



# **NATIONAL INTEGRITY SYSTEM ASSESSMENT TOOLKIT**

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## ***Introduction to the Toolkit***

This toolkit introduces the National Integrity System (NIS) concept and approach and provides users with the necessary information and tools to conduct a NIS assessment. The annexes also contain key operational information for this assignment, such as a budget template, draft workshop agenda and several specific guiding documents for the research.

## ***NIS Concept and Approach***

The National Integrity System (NIS) comprises the principle governance institutions in a country that are responsible for the fight against corruption. When these governance institutions function properly, they constitute a healthy and robust National Integrity System, one that is effective in combating corruption as part of the larger struggle against abuse of power, malfeasance and misappropriation in all its forms. However, when these institutions are characterised by a lack of appropriate regulations and by unaccountable behaviour, corruption is likely to thrive, with negative ripple effects for the societal goals of equitable growth, sustainable development and social cohesion. Therefore, strengthening the NIS promotes better governance in a country, and, ultimately, contributes to a more just society overall.

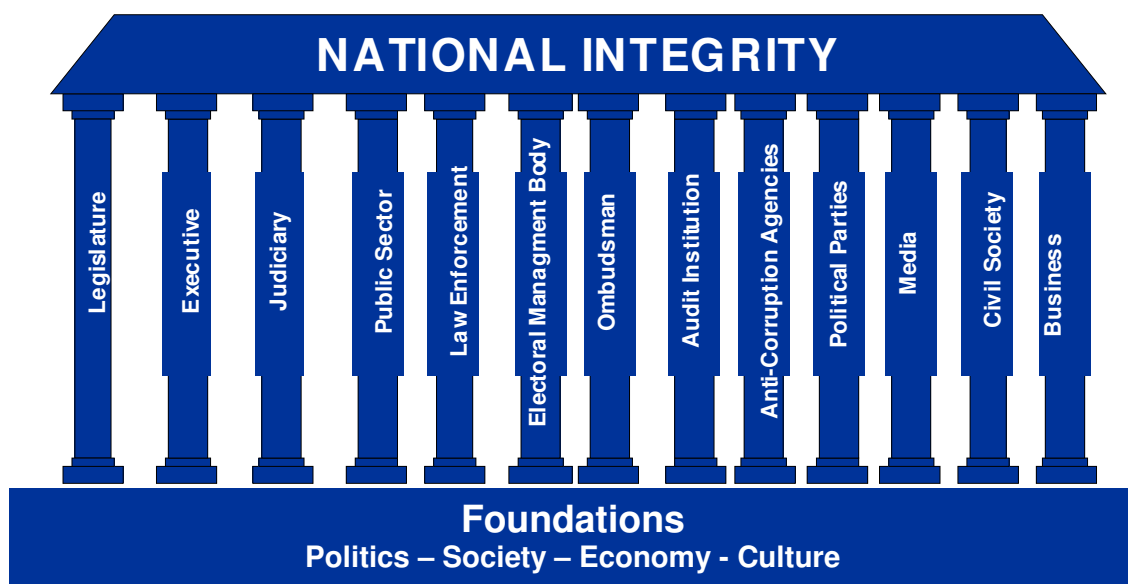
The concept of the NIS has been developed and promoted by Transparency International (TI) as part of TI's holistic approach to combating corruption.<sup>1</sup> While there is no absolute blueprint for an effective anti-corruption system, there is a growing international consensus as to the salient aspects that work best to prevent corruption and promote integrity. The NIS assessment offers an evaluation of the legal basis and the actual performance of institutions relevant to the overall anti-corruption system. These institutions – or 'pillars' – comprise the executive, legislature, judiciary, the main public watchdog institutions (e.g. supreme audit institution, law enforcement agencies), as well as the media, civil society and business as the primary social forces which are active in the governance arena.

Thus, the NIS is generally considered to comprise the pillars depicted in Figure 1, which are based on a number of foundations in terms of people's rights, resources, values and voice.<sup>2</sup>

### **Figure 1: Pillars of a National Integrity System**

<sup>1</sup> Further details of the NIS can be found in The TI Source Book 1997 and 2000 and the partly completed TI Anti-Corruption Handbook, both available at [www.transparency.org/nis](http://www.transparency.org/nis).

<sup>2</sup> These pillars may not constitute the entire NIS in each country. For instance, in some countries the monarchy, the military, or a certain foreign institution (e.g. EU, international donor, neighbouring country) may play a pivotal



The NIS is based on a holistic approach to preventing corruption, since it looks at the entire range of relevant institutions and also focuses on the relationships among them. Thus, the NIS presupposes that a lack of integrity in a single institution would lead to serious flaws in the entire integrity system. As a consequence, the NIS assessment does not seek to offer an in-depth evaluation of each pillar, but rather puts an emphasis on covering all relevant pillars and at assessing their inter-linkages.

TI believes that such a holistic “system analysis” is necessary to be able to appropriately diagnose corruption risks and develop effective strategies to counter those risks. This analysis is embedded in a consultative approach, involving the key anti-corruption agents in government, civil society, the business community and other relevant sectors with a view to building momentum, political will and civic pressure for relevant reform initiatives.

On a cross-country level, the NIS assessment creates a sound empirical basis that adds to our understanding of strong or weak performers. In addition, from a regional perspective, the results can create a sense of peer pressure for reform as well as an opportunity for learning from those countries that are in similar stages of development.

Since its inception in the late 1990s, more than 70 NIS assessments have been conducted by TI. Many of which have contributed to civic advocacy campaigns, policy reform initiatives, and the overall awareness of the country’s governance deficits. In 2008, a number of refinements and revisions in the NIS assessment approach have been undertaken, which

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role; in others, some pillars may not exist. In such cases, the scope for the NIS should be adapted to local circumstances, based on suggestions from experts in the country.

promise to make the tool even more relevant for independent governance and anti-corruption initiatives.

## **The NIS Assessment Step by Step**

Carrying out an NIS assessment involves the following steps, which are explained in greater detail in the toolkit:

**Step 1: Project Planning** - The TI national chapter (NC) identifies NIS assessment as desirable project, defines specific project purpose, raises funds (if necessary), and sets up project structures and teams, including researcher and advisory group.

**Step 2: Familiarizing with NIS research process & outputs** – Researcher familiarizes herself with the NIS research process and outputs, particularly the NIS indicators and NIS country report.

**Step 3: Data Collection** - Researcher collects data on legal framework and actual practice of NIS pillars, and for other components of NIS report

**Step 4: Drafting NIS report** – Researcher develops draft NIS report based on collected data.

**Step 5: Scoring NIS Indicators** – Researcher scores NIS indicators, which are reviewed by advisory group and finalized by researcher, in consultation with national chapter and TI-S.

**Step 6: Convening NIS workshop** – National Chapter convenes consultative workshop to discuss findings and identify recommendations and action plans for strengthening national integrity. Subsequently, NIS report is updated with outcomes of consultative workshop.

**Step 7: Publishing NIS country report** - NIS report is launched and disseminated at national and international level.

**Step 8: NIS Advocacy** - Advocacy, agenda setting, promotion of policy reform, internal strategy and other follow-up activities emerging from the NIS assessment commence.

## Step 1: Project Planning

At the outset of the project implementation, a number of preparatory steps need to be completed, namely (1) signing a Memorandum of Understanding, (2) defining the specific purpose of the NIS assessment; (3) setting up a project timeline, (4) drafting a budget, and (5) setting up project teams and personnel.

### 1. Signing a Memorandum of Understanding

As a first step the national chapter and TI-S sign a Memorandum of Understanding which details the respective roles and responsibilities of each partner. By signing this MoU, TI-S agrees to offer technical assistance and quality control to the respective NIS assessment exercise, while the national chapter agrees to follow the NIS assessment toolkit, including the specified requirements for conducting the research component and organising the consultative activities which are part of the overall NIS assessment exercise.

### 2. Defining Project Purpose

First, a realistic and concrete project plan has to be set up. National chapters are therefore encouraged to complete a brief project purpose statement, using the template below, which contains a fictitious example to give an indication of the kind of information required here. Once completed, the project purpose statement should be submitted to TI-S. The length of the document should not exceed 1½ pages.

NIS Project Purpose Statement	
<b>Country</b>	<i>Exemplia</i>
<b>Organisation</b>	<i>TI Exemplia</i>
<b>Project Coordinator</b>	<i>Ms. Marie Cruz</i>
<b>Main Objective of NIS Assessment</b>	<ul style="list-style-type: none"> <li><i>To influence the government's anti-corruption policy, which will be drafted next year</i></li> </ul>
<b>Secondary Objectives</b>	<ul style="list-style-type: none"> <li><i>A baseline on the performance of the anti-corruption system in the country</i></li> <li><i>An advocacy strategy based on priority areas identified</i></li> <li><i>Build the public profile of TI Exemplia</i></li> <li><i>Identify partners for advocacy activities</i></li> <li><i>Provide inputs into TI Exemplia's new strategic plan</i></li> </ul>

<b>Risks for achieving objectives</b>	<i><b>Risk</b> Government will not participate in NIS assessment</i>	<i><b>Likelihood</b> Medium</i>	<i><b>Impact</b> Undermine consultative approach of NIS. Reduce legitimacy of findings. Reduce overall impact as govt more likely to dismiss report</i>	<i><b>Plans to mitigate risk</b> Early and high-level approach by Board of TI-Exemplia to senior government officials to secure their participation in NIS assessment process</i>
	<i>Other stakeholders will not participate in NIS assessment</i>	<i>Low</i>	<i>Undermine consultative approach of NIS. Reduce legitimacy of findings.</i>	<i>Promotion of NIS assessment process at key events, such as national civil society week and anti-corruption conferences</i>
	<i>Difficulties in finding a suitable researcher</i>	<i>High</i>	<i>Reduce quality of report</i>	<i>Two academics who serve on TI-Exemplia Board will be asked to 'headhunt' for a suitable researcher</i>
	<i>Key informants will not be available for interviews</i>	<i>High</i>	<i>Reduce quality of report</i>	<i>TI-Exemplia will secure letter of support from senior government officials and business associations, which will encourage staff to make themselves available for interviews</i>
<b>Comments</b>	<i>The NIS assessment is being implemented at a crucial time for TI Exemplia and the entire country. The new government has dedicated itself to the fight against corruption and is going to start the development of a comprehensive anti-corruption strategy. The results of the NIS assessment and the momentum generated by the multi-stakeholder process can be used to influence the anti-corruption strategy so that it reflects the key recommendations of the entire anti-corruption community. In addition, the NIS assessment will be extremely useful for our own strategic planning, partnership-building and public profile-raising activities.</i>			

The following potential purpose areas for the NIS assessment might be useful to keep in mind when completing the project purpose statement.

*Advocacy & Policy Reform:* The most common ultimate aim of conducting an NIS assessment is to produce evidence and a momentum for change among the anti-corruption community which can be used for specific advocacy and policy reform initiatives. NIS findings point to specific weaknesses in the integrity system, and thereby assist in prioritizing advocacy and policy interventions. They also offer important positive lessons for policy

reform by highlighting best practices. In order to ensure an effective link between assessment and advocacy, the NIS assessment embraces a participatory approach, providing opportunities for stakeholder input and engagement throughout the assessment exercise.

*Monitoring & Comparing:* The information generated by the NIS assessment provides benchmarks for measuring the impact of policy interventions and a basis for comparing the performance of NIS pillars. A look at the NIS indicators gives a good indication of which areas possess high integrity and which are lagging behind. Comparing weak to strong areas helps generate competition for improvement and provides incentives for positive change. If undertaken iteratively over time, the NIS assessment can be used as a monitoring tool to evaluate overall progress of the entire integrity system as well as individual institutions, thereby offering useful information for advocacy and reform efforts.

*Strategic Planning:* Due to its holistic and comprehensive nature, the NIS can serve as a useful planning tool for the future work of an organisation, specifically a national chapter. It detects priority areas for reform and cross-cutting problems, which can inform the content of the strategy and plans of the national chapter in future years.

*Building Coalitions:* Due to its emphasis on wide consultation and debate during the project implementation at the advisory group meetings and National Integrity Workshop, the NIS assessment can help a national chapter to build its public profile and identify potential partners for advocacy campaigns and other follow-up activities.

*Guide to Specific Research:* The NIS assessment provides a comprehensive overview of the functioning of the main governance institutions in a country. It is particularly useful to obtain a rather general holistic picture of the entire governance system; it does, however not offer an in-depth diagnosis of any specific institution. But it can point to the need for such an in-depth institutional assessment to be conducted as a concrete follow-up project to the NIS assessment exercise, e.g. in case a certain institution emerges as being particularly weak or surprisingly strong.

Of course, the NIS can meet several objectives at the same time; in addition, other country-specific objectives and usages are possible and should be considered by the national chapter.

### **3. Setting up a Project Timeline**

Depending on the availability of data and financial resources as well as the size and complexity of the country, the NIS assessment should take between ten and fifteen months



to complete from signing the MoU to the publication of the NIS report (see indicative timeline in Table 1).

**Table 1: Indicative Timeline**

Who	Action	Time frame
NC and TI-S	Sign MoU on NIS assessment	Start date
NC	Recruits researcher and set up NIS advisory group	Month 1
Researcher	Familiarises herself/himself with NIS approach	Month 1
Researcher and NC representative	Attend TI-S training workshop	Month 2
NC	Convenes first meeting of NIS advisory group	Month 2
NC	Decides on any adaptations of research framework and finalises research plan and schedule	Month 2
Researcher	Conducts research, interviews, field tests; drafts report <sup>3</sup> and scores indicators	Months 2-6
Researcher	Submits draft report to NC who passes it on to advisory group and external reviewer	Month 7
NC	Convenes validation meeting among advisory group and researcher	Month 8
Researcher	Revises and submits updated draft of report and scores	Month 8
NC	Translates report into English for TI-S review	Month 8
TI-S	Provides detailed feedback and comment on draft report	Month 9
Researcher	Refines report based on TI-S feedback	Month 9
NC	Organises and convenes National Integrity workshop  Includes results of National Consultative Workshop in draft NIS report	Month 10
NC	Work with copy-editor on professional copy-edit of the draft report	Month 10
NC, TI-S, (adv. group)	Provides final edits and comments	Month 11
NC, researcher	Makes final changes and approves final draft	Month 11

<sup>3</sup> Report needs to be drafted in a language in which it can be reviewed by TI-S. Where this cannot be the case, the NC needs to discuss with TI-S how adequate technical assistance and quality control can be provided.

TI-S	Sign off	Month 11
TI-S, NC, advisory group and researcher	Potential translation into English/local language Print, publish and promote country report	Months 11-12
NC	Engages in advocacy and other follow-up activities to NIS assessment	Months 13 and beyond

#### 4. Drafting a budget

To set up a budget for the NIS assessment project, it is recommended to make use of the budget template attached in Annex 1. This annex lists the key categories of expenses which are usually involved in conducting an NIS assessment. Hence, it only covers the NIS assessment component, but not any expenses related to follow-up advocacy activities. If the NC would like to include not only the NIS assessment, but also follow-up advocacy activities in the budget, they would need to be added separately.

Since the exact costs for the categories depend on the specific country context, they are left blank. Please take note that comments, which provide further background information on some line items, are included in comment fields in the EXCEL sheet.

#### 5. Planning Human Resources for National Chapter

It is recommended to set up the position of NIS Project Coordinator, who can dedicate 20-30% of her/his time to coordinating the NIS assessment activities and who is overall responsible for the implementation of the project. In addition, the Executive Director and Board are likely to take on a number of tasks, such as chairing the advisory group and NIS workshop, participating in the analysis and identification of key recommendations emerging from the assessment, in the promotion of the results and relevant follow-up activities.

The main tasks of the national chapter are as follows:

- plan for and coordinate NIS assessment implementation
- fundraise
- select researcher and provide her/him with access to relevant resources, particularly contact information for potential interviewees
- set-up advisory group and convene group meetings
- select external reviewer: should be a country expert, ideally non-resident to provide an informed outsider perspective. A complementary option would be to send the respective drafts for each pillar to a representative working for the respective pillar

and to an external expert with the request to indicate any gross errors or misrepresentations.

- plan, coordinate and convene NIS Workshop
- participate in quality control process of the study by reviewing narrative and scores and providing comments
- translate or oversee translation of the study or parts thereof into relevant local language(s) or into English
- manage national publication of the report in local language(s)
- promote and disseminate the report and its main findings in-country
- participate in follow-up activities, as appropriate

## **6. Recruiting NIS researcher(s)**

Based on previous experience, it is highly recommended to contract a lead researcher who is overall responsible for the research component of the NIS assessment. The lead researcher can hire a number of additional researchers for specific research tasks. However, to keep things simple, the contractual relationship should only involve the national chapter and the lead researcher. TI-S should be involved in reviewing the shortlisted applications.

The contract with the researcher should specify the entire set of tasks which are specified in this toolkit as well as concrete deadlines.<sup>4</sup> The researcher fee should be divided into several tranches and should cover research expenses but also local travel, communications, secretarial expenses and any other incidental expenses. The fee should also cover the costs of conducting the key informant interviews, which are viewed as an integral part of the research process.

The primary tasks of the NIS researcher are to:

- research, write and deliver the NIS report and provide NIS scores within the agreed timetable and based on the standards laid out in this toolkit
- identify and conduct interviews with key individuals and organisations, after consulting with the national chapter (and after notifying the government and getting any consent necessary to conduct the research, should this be required)
- manage implementation of field tests
- participate in validation meeting and NIS workshop
- contribute to promotional events surrounding the launch of the NIS report

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<sup>4</sup> A draft contract template, which needs to be adapted by the NC, can be obtained from TI-S.

The lead researcher should have the following qualifications:

- Background in political science, public administration, law or another related social science
- Proven expertise in political-institutional analysis, with particularly strong knowledge of the country's governance system
- Excellent understanding of the legal framework and actual practice of the country's major governance institutions
- Familiarity with transparency, accountability and anti-corruption discourse
- Ability to write succinctly and for a non-academic audience
- Proven commitment to practical policy reform and evidence-based advocacy in the field of anti-corruption and good governance
- Experience in working with/applying quantitative indicators and rating methodologies.

## **7. Setting up NIS Advisory Group**

The advisory group should consist of between 8 and 12 people from various constituencies who will meet 2-4 times during the project implementation (see timeline). There should be a good and balanced representation of representatives from civil society, government, the private sector, academia, the donor community and other relevant anti-corruption stakeholder groups. It is important that, as much as possible, the advisory group is as inclusive as possible and composed of a broad cross-section of members in terms of political affiliation, capital city-based vs. regions, and any other relevant factors.

The key responsibilities of the NIS advisory group are to:

- Advise the national chapter on the main aspects of the project implementation
- Review and comment on draft report
- Validate NIS Indicator Scores
- Attend NIS workshop

The key benefits of having an advisory group in place include:

- Expert feedback on NIS findings
- Strengthened legitimacy and buy-in of the anti-corruption community into the NIS process and report
- Assistance in research and outreach (e.g. identifying interviewees, NIS workshop attendees)
- Building the National Chapter's network and contacts
- Assistance in promotion of NIS assessment findings and recommendations

## 8. Setting up an M&E System

To be able to effectively deliver on the NIS assessment, a Monitoring & Evaluation (M&E) system needs to be set up. Such a system will assist the NC to

- measure project performance over time
- detect any obstacles or problems early on
- find out whether the project outputs has been produced and goals have been achieved
- explores unintended results or consequences
- learn what could have been done better

To facilitate the implementation of such a system, there is a generic Logframe for the NIS assessment (found in Annex 2).<sup>5</sup> The logframe includes information on key elements of the project (activities, outputs, purpose, goals) as well as indicators and data collection means to measure the achievement of these project components. Such a document might be required by the donor funding the NIS assessment in your country. However, even if no donor is asking for a logframe, the table presents a useful format to summarize the most important project information and track project progress over time.

The information in the logframe found in Annex 2 is based on an “average” NIS assessment project and needs to be adapted to your specific project. It is particularly important that you revisit the project goals, purpose, outputs and activities to make sure that they fully reflect your intended project approach and objectives. Once adapted, the project logframe should serve as a tool to manage the project throughout its life cycle and adapt to changing circumstances.

In order to collect information for the logframe, a number of tools are required. At a minimum, the project coordinator is asked to keep a scrapbook (where s/he collects/notes down any information related to the intended project results, particularly specific “stories”, e.g. about a meeting with a relevant Minister in the context of the project leading to the tabling of an anti-corruption bill) as well as an updated timeline of project activities.

In addition to ongoing monitoring of project performance, at a suitable point in the project implementation, a project evaluation should be conducted by the NC with assistance from

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<sup>5</sup> For more information on logframes, please see <http://www.gdrc.org/ngo/logical-fa.pdf> and <http://mande.co.uk/2008/topic-bibliographies/logframe/the-logical-framework-a-list-of-useful-documents/>

TI-S. The evaluation will be scheduled by the NC and TI-S depending on the specific timeline and approach taken by the NC.

## ***Step 2: Planning NIS research process & outputs***

Before the NIS research activities can get underway, the researcher needs to engage thoroughly with the project's conceptual framework, the scope of the required work and the specific deliverables. They are described in this section.

The bulk of the NIS report is made up of an assessment of the NIS pillars, i.e. those public institutions and groups of actors which have the (official or unofficial) power to influence how a country is being governed, and thereby to impact on the degree of national integrity.

These pillars usually comprise the following:

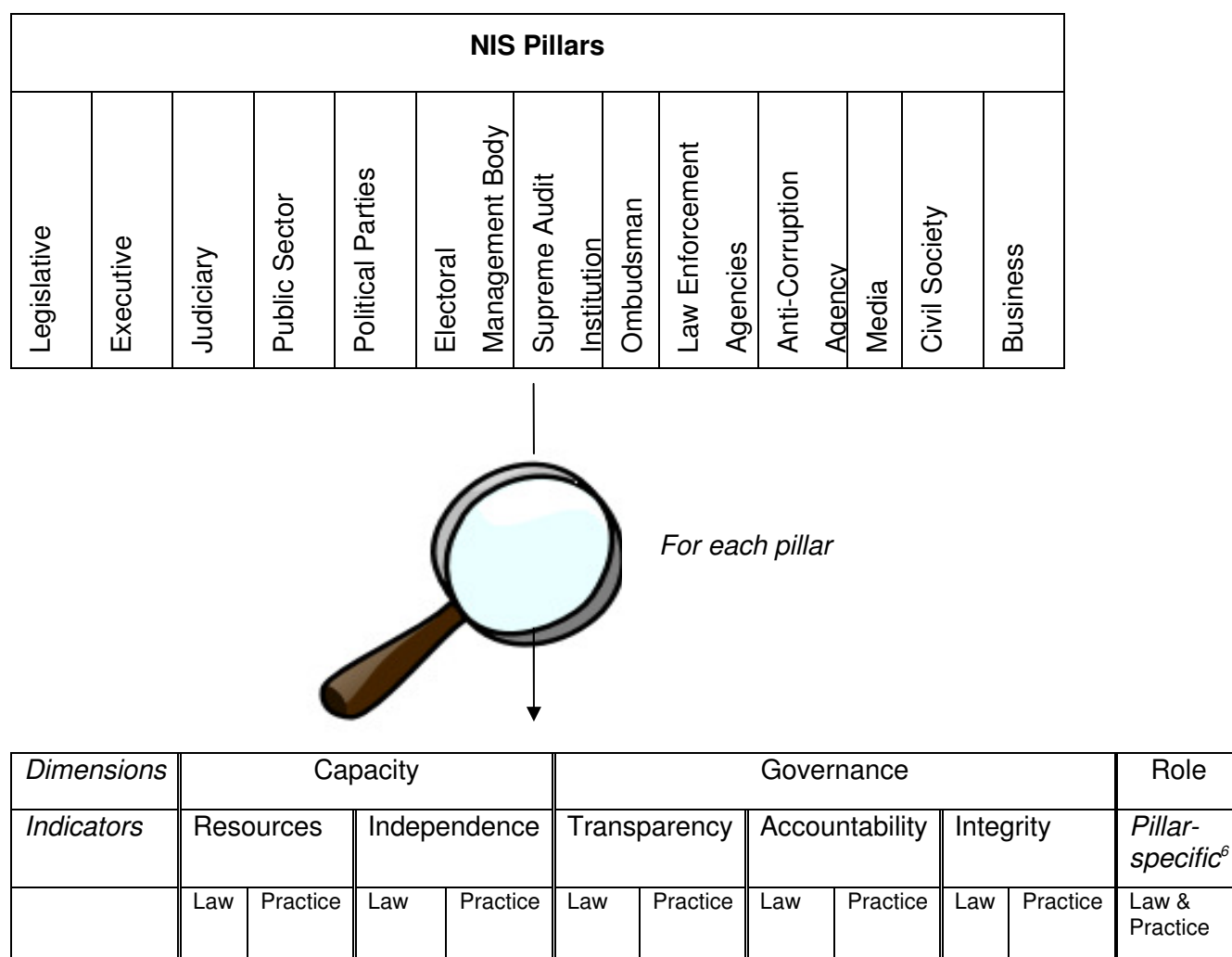
- Legislature
- Executive
- Judiciary
- Public Sector
- Law Enforcement Agencies
- Electoral Management Body
- Ombudsman
- Supreme Audit Institution
- Anti-corruption Agencies
- Political Parties
- Media
- Civil Society
- Business

In some countries, local conditions will be such that additional indicators or even an additional pillar might be desirable and/or required to accurately capture the entire set of governance actors in a country. Such an addition needs to be discussed and agreed with TI-S before the research begins. The addition of a pillar requires the development of indicators and scoring questions. If the national chapter and researcher see a need for such an addition, they can do so in consultation with TI-S. This has to be done at the beginning of the research process, so that appropriate data collection methods for these additional indicators can be added. Please note that the mere absence of certain pillars in a country (e.g. absence of an anti-corruption agency) should not be seen as a sign for a lack of relevance; quite the contrary, this absence usually points to a weakness in the overall national integrity system and should therefore be noted and highlighted in the NIS assessment.

Each of the pillars is assessed along three dimensions – (1) the institution's overall **capacity** to function, (2) its own internal **governance** in terms of integrity, transparency and accountability, (3) its **role** in contributing to the overall integrity of the national governance system - as well as along a common set of indicators under each of these dimensions, namely *resources* and *independence* under capacity; *transparency*, *accountability* and *integrity* under governance; and pillar-specific indicators under role (since no common

indicator names for the role dimension could be established since different institutions perform different roles within the integrity system). Most indicators are broken down into two aspects: (a) the situation pertaining to the formal framework governing these institutions ('law'), and (b) the situation regarding their actual institutional practice and behaviour ('practice'), which makes the analysis of any gap between the formal framework and the actual practice possible. The entire set of indicator can be found in Annex 3. Figure 3 below summarizes the indicator framework.

**Figure 3: NIS Indicator Framework**



<sup>6</sup> For the dimension "role", the indicators differ from pillar to pillar, since different pillars perform different roles for the national integrity system.



## Research Planning

Once the key decisions regarding the adaptation of the research framework to the country context have been made, a project implementation plan and timeline should be submitted to TI-S (see Annex 4 for template). Here the NC gives details on:

1. Adaptation of the Analytical Framework, i.e. addition or deletion of pillars and, in the case of addition of a new pillar, plans to develop indicators.
2. Data Collection, i.e. whether field tests will be included as part of the data collection tools.
3. Data Analysis and Report Write-up, i.e. who will draft the report and in which language. Plans for translation into English/local language should also be noted here.
4. Project Implementation, including the following:
  - a. List of Advisory Group Invitees
  - b. Details and tasks of any additional researchers to be recruited to assist the lead researcher
  - c. Completed project implementation timeline (see template as part of Annex 4)
  - d. Research plan detailing plans for data collection, write-up and submission of draft of each pillar (see template as part of Annex 4). The core research phase, as foreseen in the indicative timeline above (p.10-11) should be completed within five months. It is important to carefully plan the data collection (desk research, interviews and field tests) for each pillar and to set deadlines for submission of draft pillar reports by the lead researcher to TI-S for review. To this end, a plan indicating the sequence in which research for each pillar will be conducted should be completed. The example in Table 2 below gives an indication of the details required:

<b>Table 2 Sample Research Plan</b>					
Month	Desk Research	Interviews	Field Tests	Write-up Pillar Report and Score Indicators	Submit Draft Pillar Reports to TI-S for review
1	Legislature Judiciary	Legislature Judiciary	Field Test Planning		
2	Executive Public Sector Law Enforcement	Executive Public Sector Law Enforcement	Legislature Executive Judiciary Public Sector Law Enforcement	Legislature Judiciary	Legislature Judiciary
3	EMB Ombudsman Supreme Audit Institution	EMB Ombudsman Supreme Audit Institution	EMB Ombudsman Supreme Audit Institution Anti-corruption Agencies	Executive Public Sector Law Enforcement	Executive Public Sector Law Enforcement
4	ACA Media Business Civil Society	ACA Media Business Civil Society		EMB Ombudsman Supreme Audit Institution	EMB Ombudsman Supreme Audit Institution
5	Supplementary Research and compilation of country profile, corruption profile, anti-corruption activities	Supplementary Interviews		ACA Media Business Civil Society	ACA Media Business Civil Society

### ***Step 3: Collecting Data***

To bring the NIS assessment framework to life, actual data and information for each of the NIS indicators for all pillars, as well as for the country profile, corruption profile and anti-corruption activities section needs to be collected.

Since the assessment of the NIS pillars via the NIS indicators forms by far the most substantial part of the country report, it is also the focus of the data collection efforts. The data collection process involves a range of different methods, with an emphasis on a desk review of existing legislation, policy papers and analyses of institutional performance of the respective pillars, key informant interviews, and a limited number of field tests. In terms of covering specific events or time-bound data sources, the NIS assessment time period usually covers the previous twenty-four months before the start of the assessment process<sup>7</sup>, while information about earlier events might provide relevant historical background information. In the following, each data collection method is outlined in brief. More detailed information for the specific data required for each pillar can be found in Annex 3 NIS Indicators and Foundations.

**Desk review:** Since the NIS assessment is mainly concerned with an institutional analysis of each pillar, a desk review of the relevant existing information forms the backbone of the data collection process. The following types of documents are likely to be particularly relevant:

Legislation: The respective legislation regulating the resourcing, internal functioning, as well as external role and responsibilities of the respective pillar, is a key source and can often be found on the institution's website.

Official documents: In addition to legislation, other official documents (e.g. government white papers, policy statements, evaluations, strategies) usually provide information on the formal framework as well as the actual performance of the respective institution.

Policy & academic literature: Often, there are also policy-oriented or academic reviews and assessments of the performance of an institution, which can yield relevant information. This type of information will also provide the bulk of information for the country profile (and for the scoring of the NIS pillar foundations), corruption profile and summary of anti-corruption activities.

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<sup>7</sup> National chapters can adjust this time period, if there are reasons for using a slightly different time horizon, e.g. to make sure that the full time period since the last NIS assessment is covered. This needs to be indicated in the NIS report.

**Key Informant Interviews** must be conducted for all pillars. The main purpose of the key informant interviews is to gather information about the actual practice of the respective pillar. Since this necessarily involves subjective views and assessments, it is of utmost importance to get a balanced sample of interviews. For each pillar, at least two interviews have to be conducted with (1) a person who has worked for a significant period (at least five years) in a senior position within the pillar, and (2) another person who is an external expert on the pillar (e.g. an academic or NGO staff member monitoring the activities of the pillar). One expert can provide information for more than one pillar. If representatives from within the pillar will not make themselves available for an interview after a credible attempt, the researcher should make note of this refusal. Any relevant qualitative information and insights should be included in the country report. In conducting the key informant interviews, please make use of the interview guide in Annex 5 Key Informant Interview Guide. Please refer also to the style guide in Annex 6 Country Report Style and Formatting Notes for information on referencing interviews.

**Field tests** are used to obtain information about the practice of a specific institution. In particular, such tests can be used to assess the public availability, and thereby also the transparency, of information held by the respective institution. For example, a request could be made to the winner of last presidential election, asking for information on the total amount of private funding received during the election campaign. Further information on the field tests can be found in Annex 7 NIS Field Test Guide.

While the organisation of the field test exercise requires a substantive amount of work (e.g. reviewing existing legislation, identifying volunteers to submit requests, training them, analysing results), given its relevance for all public institutions and given the fact that it provides real-life evidence on institutional practice, this data collection method is strongly recommended to be used.

**Collating Data:** Each NIS indicator is presented in an indicator sheet, which contains an overall *scoring question*, which has to be answered based on the information assembled by the NIS assessment, as well as further *guiding questions* to facilitate the data collection, *minimum* and *maximum* benchmarks for the scoring, and suggested further *data sources* in addition to the core data sources of desk review and key informant interviews. Annex 3 contains indicator sheets for the entire indicator set, which the researcher is requested to review thoroughly before embarking on the research.

An example of an indicator sheet is provided in Table 3 below. The solid line between the rows named “Additional data sources” and “Score” indicate that the first group of rows is information provided in the NIS assessment framework, whereas the second group of rows

is to be completed by the researcher. The legend below explains the purpose of each row in greater detail.

**Table 3: Example Indicator Sheet**

<b>Pillar</b>	<b>CIVIL SOCIETY</b>
<b>Indicator number</b>	<b>12.1.4</b>
<b>Indicator name</b>	<b>Independence (practice)</b>
Scoring question	To what extent can civil society exist and function independently of the state?
Guiding questions	To what extent are CSOs free to operate without undue government interference? Is government oversight reasonably designed and limited to protect legitimate public interests? Are there examples of government manipulating CSOs to advance its interests?
Minimum score (1)	The state regularly and severely interferes in the activities of CSOs.
Maximum score (5)	CSOs operate freely and are subject only to reasonable oversight linked to clear and legitimate public interests.
Additional data sources	CIVICUS CSI 2.6.1; Freedom House, Academic studies, Donor reports; ICNL reports, USAID NGO Sustainability Index

Score	2
Text	<p>Even though Exempla's constitution provides for the freedom of association, government interference in the activities of civil society is rather common. In particular, advocacy CSOs are frequently the subject of unwarranted government interference, such as refusals for demonstrations or visas, frequent inspections of their records and disruptions at their public meetings (REFERENCES). For example, the NGO ActionAlert received frequent visits from the state security services for 'private meetings' over the past 12 months (REFERENCE). The African human rights council has noted that Exempla's government practices violate the freedom of assembly and are not based on the protection of legitimate public interests (REFERENCE).</p> <p>In addition, a recent study found that through government funding, connections, and political favours, many CSOs are politically influenced and permitted only to perform a very limited and uniform role such as service delivery of the state's welfare provisions (REFERENCE). The lack of transparency for public funding to CSOs has also created fertile ground for the development of 'clientelistic' networks and silences dissent amongst those organisations that want to preserve their public funding.</p> <p>The pervasive nature of these problems has had a chilling effect on the work of many CSOs, which are afraid to speak out against the government (INTERVIEW WITH XXX). Thus, as observers note, in Exempla, a significant subsection of CSOs (mainly those working or seeking to work on advocacy of governance and human rights issues) are not able to exist and function independently.</p>
Comment	<p>A score of '2' was given since the evidence showed that the government is interfering in a rather large number of CSOs and on a rather frequent level. While the situation is not the same as the scenario for score '1', it is rather close to it, just lacking in severity and being mainly confined to advocacy CSOs. A score of '3', on the other hand, would have not given justice to the pervasiveness of government interference and its negative impact on CSOs, i.e. that many of them cannot function independently of the government.</p>
Sources	<ul style="list-style-type: none"> <li>• Human Rights Watch Report 2002</li> <li>• CIVICUS CSI Report, <a href="http://www.civicus.org/csi/exempla">www.civicus.org/csi/exempla</a></li> <li>• Interview with Marc Muller, Director NGO Coalition of Exempla</li> <li>• Interview with Ms. Lisa Beauchamps, member of Legal Resource Centre</li> <li>• "Exempla's clamp down on civil society", report by International Centre for Non-for-profit Law, Washington, DC, August 2008.</li> </ul>
Causes	<p>The potential causes for the large extent of government interference in civil society activities are (1) the perceived threat posed by advocacy CSOs for the government, which is decreasing in popularity, (2) the weak entrenchment of the rule of law within the state apparatus and the subjugation of the police forces and judiciary under political control by the government.</p>
Recommendations	<p>In order to improve the level of independence of civil society, structural changes in the state apparatus, and here specifically in the independence of law enforcement agencies and the judiciary are required. Further international pressure on the government (e.g. via UNCAC reviews and AU's Peer Mechanism process) might be helpful, since the government seems to be receptive to international public opinion and the advice of certain key players, such as Nigeria and Senegal.</p>

## Legend:

<i>Indicator number</i>	Running indicator number
<i>Indicator name</i>	Specifies content of indicator as well as focus on law or practice
<i>Scoring question</i>	Overall question to be answered by the information presented under the indicator
<i>Guiding questions</i>	More specific questions which helps the researcher to collect the appropriate information which answers the overall scoring question
<i>Minimum score</i>	Qualitatively defined 'scenario' for a minimum score, i.e. a score which reflects the worst situation with regard to this indicator
<i>Maximum score</i>	Qualitatively defined 'scenario' for a maximum score, i.e. a score which reflects a 'best-practice' situation with regard to this indicator
<i>Add. data sources</i>	Suggested data sources in addition to core data collection methods of desk reviews and key informant interviews
<i>Score</i>	Score assigned by researcher [ <i>If score is changed on basis of advisory group input, the original score and the reasons for changing the score should be noted in the comment field</i> ]
<i>Text</i>	The information collected by the researcher on the respective indicator question via desk review, key informant interviews, field tests and other data sources, which is used as a basis for the indicator score.
<i>Comment</i>	Any comments by the researcher on how s/he understood the indicator question and any other judgments made during the scoring
<i>Evidence</i>	References to all primary and secondary information sources used for the indicator
<i>Causes</i>	For those indicators, which are scored as relatively weak (e.g. scores 1, 2, and potentially 3), the researcher should indicate the potential causes for the situation
<i>Recommendations</i>	For those indicators, which are scored as relatively weak and therefore in need of improvement, the researcher should indicate potential recommendations for improvements

## Step 4: Drafting NIS Report

In a next step, the entire range of the information assembled during the data collection phase and collated in the indicator sheets is used to draft the NIS report, based on the report outline presented below.

### **Annotated Outline - NIS Country Report**

#### **I. Introductory information**

Provide full name, title and organisation for all authors and contributors. No further details are necessary.

Provide *acknowledgements* (including of donors where applicable) and the list of advisory group members and interviewees<sup>8</sup>.

Provide a *table of contents*, as well as separate *lists* of the titles and page numbers of tables and of figures if they are used in the report.

Provide a *list of all acronyms* and *abbreviations* used in the text. Those used only once do not need to be included.

#### **II. About the NIS Assessment**

This brief (750 words) section should describe the specific methodology and approach used by the NIS assessment. TI-S will provide a template which needs to be adapted depending on the specific activities undertaken by the National Chapter as part of the NIS assessment.

#### **III. Executive summary**

The *Executive Summary* (max. 2000 words) should provide a succinct and clear narrative summary of the assessment's findings as well as a quantitative summary in the form of the NIS temple. Major themes, conclusions and key recommendations should be included. The executive summary should not quote word for word from the main report, but can draw on its main conclusions.

Drawing on the results of the NIS consultative workshop, it should include a set of priorities and recommendations which should give an overview of the priority areas, issues or activities where further progress is most urgently needed, where real



opportunities for reform exist. It should also outline where emphasis should be placed in future and what factors are further required to support the development of a functioning National Integrity System and the effectiveness of the pillars. This could include areas or activities that require attention (policy reform, training, etc.) in the short- or medium-term, and the stakeholders who would need to take responsibility. It could extend to areas where donor support, cooperation and coordination may be relevant. Priorities may also include further research/investigation, either into particular types of corruption or of best practice in combating corruption.

The section should end with approximately five succinct, bulleted recommendations. Recommendations should be phrased such that they are actionable and that it will be possible to verify any progress made in future.

#### **IV. Country Profile – the Foundations for the National Integrity System**

Since the national integrity system is deeply embedded in the country's overall social, political, economic and cultural context, a brief analysis (2000 words) of this context is required so that the national chapter and other anti-corruption can better gauge the opportunities and constraints for institutional reform and other potential interventions to improve the National Integrity System. There are four different “foundations” of the NIS (political-institutional, socio-political, socio-economic, socio-cultural), for which the researcher has assembled qualitative information and quantitative scores (see last section of Annex 3). For each dimension, the researcher should present the score and insert a write-up of about 500 words taken from the respective foundations sheet in Annex 3. The order of the dimensions is as follows:

1. **Political-institutional foundations**
2. **Socio-political foundations**
3. **Socio-economic foundations**
4. **Socio-cultural foundations**

#### **V. Corruption profile**

The *Corruption Profile* (2,000 words) should reflect what is known about corruption in the country based on research findings. This profile should include reference to available quantitative and qualitative studies, such as surveys, case studies, etc. It should not be

<sup>8</sup> Individual interviewees can remain anonymous, if otherwise no interview would be granted.

based on speculation but focus on reliable empirical results. If little study of corruption has been undertaken in the country, this should be indicated.

Research findings on the nature of corruption may involve analysis of any of the following:

- causes, including tradition, culture or ethnic development (for example, patronage, clientelism, regional ethnicity), the nature of political structures, the nature of party politics, levels of pay, the propensity for corruption in the dominant business sectors, transit crime and drugs, money laundering
- levels of analysis (central, regional, etc.)
- costs (both political and financial)
- types (grand or petty, embezzlement or nepotism, customs or business sector, etc.)
- the impact of recent, pertinent change (such as democratisation, decentralisation or privatisation)
- relevant corruption-related data (e.g. CPI, BPI, Global Corruption Barometer, World Bank Governance Indicators, ICRG Governance Data, Global Integrity Index, etc.)

## VI. Anti-corruption activities

*Anti-corruption Activities* (1500 words) is an opportunity to discuss positive efforts that have been made in the country. This section should provide an overview of anti-corruption reforms or activities with a direct impact on the NIS from the past two to five years. While most emphasis should be on national government anti-corruption reform, the section should also address international, private sector or civil society initiatives. To the extent possible, the author should also examine what has driven reform in the anti-corruption field.

The section should establish whether the country has an anti-corruption strategy and a timetable for its implementation. If a strategy exists, explain how it was designed, including whether there a participatory multi-stakeholder process. The progress made in terms of implementing the strategy should also be described.

With respect to business and civil society, discuss considerable or consistent efforts to promote integrity, transparency, accountability or good governance, identifying which organisations have been key actors, and which specific aspects of the NIS their activities have addressed.

When applicable, provide a brief overview of donor anti-corruption and/or lender initiatives over the last five to ten years. Mention which bilateral and multilateral donor agencies are

based in the country and what types of anti-corruption initiatives they have supported. Provide information on any examples of donors or lenders cooperating or coordinating their programmes.

## VII. The National Integrity System

This section (approximately 50,000 words) forms the core of the NIS assessment. The objective is to give a well-rounded picture of the institutions and processes of the NIS, how the NIS pillars work and how they interact. Analysis should include the strengths and weaknesses of each pillar. The presentation of each pillar begins with a table providing the indicator scores, followed by a succinct one-paragraph summary overview of the respective pillar's key features and performance. The next subsection briefly describes the internal structure and organisation of the pillar. The following subsection provides a narrative assessment of the results along the three categories of capacity, governance and role, and their respective indicators, using the information presented in the NIS pillar report as a basis. The indicator names should be used as headings to structure this subsection. The final subsection lists the key recommendations with regard to strengthening the pillar's performance, which emerge from the assessment. An example of how to structure the pillar section (for the legislature pillar) is given below:

### *Legislature*

Summary (*one paragraph*)

Table with indicator scores

Structure & Organisation (*max ½ page*)

Assessment

#### Capacity

Resources (law) (*max ½ page*)

Resources (practice) (*max ½ page*)

Independence (law) (*max ½ page*)

Independence (practice) (*max ½ page*)

#### Governance

Transparency (law) (*max ½ page*)

Transparency (practice) (*max ½ page*)

Accountability (law) (*max ½ page*)

Accountability (practice) (*max ½ page*)

Integrity (law) (*max ½ page*)

Integrity (practice) (*max ½ page*)

#### Role

Executive Oversight (*max ½ page*)

Legal Reform (*max ½ page*)

Recommendations

## VIII Conclusion

This brief section (2,000 words) should assess how the NIS works overall, and should look at the interconnections, linkages and interplay among the NIS components. Following the underlying hypothesis of the NIS assessment that one needs to look holistically at the entire integrity system in order to gauge its effectiveness, this subsection seeks to identify relevant (causal) relationships across the individual pillars. It should focus on those instances where weaknesses in certain pillars are related to/caused by features/actions of other pillars, e.g. a dominant executive undermining the independence of the legislature. In addition, the impact of the overall governance context on the performance of the NIS as a whole and/or on specific pillars should be highlighted. Based on this analysis, the author should come up with recommendations on how to move the negative interactions among certain pillars into interactions which support the overall integrity of the system.

It also summarise the strengths and weaknesses of the NIS pillars, including which pillars have been more successful and why others have been less successful.<sup>9</sup> It should also make judgement on whether/which pillars are mutually supportive, on instances where certain pillars undermine the performance of others, and on what factors support or inhibit their individual and collective effectiveness. The overview should be structured around the NIS temple graph.

This evaluation should also provide an analysis of the reasons for any potential discrepancies between the formal rules/positions governing the NIS and the practices on the ground. Finally, if there is an existing anti-corruption strategy, this section should examine whether it reflects the in-practice situation identified by the NIS assessment.

## IX. Bibliography

Provide a list of full citations for all references and sources cited in the report. The reference list can be divided according to reference type (i.e. Books, Newspapers and Periodicals, Laws, etc.). Please see Annex 6 Country Report Style and Formatting Notes for more information.

The bulk of the report is Section VII The National Integrity System, for which there is a “good practice pillar report”, which can be found in Annex 8 and should be studied closely by the researcher before embarking on the task of drafting the report. The information in this section is provided by the indicator sheets and should be inserted as follows:

<sup>9</sup> For ease of presentation, consider using a table with key strengths and key weaknesses as columns and the different pillars as rows.

- Information in row 'Text' contains the qualitative assessment of the respective indicator and forms the bulk of the write-up
- Information under 'Comment' can supplement the qualitative assessment in cases where a specific score was contested
- 'Score' contains the assigned score
- 'Evidence' contains the data sources which need to be referenced in the write-up
- 'Recommendations' will contain the final recommendations on how to improve the performance under the respective indicator and will draw heavily on the national integrity workshop, outlined in Step 6 below.

When drafting the report, the author is asked to use a “scientific journalism style”, which presents valid analysis and arguments about technical matters in a language, which is accessible to non-experts as well. The following guidelines should be taken into account:

- Use clear & concise language
- Use “scientific journalism” style, i.e. accessible language (professional audience, but not only technical experts)
- Avoid highly technical terms/language
- Substantiate any assertion with references, using footnotes as per the style guide elaborated in Annex 6. All cited references will appear in full in the bibliography.
- When citing interviews, it is best practice to agree in advance with the interviewee the title you will use (e.g. District Court Judge or Senior Official Department of Justice) when making any reference to the interview in the report. In cases where an interviewee wishes to remain anonymous, citations should give relevant information about the interviewee, the place and date of the interview. The absence of names should be explained in the bibliography, but is not necessary in the footnote.

Example:

Footnote reference to anonymous interview:

Interview of District Court Judge with Author, Colombo, December 8, 2009.

Bibliography reference to anonymous interview:

District Court Judge 2009. Interview with Author. Colombo, December 8.

Name withheld by request.

- Be balanced (highlight strengths as well as weaknesses in the performance)
- Use *topic sentences* to structure paragraphs. A topic sentence is “a sentence whose main idea or claim controls the rest of the paragraph; the body of a paragraph then

explains, develops or supports with evidence the topic sentence's main idea or claim".

For more info, see <http://grammar.ccc.commnet.edu/grammar/paragraphs.htm>

- Follow TI's policy of only mentioning individual cases that have entered the public domain, and can be referenced with reputable sources. Authors should be careful to reflect the status of cases at the time of writing: whether there have been allegations only or whether investigation or prosecution by authorities has begun or has resulted in a judgement and whether it is final or subject to appeal. This distinction is important to assess the reliability of the information and the risk of defamation posed by using the case.
- Adhere to guidelines in NIS Style & Formatting Notes in Annex 6 and refer to the Good Practice Pillar Report in Annex 8.

Once completed, the draft NIS report will have to be translated into English (if it is not written in English in the first place) so that a thorough review by TI-S can take place. While this might lead to the need for certain sections of the original document to be revised and again translated into English, unfortunately this is the only option for TI-S to exert its role of technical assistance and quality control. The best way to limit any need for significant changes in the structure and content of the report is to adhere to the NIS toolkit and NIS report outline as closely as possible, to intimately involve TI-S during the research process (e.g. by sharing early pillar drafts), and convey any questions or challenges to TI-S as soon as they arise.

## ***Step 5: Scoring NIS Indicators and Foundations***

The NIS indicators offer a quantitative summary assessment of the presented data. The indicator scores are based on the data and information assembled in the NIS report and are therefore integrally tied to the report. They cannot be conducted as a separate stand-alone activity. The NIS indicator questions and supporting information are contained in Annex 3.

**Assigning Scores:** Based on the qualitative information contained in the draft NIS report, the researcher rates each indicator on a scale of 1 to 5, 1 being the lowest and 5 the highest rating. Each endpoint of the scale (scores 1 and 5) as well as the mid-point have been qualitatively defined in the rating framework, i.e. concrete examples/scenarios were given, where possible.

It is advised that the researcher proceeds as follows in assigning the scores:

1. Read the **scoring question** to understand what is being assessed under this specific indicator
2. Review the **qualitative information**, which has been collected, and which answers the scoring question
3. Read the descriptions for the **minimum, mid-point and maximum score** in order to clarify the meaning of the scores.
4. **Assign the score** which best reflects the qualitative information. Please note that this process might sometimes lead to the realization that additional information or some clarification of existing data might be required. When this is the case, the researcher should add/change the information and then start again with the score assignment.
5. Note the reasons for why a specific score was given in the row “**comment**” in the indicator sheet.
6. **Proceed** with the next indicator.

The same procedure applies to scoring the NIS foundations (political-institutional foundations, socio-political foundations, socio-economic foundations, socio-cultural foundations), i.e. the researcher rates the conduciveness of each NIS foundation for an effective functioning of the national integrity system in the country on a 1-5 scale. Further information can be found in Annex 3.

**Validating Scores:** A validation meeting among the advisory group, the researcher and the NIS coordinator is held after the scores have been assigned by the researcher. The global NIS programme coordinator seeks to make a written submission to the meeting. His/her role is to judge whether, from an outsider's perspective, the respective score matches the qualitative information presented in the report. The aim of the validation meeting is to review and comment on the initial scores. If the Advisory Group does not agree with a specific score, it can request either (a) justifications (i.e. ask the researcher to provide further evidence in the country report so that the qualitative information aligns with the quantitative score), or (b) changes in the score by the researcher. The Advisory Group decides on these requests via majority vote, if necessary. The outcomes of the meeting should be recorded in a supplementary document.

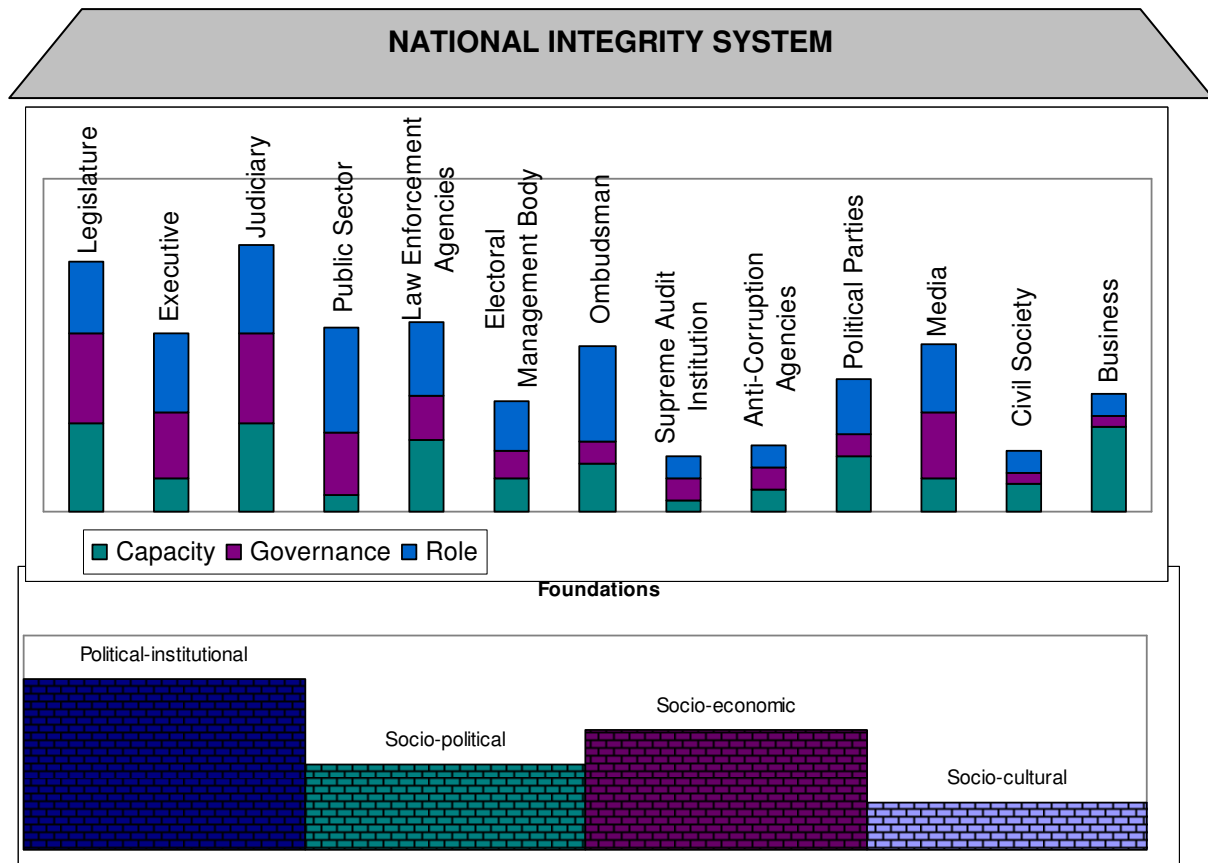
The researcher then reworks the NIS report and scores. In case s/he does not agree with a request to change a score by the Advisory Group, the final decision about the score is made by National Chapter, in consultation with the TI-S and the researcher.

**Aggregating Scores:** The final scores are transformed from to their original five-point scale to a 0 to 100 scale, such that the final score is out of 100. There is no weighting of individual scores. The individual indicator scores are then aggregated (by simple averaging) into scores for each dimension. The scores by dimension can also be further aggregated into a single score for each pillar. Also, separate scores for the indicator set which covers the formal framework versus the one which covers the actual practice are possible.

To give a snap-shot summary presentation of the quantitative NIS assessment findings, the NIS Temple graph can be used. The NIS temple has been used as a metaphor for a functioning integrity system in the past, but, due to the lack of quantitative information, could not be used to summarise the main findings of an actual NIS assessment thus far. With the introduction of the NIS indicators, this is now possible. As exemplified in the graph below, the NIS temple gives a concise overview of the specific strengths and weaknesses of a country's integrity system.



Figure 3: NIS Temple



The example depicts a rather weak integrity system, particularly with regard to the supreme audit institution (with a particularly low capacity), anti-corruption agencies, and civil society, which is particularly weak in its internal governance. The strongest performers are the judiciary and the legislature. The entire National Integrity System is based on strong political-institutional factors (such as a consolidated democracy and an effective state), but weak socio-political and socio-economic foundations, as indicated by widespread poverty, social conflict and deep ethnic divisions in the country.

## **Step 6: *Convening the National Integrity Workshop***

The National Integrity Workshop is an integral part of the entire NIS assessment process and serves to connect the research component with the advocacy component of the project. This section provides some guidance as to the planning, preparation, implementation and follow-up to this workshop. The guidelines presented here are intended to offer a general approach to the planning of the workshop and should of course be adapted to fit with the national context and local conditions.

### **1. Planning & Preparation**

It is of utmost importance that the workshop is planned at the outset of the project, so as to build sufficient interest and momentum among stakeholders. Some useful pointers are:

- Decide dates and venue early on;
- Establish list of invitees and send around invitation at least 6 weeks beforehand;
- Make sure key stakeholders are able and willing to attend workshop;
- Circulate draft NIS report to invitees beforehand;
- Agree on facilitator(s), and roles for researcher and advisory group members;
- Put together information package (including draft NIS report, brief outline of NIS approach, draft agenda, list of attendees, information on National Chapter) and share with confirmed attendees;
- Hold planning meeting among workshop organisers to agree on division of roles and workshop agenda. Annex 9 contains an example for a workshop agenda, which you are encouraged to draw on.

### **2. Conducting the Workshop**

The NIS workshop aims to use the draft NIS assessment as a platform for discussions among key stakeholders about future priority actions for anti-corruption policy and advocacy and to build momentum among the anti-corruption community to put these activities into practice. However, the extent to which stakeholders are willing/able to embark upon setting such an agenda for the future is likely to vary from country to country. National chapters must therefore use their own judgement as to how far they would like to go in building “action planning” into the workshop design. It is important to design the structure and processes of the workshop in such a way that it is most conducive to the specific workshop objectives set by the national chapter. A sample agenda can be found in Annex 9.

There are a large number of tools available for such multi-stakeholder assessment workshops, such as visioning/scenario-building, SWOT analysis, stakeholder analysis, brainstorming with cards, force field analysis, search conferences, or appreciative inquiry, which the organisers are encouraged to draw on.<sup>10</sup>

There are also some general considerations that should be borne in mind when designing the workshop:

Since the first section of the workshop deals with presenting and discussing the findings, there is often not enough time for the second objective of identifying recommendations and priority actions. Hence, it is advisable not to over-run the sessions at the beginning, while at the same time allowing for sufficient time so that the group can reach a broad consensus on the overall accuracy of the assessment's findings. This is important so that the entire group is willing to use the assessment as a starting point for the identification of priority actions. However, the workshop should not be allowed to question individual indicator scores, but rather to indicate any disagreement with the overall assessment of a pillar.

When asking a diverse group to come up with recommendations, often a mere 'wish-list' is being produced, without much detail and without considering whether they can be achieved, or which ones should be prioritised. Carrying out a "prioritisation exercise" can help to deal with these challenges: (1) focus on those recommendations which are attainable; (2) once an initial list has been compiled by participants, ask them to rank them according to priority; (3) given the limited time available at the workshop, do not develop a fully-fledged action plan for each recommendation; (4) rather, make use of the workshop to prioritise and build momentum among stakeholders for key follow-up activities. It is therefore recommended to use the template in Table 4 below to list, discuss and prioritise the most pertinent recommendations emerging from the workshop:

**Table 4: NIS Priority Actions (Example)**

Goal	Strategic options*	Constraints	Solutions	Feasibility Rating	Key Actors	Rank
Introduction of whistle-blowing legislation re: public sector employees	A. Run public campaign	High costs	Pro-bono work by media	Medium	Media, ad agencies, high-profile 'ambassador'	1
	B. Lobby parliamentary working	No natural allies in parliament	Get support from public sector	High	Parliament, political parties,	

<sup>10</sup> See the following useful websites which contain further information on these tools: <http://portals.wi.wur.nl/msp/>, [http://www.mycoted.com/Category:Creativity\\_Techniques](http://www.mycoted.com/Category:Creativity_Techniques), <http://www.ifad.org/evaluation/guide/annexd/index.htm>, [http://www.viwtta.be/content/en/new\\_Manual\\_for\\_Participation.cfm](http://www.viwtta.be/content/en/new_Manual_for_Participation.cfm), [www.odi.org.uk/RAPID/](http://www.odi.org.uk/RAPID/).

	group		unions		government, public sector union	
Stronger regulation of party funding	A. Amendment of legal framework	Long process, limited political will	Build evidence base and seek support from foreign donors	Low	Pol. Parties, legislature, foreign donors,	2
	B. Voluntary code for pol. parties	No political will, no enforcement mechanism	Build monitoring and enforcement into Code	Medium	Political party leadership, researchers, media	
	C. Bring current practice to constitutional court for review	Technical skills required, lengthy process, uncertain outcome	Do feasibility study	Medium	High court, lawyers	
	A.					
	B.					
	C.					

\*please note that the strategic options are not necessarily mutually exclusive.

#### Legend:

**Goal** – Clearly state the specific goal of the action

**Strategic options** – What are possible strategies for achieving the goal? In some cases, of course, there might only be one feasible strategy available.

**Constraints** – For each option, identify the key constraints for achieving the goal. In other words what or who will get in the way of achieving the goal which will typically include institutional, financial, technical, environmental or political hurdles which have to be overcome.

**Solutions** – For each constraint, try to identify potential solutions on how to overcome the constraints.

**Feasibility** – For each option, rate the feasibility of using this option successfully to achieve the goal.

**Actors** – For each option, identify the key actors required for achieving the goal

**Rank:** What is the rank priority of the specific action among the complete list of identified actions?

### 3. Workshop Follow-Up

The key follow-up activities to the workshop are

- update the NIS report with workshop outcomes;
- share the final NIS report and workshop minutes with attendees;

## Step 7: Publishing NIS report and other outputs

Once the discussions and outcomes of the NIS workshop have been added to the draft NIS report, the report is ready to be reviewed, and then edited, designed and printed..

- **Review:** Throughout the report drafting stage, TI-S will be available to provide input on drafts of specific sections and pillars of the report. It is particularly important that the first pillar drafts are sent to TI-S for review and feedback at the earliest possible stage, to facilitate easier drafting and review of subsequent pillars. For the final review, the report will be reviewed by TI-S, the NC and the external reviewer. At least the section on recommendations should also be reviewed by the advisory group to ensure that it adequately reflects the discussions at the NIS workshop and focuses on the strategically important policy areas.
- **Design:** *A report design template is provided by TI-S (See Annex 10). This should be used as the lay-out for the final report. It is advisable to write the report in a normal word document first and only to insert the content into the design template when a final draft has been produced. Where an NC has made structural changes to the NIS, e.g. introduced an additional pillar or chapter, the project coordinator should contact TI-S so that the appropriate changes can be made to the template before the content is inserted by the NC.*
- **Launch:** The date, venue and format of the launch event for the NIS report should be decided so that its impact on the anti-corruption community is maximized. For example, it could be decided to have the launch coincide with the CPI launch, international anti-corruption day or another date which ensure significant public interest in the event and its content. In addition, a media advisory should be issued before the launch as well as potentially a press release after the launch. In addition, the national chapter should consider giving the NIS report a punchy title, indicative of the main findings.
- **Other products:** In addition to publishing the NIS report, it is highly recommended to utilize the vast amount of information provided by the NIS assessment and the interest generated by various stakeholders by developing supplementary publications, such as brief policy papers on the top recommendations from the NIS assessment. Such policy papers are often more successful in making an impact on policy, since

they provide short and succinct information and analysis, which is more likely to be noticed by policy-makers than comprehensive reports.

## ***Step 8: NIS Advocacy***

This section of the NIS toolkit seeks to give guidance to TI national chapters in undertaking effective advocacy to promote a strong National Integrity System in their country. The purpose of this section is to provide an introduction to research-based advocacy and help a national chapter create its own strategic advocacy plan based on the outcomes of the NIS assessment.

The working definition of Transparency International's advocacy is: "critical but constructive engagement with all stakeholders (including local communities)" that focuses on a process of creating anti-corruption change in:

- who makes the decisions: participation of civil society, representation of community
- what is decided: legislation, policies, budgets, programmes
- how it is decided: accountability and transparency; participation of civil society
- how is it enforced or implemented: accountability, awareness raising, international/regional conventions

The process can be described as identifying the issue (what is the problem and what is the process involved in implementing change?); then defining the targets (who is the decision-maker and who influences that person?); and finally designing and implementing advocacy activities (how to influence for change including understanding the policy environment, and TI's capacity to take action?). Advocacy is an essential part of a healthy society that ensures that policy making is informed by the views of civil society. Depending on the tactics chosen, advocacy can be friendly to those in power or it can be confrontational, but it always has a particular goal in mind.

Most advocacy work is hidden below the surface. The visible elements – conferences, media coverage, lobbying meetings, etc. – account for only a small proportion of the total activity. The bulk of the work is the research and planning which are required to render the strategy successful. Because each NIS advocacy plan must take into account the specific advocacy objectives emerging from the NIS assessment, the distinct political and social contexts, and the variation in resources available to each NC, each plan will be different. For this reason, this section takes the reader through the process of planning, rather than telling what needs to be in the plan.

The NIS assessment and in particular the recommendations emerging out of the NIS workshop are a great opportunity to kick-start crucial anti-corruption activities, where

possible under the leadership of the national chapter. The remainder of this section provides some guidance on how to move from the NIS assessment to an NIS assessment-based advocacy plan.

## Advocacy Planning

To connect the NIS assessment outcomes with successful advocacy and policy reform initiatives, a thorough planning exercise of the envisioned advocacy activities is important. To be effective, the policy advocate must be focused on what s/he wants to change and needs to fully understand the process through which this change can take place. They must have authoritative information, use professional influencing techniques, and be creative in their communications. Above all, they need a clear and well thought-out strategy. Without a good advocacy strategy, it may still be possible to raise the profile of the issue of an effective National Integrity System, but it is unlikely to influence any lasting change. Effective advocacy helps to change government policy and practice as well as the attitudes and behaviour of individuals and groups in society, thus making a difference in the long-term.

Developing an advocacy strategy involves a number of stages:

1. Aims and objectives: Identify what needs to change
2. Capacity assessment and management plan: review needs, then organise, develop, deliver and coordinate advocacy activities
3. Influencing strategy, target audiences and tactics: determine how best to influence that change
4. An action plan: devise activities to engage different target audiences
5. Monitoring and evaluation plan: Monitor and evaluate activities, their outcomes and the overall impact

**Figure 4: Five step advocacy plan**





This short guide examines the five main stages listed above, providing guidance about the processes for actions that may be appropriate. However, every country is different and consequently advocacy strategies will vary across countries.

## **1. Identifying what needs to change**

The NIS assessment evaluated the current state of integrity and anti-corruption work in the country. This analysis has informed the NIS workshop and the NIS report, which proposed recommendations and identified key target groups. Therefore, the list of recommendations and the discussions at the NIS workshop are the most important resource for advocacy planning. Once this information has been reviewed, it may be advisable to expand or elaborate on the recommendations for how to promote national integrity. The recommendations should include a list of detailed actions that different actors should take.

Another possibility is to set out the recommendations in the form of a policy position – a short summary (1-3 pages) of the problems of weak integrity in the country. This can include: the reason TI is concerned about it, and recommendations for remedying the situation. Once the Chapter has approved it, this policy position will form the basis for all advocacy work.

To make advocacy more effective, it is advisable to narrow the focus to one or two of the most important recommendations. Here, the prioritisation exercise at the NIS workshop is likely to provide a useful starting point. Having only one or two important recommendations will enable the national chapter to concentrate its efforts so that its advocacy resources can have the most impact. This will ease the communication of the key messages, and so have a better chance of winning the support and involvement of other stakeholders. Once the argument has been won on these main issues, the chapter will be in a better position to advocate for other recommendations emerging from the report.

Once the key areas of change have been identified, the foundations of the advocacy plan can now be built. This sets out the advocacy's aims and objectives:

- The aim of advocacy is simple: to improve the integrity of the governance system in the country.
- The selected recommendations should reflect the advocacy objectives. Ideally they should be written so that they are SMART – Specific, Measurable, Appropriate, Realistic and Time-bound.
- Objectives should specify the outcome that is sought, not the activity proposed. For example, an advocacy objective could be: 'The government to establish by the end of 2010 an independent anti-corruption commission in line with international standards.'

## **2. Assess capacity to deliver and organise for advocacy**

Organising to deliver and coordinate advocacy requires agreement on how decisions will be made, who is responsible for each task and how progress will be reviewed. To understand the national chapter's advocacy capacity, it is necessary to conduct a thorough assessment of the resources available. Resources include funds, people and their skills, and the reputation of the national chapter and its representatives.

A suitable tool to use here is a SWOT analysis – Strengths, Weaknesses, Opportunities and Threats.<sup>11</sup> List all the relevant factors under each heading and rank them in order of significance. The organisation will then need to consider how best to utilise its strengths and counteract its weaknesses. Board members, friendly foreign embassies, corporate leaders can all be considered as resources available for the advocacy and used as “channels of influence” without cost. “Fault lines”, such as over-stretched management or lack of funding must be managed as a threat. At a later stage a SWOT can indicate which opportunities to exploit.

Each TI Chapter has its own way of working, but it is likely that a project leader will be assigned for the advocacy activities following the NIS assessment. That person will probably be the main spokesperson for the advocacy campaign, although for some audiences it may be more appropriate for the chair of the Chapter to fill the role of spokesperson. It may also be possible to set up a project team of Chapter members, including some external experts who are sympathetic to the National Chapter's goals. This team can develop plans, organise activities and monitor progress.

## **3. Determining how best to influence change**

A strategy of how to influence the targets will now need to be developed. This sets out the approach to persuade policy makers to adopt the recommendations set out in the objectives.

If policy makers want to address the issue of national integrity and are just waiting for someone to advise them on how best to do it, the task is relatively easy. Meetings should be arranged with the people responsible, with recommendations explained to them and close contact retained during the time in which they are working on putting advice into practice.

However, that scenario is not very common. Policy makers may have other priorities, may not recognise that there is a problem, or may even have a vested interest in maintaining the existing status quo. In these cases, ‘channels of influence’ should be identified.

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<sup>11</sup> [www.mindtools.com/swot.html](http://www.mindtools.com/swot.html).

Communications with the appropriate target audiences will put pressure on policy makers to take action.

**Figure 5: Channels of influence**



To develop an influencing strategy, it is necessary to go through a number of distinct steps:

### **A. Understand the policy-making process**

If the chapter intends to influence a particular policy, it is essential that it understands how that policy is developed and agreed. A useful exercise is to draw a flow chart setting out all the stages in the policy-making process (i.e. agenda-setting, formulation, decision-making, implementation, monitoring & evaluation) and who is involved at every stage<sup>12</sup>. Some research may be needed to complete this task. As part of this exercise, the ‘decision maker’ should be identified (the person responsible for the policy) and other key stakeholders who are involved in advising the decision-maker, developing policy and ultimately approving the decisions made by the decision-maker. For example, it may not be the country’s President who decides to ratify the UN Convention against Corruption but the Minister of Legal Affairs, who submits his decision to cabinet first and then the President. Or the decision-maker may be the Law Commission that drafts the ratification for the Minister’s approval.

Another exercise used in understanding a complex issue is the Problem-Tree. Problem tree analysis is central to many forms of project planning and is often used by development agencies. Problem tree analysis (also called Situational analysis or just Problem analysis) helps to find solutions by mapping out the anatomy of cause and effect around an issue.<sup>13</sup>

### **B. Understand the advocacy environment**

It is important to gain clarity in the context in which the chapter is operating in order to help make strategic choices later in the planning process. There is a range of analytical tools available which can provide an overview of the broader advocacy environment, such as

<sup>12</sup> For useful resources in this regard, see [www.odi.org.uk/rapid](http://www.odi.org.uk/rapid).

<sup>13</sup> [http://www.odi.org.uk/RAPID/Tools/Toolkits/Communication/Problem\\_tree.html](http://www.odi.org.uk/RAPID/Tools/Toolkits/Communication/Problem_tree.html)

PESTLE analysis, power mapping, influence analysis or force field analysis.<sup>14</sup> It may also be useful to identify any related advocacy campaigns, to learn from their experiences. Identifying forthcoming events (local, national and international) that can provide opportunities for advocacy action should also be researched and listed.

### **C. Understand the various stakeholders**

To help determine strategy and choice of target audiences to influence the decision maker, an organisation needs to analyse the positions of the different stakeholders involved. Using a stakeholder analysis<sup>15</sup> can help to identify allies & opponents; prioritise who one should target to achieve maximum influence; and determine the influencing strategy for each priority audience.

A simple stakeholder analysis can be done by:

- Brainstorming a list of stakeholders (the people or groups affected by the issue or who can influence the outcome)<sup>16</sup>
- Assessing each stakeholder against three basic questions:
  1. Who is for or against the established objectives, or whether they are neutral. Rank them Strongly for, For, Neutral, Against, or Strongly against.
  2. How important does the stakeholder view the established objective/issue? Rank them High, Medium or Low.
  3. How influential, compared to others, is the stakeholder over the decision-maker? Rank allies, opponents and 'neutrals' influence High, Medium or Low.

Placing each of the stakeholders in an analysis grid provides a quick visual picture of who are the priority stakeholders and who are the most important allies and opponents. This mapping can help you think through your options for shifting the balance of power and ideas among key stakeholders.

### **Figure 6: Stakeholder Analysis Matrix**

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<sup>14</sup> See A New Weave of Power, People, Politics – An Action Guide for Advocacy and Citizen Participation, Just Associates, <http://www.justassociates.org/ActionGuide.htm>; and Start, D. and I. Hovland (2004) Tools for Policy Impact: a Handbook for Researchers, London: RAPID, online at [http://www.odi.org.uk/RAPID/Publications/Documents/Tools\\_handbook\\_final\\_web.pdf](http://www.odi.org.uk/RAPID/Publications/Documents/Tools_handbook_final_web.pdf).

<sup>15</sup> See World Bank (2004) 'Operationalising Political Analysis: the Expected Utility Stakeholder Model and Governance Reforms', World Bank PremNotes, No. 95, online at <http://www1.worldbank.org/prem/PREMNotes/premnote95.pdf>.

<b>Influence of the stakeholder over the decision maker</b>  <b>Importance of the issue to the stakeholder</b> ↑High →Medium ↓Low	High		↑Stakeholder		↓Stakeholder	→Stakeholder
	Medium	↑Stakeholder		↓Stakeholder	→Stakeholder	
	Low	↓Stakeholder	→Stakeholder	→Stakeholder	↓Stakeholder	↑Stakeholder ↑Stakeholder
		Very Anti	Anti	Neutral	Pro	Very Pro
		Attitude of the stakeholder to your position				

Engaging with some of the top-ranked allies to persuade them to be more active on the issue and, if appropriate, to form an advocacy alliance with them may also be a productive strategy. Some of the top-ranked neutrals can be targeted to persuade them to agree with the established objectives. Top-ranked opponents need to be monitored so that their arguments can be understood and countered.

#### D. Making choices

It is usually better to focus on a few target audiences so that resource can be concentrated, the approach can be tailored and follow up on selected contacts with sustained engagement can be undertaken. This increases the chances of a breakthrough. A more superficial and untargeted communication with a wider range of audiences is likely to have little impact.

At this point, hard choices need to be made. Based on the stakeholder analysis, and informed by the organisation's understanding of the policy process, advocacy environment and the chapter's advocacy capacity, it can now choose what approach to take and which stakeholders will be the main channels of influence (and hence the target audiences). In general, it is important to be realistic about what can be achieved within a given timeframe;

<sup>16</sup> Stakeholders may include pro-government politicians, opposition politicians, ministers, judges, lawyers, prosecutors, police, government auditors, anti-corruption commissioners, journalists, business leaders, voters, international donors, tourists, criminal gangs, civil society organisations, trade unions, faith groups, etc.

policy change happens usually very slowly. It is suggested to capture the main advocacy target and objectives in a short purpose statement.

### **E. Determining messages and tactics**

At this stage, it may also be advisable to determine some tactical choices such as what overall 'tone of voice' to adopt in the organisation's advocacy (e.g. conciliatory or oppositional, authoritative or outraged, etc.). Once this has been established, the core message can be defined: a short sentence setting out the most important message to get across to the targeted audiences. This will help ensure communications are focused and coherent across campaign. Specific influencing strategies can be developed for each target audience, with a clear tailored message for each target, but reflecting the core message.

## **4. Devising activities to engage target audiences**

For each of the selected target audiences, the chapter needs to develop an action plan setting out what it wants them to do, how it is going to engage with them, what materials it needs to produce and what actions it will organise or undertake.

Every communication activity or publication should be designed to achieve a specific purpose for a specific target audience. The most suitable method of communication will depend on the audience and the message to be conveyed.

**Policy makers and opinion formers** (e.g. academics, politicians, community leaders, etc.) are most open to detailed but concise messages supported by rational arguments based on good evidence. Communications with this group should be personalised – letters, phone calls, meetings, etc.

**Public audiences:** In contrast with the approach to policy makers and opinion formers, communication with public audiences should be conducted through simple messages presented in an interesting and emotive way. There are advantages in being creative in designing these activities as they give a greater chance of being noticed. Apart from using the media, there are many other ways of communicating with the public, including posters, leaflets, open meetings, street theatre and other events.

**The media:** Media coverage can be gained in a number of ways, depending on the type of media that will be targeted. The aim should be to achieve more than a small article about the launch of the NIS report - both high-profile and in-depth coverage that relates to the issue of national integrity and the state of corruption are the ultimate goals. High-profile coverage can come from organising stunts and other photo opportunities. Newspapers and TV are more likely to cover the story if there are visual images they can use and if there are personal

stories linked to the advocacy message. Again: the more creative the message, the greater chance of the story being covered. In-depth coverage in newspapers and magazines can result from encouraging journalists to write articles about judicial corruption. They can be assisted by providing all the information and contacts that they will need. Using these connections, it might enable the chapter to persuade the editor to include an op-ed. In-depth coverage on radio and TV may come from persuading journalists to do investigations, but one can also obtain good results from live debates, interviews and phone-in shows. The best approach is to build direct and personal relationships with journalists, editors and producers. Not only will they be more responsive to people they know, they will be able to advise on the best approach to take.

## **5. Monitoring and Evaluating Advocacy**

Whatever activities are undertaken, it is important that the outcomes are monitored and plans are adjusted accordingly. The purpose of trying to monitor your advocacy and later evaluate its effectiveness is to better steer the advocacy work you are doing. It is easier to identify how your advocacy plans need to be modified to achieve the established aims and objectives by monitoring how much media coverage the NIS gets, the number of requests for copies coming into the national chapter, or chatting with government officials to understand how the NIS assessment has been received. An evaluation can also help us learn so that this experience helps the national chapter to be more effective in its next activity. Finally, both monitoring and evaluation is the way to be accountable to funders, to Executive Directors and national chapter boards, colleagues, partners and the public who is affected by corruption.

Nevertheless, the advocacy environment is complex and with potentially long and unpredictable timescales. Decision making processes are often hidden and affected by many unknown factors. The main problems of monitoring and evaluating advocacy are the cost of gathering data; the lack of objective data; and the difficulty of identifying whether it was the NIS assessment that led to a later policy change.

Monitoring can be defined as “a continual process of gathering data”. It can be as easy as clipping newspaper articles or using a survey to capture how the target audience has understood the national chapter’s message. Monitoring, on a weekly or monthly basis, should indicate:

- What you are doing
- What else is happening
- How the targets are reacting

- How the beneficiaries are being affected

Evaluation is a periodic process of reviewing of that monitoring data and drawing conclusions from it. Whether on a quarterly or annual basis, evaluation is used to inform and modify current advocacy plans, so it should not be left to the end of the project.

One basic recommendation in monitoring and evaluation is to keep it simple, and gather only as much data as you need. Monitoring should be done on your objectives, which ideally should be SMART (Specific, Measurable, Achievable, Relevant and Time-bound). To monitor and evaluate the impact of the NIS assessment, a national chapter must keep good records of time and money used, as well as workshops, press conferences and other advocacy activities as outputs.

Monitoring the responses of your audiences and targets also provides valuable data, and quick feedback on whether the advocacy is successful. And involving partners and the public affected by corruption can be important in determining advocacy impact.

## **6. Conclusion**

Through a process of doing the NIS assessment, the national chapter has compiled strong and compelling evidence on corruption in your country. By making sure that high quality research and policy analysis are at the root of all advocacy efforts, forceful advocacy can make a decisive change for the better. By communicating well and persistently on the issues in the NIS assessment, and by being agile in the short-term and constant in the long-term, the national chapter can make a huge difference in bettering the quality of governance.

Inside the wider TI movement, this advocacy work can promote a campaigning, change-oriented culture that brings people together in a powerful coalition to end the devastating impact of corruption. As advocacy produces results, it would be highly useful to the wider TI movement if these plans and experiences are shared through the Online Forum and with TI-S.



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