USING GOVERNANCE DATA TO FIGHT CORRUPTION ACROSS THE SDGS

HANDBOOK FOR E-LEARNING COURSE

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

This handbook is designed to accompany an e-learning course entitled *Using Governance Data to Fight Corruption Across the SDGs.* This course has been produced by Transparency International in collaboration with Leiden University and Kemitraan: The Partnership for Governance Reform.

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1. Get introduced to the presenters, the course and its aspirations
2. Become familiar with the course's overarching learning objectives

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Inda: Hello there! My name is Inda

Matt: and I'm Matt, and together we'll be accompanying you on this course "*Using governance data to fight corruption across the SDGs*." So Inda, let's introduce ourselves. My name is Matt Jenkins, and I'm a researcher at the Transparency International Secretariat in Berlin. Among other things, I lead the research component of Transparency International's work on the Sustainable Development Goals, which we'll be discussing as part of this course.

Inda: I'm Inda Loekman, the Head of the Knowledge and Resource Centre at Kemitraan, the Partnership for Governance Reform in Indonesia, which I'll also be telling you more about later. In this course, we'll be looking at one of Kemitraan's most innovative data projects, the Indonesia Governance Index. I'll show you how we determined the need for the Index, carefully designed it to cater to local context, developed specific indicators and datasets, and ultimately how we transformed our data into action to achieve impact. Along the way, I'll share some of the challenges encountered and lessons learned with you, to help inform your own work.

Matt: As we'll see, Kemitraan's work on the IGI is very inspiring though also very labour intensive! While governance data projects vary in scale, this course presents a common method and framework for designing data-driven projects regardless of their size.

Our ambition is twofold. First, we want to inspire a new generation of governance-related data projects that can help diagnose the causes and effects of corruption, advocate for further anti-corruption efforts, and monitor the effectiveness of these efforts. With the launch of the Sustainable Development Goals, we have a precious opportunity to push for real improvements in governance around the world.
Second, we want to establish the credibility of governance data generated by civil society and citizens. To do so, we'll be providing a framework to guide the process of working with data from start to finish; from defining your objectives to lobbying policymakers with your findings.

We know that working with data can seem intimidating, so we decided to break the process down into parts, to show you that working with governance data need not be as overwhelming as it initially seems. If we want to you learn one thing in this course, it is that you shouldn't be afraid of data! No one person can do everything from project conception to the dissemination strategy. Rather, the key to success is about finding allies and partners who can help you achieve your objective.

Inda: Our aim is to equip you with ideas, skills and knowledge you need to run a successful governance data project. By the end of the course, you should be able to do five things.

First, appreciate the benefits that working with governance data can bring.

Second, answer key strategic questions crucial to any project using governance data. Why do you need data? What do you need to measure? And who can you work with?

Third, recognise different types of governance indicator and the strengths and weaknesses of different kinds of datasets.

Fourth, craft targeted, powerful message to turn your findings into policy impact.

Finally, understand how to strategically align your work with policy processes from the district to the global level, such as the Sustainable Development Goals

Matt: We are also keen that you use what you learn in this course to drive change in the real world! So, to help you transfer knowledge into action, after each lesson we'll ask you to complete a section of data project "roadmap." At the end of the course, therefore, you should have a step-by-step guide to working with governance data in your own project.

Ultimately, our hope is that the new proficiency in the use of governance data you develop will help position your organisation in relevant debates, getting you a seat at the table and enhancing the impact of your evidence-based advocacy.

So see you in lesson 1, where we'll define governance, consider the value of governance data and discuss corruption in the context of the Sustainable Development Goals.

Module 1: The value of data for anti-corruption
Video 1.1: Governance and the SDGs

Learning objectives:
1. Learn about "governance" as a core concept for the course
2. Understand how governance data can be used to drive policy change
3. Become familiar about the link between governance and the SDGs
4. Describe the course structure

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Welcome back! Along with Inda, who you'll meet again in the next video, I'll be accompanying you throughout this course on the use of data for anti-corruption. So let's get started! Today, we are going to explore the value of working with governance data.

Introduction

Data is key for understanding and tackling corruption. How much do we really know about the scale, nature, and cost of corruption? Is it possible to measure its impact on people? Can we make reliable comparisons of corruption levels between countries? How can we monitor corruption trends overtime and assess progress of anti-corruption efforts?

Data can help answer all these questions and give us the keys to implement change. Measuring corruption is not an end itself, but rather a means to an end: what we measure should help us drive reform. When used effectively, governance data can be a powerful tool to inform citizens, influence decision makers and track progress in anti-corruption.

What is governance?

Before looking at the ways that data can be used for anti-corruption work, let's cover a core concept of this course: "governance." As we shall see, measuring the quality of "governance" and its various components matters immensely for fighting corruption. This is because measuring governance can generate the necessary evidence to raise awareness of the impact of corruption, diagnose corruption risks and monitor the progress of anti-corruption reforms.

Broadly speaking, governance refers to the legal and institutional arrangements and relationships that shape the way decisions are made and authority is exercised in a given country. As you can see, this includes mechanisms supporting participation, the rule of law, transparency, responsiveness, consensus building, equity, effectiveness and efficiency, and accountability.

When institutions operate in line with these core *good governance* principles they are better able to control corruption. In other words, corruption is a symptom of *bad governance*. Therefore, measures to improve the quality of governance are *fundamental* to fight corruption.

The value of working with governance data

So how can data on governance be used to achieve change?

First, data can *make visible* phenomena like corruption, which usually take place behind closed doors. As you can see in this graph, for instance, we can use data to quantify the devastating impact of corruption on economic growth, human development, inequality and so on.
When used this way, data can become a powerful tool for *advocacy*, as it provides the evidence needed to press policymakers to act on a problem.

Second, data is crucial for sound *policy-making*, as data can help identify which sectors and which population groups are most affected by corruption. Studies show, for instance, that in Afghanistan judges are more likely than other public officials to demand bribes, while the Indian states of Rajasthan and West Bengal are the most plagued by police corruption. This kind of information helps prioritise anti-corruption interventions.

Data is also crucial to *monitor* whether progress is being made or not overtime, how fast, and how evenly across the national territory. For example, a TI survey in Sub-Saharan Africa found that the poorest citizens were twice as likely to have paid a bribe as the richest.

Third, data can also be used to *create incentives for reform*. This can be bottom-up, when citizens use data on governance to demand better performance from authorities. Incentives can also come from the outside, for instance when countries have to report their progress on governance and anti-corruption to international bodies such as the United Nations.

Last but not least, data allows us to test hypothesis and to *validate assumptions about 'what works'* in the fight against corruption. This has led to a critical shift in the anti-corruption debate, from merely diagnosing problems to 'testing' various solutions and identifying on the basis of evidence which ones are most effective.

Monitoring corruption across the SDG framework

But what opportunities are out there to make the best use of data for anti-corruption purposes?

Well, recognising that "data is the lifeblood of decision-making and the raw material for accountability", world leaders recently called for a 'data revolution.' This revolution is intended to provide decision-makers with the evidence they need to effectively implement a new global agenda: the Sustainable Development Goals, or SDGs.

In this course, we'll be using the SDGs to demonstrate how governance and anti-corruption data can be used to support the implementation of the various Goals. So allow me to give a little background on what exactly the SDGs are, and why they matter for corruption.

In September 2015, 193 UN member states committed to 17 sustainable development goals intended to steer policy making and development funding until 2030. Global targets and indicators have been set for each of these goals. Countries are encouraged to adapt global targets to their national circumstances and incorporate them into national planning processes and policies.

The SDG framework recognises that corruption is a major obstacle to reaching these goals by hampering economic growth and human development, increasing poverty and exacerbating inequality. Specific anti-corruption and governance targets can be found under Goal 16 on 'promoting peaceful, just and inclusive societies for sustainable development'.

Beyond Goal 16, anti-corruption efforts are also recognised as crucial to deliver sustainable development in sectors such as **health, education, water and sanitation, gender equality, and**

climate action. In all, 36 targets across the 17 Goals directly measure an aspect of governance, inclusion, or access to justice, with only a third of these found in SDG16. In other words, countries should be monitoring governance and corruption across all 17 Goals, rather than limiting their reporting on a few targets under SDG 16.

Concept and Structure of this course

In this course, we want to equip you with the knowledge and the skills you need to collect, analyse and use governance data to monitor corruption and promote anti-corruption reforms across the SDG framework.

In a nutshell, the structure of the course is as follows:

- First you will explore the value of working with data for anti-corruption.
- Then, we will guide you through the first steps of working with data: defining your research objective, identifying your data needs, and figuring out whom to engage, how, and at which stage of the process.
- After this, you will learn how to identify strategic indicators that best match your objectives, and how to develop so-called 'baskets of indicators' to capture a fuller picture of the progress of anti-corruption reforms.
- Next we will help you match your chosen indicators with the most relevant data sources, and will help you assess the reliability of various datasets.
- Then, we'll look at how to strategically use governance data to maximise your advocacy and policy impact.
- Finally, we'll consider how to apply the knowledge acquired in the first four modules to the SDG framework.

Throughout this course we will use real life cases, sometimes related first-hand by practitioners who have successfully used governance data to achieve change in their country.

We hope you will enjoy this course and I look forward to seeing you again in the next video!

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Video 1.2 The value of working with data

Learning objectives:
1. Learn about the data revolution and its implications for governance data
2. Explore why governance data its crucial to the achievement of the SDGs

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Introduction

Fundamentally, this course is about how we can use data to tackle corruption and promote good governance. To begin with then, we need to understand the value of working with data. What is at stake and what can data help us achieve? What are recent trends in the production and use of data, and what are the implications for those of us seeking to significantly reduce corruption?

In today's presentation, we'll consider the case for the so-called data revolution, before turning to look at what this means for governance data in particular. Finally, we'll assess why governance matters for the most ambitious development initiative ever launched: the 2030 Agenda for Sustainable Development, which calls for "new actors, new ideas and new partnerships" to help realise the huge opportunities offered by the data revolution.

Ultimately, this course aims to equip you with the knowledge and skills to answer that call by harnessing the power of governance data in the fight against corruption across the Sustainable Development Goals.

What is all this talk about a 'data revolution' for sustainable development?

According to *The Economist* (2017), data has now displaced oil as the "world's most valuable resource". Indeed, the volume of data in the world is increasing exponentially: it is estimated that 90% of the data in the world has been created in the last two years!
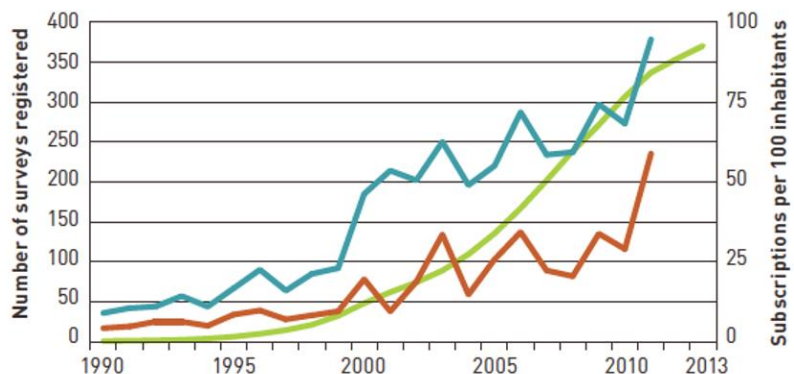
As this graph shows, the volumes of both traditional sources of data (represented by the number of household surveys registered – in blue) and new data sources (as shown by the spike in mobile subscriptions per 100 people – in green) have been rising, and openness is increasing (as you can see from the numbers of surveys placed online – in red). This is the "data revolution": the unprecedented opportunity we now have to improve the data that's essential for decision-making, accountability and solving development challenges.

Features of the data revolution

According to a UN Expert Group, **the data revolution** is not only an explosion in the **volume of data** and in the **speed** with which data is produced, thanks to the use of new technologies. It is also:

- An exponential increase in the **number of producers** of data and in **the range of** data sources**:** By integrating new datasets with traditional datasets, we can produce information that's more detailed, more timely, and more useful;

- **A growing demand** for data from all parts of society, accompanied by a much greater degree of openness and transparency on the part of data producers.

What does the 'data revolution' mean for governance and corruption data?

The data revolution is particularly significant in the domain of governance data. Broadly speaking, we can distinguish between three 'phases' in the evolution of governance indicators over the past 50 years or so. The data revolution is a crucial component of the third phase.

A **first wave**, from the 1970s until the fall of the Berlin wall, focused mainly on the production of indicators of democracy and political systems by **Western academics**. Their objectives was to advocate for further democratisation. To do so, organisations like Freedom House began using international rankings, which rated countries as 'free', 'partly free' and 'not free'.

A **second wave**, developed between the early 1990s and the late-2000s, focused on combining different sets of quantitative data to produce more sophisticated international rankings. These were mainly developed by donors, often with the objective of guiding the **allocation of aid and private investment.** This was the case for the World Bank's well-known 'Worldwide Governance Indicators', launched in 1996.

In the **third wave**, which is ongoing, we are seeing a flurry of **bottom-up** efforts to measure governance using data generated by civil society networks and citizen groups. The main objective of these initiatives is to enhance **accountability** of government towards its citizens. We can distinguish between two different approaches.

- Firstly, international governance assessments coordinated by civil society networks, which rely on local actors to collect data using a common methodology. An example is the Open Budget Survey methodology used by local civil society organisations in 115 countries to collect data which is then compiled into an international index.

- Secondly, home-grown data initiatives. In the age of the data revolution, local civil society organisations no longer merely participate in international governance assessment activities as data collectors: they also initiate their own assessments, designing methodologies specifically tailored to their most pressing concerns. This trend towards locally-led and locally-owned assessments is exemplified by Kemitraan's Indonesia Democracy Index, which we cover in this course.

The common denominator of the third phase is that we are seeing a both a surge in quantity of governance data produced at national and sub-national level, as well as a rapid expansion in the range and profile of data producers.

To summarise, in the area of governance, the 'data revolution' means that:

- Data collection methodologies are now *designed by national actors* – not only by international experts or donors; and

- Governance data reflects the *concerns of individual citizens and civil society at large*, not only those of experts.

So, what does this mean for anti-corruption efforts in the context of the SDGs? Well, while national statistical offices, the traditional guardians of public data for the public good, will remain important, the 2030 Agenda provides a platform for new data sources, including those compiled by civil society organisations and other non-state actors.

But democratising the production of governance data is not without resistance. Data generated by civil society is sometimes dismissed as being of poor quality, such as not being statistically sound, or being unrepresentative or inaccurate.

This course is designed specifically to counter such claims, by showing you under which circumstances governance data becomes a trusted source of information. We want to provide you with a framework you can use to produce reliable and robust governance data to tackle policy challenges.

Our hope is that this course will equip you with the skills you need to be able to contribute to this 'data revolution' in the area of governance.

Governance as a cornerstone of the Sustainable Development Agenda

Let's talk in greater detail about the 2030 Agenda for Sustainable Development. This represents the first time that world leaders recognise in an international development agenda that without peace, justice and inclusion, sustainable development cannot be achieved. As stated in the 2030 Agenda, weak institutions and poor governance make it impossible for societies to reach their full development potential. The 2030 Agenda therefore urges Member States to build societies based on:

- Equal access to justice;
- Respect for human rights;
- Effective rule of law and good governance at all levels; and
- Transparent, effective and accountable institutions.

Sustainable Development Goal 16 (SDG 16) is the main Goal for advancing good governance and anti-corruption. It sets 12 specific targets to be achieved by countries by 2030.

There are 4 targets particularly relevant for anti-corruption:
- 16.4: organised crime and illicit flows
- 16.5: corruption and bribery
- 16.6: transparent and accountable institutions
- 16.10: access to information

Progress made in achieving each one of these targets is measured at global level by one or two indicators per target. Let's look at a few examples.

Target 16.5 "Substantially reduce corruption and bribery in all their forms", for instance, is assessed against two indicators:

Indicator 16.5.1 - "Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by those public officials, during the previous 12 months"

And

Indicator 16.5.2 - "Proportion of businesses that had at least one contact with a public official and that paid a bribe to a public official, or were asked for a bribe by those public officials during the previous 12 months"

Data for 16.5.1 is supplied by the United Nations Office on Drugs and Crime, while the World Bank Enterprise Surveys provide data for 16.5.2.

Target 16.4 "significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organised crime" likewise has two global indicators:

Indicator 16.4.1 "Total value of inward and outward illicit financial flows (in current United States dollars)"

and

Indicator 16.4.2 "Proportion of seized small arms and light weapons that are recorded and traced, in accordance with international standards and legal instruments"

Currently, there is no agreed methodology or available data at global level to measure the two indicators for SDG 16.4. This is a limitation we'll return in the final section of this presentation.

Governance at the heart of the 2030 Agenda

In any case, SDG16 on Peace, Justice and Strong Institutions should not be seen in isolation. It has strong links with other goals of the 2030 Agenda**.**

In fact, without peaceful, just and inclusive societies, any progress towards the other sustainable development goals is likely to be fragmentary, short-lived and volatile. In turn, given what we know about the well-established links between corruption and lower levels of peace, justice and equality, anti-corruption must be at the heart of 2030 Agenda.
Where corruption plagues hospitals, progress on SDG 3 targets on healthcare will be limited. Where corruption blights schools, SDG 4 targets on education are unlikely to realised. Where corruption infests service delivery, goals on poverty eradication, clean water and affordable energy will be almost impossible to achieve.

This makes a compelling case to tackle corruption in "mainstream" sectoral goals. For this, we need data not only to track **progress** towards tackling corruption under SDG 16, but also on the **impact** of corruption across the entire SDG framework. As witnessed during the implementation of the

millennium development goals, positive outcomes in the short term will not be sustained over the longer term if corrupt practices go unabated.

SDG 16 + Targets

However, only a third of all 36 governance-related targets in the Agenda are found in Goal 16. Above and beyond the 12 targets under Goal 16, 24 targets across seven other Goals directly measure an aspect of inclusion, justice or peace. We call these 36 governance-related targets the **'SDG 16+ targets.'**

These governance-related targets under various SDGs present opportunities for you to use governance data to call attention to problems and offer solutions in a range of sectors. What do we mean by this?

Let's consider how the SDG 16 + targets contribute to the delivery of many of the other Sustainable Development Goals.

The following examples are taken from a Roadmap developed by an initiative called the Pathfinders for Peaceful, Just and Inclusive Societies.

Peaceful societies

We find targets aimed at promoting **'peaceful societies'** in Goal 8 on Decent Work and Economic Growth, which has targets related to forced labour, modern slavery and human trafficking, and in Goal 4 on Quality Education, which has target on promoting a culture of peace and non-violence through educational programmes.

Just societies

In the same Goal 4 on Quality Education and Goal 8 on Decent Work and Economic Growth, we also find targets aimed at promoting **'just societies'** – namely a target on equal access to education, and other targets on labour rights and on equal pay for work of equal value.

Inclusive societies

Finally, we find targets aimed at promoting **'inclusive societies'** in Goal 10 on Reduced Inequality Within and Among Countries, which has a target related to the promotion of social, economic and political inclusion of all population groups, and in Goal 11 on Sustainable Cities and Communities, which has a target aimed at enhancing inclusive urbanisation.

Entry points to promote anti-corruption in sectors

In other words, countries reporting on 'peaceful, just and inclusive societies' (the shorthand name for Goal 16) should consider the full range of SDG16+ targets – not only the twelve targets and 23 indicators under Goal 16.

So as we've seen, the SDG framework thus provides multiple opportunities to use data to tackle governance failings across a broad range of topics.

This is important for you to keep in mind if you want to support governance reforms in any one of the sectors covered by the SDGs. You may be interested in poverty eradication (Goal 1), health (Goal 3), education (Goal 4), water and sanitation (Goal 6) or climate change (Goal 13) – under each one of these Goals, you will find at least one target referring to governance, inclusion or justice.

This theme of applying governance data to sectors covered by other Sustainable Development Goals is something we'll return to in this course's final lesson, once we've mastered working with governance data!

So far in this presentation, we've considered recent trends in the democratisation of governance data, and covered why governance is a crucial component of the 2030 Agenda. Let's bring these two strands together and look at why achieving the SDGs will rely on the mobilisation of governance data generated by civil society and citizen groups. As we're about to see, we need to go beyond "official government data" to ensure that the implementation and monitoring of the SDGs is trustworthy and leads to actual change on the ground. This is where you come in!

Why do we need governance data for the 2030 Agenda?

There are two main reasons the 2030 Agenda requires governance data.

Firstly, to plan policy interventions. It is no good designing reforms for the healthcare sector unless you have a sound understand of the way the sector is governed!

Second, we need data to monitor progress towards the SDGs, understand what is and isn't working, and correct policies and programmes if necessary. The official monitoring framework contains global level indicators intended to help us do just that, by tracking whether we are on course to accomplish the ambitious goals.

The inadequacies of the global indicators

However, the global indicators are by no means perfect. This is acknowledged by the UN, which encourages countries to tailor global indicators to their national circumstances. In this process, it is foreseen that Member States should work closely with civil society to develop additional, country-specific indicators that truly resonate in the local context.

Even so, there are three main reasons why we need to harness the data revolution and go beyond "official data" generated by governments. Civil society and citizen data is needed to fill data gaps, ensure impartiality in reporting, and address the full ambition of the targets.

Fill data gaps

- According to the Institute for Economics and Peace, of the 22 global indicators for Goal 16, only 7 have data for more than 90% of countries, and 8 have data for less than 50% of countries. In other words, it will take years at best before countries are able to fully measure and report on Goal 16 using these global indicators!
- In the meantime, civil society needs to get involved and to explore other indicators and other data sources that can be used to monitor these commitments – or else these critical issues may end up being sidelined in policy discussions about SDG implementation.

Ensure impartiality in reporting

- When it comes to measuring government corruption, or the quality of public services, or the inclusiveness of state decision-making, governments may not be objective suppliers of data.
- The political nature of these topics means that non-state actors have a key role to play in order to valid and scrutinise official government reporting.

- Most targets under Goal 16 are multidimensional, measuring large concepts that cannot be fully captured by one or two indicators. For example, how can only two indicators cover such complex concepts as the 'rule of law' *and* 'access to justice', under Target 16.3? To measure the rule of law alone, the World Justice Project uses 47 indicators in its Rule of Law Index!
- Despite mentioning the need to strengthen asset recovery and combat organised crime, target 16.4 has no indicators to measure progress on these issues.
- Likewise, target 16.5 has the stated ambition of reducing corruption in all its forms, yet both global indicators focus solely on bribery and not other forms of corruption.

Summary

In this presentation, we've seen that the knowledge and experience of citizens and civil society is essential if we are to capture data which addresses the full ambition of the targets. As we will discover in this course, there is a clear mandate and opportunity for you to do this!

So, I look forward to seeing you in the next lesson, where we'll get stuck in by looking at the first steps of working with governance data.

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Video 1.3: Introducing the Indonesian Governance Index (IGI)

Learning objectives:
1. Meet Inda and learn about the background of the Indonesian Governance Index (IGI)
2. Understand the strengths and uses of the IGI

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Introducing Inda Loekman and Kemitraan

Hello there! We met in the welcome video. I'm Inda, the Head of the Knowledge and Resource Centre at Kemitraan. Throughout this course, I will share with you our experience of using data to promote the anti-corruption agenda in Indonesia. In particular, we'll be looking at one of Kemitraan's flagship tools, the Indonesia Governance Index, as an example of how to work with governance data to achieve tangible progress in the fight against corruption.

Over the next few weeks, I will outline the process Kemitraan used to develop the Index, the indicators we selected, the data sources we used, the challenges we met and overcame and finally, how we used the Index to maximise our advocacy impact.

But first, let's learn a little more about Kemitraan. The organisation was established in 2000, following Indonesia's first free and fair elections since 1955. It is led by a number of prominent Indonesian leaders from government, civil society and the private sector to promote principles of good governance.

At Kemitraan, we work on three fronts:

- We build capacity from within by supporting initiatives focused on the transformation of public institutions.
- We apply pressure from outside by strengthening the capacity of civil society, the private sector and other non-state groups to demand and promote governance reform.
- We bring stakeholders together by promoting governance reform activities via a network of partnerships.

In the mid-2000s, Indonesia was embarking on a vast decentralisation process and in some cases, local governments were struggling to deliver critical public services. Kemitraan identified the need to develop an assessment tool to measure and compare the performance of different local governments. As data on the quality of local governance was non-existent at the time, we decided to fill this gap by developing the Indonesian Governance Index (or IGI). It was first launched in 2009 and has since been published annually.

What is the Indonesian Governance Index?

The IGI is an assessment of the quality of governance at provincial level, based on six principles of good governance and the application of these principles in four key arenas (namely in political institutions, such as the provincial parliaments and the provincial Governors' office, in the civil service, in the private sector, and in civil society.)

In a nutshell, the IGI produces three things.

- First, a profile of each province's performance based on the 6 principles of good governance and the 4 arenas of governance.

- Second, a national ranking of provinces and districts and cities based on their performance on these various aspects.

- Third, a wealth of data on governance-related issues and their impact on development outcomes.

What are the strengths of the IGI?

As we will see later on in this course, the methodology that Kemitraan used to produce the IGI was based on careful consideration of our objective and the context we found ourselves in. This ensured that the tool has many strengths.

To begin with, the IGI is a user-friendly tool that anyone can access from our website. People can easily play with the data and zoom in on particular principles or arenas of interest to them.

It also allows for comparisons between provinces, which is an effective way to stimulate a healthy competition between them.

In addition, the tool enables people to track progress year by year, so they are better placed to hold officials to account.

Moreover, the IGI methodology is robust, as it based on a combination of various types of data and receives input from a broad range of experts and stakeholders across the country.

As a result, the tool enjoys a high degree of legitimacy in Indonesia, so that policy makers take our findings seriously. The Deputy Governor of Jakarta even stated that *'people should elect their leaders based on IGI assessment results'.*

Finally, to capitalise on this recognition, we make it easier for policy makers to act upon our findings by ensuring that our indicators are "actionable".

Don't worry if some of this seems a little unfamiliar at the moment, as we'll be covering everything from objective-setting and indicator selection to data types and stakeholder engagement in more detail later.

How is the IGI being used, for which purpose?

The IGI has been used by different stakeholders in a variety of ways.

- Governments uses it for policy-making, to guide the design of specific governance reforms. Based on our findings, for instance, governors in several provinces dramatically increased per-student budgets in schools.
- Civil society organisations use the IGI for advocacy when they engage the government on specific issues. For example, at Kemitraan we raised awareness about the direct impact of good governance on people's well-being, by correlating IGI results with provincial scores on the UN's Human Development index.
- The IGI is used by academics for research and teaching purposes; several papers have been published based on IGI data.

- Some donors use the IGI for aid allocations. For example, it was used by the UN as part of the criteria to select pilot provinces for a Programme on climate change.
- Other countries, such as Senegal and Morocco, have used the IGI as a model to develop their own monitoring systems of governance quality.

Summary

In this video, we took a first look at the IGI, and considered its strengths and applications. In the coming lessons, we will explore in greater depth the various steps Kemitraan took to develop this governance index and maximise its impact.

Module 2: Getting started with data: the first steps
Video 2.1: Measuring corruption and the data production cycle

Learning objectives:
1. Learn about direct and indirect approaches to measuring corruption
2. Become familiar with the data production cycle

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Welcome back. In this video, we will be covering two fundamental issues. First, we'll consider the question "how can we measure corruption?" Second, we'll provide an overview of the different stages involved in working with data.

Measuring corruption: direct and indirect approaches

Why is it so difficult to measure corruption? Well, as the old adage goes, *"not everything that counts can be counted, and not everything that can be counted counts."* And this is certainly true for corruption.

By nature, corruption is a diffuse and complex phenomenon that has many dimensions, takes many forms and occurs behind closed doors. This poses particular challenges for measuring its extent, evolution over time and for capturing the impact of specific anti-corruption strategies:

- First, corruption covers a wide range of practices and behaviours. A single measurement cannot capture the various forms and dimensions of corruption. For instance, the number of corruption-related convictions might reflect the efficacy of law enforcement rather than the level of corruption itself.

- Second, objective data is difficult to obtain, making it challenging to collect evidence and quantify the incidence of corruption. Estimating the amount of money involved, for instance, is usually guesswork.

- Third, it is difficult to attribute changes in levels of corruption to specific anti-corruption reforms or interventions. How can we isolate one particular policy from the background noise and state with certainty that it is the cause of a drop in the perceived level of corruption, for example?

- Fourth, there is a time lag between policy implementation and policy impact and it is hard to capture year by year progress in control of corruption in a reliable manner.

- Finally, the whole issue is highly sensitive, and those implicated are unlikely to accurately divulge their illicit insider knowledge. There will also be obstacles to comparing countries and regions, not least because in some political contexts, citizens may be more willing to report high levels of government corruption than others.

Despite these challenges, measuring corruption is not impossible. Over the last thirty years, many approaches at global, national and local level have attempted to monitor the phenomenon, using different types of measurement tools.

Traditionally, direct approaches to measuring corruption have relied on experts' perceptions or citizen's experiences of corruption, which are often obtained through surveys.
Some experts consider these measures too subjective, and they are seen as better suited to measuring street level bribery, rather than more sophisticated forms of corruption, such as embezzlement or money laundering.

So in order to get a better understanding of the issue, more recently activists, academics and policy-makers have started to use a wider range of sources. These sources range from administrative records and official statistics on institutional performance, to data on laws, participation, transparency and accountability mechanisms, as well as media reports.

Corruption, however, does not always need to be measured directly. You can also capture evidence about corruption by looking at the other side of the equation: "good governance" and the broader institutional arrangements and organisational capacities that support participation, transparency and accountability.

The data production cycle

So, now we know about some of the basic challenges and approaches to measuring corruption, how do we go about working with governance data in a structured way?
In this course, we'll be referring to what we call the data production cycle to help understand how we can use data to achieve the greatest possible impact.

Data production can be seen as an ongoing, cyclical process, from issue definition to data collection, analysis and dissemination. To develop, collect and use governance data strategically, a number of key questions need to be answered at each of the seven stages of the data production process. Let's have a look at each of these stages now.

The first step of the process, *objective setting*, consists in defining your objective - what do you want to achieve with data? In other words, what policy issue do you want to tackle?
Here, the key questions to answer is "what data do I need for which purpose?" You may want to raise public awareness of the impact corruption has on health outcomes, such as infant mortality rates. Alternatively, you might want to diagnose corruption risks in hospital supply chains. Clearly, the change you want to achieve - in other words your objective - will determine the type of data you need to collect.

Once you have defined the issue and established what you want to measure, the second step is to identify your *data needs*. Is data available from reputable sources? Is it reliable? Of good quality? Comparable overtime? What are the costs of generating data?
For example, if you intend to measure changes over time, you will need to check that your data sources are regularly produced in a comparable manner to enable you to track progress.

The third step consists in developing a *data collection methodology* to address the data needs you have identified. A wide range of data collection methodologies can be envisaged and, as we'll see later in this course, each measurement tool has its own strengths and weaknesses.
If you decide you need to capture citizens' perceptions or experiences of corruption, then a public survey could provide the necessary data. On the other hand, a public opinion survey would be less appropriate if your objective is to diagnose corruption risks in procurement processes.
You can also tailor existing methodologies to your specific needs, using tools such as risk assessments, citizen report cards, social audits, public expenditure tracking surveys, and so on.

The main challenge of the fourth step, *data collection*, is systematically gathering accurate, robust and quality evidence, which allows you to achieve your initial objective.

When data is not available, it is possible to generate new data, but this approach requires resources and expertise.

Once you have collected the required *raw data*, in the fifth step you'll need to turn this into *meaningful information*, using statistical and analytical tools.

An important challenge at this *data analysis* stage is to link findings to reform action. Later in the course, we will look at the importance of developing policy recommendations that can be easily understood and acted upon. We'll also consider ways to present data to ensure it will be used by the targeted audience to effect the desired change.

After data has been processed and analysed, comes the sixth step, *action*; in other words using your data to accomplish your objective. It is during this phase that you will communicate your findings and recommendations to the end users. As we shall see later in the course, during this phase of disseminating your data it is important to understand how your data fits into governmental policy cycles. We'll also look at how to package your findings into advocacy formats tailored to your key stakeholders

The last step in the process consists in *evaluating the results* to monitor and evaluate the quality and reliability of the data and refine the methodology to inform the next cycle of data production.

Structure of the lesson

We now have seen all the steps of the data production cycle. This lesson will primarily focus on the first step of the process and help you define what you want to measure for which purpose, as well as who to involve at each stage of the process.

Subsequent lessons will accompany you on your journey along the data production cycle, from identifying relevant indicators and available datasets to dissemination techniques and stakeholder engagement strategies.

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![Transparency International - the global coalition against corruption]

Video 2.2: The why

Learning objectives:
- Learn about the three main objectives of any governance data project
- Find out how your primary objective will determine the type of data you need

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There are three key questions you need to ask yourself before getting started with a data-driven research project:

- what do I want to use data for;
- what do I need to measure to achieve that goal;
- and who I will seek to engage throughout the data production cycle.

The Why Determines the What

Let's address the first step in working with data: specifying the purpose it is intended to serve. How often do you see this happening?
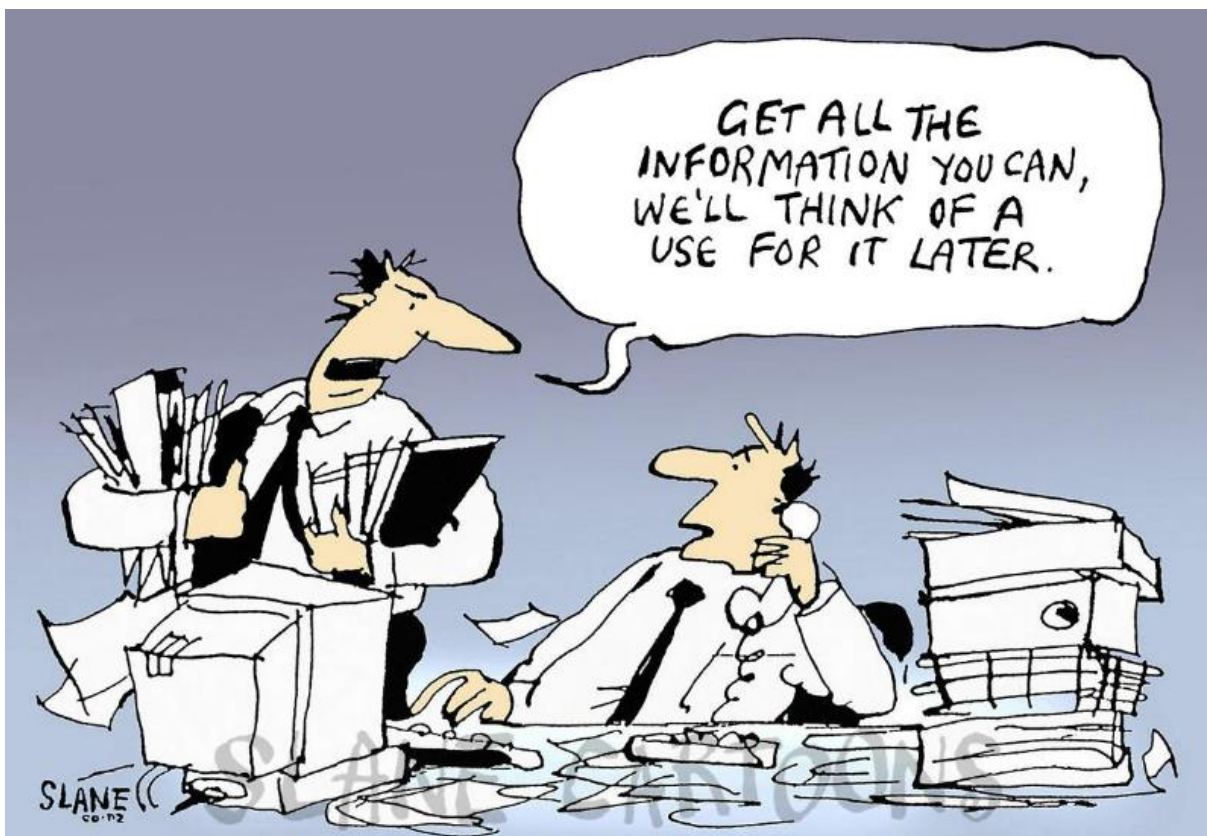
What is your objective?

When launching a data-driven research project it is vital to have a clearly articulated understanding of what your objective is, and how the data is going to help you achieve it.

So, think carefully about why you need data. Do you want to put pressure on your government to curb police bribery, or do you want to identify the extent to which corruption is impeding efforts to lower maternal mortality rates? Your objective will determine what you need to measure and the methodology to use.

Three main objectives

So, the first step is for you to specify why you need governance data.

As we've seen, governance refers to the relationships between leaders, public institutions and citizens, including the processes by which they make and implement decisions. The concept encompasses various dimensions such as transparency, accountability, participation, government effectiveness, rule of law, control of corruption, and so on. Governance data can be used in support of three different objectives: diagnosis, monitoring and advocacy.

Diagnose

When the objective is to diagnose a problem, data can be used to help
- identify the underlying causes of corruption;
- the likelihood and impact of various integrity risks;
- as well as obstacles to progress or reforms.

This data can be particularly useful in support of targeted, evidence-based approaches to tackling the problem at the point of origin.

Monitor

When the objective is to monitor how a certain issue is evolving over time, data is used to track
- whether progress is being made or not;
- how fast;
- and how evenly across the national territory or across various population groups.

This kind of data can also be used as part of a feedback loop to assess the effectiveness of anti-corruption measures and policies, and, where necessary, make adjustments.

Advocacy

Finally, when the objective is to advocate for change, data about the scale and impact of corruption can be used to
- focus public attention on an issue;
- to shame responsible entities;
- and to pressure them into action.

Efforts to raise awareness are based on the assumption that where citizens and policymakers are well informed about corruption there will be greater public demand and political will to tackle the problem.

It is therefore crucial to identify the primary objective for your data-driven research project, as this

will dictate the type of data you need to collect. It is worth noting however, that the information you collect during your project can then be used for other purposes.

Objectives can overlap

While your <u>primary</u> objective will dictate the kind of data you need and the methodology used to capture it, diagnosis, advocacy and monitoring are not mutually exclusive. One research project can use the collected data in all three ways.

As an example, a project to diagnose corruption risks in local hospitals could produce valuable data, which could be used as a baseline in monitoring efforts, or included as part of an advocacy campaign to tackle those particular risks.

The Power of Data: Ugandan Case Study

In fact, where different objectives are aligned and sequenced, data about the scale, cause and impact of corruption can serve as a powerful tool to mobilise citizens, journalists and politicians to take action.

In Uganda, for instance, a type of sectoral diagnostic assessment – called Public Expenditure Tracking Surveys - conducted in 1996 found that 80 percent of school grants from central government were leaking out of the system and not reaching the intended schools. Armed with these shocking results, the central government launched an advocacy campaign to raise citizen awareness of the scale of misappropriation, embezzlement and poor financial management of school grants at district level. Parallel to this, the government enacted two measures designed to provide teachers and parents with the necessary information to monitor local officials' handling of the grant programme.
First, data on monthly grant transfers from central government to municipal governments began to be published in newspapers, and second schools were obliged to post notices of actual receipts of funds for the public to inspect. In this way, citizens were able to compare information on the schools' entitlements with what had actually been received by individual schools.

The results were remarkable; a follow-up Public Expenditure Tracking Survey in 2001 reveal that, as a result of the campaign, the leakage rate dropped from 80 percent in 1995 to fewer than 20 percent in 2001. The Ugandan case was so successful because it effectively combined and sequenced the three objectives. Data on where funds were leaking was captured in an initial diagnostic survey, and subsequently used to inform a data-driven advocacy campaign which engaged teachers and parents.

Finally, through the publication of further data, schools and citizens were given the necessary monitoring tools to hold local officials to account for the startling extent of their financial mismanagement.

Summary

This presentation has covered the importance of understanding *why* you need data. When launching a data-driven research project it is vital to have a clearly articulated understanding of what your objective is, and how the data is going to help you achieve it.

As we have seen, there are three main uses of data – for advocacy, for diagnosis and for monitoring.

A single project may produce data that can be used for more than one of these purposes, but clearly identifying your primary objective is key to determining the kind of data you will be attempting to gather and the methodology you will use to do so.

The next step is to examine exactly this: what will you be measuring, and how, in order to achieve your intended objective.

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Video 2.3: The what

Learning objectives:
- Look at how different objectives (advocacy, monitoring and diagnosis) relate to three different "modes of analysis" (framework, progress, and impact)
- Learn about the difference between measures of good and bad governance

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Previously, we covered the three basic objectives of working with governance data: advocacy, diagnosis and monitoring.

As a next step to understanding how to work with data, let's explore two key issues related to the measurement approach to take.

Firstly, we'll look in greater depth at how to match each of the three objectives discussed in the previous presentation (advocacy, diagnosis and monitoring) to three different modes of analysis. These modes of analysis are impact, framework and progress.

Secondly, we'll consider whether gathering evidence on "bad governance" or "good governance" will be more useful for your objective.

The why determines the what

We have seen that the objective or 'purpose' of data collection will determine what type of data to gather. More concretely, what does this mean? Let's take the health sector as an example.

Advocacy requires data on corruption's impact

If your objective is to advocate for change, you will want to find data that shows the harmful **impact** or outcomes of 'bad governance' – may it be corruption, or a lack of transparency or accountability – on the provision of public services and on development outcomes.

You will look for data that paints the 'big picture' - the shocking numbers that convey the urgency of implementing change and provide some indication of corruption levels in a given area.

Examples of this kind of data might be reported bribery rates to access basic health care, or the percentage of citizens dissatisfied with healthcare services.

Diagnosis requires data on framework conditions

On the other hand, if your objective is to identify the underlying causes of bad governance or the drivers of corruption, you will look for data on the functioning of institutions and availability of resources needed for effective service provision.

Here, you will be looking at the **framework** conditions associated with good governance practice, or the absence of such conditions.

Examples could be the existence of citizen complaint mechanisms or whether health budgets are publicly available.

Monitoring requires progress data

Finally, if your objective is to monitor **progress** in addressing a particular issue over time, say the effects of reforms aimed at reducing corruption in the healthcare sector, you will need data that captures progress in strengthening transparency and accountability in the healthcare delivery system over time.

The kind of data needed here might be the percentage of complaints effectively processed, or the rate of absenteeism among healthcare personnel.

Be sure to remember these three modes of analysis: impact, framework and progress. We'll be referring to them throughout the rest of the course!

Measures of good versus bad governance

A second issue to consider when deciding *what* to measure is whether you would be better served by data that captures the problem: "corruption", or the conditions needed to tackle it: "good governance.

Corruption

Corruption is often taken to be a symptom of weak governance – a result of poor accountability and low transparency which makes corrupt practices possible. As such, when trying to produce data on corruption, you are faced with a choice.

You can attempt to measure the phenomenon directly, for instance by analysing reported bribery rates, or looking at the number of convictions for corruption in a particular institution or district.

Yet, corruption and other malpractices are typically 'hidden' by perpetrators. This means it is not easily observed empirically and therefore are difficult to measure directly with accuracy.

One way to address this problem is to measure the *opposite* of corruption or bad governance.

Good governance

So instead of trying to find actual evidence on often invisible malpractices, it may be easier to collect data on the existence and effectiveness of accountability, transparency and participation mechanisms that help curb such abuses.

Measuring good governance can have additional advantages, such as the collection of data that can be used to drive decision-making processes to prevent corruption. Gathering information about the strengths or weaknesses of specific laws and institutions, for instance, is a vital step to improving the integrity framework.

Integrity System Assessments

One such approach is Transparency International's Integrity System Assessments, which have been conducted in more than 70 countries at national level, and a number of other countries at local government level.

Rather than attempting to measure corruption itself, these assessments analyse the quality of a given system's integrity framework. The methodology involves assess the existence and de facto operation of good governance and anti-corruption standards across 13 areas, ranging from the legislature and the judiciary, to media and the private sector.

The objective is not to capture the extent of corruption so much as to provide a deeper understanding of corruption's drivers in a particular context.

Should you focus on measures of "good" or "bad" governance?

Depending on your objective, you may want to place more or less emphasis on metrics of 'good' or 'bad' governance. For instance, it may be more compelling to use measures of 'bad' governance if your objective is to advocate for change, while it may be more useful for policymakers to have measures of the effectiveness of 'good' governance mechanisms if your objective is to help them identify where problems are, and how to address them.

Take for example the issue of bribery in hospitals.

Advocate for a change

If your objective is to call for immediate action by government to address petty bribery in the health system, you could expose how widespread and particularly harmful this practice is for the poor by calculating the value of bribe payments of individuals in poor neighbourhoods as a proportion of their weekly income. This could be classified as a measure of 'bad' governance.

Diagnose a problem

However, if your objective is to diagnose the underlying factors perpetuating such a practice, you will want to find data on the existence and effectiveness of mechanisms that support efforts to curb corruption (transparency, participation, accountability). These could include the functioning of reporting mechanisms for people to report bribery requests, or the number of sanctions or prosecutions in relation to registered complaints. These could be classified as measures of the effectiveness of mechanisms to promote good governance.

Monitor progress

Finally, if your objective is to monitor the evolution in bribe payments to assess a commitment made by the government to tackle the issue, you could collect data annually on the frequency of bribe payments – a measure of the bad governance – and combine it with data on people's trust in the usefulness of reporting mechanisms or citizens' faith in government efforts to curb corruption – a measure of good governance.

Summary

In this lesson, we've looked at measuring corruption and governance at three different modes of analysis (impact, framework and progress), and matching these to the objectives of advocacy, diagnosis and monitoring. To do so, we used the example of the healthcare sector.

Next, we considered how your objective will dictate whether the focus of your data collection efforts will be on the information related to poor governance, or rather good governance (the conditions needed to minimise the risks of corruption), or a combination of the two.

Next time, we will consider the roles of different stakeholders, and look at identifying key figures to approach at different stages of what we call the data cycle.

objective	good or bad governance	level of analysis
advocacy	bad	impact
diagnosis	good	framework
monitor	good and bad	progress

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Video 2.4: The who

Learning objectives:
- Understand the importance of stakeholders in any governance data project
- Learn about different categorisations of stakeholders
- Find out about stakeholder mapping tools which can help you prioritise which stakeholders to engage
- Discover when to engage prioritised stakeholders in relation to the data production cycle

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After you've defined your research objective and determined the kind of governance data you'll need, it's time for the next step of the research planning phase: figuring out who to engage, how, and when.

Research around the use of data in policymaking tells us that partnerships are an important means of establishing trust, transferring knowledge and stimulating action.

Indeed, in order for your project to be successful, it's crucial to understand who could be a powerful ally, who is likely to be a bitter opponent, as well as who has influence over your desired change. In other words, how do different stakeholders relate to your issue?

To help you, we'll be discussing the use of stakeholder mapping to categorise key players and their relative interest and influence over your stated objective.

As a second step, once you have conducted this assessment, we'll look at how to use the findings from your stakeholder mapping to determine who to approach at various stages of the data production cycle; from issue definition, through the data collection and analysis phases to the promotion of findings and evaluation of results.

Later in the course, we'll also consider advocacy formats, audiences and engagement strategies in greater detail.

Who are stakeholders?

What – and who – are stakeholders? Stakeholders can be individuals, organisations, or other informal groups and can include government officials, civil society or faith-based organisations, interest groups and citizens in general, and international actors, such as UN agencies and donors.

We have broken down stakeholders into three broad categories: public sector, private sector and civil society.

Public sector

Public sector stakeholders can be public officials from the executive, judiciary and legislative, both elected and unelected, as well as coming from various arms of the state such as education boards, law enforcement bodies, state-owned enterprises and so on.

It is crucial to engage public sector stakeholders, as they are likely your key target audience: the policy group you are trying to influence.

Private sector

Private sector stakeholders could include businesses, trade associations, professional bodies or financial institutions. Given their financial clout, it is important to consider how best to approach private sector stakeholders.

Bear in mind that the private sector can be both a victim and a perpetrator of corruption, and may have specialised knowledge that could prove useful.

Civil society

Finally, civil society stakeholders include media, faith groups, political parties, advocacy groups, trade unions, traditional authorities and non-governmental organisations.

Given their specialised campaigning knowledge and political influence, they could be key allies in your project.

Stakeholder analysis: who can help you?

You may find that a dizzying array of groups are relevant to your objective, and making sense of who to approach can be a formidable challenge. Stakeholder analysis, also known as stakeholder mapping, is a method which helps you gain a good understanding of potential allies and opponents by grouping all these stakeholders into a few manageable categories. You can then prioritise engagement with the key players.

There are three key steps: the identification of relevant players, the assessment of their relative interest and power, and finally the development of tailored engagement strategies for each group.

Identify

The first step is to identify relevant groups to include in your mapping exercise, which will necessitate using your existing knowledge of the topic to already disregard some of the more peripheral players.

When doing this, consider who is potentially affected by the issue you want to tackle, what their interest in the issue is, and what power each stakeholder can bring to bear on the problem.

Consider the main actors involved in policymaking in this area, as well as who plays an important informal role.

Assess

The second step of a stakeholder analysis consists in assessing the influence or power that each category of stakeholders may have on the issue.

To do this, it can be useful to draw a diagram to help position the various stakeholders you have identified on a power-interest matrix such as this one.

Ask yourself the following questions:

How much power does each stakeholder have? In other words, to what extent can they influence the achievement of your objective?

How much interest does each stakeholder have in your objective? In other words, who stands to gain from the data you intend to produce? And who stands to 'lose' from it?

Engage

To plot stakeholders on the matrix, it is helpful to rate their 'power' and 'interest' on a scale, typically from 1 (low) to 4 (high).

Based on your analysis, you should be able to categorise each stakeholder as belong to one of four broad groups, each of which requires a different engagement strategy.

Champions

Stakeholders with high power and high interest in your objective are potential 'champions' with whom you will want to engage closely, especially in the early stages during the data definition phase, in which you establish what data you'll need to collect. We will speak about the different phases of working with data in a moment, but the key thing is to ensure that your data collection plan meets their needs, which will vary according to their specific functions. For instance, different data will be needed by a central government on one hand, which is responsible for allocating money into water and sanitation infrastructure, and by local governments, which are responsible for the maintenance of pipes, wells and boreholes on the other hand.

Supporters

Stakeholders with high interest but low power also need to be kept informed throughout the data production cycle as they represent a coalition of supporters – sometimes representing large constituencies – which can influence power-holders at the time of disseminating findings.

Critics

Stakeholders with high power but low interest may be generally sceptical about the value of governance data. Perhaps these critics try to cast doubt on your credibility as a data producer. Or perhaps these actors stand to lose from the change you want to implement. Can you identify an incentive for them to support your objective, or at least to 'not block' your efforts? It is important to look for ways to bring these stakeholders around as patrons or supporters of your initiative, for instance, by involving them as 'advisers' to your initiative.

Indifferent

Stakeholders with low power and low interest may simply be unaware of the potential benefits of the data you are proposing to collect, and you will therefore want to raise their awareness about it, especially during the data dissemination phase.

Data production cycle

Let's look at how to plot these four groups onto the data production cycle, which can help you determine which stakeholders would be most usefully involved at which stage of the process.

Each of the seven stages in the data production cycle has its own pitfalls and opportunities to team up with others.

For instance, in the initial stages of your project, you need identify your objective. As a first step, conduct a stakeholder mapping to identify affected groups.

Next, you need to identify the type of data which can be used to meet your objective.
Think about the kind of data suited to your key stakeholders' needs. Should you consult with policymakers to find out which type of data is best suited to their needs? How frequently and in what format should this data be made available to them? If possible, consult policymakers to find out which data will be most useful for them.

After this, you'll need to select research tools and methods which can capture the necessary data. Who else can help you develop a rigorous methodology? For instance, can you seek advice from the national statistical office, which might increase the credibility of your data?

During the actual process of collecting or creating data, you need to collect your data most efficiently. Can other partners or volunteers help you out, for instance by conducting household surveys or interviewing key informants?

In the data analysis phase, you need to turn your data into meaningful information using appropriate analytical and statistical tools. Can partnerships with universities or civil society organisations with strong methodological skills help you interpret your findings? This can increase the perceived quality of the analysis as well as strengthen your policy recommendations.

When seeking to use your output to support specific objectives during the action phase, you should think about how to visualise and disseminate your findings and recommendations. You should already know the target of your advocacy efforts, but which groups can you convince to help spread your key messages? You may have a greater chance of success if you establish collaboration with knowledge brokers who are seen as impartial and trustworthy, such as an experienced advocacy group, a university or a newspaper.

Finally, you need to assess the results of your analysis against the original objective and evaluate the quality and reliability of your data. Can you collect feedback from affected communities to inform your evaluation and subsequent follow-up projects?

Raise awareness of police bribery

Let's say your objective is to raise awareness about the scale of police bribery. As you intend to raise awareness about the **impact** of police bribery, you know from the previous presentation that advocacy is your primary objective.

This means you'll likely be looking at data about "bad governance" which can tell you something about the extent and impact of the problem. However, in this case the police force has considerable political muscle and is reluctant to even acknowledge the problem, let alone support any reforms.

Even raising awareness of the situation by collecting data about the scale and impact of the problem seems like a daunting task for you to achieve alone. Therefore, having powerful supporters of your own could help you achieve your objective.

Map stakeholders

The first step is to understand how different stakeholders relate to your goal. You realise that religious groups and trade unions, as collective representations of ordinary citizens exposed to police bribery, might be useful allies, because they have both knowledge of citizen experiences and some collective bargaining power.

So, you conduct a stakeholder mapping to better understand these groups' interests and position on the issue, and whether these overlap with your own objective.

In this case, you find that the religious community has little interest in getting involved as they are anxious about any confrontation with law enforcement, and are currently investing all their political capital in an appeal against a court ruling on land use restrictions for religious properties. You put religious groups in the "indifferent" category – their focus is elsewhere and they have little power to compel the police to undergo reform.

The trade unions, on the other hand, feel particularly victimised by the police, and want to understand whether certain trade unions are more frequently exposed to extortion by police officers than others.

As a trade-union backed political party has just won the election, they feel emboldened to take action. You mark the trade unions as "supporters", with high interest but limited power.

Plot on the data production cycle

The next step is to plot stakeholders onto the data production cycle.

Once in possession of information regarding these groups interests and position on your issue, look at the different phases of the data production cycle to decide whether, how and when to approach these groups.

You realise, for instance, that you could collaborate with trade unions during the data collection phase, by getting them to commission a survey about police bribery among their membership.

While in this instance, the religious groups might not actively support your initiative, you approach them during the issue definition stage in order to get their perspective on police bribery and reassure them that the project will not harm their interests.

During the action phase, you also contact them to share your findings and see if they can help disseminate your advocacy message.

The bottom-line is that the choice of who to engage with, how, and at what stage of the data production cycle will affect how the quality and relevance of your data are perceived – and ultimately, its impact towards the change you want to see. So it's crucial to identify key stakeholders early, and to think through your engagement strategy for each group before beginning any data collection.

Summary

In this presentation, we've discussed why it is crucial to look beyond your own organisation when working with data and provided some examples of bodies which can act as useful partners at different stages of the data production cycle.

Secondly, we looked at stakeholder mapping as a tool to understand how other players relate to your organisation, your issue and your objective. Knowing potential allies and opponents can be key to ensuring that you are able to collect useful data and ensure the maximum possible take-up of your findings.

Video 2.5: Identifying objectives and data needs (IGI)

Learning objectives:
1. Learn about the Kemitraan's objectives for the IGI
2. Find out how Kemitraan determined what data it needed to meet these objectives

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Working with data requires a strategic design process to ensure that what we actually measure helps us achieve the change we are aiming for. In this video, we will explore together the steps Kemitraan took to define our *objectives* and identify the kind of governance data that we needed to meet these objectives. So let's consider the key questions that Kemitraan had to consider when designing the Indonesian Governance Index

What change did we want to achieve?

The golden rule when working with governance data is that "the why determines the what". In other words, the change that we want to achieve determines what to measure and the type of data needed. So, the key question we asked ourselves was: what change do we want to achieve with the IGI? In response to this question, the first step was to analyse the contextual background that provided the need for governance data and define our objectives accordingly.

Let's consider the historical context that triggered the need to develop a governance index for Indonesia. In the early 2000s, after the fall of the authoritarian government of Suharto, Indonesia entered a period of democratic transition, which was characterised by a *decentralisation process* in which most governmental functions were transferred to the district level. Greater political power and financial resources were provided to municipalities in the areas of health, education, public works, environments, agriculture and other economic sectors. So, what went wrong in the process? Well, this vast decentralisation programme led to significant *dysfunctionalities*, including widespread corruption, and profound *variations in levels of development and governance* across regions. Some local governments were performing well, but others remained incompetent, wasteful and ineffective at delivering basic public services, partly due to high levels of corruption. This fuelled *citizens' discontent* and spurred a growing wave of street protests and public demonstrations demanding better public services.

What could help address these issues? It soon became obvious to us that local government would only be able to improve their performances if they could have access to *regular and reliable flow of data*. Yet, at the time, there was no regular assessment to measure local governance. So, a comprehensive and robust assessment methodology to objectively monitor and compare governance performance of different provinces was urgently required.

At Kemitraan, we decide to tackle this challenge. Our primary objective was to develop a data tool to support the implementation of decentralisation policies.

First and foremost, we wanted the IGI to be used as a **diagnostic tool** to identify the key governance challenges and obstacles to reform. We wanted the index to serve as a 'mirror' for government, civil society and the private sector. This diagnostic tool would allow them to confront their shortcomings, prioritise development challenges and agree on how to address them.

We also wanted policy-makers to use the index on a day-to-day basis as a **monitoring tool** to track progress overtime and guide programme implementation. The aim of the index was to provide local governments with the data they need to improve the planning and delivery of public services.

Finally, we wanted the IGI to ultimately be used as an evidence-based **advocacy tool** which could be used to measure and compare the performance of one province with another. We hoped that by generating comparable data and publishing an annual ranking of provinces**|**, we would foster a healthy competition between provinces. We also wanted to provide citizens with the means to demand better quality public services and hold local leaders accountable.

What data do we need to meet these research objectives?

The next question we were confronted to was: "what data de we need to meet these research objectives?"

We felt strongly that what was needed was not so much to 'name and shame' poorly performing provinces, but rather to supply them with *'**actionable' indicators***. In other words, we wanted to generate specific information on the state of governance that would clearly identify what the problems are, and what actions are needed to 'fix' these problems.

For this, we needed to measure ***governance performance of local government*** in terms of reviewing relevant laws and regulations as well as capacity to deliver public services. We wanted to capture data showing the harmful impact of ***bad governance***, the framework conditions for effective service delivery and data showing progress made overtime.

However, we also felt that we should not limit the focus of our assessment to the functioning of government. Rather, we felt that our measurement framework should capture the ***broader interactions*** between the political and administrative arms of government, as well as with civil society and private actors in the economic sphere. To achieve this, we decided that the index should prioritise ***four key areas***, being government, the civil service, the private sector and civil society.

Summary

These were the questions we asked ourselves when we set out to design the index. In the next video, we will look at the process that Kemitraan used to answer all these questions, decide what to measure, identify thematic areas, and engage key stakeholders.

Video 2.6: Deciding what to measure and who to engage (IGI)

Learning objectives:
- Learn about Kemitraan's approach to identifying the key governance issues and objectives
- Become familiar with key features of the IGI's assessment framework
- See how Kemitraan was able to engage key stakeholders at crucial phases of the data production cycle

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Welcome back! In the previous video, we looked at the strategic questions that we asked ourselves to define our objectives and identify what to measure when we started designing the index. This video will cover how we answered these strategic questions.

First, we will look at the approach that Kemitraan used to *define the issues*. This includes identifying priority thematic areas and investigating the feasibility of the exercise once we have defined our objectives.

Second, we will explore the *stakeholder engagement strategy* that we employed when designing the index.

Approach used to define and prioritise governance issues

So, how did we define and prioritise the thematic areas we wanted to focus on? Our first step was to *map past and current studies and initiatives* to assess governance in Indonesia. We also considered international experiences of measuring governance.

Most of these studies were focused on specific components of governance, such as the governance of public finances at the local level. But none of them had the potential to systematically and regularly track progress in the quality of governmental functions across all provinces.

Based on this initial review, we then conducted a *gap analysis* in consultation with experts involved in previous studies.
We found that earlier assessments focused on the impact of the decentralisation policies on development outcomes.
Tracking outcomes is a useful way to know whether a local government is making progress. But this doesn't say anything about the inputs and processes which generated these outcomes. Therefore, we decided to collect data on the *framework conditions* local governments were operating under.

Finally, we needed input from a wide range of government agencies, research institutions and civil society organisations. So we held a series of workshops across the country. Our aim was to understand their data needs, and to design our methodology to ensure that we were collecting data that would be useful for them.

Based on the outcome of these consultations, we designed our governance assessment framework. In deciding what to measure, we agreed it would be useful to collect data that captures both *the problem*: "corruption" (in other word "bad governance"), *and* the conditions needed to tackle it: "good governance."

Key features of the IGI assessment framework

As part of our review of existing governance assessment frameworks, we found one that particularly resonated with us – the ODI's World Governance Assessment Matrix. We particularly liked that it didn't only focus on government to evaluate a country's quality of 'governance'. It also looked at other key areas of governance such as civil society or the economy to provide a more comprehensive assessment of governance.

We therefore agreed that the IGI would focus on 4 'arenas' :
- First of all the Civil Society arena, which looks at citizens' ability to participate in governance processes;
- Secondly, the Government arena, which looks at the actions of elected officials in both the executive and legislative branches;
- Thirdly the Civil Service arena, which looks at the actions of policy implementers;
- Finally the Economic Society arena, which looks at business interests and other economic actors.

We also settled for 6 principles of 'good governance' including participation, fairness, accountability, transparency, efficiency, effectiveness. Our objective was for the IGI to help assess the implementation of these principles across the 4 arenas.

Stakeholder engagement strategy

Who did we involve in the process, and at which stage? We realised from the outset that engaging stakeholders would be key to the success of the initiative. We therefore conducted extensive consultation with experts, stakeholders and beneficiaries on thematic and methodological issues.

Central to our stakeholder involvement strategy was an effort to involve thirty-six 'Well-Informed Persons' (WIPs) per province. WIPs are persons with expertise in at least one of the IGI's four arenas of governance. This includes people working in various offices in public administration and in the executive arm of government. This also includes members of civil society organisations, business associations and labour unions; academics and journalists.

We decided that WIPs could help us from the initial stage of developing indicators, to their active participation in the assessment itself, all the way through to supporting the dissemination of results. This proved a very effective way to ensure strong ownership of the tool by these influential actors, who soon became 'local champions' of the IGI in their communities.

Summary

In this video, we learned about the approach that we took at Kemitraan to design the index, with an important focus on a carefully planned stakeholder engagement strategy throughout the process. In the next lesson, we'll look in more detail at the IGI's assessment framework, and in particular at the indicators included.

Module 3: Selecting governance indicators

Video 3.1: What are governance indicators?

Learning objectives:
- Understand what indicators are
- Learn about specific characteristics of governance indicators
- Find out about some key differences between quantitative, qualitative, global and national indicators

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In the last lesson, we worked through the process of defining research objective(s), identifying the level of analysis best suited to achieve this objective and figuring out who to engage with, how, and at which stage of the process. In this lesson, we'll be looking at the next step: the process of selecting robust and useful indicators to help you meet your objective.

What are indicators?

According to the Oxford English Dictionary, an *indicator* 'provides specific information on the state or condition of something'. An indicator helps answer questions such as "how much", "how many", "to what extent" or "what size." In the field of governance and anti-corruption, indicators are used to express something about the state of governance in a country. They tell us how fast or how slowly progress is being made towards a specific goal. They provide evidence of change, either positive or negative. In short, indicators help us find out whether our work is making a difference toward reaching our goals.

Before turning to governance indicators specifically, let's consider a broad distinction between two major types of indicators, qualitative and quantitative.

Quantitative indicators

Quantitative indicators are measures of quantity. They can be expressed as proportions or percentages, such as the proportion of population satisfied with public services. They can also be expressed as whole numbers, such as the number of complaints received, investigated and resolved by an ombudsman's office. One of the main advantages of quantitative indicators is that their numerical form makes it easy to compare performance over time or between countries. In addition, they allow you to quantify progress made towards a desired end-state. Some quantitative indicators are based on actual personal *experiences*, such as indicators measuring the proportion of people who have been asked for a bribe by public officials, while others are based on *perceptions or opinions*, such as the proportion of people who think their government's actions in the fight against corruption are effective.

Qualitative indicators

However, indicators do not always come in a numerical form. *Qualitative* Indicators use non-numerical factors to describe the status of something, or to determine the level of progress towards a specific goal. Some qualitative indicators are based on *hard facts*, such as a 'yes/no' indicator on the existence of adequate constitutional guarantees for press freedom. Others are based on *personal views and appreciations*, such as the country narratives that complement national scores on the Freedom of the Press Index. The qualitative indicators in this index examine a range of political pressures that influence reporting, as well as economic factors that affect access to

information, and on this basis rates each country's media as 'free', 'partly free' or 'not free'. While qualitative assessments can be seen as subjective or unreliable, they can offer a richer, more complete picture, which is not possible to get using a single number.

Combining indicators

In fact, a single indicator will not take you very far in understanding a complex phenomenon like corruption or the quality of governance. Whenever possible, you should try to combine different types of quantitative indicators with qualitative indicators, to obtain a more complete picture. By building what we call a '*basket of indicators*', we can much more easily identify possible points of intervention, and we can track progress from various perspectives, drawing from the views and experiences of both experts and citizens. A key focus of this lesson is to guide you on how to build such indicator baskets.

So having covered a generic distinction between quantitative and qualitative indicators, as well as the value of combining them, let's turn to governance indicators specifically.

What are governance indicators?

Governance indicators measure various aspects of a country's state of governance. They can be used to monitor the outcome of government programmes, to track progress overtime, and to establish benchmarks, targets and goals. They typically assess and compare the governance performance and institutional quality of a country or province, looking at specific areas of governance such as electoral systems, corruption, human rights, gender equality, and so on. Core principles considered to be fundamental "*framework*" dimensions of good governance by most governance assessments include efficiency, transparency, accountability and participation, among others.

We saw in lesson 2 how your answer to the question of 'why measure governance' determined 'what' you will be measuring (for example, whether to focus on measures of "good" or "bad" governance). The same 'why' question will also help you determine 'how' to measure governance, by informing your decision of which indicators to use. In other words, the three core objectives of working with governance data (advocacy, diagnosis and monitoring) will be best served by different types of governance indicators.

To illustrate this point more clearly, let's consider a typology of governance indicators. Measuring governance quality can be done at three major levels: the global, national and sub-national levels. There are pros and cons to using these different types of governance indicators.

Global indicators often rank countries on international standards or norms. Global rankings include TI's Corruption Perceptions Index or the World Bank's Worldwide Governance Indicators. These kinds of indicator are particularly useful for *advocacy* purposes, as they enable benchmarking and comparison between countries, and so can be used to name and shame countries which fail to take action against corruption.

But single scores on a global index are not as detailed, actionable and policy relevant as *national or subnational* indicators. This means global indicators are of little use to help *diagnose* a policy problem or *monitor* progress on that issue. Instead, national or subnational indicators focusing on specific sectors or specific issues are much more useful to policymakers wanting to support change, as they provide more comprehensive and actionable data. However, these kind of differentiated indicators are more difficult to produce across a large global sample of countries.

As we will see during this lesson, there is also another way to categorise governance indicators. *Input* indicators measure the resources committed to address corruption. *Activity* indicators monitor the number and type of activities undertaken to tackle corruption, while *output* indicators measure the products created as a result of these specific activities, such as an anti-corruption strategy. *Outcome* indicators track the short and medium term benefits resulting from the measures taken, while *impact* indicators aim at capturing longer term change such as a reduction in perceived levels of corruption.

Summary

Well, in this video you've learned what indicators are, as well as some important distinctions between them. The rest of this lesson will go into more detail on the various types of governance indicators, their respective strengths and weaknesses, and how you can combine multiple indicators into "baskets" to help you understand your issue in a holistic fashion. These are all key considerations when selecting relevant indicators to meet your objective.

Video 3.2: Types of governance indicator

Learning objectives:
- Understand what indicators are and why we need them, as well as their limitations
- Learn about three categorisations of indicators (global vs national, objective vs subjection, and framework/progress/impact)

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Governance indicators come in different shapes and forms. In this video, we will look at three different typologies of indicators. Specifically, we will distinguish between A) global and national indicators, B) subjective and objective indicators, and C) framework, progress and impact indicators. But first, let's do a quick recap of what indicators are.

What are indicators?

Indicators are defined, somewhat unhelpfully, as "a thing that indicates the state or level of something."

More precisely, we can say that indicators are an instrument used to provide information about the condition or scale of a given phenomenon. This phenomenon could be anything from firm performance, or a person's medical condition, to the extent of human rights abuses in a country or the bribery rate within a sector.

Governance indicators are designed to reveal something about the state, level or quality of governance in a given polity, such as the effectiveness of the judiciary. To assess one component of judicial effectiveness, for instance, an indicator might look at the number of public prosecutors per 100,000 citizens.

We can see that indicators can often take the form of statistics, in other words they are quantitative. It is important to note, however, that they do not have to be expressed in numeric form; indicators can also be qualitative. For instance, an indicator might also cover whether a district court makes its budget publicly available, to which the answer might be "yes" or "no."

Particularly where the concepts or phenomena we are trying to measure are very broad or complex, indicators are rarely able to capture a complete and total picture of what's going on. In fact, one indicator is unlikely to be able to tell you everything about the process, system or interaction you are trying to understand.

Rather, indicators tend to provide us with a partial understanding, by helping us answer narrower questions such as "how many", "how quickly", or "to what extent"? For instance, indicators such as company revenue or heartbeats per minute provide insight into a **specific aspect** of firm performance or the state of someone's health. In the same way, the official indicators used to track progress towards SDG 16.5 on the substantial reduction of corruption in all its forms do not even attempt to measure "corruption" in all its complexity. Instead, they simply measure one form of corruption: the proportion of businessmen and citizens who paid bribes to public officials.

Why do we need indicators?

Indicators serve a variety of purposes, such as establishing benchmarks, objectives and targets.

Indicators can be used in a one-off manner to provide "snapshot" information at a certain point in time. For example, indicators might provide insight into the performance a given system or institution, such as an anti-corruption agency. By highlighting shortcomings in the operation of these systems or institutions, indicators can serve as an advocacy tool to raise awareness about these failings, as well as a diagnostic tool to identify the root causes of these weaknesses.

Alternatively, we can employ the indicators repeatedly over time to track trends and progress. In this way, indicators provide evidence of change, and are frequently used to monitor a given system or phenomenon.

In short, indicators help anti-corruption actors like Transparency International identify areas for reform, and monitor the impact of our work to see if our intervention is positively contributing towards the achievement of our goals.

What makes a good indicator?

There are certain attributes that are desirable in an indicator. According the United Nations Development Programme, good quality governance indicators should meet the criteria of validity, reliability, lack of measurement bias, transparency, representativeness, variance truncation, information bias and robust aggregation methods. For this course, you don't need to know the finer points of such statistical terms, but if you are interested check out the bibliography for further information.

As we'll cover, the key point is to be sure you understand what an indicators is actually measuring, that it is based on a robust methodology which would lead different people to come to the same result, and that you are aware of any systematic bias which may arise when certain groups collect or produce the data.

While not all indicators are born equal, we should recognise that all have strengths and weaknesses. As there is no such thing as one perfect indicator, it is important to be transparent and open about which indicators you are using, and acknowledge their strengths and weaknesses.

One of the key messages of this course is that you need to be clear what you want to achieve. A crucial consequence of this is that you will need different indicators for different purposes in different contexts.

After introducing 3 different typologies of indicators in the rest of this presentation, next time we'll look at a number of golden rules to help you select robust indicators which are relevant for your setting and objective.

Three ways to categorise indicators

There are many different ways to categorise indicators. We covered quantitative vs qualitative in the first video of this lesson. Now, let's examine three other major typologies of governance indicators: global vs national, objective vs subjective, and finally framework, progress and impact indicators.

Global indicators

In the previous video, we already briefly talked about the distinction between **global indicators,** used to compare and rank countries based on specific international criteria or standards, and

typically produced by international 'experts', and **national indicators** designed and measured by actors at national or sub-national level, used to address the specific governance challenges faced by a particular country.

Global indicators are measurements that enjoy wide geographical coverage, and typically include data from most countries. They are usually the result of a process of **aggregation**.

This means that a large number of data points, or observations, produced by various organisations are synthesised into a single score. We therefore call these "composite indicators", though they may also be referred to as indices.

Let's look at the World Bank's Control of Corruption Indicator. It aggregates data from 32 different sources, such as the Open Budget Index, the Heritage Foundation's Index of Economic Freedom, and the Varieties of Democracy Project.

In total, this global composite indicator is made of 43 individual indicators, each one looking at a different aspect of corruption: some indicators measure the quality of anti-corruption policy, others measure corruption in the media specifically, others still measure corruption in rural areas, irregular payments in judicial decisions, and the list goes on and on…!

Advantages of Global Indicators

In the area of governance and corruption, composite indicators are widely used because of their near-global coverage: this makes it easy to compare countries. This is useful for advocacy campaigns, as well as to inform aid or business decisions internationally.

In addition, composite indicators are often produced by large international organisations using the same methodology over a long period of time, which enables comparisons over time to track progress.

But global composite indicators must be used with caution. Let's review three criticisms often made of such indicators:

Disadvantage #1 of Global Indicators: Labelling

First, global composite indicators **suffer from a 'labelling problem'**. Terms such as 'corruption', 'governance' or 'rule of law' are used in the very name of many different indices.

But because there is no universally agreed definition for these terms, each one of these indices is in fact measuring slightly different aspects of the same phenomenon. For instance, while both the World Bank and Transparency International produce global indices on corruption (respectively called the 'Control of Corruption Indicator' by the World Bank and the Corruption Perceptions Index by TI), these two indicators are not always consistent in the results they generate.

Let's take a country – say, Burundi – and see how it fares on both these indices:

Between 2012 and 2016, the World Bank's Control of Corruption Indicator tells us that the corruption situation in Burundi improved – from a percentile rank of 1.42 to a percentile rank of 10.58.

Meanwhile, during the same period, Transparency International's Corruption Perceptions Index tells us that the corruption situation did not change in any significant way – from a score of 19 out of 100 to 20 out of 100.

What's going on? If you take a closer look at the individual indicators making up both indices, you will find out that the World Bank's indicator measures corruption in the public *and* private sectors, using both 'expert' and business people perceptions, as well as population surveys. On the other hand, Transparency International's CPI measures the level of corruption *in the public sector only*, and is only measured from perceptions by business people and country experts. It does not include population surveys. As you can see, labels can be misleading, and unless we dig underneath, we might be using indicators that are not really measuring what we *thought* they were measuring.

Disadvantage #2 of global indicators: expert bias

A second critique of global composite indicators is that such indicators may not always be reliable measures of the 'actual' situation in a given country, because they are **largely based on the subjective opinions or perceptions of experts.** It's been shown for example that when we compare expert assessments of the level of corruption in a country with people's actual experience of corruption as measured by a population survey, we find big discrepancies. Again, let's go back to the case of Burundi:

While Burundi's score on the expert-based CPI barely changed during the period 2012-2016, a look at TI's Global Corruption Barometer, which measures people's actual experiences of bribery, reveals a large drop in the bribes paid by people to public institutions: while 74% of people paid a bribe in 2012, only 14% reported paying a bribe in 2016.

This big discrepancy between expert perceptions and citizens' experiences may be due to the fact that external experts, who most of the time do not reside in the countries they are assessing, base their assessment on corruption-related news in the media or public announcements of big anti-corruption reforms.

Yet peoples' day-to-day experience of corruption may be far removed from such media headlines.

Another problem with perceptions is that they change slowly – especially when international experts are forming such perceptions from a distance. National government officials therefore often find it frustrating to observe a big lag between the launch of significant anti-corruption reforms and the the impact on scores in global indices. In other words, global composite indicators may not give you the most up-to-date story.

Disadvantage #3 of Global Indicators: not actionable

Finally, global composite indicators, while useful to grab attention and to 'name and shame', are **not very 'actionable'** and are not suited to diagnosing problems. By this, we mean that a single score on a broad concept such as 'control of corruption' does not point to specific possible points of intervention.

In fact, by aggregating many conceptual components into a single score, we lose sight of what this single number actually means – and it becomes almost impossible to draw out informed policy recommendations. Reformers want to know what exactly needs to change: for example, are there sufficient legal mechanisms to hold officials accountable for their actions? Are law enforcement officials paid appropriately? Are civil servants hired based on their qualifications and merits?

Answers to these questions lead naturally to a discussion of possible points of intervention – but these are most easily found in *national* indicators.

National indicators

In the past, governance indicators were typically designed by international organisations and applied uniformly to many different countries. The primary objective was to collect national level data to feed into aggregated global composite indices. As we have just seen, the type of data collected was often the perceptions and opinions of external experts.

Increasingly however, **national indicators** designed and measured in-country by local stakeholders rather than by external 'experts' are coming to dominate the new wave of governance and corruption indicators. This is the data revolution we spoke about in the first lesson.

Highly localised indicators have the significant advantage of being designed from the beginning to yield actionable data.

But they have their own shortcomings: for instance, they have little or no international coverage, and may not be produced regularly from year to year.

Nonetheless, locally-generated indicators have a major advantage over global indicators: generally speaking, they hold more credibility and legitimacy with government policy-makers. Governance, democracy and corruption are always politically sensitive topics, and foreign indicators 'produced abroad' can sometimes lead governments to instinctively dismiss their findings, even if they are accurate and free from bias. This stress on the 'local' not only helps to make governance data more politically acceptable – it also helps to strengthen accountability between authorities and citizens.

When data reflects the concerns of citizens rather than international experts, governments feel more hard-pressed to respond. No government wants to be seen as siding with corruption when citizens are against it.

This observation is backed by solid research in the use of governance data by national policymakers. A survey (commissioned by the Governance Data Alliance) was conducted in 2014 to ask nearly 7000 policymakers and practitioners from 126 low- and middle-income countries which attributes of governance indicators made them more influential in their day-to-day work. Policymakers highlighted two aspects: first, as you can see from figure 9, assessments that rely on primary data (that is, locally-generated data) are more influential than those that use secondary data. Secondly, as shown in figure 10, assessments that involve domestic actors, for example through ratings by local experts or surveys of local populations, have greater policy influence than those that rely on secondary sources or external expert opinion.

Global vs national: the case of Burundi

So let's now go back to the case of Burundi, and see how the perceptions of external experts differ from the perceptions of national experts:

As you remember, Burundi's score on the expert-based CPI barely changed during the period 2012-2016, from 19 to 20. But when looking at Burundi's scores on the Global Integrity Index, which looks at anti-corruption measures and is measured by *national* experts (we will discuss how this index is made up in further details shortly), we note a worsening of the corruption situation, from a score of 38 to a score of 29.

So all in all, three expert-based indicators on corruption are giving us three different stories! According to TI, corruption in Burundi between 2012 and 2016 has not changed. According to the World Bank, it has improved. And according to Global Integrity, it has worsened!

But we now understand this is largely due to the 'labelling problem': each one of these indices is in fact measuring a different concept, with TI's index focusing on corruption in the public sector, the World Bank's index focusing on corruption in both the public and private sectors, and Global Integrity's index measuring the opposite of corruption – that is, the existence and effectiveness of anti-corruption mechanisms - in other words the **framework conditions**. Another important difference of course is **who** is measuring. The TI and WB indicators are measured by international experts, while the Global Integrity Index is measured by national experts.

Objective indicators

Governance indicators can also be categorised as 'subjective' or 'objective' indicators.

Objective indicators are fact-based, supported by objective evidence, such as administrative data, laws, official policy documents, official statistics, etc.

Typical examples include the number of corruption complaints received by an anti-corruption agency, the existence of anti-corruption laws or mechanisms, expenditures as a proportion of original approved budgets, and so on.

How objective are "objective indicators" really?

One problem with such indicators is that while objective indicators may present one picture 'on paper', *de facto* realities on the ground as experienced by citizens may be very different.

It's all very well measuring the number of complaints received but unless they are being effectively addressed, this data alone is not very meaningful.

The same applies to the existence of anti-corruption laws where they are not being implemented or enforced, and to budgets where these are not being spent effectively.

In such cases, objective indicators measuring the number of complaints, the existence of laws or the size of the budget can even be misleading.

As we will see later on, the value of such indicators is increased when they are combined with subjective indicators. For example, comparing an indicator about the number of complaints received by an anti-corruption agency with an indicator measuring the proportion of complainants satisfied that their grievance had been satisfactorily resolved can tell us something about the performance of the anti-corruption agency.

Scoring

Another common way to make objective indicators more meaningful, in terms of the extent to which they capture 'reality', is to define specific 'scoring criteria' for each indicator. This way, instead of simply measuring whether a law or a mechanism exists (a 'yes' or 'no' indicator), you can collect much more detailed data on the specific features of this law.

Still, the indicator remains entirely objective, as evidence can be provided to prove that the scoring criteria are met – or not.

This scoring approach is an effective way to convert qualitative indicators into quantitative indicators, all the while retaining the objective quality of indicators.

Scoring: public procurement

Let's take the example of a law on public procurement:

An indicator can simply ask about the existence of the law:

"*In law, major public procurements require competitive bidding*", to which the answer can be either *Yes or No.*

Or an indicator can focus on the application of this law in practice: *"In practice, major public procurements involve competitive bidding."*

To ensure an objective assessment of the implementation of this law, the following scoring criteria could be used:

A 100 score is earned when all of the following conditions are met:
- bids from competing contractors, suppliers, or vendors are invited through open advertising of the scope, specifications, and terms of the proposed contract
- the criteria by which the bids are evaluated is available for scrutiny.

A 50 score is earned when any of the following conditions apply:
- bids from competing contractors, suppliers, or vendors are invited though open advertising, but the advertising doesn't leave much time for bidders to prepare their offers or it lacks basic components (scope, specifications, or terms of the proposed contract)
- the criteria by which the bids are evaluated is not readily available for scrutiny.

A 0 score is earned when at least one of the following conditions apply:
- bids from competing contractors, suppliers, or vendors are rarely or never invited through open advertising of the scope, specifications, and terms of the proposed contract
- the criteria by which the bids are to be evaluated is rarely available for scrutiny.

Experience-based indicators

Last but not least, we should also remember that objective indicators also include those derived from experience-based population surveys, or business surveys, measuring for example the number of times a person or a firm has been bribed and how much was paid. We call those 'experience-based indicators'.

They are also objective as they count actual incidences or actual actions taken by the respondent.

In this chart, you can see the proportion of survey respondents who reported having paid a bribe in different Asian countries in the previous 12 months.

Subjective indicators

Subjective indicators are indicators measuring the opinions or perceptions of governance or corruption in a given country among citizens or experts.

Common examples include people's level of satisfaction with how public affairs are managed, their trust in parliament or in the police, or the extent to which they feel they have a say in decision-making.

As mentioned earlier, subjective indicators derived from the perceptions of experts or the business community may not always align with the perceptions and experiences of ordinary citizens. But this does not mean that subjective indicators based on citizen perceptions are inherently superior! While the opinions of experts based abroad may rely excessively on media reporting or government pronouncements, citizen perceptions can also be tainted by rumours, prejudice, or the latest corruption scandal.

Do subjective indicators matter?

But perception-based indicators are essential for policymaking nonetheless. Let's hear what the Executive Director of the Uganda Bureau of Statistics, which runs a national survey on governance, peace and security every year, has to say about this:

"It's a myth that policymakers are not interested in, or distrust, data because it's based on citizen perceptions rather than on 'real' experiences or other 'objective' information. The fact of the matter is, regardless of whether a government institution is actually a hotbed of nepotism (for example), the popular perception that it is is probably more important than the actual state of affairs—because this perception shapes citizens' behaviour and attitudes towards the government."
— Ben Paul Mungyereza, Executive Director, Uganda Bureau of Statistics

Discrepancies between experience and perception

Experience-based and perception-based indicators can show very difference results. We often see that few people *themselves experience* bribery, or discrimination, or crime, and yet they may *perceive* these phenomena to be pervasive in their country, or they may express high levels of dissatisfaction with their government's efforts to address these problems.

Let's compare for example an indicator measuring the extent to which people report having paid a bribe to a public official in the past 12 months, and another indicator measuring people's perception of how corrupt government officials are in their country. Both of these indicators are measured by a national survey (the Global Corruption Barometer survey commissioned by TI): they capture people's own voice on corruption. As you can see (and this may be a little surprising to you), in many countries, low levels of bribe-paying go hand-in-hand with high levels of perceived corruption:

	Bribery rate (2017) (% who say they have paid a bribe in the last 12 months)	**Perception of the extent to which government officials are corrupt (2017)** (% who say most/all are corrupt)
South Africa	7%	49%
Palestine	13%	38%
Chile	22%	40%
Italy	7%	40%

Source: TI's Global Corruption Barometer, 2017

Rather than being sceptical about the reliability of perception-based indicators when they are far apart from experience-based indicators, it's important to notice such gaps, and to ask why this is.

Perceptions drive behaviour: in other words, people act on their perceptions, no matter how inaccurate they may be.

When people perceive high levels of corruption, they feel it's more 'acceptable' for them also to engage in corrupt activities – which in turn fuels even more corruption.

Governments and anti-corruption activists may also be interested to understand why such gaps exist between experiences and perceptions, as this might also have implications for their public outreach activities. For instance, people may not be well-informed about their government's efforts to improve governance in the country – and as a result they may not be taking advantage of existing mechanisms to denounce corruption and seeking redress, which means that corrupt actors continue to have a free rein.

Now in some countries, it is the other way around: a lot of people say they are asked for bribes, but when asked about their perception of how corrupt government officials are, their assessment is much less negative.

Take Vietnam for example. While as many as 64% of people say they have been asked for a bribe in the past 12 months, only 30% think that most/all government officials are corrupt. Or China. While 26% of people in China report having been victim of bribery, only 9% perceive most/all government officials to be corrupt.

This may be explained by the fact that in some political contexts, people do not always feel comfortable, or even safe, responding to sensitive questions about their government's performance or behaviour.

Keep this in mind when designing your methodology and identifying relevant data collection methods for your particular country context.

Let's turn to our final typology of indicators - framework, progress and impact.

Results chain

When measuring governance or corruption in specific sectors, you can also categorise indicators based on where they belong on a 'results chain'.

A results chain is a fairly linear process starting with inputs, progressing through activities and outcomes and ending with outcomes.

Inputs refer to improvements to the anti-corruption legal and policy framework, such as new laws or regulations. These lead to activities to combat corruption, such as the implementation of these laws and regulations through the introduction of new systems, agencies and training. In turn, activities are intended to lead to outcomes - short term changes in the form of greater efficiency in addressing complaints, responding to requests for information or investigating and prosecuting corrupt acts. Ultimately, the outcomes are supposed to translate into impact, such as lower levels of experienced or perceived corruption.

A results chain is thus a time-oriented way to think about governance reform, and it is very helpful to design indicators that match the life-cycle of reform efforts.

Broadly speaking, various types of governance indicators can be used to track 'framework conditions', 'progress', and 'impact' in any given sector, depending on what stage of the results chain we are focusing on. As you remember, we referred to this terminology in Module 2, when discussing 'WHAT' to measure:

Framework indicators

Framework indicators, also known as "input indicators", are used upstream in the results chain. Framework indicators aim to capture evidence on the existence (or absence) of 'framework conditions' required for a sector to be well governed and clean of corruption.

For instance, framework indicators measure the quality of legal and policy frameworks in place, the existence of codes of conduct and sanction mechanisms, the size of budgetary allocations and the staffing capacity, amongst others.

They are usually objective indicators that draw on official laws and policies, and administrative data; but as we have seen earlier, they can also be derived from expert assessments, for example using objective scoring criteria.

Progress indicators

Progress indicators, also known as "activities or output indicators", are used mid-way through the results chain: they focus on actions taken to increase the quality of service delivery in the sector, and to make it more transparent and accountable.

In other words, they measure the progress made in converting inputs into outcomes. Progress indicators for instance track the number of complaints received and addressed, changes in the absenteeism rate amongst civil servants, percentage cases of corruption successfully prosecuted, and so on.

They are usually objective indicators that draw from administrative data.

Impact indicators

Impact indicators, also known as outcome indicators, are used downstream in the results chain. They measure long-term impacts arising from the inputs invested, the actions taken and the short-term outputs produced.

Impact indicators could measure changes in the extent to which people have access to a given service high-level development outcomes, such as literacy rates or the increase in public trust in government and so on.

They can be both objective indicators (if they measure development outcomes) and subjective data (if they measure changes in satisfaction levels, or in levels of perceived corruption)

Summary

The key message of this presentation was that different indicators are suited to different contexts and objectives. Let's return to what we learnt in lesson 2 and consider our objective, to see which kind of indicators might be best able to accomplish our goal.

For instance, If our goal is to **advocate** for change, then we are going to be looking for evidence of **bad governance** or corruption. Our level of analysis is therefore likely to be on the **impact** corruption is having on a particular issue, such as restricting access to healthcare for women living in poverty. Which indicators are going to be most useful? Well, as we want to advocate for a change, it might be useful comparing national performance to other countries. To do so will require the use of **global indicators**. Is there a correlation between country scores on global indices measuring corruption and access to healthcare? If so, where does your country fall on this spectrum? Both **objective indicators**, such as the number of doctors per 100,000 citizens and **subjective indicators** such as citizen perceptions of corruption in the healthcare sector could be used to raise awareness of the severity of the problem.

If your objective is to **diagnose** corruption risks in the healthcare sector, you will be looking for data about the existence of **good governance** infrastructures, such as the strength of integrity systems. In other words, your level of analysis is at the framework level. **National or subnational indicators** will be required, as global indicators will not be sufficiently disaggregated to provide you with actionable information. You will probably rely on **objective indicators**, such as the size of the budget, the number of complaints filed and so on. You may also consider engaging local experts to score the robustness of a sector or institution's anti-corruption framework. How strong is a hospital's ethics infrastructure? Can you award their grievance mechanism a full score, or does it have considerable shortcomings?

Do you want to **monitor** the performance of hospitals over time, or track the implementation of anti-corruption reforms in the healthcare sector? Then you are likely to need to collect evidence about the performance of integrity systems **(good governance)** as well as progress made in clamping down on corrupt practices. Again, **subnational or national indicators** are going to be more useful for these purposes than global indicators. Similarly, **objective indicators** based on administrative data will be key. Has the reform to the hospital's ethics body resulted in more complaints being effectively addressed? Is absenteeism among health workers rising or falling?

That was a lot to take in, but it's all for now! Check out the bibliography for further information on the different types of indicators, and in the next presentation, we'll be looking at the three golden rules of using governance indicators.

objective	good or bad governance	level of analysis	type of indicator
advocacy	bad	impact	global
diagnosis	good	framework	(sub)national
monitor	good and bad	progress	(sub)national

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![Transparency International - the global coalition against corruption](logo)

Video 3.3: Golden rules for working with indicators

Learning objectives:
- Learn about the three golden rules of working with indicators
- Become familiar with the type of indicators included in the official monitoring framework for SDG 16

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In recent years, a number of 'good practices' have emerged on how to effectively use governance and corruption indicators. The following 'three golden rules' are not exhaustive, but they capture the most important 'do's and don'ts' that you should always bear in mind when working with governance indicators.

Golden rule 1: Understand an indicator before you use it

Be led by your objective, not by indicators. Select indicators only after you are clear what exactly you want to measure

Avoid the 'labelling trap': dig underneath a composite indicator to find out what exactly is being measured, and how.

Be prepared to invest time and resources into generating your own primary data if existing indicators are overly broad or do not fit your needs.

Golden rule 2: To guide decision-making, look for actionable indicators

Governance and corruption indicators should enable users to address a specific problem. If they don't, consider another one.

Look for disaggregated indicators that break broad concepts into distinct components: when indicators are more specific, they're more useful for devising solutions to specific governance problems.

Look behind indicators' scores to find the actual questions asked to experts or citizens, and the specific criteria used for scoring: these can provide you with important pointers for follow-up action.

Golden rule 3: Gravitate towards national indicators

Indicators generated locally – by local experts, by citizens, by administrative records – will stimulate more buy-in from governments than indicators generated externally.

They will also be more politically useful to civil society organisations and advocacy groups: bottom-up pressure for reform is always more effective than external pressure.

There is a fourth golden rule – which is also the most important one! We will discuss it in the next session.

SDG 16 indicators

But first, let's go back to have a look at Goal 16 indicators, and see what types of indicators we can find.

First, all SDG indicators are to be measured from national sources: countries are responsible for producing their own *national* indicators to complement the global ones. As discussed earlier, this is a great start for SDG indicators to have impact amongst national policymakers.

Second, we notice that the large majority (19 out of 23) of SDG 16 indicators are objective. For example:

Examples of SDG 16 *objective* indicators
16.6.1 Primary government expenditures as a proportion of original approved budget, by sector (or by budget codes or similar)
16.4.1 Total value of inward and outward illicit financial flows (in current United States dollars)
16.2.2 Number of victims of human trafficking per 100,000 population, by sex, age and form of exploitation
16.a.1 Existence of independent national human rights institutions in compliance with the Paris Principles
16.3.2 Unsentenced detainees as a proportion of overall prison population

This is something to keep in mind: when monitoring SDG 16, you may want to complement these objective official indicators with relevant subjective indicators, to check that an improvement recorded by administrative data is also felt or experienced as an improvement by people in their day-to-day life.

Third, looking at survey-based indicators, we find both experience-based indicators and perception-based indicators:

Examples of SDG 16 *experience-based* survey indicators	Examples of SDG 16 *perception-based* survey indicators
16.5.1 Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by those public officials, during the previous 12 months	16.1.4 Proportion of population that feel safe walking alone around the area they live
16.3.1 Proportion of victims of violence in the previous 12 months who reported their victimization to competent authorities or other officially recognised conflict resolution mechanisms	16.6.2 Proportion of the population satisfied with their last experience of public services
16.1.3 Proportion of population subjected to physical, psychological or sexual violence in the previous 12 months	16.7.2 Proportion of population who believe decision-making is inclusive and responsive, by sex, age, disability and population group)
16.2.3 Proportion of young women and men aged 18-29 years who experienced sexual violence by age 18	16.b.1 Proportion of population reporting having personally felt discriminated against or harassed in the previous 12 months on the basis of a ground of discrimination prohibited under international human rights law

Finally, we notice that each target has one or two indicators at most – which means that targets are not being measured from all three perspectives we discussed earlier. In other words, official SDG 16 indicators for any given target look at framework conditions, or progress, or impact, but never all three dimensions at once.

SDG 16.6

Target 16.6 on 'Developing effective, accountable and transparent institutions' proposes a

framework indicator *16.6.1: Primary government expenditures as a proportion of original approved budget, by sector*

as well as an

impact indicator: *16.6.2 Proportion of the population satisfied with their last experience of public services*

BUT there is **no progress indicator** to track specific aspects of service provision that lead people to feel dissatisfied, such as absenteeism among healthcare and education professionals, or the proportion of complaints by parents or students that are acted on.

SDG 16.10

Target 16.10 on 'Ensuring public access to information' proposes a single **framework** indicator: *16.10.2 Number of countries that adopt and implement constitutional, statutory and/or policy guarantees for public access to information*

BUT

There is **no impact indicator** to measure changes in people's own appreciation of whether or not they feel they can easily access official government information.

And, there is also **no progress indicator** to monitor whether access to information laws are indeed being implemented (e.g. the proportion of information requests responded to).

Summary

As we've seen, there are three golden rules when working with governance indicators. First, make sure you understand what a given indicator is actually measuring. Second, favour "actionable indicators" which provide data that can be used to address specific issues. Third, gravitate towards national and local indicators to build bottom-up pressure for reform.

How do we apply these golden rules to the measure progress towards the 2030 Agenda? Well, the first step is to carefully examine which type of indicators are included in the official monitoring of the target you are interested in. Take a close look at the indicators included in your government's Voluntary National Review in particular. The key is to fill existing gaps.

In other words, ensure that each target you are monitoring is assessed by multiple, complementary indicators to give a more complete understanding of what's going on.

Is your government only reporting against objective, experience-based indicators? Then consider complementing these official indicators by measuring relevant subjective, perception-based indicators. Such national and local indicators measuring citizen perception can bring additional legitimacy to your calls for reform.

Are progress indicators missing from official monitoring? Then develop your own, and lobby for their inclusion in government reporting! By positioning your indicators as filling existing gaps at no cost to government, you may be able to demonstrate your added value, which could bring with it new opportunities.

In this lesson's final presentation, we turn our attention to examine in greater detail how to combine different indicators into so-called "baskets" to produce a more robust picture of progress.

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Video 3.4: Indicator baskets

Learning objectives:
- Understand why it is preferable to combine different kinds of indicators into "baskets"
- Learn how to develop indicator baskets

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We mentioned there was a fourth golden rule – the most important one… here it is: **Never use an indicator in isolation.**

Governance and corruption are complex issues. A single indicator is not sufficient to obtain a comprehensive understanding of the state of affairs and to identify possible points of intervention.

All indicators have weaknesses and are subject to bias in one form or another.

By building baskets of containing 3 to 5 indicators, you can generate a more comprehensive picture while mitigate the risks of making decisions based on misleading data.

Case study: reducing violence

So, why do indicator baskets provide a more reliable picture of progress? Let's take an example from Goal 16: target 16.1 which aims to "reduce all forms of violence".

One possible action which a government may decide to take is to increase police capacity.

This government could then decide to track its progress in 'reducing all forms of violence' by using an indicator such as *the ratio of police officers per violent crime in the country*. Let's use hypothetical numbers. If previously we had 10 officers for 100 crimes, that's a 1 to 10 ratio, or 0.1. If we increase the police force to 50 this year, and the number of crimes remains unchanged, the ratio of police officers per violent crime increases to 5 to 10, or 0.5.

Framework indicator

To use the typology of indicators we presented in the previous presentation, you'll have recognised that this indicator of 'police capacity' focuses on *framework conditions* for reducing violence.

It measures a change in human resources (or 'inputs') deployed in the hope of reducing violence.

But if we stop there, and if we don't look at the *effects* of this increased capacity on security levels, we won't really know if more police personnel is a useful intervention or not!

Add an objective progress indicator!

So following our 'results chain model', we move down the chain to the stage where inputs are converted into outcomes. At this stage, we use 'progress indicators'.

Our objective with target 16.1 is to reduce violence, not simply to employ more police!

So we could, for instance, add a progress indicator measuring *the number of reported violent crimes*. This will help us assess whether the deployment of more police officers means less violent crime.

What objective progress indicators overlook...

Let's say the number of crimes does go down, say from 100 to 70. What does this lower figure actually tell us?

For one, it's well known that crime statistics are not always reliable: such statistics can be manipulated, or 'improved', especially in contexts where there is pressure from authorities to 'show progress'.

Secondly, an indicator on crime reporting is dependent on people actually reporting crimes, which is itself indicative of people's trust in the security services. In other words, if people don't think that police officers will be of any help to them, they will stop reporting crime to the police. So if the crime reporting rate goes down, we won't know if it's caused by a decrease in people's trust in security services – or if it truly reflects an actual decline in the incidence of crime.

Add a subjective impact indicator!

To shed light on this important aspect, we could add a third indicator to our basket: a perception-based indicator measuring people's confidence in the security services.

This indicator will help us validate that the expansion in the police force has been well managed (if people have confidence in the police, it's that they are well trained, respectful of all population groups)

It also tell us if any increase or decrease in the reported crimes is truly a reflection of the level of crime, rather than a reflection of a change in people's trust in the police. We have now reached the end of the service delivery chain - the interface with citizens, and we have used an impact indicator to measure the quality of the service provided, as perceived by people themselves.

What does our basket tell us?

With these three indicators, we've built a basket of indicators that is more useful than the sum of its parts. In other words these three indicators are more valuable together than when used individually.

Using this indicator basket, we can judge if the objective of reducing violence is being reached, rather than simply how many more police officers there are.

Three advantages of indicator baskets

So back to our initial question: Why do indicator baskets provide a more reliable picture of progress? From this example, we can identify three main reasons:

First, we **always need more than one indicator to capture the various dimensions** of any given governance issue.

Second, using multiple indicators **allows for triangulation of various data sources**: in other words, do the indicators validate each other?

Last but not least, **indicator baskets help 'neutralise' perverse incentives sometimes embedded in indicators.** For instance, it may be in the interest of governments to adopt shallow reforms or 'quick-fixes' to improve their scores on indicators, without addressing the root cause of the governance failings. Having other indicators in a basket limits the risks for any given indicator to have unintended, harmful impacts.

Let's consider that last point in more detail.

Perverse incentives

The potential for perverse incentives is critical to keep in mind when selecting governance indicators. In our example for SDG target 16.1 on reducing violent crime, we identified a perverse incentive for governments to manipulate crime statistics so as to 'show progress'. Similar incentives exist for other targets.
For instance, target 16.3 aims to increase 'access to justice for all'. One global indicator, 16.3.2, measures 'unsentenced detainees as a proportion of overall prison population'.

To improve this ratio (that is, to lower the proportion of unsentenced detainees in prisons), a government could decide to showcase improvements in the conviction rate of criminals – that is, showing that the proportion of detainees awaiting trial is decreasing. But here a perverse incentive might arise: the justice system, under pressure to show improvements on the conviction rate, may be running speedy trials during which defendants do not receive adequate representation.

If no other indicators are used to measure whether due process was followed (looking at judicial records for instance), or to measure detainees' own appreciation of whether or not their rights were respected (from surveys of convicted detainees), an 'improvement' in the conviction rate could mask serious injustices.

Summary

Indicator baskets should ideally combine the three types of indicators we have discussed, that is framework, progress and impact indicators.

It's also useful to remember that framework indicators can look at both the *de jure* existence and *de facto* implementation of the relevant legal or policy frameworks.

Progress indicators can easily be measured from administrative sources.

Finally, impact indicators should consider both objective *and* subjective indicators, to see whether the public *feels* that an improvement is occurring. When measured with objective indicators, improvements are often described in terms of higher quantities, or broader coverage. But quality issues are not addressed by such measures. To capture those, people's perceptions of improvement are a necessary complement.

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Video 3.5: Criteria for selecting governance indicators (IGI)

Learning objectives:
- See how Kemitraan decided which kind of indicators to include in the IGI
- Learn about the criteria Kemitraan used to select indicators

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In the last lesson, we went through the process that Kemitraan used to define its objectives, identify the governance data needed to meet these objectives and looked at who was involved in the design process. In this lesson, we'll consider the conceptual framework that underpins the IGI, and we will study how Kemitraan selected indicators able to meet its objectives. But first, let us look at some of the key considerations that guided the selection of indicators for the IGI.

What considerations did you have in mind when selecting indicators for the IGI?

There were several key questions we had to answer when we started working on our conceptual framework and selecting suitable governance indicators.

The very first issue was to define whose performance we would be monitoring. This was critical for the IGI to be successful. We had to agree on a **'*unit of analysis*'** to ensure that responsibilities for the IGI results could be clearly and unambiguously attributed to specific authorities. We settled for indicators to measure the performance of institutions and actors at the *provincial* level; We also felt that it would be more 'manageable' to assess 33 provinces rather than 500 districts and cities across Indonesia! This meant excluding from the IGI national-level indicators which would not have allowed us to compare provinces directly, which was our main objective.

From the beginning, we were clear that we wanted to collect data that would be comparable to allow easy *comparisons* of findings between provinces and institutions over time.

We wanted to develop ***a policy relevant tool*.** In practice, this meant we wanted to select indicators that would shed light on flaws in the regulations, policies and internal processes, what we call the *"framework conditions"*, which were increasing the risk of corruption at provincial level.

We were aware early on that each indicator has its own methodological strengths and weaknesses and that we needed to use a range of indicators. To obtain a comprehensive picture of each province's governance challenges, we decided to develop "**basket indicators**", combining different types of quantitative indicators with qualitative indicators. We'll learn more about basket indicators in this lesson.

Another consideration related to the **sustainability** of the exercise: how could we ensure that our initiative would not be a one-off, but would be sustained over the longer-term? We knew that the value of an index such as the IGI is largely derived from the time-series it generates, without which progress over time cannot be tracked. We therefore needed to select indicators we could be sure could be measured the same way each year.

More specifically, what criteria were used to inform the selection of indicators?

We realised early on that a lot of indicators could be generated to address these concerns, so we needed to stay realistic and decided to drop indicators that would not be helpful to policymakers.

With this in mind, we develop a set of criteria to guide our selection of specific indicators. We decided to use 5 main criteria.

First, the significance of the issue an indicator addressed. Second, the relevance of the indicator across provinces/districts. Third, the discriminating power of the indicator, meaning its ability to identify significant differences between various areas. Fourth, the 'actionability' of the proposed indicators for policymaking, meaning that the government being assessed knows what steps they need to take to make improvement. Finally, the availability of data.

Summary

In this video, we have looked at the key issues we considered and the criteria we used to select the right indicators for the IGI. In the next video, we will go together through the process of actually selecting suitable indicators for the IGI, using a few concrete examples.

Video 3.6: Selecting relevant indicators (IGI)

Learning objectives:
- See how Kemitraan selected relevant indicators based on what they were trying to achieve
- Learn about how Kemitraan developed its own indicator baskets

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Previously, I outlined the key considerations for the development of criteria to select our indicators. In this video, I will walk you through the process of actually selecting suitable indicators for the IGI, using a few examples. But first, let me start by reminding you of the conceptual framework we developed for the IGI.

The IGI Matrix

As you see from the matrix, the IGI covers four arenas and six principles of governance. The four arenas are:
- Government (both executive and legislative branches at provincial level)
- Civil Service
- Civil Society
- Economic Society

And for each of these arenas, the six principles of good governance include Participation, Fairness, Accountability, Transparency, Efficiency and Effectiveness

So for each arena, we needed to find indicators that would help us assess how well the 6 principles of good governance were upheld by actors operating in the arena. We used this matrix as our conceptual framework for the IGI, and as a starting point for identifying possible indicators at the intersection of each arena and each principle.

We started off by organising focus group discussions and asked a broad array of "Well Informed Persons" (WIPs) to identify a set of *key 'functions'* performed by actors in each of the four arenas. We also asked them to propose indicators to measure how well these functions were executed, in line with the six good governance principles.

Identifying key functions for each arena

For example, for the government arena, we narrowed down *key functions* to tasks such as formulating the regulatory framework, budget allocation and coordinating development.
For the civil service, we identified key functions are being public service delivery, local revenue collection and the regulation of the local economy.

We decided that the key function of civil society was its public policy advocacy function.
Finally, for the private sector, we considered their key functions to be responding to government tender opportunities, advancing business interests and in promoting local economic development.
We then identified indicators for each one of these key functions. To select indicators, we considered each key function from three perspectives:

First, we identified the main framework conditions facilitating or obstructing this function such as laws or organisational structures. We looked, for example, at the functioning of institutions and the availability of resources, as well as administrative practices and oversight systems.

Second, we looked for indicators to track the progress made in executing these functions in a way that upholds the 6 core governance principles.

Finally, we selected indicators to measure the ultimate impact of these functions on high-level development outcomes such as economic growth, human development, and the unemployment and poverty rates.

We ended up with a total of 89 indicators allocated across the 4 arenas. This framework evolved organically over the years. In 2012 for instance, we added the function of 'community empowerment' under the Civil Society arena.

Using indicator baskets to measure governance and corruption

Let's have a look at this in practice, taking the example of the government's key function of budget allocation. How did we select governance and anti-corruption indicators reflecting the three perspectives I just mentioned? Moreover, how did we combine these into a *basket* of indicators?

For context, Indonesian citizens wanted their local government not only to be more efficient and honest in its spending, but also to be more responsive to their specific needs.

So, in line with the principle of transparency, citizens needed to have access to the budget figures in order to know how public funds were being spent.

First, we started by considering the *framework* conditions to make this possible and developed an indicator on the 'accessibility of all local budget documents' on the provincial government website. Second, in line with the principle of participation, we considered that citizens had a right to have a say in how spending priorities were being determined.

To measure *progress* in the execution of the budget function, we adopted an indicator assessing the 'quality of public hearings to discuss the Local Budget'. Other progress indicators included metrics measuring 'local per capita budget allocations for education, health and poverty eradication'.

Finally, to assess the *impact* of this budgetary function and how well it was executed, we selected an indicator measuring government spending as a proportion of original approved budget.
In line with the principle of efficiency, people could check, at the end of the fiscal year, whether or not the government had delivered what it had promised to.
Other indicators of development outcomes, such as the poverty rate in the province, were also used to check that spending efficiency did lead to tangible improvements in people's well-being, in line with the principle of effectiveness.

Aggregation and scoring process

Once we had identified these four arenas, six principles, 11 functions and 89 indicators, we had to aggregate all of these into an index score.

For this, we assigned weights to certain arenas, principles and indicators, based on their relative merit or importance to others. You can see the outcome of the weighing process in this graph.

Summary

In this video, we have looked at the process we used to develop a conceptual framework for the IGI. We focused on how we identified a set of critical functions performed by actors in the four arenas and how we proceeded to select specific indicators measuring how well these functions were executed.

To get a full picture on each function, we built 'baskets of indicators' which combined indicators looking at *framework conditions*, *progress* and *impact*. In the next lesson, I will tell you which data sources we identified as both available and trustworthy and the challenges we faced in using these sources.

Module 4: Identifying data sources

Video 4.1: Types of data

Learning objectives:
- Learn about different categorisations of data (de jure vs de facto, experiential, perception-based, expert assessments, administrative data and citizen-generated information)
- Become familiar with several different governance datasets

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In lesson 3, we looked at different types of indicator. Indicators and data are intrinsically linked, and we'll start today's lesson by looking at the different categorisations of governance data.

We'll then move on to consider the distinction between global and regional sources of data on one hand, and national and subnational sources on the other.

Afterwards, we'll touch on common data challenges and explore possible strategies and partnerships to help overcome them.

In-law (de jure) vs in-practice (de facto)

Before diving into the different types of data, it is worth pointing out that, broadly speaking, governance data can either relate to what exists in law (de jure) or what occurs in practice (de facto).
The de jure institutional framework consists of the formal rules governing the actions of individuals or organisations. These rules consist of laws, policies, operating procedures and/or administrative regulations that assign responsibilities and authority to act.
 The term de facto refers to the implementation of the de jure framework, or what happens "in practice" when laws and policies are enforced.

In other words, de jure data relates to the mechanisms that are in place to prevent corruption or to sanction corrupt behaviour, while de facto data reveals whether these mechanisms are succeeding.

Categorisations of data

A simple way of distinguishing between types of data is to focus on what the data represents - be this

- people's' experiences
- and perceptions,
- expert assessments,
- administrative statistics
- or citizen-generated knowledge.

Experiential data

As we have seen, **experiential data** is comprised of specific citizen experiences (or knowledge). This includes the frequency, location and cost of bribes, or the incidence and severity of crimes, as well as the extent of knowledge about specific laws, policies or practices.

It is useful for measuring the quality of service delivery and the extent and nature of petty corruption in particular sectors, such as bribes or crimes. It is very helpful in supplementing performance data collected by government agencies and validating perceptions data and, in this way, can be used to identify bottlenecks and problems at the government-citizen interface.

Perception data

Perceptions data consists of opinions or beliefs on specific topics. It is helpful for capturing information about topics that are difficult to conceptualise for objective data collection, such as public trust, civic space, grand or political corruption and client preferences.

Perceptions data is also important as an advocacy tool, particularly for influencing attitudes about corruption and prompting anti-corruption reform. Citizen perceptions are an excellent supplement to objective data (which may be misleading or not rigorously collected), because service delivery is experienced first-hand by users who may not feel empowered to complain or agitate for changes as individuals.

Surveys

Data of citizen experiences and perceptions is most commonly collected using surveys. Surveys can be run by government agencies, academics, journalists, business, civil society groups or citizens. They are a useful way to gather information on governance or anti-corruption from the perspective of the very people on behalf of whom public institutions are working.

Surveys have a number of strengths:

- People are best placed to assess their own experiences of governance; the essence of Goal 16 will be lost if we don't include people's voices in reporting on progress.
- Survey data is particularly valuable to capture differences in governance or corruption experiences and perceptions between people who live in cities and those who live in rural areas, and between people of different age, sex, income level, education level, etc. This is essential to reveal discriminatory practices, and to show 'who has been left behind'.

But surveys also have weaknesses:

- Planning a survey, running it and analysing survey results can take *at least* one year – and that's an optimistic estimate!
- Survey data can sometimes be accused of being 'unreliable', especially when asking respondents about their perceptions or opinions. We discussed earlier why perceptions matter for policymaking, even if they don't match with objective data – but still, there will always be some critics questioning the reliability of survey data. (The best way to tackle such criticism, as we saw earlier, is to combine survey-based data alongside objective administrative data, when presenting your findings.)

Finally, an important consideration is that governance surveys, more than any other type of survey, should take place in a politically neutral period where possible. Essentially, this means not conducting surveys immediately before or after elections, and avoiding any other times in which the national mood might be artificially optimistic or pessimistic, such as during or in the aftermath of a major political scandal or event.

Expert assessments

Expert assessments are a form of data captured through scoring, rating, ranking or qualitative evaluations (such as reports). They are typically undertaken by academic research organisations, private foundations and non-government organisations. The assessments of the Well-Informed Persons selected by Kemitraan for the Indonesian Governance Index are a good example of this kind of data.

Strengths of expert assessments include that:

- For certain aspects of governance, experts are best placed to provide the information required (for instance, detailed information about budgeting or procurement processes may not be available from other sources); likewise, on certain topics, experts may be best placed to make informed judgements (for instance, on whether elections are fair).
- Expert data can be more easily used for cross-country comparisons than the data collected by various administrative agencies, as it is based on a common reporting template.
- Expert data is typically less costly to collect, especially when compared to data collected through household surveys.

Expert assessments do have several weaknesses:

- Sometimes, little information is available about the criteria used to select experts and/or the scoring criteria guiding their assessment. If that's the case, scores can change depending on the expert doing the assessment, which is problematic.
- Experts are never completely impartial; they can be influenced by the media, by the opinions of other experts, and by many other factors.
    - For instance, Expert data can be generated by academics and researchers, or by government officials. When ratings are generated by government officials, there is a risk that these ratings represent the 'official' position of the government on the issues being assessed, rather than the actual state of affairs. Officials can also experience a conflict of interest when being asked to evaluate the performance of government in a given area. So make sure to find out who the 'experts' are when you use expert data!
    - Even *national* expert data can be biased: national experts are often based in the capital and may not be entirely familiar with the governance or corruption situation outside of the capital or the main cities.

Given the subjectivity inherent to expert data, it is prudent to see how the expert ratings provided by the source you have chosen compare to other ratings on the same topic produced by a different source. If you find that the expert data generated by your preferred source is not consistent with the expert data generated by another source, you may want to investigate further the methodology behind your preferred data source, and make sure you fully understand "what's under the label."

Administrative data

Administrative data sources typically capture objective facts or events. They will give you 'hard measures' of government activities, laws and performance. Administrative data often consists of agency statistics or performance data generated by governments about their own activities, as well as audit findings or programme reports.
Such data can be provided by a wide range of government agencies and accountability institutions, including anti-corruption commissions, human rights commissions, ethics bodies, information

commissions, ombudsmen, supreme audit institutions, and so on. Regularly-produced administrative data includes court data, public finance data, payroll data, procurement data, audit findings, customs data, tax and revenue data, service delivery data, and electoral data.

Administrative data has some clear strengths:

- Useful for identifying areas of concern in legal frameworks, institutional set-ups and administrative procedures (for instance, open procurement data can be used to highlight practices that serve to limit competition and favour certain bidders).
- Easy to translate into action (i.e. into an actual reform programme) since the data collected already matches existing activities/processes/outputs, which makes it very actionable.

But administrative data does come with a number of weaknesses:

- Accessing administrative data may be challenging in national contexts where legal guarantees for access to public information are not fully in place.
- In contexts where record-keeping and monitoring capacities of institutions are poor, this type of data may lack credibility or may even be misleading.
    - In some countries where citizens distrust public authorities, they will be reluctant to provide reliable information to administrative agencies collecting data; in these situations, administrative data needs to be reviewed carefully.
- Administrative statistics may not be produced in the same way across institutions within a given sector (for example, police offices, courts and prisons may not be using the same statistical definitions when recording crimes), and across levels of government, so difficulties may arise when comes the time to aggregate statistics at sectoral level, or from the sub-national to the national level.

Given all of these caveats, it is therefore important to complement administrative data with other sources of data, such as survey data, field observation or field-testing, or national expert data.

Citizen-generated data

'Citizen-generated data' refers to data that people actively produce themselves, using mobile phone or web-based crowdsourcing technologies, to directly monitor or demand change on issues that affect them.
We don't have time in this course to present the many different types of **citizen-generated data** that could also be produced to monitor governance and corruption. Nonetheless, it's worth keeping this option in mind given the speed at which you can generate such data, and at very low cost.

Citizen-generated data can be generated on a wide range of issues, including:

- the quality of government services (such as through U-report, a free SMS social monitoring tool designed to address issues that people care about, such as health, education, youth unemployment, HIV/AIDS, disease outbreaks and anything else people want to discuss. SMS polls are sent out to people and real-time responses are collected and mapped on the U-report website);

- the incidence of bribery (such as through I Paid a Bribe, a web platform where people can report on the nature, number, location, frequency and values of corrupt acts, as well as instances where they did not have to pay bribes because of good government systems or honest public servants in particular offices);

- corruption during elections (such as through Ushahidi, a platform that enables local observers to submit reports using their mobile phones or the internet, while simultaneously displaying these incidents spatially on maps);

- harassment and assault (such as through HarrassMap, a reporting and mapping system for people in Egypt to anonymously report incidents related to experiencing, witnessing, or intervening against sexual harassment).

Working with citizen-generated data has pros and cons:

Strengths:

- Citizen-generated data can highlight issues that are important to people and that may not be captured by traditional surveys, administrative data or global indices.
- It is useful to verify datasets produced by governments or international organisations.
- Link up with data revolution, which offers a strategic opportunity to cut on costs, to make data available in real-time, and to stay true to the spirit of the SDG Agenda with its emphasis on bottom-up participation and 'leaving no one behind'.

Weaknesses:
- It is important however to remember that this type of data is not nationally representative – rather, it represents the views and experiences of those who have an internet connection and/or a mobile phone.
- Citizen-generated data is (by definition) hyperlocal and deal with issues of relevance to a particular community, which makes it difficult (and sometimes irrelevant) to replicate across broader spatial scales. In other words, citizen-generated data can produce powerful issue-specific, local-level indicators, but is not well suited to produce *national*-level indicators.

Data sources

Having covered the various types of data, let's turn to look at sources of data themselves. Here we'll make a further distinction between global and regional data sources on one hand, and national and subnational on the other.

Global and regional datasets

Several high-quality, regularly-updated indices and ratings produced by civil society organisations and international organisations can be used to monitor SDG 16, or governance and anti-corruption in general.

We saw in lesson 3 that readily-available global or regional indicators can be very useful if your objective is to draw the attention of policymakers and citizens to your country's dire performance on a certain governance or corruption-related issue. Global or regional rankings showing your country at the bottom of an index, or revealing a worrying decline in your country's performance over time, always serve as effective wake-up calls when widely discussed in the local media.

A good example is Transparency International's Corruption Perceptions Index, here you can see recent results for countries in the Asia Pacific region.

Composite indexes

We also saw in the last lesson that some global and regional indices are not only producing single composite scores, but also sub-component scores that can be analysed independently. This makes this type of data much more actionable.

We saw, for example, that the Right to Information Ratings produced by the Centre for Law and Democracy were provided not only in the form of a total summary score, but also as sub-component scores measuring more specific aspects of the right to information, such as a score on 'requesting procedures', on 'appeals' and on 'sanctions and protections', amongst others.
Another leading example of this approach is the Index of Public Integrity, which is a composite corruption index built on six individual components: judicial independence, administrative burden, trade openness, budget transparency, e-citizenship and the freedom of the press. Each country receives an overall score, but users can also dig into the detail of each of the six components, which increases the actionability of the index. In other words, it provides more information about the main drivers of corruption in each country, as well as how the situation could be improved.

When global datasets can be 'unpacked' this way, they can also be very useful to consult when building indicator baskets: they can help us identify which areas are the most problematic and should be measured by specific indicators in our baskets.

Readily-available data sources

For a list of leading readily-available global and regional data sources which you can use to monitor SDG 16's corruption-related targets, make sure to check out the supporting material for this presentation, which includes a list of data sources to monitor corruption!

National and sub-national data sources

After consulting relevant global or regional datasets, you may realise that the specific data you are looking for is not collected by these global or regional data producers. You may also question the reliability of the data they published, or you may find that the latest data they have published is too outdated to be considered seriously by those you seek to influence.

If you face any of these situations, you can look for existing data sources in national and sub-national institutions - submitting freedom of information requests where necessary, or even generate your own primary data.

As emphasised earlier, working with data produced locally offers the major advantage of focusing on the specific aspects of governance and anti-corruption that are most salient in a given country context. But it's obviously a more time-consuming and resource-intensive undertaking, both in terms of the expertise needed and the financial costs incurred when collecting primary data.
If you decide to draw from national or sub-national data sources, remember that no single source should be used in isolation. The various indicators in your basket should be measured from different data sources, as each one has its own strengths and weaknesses. Drawing from a mixture of them will help strengthen the reliability of the overall picture depicted by your indicators.

Check out the table in the supporting material section for an overview of methods to collect governance data at national and subnational level, as well as the kinds of corruption risk each is able to address.

Summary

In this presentation, we considered the differences between in-law and in-practice data, as well as the strengths and weaknesses of experiential data, perception data, expert assessments, administrative data, and citizen-generated data.

We also pointed you in the direction of some useful global composite indicators, which can be broken down into more precise and actionable data. Finally, we considered national and subnational data collection methodologies. In the following presentation, we'll consider some of the main challenges of working with data sources before ending the lesson with a look at possible strategies and partnerships to help overcome these challenges.

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Transparency International. 2018: *Corruption Perceptions Index 2017.* https://www.transparency.org/news/feature/corruption_perceptions_index_2017

Further reading

Harassmap. https://harassmap.org/en/

I Paid a Bribe. http://ipaidabribe.com/

U-Report. https://ureport.in/

Ushahidi. https://www.ushahidi.com/

Supporting Material

Available global and regional indicator sources to monitor corruption-related targets under SDG 16

Target 16.4 – *By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime*	
● **Anti-money laundering** ● **Beneficial ownership transparency** ● **Recovery of stolen assets** ● **Fight against organized crime** ● **Arms trafficking**	
Global/regional indicators	**What are the main dimensions measured by these indicators?**

Basel Anti-Money Laundering Index (by the Basel Institute on Governance)	● Anti-money laundering (AML) / counter terrorist financing (CTF) regulations risks ● Corruption risks ● Financial transparency & standards ● Public transparency & accountability ● Political and legal risk
Global Financial Integrity	● Estimates of illicit financial outflows
Financial Secrecy Index (by the Tax Justice Network)	● Secrecy of jurisdictions ● Scale of their offshore financial activities
Resource Governance Index (by the National Resource Governance Institute)	● Taxation of natural resources ● Licensing for exploitation of natural resources

Target 16.5 – *Substantially reduce corruption and bribery in all their forms*
- **Experience and perceptions of corruption**
- **Anti-corruption framework and institutions**
- **Private sector corruption**
- **Transparency and integrity in public administration**
- **Lobbying transparency**
- **Whistle-blowing**
- **Party & election campaign finance transparency**
- **Fiscal transparency**
- **Public procurement**

Global/regional indicators	What are the main dimensions measured by these indicators?
Corruption Perceptions Index (by Transparency International)	● Perceived overall corruption in the public sector
Global Corruption Barometer (by Transparency International)	● People's direct personal experience of bribery in their daily lives ● People's assessment of their government's anti-corruption efforts ● People's assessment of level of corruption in various public institutions ● People's willingness to act against corruption
Regional corruption barometers (Afrobarometer, Asian barometer, Arab barometer, Latinobarometer, Eurobarometer)	● People's experiences with bribery ● People's perceptions of corruption
Africa Integrity Indicators (by Global Integrity)	● Rule of Law ● Accountability ● Elections ● Public Management ● Civil Service Integrity ● Access to information and openness
Public Expenditure and Financial Accountability (PEFA) indicators (by the World Bank)	● Budget reliability ● Management of assets and liabilities ● Policy-based fiscal policy and budgeting ● Predictability and control in budget execution ● Accounting and reporting ● External scrutiny and audit
Quality of Government (by University of Gothenburg)	Structure and function of public administration: ● Meritocratic recruitment ● Internal promotion and career stability ● Salaries

	● Impartiality ● Corruption ● Effectiveness/efficiency ● Representation in public administration of ethnic group, gender, etc.
Public accountability mechanisms (by World Bank / Hertie School of Governance)	Legal framework for: ● Financial disclosure ● Conflict of interest ● Immunity ● Political financing ● Public procurement
Rule of Law Index (by the World Justice Project)	● Absence of corruption ● Regulatory enforcement ● Government powers
Resource Governance Index (by the National Resource Governance Institute)	● Enabling environment for natural resource governance
Campaign Finance Indicators (by Global Integrity)	● Political finance regulation ● Political finance transparency ● Political finance enforcement
Sustainable governance indicators (by Bertelsmann Stiftung)	● Quality of democracy ● Executive capacity ● Executive accountability

Target 16.10 – *Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements*
● **Protection of fundamental freedoms** ● **Access to information** ● **Open government data**

Global/regional indicators	What are the main dimensions measured by these indicators?
Right to Information Rating (by Access Info Europe and the Centre for Law and Democracy)	● Right of access ● Scope ● Requesting procedures ● Exceptions and refusals ● Appeals ● Sanctions and protections ● Promotional measures
Open Budget Index (by the International Budget Partnership)	● Public availability of budget information ● Opportunities for the public to participate in the budget process ● Role and effectiveness of formal oversight institutions, including the legislature and the national audit office
Public Expenditure and Financial Accountability (PEFA) indicators (by the World Bank)	● Transparency of public finances
Sustainable governance indicators (by Bertelsmann Stiftung)	● Quality of democracy (incl. access to information, civil rights and political liberties ● Executive accountability (incl. media)
Open Company Data Index (by Open Corporates) ⬚	● Unrestricted online search (no cost, no registration, search feature) ● Openly licensed ● Free machine-readable data ● Publicly available data on company directors ● Publicly available data on national accounts ● Publicly available data on shareholdings
Rule of Law (by the Index World Justice Project)	● Open government

	● Fundamental rights
World Press Freedom Index (by Reporters Without Borders)	● Pluralism in the media ● Media independence ● Environment and self-censorship ● Legislative framework governing news and information activities ● Transparency of institutions and procedures that affect the production of news and information ● Infrastructure that supports the production of news and information
Freedom in the World (by Freedom House)	Respect of political rights and civil liberties in: ● Electoral process ● Political pluralism and participation ● Functioning of government (incl. corruption and transparency) ● Freedom of expression and belief ● Associational and organizational rights ● Rule of law ● Personal autonomy and individual rights
Open Data Barometer (by the World Wide Web Foundation)	● Open data context ● Open data policy ● Open data implementation ● Open data impact ● Detailed assessment for 15 kinds of data (data availability, format, license, timeliness and discoverability)
Global Open Data Index (by Open Knowledge International)	Open data in: ● Budget ● Spending ● Procurement ● Election results ● Company register ● Land ownership ● National statistics ● Draft legislation ● National law ● Etc.
Resource Governance Index (by the National Resource Governance Institute)	National resource revenue management in: ● National budgeting ● Sub-national resource revenue sharing ● Sovereign wealth funds

Video 4.2: Data challenges and partnerships

Learning objectives:
- Learn about some of the challenges when it comes to producing reliable data over time
- Understand how partnering with other stakeholders can help overcome these challenges

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Let's now consider two of the key challenges of working with data sources before ending the lesson with a look at possible strategies and partnerships to help overcome these challenges.

Data challenges

Two of the key challenges you are likely to face relate to the sustainability of your data sources, as well as keeping track of and understanding the implications of any methodological changes.

The sustainability of data sources is critical to analysing trends in the short term and tracking progress over longer periods of time. But data production is a complicated and expensive endeavour and unfortunately, there is no guarantee that data producers will be able to generate additional rounds of data.

Moreover, over time data producers tend to make changes to the underlying indicators or data collection methods to improve the quality of the dataset. This complicates the comparison of aggregated information over time. It is important to understand what has changed to avoid invalid comparisons and flawed analysis.

Strategic data partners

In many cases, collaborations among CSOs, governments, international organisations and donors will be a viable approach to generating sustainable and high-quality datasets able to track progress over time.

There may be strategic value for CSOs to partner with national institutions that have regular budget and official mandates to monitor corruption and governance, such as national governance commissions, anti-corruption agencies or national statistics offices.

As well as helping establish sustainability of the exercise, this can also help maximise impact, as data collection efforts will be most effective where they are geared towards influencing a specific policy process. Timing data collection efforts to align with policy processes is something we'll return to in lesson 5. For now, let's consider the advantages of partnering with national statistical offices.

National statistical offices

In some countries, national statistical offices are already conducting surveys on various aspects of governance or corruption, such as national victimisation surveys, surveys on public satisfaction with service delivery, or national corruption surveys.

Yet national statistical offices tend to publish only a fraction of their work online, so it's worth paying a visit to your national statistical office to enquire about the topics covered in recent surveys. If any of these topics is relevant to your research objective, you can ask to access the survey database.

Official statistics are a public good which every citizen has a right to access; this right is clearly stated in the first principle of the UN Fundamental Principles of Official Statistics.

Add a "governance" module to existing NSO surveys

If you find out that the statistical office does not have relevant or up-to-date governance survey data, you can consider partnering with them to generate new data. One proven model is adding a so-called governance module, in other words a series of governance-related questions, to existing, regularly produced socio-economic surveys, such as those on living standards. This "piggy-back" approach has a number of advantages:

- First, it helps to reduce costs to a minimum.

- Second, piggy-backing on the large national sample drawn for the socio-economic survey to which your governance module is attached allows for fine-grained disaggregation of results and analysis. Whereas samples for large surveys come close to 10,000 households, CSO-run independent surveys typically use samples of around one thousand households given their limited budget. As a consequence, survey results run on small samples are only valid when expressed as national averages, or disaggregated by sex, while other forms of disaggregation are not possible;
    - This 'add-on' survey technique also allows for the cross-tabulation of governance data with other socio-economic variables found in the support survey, such as the poverty level or health conditions of the respondent. This way, we can better highlight the effects of good or bad governance in the day-to-day lives of respondents.

- Third, it makes it possible to draw from readily available expertise within the national statistical office.

- Fourth, it increases the odds that the same governance survey module will be used again by the statistical office when the same support survey is run in two or three years, which will allow for the regular monitoring of your governance and corruption indicators over time.

- Fifth, it makes it more likely that government stakeholders will find your data credible and legitimate, given it's produced by the national institution that has the mandate to generate official statistics.

Other partners

Partnerships with the national statistical office may not be possible or desirable for a number of reasons. It may lack independence from the government, not have sufficient expertise or capacity to work on governance issues or there may simply be no upcoming socio-economic survey to which you could attach a governance module.
In such scenarios, you can approach national research institution, international organisations or CSOs with experience in running similar surveys for international or regional governance measurement initiatives.

Look online at the websites of relevant global or regional organisations producing survey-based indicators, such as the regional barometers such as the Afrobarometer. It should be easy to find

which local organisation conducted their survey in your country. You can then contact this organisation and ask if you can access their dataset, so as to conduct your own analysis in relation to your specific research questions. For instance, you may want to find out how one particular variable affects another, or which population group is most affected by a certain phenomenon.

Of course, if you don't have the necessary expertise in-house to conduct such statistical analysis, you can instead commission this analysis from them. They know their dataset best, and will quickly be able to extract the bits of information you are interested in.

Finally, if the specific data you need is not available in their existing datasets, you can try to apply the same 'add-on' technique we presented for partnerships with national statistical offices – that is, you could explore the possibility of adding a few questions to the next survey planned by this organisation. This would allow you to save on the high costs of commissioning a stand-alone survey from the same organisation. You may want to keep in mind however that the quality of data generated by non-official surveys may be affected by a number of limitations, given the limited resources of organisations running them – these include small sample sizes, inadequate sampling frames, and minimal resources for survey development and pilot-testing prior to running the actual survey.

Summary

In conclusion, here are three golden rules to help enhance the credibility, acceptance and sustainability of your governance data

Involve the national statistical office

Irrespective of the type of data you plan to use, it is always strategic to invite the national statistical office to play an advisory role in your data collection work.

This collaboration can reassure your intended data users as to the quality of the data you are presenting to them. For instance, national statisticians can certify that the data collected meets the quality standards established in your country's national statistical act.

Twaweza, an NGO operating in Kenya, Uganda and Tanzania, collaborated with national statistical offices in each one of these countries to ensure that the data collected on the quality of education was aligned with relevant official education standards.

Be transparent about your methodology

Make sure that you publish the following information.

Firstly, your metadata (i.e. the data describing the data, for instance how you define terms, what scoring criteria you use, your sampling methodology for survey data, etc.)

Secondly, your the paradata (i.e. the data describing the process through which the data was collected, for instance the time period during which data collection took place, the names of the offices contacted, a description of enumerator training and pre-testing in case you ran a survey, etc.)

Third, you should not shy away from disclosing shortcomings in data quality such as any methodological challenges, gaps in your dataset and so on. It is better to be upfront and explain how data is still relevant and valuable despite the drawbacks.

Making this information easily accessible will raise the credibility of your data (and by extension your analysis and advocacy). Moreover, third party data users will also be better able to accurately interpret the data if they have access to this important background information.

Plan ahead for the sustainability of your data collection effort

Data production is a complicated and expensive endeavour, yet data is of little use if it's not produced regularly to allow for the tracking of progress over time. Improve the sustainability of your initative by planning for future data collection rounds at an early stage.

As we've seen, it can be strategic to partner with national institutions that have an official mandate to monitor governance or corruption. If they have a monitoring mandate, they will likely also have a regular budget to do so, and sometimes even trained statisticians or M&E experts you could work with.

Aside from national statistical offices, national institutions with a monitoring mandate and related data collection budget could include national governance commissions, anti-corruption agencies, human rights commissions, audit institutions, independent information commissions and ombudsman offices, amongst others.

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Video 4.3: Considerations for identifying data sources (IGI)

Learning objectives:
- See how Kemitraan ensured the quality of the data it produced
- Look at how Kemitraan took measures to ensure the sustainability of its data sources

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In the last lesson we looked at how we went about selecting indicators for the IGI. But what challenges did we face in identifying suitable data sources and in accessing this data? In this video, we will explore these challenges and how we addressed them.

After having identified potential indicators, we then had to find out, for each indicator, if we could access existing data, or if we needed to generate this data.

Ensuring the quality of data produced

We had a number of criteria in mind to guide the selection of data sources to measure IGI indicators:

First, we found it important to draw from *multiple data sources*. Each data source has its own strengths and weaknesses so we didn't want to rely on only one source. We spoke in lesson 3 about the advantage of using 'indicator baskets' as opposed to relying on a single indicator.
When developing indicator baskets for the IGI, we tried to ensure that each basket would draw from different types of data, such as expert assessments, administrative data, and direct observations of governance practices 'on-the-spot'.
Concretely, this meant that we always tried to combine subjective data sources, based on the views and opinions of Well-Informed Persons, with objective data sources. These objective sources are based on indisputable facts found in the government's administrative records or in the body of laws and regulations adopted by any given province. We also included direct observations of actual governance practices, such as 'real-life' observations of whether certain consultation bodies or complaint mechanisms are in place, and whether certain information is publicly displayed. This combination of various data sources (both qualitative and quantitative) made the overall picture emerging from the index much more robust and trustworthy in the eyes of all stakeholders.

Concerning the subjective assessments obtained from Well Informed Persons, we needed to ensure that this perception-based data would be seen as *credible, unbiased and trustworthy*. The selection of 'experts' generating this type of data can have an impact on its perceived quality. We were therefore careful to choose reputable experts who were recognised in their province for their expertise, their independence and their adherence to the highest standards of integrity.

The *availability of reliable data sources* across all 33 provinces was another important factor to consider. To allow for comparisons between provinces, we needed to be able to collect comparable data across all provinces. We therefore needed to be explicit in our data collection protocols about certain 'quality checks' that our data collectors had to make to certify that the data they were gathering in one province was of comparable quality to the data collected in other provinces.

Ensuring the sustainability of data sources

The *sustainability of data sources* was an important issue to take into account as we wanted to track progress overtime. This was mainly a concern for administrative data sources. In some cases,

we had to work with some provincial administrations to set up regular data collection practices in certain offices. Such investments turned out to be win-win for both sides: we got the data we needed for the IGI, and provincial administrations started to appreciate the benefits of collecting such data for their own planning and monitoring purposes.

Last but not least, what are the *costs of accessing existing data versus generating new data?* It was important to look for low-cost methods if we were to ensure the longer-term sustainability of the exercise. It is largely for this reason that we decided not to include citizen survey data in the IGI, as the costs of running such surveys were too high to repeat on an annual basis. It was much cheaper to train a small cohort of 'Well Informed Persons' in each province who would provide us with their expert assessments every year. Overall, our greatest investment was not financial, but rather time-related. We had to invest considerable time in building trust and goodwill with the key institutions in each province that held the data we needed. Without such a strong collaborative framework in place with data-producing institutions at provincial level, the costs of generating our own data from scratch would have been astronomical.

To ensure the sustainability of the exercise, we prioritised **partnerships** with institutions that monitor and generate governance and corruption data as part of their mandate, such as the national statistics office and anti-corruption institutions. An important challenge that we faced at this stage of the process was to find ways to get buy-in of provincial authorities to facilitate data collection work while preserving the impartiality of the assessment process at the same time. In Indonesia, the Ministry of Home Affairs has the authority to oversee all local governments (both provincial and district/city levels). We therefore made sure to engage the Ministry of Home Affairs in endorsing the assessment to allow us to access local government documents.

Summary

In this video, we looked at the criteria Kemitraan used to guide the selection of data sources for the index. In the next video, we will see some examples of data sources that Kemitraan actually used for the index as well as some of the challenges that working with these datasets presented.

Video 4.4: Selecting appropriate data sources (IGI)

Learning objectives:
- Look at how the various kind of data Kemitraan used for the IGI
- Learn about the challenges Kemitraan encountered and the data partnerships it established

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In the last video, we went through the criteria we considered for selecting data sources for the index. In this video, we will look at the actual data sources Kemitraan selected and some challenges encountered when accessing the data.

Many governance indices are based on expert perceptions, which are often criticized for their subjectivity. We wanted the IGI to be different. So we decided early on that the IGI methodology should draw from multiple data sources to allow for triangulation of results on any given issue. We felt that this approach would help enhance the robustness of the methodology and the objectivity of the IGI.

The IGI draws from three types of data.

Data source #1: Objective, secondary data

The first type of IGI data is *objective data*. For the index, it is mainly drawn from official government documentation. This includes provincial development plans, budgets, audit reports, minutes of meetings, records of visits by provincial parliamentary commissions to districts/cities, as well as from provincial statistics on unemployment and poverty rate, healthcare and education. These are all *'secondary data sources'*: they existed prior to the IGI and they continue to be produced by provincial governments independently from the IGI.

Data source #2: Direct observation

Another form of objective data was generated based on the *direct observation* of selected governance processes. Researchers were asked to score such processes based on well-defined criteria. For example, the indicator for requesting access to financial documents from the local administration was scored on the basis of how many days it took to receive the documents and whether all documents requested were provided. Similarly, researchers rated the functionality of complaint mechanisms for communities to provide feedback on poverty reduction programmes. The rating was based on whether such mechanisms were well-staffed and operating from the stated opening time until the stated closing time, whether people filing a complaint were kept informed of the steps taken to investigate their complaint, and whether statistics were publicly available on the number of complaints received and resolved.

Data source #3: Subjective data

To complement this objective data, we generated *subjective data* specifically for the IGI. This *'primary data'* took the form of subjective assessments from WIPs on issues such as the degree to which provincial parliamentarians are committed to defending the public interest, or the quality of consultations between the Governor and various provincial stakeholders in the 'provincial stakeholder forum'.

IGI data partnerships

To coordinate this massive data collection operation, we recruited 33 provincial researchers, one in each province. These provincial IGI coordinators were typically academics or senior civil society activists, and they played a critical role in coordinating data collection, data analysis and report writing for their province.

Challenges when collecting administrative data

What challenges did we face when trying to access and compile administrative documents? We found that there is a severe lack of standardization in the way data is collected and archived across provinces.

Researchers ended up spending an immense amount of time trying to locate and access the data, and then analysing this data to ensure that the varying formats translated into comparable results across provinces.

So what did we do? We developed research protocols that outline procedures to be followed by researchers when encountering such challenges related to the availability, accessibility and non-standardised format of data. These protocols guide researchers in applying a number of quality controls to determine whether the data is of sufficient quality to be used.

Summary

So, we've now covered the process we followed at Kemitraan, from identifying our research objectives to collecting and analysing our data. But the story doesn't end here. The Agenda 2030 provides unique opportunities to mainstream governance issues across the SDG framework. In the next lessons, we will look at how to align the IGI with the SDGs and use it as a powerful tool to monitor SDG progress and drive improvements in governance.

Module 5 Turning Data into Action: Developing an Advocacy Plan

Video 5.1: From data to action: the basics

Learning objectives:
- Learn how to translate your data into advocacy material able to influence policy-making
- Discover how to craft compelling advocacy messages using your data
- Find out about three different kinds of advocacy strategy (direct, indirect and third party)

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So far, we've covered how to produce quality governance data to meet a specific objective. But the journey doesn't end once you have collected and analysed your data!

In this lesson, we will look at how to translate data into *action* to influence policy-making around your issue. If you want your governance data to be used and to have an impact on people's lives, you need to do two things. First, determine who to engage with your findings, as well as when and how. Second, consider how to craft compelling stories using the data you have gathered.

Which audience do you want to reach and how?

The first step is to identify who you want to target and how to tailor your engagement strategy to the specific needs of your audience. Different stakeholders have different data interests and can perform different actions.

Remember the stakeholder mapping you conducted earlier in the course when planning your governance data initiative? This exercise should have helped you understand who is affected by your issue, and position these various stakeholders according to their level of power and interest. When you are ready to disseminate your findings and advocate for action, remember that each type of stakeholder will require a targeted engagement strategy. Publishing a single report packed with data will not be enough to influence these different audiences!

Champions

Champions' are stakeholders with high power and high interest in your issue, who are willing to help move the agenda forward. Champions should play a central role in the dissemination and advocacy phase. As champions are typically senior and influential figures, they are often overstretched, and won't have time to read yet another report. You will need to find other creative ways to get their attention and harness their interests.

A recent survey of 3,500 public officials and development practitioners in 126 countries found that despite the rise of social media and digital communication, policy-makers pay attention to data when it has 'a human face'. In other words, you are most likely to be successful where you share your findings with champions during in-person interactions.

For instance, you can invite a champion, such as a government minister or official from an anti-corruption agency to speak at a public launch of your data. Or you could approach sympathetic members of a parliamentary committee to try and present your findings during a parliamentary hearing.

Supporters

'Supporters' are stakeholders with high interest but low power, such as a national youth association or a network of NGOs involved in anti-corruption. They should also be amongst your primary targets, as even if they don't hold much power themselves, they can pressure decision-makers to act, as they may represent a large constituency and can be powerful advocates.
Critics

Meanwhile you will also want to engage with your 'critics' to prevent any backlash against your data initiative. Otherwise, the particular ministries whose performance is found to be unsatisfactory may dismiss your data collection effort, tarnish your reputation or use other tactics to limit your influence.

It might be more effective to engage your critics in closed-door settings, to create a safe space where they can consider your data separately from other stakeholders who might be disappointed, or even angered, by your findings.

Indifferent

You will also want your communication strategy to raise the awareness of 'indifferent stakeholders', so they can in turn become active supporters of your agenda in the future.

Communicating evidence to influence policy: crafting targeted messages

Once you have identified your target audiences, the next challenge is to effectively communicate the kind of evidence that can influence policies. Good quality data must not only be methodologically robust, it also has to be made meaningful for stakeholders, as researchers and policy-makers don't necessary speak the same language.

To bridge this communication gap, think carefully about how to present your data in a relevant, accessible and digestible manner, and package your evidence in formats with targeted, policy-relevant messages.

One way to catch the attention of senior officials is to use 'killer facts' and data visualisation techniques. 'Killer facts' are punchy, memorable, headline-grabbing statistics of any kind that are picked up and repeated endlessly by the media and politicians. We call them 'killer' facts because if they are really effective, they can 'kill off' the arguments of your critics. They can take the form of:

- a big number – that is, a single statistic showing the size of the problem, such as "21,000 children die every day from preventable diseases"
- a juxtaposition, to highlight injustice and double standards, such as "while a woman's risk of dying during pregnancy is 1 in 8,700 in Canada, in Nigeria it is 1 in 18."
- absurdity statements that can make a juxtaposition much more memorable, "every cow in the EU receives more than $2 a day in subsidies, while more than half of people in the world have a lower income."
- or re-scaling big incomprehensible statistics to a scale we can relate to. "UK aid spending per person per day is less than the price of a cup of tea."

'Killer facts' can be most powerfully visualised in the form of 'killer graphics'. An image is worth a thousand words and a graph even more.

Irrespective of the way you decide to present your data, consider testing your messaging on a sample of the target audience to trial its effectiveness.

Advocacy strategies

Now, let's move on to the third consideration: advocacy strategies. Once you have selected your audience, gathered and analysed your data, and turned your findings into carefully crafted messages, think about which advocacy channels will be most effective in your context. Engagement strategies can take different forms: direct, indirect and third party advocacy.

Direct advocacy

Direct advocacy entails meeting targeted policymakers in person and demanding they take action. This can be done through closed-door presentations of findings to local decision-makers or on-site visits.

Direct advocacy is an appropriate means of getting your message across when your data is primarily derived from framework indicators. This kind of data is typically used to diagnose problems and propose solutions, messages which policy-makers are likely to be more receptive to during face-to-face interactions behind closed doors.

Indirect advocacy

Another engagement strategy can use more indirect forms of advocacy, seeking to influence the public or opinion leaders through the media, public hearings, presentations in parliaments, hackathons, and many more.
Indirect advocacy is a suitable strategy to disseminate data generated by impact indicators. This kind of data on the impact corruption has on people's lives is likely to be especially useful in the court of public opinion, when your objective is to advocate and build pressure for change.

Third party advocacy

A third strategy to increase the influence of your data could be to make it accessible to other partners who can promote your data as part of their own work. Third party advocacy strategies are most useful when your data comes largely from progress indicators. This type of data is helpful when your objective is to monitor the pace and effectiveness of reforms.

In fact, sharing progress data with other civil society groups can help hold the government to account while reducing the burden on individual organisations monitoring government activities.

Finally, note that a range of actors can directly or indirectly influence the policy-making process. You may not have direct access to top-level decision-makers. So consider how you can get your message through to them indirectly.

Decision-makers are influenced by opinion leaders and advisors who may be more accessible. In turn, these advisors' positions may be informed by key individuals and institutions that carry influence. These can include experts such as officials in government departments, interest groups

such as associations and lobbies, the public and civil society groups, media bodies, religious organisations and so on.

An important step to maximise your advocacy impact is to identify strategic policy forums and processes to target. In this lesson, you'll learn about the various stages of the governmental policy cycle, how this intersects with your own data production cycle, and how to link the two to ensure that the data you produce and disseminate has the greatest impact.

Summary

There is no one-size-fits-all approach to evidence-based advocacy. As we have seen however, there are key considerations common to all data projects.

First, develop a clear understanding of *who* you are targeting with your findings. Second, turn your findings into carefully crafted advocacy packages tailored to your audiences. Third, consider which channels are likely to be most fruitful: direct, indirect or third party advocacy. Finally, seek to leverage existing policy cycles and processes to maximise your impact.

The remainder of this lesson aims to equip you with the necessary tools and approaches to develop an advocacy strategy able to make the best possible use of your data.

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Video 5.2: Engagement strategies during the policy cycle

Learning objectives:
- Learn how to align your data production cycle with governmental policy cycles
- Discover some practical tips to maximise your policy impact

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So far, we have seen how to produce quality governance data to meet a specific objective, as well as how to integrate such data into strategic national and global monitoring processes such as ongoing efforts to monitor the implementation of the SDGs. But without effective dissemination, data may well end up in a "data graveyard" and not have any impact on the issue you wanted to address. In this lesson, we will examine how to translate data into action by aligning your data production cycle with governmental processes in order to influence policy-making around your issue.

Revisit your initial objective

At the outset of your governance data initiative, you identified the main objective you hoped to achieve with this data:

- To advocate for change in the face of an unacceptable or unfair situation;
- To diagnose a problem in order to better understand its causes and what could be done about it; or
- To monitor the effectiveness of ongoing efforts over time in addressing an issue.

When the time comes to use your data to stimulate action, it is useful to link your initial objective with the policy cycle in government. Let's look at how to do that.

Policy cycle

This model is helpful to **identify at which stage of the policy cycle your data is most likely to have an impact** in informing decisions and other forms of action by government.

Advocate

For example, if your initial objective was to mobilise attention on an unacceptable situation and **advocate** for change, you will want to focus your advocacy efforts at the **'agenda-setting stage'**. Administrations might be in the agenda-setting phase for a number of reasons.
- Around elections, for instance, politicians may look for new areas requiring government intervention.
- Alternatively, after the adoption of a new law or national strategy, officials may look for means of implementation.

Your data can provide these policymakers with the answers they are looking for! It could also help bring attention to an issue that may still be unknown, or misunderstood.

If direct advocacy targeted at policymakers is getting nowhere during this stage of the policy cycle, you could try indirect advocacy.

- Focus your engagement with **parliamentarians** who, as elected representatives, have an interest in defending the interests of their constituencies and in demanding action from government.
- **Civil society and the media** will also be strong allies at the agenda-setting stage as they have the ability to frame issues and to spread information rapidly, in a way that will grasp the attention of policymakers. The last thing politicians want is to be seen as indifferent to a topic that is gathering widespread public attention.

Diagnose

If your objective was to **diagnose** a problem and shed light on its causes and main obstacles to reforms, you will want to focus your advocacy efforts on the **'policy formulation'** and **'policy implementation'** stages. It is at these stages that your data will be most helpful to government agencies, as they evaluate the costs, benefits and feasibility of various policy options.

Where government has already started to implement a policy, present you data as a means to help enhance its execution. For instance, your diagnostic data could show that certain programmes are falling short of their intended objectives. Here you will mainly want to engage with the **specific government agencies** responsible for designing and delivering the policy interventions related to the issue you have collected data on.

Monitor

If your objective was to **monitor** progress over time in addressing a problem through ongoing efforts, your advocacy efforts should obviously feed into the **'monitoring'** and **'evaluation'** stages of the policy cycle. *During* the implementation of a policy, your data can supplement government-generated monitoring data by drawing from a variety of sources *beyond government.* Seek to engage relevant government agencies and evaluation teams, emphasising that a diverse range of sources can verify that invested input are producing the intended outcomes

During the evaluation stage, which happens *after* implementation, you can use your data to provide an independent assessment of the impact of the policy intervention. Depending on what your results reveal, you will be able to say whether existing solutions are working or not, in which case you can make specific recommendations to improve the way the policy is implemented. This stage of policy-making can involve **all potential stakeholders**, including government agencies, parliament, civil society and others affected by the policy, so you will want to share your data with all of these groups.

Remember to tailor your message to the specific interests of each audience!

Timing

One important take-away from using the policy cycle to understand how data can influence policymaking is the importance of **timing.** Before embarking on a governance data initiative, you may want to first estimate a rough timeframe for when you think your data will be ready to disseminate, and then try to predict at which stage of the policy cycle you expect the government to be at this point, for your specific issue.

The government has its own internal clock and internal calendar, and it's important to adapt your dissemination strategy to this rhythm. But the government has 'moods' too! In other words, politicians may be receptive to different messages at different times:

- During elections, opposition politicians will be receptive to message which propose changes to the status quo
- During a first term in office, politicians will look for messages related to improving the performance of ongoing initiatives
- During a second term in office, they may welcome messages diagnosing obstacles to promised reforms

These are also important contextual factors to keep in mind when planning the dissemination of your results and advocacy messages. Remember also that, as the saying goes, 'a crisis is an opportunity': officials are most open to new ideas immediately after a crisis or scandal, when the government is struggling to recover. When such windows of opportunity open, you should be ready to feed your data and recommendations to these suddenly attentive politicians!

Golden rules

When engaging government, bear these three tactics in mind - refer to government data, emphasise gaps in existing data, and offer solutions:

Refer to government data

First, **give a central place to government data** in your messaging and advocacy: policy-makers are more comfortable when you use data they know and trust – and they regard data-producers that incorporate government data in their products more highly than those who don't.

Even if the numbers from government sources are not as robust or reliable as your own, or other independent sources, it doesn't matter. As long as they support your narrative for change, they should feature prominently. This isn't a debate about whose statistics are right, but rather, a strategy to influence change.

This is a key finding of the survey of 3,500 policy leaders interviewed on their use of data, in 126 low- and middle-income countries. What you can see here is that one of the characteristics of data most appreciated by policymakers was whether is drew on information or analysis produced by the government - 23 percent of all respondents named this identified this as making data more helpful.

Emphasise gaps in existing data

Second, bring to the attention of government the types of data that they do *not* have. Build on existing government monitoring processes and make the case that your data can strengthen them. This has proven to be an effective strategy to ensure that new data gets used by government officials.

Offer solutions

Third, be constructive. Do not only diagnose problems: also offer practical policy recommendations. This again was underlined by the global survey of leaders: they said they wanted more specificity when it comes to determining how to respond to development challenges in their countries. Once you are done with data collection, you might find it useful to partner with think tanks or universities with the necessary expertise to help you analyse your data, and to help you identify policy implications and contextually-appropriate solutions.

Summary

In this lesson, we looked at how to link your initial objective with the governmental policy cycle. We saw that you should target the government's agenda setting phase if you objective is to influence governmental decision-making using your advocacy. If your objective is to diagnose a problem, focus your efforts on the policy formulation and implementation stages. Finally, if you're objective is monitor progress over time, then concentrate on the monitoring and evaluation stage of the government policy cycle.

These tactics should help you transfer data into meaningful action!

Finally, be sure to link your advocacy strategy to your objective. As we have seen, if you're trying to use your data to build pressure for change, then indirect advocacy is likely a good option. If your data has diagnosed problems, then engage policymakers directly with your findings. If you are using your data to monitor a situation, then use indirect advocacy to win over potential allies.

objective	good or bad governance	level of analysis	type of indicator	advocacy strategy
advocacy	bad	impact	global	indirect
diagnosis	good	framework	(sub)national	direct
monitor	good and bad	progress	(sub)national	third party

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Further reading

Kaare, Chowdhury & Kazi (2007): *The power of evidence in advocacy.*
https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/251.pdf

Video 5.3: Developing an advocacy strategy (IGI)

Learning objectives:
- Find out how Kemitraan made the IGI data accessible and tailored their advocacy efforts to different audiences
- Discover what Kemitraan was able to achieve using IGI data

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In this video, we will look at how Kemitraan used the IGI for advocacy impact, what we were able to achieve and how.

How did Kemitraan make the data accessible?

We wanted to package the data in a way which would influence our intended audiences. As we have seen, the data and computation behind the IGI is relatively complex. So people had to be able to understand and use the data, even if they were unable to clearly comprehend how the index was constructed.

We put a great emphasis on the presentation of IGI findings, which we wanted to be simple and user-friendly. For example, we presented the results in a "report card" style similar to Indonesian school report cards to enable wider audience to quickly grasp provincial performance.

We also framed advocacy messages in ways that resonated with the knowledge, perceptions and incentives of our audience. For instance, we used striking analogies to report on gender balance performance such as "the budget for empowering women is equivalent to the cost of half of a cracker."

Did Kemitraan tailor messaging to different types of audiences?

We produced advocacy materials that we disseminated using a range of *direct*, *indirect* and *third party* advocacy channels to reach different audiences.

First, we conducted a roadshow to a number of national mass media outlets three weeks before the national launch of the index, presenting the highlights of our findings. Second, we prepared 12 different press releases and a number of op-eds covering different themes for the national launch, which ranged from political dynasties in certain provinces to the poor performance of parliaments in others. We also conducted simultaneous provincial launches to amplify the media coverage throughout Indonesia.

We also wanted other stakeholders such as policymakers, students, researchers and the broader public to use the index for their own purposes. So we developed a web platform for the public to be able to 'play' with the data, comparing the performance between provinces, or the tracking the performance of a given province over time. The website thus serves as a research tool for those interested in analysing the data further. This had a multiplier effect, allowing third parties to use the data for their own advocacy purposes.

How did Kemitraan use the data in practice? What was Kemitraan able to achieve?

This approach of packaging our data to the needs of our various audiences helped us make four major achievements.

First, we used the index as an *awareness-raising* tool. We wanted to demonstrate that governance is not only a set of abstract principles, but that these principles, when upheld in the management of public affairs, translate into actual improvements in the quality of life of people.

Using data visualisation techniques helped us tailor our messaging to our target audience and maximise our impact. We produced advocacy materials showing how strongly IGI results correlate with provincial scores on the UN's Human Development Index. We also showed that IGI provincial scores for the Civil Service arena were strongly correlated with the level of poverty. We used these materials when invited by the Special Staff of the President for Regional Development and Autonomy to present IGI findings at their Strategic Policy Discussion.

Second, we wanted to use IGI data to *demand change*, to call for governance reforms and to push for the effective implementation of existing legislation.

For example, IGI results showed that amongst all 6 principles, the principle of 'Transparency' scored lowest in most provinces. These findings were used to shed light on provincial non-compliance with a Law on Public Information Disclosure. The Corruption Eradication Commission referred to IGI findings on transparency to map potential weaknesses in provinces, especially in those where we could not access public financial documents, such as local budget, expenditures and audits.

Third, we wanted to use the IGI to *showcase innovative governance practices* pioneered by certain provinces and 'inspire' others to follow suit.
In Jambi province for instance, the new Governor established a practice whereby several provincial offices conducted public deliberations on TV once a week, during which the public can directly ask questions to their elected representatives, provide feedback and engage in decision-making.

Finally, we wanted to use the IGI as a tool to promote accountability between the various levels of government.

For example, IGI results showed frequent delays in the disbursement of budgets to provincial authorities by the central government. To advocate for change, we decided to show the impact of these delays on citizens' well-being. We used data visualisation techniques to show that a one-month delay can lead to serious problems such as the unchecked spread of diseases or malnutrition of women and children.

What were the key lessons learned?

What did we learn through the process of disseminating our findings?

The first key lesson we learned is on the critical importance of finding the right format for *direct* advocacy. We found that policymakers tend to better grasp our message when we presented it visually, such as through the use of infographics.

The second lesson is that *indirect* advocacy and the role of the media is crucial to provide leverage. Many of our meetings with policymakers came about when we were summoned to speak to them about the IGI as a result of newspaper stories on our findings.

Summary

I hope that our experience of working with governance data has inspired you to work on your own project, and shown you how rewarding this can be. There are many other success stories, challenges and recommendations that we could share with you along the way. Please feel free to contact us for more information on the initiative. We would also love to hear about your own success stories!

Module 6: Anti-Corruption and the SDGs
Video 6.1: Tackling corruption across the SDG framework

Learning objectives:
- Reconsider SDG 16 in light of what you have learned so far in this course
- Apply what you now know about governance data to the SDG framework

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In the previous lessons, we covered the basics about working with governance data: how to define research objectives, select indicators and identify relevant data sources. But how can you apply this knowledge in practice? How can we hold governments accountable for their progress, or lack of it, in the fight against corruption?
Now, let's see how to apply what we have learned so far on working with governance data to tackle corruption across the Sustainable Development Goals.

In the first lesson, we presented the Agenda 2030, with its 17 goals and 169 targets that all UN member states have committed to achieve by 2030.

SDG 16 on "peace, justice and strong institutions" explicitly recognises corruption as a major obstacle to achieving sustainable development. This represents a major milestone in the fight against corruption. But Goal 16 should not be seen in isolation from the other goals.
We need to go beyond SDG 16 to track progress in the fight against corruption across the entire SDG framework.
Global targets and indicators have been set for each SDG. They are expected to be integrated into national planning processes and policies. Yet countries are also encouraged to define national indicators that reflect the local circumstances and identify their own data sources to track progress. This also provides important opportunities for civil society to develop and monitor country-specific corruption indicators and tell its own story of progress beside that of government. So let's see how you can do so!

Overview of SDG 16 and relevant corruption-related targets

First, a quick recap from earlier. There are four SDG 16 targets that are especially to the anti-corruption agenda. These are target 16.4 on illicit financial flows, asset recovery and organised crime, target 16.5 on corruption and bribery, target 16.6 on accountable and transparent institutions and target 16.10 on public access to information and the protection of fundamental freedoms.

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

Let's look at the two global indicators for Target 16.5.

The first, **indicator 16.5.1**, relates to the proportion of people who were in contact with a public official and either paid a bribe to that official, or were asked to pay a bribe by that official during the previous 12 months.

The second, **indicator 16.5.2**, relates to the proportion of businesses who were in contact with a public official and either paid a bribe to that official, or were asked to pay a bribe by that official during the previous 12 months.

They both address the prevalence of bribery, as experienced by citizens and the business sector.

Limits of global indicators

Are these global indicators sufficient? In other words, do they generate data which can be productively used in anti-corruption reforms? Transparency International argues these global targets for anti-corruption have four crucial limitations:

First, these indicators fail to capture other, more sophisticated forms of corruption that may be more harmful than petty bribery such as grand or political corruption.

Second, as they are aggregated at the national level, they provide little actionable information to policy makers.

Third, the global indicators for SDG 16 face issues of data availability as there is little data which is available across all 193 countries.

Fourth, there are concerns around the impartiality of official reporting, as when reporting on their own performance in terms of anti-corruption, government bodies may not be the most objective data suppliers.

For all these reasons, governments and civil society organisations are encouraged to develop and collect their own data to complement the global indicators.

Beyond data about the bribery rate, institutions such as universities, think tanks, CSOs, and national statistics offices may generate national-level corruption data on the ***impact*** of corruption such as the amount of money lost to embezzlement, or ***progress*** made to tackle it, like the number of corruption-related convictions. Such data may be available for a variety of sectors, from policing to education.

In addition, so-called proxy indicators which generate data on the factors that support good governance such as transparency, participation, accountability may exist. Indeed, national-level corruption indicators could consider the ***framework conditions*** – the existence or absence of specific laws and institutions - which are necessary for effective anti-corruption efforts.

Such mechanisms could include, for example, income and asset disclosure systems, whistleblower protection legislation, provisions on illicit enrichment, access to information or the existence of oversight agencies.

Tracking corruption across the SDG framework

But how can you use the SDG framework to tackle corruption in specific sectors, from healthcare and education to climate action? An important challenge in this regard is that existing global datasets on corruption are not well-suited to a goal-by-goal analysis, as they are rarely disaggregated by sector.

This creates an important opening for civil society organisations to develop and measure sector-specific governance indicators. Doing this will allow you to measure the impact of corruption and progress against it for each specific goal you're interested in. We'll hear from Inda how Kemitraan has done exactly this, but let's consider the general approach here.

The first step consists of identifying corruption vulnerabilities in each sector's value chain. Let's consider the healthcare sector.
- At the policy-making level, undue influence can affect decision-making regarding health policies and priorities to the detriment of the poorest people.
- At the level of managing organisational resources, weak oversight of personnel, budget or supplies can lead to embezzlement of funds, theft, patronage or nepotism.
- At the point of service delivery, where citizens interact with public service providers, extortion and bribery are likely the biggest concerns.

You can use risk and integrity assessment tools to map corruption risks in each sector.

Once you've identified a sector's key corruption risks, the next step is to consider which type indicators are best able to produce data that can meet your objective. Let's return to the healthcare sector to see how different kinds of indicators can be used to measure the impact of corruption as well as the progress of anti-corruption reforms at sector level.

Framework indicators can assess the legal regulations and administrative practices in healthcare transparency and accountability.

These kind of indicators may help *diagnose* problems at the policy-making level.

Progress indicators, on the other hand, could cover the management of health services, quality standards, control and oversight mechanisms, and the performance of health facilities.

Moreover, data on personnel, equipment, goods and supplies could be used to *monitor* progress of efforts to clean up the sector.

Finally, *impact* indicators are likely to focus on the perception and experience of corruption in healthcare systems, as well as the quality and quantity of health services or long-term health outcomes. Citizen surveys or report cards could be used for *advocacy* purposes, by providing evidence on the availability of healthcare services and bribery rates at the point of service delivery.

Ultimately, integrating governance indicators into official monitoring processes that track progress towards each of the sustainable development goals is an effective way of "mainstreaming" anti-corruption into a range of sectors and policy issues. In the rest of this lesson, we'll look in more detail at how to do this in practice, using a number of examples.

Capitalising on SDG monitoring processes

The SDG monitoring framework provides many entry points for civil society to contribute its own data and recommendations, at both national and global levels. Here are a few examples of how you can leverage the SDG framework:

- You could contribute to the development of country-relevant corruption indicators at the national and sub-national level to monitor SDG 16. Beyond Goal 16, you can also advocate for the inclusion of governance indicators in monitoring other Goals.
- You can lobby for the inclusion of your own governance data in member state monitoring and reporting processes.
- Where you have the opportunity to provide input into the official SDG report, you can use your own data to call attention to inaccuracies, gaps and weaknesses. This input is critical for

monitoring politically sensitive targets like 16.5 on corruption where government reporting may not be credible.

- Outside official processes, you can conduct parallel reviews to complement and critique the official state-led reports. For instance, Transparency International has developed a methodology for parallel reports on corruption-related SDG targets. Each year, around a dozen TI national chapters from all around the world produce independent appraisals of their governments' progress towards SDG 16.

Summary

In the rest of this lesson, we will look in greater detail about how to align your objective with the SDG framework, by considering how governance indicators and datasets can be tailored to specific sectors. As we shall see, streamlining your work with the SDG monitoring agenda can be an effective way to increase the impact of your findings.

Further reading

United Nations. 2017: *Sustainable Development Goal 16.*
https://sustainabledevelopment.un.org/sdg16

United Nations. 2018: *SDG Indicators: Metadata repository* https://unstats.un.org/sdgs/metadata/

Video 6.2: Identifying risks and relevant indicators in one SDG sector

Learning objectives:
1. Learn how to map corruption risks in various sectors, by performing a 'corruption scan' on a sector's value chain
2. Select relevant sectoral indicators, including framework, progress and impact indicators

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As mentioned earlier, it is critical that we do not limit our corruption monitoring efforts to monitoring bribery, as foreseen by SDG target 16.5. Instead, we should mainstream these efforts across the SDG framework. In particular, the achievement of SDGs related to health (SDG 3), education (SDG 4), water & sanitation (SDG 6), energy (SDG 7) and climate action (SDG 13) will require tackling various forms of corruption.

In this presentation, we'll look at a three step approach to monitoring corruption in SDG sectors. First, we'll talk about how to study the so-called value chain for the sector you're interested in. In other words, you'll need to consider the key processes involved in the sector, be it providing healthcare to rural areas or delivering electricity to urban populations. By looking at such processes at three levels, namely policy-making, organisational resources and client interface, you can identify where corrupt practices might arise.

In the second step, we describe how to conduct a risk assessment to prioritise corruption risks in a given sector.

Third, we look at how to translate these risks into indicators, which you can use to measure the strength of a sector's anti-corruption framework, progress made in tackling corruption in the sector, as well as the impact of corruption and the effectiveness anti-corruption policy interventions. As ever, you should be clear about your primary objective - do you want to advocate for change, diagnose problems or monitor the implementation of reforms?

Finally, we'll apply what we've learned to see how this three step approach can be applied in a case study from SDG 4 on education.

What are value chains?

First, let's take a closer look at what we call a sector's value chain. The concept of a value chain originates in the private sector, where it refers to the idea that a company can be conceived of in terms of the processes it relies on in order to generate profit.

In other words, the value chain conceptualises a company as a "system made up of subsystems each with inputs, processes and outputs. Inputs, processes, and outputs involve the acquisition and consumption of resources - money, labour, materials, equipment, buildings, land, administration and management."

The efficiency of this system and the interaction between the subsystems determines a company's costs and profits.

Public sector value chains

More recently, the notion of a value chain has been adopted to the public sector. The essential difference is in the defintion of the "value" being produced. A private sector value chain describes processes used to generate profit. A public sector value chain lays out the the processes used to deliver services to citizens.

The value chain describes the full range of activities required to do so, from designing the good or service at policy making level, through the different phases of mobilising or procuring resources to produce this good or service and ultimately to the final delivery to citizens.

For more on value chains, check out the bibliography at the end of this presentation, as well as the supplementary materials.

Sectoral value chains

We can conceive of a distinct value chain for each public service being provided to citizens: healthcare, education, clean water, electricity and so on. These correlate closely to many of the SDGs. Indeed, when thinking about corruption in any given sector, refer to this diagram of a value chain.

It shows the various levels at which corruption can occur: policy making, organisational resources and client interface, as well as the procurement processes that connect them.
Corruption in policy making and the management of organisational resources leads to a waste of assets and funds, thereby exacerbating scarcity. Corruption also reduces the quality of services, particularly though fraudulent or lower-grade inputs utilised in infrastructure or essential supplies, be these pharmaceutical products or school textbooks. This can undermine citizen trust in government and ultimately erode state legitimacy.
Let's look at the possible forms of corruption in each of these three levels in more detail.

Policymaking Level

At the **policy formulation stage**, corruption risks can be found both inside *and* outside of government:
- Inside government, 'grand corruption' can take place when senior government officials distort policies or take actions that enable leaders to benefit at the expense of the public good.
- Outside of government, private firms can exert 'undue influence' and try to influence the formulation of laws or regulations through illicit payments to public officials, for instance through parliamentary vote-buying or illicit contributions to electoral campaigns.

Organisational levels

When considering the **management of organisational resources**, such as personnel, goods, supplies and budgets, corruption risks can take various forms, such as:
- Embezzlement of funds during procurement processes, or
- Patronage and nepotism in licensing and hiring practices

Service delivery

Finally, at the **service delivery stage** where citizens receive services, corruption risks often take the form of bribery or extortion:

- - This type of 'petty corruption' is usually perpetrated by low-and mid-level public officials in places such as hospitals, schools or police stations.

Risk assessments

Because most of these corrupt acts are invisible and untraceable, it is easier to measure their risk of occurring than to measure their actual incidence. One useful method to help identify the most salient risks in any given sector is called a 'corruption risk assessment'. Risk assessments do not seek to measure the perception, existence or extent of corruption. Rather, the aim is to identify *weaknesses* within a system which may present *opportunities* for corruption to occur.

Let's look for example at SDG 7 on Clean Energy and its aim to provide people with affordable and reliable access to electricity (SDG indicator 7.1.1). If we were to conduct interviews or focus groups to ask people what they see as the main corruption risks at the service delivery stage, we could map out the following risks along the service delivery chain. We might end up with a risk map like this one. For instance, people would probably point to the possibility for bribes to be paid to secure a new connection, or to expedite repair work, or to reduce meter reading at the billing stage: But as you can see with this example, there are many different corruption risks, and it would be a gargantuan task to track them all.

Ranking risks

So, the next step after having identified these various risks is to give them a 'score'. This allows us to rank risks from 'minor' to 'severe', and to focus our data collection efforts where the risks are most acute. Scoring risks can be done by considering two dimensions: (1) the *likelihood* for corruption to occur at this particular stage, and (2) the *severity of the impact* it would have if it were to occur.

For instance, let's consider two different corruption risks in the health sector: bribery by patients to access medical care, and collusion between the pharmaceutical industry and public healthcare providers.

While bribery of health professionals by patients to expedite their access to treatment is a fairly likely risk in certain countries, its impact on overall health outcomes may be less than collusion between the pharmaceutical industry and public healthcare providers, which can lead to higher prices and less choices for vital drugs available on the market. As you can see in this image, the collusion therefore gets a higher risk score - 10 - than bribery, which only gets a risk score of 8.

Corruption risk 1: Bribery of health professionals to access health services		Corruption risk 2: Collusion between the pharmaceutical industry and public healthcare providers	
Likelihood (scale from 1-5)	4	Likelihood (scale from 1-5)	2
Impact (scale from 1-5)	2	Impact (scale from 1-5)	5
Risk score (Likelihood * Impact):	4 * 2 = **8**	Risk score (Likelihood * Impact)	2 * 5 = **10**

To perform this type of scoring exercise, you can draw from available research and evidence about any given form of corruption in your sector of interest, but it's often very helpful to involve a small group of people knowledgeable about that sector.

You could talk to civil society, the private sector, researchers, retired public servants, and current officials who may be willing to share insights with you, perhaps on condition of anonymity.

Matching 'corruption risks' into indicators

Once the most salient corruption risks along a sector's value chain have been identified and prioritised, the next step is to consider which indicators would be best suited to track these risks. Of course, it is difficult to measure corruption risks directly.

It is easier to assess is whether *appropriate anti-corruption measures* are in place to mitigate such risks.

After you have determined a specific measure you think could address the corruption risk, it should be relatively straightforward to establish an indicator that could be used to track the implementation of this measure.

As we've learned, indicators can be categorised as framework, progress or impact. Let's have a closer look using examples relevant to SDG 4 on education.

Framework

Framework indicators are particularly helpful when trying to monitor risks at the *policy making level* or in relation to the *management or procurement of organisational resources*, including personnel, budget and supplies.

Let's say private suppliers of goods in the education sector have told you that one of the main corruption risks relates to the publication of bids, which is done in a way that limits the number of bidders that are aware of the tender, for example by publishing them only in a newspaper with limited circulation.

Your next question to them would be: *What is the anti-corruption measure that would mitigate this risk?*

One such mechanism could be the adoption of a regulation stating that public procurements above a certain threshold must be published in a daily newspaper with large circulation as well as a central online portal where all large tenders are advertised.

Following the identification of an appropriate anti-corruption mechanism, your next question would be: *Which indicator could be used to track the implementation of this measure?*

You could measure the proportion (in both number and value) of public procurements advertised in newspapers and via a central online portal.

Progress

In addition to using framework indicators to monitor whether anti-corruption mechanisms are in place to mitigate corruption in procurement, you may also want to use **progress indicators** to gauge the level of progress made over time to make procurement processes more transparent and accountable.
For instance, where procurement processes in the education sector are opaque, a risk might be overreliance on a single, dominant supplier.

A measure to reduce the risk of collusion in procurement would be to promote the diversification of suppliers of school materials.

In turn, an appropriate indicator might measure the the share of the total procurement value of textbooks supplied by the top provider over the past five years. If, say, 90% of all procured textbooks are supplied by the same provider, this might indicate an integrity issue.

Impact

Finally, to complement your framework and progress indicators, you can use **impact indicators** to measure sector-specific outcomes and impacts. While these are indirect measures of corruption in the sector, they are still useful to include in your baskets, as poor outcomes can be warning signs of hidden malpractices.

A corruption risk might be that procurement records are inadequate and do not correlate with audit findings. Improper record-keeping could obscure potential collusion between contractors and officials in certain districts, who receive kickbacks in exchange for the overpricing of textbooks, which are therefore supplied in smaller quantities.

A measure to address this would be to actively monitor the availability of free textbooks to all students, across all districts. If procurement records indicate that they should be sufficient for all students, and that's not the case, this may warrant further investigation.

A suitable indicator would therefore be the proportion of textbooks actually available by district during a stocktaking exercise or audit.

G-Watch

An impact indicator such as the proportion of textbooks available is primarily a measure of the quality of education services. However, it may also unveil corrupt practices.

This was the case in the Philippines where between 2002 and 2013 a local civil society group called G-Watch conducted the "Textbook Count" to monitor the delivery of textbooks to schools.

They discovered that 40% of the textbooks reported as having been delivered in official records were actually missing. Through active civil society monitoring of the procurement, production and delivery of textbooks, the project is estimated to have saved around $3.6 million US dollars from being lost to corruption in 2007 alone - for a project cost of 66,000 US dollars!

Case Study SDG 4: Quality Education

In the last section, we zoomed in on one part of the value chain in the education sector – the procurement process – and showed how the three types of governance indicators we identified in previous modules – that is, framework, progress and impact indicators – can be used to track corruption risks at this particular stage of the value chain.

Let's now look at the entire value chain in the education sector. We will show with a few examples how framework, progress and impact indicators can be used to monitor the extent to which anti-corruption is integrated into the monitoring of SDG 4 on Quality Education.

Matching SDG 4 risks to indicators

First, let's assume that you have conducted a risk assessment of the education sector in your country. You have consulted expert stakeholders, and together you have scored the following corruption risks highest, taking into account their likelihood of occurring and the severity of the impact they would have if they were to occur.

The highest risk at policy making level is *political influence in resource allocation at school level*

At the level of organisational resources the most severe risk is *favoritism and nepotism in the hiring and promotion of teachers*

Finally, at the service delivery level the biggest risk is *informal payments required from students or parents in exchange for school places or passing exams*
For each one of these risks, relevant anti-corruption mechanisms can be identified, as well as corresponding baskets of indicators constructed, which combine framework, progress and impact indicators.

Policy making level

At the policy making level the identified risk is political influence in resource allocation to schools. The corresponding anti-corruption mechanisms identified are *legal framework and administrative practices to promote transparency and accountability in school governance.*

Example framework indicators include the existence of legislation providing public access to information related to budgets, expenditure, accounting and procurement records at school level. Such information may be published by the *Ministry of Education*, or be available upon Freedom of Information request.
Another potential framework indicator is the institutionalised involvement of parents, student representatives and civil society in school governance and oversight. Again, information might be available from the *Ministry of Education* or *each school administration*.

A potential progress indicator at the policy making level would be the proportion of schools for which a recent audit or public expenditures tracking survey is available. This information may be available from the *Office of the Auditor-General* or the *Anti-Corruption Office.*

A possible impact indicator would be the percentage of graduating students with the expected proficiency in reading and mathematics. This data might be available from the *National Statistics Office* or various *International student assessment surveys* such as the *PISA*.

Organisational resources

In terms of organisational resources, the biggest risk was favouritism in the hiring and promotion of teachers.
The proposed anti-corruption mechanism was the introduction or improvement of quality standards for teaching staff and robust oversight mechanisms.

Example framework indicators include well-defined, transparent procedures and standards for merit-based teacher recruitment and promotion. These should be available from the Ministry of Education.

Another framework indicator might be the existence of an independent unit/agency to investigate complaints against staffing decisions and administer sanctions. Here, the Office of the Auditor-General or the Anti-Corruption Office might be able to provide the data.

Progress indicators could include the percentage of teaching staff with relevant diploma certified by an appropriate authority. This data could be harvest from administrative data such as school records, or checked during random site visits.
A second progress indicator might be the number of complaints about teacher malpractice by students or parents, and the percentage of complaints acted upon.

An impact indicator here might be the percentage of parents and students satisfied with the quality of education. This data could be gleaned from household surveys, citizen report cards, or international/regional surveys such as Gallup World Poll, and regional governance barometers.

Service delivery level

At the client interface, the major risk was found to be Informal payments solicited from students and parents in exchange for school places and passing exams. An appropriate anti-corruption measure would be to ensure the independent administration of school examinations, as well as the enforcement of codes of academic integrity.
In terms of framework indicators, the administration of student admission tests and end-of school examinations by autonomous bodies and the existence of a code of academic integrity could be suitable.
For a progress indicator, you could consider measuring enrollment figures among disadvantaged groups, especially among lower income groups which may not be able to afford bribes. This enrollment data might be accessible from administrative data, or during random site visits.
Finally, an impact indicator could be the percentage of students or parents who report paying a bribe to secure school placements or passing exams. This data could be taken from household surveys, citizen report cards, or regional governance barometers such as the Afrobarometer or the Eurobarometer.

Summary

In this presentation, we looked at how to apply what we have learned during this course to sectors such as healthcare, education and energy which align with specific Sustainable Development Goals. To do so, we took a three step approach.

First, we saw how breaking down a specific sector or service into a "value chain" can help us map corruption risks at three distinct levels: policy-making, the management of organisational resources and the delivery of services and goods to citizens.

Second, we discussed how risk assessment tools can help you prioritise corruption risks you have identified in the sector value chain. Here, we also noted the importance of consulting with experts and key stakeholders to help you determine the likelihood and impact of a given risk.

Third, we considered how corruption risks can be linked to a corresponding anti-corruption measure. In turn, these measures can be assessed using specific indicators.
Finally, we took the SDG on education as an example of how to match identified corruption risks to framework, progress and impact indicators at the three different levels in the sectoral value chain. This approach provides a means to generate data which can offer a comprehensive and detailed

understanding of the impact of corruption on an SDG sector, as well as progress in tackling governance issues.

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Video 6.3: Linking the IGI to the SDGs (IGI)

Learning objectives:
- See how the IGI relates to the SDGs
- Look at Kemitraan's experience so far of applying the IGI to the SDG framework

* * * * *

Hi there! In the previous videos, we looked at the process of producing the IGI. The IGI was initially developed with the aim of improving the provision of public services by local authorities in a newly decentralised context. This makes it a particularly useful tool to monitor the governance aspects of Sustainable Development Goals. In this video, we will explore together how Kemitraan plans to adapt the IGI to the SDG's, and the lessons we have learnt so far in doing so.

How does the IGI relate to the SDGs?

The SDG Agenda strongly encourages countries to tailor targets and indicators to their own national circumstances. This opens new avenues for the IGI to support the implementation of the SDGs in Indonesia. However, the IGI framework needs to be reviewed and adapted to make it more specifically relevant to the SDGs.
It is on our agenda to revisit the indicators to ensure that they are in line with the SDGs.

This will include adding functions and indicators related to Goal 16 as well as a range of other goals such as those related to environment and sustainability.
The IGI already provides a wealth of governance data on these that can be used to monitor good governance and anti-corruption across the entire SDG framework.

What are the benefits of linking the IGI and SDG framework?

First, the IGI data provides a comprehensive and granular picture of the quality of governance in all provinces.

Second, the IGI index is produced periodically. So it can be used for benchmarking and tracking progress towards the 2030 targets over time.

Third, the IGI is based on actionable indicators that can drive the public debate on governance and inform anti-corruption reforms.

We are also planning to produce new data specifically aligned with selected SDG targets that have been identified as priorities by provinces. This includes for examples targets related to access to justice and climate adaptation and mitigation.

What is the experience so far of applying the IGI to the SDG framework?

How will we go about achieving this? Even though we are at the beginning of the process of adapting the IGI to the SDG framework, there are a number of ways the index has been used to support the implementation of the SDGs. Let's look at three specific examples.

First, the SDG agenda is in line with the approach that we used to measure the quality of governance at sector level. In fact, in the past, we had already used IGI data to monitor the

performance of local governments in providing basic public services. We even produced thematic sub-indices looking at the commitment of local government to provide health and education services. We used per capita budget per year allocated to these various sectors to measure these commitments.

In Indonesia, we have regulations requiring that 20% of the budget be allocated to the education sector. The first assessment in 2008 found that there were many provinces, districts and cities across Indonesia that had not yet complied with these regulations. We used our findings to show how corruption was hindering progress in education outcomes across Indonesia, and conducted several more rounds of assessment to monitor the situation. In one province, we targeted the Governor with *direct* evidence-based advocacy. In this province, per-student allocations increased by more than 400%.

Second, with regard to SDG 5 on promoting gender equality, we have also made efforts to mainstream gender across our conceptual framework. We made sure to integrate indicators related to gender equality across the 4 arenas, and we built this into our 'indicator baskets'.

Some of our indicators measure the existence of *'framework conditions'* for the promotion of gender equality. This includes for example the establishment of Gender Equality Mainstreaming Working Groups at the provincial level.

Other indicators measure *progress* in making governance processes and institutions more 'gender-equal'. For example, we look at the proportion of women in decision-making positions in the public service and the proportion of women in parliament.

Finally, a number of indicators measure the *impact* of gender equality policies on development outcomes. This includes indicators such as 'average number of years of schooling for boys and girls'. We also used the data collected to produce a gender balance index.

Third, we also identified the need to expand the scope of the index to cover emerging topics covered by the SDGs. For example, we are currently updating the IGI methodology to include a Climate Resilience sub-index and a Policy Governance sub-index, two areas of concern that have come up in recent years.

We still have much to learn in adapting the IGI to the SDG's and several challenges to overcome. How do we plan to do this?

What still needs to be done to fully align the IGI to the SDGs?

The Government of Indonesia is in the progress of preparing national action plan for SDGs. This national action plan will need to be followed by local action plans at province, district and city levels.

These plans will push for the government to mainstream SDGs in their development planning and implementation.
For example, our assessment will look at how well they have performed in aligning the regulatory framework and budget allocations with the SDGs. So, our next challenge will be to adapt the IGI to these local action plans and ensure the availability of data for the assessment

While awaiting the finalisation of the national action plan, we have also started developing perception-based indicators to collect information from key stakeholders on their understanding, awareness, and expectations of SDGs.

Summary

In this final video from Kemitraan, we have explored the potential of using the IGI to support the implementation of the SDGs. There is still much to be done, and I'm sure by the end of this lesson you will have plenty of ideas how to make the most of governance data to achieve the Agenda 2030 targets!

Module 7: Goodbye

Video 7.1 Goodbye

Learning objectives:
- Look back over the course and the new knowledge and skills you have acquired
- Say farewell to the presenters

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Inda: So, we hope you've enjoyed exploring the world of governance data with us in this course. Developing and teaching it has been a real pleasure, and we hope you've found it both stimulating and useful.

Matt: We also hope that you now feel better equipped to run a successful data project from start to finish. Among other things, you should be able to

- answer the "why", "what" and "who" questions key to the success of any data initiative
- recognise various types of indicator and the strengths and weaknesses or different types of data
- understand the opportunities presented by the SDGs
- have a good idea how to use your findings to craft targeted messages

Collectively, these skills and knowledge should help you produce the kind of evidence-based advocacy that drives change in the real world!

Inda: So, over to you! We'd be keen to hear your feedback on the course, as well as about any data projects you develop on the basis of the framework we've presented in this course. Feel free to get in touch with us via the contact details you see on screen:

Matt: Finally, we'd like to give special thanks to our governance experts Marie Laberge and Marie Chêne, as well as to Monique, Marloes, Joasia and the whole team at Leiden University's Centre for Innovation for their guidance and support.

Both: Goodbye and good luck!