



**GATEWAY:
MAPPING THE CORRUPTION
ASSESSMENT LANDSCAPE**

Transparency International is the global civil society organisation leading the fight against corruption. Through more than 90 chapters worldwide and an international secretariat in Berlin, we raise awareness of the damaging effects of corruption and work with partners in government, business and civil society to develop and implement effective measures to tackle it.

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Executive Summary

This paper reports on the results of a two-year stocktaking exercise to map the field of corruption assessments, undertaken as part of Transparency International's GATEway project. Based on an analysis of more than 500 diagnostic tools, it presents some of the key trends and themes in corruption assessment work, and identifies important gaps which may need to be filled. Among other things, the report notes a growing trend away from multi-country awareness-raising tools towards more country-, sector- and context-specific work, coupled with an increasing focus on transparency, accountability and integrity in order to monitor progress in the fight against corruption. To advance the field of corruption assessment, the report recommends: (a) ensuring easier access to official government data, (b) better use of a broader range of data sources, (c) more predictable long-term donor support for ongoing monitoring of (anti-)corruption trends, and (d) more systematic exchange of lessons learned in the application of corruption assessment methods in different contexts.

Introduction

Corruption is widely recognised as a serious impediment to both economic growth and social wellbeing, estimated to cost the global economy more than five per cent of global GDP (US\$2.6 trillion).¹ In order to fight corruption, governments, business actors and civil society need reliable information on how frequent it is, which forms it takes and where it occurs. Yet because it is a covert activity, corruption is notoriously hard to measure.

In spite of this, the discipline of corruption assessment has come a long way over the past 20 years. Initial efforts focused largely on comparing perceived levels of corruption across countries and correlating corruption data with other social and economic phenomena as a means of raising public awareness and building momentum for change.² More recently, in recognition of the inherent challenges in translating country-level perception data into policy-relevant findings, two important trends have begun to emerge. Firstly, there has been a shift towards assessment tools which aim to gather more detailed information on specific corruption problems at national, sub-national and sector levels, to inform targeted anti-corruption interventions. Secondly, greater efforts are now being made to measure corruption risks by identifying gaps in transparency, accountability and integrity in both public and private institutions.

The GATEway project, a collaboration between Transparency International, the European Commission and the United Nations Development Programme (UNDP), was conceived to help make sense of the rapidly evolving field of corruption measurement. The project maps and analyses the range of corruption assessment tools in existence, in order to identify promising trends and uncover important gaps which may need to be filled. At the same time, it aims to assist those who wish to measure corruption to match their needs with existing tools.³ This paper explores the findings which have emerged from the mapping exercise in order to offer some recommendations on areas for future work. It draws extensively on research carried out between September 2010 and September 2012, culminating in an expert workshop held at the Transparency International Secretariat in September 2012. The paper is aimed at corruption practitioners and researchers involved in conducting corruption assessments, as well as governments and donors with an interest in supporting such work.

Part I of this paper describes the approach taken to mapping the field of corruption assessment adopted through the GATEway project. Part II summarises what we have learned over the last two years, in terms of key trends and themes in corruption assessment work, and identifies those areas of corruption assessment which are well covered by existing tools and those which are less so. Finally, Part III presents some recommendations on potential areas for future work.

1 World Economic Forum (2012), Network of Global Agenda Councils Reports 2011-12: Anti-Corruption, <http://reports.weforum.org/global-agenda-council-2012/#view/global-agenda-council-2012/councils/anti-corruption/>

2 E.g. Transparency International, Corruption Perceptions Index; World Bank, Worldwide Governance Indicators

3 See Annex I for a description of the GATEway Project

Part I - Methodology

This chapter describes the methodological approach to collecting, categorising and analysing assessment tools adopted for the mapping exercise. In the context of the GATEway project, a 'corruption assessment tool' is defined as:

“any research methodology whose primary aim is to identify the extent of corruption, corruption risks, and/or anti-corruption (integrity, transparency, accountability) in a given context. Tools range from ‘out-of-the box’ methodologies and guidelines which are ready to use, to one-off assessments whose methodology is clearly explained and deemed replicable and useful to others.”⁴

The focus is therefore on diagnostic tools which measure and analyse elements of either corruption or anti-corruption. It does not include the full gambit of governance assessment tools, nor does it cover 'action-oriented' tools (capacity building, advocacy, training tools, etc.).

1.1. Collecting Assessment Tools

To conduct the mapping, three simultaneous and complementary search techniques were adopted, with a focus on tools developed over the past 15 years (see Figure 1):

- **Online search engines:** The first stage involved a broad online search for the most common terms associated with corruption. A particular emphasis was placed on entering synonymous and equivalent terms where possible. Stage two involved more targeted searches around specific topic areas, including research methods (e.g. risk assessment, surveys), processes (e.g. procurement, access to information) and sectors (education, health, justice etc.).
- **Online aggregators:** Alongside the use of search engines, a comprehensive scan of meta-resources (existing thematic databases, web portals and other online collections) was conducted.⁵ Subscriptions to relevant newsletters, as well as online newsfeeds and networks, were also used, in order to keep abreast of the development of new research tools.
- **Outreach:** In addition, an important effort was made to reach out to the anti-corruption community in order to seek contributions of relevant research tools which may not have been captured through online search techniques. Relevant organisations were contacted from both within the Transparency International movement and beyond.

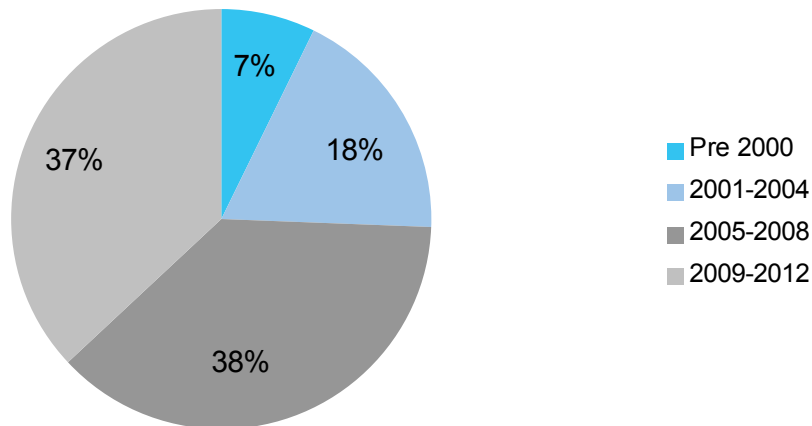
The eventual reappearance of the same results through this combination of search methods was taken as an indication that a critical mass of tools had been captured and that continued investment in intensive searching would yield an ever-diminishing return.⁶ The result, at the time of writing, is a total of 542 discrete corruption assessment tools on which the analysis in this paper is based.

4 The term 'corruption assessment tool' as used throughout this paper includes assessments of both corruption and anti-corruption.

5 See Annex IV

6 Importantly, the project continues to monitor aggregators in particular, and classify new tools to ensure that the database of tools remains up-to-date.

FIGURE 1: Year in which assessment tools were published / first used



Limitations of the Mapping

The fact that the search process reached a critical ‘saturation point’ provides confidence that it is sufficiently encompassing to allow for some broad conclusions to be reached about the current state of the corruption assessment landscape. Nevertheless, the dataset lays no claims to being either fully comprehensive or representative. Limitations include:

- **Language:** The primary language employed in the search was English, with additional searches in Spanish and, to a lesser degree, French. This inevitably means that the coverage of assessment tools is biased towards English-language tools and Anglophone countries, beyond what might normally be expected (see Figure 2).
- **Format:** A number of assessment tools were found or submitted in a format unsuitable for inclusion in the database (hard copy, executive summary, methodology not provided, etc.) and were therefore omitted from the sample.
- **Overlap:** There was considerable overlap between some tools in terms of the methods used. This is particularly noticeable in the case of surveys, where a significant number of assessments have been carried out using the same (or very similar) methodology. In such cases, it has not been possible – or indeed desirable – to include each tool in the database.
- **Coverage:** As a consequence of the search techniques adopted, there may be a bias towards tools developed by Transparency International. Nevertheless, as a global movement comprised of over 100 national chapters, many of which conduct independent research, the bias is perhaps not as strong as may first appear (see Figure 3).

FIGURE 2: Primary language of assessment tools⁷

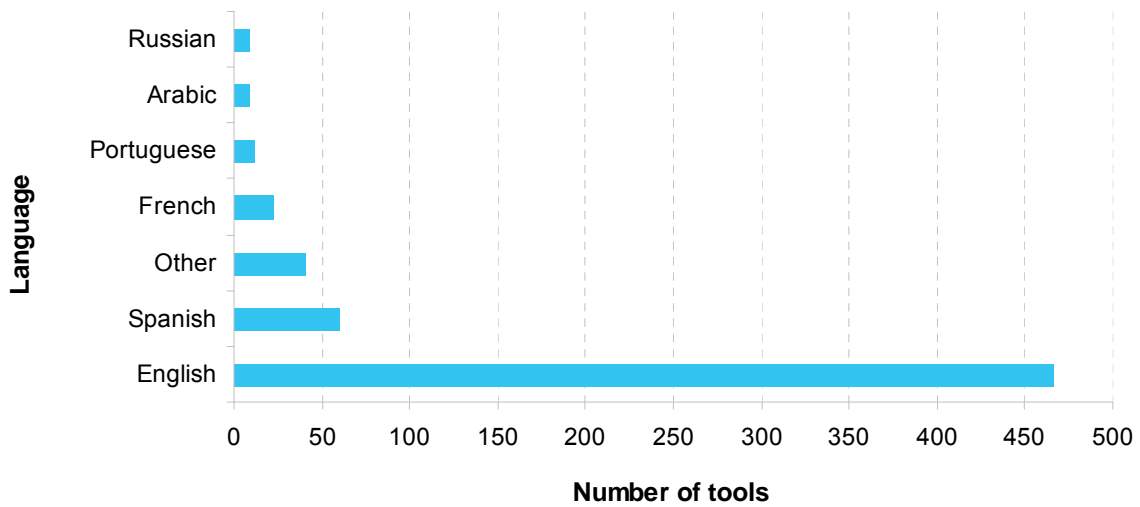
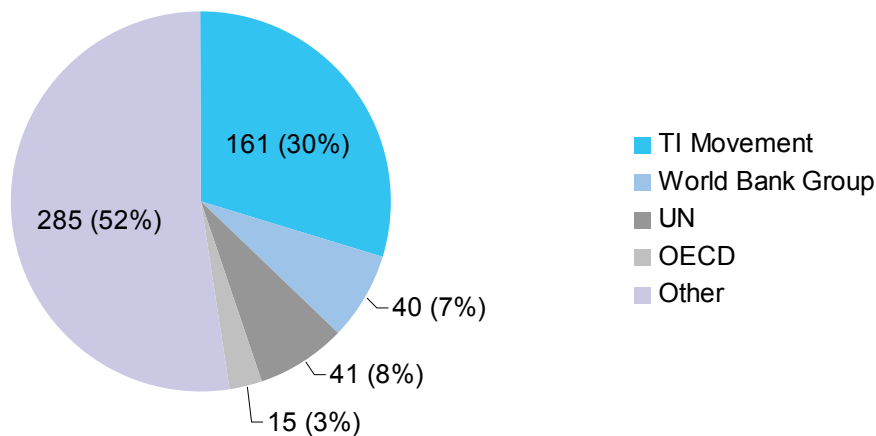


FIGURE 3: Number of assessment tools per organisation



1.2. Categorising Assessment Tools

The GATEway categorisation scheme is designed to help make sense of the range of tools collected.⁸ It is composed of two inter-related elements:⁹

- A broad **typology of tools** to analyse the field through three 'lenses': (i) assessment approaches, (ii) sectors, and (iii) processes (see Figure 4)

⁷ A small number of tools are produced in multiple languages. Where this is the case, the primary language is defined as that of the country in which the tool was first published.

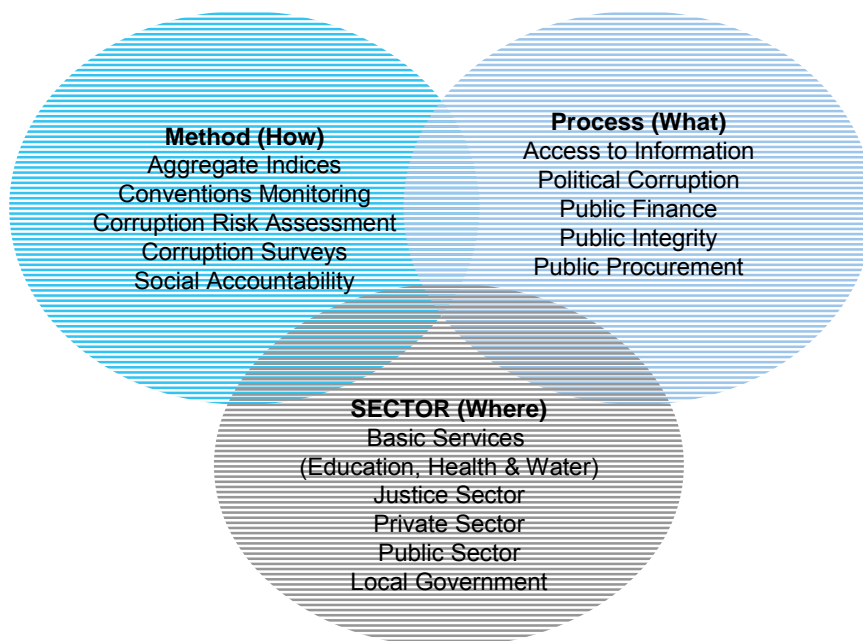
⁸ The elaboration of the framework was an iterative process informed largely by the types of tools emerging from the search process. The proposed framework was later refined through discussions among the GATEway advisory group.

⁹ There is some overlap between the typology and taxonomy. For example, access to information emerges as both a key process under the typology (i.e. the principal focus of analysis), as well as a cross-cutting theme under the taxonomy.

- A more detailed **taxonomy of individual tool features** under four headings: (i) purpose, (ii) theme, (iii) scope and (iv) research method.¹⁰

Both the typology and taxonomy serve as the framework for the analysis presented in this paper.¹¹

FIGURE 4: Typology of assessment tools



1.3. Analysing Assessment Tools

Following the desk-based research phase, an expert workshop was convened in September 2012 bringing together members of the GATEway Advisory Group and other corruption assessment specialists.¹² The aim of the workshop was to prioritise a set of ‘gap areas’ in the field of corruption assessment. During the workshop, participants were asked to discuss and validate an initial set of gap areas emerging from the stocktaking exercise, and to provide suggestions on additional gap areas not identified. Participants were encouraged to consider not only thematic and methodological issues, but also more contextual challenges in the application of corruption assessment tools, which may need to be addressed.¹³

¹⁰ See Annex II

¹¹ The typology also forms the basis of a set of online topic guides (<http://gateway.transparency.org/guides>), developed to provide users with guidance on how to select the most appropriate tools for their needs, while the taxonomy was used to construct the online searchable database of assessment tools (<http://gateway.transparency.org/tools>).

¹² See Annex V

¹³ The outcomes of the gap analysis are summarised in Annex IV.

Part II – Mapping the Field

Based on the dataset of 542 collected corruption assessment tools, this chapter provides an analysis of key trends and themes in the field of corruption assessment. The analysis is structured around both the typology of tools and the taxonomy of tool features presented above.

- Part 2.1. provides an overview of the state of corruption assessment work, in terms of the scope and purpose of tools.
- Part 2.2. takes a closer look at the coverage of assessment tools by type, and summarises the most common assessment approaches in each area.¹⁴
- Part 2.3. discusses some of the key issues and promising trends in the application of corruption assessment tools identified through the mapping exercise.¹⁵

For each section some observations are presented on the current state of corruption assessment work, including which areas are well covered, and where there may be a need for further work.¹⁶

2.1. Scope and Purpose of Corruption Assessment Tools

Corruption assessments are largely conducted at the national, or sub-national level.

More than 50 per cent of assessments are undertaken at the national level, which would appear to suggest a growing trend towards more country-specific diagnostic work. A related trend is the significant number of assessments conducted at sub-national and sector levels, also pointing to an increasing emphasis on micro-level and context-specific work. A notable gap can be found in the very limited focus on supra-national assessments (i.e. international organisations which transcend national boundaries), which is perhaps a concern, given questions about the accountability of such bodies. While work is now beginning to emerge in the areas of climate finance and aid transparency, there is much to recommend more in-depth assessments of the extent to which specific international institutions are set up to address corruption risks in their operations.

Corruption assessments, for the most part, remain one-off exercises.

More than 50 per cent of tools are implemented only once, which would suggest that either:

- the assessment was only ever intended as a one-off exercise
- the methodology is only applicable to a specific point in time
- insufficient resources were available to repeat the exercise, or
- the outcome and/or process of conducting the initial assessment was not deemed successful enough to warrant a repeat.

¹⁴ This analysis in this section is based largely on a set of topic guides developed as part of the GATEway project, <http://gateway.transparency.org/guides>

¹⁵ Ibid.

¹⁶ More detailed data on the scope, purpose and thematic coverage of tools is presented in Annex III.

A significant number of assessment tools do state that they are intended to be used for monitoring purposes, yet these are never applied more than once, suggesting that points (c) and (d) may often be a significant impediment. It is also important to note that many tools build on work previously undertaken, so that although they may not represent a multiple-use tool per se, learning from previous experience is incorporated into the development process.

Of those assessments which are repeated, over half are undertaken periodically (annually, biannually, etc.), which is a promising trend given the value this has for monitoring changes in both corruption perceptions/experiences and anti-corruption reforms over time.

Awareness-raising remains an important focus of many assessment tools. Monitoring of (anti-)corruption and corruption risk assessment are less common.

Many (if not most) corruption assessment tools have multiple purposes. Yet despite the increasing attention paid to the governance and corruption agenda, and the move away from comparative indices toward more context-specific corruption assessment tools over the past 10 years, around 40 per cent of tools in the sample are designed to raise awareness of the corruption problem.

As noted earlier, the fact that less than half of assessments are repeated over time means that monitoring of corruption/anti-corruption trends is a less common objective of many assessment tools than might perhaps be expected, suggesting that this may be one area where extra investment is needed. Finally, as a relatively new approach in the field, risk assessment is less well represented.

The majority of tools are designed to assess the strength of anti-corruption efforts, as opposed to providing direct measurements of corruption.

The majority of tools analyse some combination of corruption experience, corruption perception and anti-corruption (both in law and in practice). In other words, tools rarely focus on a single element in isolation. This is a promising trend, given the value to be derived from triangulating data and comparing the effectiveness of anti-corruption interventions with how corruption impacts people's daily lives.

It is also interesting to note that there is a much stronger focus on anti-corruption, which indicates a trend towards focusing on transparency, accountability and integrity, both as a means of monitoring progress in the fight against corruption and in response to the inherent challenges in measuring corruption itself. Around 70 per cent of tools assess, to some degree, the extent to which anti-corruption mechanisms function in practice, which would suggest that there ought to be ample evidence on this side of the corruption equation.

2.2. Coverage of Corruption Assessment Tools by Type

Broadly speaking, the focus of corruption assessment work tends to be on a small set of core topics (basic service sectors, access to information, public and private sectors, etc.). In contrast, there is a significant number of cross-cutting themes which are covered by only a few tools (e.g. human rights, democracy, gender, aid and humanitarian assistance, land and property, social policy, organised crime, etc.), suggesting that existing research into these cross-cutting areas remains limited.

The following table takes a closer look at the coverage of assessment tools by type, as defined in the typology of tools. It summarises the purpose, scope and most common assessment approaches in each area, and provides some general observations about where assessment work is currently limited.¹⁷

FIGURE 5: Coverage of assessment tools by type

TYPE	PURPOSE/ SCOPE	METHODS/ APPROACHES	OBSERVATIONS
ACCESS TO INFORMATION	<ul style="list-style-type: none"> • To measure level of transparency of public institutions. • To compare performance across government departments, between local governments, across countries, or among supranational organisations. 	<ul style="list-style-type: none"> • Examining the supply side of access to information (i.e. legal provisions). • Monitoring the demand side (i.e. users' experience). • Assessing the institutional set-up for implementing the law (i.e. the link between supply and demand). 	<ul style="list-style-type: none"> • Relatively good coverage.
AGGREGATE INDICES	<ul style="list-style-type: none"> • To provide an overview of the governance situation at country level and to compare performance across countries and/or over time. • Cover a broad range of governance- and democracy-related concepts, of which (anti-) corruption is just one element. 	<ul style="list-style-type: none"> • Compiling individual indicators into a single index through rescaling/normalisation of underlying data. • Scoring on the basis of expert analysis of existing indicators. 	<ul style="list-style-type: none"> • A growing body of governance indicators is increasingly being made accessible through online data portals. • The number of aggregate indices currently available is arguably sufficient.
CONVENTIONS MONITORING	<ul style="list-style-type: none"> • To assess country performance on anti-corruption against international standards and/or binding commitments of international conventions. 	<ul style="list-style-type: none"> • Official review mechanisms of anti-corruption conventions. • Third-party monitoring and parallel/shadow reporting by civil society organisations. 	<ul style="list-style-type: none"> • Parallel/shadow reporting is underutilised compared to the field of human rights.
CORRUPTION RISK ASSESSMENT	<ul style="list-style-type: none"> • To inform anti-corruption strategies and policies. • To supplement evidence of actual or perceived 	<ul style="list-style-type: none"> • Mainly institutional approach, i.e. focus on (the enforcement of) rules and regulations in specific 	<ul style="list-style-type: none"> • Process-related risk assessment of the management and transfer of public funds

¹⁷ Annex IV provides further detail on additional gaps identified through the GATEway workshop

	<p>corruption.</p> <ul style="list-style-type: none"> • Can be applied at all levels (government institutions, sectoral programmes, individual organisations). • Widely applied to public procurement. 	<p>institutions, sectors and/or processes.</p> <ul style="list-style-type: none"> • Ranges from identification of institutional weaknesses/gaps to a more in-depth estimation of likelihood and impact of corrupt practices. 	<p>is an under-researched area.</p>
CORRUPTION SURVEYS	<ul style="list-style-type: none"> • To measure the experiences, perceptions, and/or attitudes of a specific population regarding the nature and extent of corruption in a given context. • May cover multiple countries, a single country or a sub-region within a country, and may be directed at the general population or at specific demographic groups. • May be once-off or repeated over time. 	<ul style="list-style-type: none"> • Perception surveys • Victimisation surveys • Attitudinal surveys • Can be conducted face-to-face, by phone or online. 	<ul style="list-style-type: none"> • Collection of more than 100 surveys through GATEway suggests this area is already well served by existing tools.
EDUCATION HEALTH & WATER	<ul style="list-style-type: none"> • To analyse the overall political/governance situation in a sector. • To track resource flows from government to service providers. • To analyse role of, and relationships between, different actors. • To analyse specific processes within the broader system (e.g. admissions) or particular corruption problems (e.g. absenteeism). 	<ul style="list-style-type: none"> • Political economy analysis • Risk assessment • Social accountability approaches • Surveys • Mixed methods • Resource flow assessments 	<ul style="list-style-type: none"> • The topic is generally well covered by spectrum of corruption assessment tools. • However, few examples combine these discrete approaches into holistic sector-wide assessments.
JUSTICE SECTOR	<ul style="list-style-type: none"> • To identify governance weaknesses and/or corruption risks in the justice sector (judiciary and courts, legal profession, police and 	<ul style="list-style-type: none"> • <i>De jure</i> measures, focusing on rules and regulations that govern the justice sector (including internal oversight mechanisms and codes of 	<ul style="list-style-type: none"> • Existing tools are rarely designed specifically for the purpose of diagnosing corruption.

	penal institutions, rule-of-law, access to justice, reform efforts, etc.)	conduct.) <ul style="list-style-type: none"> • <i>De facto</i> measures, assessing how the justice sector operates in practice (surveys, interviews.) 	
LOCAL GOVERNANCE	<ul style="list-style-type: none"> • To identify integrity, transparency and accountability weaknesses in public institutions at the local level. 	<ul style="list-style-type: none"> • Broad governance assessment approaches, with corruption/anti-corruption as one element. • Local integrity/anti-corruption system approaches. • Approaches which focus on the transparency of local administration. 	<ul style="list-style-type: none"> • Local integrity approaches are currently the least well developed.
POLITICAL CORRUPTION	<ul style="list-style-type: none"> • To identify misconduct in political finance and use of state resources for political purposes. • To identify weaknesses in the rules governing the legislature and political parties. 	<ul style="list-style-type: none"> • Monitoring political finance/campaigning (income, expenditure, media, compliance with regulations, anti-corruption commitments by election candidates, etc.). • Self-assessments by members of the legislature and perceptions surveys of corruption in political processes. 	<ul style="list-style-type: none"> • Personal integrity (e.g. asset disclosures, conflicts of interest), lobbying and state capture are less well researched.
PRIVATE SECTOR	<ul style="list-style-type: none"> • To identify the extent of corruption and/or corruption risks in the private sector. • To identify gaps in private sector anti-corruption systems and their enforcement. • Scope ranges from sector-wide and cross-country to company level. 	<ul style="list-style-type: none"> • Sector or country level analysis, through business environment assessments and experience and perception surveys. • Assessments of anti-corruption in individual companies, through external reviews of official company data or through self-assessment exercises. 	<ul style="list-style-type: none"> • The financial services sector and organised crime are less well covered. • There is relatively little research on the enforcement of anti-bribery legislation.
PUBLIC FINANCE	<ul style="list-style-type: none"> • To assess public financial management and accountability systems in aid recipient countries. • To assess levels of transparency and access to information in 	<ul style="list-style-type: none"> • Public financial management approaches. • Participatory budget transparency approaches. • Revenue- and expenditure-related approaches. 	<ul style="list-style-type: none"> • No diagnostic tool provides comprehensive analysis of the revenue side of public budgets. • The focus is instead on anti-corruption safeguards in the

	<p>government budgets.</p> <ul style="list-style-type: none"> ● To identify corruption risks in the use of public resources (revenues and expenditures). 		<p>management of discrete revenue streams (e.g. natural resource revenue, tax revenue).</p>
PUBLIC INTEGRITY SYSTEMS	<ul style="list-style-type: none"> ● To assess the institutional framework for promoting integrity and combating corruption across the public sector. ● To diagnose corruption and/or corruption risks within specific government agencies and/or among public officials. 	<ul style="list-style-type: none"> ● Assessing the existence, feasibility, effectiveness and coherence of institutions, systems and mechanisms for promoting ethics and countering corruption in the public service. ● Assessing the role, capacity and/or effectiveness of specific anti-corruption related institutions. ● Assessing corruption risks within specific public institutions. 	<ul style="list-style-type: none"> ● System-wide and institutional approaches are fairly well covered. ● Assessments which focus on the integrity of individuals are less well developed (e.g. conflicts of interest and asset disclosure).
PUBLIC PROCUREMENT	<ul style="list-style-type: none"> ● To assess the extent to which state institutions conform to agreed protocols or international standards of transparency and equity. ● To identify corruption risks in procurement processes. ● To detect and address fraud and corruption. 	<ul style="list-style-type: none"> ● Assessing transparency and integrity of the procurement system. ● Assessing perception of corruption in the system. 	<ul style="list-style-type: none"> ● There is a growing body of publicly available procurement data which has yet to be systematically analysed to identify potential conflicts of interest and patterns of collusion.
SOCIAL ASSOUNTABILITY	<ul style="list-style-type: none"> ● To improve governance and accountability. ● To increase development effectiveness. ● To increase citizen empowerment. 	<ul style="list-style-type: none"> ● Citizen Report Cards ● Community Scorecards ● Social Audits ● Public Expenditure Tracking Surveys. 	<ul style="list-style-type: none"> ● The focus is generally on citizen empowerment/ accountability or quality of services. Relatively little attention is paid explicitly to corruption. ● The growing body of data from online citizen-centred accountability initiatives has yet to be systematically analysed.

2.3. Recurring Issues and Promising Trends in Corruption Assessment

Objective and subjective data should be seen as complementary rather than mutually exclusive.

A perennial debate in the field of corruption assessment work is the relative value and reliability of objective vs. subjective data. This applies in particular to the use of corruption surveys and the construction of indicators. In the case of surveys, objective experience surveys are generally considered more reliable measures of petty corruption, while subjective perception surveys are deemed more appropriate for shedding light on the prevalence of grand corruption (policy capture, nepotism, etc.).

In the case of corruption indicators, the data needed to produce objective indicators is usually harder to find and only provides information on *de jure* rules and regulations, rather than how these are implemented in practice. Objective data may, in some cases, be misleading.¹⁸ However, perception-based data is often criticised for not adequately capturing reality and for being slow to reflect changes on the ground. Nevertheless, aggregation of multiple subjective sources can serve to strengthen the reliability of data and validate results.

In the case of perception-based data, it is also crucial to consider the reliability of responses which are provided by respondents, be it through surveys, interviews or self-assessment exercises. This is most notable in instances where answers given may have a direct impact on the individual in question.¹⁹ In such cases, there is an inherent risk that respondents may under- or misreport their activities. The inverse problem may also occur, whereby the lack of actual knowledge about the incidence of corruption in a given context may mean that respondents base their beliefs on occasional incidents or hearsay, which may lead to an over-estimation of the problem.

There are advantages and drawbacks to using both objective and subjective data in corruption research. Ultimately, the key issue to bear in mind is that the two approaches measure different facets of the corruption problem. Therefore, rather than considering one relatively better or worse than the other, they are more usefully understood as complementary.

Accessing and interpreting official data represents a common challenge for corruption assessments.

The challenge of accessing official data presents itself in a range of contexts for different reasons. In some countries, retrieving accurate official data on, for example, the justice sector, may be impeded by the need for special authorisation, the existence of special legislation such as an Official Secrets Act, or the reluctance to disclose the necessary information for fear of reprisals.

Access to data may be a particular challenge at the sub-national level. For example, unclear allocation rules at central government level can lead to greater discretion on spending decisions at local level, making it more difficult to identify objectively the mismanagement of funds. This is often compounded by weak statistical capacity and poor record keeping at the local level, as well as the lack of availability of disaggregated data.

¹⁸ For example, the number of corruption-related court cases may reflect greater levels of corruption in a country, or simply a stronger, more effective (and possibly less corrupt) judicial system. In the absence of appropriate objective indicators, subjective measures are often used.

¹⁹ Serving members of parliament, for example, may be unwilling to participate in a corruption assessment if there is a chance of implicating themselves, colleagues or their party. Likewise, in the case of business surveys, respondents may have incentives to misreport in an effort to protect themselves or the reputation of their company.

In the case of political finance monitoring, the interpretation of official data may be hindered by unclear rules on what should be declared or on the extent to which political parties are required to disclose their operations. As a result, it can be difficult to compare official declarations with independent monitoring data.

Ultimately, while a lack of reliable data can make monitoring or analysis more problematic, it may be an indicator of weakness within a system (where the data does not exist) or lack of transparency (where the data is not accessible), which represents an important finding in itself.

Triangulating standard secondary and survey-based data with other underutilised data sources can help increase confidence in the results.

Compared to many subjective sources, direct observation is a relatively reliable primary data collection method. Direct observation provides the opportunity to document activities, behaviour and physical aspects without having to rely on the willingness and ability of people to respond to questions. It is particularly suited to the study of corruption, given the focus on individual behaviour and interactions between people. Yet, possibly because it is somewhat resource intensive and does not allow for extrapolation, it remains relatively under-used in the field of corruption assessment.²⁰

A second data source, currently confined largely to the field of access to information, is the use of freedom of information requests. While the use of this approach requires an enabling legal framework, namely a functioning access to information law, it can produce useful information on the state of public administration (e.g. public tenders). At the same time, the response rate to requests can itself be a proxy indicator of transparency in the system in question.

Combining such kinds of data enables the observation of patterns and correlations between various sources of information. This not only increases confidence in the results, but also helps to address some of the concerns about data availability and reliability noted above.

The growing use of contextual and incentive analysis represents a promising development in the field of corruption assessment.

Contextual analysis is generally used in assessments of anti-corruption, rather than corruption, and ranges from the application of political economy analysis at the national level, down to the incorporation of contextual factors in sector level analysis. Macro-level political economy analysis tools remain largely donor driven and are yet to be adapted specifically to the corruption field, taking instead a much broader view of the power dynamics which affect governance more generally. At the sector level, however, contextual analysis is more about examining the broader institutional context in a country beyond the sector or process under assessment (which may nevertheless have an important impact on that sub-system).²¹

20 One exception is in the area of political corruption where some of the more commonly used methods include monitoring parliamentary sessions, monitoring political campaigning events and reviewing political advertising. Other interesting examples include field tests to measure how easy it is for citizens to access data on political finance, and engaging administrative staff or volunteers in monitoring the weekly accounts of MPs' expenditures related to the performance of their duties at constituency level.

21 Procurement is a prime example of this. Transparency International's project on Public Contracting in Latin America developed a set of broader indicators (called System or Context Integrity Indicators) taken from existing surveys or indicators, which assess the quality of the judicial system, the political system and the bureaucracy, as well as budget transparency in the country of analysis.

Closely linked to the concept of contextual analysis is that of incentive analysis, little used in corruption assessment work to date. Incentive analysis aims to identify those factors which drive performance and minimise the potential for corruption, including salaries, performance reviews, promotions, etc. Incentive analysis can be useful in helping to understand why systems with similar rules and procedures operate differently in practice.²²

The trend towards more context-specific corruption surveys allows for greater disaggregation of data and more targeted advocacy efforts.

As noted earlier in this report, there would appear to be a shift towards more country- and sector-specific diagnostic work in the field of corruption assessment. Single country and sub-national surveys allow for the introduction of context-specific questions and can provide a more detailed picture of the corruption situation in a given country. The use of targeted surveys with specific demographic or social groups allows for the extraction of more disaggregated data.²³ Other related trends include an increased focus on disaggregating findings by gender, tailoring the survey to specific thematic areas (e.g. conflict) and addressing specific corruption problems within service sectors (e.g. absenteeism, ghost workers, informal payments, bribes, etc.), allowing for more targeted advocacy and reform efforts. This shift of focus from macro to micro provides more concrete evidence to support evaluations of the impact of efforts to tackle corruption, and to help inform the design of interventions targeted to specific groups.

Many targeted surveys also include questions of a more general nature, to facilitate comparison with multi-country data-sets. It is also increasingly common to see surveys adapting the questions from previous work. This not only facilitates comparison, but allows for the incorporation of learning around which questions are best able to elicit the types of information most useful in the fight against corruption in different contexts.

22 The OECD's INTES project, for example, identifies mismatches between stakeholders' expectations and actual outcomes in four areas of the education system (access, quality, management and corruption prevention/detection), in order to pinpoint those areas where the incentives for engaging in malpractice are highest. Incentive analysis is also used in assessments of the judiciary.

23 One example is Transparency International's pilot Youth Integrity Survey in Vietnam, which measures the attitudes and experiences of young people with regard to integrity and corruption. An adapted version of the survey has also been conducted in Hungary and is due to be completed in Fiji.

Part III – Conclusions and Recommendations

This final chapter summarises the key findings presented in the report and offers some recommendations for stakeholders on how corruption assessment work could be taken forward in future.

As we have seen, there is a growing trend towards more country-, sector- and context-specific diagnostic work in the field of corruption assessment. This is reflected, for example, in the increasingly widespread use of surveys aimed at specific demographic or social groups, and in the disaggregation of findings by factors such as age, gender and ethnicity. Compared to large-scale multi-country assessments, the findings generated from such endeavours provide a stronger evidence base not only to support evaluations of anti-corruption programmes, but also to inform the design of interventions targeted to specific groups, especially those most affected by corruption. However, very limited attention continues to be paid to research on (anti-)corruption at the supra-national level. Given the growing influence of international organisations in an increasingly globalised world, the large sums of public finances they control and widespread concerns over the accountability of many of these bodies, this is a worrying omission.

A second noteworthy trend is the increasing focus on measuring anti-corruption (transparency, accountability and integrity), both in order to monitor progress in the fight against corruption, and in recognition of the considerable challenges involved in developing reliable measures of corruption itself. That said, it is important to note that many assessment tools are designed to gather data on both corruption and anti-corruption, often with a view to comparing the effectiveness of anti-corruption interventions with how corruption impacts people's daily lives. Such approaches generally use a range of tried and tested data sources, including secondary data, surveys and interviews. Yet less conventional research and data collection methods – which are arguably more suited to the study of corruption – remain underused. Direct observation, for example, is a relatively reliable primary data collection method, especially where secrecy and mistrust prevail. Likewise, freedom of information requests can provide very robust evidence on the level of transparency of public institutions, while incentive analysis can help shine light on why certain institutions perform particularly well in challenging circumstances. Regardless of the types of data used, access to data remains a significant challenge, whether due to rules regarding personal data protection, restrictive policies on accessing financial data from public bodies or simply insufficient investment in administrative capacity and record keeping.

Another concerning finding from the research is that the majority of corruption assessments are only ever conducted once. While there may, in some cases, be a good reason for this (e.g. the assessment is tied to a specific one-off event), this suggests there is insufficient long-term investment in (anti-)corruption research. This is worrying, not least because of the value of monitoring changes in both corruption perceptions/experiences and anti-corruption reforms over time. Without this kind of data, it is very difficult to tell whether the fight against corruption is gaining (or losing) ground. Where assessments are repeated, this tends to be on a periodical (rather than ad hoc) basis, suggesting that the monitoring efforts that do exist are being implemented systematically.

The stocktaking exercise on which this report is based has presented us with a clear picture of the current state of corruption assessment work from a methodological perspective, including where there are some important gaps which may need to be filled. What this report has not addressed, however, is the broader question of the context in which corruption assessment work is undertaken,

and the implications this has for the adaptation of existing methods. This point is critical in order to better support corruption practitioners in understanding what they can realistically expect to achieve, and the challenges they are likely to face when embarking on a corruption assessment. More evidence is required, for example, on the preconditions for success, the time and resources needed to undertake different types of assessments, and the kinds of existing data which are available. In particular there is a need to learn more systematically from the experiences of those who have developed and/or implemented corruption assessments about why certain tools and methods have (or have not) proven successful under different social and political conditions. A stronger evidence base in this area would provide a solid platform on which to develop more detailed guidance on the application and adaptation of specific methods.

Recommendations²⁴

Anti-corruption practitioners and researchers should make better use of the range of available data sources, triangulating existing standard secondary and survey-based data with underused sources such as direct observation and freedom of information requests. As far as possible, findings should be disaggregated to enable more nuanced analysis of corruption as it affects different social and demographic groups.

Donors should provide more predictable long-term funding for monitoring corruption/anti-corruption trends over time, including a strong commitment to monitoring, evaluation and learning so that lessons are incorporated into future methodological design and advocacy strategies.

Governments should invest in providing easier access to meaningful official data. This will enable much more rigorous and cost-efficient assessments to be undertaken which provide stronger evidence on where reforms are needed to reduce corruption risks in the public sector.

All actors should work together to share experiences and lessons on the application of corruption assessment methods in different contexts. There is much to recommend more systematic exchange on the appropriateness and validity of different approaches to corruption assessment in different contexts. Such investment now will ultimately lead to savings in terms of both effort and resources in the future.

²⁴ The recommendations focus on broad areas for investment in corruption assessment work. For more detailed recommendations on specific thematic gaps, see Annex IV.

Annexes

Annex I: About the GATEway Project

Transparency International's GATEway project is about collecting, sharing and expanding the knowledge on corruption assessment, in collaboration with the broader anti-corruption community. GATEway offers:

- An online database of over 500 diagnostic tools, searchable by key criteria and updated at regular intervals
- An accompanying set of topic guides on how to select and use diagnostic tools
- A set of online videos capturing people's experiences of undertaking corruption assessments.

The GATEway project is supported by an advisory group of governance and anti-corruption experts from academia, civil society and the donor community. Financial support comes from the European Commission and UNDP.

<http://gateway.transparency.org>

Annex II: Taxonomy of Corruption Assessment Tool Features

FIGURE 6 Taxonomy of tool features

PURPOSE		THEME		SCOPE			RESEARCH METHOD	
OBJECT-IVE	FOCUS	SECTOR / INSTITUTION		TOPIC	LEVEL	PERIOD-ICITY	METHOD- OLOGY TYPE	DATA SOURCE
Awareness-raising	Corruption (perception)	Anti-corruption agency	Local government	Access to information	Supra-national	Irregular	Qualitative	Business survey
Diagnosis	Corruption (experience)	Civil society	Media	Aid and humanitarian assistance	Multi-country	Once-off	Quantitative	Case studies
Monitoring	Anti-corruption (law)	Construction	Oversight institution	Budgeting	National	Periodical (annual)		Checklist/ Questionnaire
Research guidance	Anti-corruption (practice)	Customs and border management	Police	Democracy	Sub-national	Periodical (non-annual)		Direct observation
Risk assessment		Defence and security	Political party	E-governance	Sectoral			Focus groups
		Donor / Aid agency	Prisons	Gender				Key informant interviews
		Education	Private sector	Human rights				Legal-institutional analysis
		Electoral commission	Registry & permit services	International conventions				Media analysis
		Energy	Religious body	Land and property				Other survey
		Environment and natural resources	State-owned company	Political economy				Public survey
		Executive	Tax authority	Political finance / Elections				Randomised control trials
		Financial services	Tourism	Public administration				Requests for information
		Health	Transport & communication	Public procurement				Secondary sources
		International organisation	Water & sanitation	Rule of law / Access to justice				
Judiciary/ Legislature/ Parliament		Social policy						
				Whistleblowing				

Annex III: Coverage and Purpose of Corruption Assessment Tools

FIGURE 7 Level of analysis of assessment tools

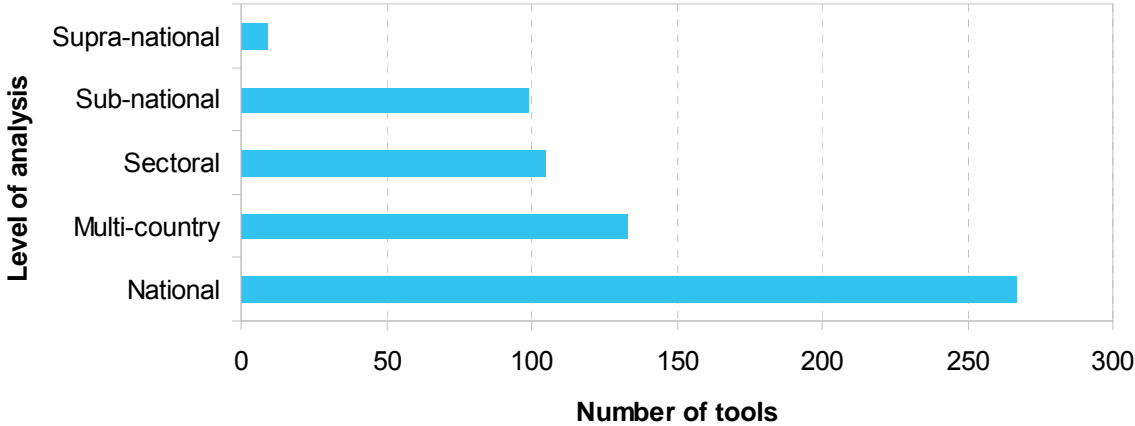


FIGURE 8 Periodicity of corruption assessments

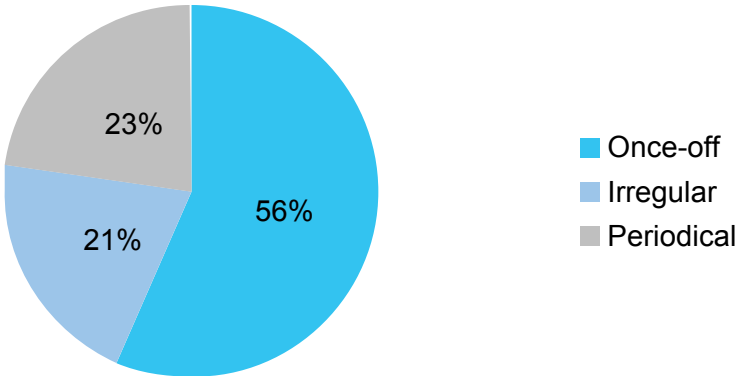


FIGURE 9: Most common purposes of assessment tools

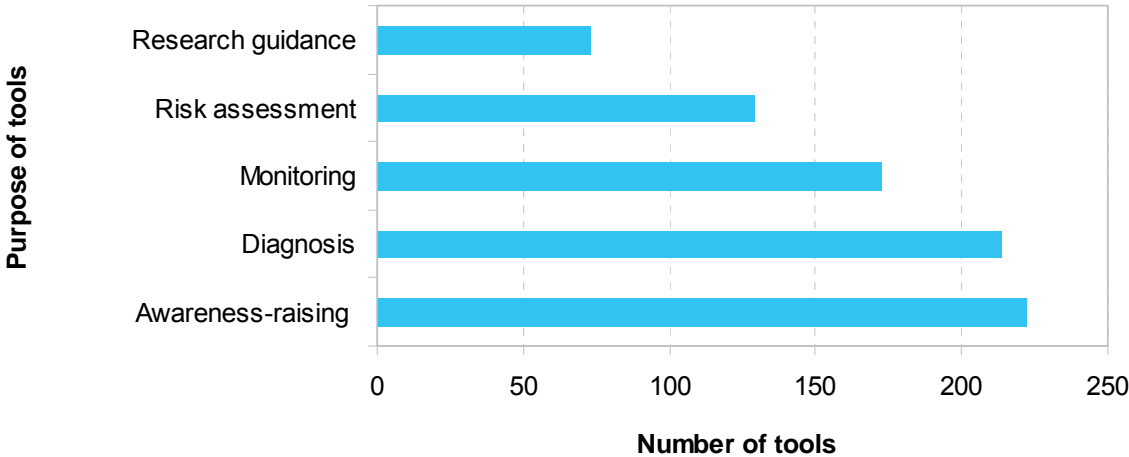


FIGURE 10: Most common focus of assessment tools

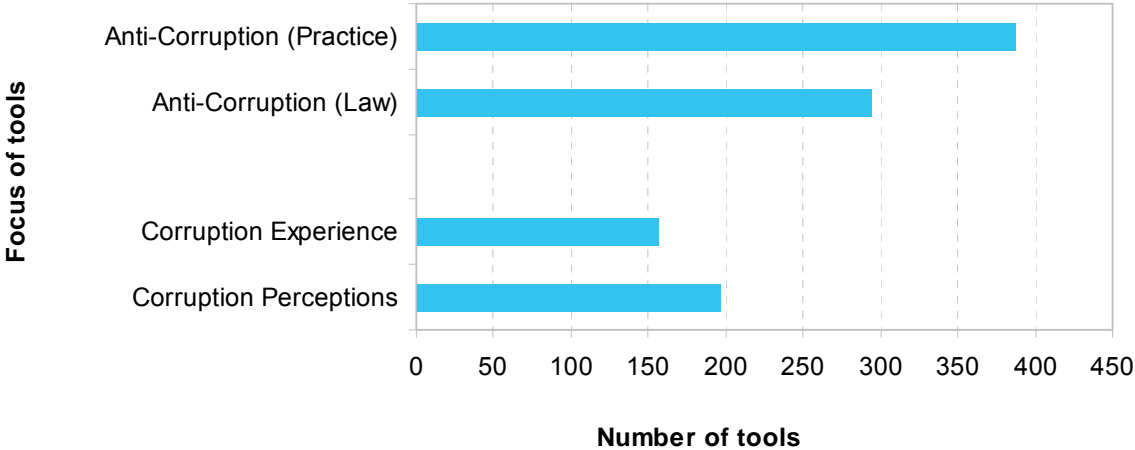
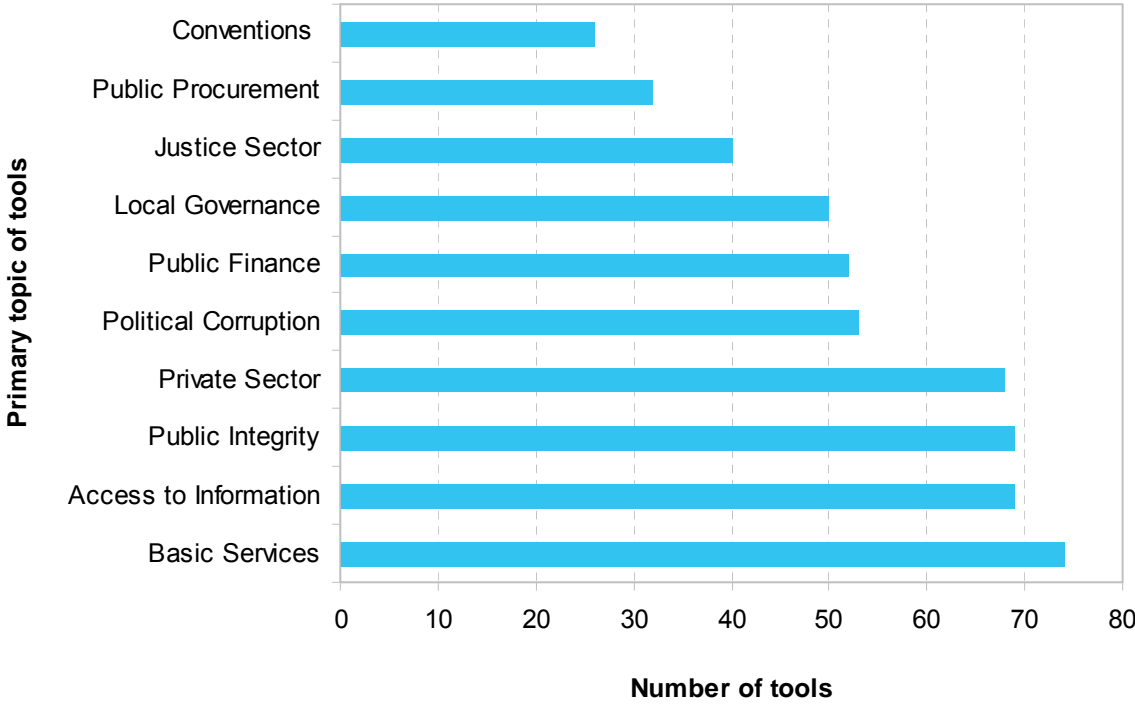


FIGURE 11: Breakdown of assessment tools by primary topic



Annex IV: Main Gap Areas Identified through the GATEway Workshop

CROSS-CUTTING RESEARCH – Assessments of (anti-)corruption which take into account a broader range of socio-political factors	
Examples	Gender, inequality and corruption
	Corruption and human rights
	Assessments in fragile/conflict-affected states
	The role of customary governance systems and informal institutions in preventing/fuelling corruption
	Public attitudes to corruption and corruption as a collective action problem
	Understandings of corruption among different groups/cultures (e.g. youth)
	The impact of technology in triggering new forms of corruption
SECTORAL RESEARCH – Assessments of (anti-)corruption in a more diverse range of sectors	
Examples	Diagnostic work on corruption in the justice sector (multilateral judicial cooperation, access to information, administration of justice system)
	Corruption in aid and humanitarian assistance
	Assessments of (anti-)corruption at the supranational level (e.g. the strength of UN anti-corruption systems)
	Corruption in the construction sector
	Corruption in the extractive industries with a focus on mining
PUBLIC FINANCE RESEARCH – Corruption risk assessments of the revenue and expenditure sides of public budgets	
Examples	Rethinking the definition of political corruption (abuse of public resources for political benefit)
	Measuring the gap between integrity standards and the capacity of political society to respond
	Political classes and state capture
	Political network analysis
	Representative democracy vs. political patronage and corruption
POLITICAL CORRUPTION RESEARCH – Systematic analysis of corruption in the political sphere	
Examples	Rethinking the definition of political corruption (abuse of public resources for political benefit)
	Measuring the gap between integrity standards and the capacity of political society to respond
	Political classes and state capture
	Political network analysis
	Representative democracy vs. political patronage and corruption
CORRUPTION RESEARCH METHODS – Adaptation and better use of existing methods and data sources	
Examples	Shadow/parallel reporting on government commitments to fight corruption
	Measuring public integrity at the local level
	Self-assessment as an awareness-raising tool
	Correlation of corruption indicators with other metrics (e.g. wellbeing)
	Media analysis (e.g. books, films, music, news) of how corruption is portrayed over time
	Meta-analysis of evaluations of anti-corruption interventions
	Systematic screening and better use of the rapidly growing pool of data available on (anti-) corruption, e.g. from intergovernmental sources or crowd-sourced data emerging from online social accountability initiatives
	Content analysis of court cases; execution of judgements as a data source
Triangulating the standard survey- and interview-based data collection methods with some of the more underutilised methods (e.g. direct observation, freedom of information requests, incentive analysis or contextual analysis)	

Annex V: GATEway Workshop Participants List

NAME	POSITION	ORGANISATION
Keboitse Machangana	Head of the State of Democracy Programme	International IDEA, Sweden
Orazio Belletini	Director	Grupo Faro, Ecuador
Maurice Engueleguele	Programme Coordinator	Africa Governance Institute, Senegal
Florencia Guerzovich	Impact & Learning Program Officer	Transparency and Accountability Initiative, UK
Finn Heinrich	Research Director	Transparency International Secretariat, Germany
Katarina Motoskova	DG for Development and Cooperation – EuropAid	European Commission, Brussels
Susanne Kuehn	Programme Manager, Public Sector Integrity	Transparency International Secretariat, Germany
Jeff Kwaterski	Knowledge and Stakeholder Services Director	Transparency International Secretariat, Germany
Heather Marquette	Senior Lecturer in Governance	University of Birmingham, UK
Andy McDevitt	Programme Coordinator, GATEway	Transparency International Secretariat, Germany
Ingvild Oia	Programme Specialist	UNDP Oslo Governance Centre, Norway
Bo Rothstein	Head of the Quality of Government Institute	University of Gothenburg, Sweden
Albert Rwego Kavatiri	Programme Manager	Transparency Rwanda, Rwanda
Frenky Simanjuntak	Manager, Department of Economic Governance	Transparency International Indonesia
Luis Macedo Pinto de Souza	Executive Director	Transparência e Integridade, Associação Cívica, Portugal
Bruno Speck	Professor of Political Science	Universidade Estadual de Campinas, Brazil
Gopa Kumar Thampi	Fellow, Institute of Governance Studies	BRAC University, Bangladesh
Dieter Zinnbauer	Anti-Corruption Lab Manager	Transparency International Secretariat, Germany

Annex VI: Selected Online Aggregators of Corruption Assessment Tools

NAME AND WEBLINK
Anchorage-Net www.anchorage-net.org
Anti-Corruption Authorities (ACA) Portal http://www.acauthorities.org/aca/
Anti-Corruption Research Network (ACRN) http://corruptionresearchnetwork.org/
ANSA-Africa http://www.ansa-africa.net/
ANSA-EAP (East Asia and the Pacific) http://www.ansa-eap.net/
ANSA-SAR (South Asia) http://ansa-sar.org/2012/
AuditNet: Audit Guides, Manuals and Checklists http://www.auditnet.org/manuals.htm
Business Anti-Corruption Portal: Tools Inventory http://www.business-anti-corruption.com/anti-corruption-tools-inventory/
CIET: Social Audits http://www.ciet.org/en/document/
CIVICUS: Participatory Governance Exchange http://www.pgexchange.org/
Civil Society Against Corruption http://www.againstcorruption.eu/resources/projects-database/
Controladoria-Geral da Uniao (Brazil): Virtual Library on Corruption https://bvc.cgu.gov.br/browse-date
Council of Europe: GRECO Web resources http://www.coe.int/t/dghl/monitoring/greco/webresources/index_en.asp
DIAL : Exemples de Bases de Données Internationales en Matière de Gouvernance Indicateur/ Base de Données Institution http://www.dial.prd.fr/dial_publications/PDF/Doc_travail/2005-12.pdf
Governance and Social Development Resource Centre (GSDRC) : Topic Guides http://www.gsdr.org/go/topic-guides
Information Portal on Corruption and Governance in Africa (IPOC) http://www.ipocafrika.org/

National Democratic Institute: NGO Corruption Fighters' Resource Book http://www.ndi.org/files/NGO-Corruption-Fighters-Resource-Book-ENG.pdf
OECD: METAGORA http://www.oecd-ilibrary.org/development/oecd-journal-on-development-volume-9-issue-2/metagora_journal_dev-v9-art11-en
OECD: Procurement Toolbox http://www.oecd.org/governance/procurement/toolbox/
OECD: Survey of Donor Approaches to Governance Assessment http://www.oecd.org/dataoecd/58/32/42258487.pdf
One World Trust: Accountability Tools for Policy Research http://www.oneworldtrust.org/apro/
Partnership for Transparency Fund http://www.partnershipfortransparency.info/index.html
Pro-Act: Promoting Innovation in Procurement http://pro-act.org/
Transparency International: Mapping of Corruption and Governance Measurement Tools in Sub-Saharan Africa http://www.beta.undp.org/content/dam/aplaws/publication/en/publications/democratic-governance/oslo-governance-center/governance-assessments/mapping-of-corruption-and-governance-measurement-tools-in-sub-saharan-africa/MappingofCorruptionSub_SaharanAfrica.pdf
Transparency International: Mapping of Corruption and Governance Measurement Tools in Latin American Countries http://corporatecompliance.org/Content/NavigationMenu/Resources/International/Brazil/TI2006_Corruption_Governance_Measurement_Tools_LA.pdf
Transparency International: Mapping of Corruption and Governance Measurement Tools in Asia and Caucasus Countries http://archive.transparency.org/policy_research/surveys_indices/asia_pacific
Transparency International: Local Corruption Diagnostics and Measurement Tools in Africa http://archive.transparency.org/content/download/1595/8186/file/U4report_local_surveys_africa.pdf
Transparency International and UN-HABITAT: Tools to Promote Transparency in Local Governance http://archive.transparency.org/tools/e_toolkit/tools_to_support_transparency_in_local_governance
Transparency International: Corruption Perceptions Index (CPI) Sources http://archive.transparency.org/policy_research/surveys_indices/cpi
Transparency International: Corruption Fighters' Toolkit http://archive.transparency.org/tools/e_toolkit/corruption_fighters_tool_kit_2002
Transparency International Regional Toolkit (Eastern Europe) http://transparency.am/upl_pubs/TOOL%20KIT.pdf
Transparency International: Global Corruption Reports (various) http://www.transparency.org/research/gcr
UN Global Compact: Tools and Resources http://www.unglobalcompact.org/AboutTheGC/tools_resources/anti_corruption.html

<p>UNDP: Governance Assessment Portal http://www.gaportal.org/</p>
<p>UNDP: Governance Indicators – A User’s Guide http://gaportal.org/sites/default/files/undp_users_guide_online_version.pdf</p>
<p>UNDP: User’s Guide to Measuring Corruption http://www.u4.no/recommended-reading/a-user-s-guide-to-measuring-corruption/</p>
<p>UNDP: User’s Guide to Measuring Local Governance http://gaportal.org/sites/default/files/LG%20Guide.pdf</p>
<p>UNDP: User’s Guide for Measuring Public Administration Performance http://gaportal.org/sites/default/files/Measuring%20Publica%20administration.pdf</p>
<p>UNESCO: Ethics and Corruption in Education http://www.iiep.unesco.org/research/highlights/ethics-corruption/database.html</p>
<p>UNODC: National and International Authorities/Bodies against Corruption http://www.track.unodc.org/ACAauthorities/Pages/home.aspx</p>
<p>UNPAN Online library http://www.unpan.org/Library/SearchDocuments/tabid/1111/language/en-US/Default.aspx</p>
<p>U4: Corruption Diagnostics and Measurement Tools http://www.u4.no/helpdesk/helpdesk/queries/query28.cfm</p>
<p>U4: Overview Matrix – Local Corruption Diagnostics and Measurement Tools in Africa http://www.u4.no/document/showdoc.cfm?id=93</p>
<p>U4: Diagnostic and Qualitative Assessments and Studies on Georgia, Moldova and Tajikistan http://www.u4.no/helpdesk/helpdesk/queries/query53.cfm</p>
<p>World Bank Institute: Business Fighting Corruption Resource Centre: Case Summaries http://info.worldbank.org/etools/antic/CaseStudies.asp</p>
<p>World Bank: Actionable Governance Indicators (AGI) Data Portal https://www.agidata.org/</p>
<p>World Bank: Anti-Corruption Tools and Resources http://go.worldbank.org/JEYIKH2RW0</p>
<p>World Bank: Social Accountability Sourcebook http://www.worldbank.org/socialaccountability_sourcebook/</p>
<p>4th HLF on Aid Effectiveness Stocktaking Study of PFM Diagnostic Instruments http://siteresources.worldbank.org/PEFA/Resources/StocktakingofPFMDiagnosticsFinalVolume1.pdf</p>

