC SERVICES:

A CITIZEN REPORT CARD IN MOLDOVA

Citizen report card was used in Moldova to capture the difficulties faced by citizens while accessing public services across a range of institutions. The 3,000 respondents representative of Moldova's population were surveyed in 173 locations. Data was gathered through face-to-face interviews, followed up by a test-questionnaire to check the reliability of the data. This was administered through telephone interviews, follow up visits to the homes of respondents, and in-office interviews.

Data disaggregation identified corruption hotspots and the populations especially vulnerable to corruption. Bribery was noted in 24 of the 30 public institutions included in the survey. The largest proportion of respondents who paid a bribe were applicants for standards and metrology services, vehicle documentation and driving licence offices, public health services, and hospitals. Bribery was also prevalent in fire and rescue services, education institutions, the police, cadastral offices and the customs service. An additional in-depth analysis of services provided by health institutions showed that 20 per cent of respondents noted problems accessing health services, including lengthy waits and long queues, staff indifference and incompetence, and corruption. One in five respondents who had used health services stated that they had given a bribe. Bribery was most likely among young people and people with a high income.

(Source: Institutul de Politici Publice 2011)

Proxy datasets for corruption: accountability, transparency, participation

Data on transparency and accountability sheds light on the factors that limit opportunities for corrupt practices. This type of data is institutionally-oriented and focused on government performance or legal structures. It is generally not conducive to disaggregation along demographic variables because data is collected by expert assessment rather than by household surveys. It is often also not disaggregated by sectors or SDG variables as these assessments usually lack a sectoral focus. Nevertheless, the data can provide an insight into an effective integrity system and identify corruption risk areas, as well as serve as the starting point for further investigation. More detailed information on the specific data sources mentioned can be found in annex 2.

LEGAL FRAMEWORK (DE JURE)

The legal framework is an essential foundation for addressing corruption, institutionalising accountability mechanisms, promoting transparency in information and data, and citizen oversight through participation. The datasets below focus exclusively on the strength of legal frameworks for transparency and accountability of various anti-corruption measures. They do not reflect the performance of governments, or the implementation of laws or policies. However, they serve as a starting point for evaluating the quality of laws in this area and can be extended by developing de facto indicators that assess whether the law is being enforced adequately.⁷¹

INSTITUTIONAL CAPACITIES, OUTPUTS AND OUTCOMES (DE FACTO)

Proxy corruption data on the de facto status and performances of government institutions to meet their organisational mandates is spread across various datasets and type of indicators, and may include information on legal frameworks. This data is primarily produced through expert assessments by external actors, but still provides a valuable insight into the strength of institutional practices regarding accountability, transparency and participation, as well as potential outcomes. The data collected can cover a wide variety of issues such as budget transparency, quality of performance of national public financial management systems, rule of law, accountability, elections, public management integrity, civil service integrity, access to information and open data.

⁷¹ The Ibrahim Integrity Indicators are excellent examples of how this can be done

In some cases, the methodologies for the data sources below have already been applied at the sub-national level, or focused solely on specific sectors, for example, health and education.⁷² They serve as well-designed and extensively tested indicators that may be used by national actors (government or civil society) to assess systems in a variety of contexts.

Examples of such data sources include (see annex 2 for more details):

- The International Budget Partnership Open Budget Index
- Public Expenditure and Financial Accountability (PEFA)
- Ibrahim Foundation African Integrity Indicators
- World Justice Project Rule of Law Index
- Quality of Government Expert Survey
- Open Knowledge Foundation Open Data Index
- World Wide Web Foundation Open Data Barometer
- Transparency International's National Integrity System country studies

Table 22: Legal framework indicators (de jure/in-law)

DATASET	METHOD	TOPIC	DISAGGREGATED BY SDG VARIABLES?	AVAILABILITY
World Bank public accountability mechanisms and EuroPAM	Expert assessment	Strength of legal framework for right to information, financial disclosure, conflicts of interest restrictions, immunity provisions, political financing, public procurement	No	Public, annual
Centre for Law and Democracy/AccessInfo Europe Global RTI Rating	Expert assessment	Strength of legal framework for right to information	No	Public, ad hoc
International peer review mechanisms, monitoring processes, follow-up reports, e.g. UNCAC, OGP, GRECO, OECD, MESICIC, CEDAW, OECD Anti-Bribery Convention, etc.	Narrative reports	Qualitative data on extent and strength of legal frameworks to combat corruption	No	Public, every 1-2 years

⁷² Global Integrity has applied their indicators at the sub-national level and in specific sectors. The Open Budget Initiative is piloting its indicators at the sub-national level.

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ANNEXES

ANNEX I: Considerations when selecting secondary data

When selecting existing data, it is important to understand the methodological strengths and weaknesses of datasets. No dataset is perfect, but understanding the methodological details can assist CSOs in defending data from critics.

WHAT IS THE INDICATOR MEASURING?

Does the indicator tell the right story?

- De jure data is not usually designed to describe trends over time. De facto data may tell only part of the story, and several data points may be needed.
- Perceptions are not accurate reflections of reality. Experiences with bribery often fail to point out how to improve service delivery. External assessments may be too general for country circumstances. Administrative data may be poor quality or misleading.
- Inputs and activities are not designed to track implementation progress. Objective and subjective data provide important sides to the story and may be used together for better interpretation.
- Aggregated data may be too broad to allow interpretation at sub-national or sectoral levels. Disaggregated data should be obtained as often as possible to reflect population needs for poor and vulnerable populations.

HOW ARE DATA COLLECTION AND QUALITY CONTROL CONDUCTED?

How do they ensure the quality and rigour of the data?

- Who designs the indicators?
- Who collects the data and how?
- Who performs quality control, and what does quality control consist of?

HOW OFTEN IS DATA COLLECTED?

Can data be used to track progress regularly, or is there a substantial time lag that will complicate monitoring?

CAN THE DATA BE COMPARED OVER TIME TO TRACK PROGRESS?

How will methodological changes affect comparisons? This includes indicators, data collection methods, aggregation methods, etc.

CAN THE DATA BE COMPARED ACROSS COUNTRIES FOR BENCHMARKING?

Are indicators standardised enough for comparison, or will comparison across countries be meaningless because of radically different country circumstances?

ANNEX II: Examples of existing global and regional datasets

	GLOBAL CORRUPTION BAROMETER
Website	http://www.transparency.org/research/gcb/overview
Organisation	Transparency International Secretariat
Domains	Corruption perceptions and experiences
Purpose/Goal	To examine how corruption features in people's lives around the world.
Object of measurement	It addresses people's direct experiences with bribery and details their views on corruption in the main institutions in their countries. It also provides insights into people's willingness to stop corruption.
Aggregation	Aggregation consists of summing the number of responses for each indicator.
Scoring	There is no scoring. Data consists of percentage of respondents that answered positively to indicators and sub-indicators.
Geographic coverage	107 countries were in the 2013 dataset. The 2015/16 round of data collection applies only to the Middle East and North Africa.
Country comparability	Data are comparable across countries.
Time-series comparability	Not all questions are asked each year, nor is each country included in the data collection, so time-series comparability must be done carefully.
Frequency	Every two years (changed from annual in 2011)
Rounds of data collection	2003, 2004, 2005, 2006, 2007, 2009, 2010/11, 2013, 2015/16
Data collection methods	For the Global Corruption Barometer, approximately 1,000 people from each of 107 countries were surveyed between September 2012 and March 2013. Five hundred people were surveyed in countries with a population of less than 1,000,000 (see table below). The survey sample in each country was weighted to be nationally representative where possible. In six countries, the sample was urban only. The survey questionnaire was translated into local languages and used for face-to-face, CATI (Computer Assisted Telephone Interviewing) or online interviews depending on the country context.
Quality control	The data has been checked and analysed at the Transparency International Secretariat in Berlin and verified by an independent analyst. The results presented in the report do not include ambiguous responses (don't know/no answer). Global results are the unweighted average across the 107 countries surveyed and any apparent small difference in the aggregated global results is due to rounding differences. The full results at individual respondent level are available free of charge on request from Transparency International.
Availability	All data is available online in Excel for immediate download. The entire dataset downloads at once.

	GLOBAL CORRUPTION BAROMETER
General corruption indicators	PERCEPTIONS OF CORRUPTION ► Over the past two years, how has the level of corruption in this country changed? ► To what extent do you think that corruption is a problem in the public sector in this country? ► How effective do you think your government's actions are in the fight against corruption? ► To whom would you report a corruption incident? If not report, why not report? ► Have you ever been asked to pay a bribe? Have you ever refused to pay a bribe? UNDUE INFLUENCE AND PATRONAGE ► In your dealings with the public sector, how important are personal contacts to getting things done? ► To what extent is this country's government run by a few big entities acting in their own best interests?
Sectoral corruption indicators	PERCEPTIONS OF CORRUPTION ► Perceptions of corruption, by institution: political parties, parliament, military, NGOs, media, religious bodies, business/private sector, education system, judiciary, medical and health, police, public officials/civil servants EXPERIENCES WITH BRIBERY ► Have you paid a bribe to any one of eight services listed in the past 12 months? education, judiciary, medical and health, police, registry and permit services, utilities, tax revenue and/or customs, land services ► What was the most common reason for paying bribes?

	AFROBAROMETER
Website	http://afrobarometer.org/
Organisation	Afrobarometer (network of several organisations)
Domains	governance and democracy
Purpose/Goal	The objective of the Afrobarometer is to collect, analyse and disseminate cross-national, time-series attitudinal data for African countries. Each of the regional barometers is implemented independently although, in each country, a national research team administers a country-wide face-to-face survey using standardised survey instruments to compile the required micro-level data under a common research framework and research methodology.
Object of measurement	Each survey collects data about individual attitudes and behaviour on eight main topics: democracy, governance, livelihoods, macroeconomics & markets, social capital, conflict & crime, participation and national identity.
Aggregation	Aggregation consists of summing the number of responses for each indicator.
Scoring	There is no scoring. Data consists of percentage of respondents that answered positively to indicators and sub-indicators.
Geographic coverage	34 countries in Africa
Country comparability	Data are comparable across countries.
Time-series comparability	Countries have been added in each round of data collection. Time-series comparison is possible: the same questionnaire, which contains identical or functionally equivalent items, is applied to every respondent in each country in each successive round of data collection.
Frequency	Every three years
Rounds of data collection	Round 1 (R1): 1999/2001, R2: 2002/2003, R3: 2005/2006, R4: 2008/2009, R5: 2011/2013, R6: 2014/2015
Data collection methods	Samples usually include either 1,200 or 2,400 cases. Samples are designed to generate a sample that is a representative cross-section of all citizens of voting age in a given country. The survey works with national partners in each of the survey countries. National partners are responsible for selecting and training qualified interviewers before collecting data. Teams of four interviewers and one field supervisor travel together to the survey sample area. The field supervisor is there to ensure the quality control of the data collection. Interviews usually take one hour and only proceeds after the respondent has given consent. These are usually conducted in the main local languages.
Quality control	National partners verify and check the data for any incomplete, improperly formatted or inaccurate records. The data is also reviewed by core partner data managers and the Afrobarometer data manager.
Availability	All data is available online in Excel for immediate download. There is also online data analysis.

	AFROBAROMETER
General corruption indicators	PERCEPTIONS OF CORRUPTION ► In your opinion, over the past year, has the level of corruption in this country increased, decreased or stayed the same? ► How well or badly would you say the current government is fighting corruption in government EXPERIENCES WITH BRIBERY ► If you ever paid a bribe, did you report any of the incidents you mentioned to a government official or someone in authority? ► What happened the most recent time that you reported a bribery incident? ► What do you think is the main reason why many people do not report corruption when it occurs?
Sectoral corruption indicators	PERCEPTIONS OF CORRUPTION ► How many of the following people do you think are involved in corruption? President and cabinet, members of parliament, government officials, local government councillors, police, tax officials, judiciary, traditional leaders, religious leaders, business executives EXPERIENCES WITH BRIBERY ► How easy or difficult was it to obtain the services you needed from teachers or school officials? And how often, if ever, did you have to pay a bribe, give a gift, or do a favour for a teacher or school official to get the services you needed from the schools? ► How easy or difficult was it to obtain the medical care you needed? And how often, if ever, did you have to pay a bribe, give a gift, or do a favour for a health worker or clinic or hospital staff to get the medical care you needed? ► How easy or difficult was it to obtain the services you needed from water, sanitation or electric services from government? And how often, if ever, did you have to pay a bribe, give a gift or do a favour for a government official in order to get the services you needed?

	LATINOBAROMETER
Website	http://www.latinobarometro.org/lat.jsp
Organisation	Latinobarómetro Corporation
Domains	governance and democracy
Purpose/Goal	To collect, analyse and disseminate cross-national, time-series attitudinal data for Latin American countries. Each of the regional barometers is implemented independently although, in each country, a national research team administers a country-wide face-to-face survey using standardised survey instruments to compile the required micro-level data under a common research framework and research methodology.
Object of measurement	Each survey collects data about individual attitudes and behaviour on the following topics: democracy and governance, economy, culture and social networks, communications, public policies.
Aggregation	Aggregation consists of summing the number of responses for each indicator.
Scoring	There is no scoring. Data consists of percentage of respondents that answered positively to indicators and sub-indicators.
Geographic coverage	18 Latin American countries
Country comparability	Data are comparable across countries.
Time-series comparability	Countries have been added in each round of data collection. Time-series comparison is possible: the same questionnaire, which contains identical or functionally equivalent items, is applied to every respondent in each country in each successive round of data collection.
Frequency	Annual
Rounds of data collection	1995 - present
Data collection methods	In Spanish – needs translation
Quality control	In Spanish – needs translation
Availability	All data is available online in Excel for immediate download, as well as SPSS, SAS and R statistical formats. There is also online data analysis.

	LATINOBAROMETER
General corruption indicators	PERCEPTIONS OF CORRUPTION ► To what extent do you think the state can solve the problem of corruption? ► Has corruption increased or decreased in the last five years? ► How serious is the corruption problem in the country? ► How much progress do you think has been made on reducing corruption in the state institutions during the last two years? ► How widespread do you think corruption and bribe-taking are in your local/municipal government? ► How widespread do you think corruption and bribe-taking are in the national government? ► Imagine the total number of public employees are 100 in (country) and you would have to say how many of those 100 you think are corrupted? ► Do you think that among politicians there is more, the same, or less corruption than in the rest of society? EXPERIENCES WITH BRIBERY ► Do you know personally a case in which a person received special treatment because they supported the governing party? ► Do you think it is correct, it is incorrect but understandable or else it is incorrect and must be punished? Government official gives work to a relative; a government official favours those who support the government; the government hires only people from its party.
Sectoral corruption indicators	PERCEPTIONS OF CORRUPTION ► Confidence in institutions: church, national congress, judiciary, political parties, armed forces, public administration, local government, government, police, media ► Which government institutions are experiencing corruption?

	ASIAN BAROMETER
Website	http://www.asianbarometer.org/
Organisation	Center for East Asia Democratic Studies, National Taiwan University
Domains	governance and democracy
Purpose/Goal	To collect, analyse and disseminate cross-national, time-series attitudinal data for Asian countries. Each of the regional barometers is implemented independently although in each country, a national research team administers a country-wide face-to-face survey using standardised survey instruments to compile the required micro-level data under a common research framework and research methodology.
Object of measurement	economic evaluations, trust in institutions, social capital, human security, participation in elections, access to public service, psychological involvement, partisanship, globalisation, political participation, satisfaction with government and democracy, quality of governance, democratic legitimacy, citizenship and international relations.
Aggregation	Aggregation consists of summing the number of responses for each indicator.
Scoring	There is no scoring. Data consists of percentage of respondents that answered positively to indicators and sub-indicators.
Geographic coverage	14 East Asian countries. South Asia is not represented in the data except for one pilot for which data is not publicly available.
Country comparability	Data are comparable across countries.
Time-series comparability	Countries have been added in each round of data collection. Time-series comparison is possible: the same questionnaire, which contains identical or functionally equivalent items, is applied to every respondent in each country in each successive round of data collection.
Frequency	Ad hoc, every 4-5 years
Rounds of data collection	Round 1 (R1): 2001-2003, R2: 2005-2008, R3: 2010-2012; R4: 2014-2016
Data collection methods	As a network of Global Barometer Surveys, Asian Barometer Survey requires all country teams to comply with the research protocols which Global Barometer network has developed, tested and proved practical methods for conducting comparative survey research on public attitudes.
Quality control	Unknown
Availability	Some data is available through online data analysis. It is not clear how to access data otherwise.
General corruption indicators	PERCEPTIONS OF CORRUPTION ► How widespread do you think corruption and bribe-taking are in your local/municipal government? ► How widespread do you think corruption and bribe-taking are in the national government? ► In your opinion, is the government working to crack down on corruption and root out bribery? EXPERIENCES WITH BRIBERY ► Have you or anyone you know personally witnessed an act of corruption or bribe-taking by a politician or government official in the past year?
Sectoral corruption indicators	PERCEPTIONS OF CORRUPTION ► Trust in institutions: president/prime minister, courts, national government, political parties, parliament, civil service, military, police, local government, NGOs.

	ARAB BAROMETER
Website	http://www.arabbarometer.org/
Organisation	Arab Reform Initiative, Princeton University, University of Michigan
Domains	governance and democracy
Purpose/Goal	To collect, analyse and disseminate cross-national, time-series attitudinal data for Asian countries. Each of the regional barometers is implemented independently although in each country, a national research team administers a country-wide face-to-face survey using standardised survey instruments to compile the required micro-level data under a common research framework and research methodology.
Object of measurement	Topics include economy, evaluation of political institutions, political participation, and political attitudes, identity and nationalism, politics and religion, religiosity, the Arab world and international affairs and demographics.
Aggregation	Aggregation consists of summing the number of responses for each indicator.
Scoring	There is no scoring. Data consists of percentage of respondents that answered positively to indicators and sub-indicators.
Geographic coverage	13 countries in the Middle East and North Africa.
Country comparability	Data are comparable across countries.
Time-series comparability	Countries have been added in each round of data collection. Time-series comparison is possible: The same questionnaire, which contains identical or functionally equivalent items, is applied to every respondent in each country in each successive round of data collection.
Frequency	Ad hoc, every 2-4 years
Rounds of data collection	Round 1 (R1): 2006-2008, R2: 2010-2011; R3: 2012-2014
Data collection methods	The survey represents a national probability sample design of adults 18 years and older. It was conducted face-to face in Arabic and used a complex sample design, which included stratification and clustering. Between 450-1200 respondents were interviewed in each country.
Quality control	Unknown
Availability	All data is available in SPSS and SAS for immediate download.
General corruption indicators	PERCEPTIONS OF CORRUPTION - Do you think that there is corruption within the state's institutions and agencies? - Do you think that corruption in state institutions now is the same, better or worse than 2 years ago? - In your opinion, to what extent is the government working to eliminate corruption in your country? UNDUE INFLUENCE AND PATRONAGE - Do you think that obtaining employment through connections is widespread or not?
Sectoral corruption indicators	PERCEPTIONS OF CORRUPTION Trust in institutions: government (cabinet), parliament, police, armed forces, CSOs, religious leaders

	OPEN BUDGET INDEX
Website	http://www.internationalbudget.org/opening-budgets/open-budget-initiative/open-budget-survey/
Organisation	International Budget Partnership (IBP)
Domains	budget transparency, participation and oversight
Purpose/Goal	To easily measure the overall commitment of the countries surveyed for transparency and to allow for comparisons among countries.
Object of measurement	budget practices, rather than laws
Aggregation	There is an aggregate country score, and thematic scores for each country, as well as disaggregated underlying data on individual indicators.
Scoring	Indicators are assigned scores on a 0-100 scale based on the multiple-choice responses provided by experts in-country. Then a simple average is taken of all indicator scores, including budget document availability.
Geographic coverage	102 countries worldwide, but countries have been added with each round of data collection. Not all countries are represented in all rounds of data collection.
Country comparability	Data are comparable across countries.
Time-series comparability	The content of underlying indicators has changed over the years, so care must be taken when comparing over time. An exception to this is the budget document availability, which has remained static since the survey was first implemented.
Frequency	Every two years (usually)
Rounds of data collection	2006, 2008, 2010, 2012, 2015, 2017 (anticipated)
Data collection methods	The survey is implemented by independent budget experts based in each of the 102 countries surveyed. All responses to the survey questions are supported by evidence. This includes citations from budget documents; the country's laws; or interviews with government officials, legislators or experts on the country's budget process. Throughout the research process, IBP staff assisted the researchers in following the survey methodology, particularly the guidelines for answering survey questions.
Quality control	Upon completion, IBP staff members analysed and discussed each questionnaire with the individual researchers over a three- to six-month period. IBP sought to ensure that all questions were answered in a manner that was internally consistent within each country, and consistent across all survey countries. The answers were also cross-checked against published budget documents and reports on fiscal transparency issued by international institutions, such as the IMF, World Bank and the OECD. Each questionnaire was then reviewed by an anonymous peer reviewer who has substantial working knowledge of the budget systems in the relevant country. The peer reviewers, who were not associated with the government of the country they reviewed, were identified through professional contacts and a variety of other channels. IBP also invited the governments of nearly all survey countries to comment on the draft survey results.
Availability	All data is available online in Excel, csv and json, for immediate download. The entire dataset downloads at once.
Availability of budget documents	(Available to public, available for internal use, not produced) pre-budget statement, executive's budget proposal, enacted budget, citizens budget, in-year reports, mid-year review, year-end report, audit report

	OPEN BUDGET INDEX
Expenditures	▸ Does the year-end report present the differences between the enacted levels (including in-year changes approved by the legislature) and the actual outcome for expenditures? ▸ Does the year-end report present expenditure estimates for individual programs? ▸ Does the year-end report present the differences between the enacted level of funds for policies (both new proposals and existing policies) that are intended to benefit directly the country's most impoverished populations and the actual outcome? ▸ Does the year-end report present the differences between the original estimates of extra-budgetary funds and the actual outcome?
Supreme audit institution	▸ What type of audits (compliance, financial, or performance) has the supreme audit institution (SAI) conducted and made available to the public? ▸ What percentage of expenditures within the mandate of the supreme audit institution (SAI) has been audited? ▸ What percentage of extra-budgetary funds within the mandate of the supreme audit institution (SAI) has been audited? ▸ Does the executive make available to the public a report on what steps it has taken to address audit recommendations or findings that indicate a need for remedial action? ▸ Does either the supreme audit institution (SAI) or legislature release to the public a report that tracks actions taken by the executive to address audit recommendations? ▸ Does a committee of the legislature hold public hearings to review and scrutinise audit reports? ▸ Does the supreme audit institution (SAI) have the discretion in law to undertake those audits it may wish to? ▸ Has the supreme audit institution (SAI) established a monitoring system to provide on-going, independent evaluations of its audit processes (a quality assurance system)? ▸ Must a branch of government other than the executive (such as the legislature or the judiciary) give final consent before the head of the supreme audit institution (SAI) can be removed from office?
Citizen engagement	▸ Does the executive make available to the public clear (accessible, non-technical) definitions of terms used in the budget and other budget-related documents (for instance, in a glossary)? ▸ Is the executive formally required to engage with the public during the formulation and execution phases of the budget process? ▸ Has the executive established mechanisms to identify the public's perspective on budget priorities? ▸ Has the executive established mechanisms to identify the public's perspective on budget execution? ▸ Does the executive provide formal, detailed feedback to the public on how its inputs have been used to develop budget plans and improve budget execution? ▸ Do legislative committees hold public hearings on the individual budgets of central government administrative units (i.e. ministries, departments and agencies) in which testimony from the executive branch is heard? ▸ Do legislative committees hold public hearings on the individual budgets of central government administrative units (i.e. ministries, departments and agencies) in which testimony from the public is heard? ▸ Do the legislative committees that hold public hearings on the budget release reports to the public on these hearings? ▸ Does the supreme audit institution (SAI) maintain formal mechanisms through which the public can assist in formulating its audit programme (by identifying the agencies, programmes or projects that should be audited)? ▸ Does the supreme audit institution (SAI) maintain formal mechanisms through which the public can participate in audit investigations (as respondents, witnesses, etc.)? ▸ Does the supreme audit institution (SAI) maintain any communication with the public regarding its audit reports beyond simply making these reports publicly available? ▸ Does the supreme audit institution (SAI) provide formal, detailed feedback to the public on how their inputs have been used to determine its audit programme or in audit reports?

	PUBLIC EXPENDITURE AND FINANCIAL ACCOUNTABILITY (PEFA)
Website	http://www.pefa.org
Organisation	World Bank
Domains	fiscal transparency and accountability
Purpose/Goal	The PEFA programme provides a framework for assessing and reporting on the strengths and weaknesses of public financial management (PFM) using quantitative indicators to measure performance. PEFA is designed to provide a snapshot of PFM performance at specific points in time using a methodology that can be replicated in successive assessments, giving a summary of changes over time.
Object of measurement	PEFA is a methodology for assessing public financial management performance. It identifies 94 characteristics (dimensions) across 31 key components of public financial management (indicators) in seven broad areas of activity (pillars).
Aggregation	There is no aggregate country score, only scores for individual indicators and dimensions (sub-indicators).
Scoring	The performance of each indicator and dimension is measured against a four-point ordinal scale from A to D. The highest score, A, is warranted if evidence clearly demonstrates that an internationally-recognised level of good performance is achieved. The D score indicates that performance is below the basic level. Indicators with more than one dimension are scored according to either the lowest score among its dimensions (M1, the weakest link) or the average of its dimension scores (M2, average score).
Geographic coverage	Worldwide: 423 assessments completed, 277 of which are public.
Country comparability	Data are comparable across countries.
Time-series comparability	The content of indicators changed in 2016, so care must be taken when comparing over time.
Frequency	Ad hoc (at government discretion). Repeat evaluations have been done for most countries, but not all assessments are public.
Rounds of data collection	2007-
Data collection methods	Can be completed as: (a) a self-assessment undertaken by the government (with arrangements for external validation); (b) a joint assessment i.e. government working with other stakeholders – e.g. development partners, domestically-based academia and civil society organisations; (c) an external assessment led by a non-government stakeholder, with technical and logistical support provided by government. The government decides the objective, the timing (i.e. not during the height of the budget preparation system or the vacation season, and a minimum of three years since the last PEFA assessment (or the last PFM assessment)), and the scope (central government, or SNGs or combined). The government has a strong, though not sole, oversight function.
Quality control	Quality assurance (QA) is conducted by a separate team recruited based on impartiality and knowledge of PEFA framework – reviewers should represent at least four institutions, including the PEFA Secretariat and the government being assessed. QA covers accuracy of data and correct application of the PEFA methodology and arrangements should be disclosed in the report. PEFA CHECK issued by PEFA Secretariat reviews the QA process and authorises the use of a special stamp/logo.
Availability	Data for most assessments are available for immediate download in Excel and pdf format. Data is downloaded by country only.

	PUBLIC EXPENDITURE AND FINANCIAL ACCOUNTABILITY (PEFA)
Transparency of public finances	▸ budget classification ▸ budget documentation ▸ central government operations outside financial reports ▸ transfers to sub-national governments ▸ performance information for service delivery ▸ public access to fiscal information
Predictability and control in budget execution	▸ revenue administration ▸ accounting for revenue ▸ predictability of in-year resource allocation ▸ expenditure arrears ▸ payroll controls ▸ procurement ▸ internal controls on non-salary expenditure ▸ internal audit
Accounting and reporting	▸ financial data integrity ▸ in-year budget reports ▸ annual financial reports
External scrutiny and audit	▸ external audit ▸ legislative scrutiny of audit reports

	OPEN DATA BAROMETER
Website	http://opendatabarometer.org/barometer/
Organisation	World Wide Web Foundation
Domains	open data
Purpose/Goal	The Open Data Barometer (ODB) aims to uncover the prevalence and impact of open data initiatives around the world. It analyses global trends, and provides comparative data on countries and regions using an in-depth methodology that combines contextual data, technical assessments and secondary indicators.
Object of measurement	Readiness for open data initiatives, implementation of open data programmes, impact that open data is having on business, politics and civil society.
Aggregation	To calculate each component an average of the variables in that component is taken. The average of components is used to generate each sub-index. The weighted average of the sub-indexes is used to generate the overall Open Data Barometer score.
Scoring	For the barometer ranking, an aggregation logic and weightings were applied to the checklist results to generate a score between 0 and 100. These scores were not individually normalised, to allow clear comparison between the different datasets in the barometer, but the aggregated index of dataset availability (the implementation sub-index) was normalised using Z-scores to bring it onto the same scale as other questions prior to inclusion in overall index calculations. This converts the 0-10 score into a measure of how far above or below the mean (in standard deviations) any given answer is. Normalisation gives the ability to compare how well countries are doing relative to one another and makes the measurements more robust to marginal alterations in scoring guidance year-on-year.
Geographic coverage	92 countries
Country comparability	Data are comparable across countries.
Time-series comparability	The 2015 edition of the barometer seeks to repeat the analysis from previous editions, with some small modifications and methodological revisions that are focused on three main aspects: the government self-assessment simplified questionnaire for each of the countries in the study as an additional source of input for the research; two new additional readiness questions (ODB.2015.C.POLI – ODB.2015.C.MANAG) and other minor adjustments for all questions as first exploration steps towards the assessment of the International Open Data Charter principles; a more detailed and incremental scoring guidance with comprehensive criteria and scoring thresholds to guide the researcher and improve consistency of the results.
Frequency	Annual
Rounds of data collection	2013, 2014, 2015
Data collection methods	The third edition of the Open Data Barometer is based upon three kinds of data: a peer-reviewed expert survey carried out between May and September 2015 with a range of questions about open data contexts, policy, implementation and impacts and a detailed dataset survey completed for 15 kinds of data in each country, which touches upon issues of data availability, format, licensing, timeliness and discoverability; a government self-assessment in the form of a simplified survey carried out between May and July 2015 with the same range of context, implementation and impact questions for further involvement of government in the assessment process; secondary data selected to complement our expert survey data. This is used in the readiness section of the barometer and is taken from the World Economic Forum, World Bank, United Nations e-Government Survey and Freedom House.
Availability	All data is available online in csv for immediate download.

	OPEN DATA BAROMETER
Open data policy and impact	▸ To what extent is there a well-defined open data policy and/or strategy in the country? ▸ To what extent is there a consistent (open) data management and publication approach? ▸ To what extent is there a well-resourced open government data initiative in this country? ▸ To what extent are city or regional governments running their own open data initiatives? ▸ To what extent does the country have a functioning right-to-information law? ▸ To what extent has open data had a noticeable impact on increasing government efficiency and effectiveness? ▸ To what extent has open data had a noticeable impact on increasing transparency and accountability in the country? ▸ To what extent has open data had a noticeable impact on environmental sustainability in the country? ▸ To what extent has open data had a noticeable impact on increasing the inclusion of marginalised groups in policy making and accessing government services?
Quality and availability of open data (10 indicators per dataset)	▸ Public contracts ▸ Health sector performance ▸ Primary or secondary education performance data ▸ National environment statistics ▸ Detailed government budget ▸ Detailed data on government spending ▸ Company registers ▸ Legislation

	OPEN DATA INDEX
Website	http://index.okfn.org/
Organisation	Open Knowledge Foundation
Domains	open data
Purpose/Goal	To collect and present information on the current state of open data release around the world.
Object of measurement	According to the common open data assessment framework there are four different ways to evaluate data openness: context, data, use and impact. The Global Open Data Index is intentionally narrowly focused on the data aspect, hence, limiting its inquiry only to the datasets publication by national governments. It does not look at the broader societal context – for example, the legal or policy framework, (FOI, etc.) – and it does not seek to assess use or affect in a systematic way. Lastly, it does not assess the quality of the data. This narrow focus of data publication enables it to provide a standardised, robust, comparable assessment of the state of the publication of key data by governments around the world.
Aggregation	There is an aggregate country score, and scores on the openness of each dataset.
Scoring	After all data is submitted and reviewed, countries are ranked according to their percentage of openness. The percentage is calculated by adding all of the datasets scores and divide them by 1,300 (the maximum possible score that a country can get) - sum (13 dataset) / 1,300 = index percentage. The percentages are rounded to the nearest whole number.
Geographic coverage	122 countries
Country comparability	Data are comparable across countries.
Time-series comparability	In 2016, the datasets being evaluated were revised and datasets definitions were improved to allow better consistency of the index. The review process was changed from peer review to thematic review to allow better accuracy and reliability of the results. The size of the dataset has increased, so not all countries are represented in each round of data collection.
Frequency	Annual
Rounds of data collection	2013, 2014
Data collection methods	Crowdsourcing. The Global Open Data Index is not an official government representation of the open data offering in each country, but an independent assessment from a citizen's perspective. It is a civil society audit of open data, and it enables government progress on open data by giving them a measurement tool and a baseline for discussion and analysing the open data ecosystem in their country and internationally from a key user's perspective. This means that anyone from any place can participate and contribute to the Global Open Data Index and make submissions, which are then reviewed. Contributors have diverse knowledge and backgrounds in open data, and therefore they sometimes need help finding the data required.

	OPEN DATA INDEX
Quality control	The 2015 assessment and review of the datasets took place in four steps. The first step is collecting the evaluation of datasets through volunteer contributors, and the second step is QA checks by the local coordinators, while the third is verifying the results with paid expert reviewers. The fourth is a public review of the index before it is published.
Availability	All data are available online in csv and json for immediate download. The dataset can be downloaded by country, theme or all at once.
Quality and availability of open data (9 indicators per dataset)	▸ National statistics ▸ Procurement tenders ▸ Legislation ▸ Company register ▸ Government budget ▸ Water quality ▸ Government spending ▸ Health performance

	IBRAHIM INTEGRITY INDICATORS
Website	http://aii.globalintegrity.org/
Organisation	Global Integrity/Mo Ibrahim Foundation
Domains	transparency and accountability, social development
Purpose/Goal	To generate the Africa integrity indicators (AI), which assesses key social, economic, political and anti-corruption mechanisms at the national level across the continent.
Object of measurement	The transparency and accountability section consists of 59 indicators examining issues divided in the thematic areas of rule of law, accountability, elections, public management integrity, civil service integrity and access to information. The indicators look at the transparency of the public procurement process, media freedom, asset disclosure requirements, independence of the judiciary and conflict of interest laws, among others. They take into account both existing legal measures on the books and de facto realities of implementation in each country.
Aggregation	There is no aggregate country score. A thematic score is generated for transparency and accountability, and sub-scores are generated for rule of law, accountability, elections, public management, civil service integrity, and access to information and openness.
Scoring	To produce a country's aggregate scorecard, a simple aggregation method is used. After the researcher scores each indicator and global integrity, with the help from the peer reviewers who conduct rigorous quality control, each indicator score is then averaged within its parent category. The category score is in turn averaged with the other category scores to produce an overall country score. For the Africa integrity indicators, the aggregation method was only applied to the transparency and accountability section.
Geographic coverage	All African countries, including North Africa.
Country comparability	Data are comparable across countries. Each indicator is presented for the user with three elements: score, explanatory comment and sources. Scores allow for general comparisons across countries, while sources and comments provide a unique window into the realities of regulation and enforcement in each country.
Time-series comparability	An improved version of the indicators was generated after the 2013 pilot round, so time-series comparability starts from 2014 onwards. The pilot phase covered 50 out of the 54 African countries, excluding the Republic of Congo, Guinea-Bissau, Niger and Lesotho. All African countries were covered from the second-round research.
Frequency	Annual
Rounds of data collection	2013, 2014, 2015, 2016
Data collection methods	Global Integrity staff recruit and manage teams of in-country contributors in more than 50 African countries to generate original governance data on an annual basis. The Africa integrity indicators are scored by in-country researchers following an evidence-based investigation methodology. Global Integrity's evidence-based expert assessments require researchers (typically journalists, academics or civil society experts) to compile and document evidence to inform and support their score choices for each of the indicators. Rather than relying on experiences or pre-existing perceptions by experts, the strength of Global Integrity's methodology is that it requires a variety of sources of information to be reviewed and documented (including legal and scholarly reviews, interviews with experts and reviews of media stories) to substantiate the score choice.
Quality control	The resultant data points are then reviewed blindly by a panel of peer reviewers, drawing on the expertise of a mix of in-country experts as well as outside experts.
Availability	All data is available online in Excel for immediate download. There is also online data analysis.

	IBRAHIM INTEGRITY INDICATORS
Supreme audit institution	▶ In law, there is a supreme audit institution. ▶ In law, the independence of the supreme audit institution is guaranteed. ▶ In practice, the independence of the supreme audit institution is guaranteed. ▶ In practice, appointments to the supreme audit institution support the independence of the agency. ▶ In practice, the supreme audit agency releases frequent reports that are accessible to citizens.
Corruption	▶ In law, corruption is criminalised as a specific offence. ▶ In law, there is an independent body/bodies mandated to receive and investigate cases of alleged public sector corruption. ▶ In practice, allegations of corruption against senior level politicians and/or civil servants of any level are investigated by an independent body. ▶ In practice, the body/bodies that investigate/s allegations of public sector corruption is/are effective. ▶ In practice, appointments to the body/bodies that investigate/s allegations of public sector corruption support/s the independence of the body. ▶ In law, the head of state and government can be investigated and prosecuted while in office if evidence suggests they committed a crime. ▶ In practice, heads of state and government are investigated and prosecuted while in office if evidence suggests they committed a crime. ▶ In law, civil servants are required to report cases of alleged corruption. ▶ In law, civil servants who report cases of corruption are protected from recrimination or other negative consequences.
Public procurement	▶ In law, major public procurements require competitive bidding. ▶ In practice, major public procurements involve competitive bidding. ▶ In practice, citizens can access the results and documents associated with procurement contracts (full contract, proposals, execution reports, financial audits, etc.). ▶ In law, companies found guilty of violations of procurement regulations are prohibited from participating in future bids. ▶ In practice, companies found guilty of violating procurement regulations are prohibited from participating in future bids.
Conflicts of interest and asset disclosure	▶ In law, there are formal rules to prevent conflicts of interest, nepotism, cronyism and patronage in all branches of government. ▶ In practice, civil servants' work is not compromised by political interference. ▶ In practice, civil servants are appointed and evaluated according to professional criteria. ▶ In law, there are restrictions for civil servants entering the private sector after leaving the government. ▶ In law, senior officials of the three branches of government (including heads of state and government, ministers, members of parliament, judges, etc.) are required to disclose records of their assets and disclosures are public. ▶ In practice, the asset disclosure process for senior officials of the three branches of government (heads of state and government, ministers, members of parliament, judges, etc.) is effective. ▶ In law, members of the civil service are required to disclose records of their assets and the disclosures are public. ▶ In practice, the asset disclosure process for members of the civil service is effective.
Right to information	▶ In law, citizens have a right to request public information from state bodies. ▶ In practice, citizen requests for public information are effective. ▶ In practice, citizens can access legislative processes and documents.

	RULE OF LAW INDEX
Website	http://worldjusticeproject.org/rule-of-law-index
Organisation	World Justice Project (WJP)
Domains	rule of law
Purpose/Goal	To systematically and comprehensively quantify the rule of law around the world.
Object of measurement	Performance is measured using 44 indicators across eight primary rule of law factors, each of which is scored and ranked globally and against regional and income peers: constraints on government powers, absence of corruption, open government, fundamental rights, order and security, regulatory enforcement, civil justice and criminal justice.
Aggregation	There is an aggregate country score, and factor scores for each country, as well as disaggregated underlying data on individual indicators.
Scoring	Individual answers are mapped onto the 44 sub-factors of the index and codified so that all values fall between 0 (least rule of law) and 1 (most rule of law), and aggregated at the country level using the simple (or unweighted) average of all respondents. To allow for an easier comparison across years, the 2016 scores have been normalised using the min-max method with a base year of 2015. These normalised scores were then successively aggregated from the variable level all the way up to the factor level to produce the final country scores and rankings. In most cases, the General Population Poll and Qualified Respondent's Questionnaire questions are equally weighted in the calculation of the scores of the intermediate categories (sub-factors and sub-sub-factors).
Geographic coverage	113 countries and jurisdictions (from 102 in 2015)
Country comparability	Data are comparable across countries.
Time-series comparability	The content of underlying indicators has changed over the years, and the number of countries has increased, so care must be taken when comparing over time.
Frequency	Annual
Rounds of data collection	2010, 2011, 2012, 2013, 2014, 2015
Data collection methods	The index's scores are built from the assessments of local residents (1,000 respondents per country) and local legal experts, ensuring that the findings reflect the conditions experienced by the population, including marginalised sectors of society. Every year the WJP collects data from representative samples of the public (the general population polls or GPPs) and legal professionals (the qualified respondents' questionnaires or QRQs) to compute the index scores and rankings. The GPP questionnaire includes 101 perception-based questions and 106 experience-based questions, along with socio-demographic information on all respondents. The QRQs complement the polling data with assessments from in-country professionals with expertise in civil and commercial law, criminal justice, labour law and public health. The questionnaires contain closed-ended perception questions and several hypothetical scenarios with highly detailed factual assumptions aimed at ensuring comparability across countries.
Quality control	The respondent-level data are edited to exclude partially-completed surveys, suspicious data, and outliers (which are detected using the Z-score method). As a final step, data are validated and cross-checked against qualitative and quantitative third-party sources to provide an additional layer of analysis and to identify possible mistakes or inconsistencies within the data.
Availability	All data are available online in Excel for immediate download. There is also online data analysis.

	RULE OF LAW INDEX
Absence of corruption	▶ Government officials in the executive branch do not use public office for private gain ▶ Government officials in the legislative branch do not use public office for private gain
Open government	▶ Publicised laws and government data ▶ Right to information ▶ Civic participation ▶ Complaint mechanisms ▶ Official information is available on request
Effective regulatory enforcement	▶ Government regulations are effectively enforced ▶ Government regulations are applied and enforced without improper influence
Constraints on government powers	▶ Government powers are effectively limited by independent auditing and review ▶ Government officials are sanctioned for misconduct ▶ Government powers are subject to non-governmental checks

	QUALITY OF GOVERNMENT
Website	http://qog.pol.gu.se/data/datadownloads/qogexpertsurveydata
Organisation	University of Gothenburg
Domains	public administration governance
Purpose/Goal	To provide quantitative assessment of the organisational design of public bureaucracies and bureaucratic behaviour across countries.
Object of measurement	The Quality of Government (QoG) Expert Survey covers a variety of topics relevant to the structure and functioning of public administration, such as meritocratic recruitment, internal promotion and career stability, salaries, impartiality, corruption, effectiveness/efficiency and bureaucratic representation of, for example, ethnic groups and gender.
Aggregation	There is no country score, but there are three indices generated from specific indicators: index of professionalism, index of impartiality, index of closedness.
Scoring	Questions are scored on a range, where 1 is hardly ever and 7 is almost always, or 1 is not at all and 7 is to a very large extent. Countries have 2-4 respondents whose responses are averaged for a final country score.
Geographic coverage	159 countries
Country comparability	Data are comparable across countries.
Time-series comparability	The second round of data collection includes the following new topics: women in public administration, corruption and embezzlement and transparency. It has also improved measures for personnel management systems and administrative wages. Care must be taken when comparing data over time.
Frequency	Ad hoc. Data have been released in 2012 and 2015.
Rounds of data collection	The first round of data collection was conducted in three waves: Wave 1: 2008/2009, Wave 2: 2010, Wave 3 in 2011. The second round of data collection was conducted 2014/2015.
Data collection methods	The dataset is based on QoG Institute's own online survey with over 1,200 experts.
Quality control	Extensive perception bias checks were carried out to make sure that estimates for a particular country are not determined by the make-up of the group of experts who provided assessments but in fact reflect the country's bureaucratic structure and practices. In practice, all items in the questionnaire were regressed on six available characteristics of the respondents, controlling for countries' fixed effects.
Availability	All data are available online in Excel for immediate download.

	QUALITY OF GOVERNMENT
Personnel	▶ When recruiting public sector employees, the skills and merits of the applicants decide who gets the job. ▶ When recruiting public sector employees, the political connections of the applicants decide who gets the job ▶ When recruiting public sector employees, the personal connections of the applicants (for example kinship or friendship) decide who gets the job. ▶ Public sector employees are hired via a formal examination system. ▶ The practice of hiring, firing, promoting and paying public sector employees follows the provisions of the laws and other legal documents regulating these processes. ▶ Vacant positions in the public sector are advertised in newspapers and websites of relevant organisations. ▶ When granting licences to start up private firms, public sector employees favour applicants with whom they have strong personal contacts.
Corruption	▶ Members of the executive (the head of state, the head of government and cabinet ministers), or their agents, grant favours in exchange for bribes, kickbacks or other material inducements. ▶ Members of the executive (the head of state, the head of government and cabinet ministers), or their agents, steal, embezzle or misappropriate public funds or other state resources for personal or family use ▶ Members of the legislature grant favours in exchange for bribes, kickbacks or other material inducements. ▶ Members of the judiciary grant favours in exchange for bribes, kickbacks or other material inducements. ▶ Public sector employees grant favours in exchange for bribes, kickbacks or other material inducements. ▶ Public sector employees steal, embezzle or misappropriate public funds or other state resources for personal or family use. ▶ Public sector employees risk severe negative consequences if they pass on information about abuses of public power to the media. ▶ Abuses of power within the public sector are likely to be exposed in the media. ▶ When found guilty of misconduct, public sector employees are reprimanded by proper bureaucratic mechanisms.
Procurement	Firms that provide the most favourable kickbacks to senior officials are awarded public procurement contracts in favour of firms making the lowest bid.

	PUBLIC ACCOUNTABILITY MECHANISMS (PAM)/EUROPAM
Website	http://data.worldbank.org/data-catalog/public-accountability-mechanisms or http://europam.eu/
Organisation	World Bank/Hertie School of Governance
Domains	transparency and accountability
Purpose/Goal	To produce assessments of in-law efforts to enhance the transparency of public administration and the accountability of public officials.
Object of measurement	Legal framework for: financial disclosure, conflict of interest, right to information, immunity (PAM only), political financing (EuroPAM only), public procurement (EuroPAM only)
Aggregation	There is an overall country score for each mechanism and sub-themes in the EuroPAM dataset, as well as scores for underlying disaggregated indicators. No aggregation exists for the PAM dataset.
Scoring	In the EuroPAM dataset, scores for mechanisms and sub-themes are reported on a 0-100 scale. Underlying indicators are quantified on a simple 0-1 scale, with most indicators falling into a binary of 0 or 1 that reflects whether a provision exists within the law. More complex scoring exists for public procurement that is available in the methodology documents.
Geographic coverage	PAM: 90 countries worldwide. EuroPAM: 34 European countries plus European Commission
Country comparability	Data are comparable across countries.
Time-series comparability	There are some changes to the indicators between PAM and EuroPAM. Care should be taken when performing time-series comparison.
Frequency	Ad hoc
Rounds of data collection	PAM: right to information 2010, financial disclosure 2012, conflict of interest 2012, immunity 2013 EuroPAM: round 1 (R1): 2012, R2: 2015: R3: 2016: R4: 2017
Data collection methods	To ensure the reliability of in-law data, a rigorous and systematic approach is applied to data collection and analysis. Researchers produce summaries of the legal provisions collected from primary source documents, in the original language where possible.
Quality control	Following the preliminary analysis performed by researchers, the data is sent to technical in-country experts for feedback on accuracy and relevance. Country experts are intended to have either in-depth legal knowledge of the mechanism being examined in a specific country or expertise in a related field. Review is also performed by the overall project manager for each dataset.
Availability	All data is available online in excel for immediate download, all at once or by country. There is also online data analysis.
Political financing	http://europam.eu/data/in-law%20indicators/EuroPAM%20PF%20in-law%20indicator%20list.pdf
Financial disclosure	http://europam.eu/data/in-law%20indicators/EuroPAM%20FD%20in-law%20indicator%20list.pdf
Conflict of interest restrictions	http://europam.eu/data/in-law%20indicators/EuroPAM%20COI%20in-law%20indicator%20list.pdf
Freedom of information	http://europam.eu/data/in-law%20indicators/EuroPAM%20FOI%20in-law%20indicator%20list.pdf
Public procurement	http://europam.eu/data/in-law%20indicators/EuroPAM%20PP%20in-law%20indicator%20list.pdf

	GLOBAL RTI RATING
Website	http://www.rti-rating.org/
Organisation	Center for Law and Democracy (CLD) and Access Info Europe (AIE)
Domains	right-to-information laws
Purpose/Goal	The central idea behind the RTI Rating is to provide RTI advocates, reformers, legislators and others with a reliable tool for comparatively assessing the overall strength of a legal framework for RTI. The rating also indicates the strengths and weaknesses of the legal framework and provides a handy means for pinpointing areas in need of improvement.
Object of measurement	The indicators are divided into seven different categories, namely: right of access, scope, requesting procedures, exceptions and refusals, appeals, sanctions and protections and promotional measures.
Aggregation	There is an aggregate country score, and component scores for each country, as well as disaggregated underlying data on individual indicators.
Scoring	At the heart of the methodology for applying the RTI Rating are 61 Indicators. For each indicator, countries earn points within a set range of scores (in most cases 0-2), depending on how well the legal framework delivers the indicator, for a possible total of 150 points.
Geographic coverage	102 countries worldwide (all countries with an RTI law)
Country comparability	Data are comparable across countries.
Time-series comparability	N/A. Data is collected on a rolling basis.
Frequency	Rolling basis
Rounds of data collection	Rolling basis
Data collection methods	This work was carried out by researchers at CLD and AIE.
Quality control	To check these assessments, and to be sure that the wider legal context was taken into account, local legal experts were asked to review and comment on the original assessments, and these comments were then integrated into the scoring.
Availability	Data are available for immediate download in Excel format. Data are downloaded by country only.
Political financing	▸ Right to access ▸ Scope ▸ Requesting procedures ▸ Exceptions and refusals ▸ Appeals ▸ Sanctions and protections ▸ Promotional measures

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