

Fact-Finding Survey on Good Governance in Public Institutions, Bangladesh

I Fact Sheet

Name of the Tool: Fact-Finding Survey on Good Governance in Public Institutions or Fact-Finding Exercise (FFE)

Brief Description: The aim of this project was to assess the strengths and weaknesses of public institutions in Bangladesh using a Fact-Finding Exercise. A FFE is a research and diagnostic tool used to examine in detail the activities, performance and weaknesses of an institution or organisation.

Responsible NGO: Transparency International Bangladesh (TIB)

Creation of the Tool: TIB

Problems Addressed by the Tool: Lack of transparency and accountability of public institutions in Bangladesh.

Areas of Work: Public sector institutions.

When the Tool was Implemented: TIB initiated the project at the Bangladeshi Anti-Corruption Bureau in 2000. A report was published based on the findings of a round-table discussion held on December 30, 2001.

Alliances: Bangladesh's Anti-Corruption Bureau participated in the project.

Financing: A full-time researcher is currently employed on this project who receives US \$3,500/year. TIB launched the exercise with the financial help of USAID.

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II Objectives

The main objectives of this study were as follows:

- a) To analyse the evolution of an institution to its present form.
- b) To examine the existing legal framework of a public institution.

- c) To analyse the institution's structure.
- d) To review the way in which it functions.
- e) To ascertain its efficiency, or lack thereof.
- f) To assess the performance of officials of the organisation.
- g) To analyse the role of the institution in tackling corruption.
- h) To raise awareness among officials and the public at large.
- i) To exert pressure on the government to undertake reform and make necessary changes.
- j) To enable TIB to play an effective role in curbing corruption and in improving accountability and transparency in the delivery of public services.

III Context

Bangladesh is one of the poorest countries in the world with an average per-capita income of around US \$380 per annum. Like many developing countries, it suffers from widespread poverty, over-population, illiteracy, malnutrition and a lack of resources. The national economy is chronically weak while the political system remains unstable. Pervasive corruption is a serious problem throughout the country's social and state institutions. Although Bangladesh became independent in 1971, a democratic system of government was only introduced in 1991 (although even then in a limited form). Corruption is the main obstacle to the social and economic development of the country. Bangladesh now has a parliamentary system, but it lacks a tradition of accountability or transparency. The government sector is characterised by monopolies and the widespread use of discretionary powers.

Transparency International Bangladesh

TIB is working towards a corruption-free Bangladesh by advocating transparency and accountability in the administration, the legal system and in all areas of civil society in order to promote stronger economic growth and respect for human rights. Unfortunately, despite 30 years of Bangladeshi independence, corruption is increasing in virtually every sphere of national life.

IV Implementation

TIB undertook three FFE on three of the country's most important watchdog agencies:

- Bangladeshi Anti-Corruption Bureau
- Office of the Comptroller and Auditor General
- Public Accounts Committee.

The work started in early 2000. The tool was intended to analyse the overall structure of institutions and the way in which they function in order to assess their efficiency and analyse the role they play in curbing corruption. It also sought to evaluate the kinds of corruption that exist in different institutions and make recommendations for improvements. This in turn can stimulate the government to undertake necessary reforms and raise awareness of the problem.

The stages of implementation of this tool are:

1) Selection of an organisation/institution:

So far the institutions selected have been watch-dog agencies but FFE may extend to other service delivery agencies that have been the object of media reports on mismanagement or corruption.

2) Preparation of a “concept note”, a paper listing the basic purpose of the institution selected for the project, its structure, background, the kind of constraints it has. This serves as a basis for discussion and a starting point of the process outlined below.

3) Development of a detailed work plan.

4) Preparation of a list of facilitators both within and outside the chosen institution who are relevant for the study. These could be officials working at the institution being surveyed or other people with knowledge of the organisation (e.g. representatives from civil society, academics, former staff, and journalists). This is a crucial ‘trust-building’ exercise that will facilitate access to information during the study.

5) ‘Brainstorming’ session with the facilitators in order to establish what the FFE should focus on, identify what the sensitive/problematic work areas of the organisation are and how the FFE can best illustrate them.

6) Review of literature: Information from existing literature about the institution under scrutiny can be used as secondary data source. It allows the project facilitators to improve their understanding of the organisation, identify its strengths and weaknesses and gather general background knowledge. A review of relevant news-clippings may also be helpful. In the final report, the sources of information are duly referenced.

7) The actual survey is carried out via interviews with officials at the organisation. Questions focus on the efficiency of the service. For example, staff are asked how long it takes for a file to be processed. If a large number of people need to be interviewed, a standard questionnaire may be developed. Sensitive information may also be obtained anonymously from insiders.

For a sample survey the activities of the Bureau and influences of the ruling party on the Bureau see *Appendixes 1 and 2*).

- 8) Preparation of draft report.
- 9) Discussion of draft report with the relevant individuals for reaction and comment. The draft report may also be reviewed by a specialist with relevant expertise.
- 10) Preparation and publication of the final report.
- 11) Dissemination of the report to relevant government officials, policy-makers, civil society and media.

This process is also an opportunity to build a pool of concerned individuals who can help carry out the survey and continue to monitor the institutions under scrutiny.

TIB has so far released one report, and another two are in their final stages. The study period of a fact-finding exercise lasts about six to ten months. The first project involved a process of learning through experience.

Further Analysis

With the last FFE report, TIB presented a working paper on a proposal for an Independent Anti-Corruption Commission (IACC). From the reception by the media and other groups it became apparent that making constructive suggestions in the form of a working paper and the use of critical analysis via a FFE served to raise the level of the debate by making it easier for parties to look ahead. TIB also arranged discussions on the proposed IACC in different parts of the country. TIB is now working with a group of lawyers to prepare a draft bill for an IACC. TIB is also developing indicators to monitor the activities of these organisations for further analysis.

V Results

The report on the Anti-corruption Bureau has been very effective. Many people are paying close attention to the performance of the institution based on its findings. TIB understands that the responsible authorities are also paying due attention to the report. In Bangladesh, the report is the first of its kind and will ultimately be a success if its suggestions are implemented and the Bureau is mobilised to act in accordance with the spirit of its principles.

The FFE on the Anti-Corruption Bureau can be downloaded from the internet at: <http://www.ti-bangladesh.org/research/FFE.htm>

VI Challenges

TIB experienced a number of problems during the FFE. A brief summary of these follows:

- 1) Lack of institutional co-operation.
Often the initial response was unhelpful. However, with perseverance the organisations under scrutiny generally decided to co-operate.
- 2) Difficulties obtaining recent data.
- 3) Change of emphasis on the areas to be focused on during interviews.
- 4) Hostility of interviewees.
- 5) Interviewees were sometimes unwilling to give their names and titles.
- 6) Sometimes it was hard to get people to agree to be interviewed.

VII Future Recommendations

The development of the FFE has been a learning experience in itself. Each time the tool is implemented, additional questions and analytical methods can and should be tried out. In future projects TIB plans to include:

- A) Working paper on recommendations. The working paper for the FFE on the Anti-Corruption Bureau actually came as an afterthought. However, fortunately both the FFE report and the working paper were published simultaneously.
- B) Continued monitoring of the activities of the institution. After the Fact-Finding Exercise it is helpful to measure the changes and effects the FFE has had. This will determine whether recommendations have been followed.
- C) TIB plans to develop standard criteria for selecting the institution to survey.

TIB is ready to help train other national chapters and interested parties to implement this tool.

Description by: Zia Haider Rahman and M. Anwarul Amin

Appendix 1

Opinion Survey on Anti-Corruption Bureau

Below is the survey conducted by TIB on the activities of the Bureau and influences of the ruling party on the Bureau:

Methodology of the survey: Responses collected on a given questionnaire through interviews.

Respondents to the survey: Among the respondents are Deputy Director, Directors and Director General of the Bureau. Other respondents included six employees of the Bureau. The survey also included 50 respondents not involved with the Bureau, but employed with various government departments. These governments' officials hold the ranks of Assistant Secretaries, Senior Assistant Secretaries, Deputy Secretaries, Joint Secretaries, Additional Secretaries and Secretaries. Responses received in the survey are included in the report.

Table (a): Neutrality in Bureau's activities

Neutrality of Bureau Officials	In your opinion are the officials of the Bureau working neutrally?		
	Answer		
	Officials working in the Bureau	Officials not working in the Bureau	Neutrality: Percentage
Officials are working neutrally			
Officials are working mostly neutrally			
Officials are working slightly neutrally			
Officials are not working neutrally			
No opinion			
Total			

Table (b): Level of satisfaction with Bureau's activities

Level of satisfaction	How satisfied are you with the activities of the ACB?		
	Answer		
	Officials working in the Bureau	Officials not working in the Bureau	Level of satisfaction: percentage
Highly satisfied			
Slightly satisfied			
Neither satisfied nor dissatisfied			
Slightly dissatisfied			
Highly dissatisfied			
No answer			
Total			

Table (c): Ruling party and its effect on Bureau

Ruling Party and its effect on Bureau	In your option does the ruling party use or want to use the ACB as a tool to harass the opposition?		
	Answer		
	Officials working in the Bureau	Officials not working in the Bureau	Level of satisfaction: Percentage
Yes			
No			
Don't know			
Total			

Appendix 2

Questionnaire for eliciting the views of Public Prosecutors (PP)

1. What are the legal basis, policies and procedure for the selection of the PP?
2. Which authority appoints the PP and in which manner?
3. Which authority is vested with the responsibility of supervising the work of the PP?
4. Is there any mechanism for evaluation and monitoring of the work of PP? If so, how is it implemented? If not, is monitoring required and for what reasons?
5. What is the honorarium paid to the PP? Is the rate sufficient? If not, should it be raised and why?
6. How many dates are given for a case by the court? In reality, how many dates are required in your opinion?
7. What is the status of the relationship between the PP and the officers of the Anti-Corruption Bureau?
8. It is often observed that the main reason for delays in cases is the lack of goodwill of the PP. What is your opinion in this regard?
9. It is often alleged that the PP come to an understanding with the accused after eliciting benefits from them. How do you assess this observation?
10. What are the obstacles to the proper functioning of the PP? Are these hindrances old or new? If old, then why do the PP come forward to discharge this responsibility, knowing the situation quite well? With what objectives do the PP assume their responsibility?
11. Apart from specified duties, what other assignments do the PP carry out? Do they face any obstacle in the process?
12. How many cases are reviewed by a PP in a year? How many punishments and acquittals occur as a result? If the acquittals are greater in number, then what reasons are responsible for that in your opinion?
13. How many cases do the PP handle at a time? Of them, how many would lead to punishments in the opinion of the PP?
14. Do you recommend re investigation of complaints for eliciting, verdict in favour of the ACB? Do you hold discussions with the ACB officials when you find the cases to be weak?
15. What are your recommendations for raising the quality of investigations and occasional re investigations in order to obtain verdicts in your favour?
16. What is the opinion of the PP regarding the role of the court and the judges in corruption cases?

17. Does a junior take up the case when the assigned PP remains absent? If so, what is its legal basis? Does the possibility of the verdict going in favor of the accused increase as a result?
18. In whose favour do the verdicts of the court mostly go? To which segment do these people mostly belong?
19. Which categories of cases mostly come to you as a PP?
20. In your opinion, what are the reasons for delays in the disposal of cases?

Measuring Transparency in Municipal and Central Governments, Japan

I Fact Sheet

Name of the Tool: Measuring Transparency in Municipal and Central Governments

Brief Description: The aim of this project was to create an index in order to measure the level of transparency in municipal and central government in Japan.

Responsible Organisation: Freedom of Information Citizen Center and the National Citizen Ombudsman Liaison Conference.

Creation of the Tool: Freedom of Information Citizen Center

Problems Addressed by the Tool: The lack of transparency or public access to key information in municipal and central government in Japan.

Areas of Work: Municipal and central government offices in Japan

Alliances: No alliances were formed with other groups.

When the Tool was Implemented: The group has been monitoring access to public information in Japan on an annual basis since 1996 and has disseminated the findings widely in order to raise public awareness of the problem.

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II Objectives

The main objectives of this project were:

- 1) To increase the level of transparency in both municipal and central government.

- 2) To publish credible benchmarks on key 'access to information' indicators on a regular basis to influence public policy on the issue of transparency in government.

III Context

Ever since the economic crisis that rocked Japan in the 1990s and the financial scandals that emerged from it, citizen groups have voiced their concerns about the use of public funds. The national media has repeatedly confronted the issues of corruption and cronyism at all levels of government, prompting a major public debate.

The discussion has encouraged a push towards better monitoring of the functions of the state, especially the organisation of public budgets. In response to public pressure for more effective disclosure of information, the central government and various provincial governments introduced a series of laws to improve access to information. This legislation requires public bodies and agencies to disclose all relevant information to the public. However, anecdotal evidence suggests the new rules have been applied unevenly in Japan.

To combat this problem and to raise public awareness, the Freedom of Information Citizen Center in association with the National Citizen Ombudsman Liaison Conference Group decided to create an index to measure the level of transparency in municipal and central government.

IV Implementation

The process took place in three distinct but inter-related stages:

- 1) Design and development of the indices.
- 2) Collection of relevant information by independent entities.
- 3) Determination of a composite score and development of comparative benchmarks.

In total the project took about six months to complete. The first stage (design and development) lasted around one month. Data collection lasted about three months while evaluating the scores and drawing conclusions took another month.

For the purposes of this project, the concept of 'access to Information' was divided into four specific themes:

- 1) Quality of information available in the public domain.
- 2) Information on budget spending.

- 3) Process of decision-making.
- 4) Ease of access to published information, including relevant charges and fees.

Scores of between 0 and 30 were then assigned to each of these themes. For example, in terms of quality of information a municipality receives a perfect score of 30 if all relevant data is made available in the public domain and a zero if nothing is available at all. In terms of ease of access, if the documents are available at the rate of 1 – 10 yen per sheet, a municipality receives a score of 30. If the fee is above 21 yen, the score is zero.

Further details of the scoring system can be viewed on the following web page: <http://www.jkcc.gr.jp/pdf/6th.pdf> (only available in Japanese).

Once the index scoring system was ready, the Ombudsman Liaison Conference Groups began collecting the information. Every ombudsman in each prefecture in Japan undertook the necessary procedure to request information for each government office. After receiving the information, they checked the data and assigned a score.

These ombudsman groups are independently constituted local bodies. To ensure that the whole process was as transparent and participatory as possible, the preliminary results were sent to the government bodies under scrutiny in order to obtain their feedback and comments.

A final score was only reached after this process had taken place. The scores were then added up and the municipalities were ranked in terms of their total composite scores.

All of the 47 prefectures (Municipal Governments) and all central ministries in Japan are now being evaluated by this tool on an annual basis. The latest available index is for March 2002.

Of the municipalities, Miyagi prefecture obtained the highest ranking while the Miyazaki prefecture was the lowest. Of the central ministries, the Cabinet Secretariat and the Ministry for Public Management emerged as the top two respectively. The Ministry of Foreign Affairs and the Defence Agency were the least transparent.

To access the index visit the website: <http://www.jkcc.gr.jp/>

It is also available in the annual report of the National Citizen Ombudsman Liaison Conference.

The Freedom of Information Citizen Center uses the data in an organised campaign in order to promote the index in the media. The ranking is published

every year at the centre's annual general meeting, providing a good opportunity for media coverage of the event.

The research involved in the preparation of the ranking also provides the group with other information related to transparency in the Japanese government, information which can be shared and can help to develop new proposals.

The project cost has been minimal because the only expenses were copying and repro-graphic charges. All of the other work was carried out on a voluntary basis.

Challenges

Some government bodies and municipalities complained that their scores were too low and did not reflect their true level of transparency. Otherwise the project has been welcomed as a success.

V Results

The wide dissemination of this exercise through the media has encouraged many local governments to pay closer attention to the issue of transparency in Japan. The ability to make comparisons with other agencies also acted as a powerful incentive for government agencies to address the problem.

The project has been in existence now for the past five years, a testament to its success and durability. There is also evidence that the exercise has had a marked impact on the spending habits of local government officials. For example, in the past one notorious abuse of power was the practice of taking 'foreign visits'. This was adopted by many officials, ostensibly to learn about new policies overseas. However, once the information on specific budgets began to circulate in the public domain, these visits became much less common.

In our experience, this tool is a very effective anti-corruption strategy. It could also be implemented in smaller administrative units such as town and village councils.

VI Recommendations

The project is an effective tool for increasing transparency in government. Because government offices are keen to obtain a good score, they adjust their existing internal policies and as a result became less opaque.

However, the fastest method of increasing transparency in government is to install a good mayor at the election polls. This has been shown to be true in the results of our analysis.

Urban Bribery Index, Kenya

I Fact Sheet

Name of the Tool: Urban Bribery Index

Brief Description: The aim of this project was to conduct a pilot research survey that sought to go beyond conventional studies of corruption, and to measure empirically the problem of bribery in Kenyan public institutions using a specially designed Urban Bribery Index. This was a product of preliminary analysis of a larger study conducted by Transparency International Kenya on the extent of corruption in Kenya.

The Index, which ranked 52 organisations, was based on a survey conducted in March and April 2001, in which ordinary Kenyans reported their daily experience of dealing with corruption. It reflects the response of Kenyans living and working in urban areas and includes information on whom they bribed, how much they paid, and what the bribe was for.

Responsible Organisation: Transparency International Kenya

Creation of the Tool: Transparency International Kenya

Problems Addressed by the Tool: 1) Lack of information on the nature and the extent of bribery in Kenya. 2) Lack of a tested research methodology to obtain information on bribery.

Areas of Work: Corruption and bribery in everyday life in urban Kenya.

When the Tool was Implemented: The project was carried out during 2001-2002 in Kenya.

Alliances: Field research and preliminary data analysis were conducted by a research team of the Kenya Rural Enterprise Programme Advisory Services (KAS). TI-Kenya contracted KAS to conduct the fieldwork and cross-tabulation. A second alliance was with the Nation Media Group, which allowed TI-Kenya to use its nation-wide distribution network of vendors and bookshops. As a result over 2,500 copies of the Index have been disseminated to the public at large.

Financing: Funding was provided by the Department of International Development (DfID) of the United Kingdom and the Royal Netherlands Embassy in Kenya.

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II Objectives

It should be noted that this was a pilot study and the objective was to establish the viability of empirical research on corruption. TI-Kenya's other objective was to test the hypothesis that in Kenya, so-called 'petty bribery' results in as great if not greater an economic and direct financial cost as so-called 'grand corruption'. The study confirmed this hypothesis, which has major implications in a country like Kenya where much of the focus has been on punishing high-level corruption. Ultimately, TI-Kenya seeks to create a data-set for independent research and academic work. The project will truly have achieved its goal if this data is used for analysis in combination with the data compiled by the official Kenya Government Central Bureau of Statistics.

TI-Kenya also sought to bolster the demand for institutional change and reform by creating a credible benchmark which public organisations can use to gauge their performance against other public organisations; and which proponents of reform can use to evaluate their effectiveness and monitor public organisations.

To quote David Ndi, TI-Kenya's Public Awareness Adviser:

"What TI-Kenya would like to see happen to the Index is that in three to five years, an organisation that started out with a 76 per cent incidence of bribery is down to 5 per cent. The Index should then become a tool organisations use to set performance targets. If it does all this it will have achieved our objective."

In summary, the main objectives were:

- To provide knowledge and obtain data on the size and the nature of the bribes.
- To generate public awareness and discussion of the issue.
- To use these data to advocate reforms.

III Context

In Kenya, the use of bribery to influence decision-making is the most prevalent form of corruption. However, as elsewhere, there is a critical lack of con-

crete information on the nature and incidence of corruption in general and bribery in particular. Consequently, anti-corruption efforts tend to be informed primarily by perceptions and anecdotal evidence. This tends to weaken the arguments of anti-corruption activists to raise public awareness of the problem. Citizens find it hard to understand the negative impact of corruption on public life because it cannot be reduced to Kenyan shillings and cents.

From the outset, Transparency International-Kenya has implemented a research-driven programme. It is hoped the results will generate public awareness, discussion and demand for advocacy and change (either by the chapter itself or by independent civil society and governmental actors).

IV Implementation

Survey Methodology

David Ndii, TI-Kenya's Public Awareness Adviser, designed the survey instrument and was the principle researcher throughout the project. His methodology was subjected to review prior to implementation by the Vice-Chairman of TI-Kenya, Harris Mule, who has ultimate oversight over TI-Kenya's research work. The fieldwork was carried out in March-April 2001 by a team of six research assistants supervised by one field manager. KAS wrote the first draft of the basic report, which was reviewed at a closed-door workshop in Nairobi at which selected members of Kenyan academia and civil society questioned the findings. David Ndii wrote the final report and it was published and released to the media and public by TI-Kenya in January 2002.

The survey was conducted using a questionnaire administered through personal and telephone interviews. The survey instrument was a structured questionnaire and a total of 1,164 individual responses were obtained during the survey interviews. In turn, these provided a total of 6,400 observations of interactions with public organisations over the previous 12 months. Specifically, respondents provided information about the frequency and purpose of their interaction with public organisations, the incidence and nature of bribery transactions as well as perceived trends in corruption.

The questionnaire was administered in six towns in Kenya: Nairobi, Mombasa, Kisumu, Eldoret, Nyeri and Machakos. The data collected was used to estimate the extent, incidence and direct financial cost of bribery and to produce a league table of the incidence of bribery – the Kenya Urban Bribery Index (KUBI) which ranked 52 public organisations according to the six indicators described below.

The cost of conducting the survey was relatively low.

Compiling the Urban Bribery Index

From the information provided by respondents, six indicators were isolated. Taken as an aggregate this comprised the basis of the Urban Bribery Index. The six indicators are:

- 1) Incidence – How often respondents were asked for bribes by organisations with whom they dealt.
- 2) Prevalence – The percentage of the population that is affected by bribery in the organisation.
- 3) Severity – The consequences of declining to pay a bribe (eg. unsatisfactory service or no service at all).
- 4) Frequency – The actual level of bribery in an organisation (e.g. how many bribes officials of the organisation receive).
- 5) Cost – The estimated cost to the public (measured as a bribery tax in Kenyan shillings per person).
- 6) Bribe size – The average size of bribes paid to officials of the organisation.

Dissemination of Research Findings

The publication of the Index was preceded by a three-day “teaser” campaign in which small ads announcing an upcoming bribery report from TI-Kenya were placed in all national newspaper dailies. Advance embargoed copies were provided to newspaper editors so that they could prepare analyses of the report. The press embargo was respected and the report dominated the headlines the day after the report was officially launched at a well-attended press briefing on 18 January 2002 in Nairobi. The Nation Media Group has distributed 2,500 copies of the Index nation-wide through its network of vendors and bookshops. The Index is for sale at a cost of 50 Kenya Shillings (about 65 US cents). It can also be read online at www.tikenya.org and was featured on the Chapter’s radio programme “Face-Off” which can be heard online at www.faceoffonline.com

Predictably, the worst performing organisations were extremely unhappy with the Index and hostile responses were received from the police (the organisation ranked lowest in the survey), the Prisons Department and the Chief Justice. TI-Kenya studiously avoided being drawn into public arguments regarding its motivation, but presented the findings and defended the methodology used in press conferences and letters to the press. TI-Kenya also wrote to all of the named organisations after the launch and plans to develop advocacy and technical assistance engagements with those who respond. So far,

these include the Kenya Revenue Authority and local government authorities.

TI-Kenya believes the Index has provided the chapter with a great opportunity to build new partnerships with the public sector.

Implementation Problems

The survey had several limitations – all of which were candidly acknowledged in the published report. Examples include a return mailing complement (targeted at professional and business associations) that failed to achieve substantial responses, indicating that this may not be an appropriate method to elicit the views of Kenyans.

Quite apart from the poor quality of postal services in Kenya generally, there is also an unavoidable respondent bias when asking for information about stigmatised and illegal behaviour such as bribery. Obviously people who have more to hide are less likely to respond. Thus the survey registered a low response rate from the corporate sector, reflecting a lower incidence of business bribery than one might reasonably expect.

Finally, the small field research team (only six people) meant that the fieldwork took two months, which was longer than desirable.

V Results

The first result of this project was the publication in January 2002 of the Kenya Urban Bribery Index. Transparency International-Kenya hopes that once the limitations in the pilot scheme have been addressed, this Index, to be released annually, will serve as a benchmark of integrity (for the public and the private sector) based on the actual incidence of bribery in named Kenyan public organisations.

The survey generated a tremendous response from the public and created new opportunities for advocacy, networking and coalition building with public organisations. New partnerships were also built with the public sector. After the Index was published there was a fresh demand for engagement with TI-Kenya by several of the organisations ranked in the Index. This took various forms, including confidential requests for disaggregated data on individual institutions as well as requests for information on best practices from the global movement.

TI-Kenya has received requests for assistance in replicating the Urban Bribery Index from TI-Botswana and has been asked by Forum Civil, the TI chapter in Senegal, to create a tool for use by Francophone TI chapters in Africa.

Other results include:

- 1) TI-Kenya confirmed the validity of the survey methodology. For example, the findings mirror those in independent studies by inter alia the Kenya Anti-Corruption Police Unit, the Presidential Permanent Commission on Human Rights and UN HABITAT by finding that Kenya's police, prison service and law enforcement generally are riddled with corruption.
- 2) In at least one ministry (Public Works) an official circular was published alerting staff to the Index's findings and requiring corrective action.
- 3) The board of the Kenya Revenue Authority convened a special meeting to discuss the organisation's ranking and the Index generally.
- 4) Unauthorised police traffic road-blocks disappeared from the country's highways in the weeks after the Index came out (a temporary relief to Kenyan road-users).
- 5) The Kenya police and Kenya Prisons Department held separate news conferences condemning the Index as "unscientific" and challenging the validity of its findings. These denials were criticised widely by press editorials, and ultimately the police approached TI-Kenya for assistance in identifying the root causes of corruption within the police force. The Prisons Department also announced that it "has opened up and welcomes positive, realistic and constructive suggestions to help improve our penal institutions".
- 6) The report received widespread coverage in both the local and international press. Among others, it was picked up by CNN, BBC, *LA Times*, *Time Magazine*, South African Press Association, Reuters, Associated Press, and Chicago Public Broadcasting Service.

VI Perspectives and Recommendations

Perspectives

Transparency International-Kenya plans to make the Bribery Index an annual research project. The second Index will be published in September 2002. It will feature a larger sample size (2,000 people) and cover both rural and urban Kenya. The field research team has increased in size to 40 people and this should allow the data to be collected over a period of two weeks rather than two months. Finally the 2002 survey will be administered in local languages as well as English and Kiswahili.

Recommendations

It is possible to survey bribery in an empirical manner but the following points are worth bearing in mind:

- 1) In Africa, postal questionnaires may not be returned to the researcher.
- 2) It is important to anticipate reactions to the findings and to have a well-thought out policy of media response.

Description by: Mwalimu Mati

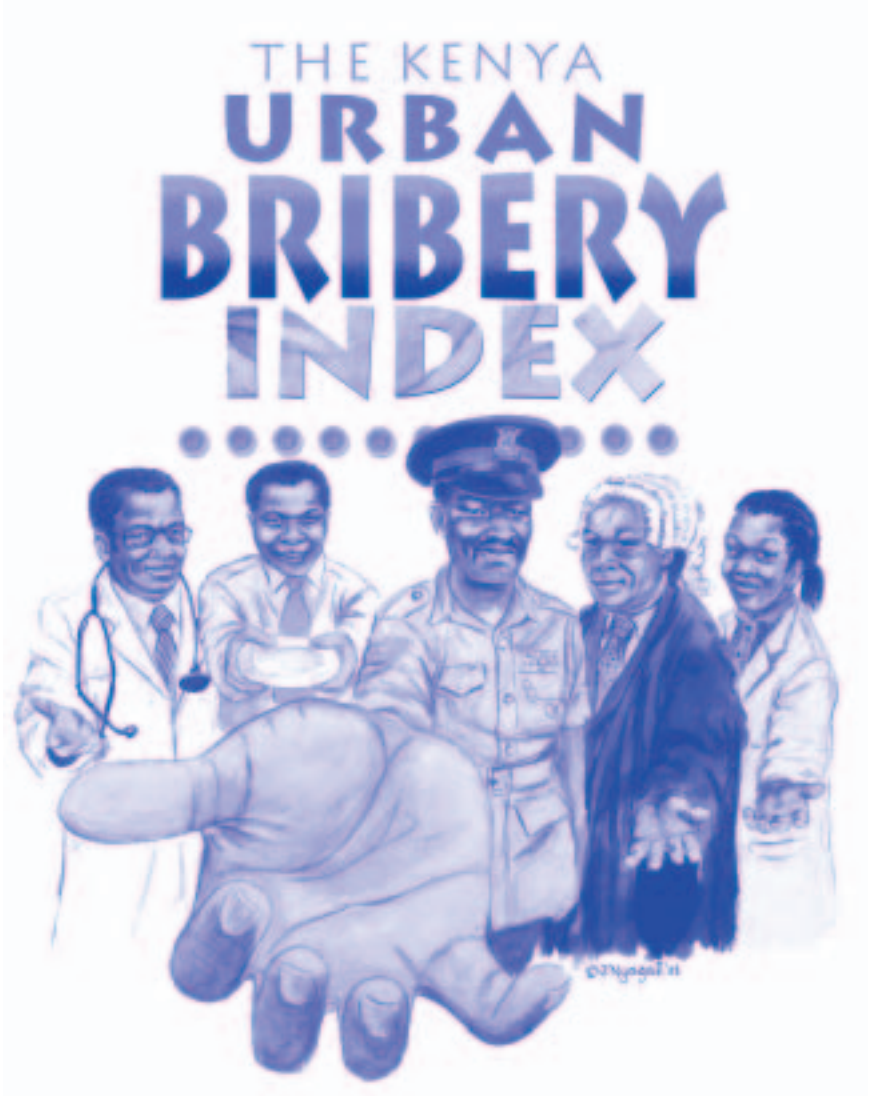
Appendix

Urban Bribery Index Ranking

Kenya Bribery Index

1	KENYA POLICE	68.7
2	MINISTRY OF PUBLIC WORKS	41.0
3	IMMIGRATION DEPARTMENT	36.1
4	MINISTRY OF LANDS	34.8
5	NAIROBI CITY COUNCIL	33.0
6	JUDICIARY	32.3
7	MOMBASA MUNICIPAL COUNCIL	32.1
8	OTHER LOCAL AUTHORITIES	31.5
9	PROVINCIAL ADMINISTRATION	29.5
10	PRISONS DEPARTMENT	29.4
11	KENYA PORTS AUTHORITY	29.3
12	REGISTRAR OF PERSONS	28.4
13	PUBLIC HOSPITALS (EXCL. KNH)	27.7
14	KISUMU MUNICIPAL COUNCIL	26.7
15	KENYA REVENUE AUTHORITY	26.5
16	ATTORNEY GENERAL'S CHAMBERS	26.1
17	TEACHERS SERVICE COMMISSION	25.4
18	FORESTRY DEPARTMENT	24.4
19	MINISTRY OF LOCAL GOVERNMENT	23.7
20	AGRICULTURAL FINANCE CORPORATION	23.5
21	MOTOR VEHICLE LICENSING DEPT	23.0
22	EMBASSIES & INTERNATIONAL ORGS	22.4
23	MINISTRY OF HEALTH	20.8
24	OTHER CENTRAL GOVERNMENT	20.7
25	KENYA BUREAU OF STANDARDS	20.1
26	POSTAL CORPORATION	18.8
27	KENYATTA NATIONAL HOSPITAL	18.7
28	KENYA AIRPORTS AUTHORITY	18.4
29	DEPT. OF WEIGHTS & MEASURES	17.7
30	NATIONAL WATER & PIPELINE CORP	17.5
31	TELKOM KENYA	17.3
32	OTHER STATE CORPORATIONS	16.8
33	MINISTRY OF EDUCATION	16.7
34	KENYA POWER & LIGHTING CO.	15.6

35	NATIONAL SOCIAL SECURITY FUND	15.0
36	CATERING LEVY TRUSTEES	14.9
37	KENYA RAILWAYS CORP	14.7
38	KENYA NAT. EXAMINATIONS COUNCIL	14.3
39	KENYA SUGAR AUTHORITY	12.5
40	KENYA TEA DEV. AGENCY	12.2
41	NATIONAL HOSPITAL INSURANCE FUND	11.8
42	MINISTRY OF AGRICULTURE	11.2
43	MINISTRY OF FINANCE	9.3
44	HIGHER EDUCATION LOANS BOARD	8.7
45	KENYA COMMERCIAL BANK	8.6
46	KENYA BROADCASTING CORPORATION	8.3
47	UNIVERSITY OF NAIROBI	8.3
48	COMMISSIONER OF INSURANCE	7.4
49	NATIONAL BANK OF KENYA	7.2
50	PRIVATE SECTOR	5.6
51	KENYA WILDLIFE SERVICE	5.2
52	CENTRAL BANK OF KENYA	0.2



Indice de corruption urbaine, Kenya

I Fiche d'information

Nom de l'outil: Indice de corruption urbaine, Kenya

Brève description: L'objectif du projet était de réaliser une enquête-pilote sur la corruption, plus poussée que les recherches traditionnelles, et de mesurer de façon empirique le problème de la corruption dans les institutions publiques kenyanes en utilisant un Indice de corruption urbaine spécialement adapté. Ce projet est le résultat d'une analyse préliminaire à une plus grande enquête menée par Transparency International-Kenya sur l'étendue de la corruption au Kenya.

L'indice, qui classe 52 organisations, a été établi à partir d'une enquête menée entre mars et avril 2001, au cours de laquelle des citoyens kenyans ordinaires ont rapporté leur expérience quotidienne de la corruption dans leur pays. Cette enquête reflète les vues de Kenyans habitant et travaillant dans des zones urbaines. Elle donne des informations sur les personnes corrompues, le montant des pots-de-vin et le but de ce dessous-de-table.

ONG responsable: Transparency International-Kenya

Problèmes soulevés par l'outil: 1) Absence d'informations sur la nature et l'étendue de la corruption au Kenya. 2) Absence de méthodologie de recherche fiable pour obtenir des informations sur la corruption au Kenya.

Champs d'activité: La corruption quotidienne dans les zones urbaines au Kenya.

Où et quand cet outil a-t-il été mis en place: Le projet s'est déroulé au Kenya en 2001/2002.

Partenariat: L'enquête sur le terrain et l'analyse des données préliminaires ont été conduites par une équipe de recherche du *Kenya Rural Enterprise Programme Advisory Services (KAS)*. TI-Kenya a passé un contrat avec KAS pour mener le travail de terrain et la tabulation à double entrée. Un deuxième partenaire fut le groupe de presse Nation Media Group qui autorisa TI-Kenya à utiliser son réseau national de vendeurs et de libraires. C'est pour cette raison que plus de 2500 exemplaires du rapport sur l'Indice de corruption au Kenya ont pu être distribués au grand public.

Création de l'outil: Transparency International-Kenya

Principale source de financement: Le financement a été assuré par le *Department of International Development (DfID)* du Royaume-Uni et par l'ambassade des Pays-Bas au Kenya.

Informations complémentaires:

Pour plus d'informations, contactez Mwalimu Mati, Directeur général adjoint ou David Ndi, responsable de la Recherche, Transparency International-Kenya,

PO Box 198-00200, Nairobi, Kenya ;

Courriel : mmati@tikenya.org ou kli@wananchi.com,

Site Web : www.tikenya.org

II Objectifs

Nous tenons à souligner qu'il s'agissait d'une étude-pilote dont l'objectif était d'établir la viabilité d'une enquête empirique sur la corruption. Le deuxième objectif de TI-Kenya était de vérifier l'hypothèse selon laquelle, au Kenya tout du moins, la soi-disant « petite corruption » a des conséquences directes aussi néfastes sinon pires sur l'économie et les finances du pays que la soi-disante « grande corruption ». L'étude a confirmé cette hypothèse, ce qui a des implications importantes pour un pays comme le Kenya où l'attention s'est surtout portée sur la répression de la grande corruption. En fin de compte, TI-Kenya cherche à créer un ensemble de données disponibles pour ceux qui mèneraient des recherches indépendantes ou pour des universitaires. La réussite de ce projet sera totale si les données recueillies sont utilisées en combinant les données officielles du Bureau central des statistiques du gouvernement kényan.

TI-Kenya soutient également les appels en faveur de réformes et de changements institutionnels en créant un référent crédible utilisable par les organisations publiques pour calibrer leurs résultats par rapport à celles d'autres organisations publiques. De même, un tel référent peut servir aux partisans des réformes pour évaluer leur efficacité et pour surveiller les organisations publiques.

Comme l'a souligné David Ndi, Conseiller pour la sensibilisation du public à TI-Kenya:

« Ce que TI-Kenya souhaite, c'est que d'ici 3 à 5 ans, grâce à cet Indice, une organisation pour laquelle l'incidence de la corruption était au départ de 76%, puisse réduire cette proportion jusqu'à 5 %. L'Indice deviendrait alors un outil permettant aux organisations de fixer des objectifs de résultats. Si nous parvenons à cela, alors nous aurons réalisé notre objectif. »

En résumé, les principaux objectifs sont:

- Obtenir des informations et des données sur le montant et la nature des pots-de-vin.
- Sensibiliser le public à la question et générer des débats à ce sujet.
- Utiliser ces données pour préconiser des réformes.

III Contexte

Au Kenya, l'utilisation de pots-de-vin pour influencer le processus de décision est la forme la plus répandue de corruption. Toutefois, comme partout ailleurs, il y a un manque certain d'informations concrètes sur la nature et les conséquences de la corruption en général et sur la nature et les conséquences des pots-de-vin en particulier. En conséquence, la lutte contre la corruption se base avant tout sur une perception de la réalité et sur des preuves anecdotiques. Cet état de fait tend à limiter la portée des arguments utilisés par ceux qui luttent contre la corruption et qui s'efforcent de sensibiliser le public à cette question. Les citoyens éprouvent beaucoup de difficultés à comprendre l'impact négatif de la corruption sur la vie publique parce que le montant de cette corruption n'est pas exprimé de manière concrète en shillings et cents kenyans.

Dès le départ, Transparency International-Kenya a souhaité développer un programme tourné vers la recherche. Les résultats de ces enquêtes devraient, espérons-le, sensibiliser le public, générer des débats et permettre des réformes et des changements (soit par la section elle-même, soit par la société civile et les acteurs gouvernementaux).

IV Mise en oeuvre

Méthodologie de l'enquête

C'est David Ndi, Conseiller pour la sensibilisation du public à TI-Kenya qui élaborait l'enquête et qui fut le responsable de la recherche dès le début du projet. Son approche méthodologique a dans un premier temps été discutée et modifiée avant d'être acceptée par le vice-président de TI-Kenya, Harris Mule, qui supervise au final le travail de recherche de TI-Kenya. Le travail de terrain a eu lieu en mars et avril 2001 par six assistants-chercheurs sous la direction d'un manager. KAS élaborait le premier jet du rapport préliminaire qui fut revu lors d'un atelier à huis-clos à Nairobi, atelier au cours duquel quelques universitaires et représentants kenyans de la société civile débattirent des résultats de l'étude. David Ndi rédigea le rapport final qui fut publié et rendu public par TI-Kenya en janvier 2002.

L'enquête était basée sur un questionnaire réalisé sous la forme d'interviews téléphoniques ou face-à-face. Grâce à ce questionnaire structuré, on a pu obtenir 1164 réponses individuelles au cours du sondage. Ces réponses ont fourni un total de 6400 cas d'interactions avec des organisations publiques au cours des douze mois précédents. En particulier, les personnes interrogées ont fourni des informations sur la fréquence et l'objet de leurs échanges avec des organisations publiques, l'incidence et la nature des pots-de-vin ainsi que leur appréciation personnelle sur l'évolution de la corruption au Kenya.

L'enquête s'est déroulée dans six villes du Kenya: Nairobi, Mombasa, Kisumu, Eldoret, Nyéri et Machakos. Les données ainsi recueillies ont permis d'estimer l'étendue, l'incidence et le coût financier directement induit des pots-de-vin. Ces données ont permis l'établissement d'un classement sous la forme d'un tableau de l'incidence de la corruption, intitulé *Kenya Urban Bribery Index (KUBI)*, Indice de corruption urbaine au Kenya, qui classe 52 organisations publiques selon les six indicateurs décrits ci-dessous.

Le coût de cette enquête fut relativement peu élevé.

Composition de l'Indice de corruption urbaine

A partir des informations fournies par les personnes interrogées, on a pu isoler 6 indicateurs. Une fois rassemblée, ces indicateurs ont formé la base de l'Indice de corruption urbaine. Ces 6 indicateurs sont:

- 1) Incidence – La fréquence à laquelle les personnes interrogées se sont vues demander des pots-de-vin par les organisations à qui elles avaient à faire.
- 2) Prévalence – Le pourcentage de la population affectée par la corruption dans les organisations.
- 3) Sévérité – Les conséquences qu'entraîne un refus de payer un pot-de-vin (par exemple: service partiellement rendu ou pas du tout).
- 4) Fréquence – Le niveau réel de corruption dans une organisation (par exemple: le nombre de pots-de-vin reçus par les responsables d'une organisation donnée).
- 5) Coût – Le coût estimé pour le public (mesuré sous la forme d'une taxe à la corruption au Kenya en shillings par personne).
- 6) Montant – Le montant moyen des pots-de-vin payés aux responsables d'une organisation donnée.

Publication des résultats de l'enquête

La publication de l'indice fut précédée par une campagne d'« aguichage » (« teasing ») de trois jours. Cette campagne prit la forme de petites publicités dans tous les quotidiens nationaux annonçant la parution prochaine d'un rapport de TI-Kenya sur la corruption dans le pays. Des exemplaires sous embargo furent remis à l'avance aux rédacteurs en chef des journaux pour qu'ils puissent analyser le rapport. L'embargo fut respecté et le document fit la « une » le lendemain de sa publication officielle à l'occasion d'une conférence de presse le 18 janvier 2002 à Nairobi, conférence de presse à laquelle participèrent de nombreux journalistes. Le Nation Media Group distribua dans l'ensemble du

pays 2500 exemplaires de l'Indice grâce à son réseau de vendeurs et de libraires. Le rapport est en vente au prix de 50 shillings kenyans (environ 0,65 dollar américain). On peut également le lire sur le site web: www.tikenya.org. Il a également été diffusé sur le programme radio de la section, « Face-Off », que l'on peut écouter sur le site Web : www.faceoffonline.com

Comme on s'y attendait, les organisations qui ont été mal classé par cet indice ont vivement critiqué le rapport. Il s'agit en particulier des organisations ou personnes suivantes: la police (classée en première position dans le sondage), le Ministère des Prisons et le Ministre de la Justice. TI-Kenya a soigneusement évité d'être impliquée dans le débat public concernant ses motivations, préférant présenter les résultats de l'enquête et défendre la méthodologie utilisée au cours de conférences de presse et de lettres aux médias. Au lendemain de la publication du rapport, TI-Kenya a également écrit à toutes les organisations nommées dans le document. TI-Kenya envisage en effet de développer un programme de sensibilisation et de fournir une assistance technique avec les organisations qui ont répondu. A ce jour, le Kenya Revenue Authority, le service des douanes et les autorités locales (Local Government Authorities) ont répondu.

TI-Kenya estime que la publication de l'Indice donne à la section la perspective d'un nouveau partenariat avec le secteur public.

Problèmes relatifs à la réalisation de l'étude

Plusieurs problèmes ont limité la réalisation de l'enquête. Ces problèmes ont d'ailleurs été soulignés ouvertement dans le rapport. Parmi ces problèmes, citons un questionnaire complémentaire envoyé par la poste et adressé aux associations professionnelles qui n'a reçu que peu d'écho. Cela semble indiquer que cette méthode n'est pas adéquate pour recueillir l'opinion des Kenyans.

Outre la mauvaise qualité des services postaux kenyans, il y a de la part des personnes interrogées un préjugé inévitable lorsqu'on leur pose des questions sur des comportements illégaux et régulièrement condamnés comme la corruption. Il est évident que les personnes qui ont quelque chose à cacher auront tendance à être plus réticentes à répondre aux questions. C'est pour cette raison que le taux de réponse de la part du monde des affaires fut relativement peu élevé, révélant dans le rapport final une incidence moins importante de la corruption dans le monde des affaires que celle que l'on pourrait attendre.

Enfin, le nombre réduit d'enquêteurs sur le terrain (seulement six personnes) signifie que l'enquête a duré deux mois, plus longtemps que ce qui était souhaitable.

V Résultats

Le premier résultat de ce projet fut la publication en janvier 2002 de l'Indice de corruption urbaine au Kenya. Transparency International-Kenya espère qu'une fois résolu les problèmes inhérents à l'étude pilote, cet Indice servira de référent d'évaluation d'intégrité (pour le secteur public et le secteur privé) basé sur l'incidence réelle de la corruption dans les organisations publiques kenyanes connues.

Le sondage a provoqué de nombreuses réactions de la part du public, créant ainsi une nouvelle occasion de sensibiliser l'opinion à ce problème, de développer un réseau ou de renforcer les relations avec les organisations publiques. Un nouveau partenariat avec le secteur public est ainsi en train de voir le jour. A la suite de la publication de l'Indice, plusieurs organisations citées dans le rapport ont demandé l'assistance de TI-Kenya. Cela a pris des formes multiples: demandes confidentielles en faveur de données spécifiques sur des institutions particulières ou encore demandes d'information sur des pratiques éthiques recommandées par le mouvement.

TI-Kenya a également reçu une demande d'assistance de la part de TI-Botswana en vue d'élaborer un Indice similaire. De même, le Forum Civil, la section sénégalaise de TI, a demandé la création d'un outil utilisable par les sections francophones de TI en Afrique.

Autres résultats

- 1) TI-Kenya a confirmé la validité de la méthodologie utilisée pour l'enquête. Ainsi les résultats sont comparables à ceux d'études indépendantes comme par exemple, celles de l'Unité de police anti-corruption du Kenya, de la Commission permanente présidentielle sur les Droits de l'Homme et de UN HABITAT. Ces études ont révélé qu'au Kenya la corruption règne dans la police, les services pénitentiaires et d'une manière générale le système judiciaire.
- 2) Dans au moins un ministère (celui des Travaux publics), une circulaire officielle a été émise pour les personnels détaillant les résultats du rapport et exigeant la mise en place de mesures correctives.
- 3) Le conseil d'administration du service des douanes kenyan s'est réuni en session extraordinaire pour discuter du classement du service et plus généralement de l'Indice.
- 4) Dans les semaines qui suivirent la publication de l'Indice, et au soulagement temporaire des automobilistes du pays, les barrages routiers illégaux sur les routes du Kenya ont été levés.

- 5) La police et le Ministère des Prisons ont tenu des conférences de presse séparées qualifiant l'Indice de « non scientifique » et critiquant la validité des résultats de l'enquête. Toutefois, ces dénégations furent largement critiquées par les éditorialistes avant que la police n'approche TI-Kenya pour lui demander une assistance afin d'identifier les causes profondes de la corruption au sein des forces de police. Le Ministère des Prisons s'est pour sa part déclaré « ouvert en accueillant favorablement toutes suggestions positives, réalistes et constructives pour améliorer les institutions pénales ».
- 6) Le rapport a été largement couvert par les médias locaux et internationaux. Citons, entre autres: CNN, BBC, *Los Angeles Times*, *Time Magazine*, l'Association de Presse d'Afrique du sud, Reuters, l'Associated Press, et le Chicago Public Broadcasting Service.

VI Perspectives et recommandations pour l'avenir

Perspectives

Transparency International-Kenya envisage de publier chaque année un Indice de corruption. Le deuxième indice sera publié en septembre 2002 et inclura un nombre plus important de sondés (2000 personnes). Il couvrira les zones urbaines ainsi que les zones rurales du Kenya. L'équipe d'enquêteurs comprendra 40 personnes, ce qui permettra de recueillir les données en deux semaines seulement contre deux mois pour le premier Indice. Enfin, les questionnaires seront élaborés dans les langues locales ainsi qu'en anglais et en kiswahili.

Recommandations

Il est possible d'enquêter sur la corruption de manière empirique, mais il faut garder à l'esprit les points suivants:

- 1) En Afrique, il est courant que les questionnaires envoyés par la poste ne soient pas retournés aux enquêteurs
- 2) Il est essentiel d'anticiper les réactions et les critiques aux résultats de l'enquête et d'élaborer une réponse médiatique adéquate et cohérente.

Description par: Mwalimu Mati

Appendice

Classement par ordre décroissant des organisations en fonction de leur Indice de corruption urbaine

Indice de corruption du Kenya

1	POLICE DU KENYA	68.7
2	MINISTERE DES TRAVAUX PUBLICS	41.0
3	MINISTERE DE L'IMMIGRATION	36.1
4	MINISTERE DES QUESTIONS FONCIERES	34.8
5	MAIRIE DE NAIROBI	33.0
6	SYSTEME JUDICIAIRE	32.3
7	MAIRIE DE MOMBASA	32.1
8	AUTRES AUTORITES LOCALES	31.5
9	ADMINISTRATION PROVINCIALE	29.5
10	MINISTERE DES PRISONS	29.4
11	ADMINISTRATION DES PORTS KENYANS	29.3
12	ETAT CIVIL	28.4
13	HOPITAUX PUBLICS (SAUF KNH)	27.7
14	MAIRIE DE KISUMU	26.7
15	SERVICES DES DOUANES KENYANES	26.5
16	BUREAU DE L'AVOCAT GENERAL DU KENYA	26.1
17	COMMISSION D'AIDE AUX ENSEIGNANTS	25.4
18	MINISTERE DES FORETS	24.4
19	MINISTERE DU GOUVERNEMENT LOCAL	23.7
20	SOCIETE DU CREDIT AGRICOLE	23.5
21	SERVICES IMMATRICULATION DES VEHICULES	23.0
22	AMBASSADES ET ORGANISATIONS INTERN.	22.4
23	MINISTERE DE LA SANTE	20.8
24	AUTRES INSTITUTIONS DU GOUV. CENTRAL	20.7
25	BUREAU DES NORMES DU KENYA	20.1
26	SERVICES POSTAUX	18.8
27	HOPITAL NATIONAL KENYATTA	18.7
28	ADMINISTRATION DES AEROPORTS KENYANS	18.4
29	SERVICE DES POIDS ET MESURES	17.7
30	SERVICES DES EAUX	17.5
31	SOIETE ETATIQUE TELKOM	17.3
32	AUTRES CORPORATIONS ETATIQUES	16.8
33	MINISTERE DE L'EDUCATION	16.7

34	ELECTRICITE DU KENYA	15.6
35	CAISSE NATIONALE DE LA SECURITE SOCIALE	15.0
36	FONDS NATIONAL POUR LA RESTAURATION	14.9
37	CORP. DU CHEMIN FERRE DU KENYA	14.7
38	CONSEIL NAT. DES EXAMENS DU KENYA	14.3
39	ADMINISTRATION SUCRIERE DU KENYA	12.5
40	AGENCE POUR LE DEVELOPPEMENT DU THE	12.2
41	FONDS D'ASSURANCE DES HOPITAUX NAT.	11.8
42	MINISTERE DE L'AGRICULTURE	11.2
43	MINISTERE DES FINANCES	9.3
44	CONSEIL DES PRETS POUR L'ENSEIGN. SUP.	8.7
45	BANQUE COMMERCIALE DU KENYA	8.6
46	RADIO ET TV DU KENYA	8.3
47	UNIVERSITE DE NAIROBI	8.3
48	COMMISSAIRE AUX ASSURANCES	7.4
49	BANQUE NATIONALE DU KENYA	7.2
50	SECTEUR PRIVE	5.6
51	ADMINISTRATION DES RESERVES NATURELLES	5.2
52	BANQUE CENTRALE DU KENYA	0.2

Mapping Corruption, Lithuania

I Fact Sheet

Name of the Tool: Mapping Corruption

Brief Description: The purpose of this project was to monitor and create a database of institutional and geographical aspects of corruption in Lithuania. This included an evaluation of:

- Attitudes of the general public and the business community towards corruption, its level and role in society.
- Personal experience of the general public and the business community in confronting cases of corruption and bribery.
- Sources of information about corruption for the general public and the business community.
- Anti-corruption measures proposed by the general public and the business community.

When was the Tool Implemented: The project took place in Lithuania over a four-month period during mid-2001.

Responsible Organisation: Transparency International's Lithuanian Chapter managed the initiative.

Creation of Project: Lithuanian National Chapter of TI

Problems Addressed by the Tool: The lack of knowledge or clear geographical information about corruption in Lithuanian institutions.

Areas of Work: Corruption and bribery in Lithuanian institutions.

Alliances: The TI Lithuanian Chapter carried out most of the work. Empirical data was collected by "Baltic Surveys"/ The Gallup Organisation. Methodology was prepared by the Chairman of the Board of TI Lithuania A. Dobryninas, TI Director L. Zilinskiene and the director of the "Baltic Surveys"/ The Gallup Organisation R. Alisauskiene.

The Lithuanian Chapter collaborated with the Embassy of the United Kingdom in Lithuania, the Embassy of the Republic of Finland in Lithuania, the World Bank Lithuanian Office, and the Lithuanian public opinion and market research company "Baltic Surveys"/ the Gallup Organisation.

The TI Secretariat provided useful advice and assisted in finding out whether the methodology had been applied previously.

International organisations (embassies, the World Bank Lithuanian Office) played a significant role in the implementation of the project. The media was also very active in commenting on the final results.

Financing: The total cost of the project was US \$29,000.

The main sponsors were:

- Embassy of the United Kingdom in Lithuania
- Embassy of the Republic of Finland in Lithuania
- The World Bank Lithuanian Office

For Additional Information, Contact:

Laima Zilinskiene

Executive Director of TI Lithuanian Chapter

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Website: www.transparency.lt

II Objectives

The objectives of the project were:

- To examine corruption as a social phenomenon in Lithuania generally.
- To prepare practical measures to combat the institutional and geographical specificities of corruption in Lithuania.
- To inform state officials, the non-governmental (NGO) sector, business-people, representatives from embassies, the mass media, university students and the public at large about corruption “hot spots” in different Lithuanian institutions.
- To draw the attention of Lithuanian society to the problems of corruption in various state institutions.
- To provide the general public with geographical information about corruption in Lithuanian institutions.
- To explore different ways of disseminating information about corruption in Lithuania.

Specific objectives:

- To hold a press conference in order to spread information about corruption in Lithuanian institutions via the mass media.
- To arrange a conference in Vilnius in order to present an institutional and geographical map of corruption in Lithuania to state officials, the non-governmental and private sectors, embassies, university students and to identify corruption hot spots in different Lithuanian institutions.
- To prepare the report “Map of Corruption, Lithuania”.

III Context

In the 2002 TI Corruption Perceptions Index (CPI)¹ Lithuania occupied 36th place out of 102 countries with a score of 4.8 out of 10. In the Central and Eastern European region only three countries obtained a higher (or “cleaner”) ranking - Estonia, Hungary and Slovenia. Still, Lithuania is a long way from banishing corruption and bribery from its borders. Nevertheless, the CPI is only a general indicator of the popular perception of corruption and does not reflect specific problems.

The cost of corruption for public life and the national economy is an issue that has been discussed intensively by politicians, businesspeople, academics, and the public at large. A recent World Bank report on corruption in Central and Eastern Europe - “Anti-Corruption in Transition: A Contribution to the Policy Debate” (2000)² - identifies Lithuania as a country with medium state capture and a high administrative corruption index. In countries such as these, corruption has a negative impact on sales and investment growth as well as public revenues. It contributes to inequality and is closely tied to the overall level of poverty.

It is clear that the reduction of administrative corruption and especially its main form - bribery - is one of the most important tasks in the Lithuanian government’s newly adopted national anti-corruption strategy.

A number of factors were helpful to the implementation of this project, including the interest of international organisations in the activities of the TI Lithuanian Chapter, the experience derived from previously conducted research and substantial media coverage.

The most challenging task was to develop an appropriate methodology because this type of research had never been carried out before.

1 Transparency International Corruption Perceptions Index 2002. Transparency International Secretariat: Berlin, 2002. <http://www.transparency.org>

2 Anticorruption in Transition: A Contribution to the Policy Debate. Washington: The World Bank, 2000.

IV Implementation

Stages of the Project:

Stages	Date
1. Preparation of the methodology and project design <ul style="list-style-type: none"> – Consultation with experts. – Identifying the organisation of the sociological survey. <p>The methodology, project design and the report were written by Dr A.Dobryninas (criminologist), Dr L. Zilinskien (sociologist) and Dr R. Alisauskien (sociologist). The empirical data were collected by "Baltic Surveys" / The Gallup Organisation in July–September 2001.</p> <p>Some of the details of the methodology were discussed with Joel Hellman (The World Bank, USA), Prof. Kauko Aromaa (criminologist) (HEUNI, Finland).</p>	May–June 2001
2. Collection of the empirical data by "Baltic Surveys" / The Gallup Organisation. See "Data Collection" section below.	July–September 2001
3. Analysis of the attitudes, personal experiences and sources of information of the general public.	August 2001
4. Analysis of the attitudes, personal experiences and sources of information of the business community.	September 2001
5. Preparation of the project report. See: www.transparency.lt	September 2001
6. Presentation of the project for the mass media.	October 2001
7. Presentation of the results to the President's office, political parties, the government, Special Investigations Service, Confederation of Lithuanian Industrialists, the international community etc.	October 2001–April 2002

Data Collection

This project was carried out using empirical and analytical research. The empirical data was collected during three survey phases.

The first survey was carried out among Lithuanian business leaders in July–August 2001. Senior executives and owners of private firms were interviewed, with one respondent selected per company. The sample was based on registers of Lithuanian companies and data published by the Department of Statistics about the number of companies by county, the size of each firm as well as their main sphere of activity. The selection was a representative, random sample, divided up by district. In each of the ten counties, the number of firms in-

terviewed corresponds with the share of that county's companies in the national register.

A quota was applied for larger companies in order to ensure their minimum statistical representation in the sample. In total, 1,005 business leaders were interviewed. The margin of error in the results of this survey does not exceed 3 per cent.

The second part of the interviewing process comprised a national representative survey of the Lithuanian adult population. The fieldwork took place in two phases during August and September 2001. In total, 2,028 respondents were interviewed. The size of the sample was chosen in order to collect sufficient empirical data about the issues with a relatively low level of penetration in society as a whole. The margin of error in this part of the survey does not exceed 2.5 per cent.

The survey was conducted at respondents' homes during face-to-face interviews. The sampling procedures used were as follows:

Multi-stage random sample design was used for the study. The first stage of the sampling procedure was to identify the administrative districts or counties of Lithuania of which there are ten in total. The sampling points were then selected according to the size of the settlements that are grouped into large, medium, small towns and villages. The number of sampling points in each category was dependent on the percentage of the population living in settlements of that type. One sampling point represents approximately 1 per cent of the population surveyed (12 interviews per sampling point). In small villages the sampling point in some cases was represented by six interviews.

The total number of sampling points selected was 223. The survey was carried out in the capital Vilnius, six main cities (Kaunas, Klaipeda, Siauliai, Panevezys, Alytus, Marijampole), 40 towns and 60 villages. These sampling points were selected at random from the list of sampling points of each size (except for Lithuania's main cities, all of which are included).

Random route methodology was used to select respondents at each sampling point. Kish tables were also used (separately for male and female sub-samples) to select a respondent in each household. Up to two call-backs were carried out to obtain an interview with the selected respondent.

To ensure the data was properly verified, supervisors maintained control over the project by checking on 10 per cent of each interviewer's respondents.

V Results

The most important achievements of the project were:

- The creation of a new methodology for a survey of corruption in Lithuania.
- An insight into the corruption situation in Lithuania generally and the identification of hot spots.
- The possibility of applying the same methodology to other countries (especially those with a Soviet heritage) in order to draw comparisons. As of August 2002 this has not yet been done.

Areas of the project that could be improved:

- Detailed surveys of certain institutions (especially in spheres such as public procurement, courts, etc.)

The project was carried out at a time when the state was preparing an anti-corruption strategy, so various institutions based their calculations on its findings. The Government of Lithuania suggested that a survey of corruption should be carried out on an annual basis. This would allow officials to carefully monitor the situation in those areas most closely identified with corruption.

The results of our research were discussed in Lithuania's largest daily newspapers, magazines, TV and radio shows, as well as in the overseas media.

The research data was presented to the general public, the business sector and the NGO sector, as well as to political parties, organisations and other institutions. Generally speaking, the reaction was very positive although, unsurprisingly, the institutions that were criticised in the report were less supportive of the findings.

VI Recommendations

Because the project went relatively smoothly there were few areas that required adjustment. The President's office, the Government and the Seimas (parliament) as well as political parties, special institutions, NGOs and the mass media have all used the results of our research and this is a reflection of its success.

Our advice to any National Chapter planning to undertake a similar project in another country would be to employ exactly the same methodology. This would allow direct comparisons between different countries, creating a joint international anti-corruption initiative.

The Lithuanian Chapter is planing to undertake an annual corruption monitoring project and the national government is currently exploring ways of funding it.

Description by: Laima Zilinskiene and Jolanta Piliponyte

Appendix

Surveys

A) General public

	Number of respondents	%
Total	2028	100
<i>Gender:</i>		
Male	948	47
Female	1080	53
<i>Age:</i>		
Up to 20 y.o	210	10
20-29 y.o	443	22
30-39 y.o.	392	19
40-49 y.o.	327	16
50-59 y.o.	325	16
60+ y.o	331	16
<i>Household monthly income</i>		
Up to 500 Lt	354	22
501-800 Lt	400	25
801-1200 Lt	432	27
1201 Lt +	427	27
<i>Size of the settlement:</i>		
Rural	642	32
Towns	476	24
Cities	910	45

B) Entrepreneurs

	Number of respondents	%
Total	1005	100
<i>Gender:</i>		
Male	409	41
Female		
<i>Age:</i>		
Up to 35 y.o	314	31
<i>Number of respondents</i>		
36-45 y.o	364	36
46+ y.o.	315	31
NA.	12	1

Household monthly income

Up to 1500 Lt	246	25
1501-2500 Lt	262	26
2501 + Lt	280	28
NA	217	22

Number of employees:

Up to 10	503	50
10 - 50	318	32
51-100	117	12
100+	67	7

Sector (multi-choice):

Production	216	22
Retail	516	51
Service	439	44

Presence of foreign capital

Yes	107	11
No	898	89

Counties

Alytaus	42	4
Kauno	200	20
Klaipėdos	120	12
Marijampolės	46	5
Panevezio	77	8
Siauliu	92	9
Tauragės	30	3
Telsiu	42	4
Utenos	34	3
Vilniaus	322	32

Surveys on Corruption in Madagascar

I Fact Sheet

Name of the Tool: Surveys on corruption in Madagascar

Brief Description: The aim of this project was to analyse the extent and nature of corruption in the private sector and society at large in Madagascar. It consisted of two opinion polls undertaken in the private sector and in individual households as well as a qualitative study of integrity across the country.

Responsible NGO: Transparency International-Initiative Madagascar (TI-IM) and the International Secretariat of Transparency International.

Creation of the Tool: International Secretariat of Transparency International and adaptation by TI-IM.

Problems Addressed by the Tool: The lack of information about corruption in Madagascar.

Areas of Work: Statistical surveys of corruption in Madagascar.

When the Tool was Implemented: The project took place in Madagascar between December 2000 and November 2001.

Alliances: None

Financing: The following organisations provided funding for the project:

- Canadian International Development Agency
- MacArthur Foundation
- USAID.

For Additional Information, Contact: Transparency International – Initiative Madagascar, transparency.mg@dts.mg or Marie Wolkers at the International Secretariat: mwolkers@transparency.org.

II Objectives

The anti-corruption effort in Madagascar has been hobbled by a critical lack of information about the problem. The principle behind this project was to conduct an in-depth survey in order to assist TI and its partner organisations and deepen their understanding of the nature, causes, manifestations and frequency of corruption in Madagascar.

Specifically, the project set out to obtain a full and representative picture of social attitudes towards corruption, from both a quantitative and qualitative

perspective. The survey made no attempt to verify the experiences of those interviewed.

The objective of the qualitative study was to complete the quantitative approach of the surveys in the private sector and households. It attempted to analyse Madagascar's "National Integrity System", in other words the laws, regulations, ethical practices and existing institutions, which form a system of prevention, recourse and sanction of acts of corruption.

The project also had the following aims:

- 1) To inform people of the facts and raise awareness about corruption in Madagascar.
- 2) By publishing data about corruption, TI-IM hoped to generate meaningful debate and constructive dialogue on the issue.
- 3) To assess the condition and effectiveness of legal, administrative and institutional provisions designed to prevent corruption and reinforce integrity in Madagascar.
- 4) To create a database that helps draw up priorities and measure the evolution of the phenomenon over time. The data will also allow TI-IM to assess progress and identify failures in vulnerable areas that have been most affected by corruption.
- 5) To apply pressure to institutions and provide them with data that will be useful in the development of a reform programme.

III Context

Corruption is considered to be a major obstacle to economic and social development in Madagascar but there is a lack of reliable factual information about the nature and scale of the problem.

These surveys were part of a wider programme developed by TI to analyse corruption in three countries in francophone Africa. Morocco and Senegal undertook similar surveys.

IV Implementation

Target Groups

The household survey was carried out on a sample of 1,140 households. Some 58 per cent of these were in urban areas (the capital, provincial towns and secondary urban centres) and 42 per cent in rural areas. Each individual polled was at least 18 years of age and represented the views of a single household.

The survey of business and the private sector was more restricted in its coverage. It was limited to four cities: Antananarivo, Antsirabe, Toamasina and Toliary. A total of 819 officials were polled, of which 57 per cent were in the 'formal' business sector and 43 per cent in the 'informal' sector.

Questionnaires

The research was conducted using the following three instruments:

- 1) Questionnaire for private enterprises
- 2) Questionnaire for households.

The questionnaires included some of the same questions but were also tailored to address the specific concerns of the two target groups. The common questions concerned the following themes:

- General trends and evolution of corrupt practices.
- Principal causes or reasons of corruption.
- Social acceptance of corrupt behaviour.
- Degree of prevalence by sphere.
- Personal experience.
- Reactions to the phenomenon.
- Degree of corruption in the political sphere.
- Impact on socio-economic development.

In the private sector survey, additional specific questions were asked about the customs service, invitations to tender and the measures taken by businesses in order to combat corruption.

In the household survey, additional specific questions were asked about public access to education, health services, water and property rights.

- 3) Factual questionnaire to be answered in focus group discussions.

This questionnaire included a series of questions designed to assess the condition of the legal, administrative and institutional provisions put in place to prevent corruption and reinforce integrity (i.e. National Integrity System). This exercise involved drawing comparisons between an ideal model system and the everyday reality experienced by interviewees.

Preparing the Surveys

The research instruments were prepared and approved by the International Secretariat after consultation with international experts and other agencies

with experience in the field. TI-IM then adapted the questionnaire to the national context of Madagascar.

Execution

The research project was implemented in the following stages:

- 1) Contacting potential polling organisations.
- 2) Selecting six polling candidates.
- 3) Call to tender for polling project.
- 4) Selection of a consulting firm responsible for the survey.
- 5) Adaptation of questionnaires to the country's socio-cultural context.
- 6) Execution of a pilot 5 per cent sample of the total sample.
- 7) New adaptations to the questionnaire.
- 8) Data collection.
- 9) Interview via group discussions.
- 10) Production of summary reports for each survey.
- 11) Production of a general summary report.

Media Coverage

The publication of the survey results was postponed for several months because of a political crisis in Madagascar.

However, the results were finally announced at a press conference on 28 June 2002. Around 60 people attended, including journalists, representatives of the President and the Prime Minister, a minister, Members of Parliament, ambassadors and funding agencies.

There was significant media coverage of the survey around the country.

Challenges

The project was not trouble-free and TI-IM recognised the following problems during the preparation and data collection stages:

- 1) Preparation
 - It proved difficult to choose a sample size and geographical coverage which was both sufficiently representative and not overly expensive to undertake.
 - The lack of a recent or reliable set of national statistics in Madagascar also presented problems in the formulation of a representative sample.

2) Data Collection

- Transportation difficulties presented another problem in the survey. Getting to and from sample sites was not always easy or quick.
- Despite the promise of anonymity, some of those interviewed were reluctant to answer certain delicate questions on their personal experiences.
- Because of the subject matter, the responses were often subjective and a reflection of personal opinions rather than reality.

V Results

The project has provided TI-IM with a reliable set of data on the nature, cost and acceptability of corruption in Madagascar.

The publication of these surveys has raised public awareness about the work of TI-IM at the national level. Consequently, the project has been a driving force in the development of TI-IM's future activities.

The project results encouraged debate and constructive dialogue about the issue of corruption. The project was widely covered in the media and three ministers (justice, police and the interior) made specific commitments to combat corruption.

TI-IM intends to repeat the exercise in a few years' time in order to examine how much has changed over time.

An initial comparison will also be carried out between the results obtained in the three countries where the pilot surveys have been carried out.

VI Recommendations

Any organisation seeking to duplicate this project might find the following recommendations useful:

- 1) The project required specific technical skills and knowledge. It is therefore vital to recruit a specialist consultant in the field of statistics in order to co-ordinate the surveys.
- 2) In order to select the most competent polling institutes possible, it is advisable that a statement of interest be publicly announced followed by a restricted call to tender. The validity of the results collected will depend to a large extent on the quality of the service providers.

Description by: Véronique Lerch and Marie Wolkers

ENQUÊTES – Madagascar

I. Fiche d'information

Nom de l'outil : Enquêtes sur la corruption à Madagascar

Description brève : Ce projet était composé de deux enquêtes (sous forme de sondage) quantitatives portant sur la corruption, l'une auprès du secteur privé, l'autre auprès des ménages et d'une étude qualitative analysant le système national d'intégrité.

Problèmes abordés par cet outil : Le manque d'information sur la petite corruption.

Domaine de travail : Statistiques/ instruments de mesure

Où et quand cet outil a-t-il été mis en place ? à Madagascar entre décembre 2000 et novembre 2001

Organisations responsables : Transparency International- Initiative Madagascar (TI-IM) et le Secrétariat International de Transparency International

Création de l'outil : Secrétariat International de Transparency International et adaptation par TI-IM

Partenariats : Aucun

Principales sources de financement : Agence Canadienne de Développement International, Fondation Mac Arthur, USAID, Pact Madagascar.

Information complémentaire : Pour tout renseignement complémentaire, contacter Transparency International Initiative Madagascar transparency.mg@dts.mg et au Secrétariat International Marie Wolkers, mwolkers@transparency.org.

II. Objectifs

- Recueillir des éléments factuels susceptibles d'aider les partenaires de TI, en l'occurrence TI IM, à approfondir leur compréhension de la nature, des causes, des manifestations et de la fréquence du phénomène de la corruption à Madagascar. Il s'agissait plus précisément d'obtenir une image représentative, aux plans quantitatif et qualitatif, de la perception des phénomènes de corruption par les personnes consultées. L'exercice n'a que de manière incidente cherché à vérifier que l'expérience des individus interrogés, et non la réalité, corroborait les opinions exprimées.
- Concernant l'étude qualitative, l'objectif était de compléter l'approche quantitative des enquêtes auprès du secteur privé et des ménages. Elle vi-

sait à analyser la corruption à partir de l'existence et du fonctionnement des lois, règlements, pratiques déontologiques et institutions existantes, formant le système de prévention, de recours et de sanctions des actes de corruption (système national d'intégrité).

- Informer et sensibiliser l'opinion publique à partir de données factuelles. La diffusion des résultats devait permettre de légitimer l'ouverture d'un débat et d'un dialogue constructif sur un sujet que l'existence d'informations objectives aura permis, au moins partiellement de dépolitiser.
- Évaluer l'état et l'efficacité des dispositions légales, administratives et institutionnelles mises en place au niveau national pour prévenir la corruption et renforcer les pratiques d'intégrité.
- Créer une base de données permettant de définir des priorités d'action, de mesurer l'évolution du phénomène dans le temps, d'évaluer les progrès réalisés et les échecs encourus, notamment dans les secteurs les plus touchés et chez les personnes identifiées comme étant les plus vulnérables.
- Faire pression sur les institutions tout en leur fournissant des données utiles pour définir des priorités dans les réformes à engager.

III. Le contexte

La réalisation de ces enquêtes se situe dans le cadre d'un programme développé par TI-S sur la région visant à mener trois enquêtes pilotes en Afrique francophone.

TI initiative Madagascar avait alors manifesté son intérêt à mettre en œuvre ce type de projet dans un pays où la corruption est ressentie comme un obstacle majeur au développement économique et social et où les données factuelles pour l'évaluer et la mesurer font défaut.

IV. Mise en place

Groupes cibles

L'enquête auprès des ménages a été menée sur un échantillon de 1140 ménages dont 58% en milieu urbain (capitale, chefs lieux de province et centres urbains secondaires) et 42% en milieu rural. A noter que chaque individu enquêté devait être âgé de 18 ou plus et représenter un ménage et un seul.

L'enquête auprès des entreprises du secteur privé avait un objectif de couverture plus restreint, limité à 4 villes (Antananarivo, Antsirabe, Toamasina et Toiliary). 819 responsables d'entreprises, dont 57% dans le secteur formel et 43% dans l'informel, ont été sondés.

instruments de recherche

Les instruments de recherche comprennent trois composantes :

- Un questionnaire destiné aux entreprises privées
- Un questionnaire destiné aux ménages.

A noter que les questionnaires ont été construits autour d'un tronc commun aux différents groupes cibles (ménages et secteur privé) et de parties spécifiques à chacun d'entre eux, touchant les domaines dans lesquels ils sont plus spécialement impliqués.

Le tronc commun des questionnaires soumis aux ménages et aux entreprises du secteur privé abordait les thèmes suivants :

- Tendances d'évolution générale
- Principales causes ou raisons
- Acceptabilité des comportements
- Degré de prévalence par secteur-milieu
- Expérience personnelle
- Réactions par rapport au phénomène
- Degré de corruption des milieux politiques
- Impact sur le développement socio-économique

Pour le secteur privé, les questions spécifiques posées en plus ont porté sur la douane, les appels d'offres et les dispositions prises par l'entreprise pour lutter contre la corruption.

Pour les ménages, les questions spécifiques ont porté sur l'accès à l'éducation, aux soins de santé, à l'eau et au fonctionnement du service des domaines.

- Un questionnaire factuel auquel répondront les participants aux groupes de discussion (focus group discussions). Ce questionnaire comprend une série de questions fermées permettant une première évaluation de l'état des différents éléments composant un système national d'intégrité, c'est-à-dire de l'état des dispositions légales, administratives et institutionnelles mises en place pour prévenir la corruption et renforcer les pratiques d'intégrité. L'exercice consistait à confronter un modèle de système idéal aux réalités vécues par les participants.

Conception des enquêtes

Les instruments de recherche ont été préparés au niveau du Secrétariat International pour chacun des trois aspects de la recherche au terme d'une démar-

che de consultation avec des experts internationaux en ce domaine et de différents acteurs et agences impliqués dans des exercices similaires.

Ils ont ensuite été adaptés au contexte du pays (modifications apportées aux questionnaires par exemple) par TI-IM avec l'aide d'un consultant spécialisé dans ce domaine.

Processus d'exécution des enquêtes

1. Appel à manifestation d'intérêt
2. Sélection d'une liste de six candidats
3. Appel d'offres restreint auprès des six organismes présélectionnés
4. Sélection des cabinets en charge des futures enquêtes
5. Adaptation des questionnaires aux réalités socioculturelles du pays
6. Réalisation d'un pré-test auprès d'un échantillon correspondant à 5% de l'échantillon global.
7. Nouvelles adaptations portant sur le questionnaire
8. Collecte des données
9. Réalisation des entretiens sous forme de groupe de discussion
10. Production des 3 rapports de synthèse pour chacune des enquête-étude
11. Production d'un rapport général de synthèse.

Médiatisation des travaux de ces enquêtes

Les résultats de ces enquêtes ont été annoncés lors d'une conférence de presse le 28 juin 2002, à laquelle ont assisté une soixantaine de personnes, journalistes, un représentant du Président et du premier ministre, un ministre, des députés, ambassadeurs et bailleurs de fonds. La couverture médiatique a été importante sur tout le territoire. Il faut à cet égard relever que la date de publication des résultats des enquêtes a été reportée plusieurs mois en raison des troubles politiques survenus à Madagascar.

Contraintes rencontrées dans la mise en place

- Dans la phase de préparation des enquêtes.

Il a été difficile de choisir une taille d'échantillonnage et une couverture géographique qui soit à la fois suffisamment importante pour être représentative et qui n'implique pas un coût trop élevé.

La constitution de l'échantillonnage statistique a aussi rencontré des difficultés, en raison du manque de base statistiques nationales récentes et fiables.

- Au cours de l'exécution (collecte des données)

Les difficultés d'accès pour se déplacer sur le terrain et rencontrer les individus sont à relever. La réticence des personnes interrogées à répondre à certaines questions délicates sur leurs propres expériences notamment, malgré l'anonymat qui leur était garanti, a été pour certaines questions une réelle contrainte. Des mesures de précaution pour prendre des rendez-vous afin de prévenir les individus et éviter trop de refus lors des entretiens.

Compte tenu du sujet abordé, les réponses collectées sont souvent plus le reflet d'opinions personnelles et souvent subjectives que celui de la réalité.

V. Résultats

TI IM dispose désormais de données fiables sur la nature, les manifestations, les coûts et l'acceptabilité de la corruption à Madagascar.

La publication des enquêtes a donné à TI IM une meilleure visibilité et reconnaissance au niveau national. Ces enquêtes ont été pour la section de TI un moteur pour le développement de leurs activités à venir.

La diffusion des résultats a permis d'ouvrir le débat sur la corruption et d'engager un dialogue constructif à partir de données objectives. Elle a donné lieu à une large couverture médiatique et surtout à des engagements précis de la part de 3 ministres (justice, police, et intérieur) à lutter contre la corruption.

VI. Perspectives et recommandations pour l'avenir

Perspectives :

Un tel exercice pourrait être renouvelé dans quelques années afin d'établir une comparaison dans le temps.

Une première comparaison sera aussi effectuée entre les résultats obtenus dans les trois pays où ces enquêtes pilotes ont été menées.

Recommandations :

Ce projet impliquant des compétences techniques bien spécifiques et nécessitant un suivi très régulier, il est fortement recommandé à la section prenant la responsabilité d'en coordonner un similaire de recruter un consultant spécialisé dans le domaine des statistiques et de la coordination d'enquêtes.

Il est aussi conseillé comme cela a été fait à Madagascar, de lancer un appel à manifestation d'intérêts afin de présélectionner les instituts de sondages les plus compétents puis de lancer un appel d'offre restreint. La validité des résultats collectés dépendra en effet beaucoup de la qualité des prestataires.

Municipal Government Evaluation Instrument, Nicaragua

I Fact Sheet

Name of the Tool: Municipal Government Evaluation Instrument

Brief Description: This is an instrument for measuring performance in transparency, citizen participation, administrative probity and the efficacy of municipal administration, developed jointly by Grupo Cívico Ética y Transparencia and the mayors of specific municipalities in Nicaragua. Its purpose is to contribute to good governance at the local level.

Responsible Organisation: Grupo Cívico Ética y Transparencia (EyT)

Problems Addressed by the Tool: A lack of transparency and participation in municipal performance; a lack of citizen mechanisms for monitoring the municipal government.

Areas of Work: Fostering the participation of local citizens, promoting municipal transparency.

When the Tool was Implemented:

Phase I (the pilot project) was executed from April to December 2001. Since February 2002, phase II has been in effect, with three new components. (See **Recommendations**)

The instrument was applied in 17 municipal governments in departmental and regional capitals.

Alliances: A co-ordinated alliance was formed with the Nicaraguan Municipalities Association (AMUNIC). This institution, by means of its President, Mr. Melvin Romero (Mayor of Boaco), and its Executive Director, Doctor Alejandro Bravo, facilitated our contact with the participating mayors.

Financing: The instrument was funded by EyT and the Swedish Embassy (a total of US \$130,000 over a period of two years).

For Additional Information, Contact:

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II Objectives

General Objective

- To contribute to democratic local governance with the use of evaluation, monitoring and incentives to promote transparency, administrative probity, citizen participation and general performance of municipalities throughout the country.

Strategic Objectives

- To provide the municipalities, municipal entities, international co-operation agencies, and society in general with an understanding of the local situation using an instrument for standardised information that guarantees the periodic measuring of the level of transparency of expenditures at the municipal level.
- To encourage civil society to monitor the daily practices of local governments using tools developed to verify the proper management of public affairs.

III Context

The Country

The new electoral law ordered that municipal elections be held in November 2000: these were the the first municipal elections ever to be held independently of national elections.

In the framework of this electoral process, the new, central role of the municipalities raised expectations among citizens by creating new opportunities for their direct participation. This also made the elections for local government a mechanism for encouraging a stronger sense of responsibility in public administration and decision-making mechanisms.

Given the existence of corruption at all institutional levels in Nicaragua, the citizens of municipalities demanded during the campaigns in 2000 that mayoral candidates be more open with regard to the management of public resources. They also agreed to monitor the daily operations of local governments, these being the institutions with which they had closest contact.

During the municipal elections, EyT, with more than 4,500 volunteers throughout the country, decided to go beyond mere electoral observation. Instead, it focused on 17 municipalities in which the need for performance monitoring of the recently elected municipal authorities was needed.

The project received little national media coverage. However, the evaluations received much publicity in the local media.

The Organisation

Since 1996, EyT has given Nicaraguans the opportunity to play an active role in five different electoral processes (municipal, regional and national). Today, EyT is recognised throughout the country as a guarantor of trustworthiness in electoral processes, and as an effective mediator in conflict resolution.

In 2000, EyT observed the first municipal elections. Its presence in each municipality was significant in reinforcing the organisation's efforts and broadening its mission at the municipal level.

In addition to the monitoring that took place during the electoral process, many Nicaraguans demanded closer monitoring of elected officials. For this reason in 2001, 17 of Nicaragua's 151 local governments embarked on a programme aimed at evaluating their performance and providing incentives for better governance. For this, a measurement tool was developed jointly by the mayors and EyT with the specific objectives of measuring the levels of transparency, citizen participation, administrative probity, and efficacy of municipal performance.

IV Implementation

Phase I was considered a pilot experience, as this was the first time that such a project had been implemented. The first step was the development and presentation of the project to each of the mayors of the 17 local governments in the departmental and regional capitals, the direct beneficiaries of the Evaluation and Incentive System. This first activity was somewhat complicated in that it took place at a fairly delicate time - the municipal administrations had only recently been elected and other political and electoral events were soon to be held (the municipal elections in 2000 and presidential elections in 2001).

The second step was to host a ratification workshop with the participation of the 13 municipal delegates (excluding Jinotepe, Masaya, Rivas and Granada). Despite the circumstances, the first meeting was held and the first national and worldwide municipal evaluation tool, which had been developed jointly by representatives of the municipalities and EyT, was ratified. The purpose of the tool was to foster active social control, and it consisted of indicators that enabled us to collect information on (see a detailed list of indicators in *Appendix 1*):

- **Transparency:** 21 indicators on planning and policy, municipal administration, personnel and contracting, publicity and the dissemination of activities.
- **Participation:** 28 indicators on city councils, open town councils, local commissions, territorial representatives, relations with local organisations, and municipal structure.
- **Probity:** Nine indicators on property and assets, salaries, travel expenses and the use of the municipal government's property.
- **Efficacy:** 20 indicators on municipal planning, municipal administration, public works, performance and management, and inter-municipal relations.

Furthermore, as the result of our workshop - and a long and tortuous process of direct persuasion by means of numerous visits - and despite the fact that at first some mayors showed a certain reluctance to participate in the evaluation system, 16 of the 17 participating mayors and EyT signed the Montelimar Coordination Agreement (see *Appendix 2*). The main points in the agreement were:

- EyT promised to undertake evaluations of the transparency, citizen participation, administrative probity, and efficacy in municipal performance, in a technical, professional and impartial manner.
- The local government administrations promised to facilitate access to public information (municipal budgets, properties, assets, salaries, travel expenses, co-operation agreements, spending plans, management of resources for public works, etc.)

In the end, the agreement was ratified by 16 mayors (one mayor, from Jinotega, declined to sign the agreement because he had just been recently elected and wanted to ensure the smooth transition from the old administration). However, the auditing was carried out in 16 municipal governments, including Jinotega and Managua's five districts, which resulted in the first annual evaluation.

The municipal evaluation tool was used in 17 municipal governments for social audits. An auditing firm was hired on the basis that, this being the first time that such an audit was conducted, it was necessary for a counsel of experts to provide us with advice and training in the field of audits, and with respect to specific subjects such as budgetary execution, financial and administrative control, etc.

To select the auditing firm, EyT took into consideration the experience of several companies in the municipal environment. Deloitte & Touche, KPMG Peat

Marwick, HH Lic. Wyman Hoker K., C.P.A. and González Chávez Consultores y Asociados all submitted proposals. EyT selected one that had experience in financial and administrative auditing, having worked at the municipal level with governmental institutions, national and international entities and private enterprises.

The firm provided training to EyT personnel and municipal co-ordinators, supported the collection of data for the evaluations, and certified the results of the audits of the 17 municipal governments in the departmental and regional capitals.

The data collection stage was undertaken in periods of two and three days in each municipal government, by teams made up of two auditors, the national network departmental and/or municipal co-ordinator, for a total of 17 voluntary co-ordinators and 2 members of the EyT technical team.

The auditing firm used primary and secondary sources in conducting the audit. The secondary sources were primarily minutes of municipal council meeting, budgets, development plans, income and expenditure statements, agreements with donor agencies and the like. The primary sources included interviews with town councillors, mayors, deputy mayors and the issue and personnel directors of the municipalities.

The information collected with the tool was presented to the evaluation committee that consisted of:

- The EyT president
- A member of the EyT Directive Council
- A member of the EyT Technical Team
- A consultant on the Transparency project
- A representative from the Nicaraguan Municipalities Association (AMUNIC).

The committee was charged with the following duties:

- Adding up the points obtained by each municipal government.
- Analysing the information collected.
- Assigning a ranking to each municipal government for each element.
- Giving the certification to each municipal government.
- Presenting the awards to the best municipal governments.

The following table shows the various phases of project execution:

Phase	Area Covered	When
I	17 departmental and regional capitals	April-Dec. 2001
II	17 departmental and regional capitals and 10 additional municipalities of over 30,000 inhabitants, for a total of 27 municipalities evaluated. 50 municipalities for institutional strengthening (administrative and financial control structures)	Jan. 2002 Jan. 2003
III	All municipalities	Feb. 2003 - Feb. 2004

It is worth mentioning that the greatest reward is the prestige gained from being nominated as one of the three top-scoring municipal governments out of the 17. The programme's main purpose is to acknowledge and motivate political commitment and progress.

V Results

In general, the evaluation results were satisfactory. EyT provided a unique standardised instrument with indicators that could be used in decision-making by institutions such as AMUNIC, INIFOM (a decentralised government agency that works at the municipal level carrying out public works projects), national and international NGOs, international co-operation agencies, the municipal governments that were evaluated, and the remaining municipal governments.

One of the main objectives of the project was to reward the three municipal governments with the best scores. The prize, although symbolic, was US \$3,000 for each of the winners.

The municipalities used the money to set up a public service window in Estelí, provide a light in the municipal cemetery in Ocotal, and build a pedestrian shelter and repair a pedestrian bridge in the municipality of Matagalpa.

The most innovative result of the programme was the instrument for standardising indicators such as transparency, participation, probity and efficacy.

The results of the evaluations were made public. They were presented to the media, international co-operation agencies, the country's municipal governments, different municipal entities, and to the general public.

The most controversial indicator showed that some salaries of municipal officials were relatively large given the low levels of taxes being collected in the relevant municipality.

The participating municipal governments used the results to compare their situation with that of those municipalities that scored higher in the evaluation, sparking a process change and improvement that would be verified in Phase II, which is now underway.

The project has had other results that, while not collateral, are still important such as:

- Certain municipal information, that previously had never been collected, has been standardised, such as the salaries of the mayors and deputy mayors, among others. This may serve as a database for AMUNIC.
- After EyT collected the comparative information and then sent the participating municipal governments the final recommendations, many municipalities were able to improve and incorporate some instruments for citizen participation, transparency, probity and efficacy into their performance.

In general terms, it may be said that the project has served to deepen the process of good local governance and, as such, the local development process for Nicaraguan municipalities. This has in turn reinforced what has been called the triangle of governability, which is based on the three tenets: accountability, citizen participation and transparency.

It is worth mentioning that the project owes part of its success to the importance that the mayors gave to the awards and to the recognition that EyT gave to the best municipal governments. However, some mayors were reluctant at first to participate and provide information, which can be attributed to the fact that this was the first time that an initiative of this sort had been undertaken.

Although there was no strategy to promote the project, the national and local media often published the results of the evaluations. The results consisted mainly of the indicators on salaries, travel expenses, and the use of resources, which made it possible to compare spending in different municipal governments and the level of responsiveness of the local governments to citizens' problems. The winning municipal governments made use of their resources to promote their services and facilitate resource flow, hence they used the recognition gained from EyT to their advantage.

VI Recommendations

In Phase II, we feel it appropriate not only to provide hard data on the municipal situation, but also to reach a consensus with the institutions involved in changing the services and responding to the people's needs.

Some elements did not work well. The project had little publicity, specifically the administrative probity indicator, which was partially evaluated by means of documents that the mayors, deputy mayors, city councillors and financial and administrative managers had signed.

As such, in Phase II, which is currently underway, we have included three new components with the objectives of overcoming these weaknesses and evaluating processes not monitored in Phase I, which consist of the following:

- Firstly, we are considering extending the incentive system to 10 additional municipal governments whose municipalities have over 30,000 inhabitants (for a total of 27 local governments under evaluation). This would enable the scope of the instrument to be much broader. We would have the results of new indicators for the 17 municipalities being evaluated for a second time, and thus be able to monitor progress and setbacks. On the other hand, we would obtain results for 10 smaller municipalities that would be subject to evaluation for the first time. Thus, we hope to obtain an instrument that provides a clear view of the level of transparency, administrative probity and efficacy in the performance of 27 municipalities. This sort of instrument could be used as a guide for directing funds.
- In terms of the 17 municipalities from Phase I, the objective would be to oversee aspects that were not considered previously such as municipal procurement processes.
- Phase II will include providing training and consulting to 50 municipal governments, hence strengthening their local skills in areas such as structures for financial and administrative oversight. A team of EyT financial and administrative auditing specialists will conduct the training programme. The objective is to guarantee the good management of public administration by providing mechanisms for internal auditing of municipal activities in such a way that weaknesses may be detected and corrected.

Description by: Nadia Arévalo Muñoz

Appendix 1

Indicators

Citizen participation

1. Attendance level of councillors to ordinary councils
2. Attendance level of councillors to extraordinary councils
3. Summons to ordinary councils announced on notice/advisory boards
4. Summons to ordinary councils announced in local media
5. Level of public participation in the municipal capital in the last four ordinary council meetings
6. Level of compliance in the following four months to agreements established
7. Number of annual general town councils
8. Percentage of participation from the municipal capital in the two most attended town councils of the year
9. Percentage of women from the municipal capital in the two most attended town councils of the year
10. Percentage of town council summons announced by a local media
11. Number of obligatory meetings held by local commissions in the last four months
12. Number of non-obligatory meetings held by local commissions in the last four months
13. Average of participants in the last three best attended local commission meetings in the last four months
14. Percentage of women participating in the last three best attended local commission meetings in the last four months
15. Percentage of communities or neighbourhoods with sub-mayors, auxiliary mayors or geographical representatives
16. Percentage of sub-mayors, auxiliary mayors or geographical representatives elected by the community
17. Percentage of female sub-mayors
18. Percentage of local organisation whose work is *known* in the mayor's office
19. Percentage of local organisations *co-ordinated* with the mayor's office
20. Percentage of projects and activities organised by the mayor's office *with the participation* of local organisations
21. Number of women working in the government team
22. Percentage of women working in the technical and administrative team

23. Percentage of men in assistant roles
24. Existence in the government of areas of citizen participation, community relations, or other similar areas
25. Number of cultural and recreational activities sponsored by the municipality in the last four months
26. Number of geographic and/or thematic town councils, assemblies carried out by the municipality since February
27. Average number of participants at geographic/thematic town councils, assemblies carried out since February
28. Percentage of women participating in these events.

Transparency

1. Percentage of technical experts of the former team kept on in current administration
2. Percentage of personnel in assistance roles of the former team kept on in current administration
3. Number of opposition councillors in responsible positions: Commissions, Areas, etc.
4. Public information on the salaries of political, technical and auxiliary personnel (statements, notice board, publications)
5. Public information on travel expenses, representation expenses and contracts (statements, notice/advisory boards, publications)
6. Existence of notice/advisory boards
7. Periodical publication with activities and economic information on the mayor's office
8. Municipal window for Citizen Services
9. Number of monthly interventions in local radio and television on municipal information
10. Number of monthly municipal activities transmitted by the local media

Integrity

1. Document on the commitment to an annual asset declaration (mayors, vice-mayors, councillors and in general public offices in charge of fund administration)
2. Document on the commitment to authorise asset verification by third persons (mayors, vice-mayors, councillors and in general public offices in charge of fund administration)
3. Salary amount of mayors, vice-mayors and councillors

4. Percentage of the municipal budget allocated to travel and representation expenses
5. Percentage of justified travel expenses
6. Actualised inventory of state goods.

Efficiency

1. Existence of a Municipal Development Plan and/or Strategic Plan
2. Existence of a Municipal Investment Plan
3. Existence of an Annual Operation Plan
4. Existence of an Urban Planning Plan
5. Existence of other plans (environment, prevention, emergency, housing)
6. Fiscal efforts in IBI¹ tax collection
7. Level of personnel hiring by the actual mayor's office according to the official procedures
8. Level of public works contracts by the actual mayor's office according to the official procedures
9. Percentage of the rise in individual income (taxes, fees, services, rents, etc.)
10. Investment in municipal works (C\$/habitant), in the last 5 months
11. Percentage of the municipal budget dedicated to investments
12. Investments in works (C\$/habitant) with international co-operation funds
13. Percentage of works in the municipality carried out with municipal license in the last five months
14. Number of additional municipal services that are not obligatory by law
15. Number of (temporary) socio-economic activities (joint activities of the economic and social sector) carried out by the mayor's office on competitions not strictly municipal
16. Number of inter-municipal and inter-department relations
17. Number of formal inter-municipal relations
18. Number of current treaties between the mayor's office and central institutions
19. Number of current co-operation agreements with foreign entities (town-twinning, etc)

1 An annual tax based on property valuation.

Appendix 2

Montelimar Agreement

COOPERATION AGREEMENT BETWEEN GRUPO CÍVICO ÉTICA Y TRANSPARENCIA AND THE MAYORS OF 17 DEPARTMENTAL CAPITALS

Considering: That the municipality constitutes the basic territorial unit for the organisation of the state and that the local authorities are responsible for the population's socio-economic development, the provision and management of all the issues facing the local community, and the provision of opportunities for citizen participation.

Considering: That organised civil society is a political actor that guarantees and promotes human rights, and guarantees ethics and moral values, citizen participation and, on occasion, acts as a facilitator and intermediary between the different political actors that participate in the process of democratic transition that our country is experiencing.

Considering: That in order to strengthen local democratic governability, it is necessary to undertake joint initiatives involving local authorities and civil society organisations; as in the case of the Municipal Transparency and Citizen Participation Programme promoted by the Grupo Cívico Ética y Transparencia, which purports to contribute to the promotion of honest and effective municipal performance, by means of an incentive regime.

Considering: That to facilitate compliance with the Municipal Transparency and Citizen Participation Programme, it is appropriate to come to a formal agreement with the object of establishing the commitments that the local governments of the 17 departmental and regional capitals will make to the members or representatives of the Grupo Cívico Ética y Transparencia, and this group's commitment to undertake all of its labours in a technical, professional and objective manner, independent of the individual political leanings of its members.

THEY AGREE

We, the undersigned representatives of the 17 municipal governments in the departmental and regional capitals of the Republic of Nicaragua, and the representative of Grupo Cívico Ética y Transparencia, being aware of the need to formalise methods and actions in favour of strengthening our local performance, declare and sign:

The Grupo Cívico Ética y Transparencia Foundation, promises to carry out evaluations every six months and to undertake all of its labours in a techni-

cal, professional, objective, honest, clean, impartial and transparent manner, and that the results will determine the awards for the three municipal governments receiving the highest scores in the evaluations.

In turn, the 17 mayors of the departmental capitals promise to provide access to public information such as municipal budgets, properties, assets, salaries, travel expenses, co-operation agreements with other municipal governments and central government institutions, and co-operation agreements with foreign entities and governments. They will also provide information on spending plans, municipal plans, annual spending proposals, spending for the medium and long term, plans and execution of public works, management of the resources for carrying out public works, percentage of the public works funding with their own resources and resources for co-operation and institutional transfer payments.

This agreement is binding for the respective parties once the official representatives have ratified it or those expressly designated for this by the pertinent municipal governments.

In accordance with what have been set out above, we sign a single original copy, at the offices of Grupo Cívico Ética y Transparencia in the city of Managua, on 26 July 2001.

READ AND SIGNED BY:

Granada Municipal Government
Managua Municipal Government
Masaya Municipal Government
Jinotepe Municipal Government
San Carlos Municipal Government
Rivas Municipal Government
Boaco Municipal Government
Puerto Cabezas Municipal Government
León Municipal Government
Chontales Municipal Government
Matagalpa Municipal Government
Chinandega Municipal Government
Estelí Municipal Government
Jinotega Municipal Government
Ocotal Municipal Government
Bluefields Municipal Government
Etica y Transparencia
Somoto Municipal Government