

Empirical Tools for Governance and Corruption Analysis

DIAL's approach

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The surveys

Governance and Democracy Modules grafted onto official household survey conducted by National Statistical Institutes

In Africa:

Madagascar 1995-2004, Capital + urban areas (2000, 2001), rural, enterprises surveys (time series)

West Africa 2001/2003, in 7 WAEMU capital cities (Abidjan, Bamako, Cotonou, Dakar, Lomé, Ouagadougou and Niamey)

⇒ 35 594 persons interviewed

In Latin America:

Peru 2002-, national level (18 000 HH sample in 2002; continuous survey from 2003 to date)

Ecuador 2004, (20 000 HH)

Bolivia 2004, national (1 700 HH).

Colombia 2005, national

⇒ More than 50 000 persons interviewed

Initiative from countries to renew the survey by their own (ex. Benin, Mali) → OWNERSHIP

The global lessons : the process

NSO can and should implement such modules

Respondent are not reluctant to answer because it is done by the NSO even in non democratic countries (case of Togo)

NSO have the technical capacities to implement the survey

NSO= proof of quality

NSO= appropriation and dissemination of the results

Surveys questions fit with local issues

Case of Peru

The strong national ownership (under the coordination of NSO + Ministry of Finance + Prime Minister Cabinet)

The enlarged participatory process in designing and analyzing the survey (civil society participation)

The institutionalization of the process of revision of the survey design

People respond to questions dealing with sensitive issues (corruption, human rights)

There is (often) more willingness to answer questions on governance and democracy than usual economic questions

Non response

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Non response rate to selected questions

%	West Africa							Mada	Total
	Coton ou	Ouaga - dougou u	Abidja n	Bama ko	Niame y	Dakar	Lomé	Antan a- narivo	
Opinion on government functioning	0	3.6	0.9	1.1	2.7	5.2	3.5	0.1	2.2
Opinion on democracy	0	2.8	0.5	0.9	1.9	3.1	0.3	0.2	1.3
Income level (continuous)	40.2	54.3	40.9	43.3	51.6	56.3	37.2	47.3	
Income level (continuous or discrete)	2.3	6.5	3.2	6.5	14.1	9.2	1.6	0.1	

Sources : 1-2-3 Surveys, Phase 1, Governance and Democracy module, 2001/2003, National Statistical Institutes, AFRISTAT, DIAL, authors' calculations.

The global lessons: household surveys versus meta indexes

Advantages of household sample surveys:

- Transparency of measurement procedures,
- Representativeness

Both objective (behaviour, actual experiences) and subjective information (perception, satisfaction)

Monitoring and relating the two fundamental dimensions of these phenomena

Socio-economic disaggregation

These two dimensions can be combined with traditional variables related to the socio-economic characteristics of individuals and households (income, occupation, sex, age, ethnic group, etc.).

Possibility to disaggregate information between different population categories (gender, poverty, ethnic groups, discriminated people, etc.)

Spatial disaggregation (infra-national representativeness; Peru, Ecuador)

To produce regional indicators (relevance for piloting decentralization process, assisting local democracy)

In-depth policy-oriented analyses

In-depth policy-oriented analyses

Identifying the governance policy issues through household surveys

Disaggregation for policy-oriented indicators

- By institutions
- By regions (introducing local governance monitoring); by countries
- By social groups (poor, discriminated)
- Times-series for policy monitoring and evaluation

In West Africa: Corruption and governance are major issues

Corruption is stressed by more than 90% of the population

In your opinion, what problems does the civil service have?

%	Afrique de l'Ouest							Madagascar	All
	Cotonou	Ouagadougou	Abidjan	Bamako	Niamey	Dakar	Lomé	Antananarivo	
Corruption	96	92	95	90	93	93	95	98	94
Politisation	90	79	79	80	88	87	90	87	85
Absenteism	79	82	69	78	74	88	60	91	78
Incompetence	67	60	54	70	70	75	66	89	69
Inadequate regulations	69	56	53	66	67	74	76	78	67
Les 5 à la fois	53	39	35	53	54	64	45	68	

Sources : 1-2-3 Survey, module *Gouvernance*, 2001/2003, Instituts Nationaux de la Statistique, AFRISTAT, DIAL, auteurs calculations.

Governance problems are among the main issues in Peru (%)

Principales problemas del país	2003	2004	2005	2006
La falta de empleo	62,4	53,9	53,6	47,4
La pobreza	49,4	42,8	44,9	43,3
La corrupción	16,8	16,2	19,5	20,5
La proliferación de la delincuencia	5,8	5,6	7,5	14,0
La mala calidad de la educación	10,2	8,0	8,2	12,1
La falta de credibilidad del gobierno	14,8	12,6	10,4	6,3
La falta de cobertura y mala atención del SSP	3,5	2,2	2,7	4,0
La drogadicción	1,9	1,2	1,8	2,4
La falta de transparencia	4,8	3,6	4,1	2,3
La falta de cobertura del IPSS	1,0	1,1	1,3	2,3
La violencia en los hogares	1,3	1,2	1,4	2,0
La prostitución	0,9	0,5	0,6	0,9
Otro	14,9	8,3	6,7	10,0

Source: INEI-Encuesta Nacional de Hogares- ENAHO-Continúa, 2003-2006

Incidence of corruption within Public Agencies

	<i>National</i> %	<i>Urban</i> %	<i>Rural</i> %	<i>Poor</i> %	<i>Non Poor</i> %
Police	30.3	31.5	24	33.4	29.2
Judiciary	14.9	14.3	17.4	16.2	14.4
Agricultural minister	6.8	9.1	5.7	4.3	9.3
Migrations	6.4	5.0	32.2	18.2	5.7
Local (municipal) government	5.9	6.2	5.0	4.6	6.7
Arbitrage and reconciliation office	4.8	2.9	13.5	7.6	3.4
National Development Project Fund (FONCODES)	3.2	1.7	3.7	4.7	1.1
Notional Electoral processes office (ONPE)	2.8	3.3	1.0	3.0	2.6
National Electoral Jury (JNE)	2.7	0	12.8	6.9	0
Civil registers (RENIEC)	2.0	1.8	2.6	2.1	2.0

Elaboración nuestra a partir de ENAHO 2002-IV.

Which population categories are more affected by corruption?

Incidence and cost of corruption in Niamey

	Total	Civil servant	Quartiles of income per capita			
			1 st quartile	2 nd quartile	3 th quartile	4 th quartile
Incidence (the whole population)	8,2	14,1	5,2	6,6	9,7	11,4
No contact with the civil service	32,9	9,2	40,2	39,1	29,8	21,3
Incidence (Population in contact)	12,2	15,5	8,7	10,9	13,9	14,5
Annual amount (1 000FCFA/an)						
Mean (Household victims of corruption)	41,6	21,2	49,3	48,8	33,7	38,7
Median (HH victims)	5,0	5,0	10,0	5,0	5,0	5,0
% du revenu (HH victims)	2,2	0,6	15,8	6,0	2,6	0,9
% du revenu (all households)	0,5	0,2	2,6	1,1	0,5	0,3
Incidence (Household victims)	23,4	26,0	19,9	21,4	23,5	28,7

→ As regards incidence,

Poorest quartile (in terms of income) is less victim of corruption

→ But in fact, the poor are more affected

The annual total amount paid by households (victims):

→ 16% of the income of the poorest quartile of the population

→ 1% of the income of the wealthiest quartile

Monitoring corruption (from 2002/2003 to 2004)

Incidence and cost of corruption (2002/2003 and 2004 in Antananarivo)

	En 2002/2003			En 2004		
	Total	Income per capita		Total	Income per capita	
		1 st quartile	4 th quartile		1 st quartile	4 th quartile
Incidence (all households)	16,3	11,9	20,1	8,4	6,0	10,3
No contact with civil service	40,4	46,8	31,5	29,9	34,2	22,4
Incidence (households victims)	27,4	22,4	29,3	12,0	9,1	13,3
Total annual amount (1 000 Fmg)						
Mean (HH victims of corruption)	381	219	682	300	77	484
Median (HH victims)	25	20	50	30	14	50
% of income (HH victims)	3,3	7,8	3,1	1,2	1,8	1,2

Source : Enquête 1-2-3, modules qualitatifs, 2003 et 2004, INSTAT, auteurs calculations.

- **Incidence (percentage of households victims) has decreased**
- **Total amount paid has decreased in real terms**
- **The poor as well as the rich had benefited from this improvement**

Challenge and perspectives

Replication of the survey:

Consolidating in the same countries: for example in Africa, 2nd round in 2007

Opening new geographical fronts: Asia, Middle East, etc.

Integration in official/global initiatives:

Inclusion in the Monitoring & Evaluation System of national development strategies (PRSP, etc.)

National strategies for the development of statistics (PARIS21), international recommendations (U.N.)

Capacity Building