

World Bank Governance and Anti-corruption (GAC) Diagnostic Surveys

The Process

In-depth country data provide a key input to policy design and can empower citizens, enterprises, legislators, and reformists in government. The GAC Diagnostic Surveys are an example of tools that can help countries collect such detail information to design specific action plans. They consist of in-depth, country-specific surveys of thousands of households, business people, and public officials about institutional vulnerabilities to be used for policy design and monitoring.

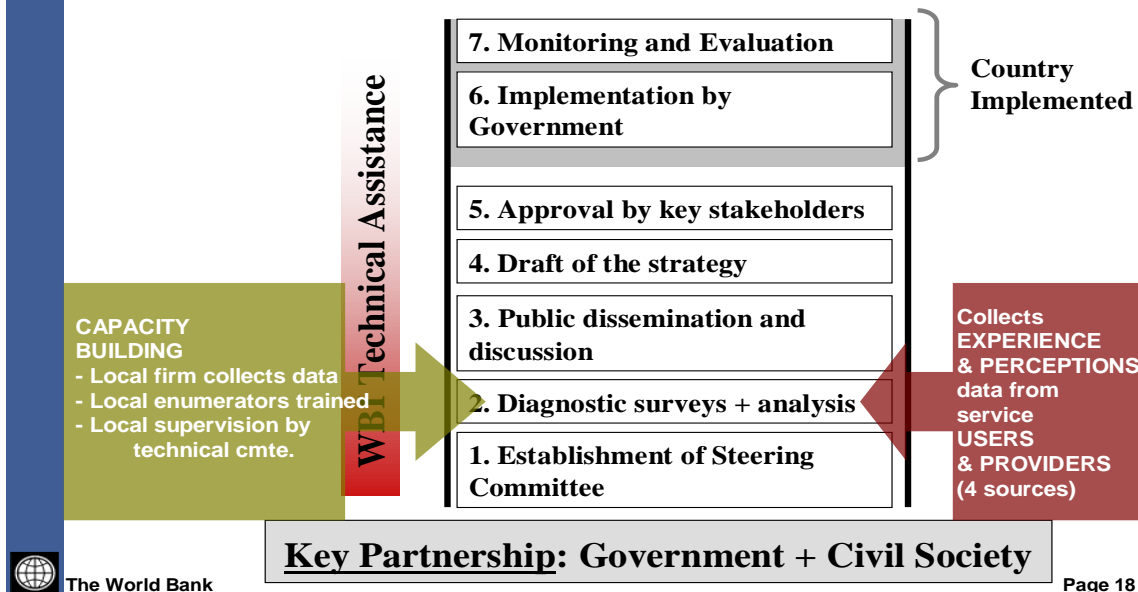
The GAC diagnostic surveys respond to specific country demand for the design of a governance strategy and capacity building. They comprise the following key features:

- i) Participatory implementation of the data collection and analysis and of the drafting of the strategy (to include government representatives, civil society, media, parliamentarians, business people, donor community, etc.);
- ii) Multi-pronged surveys of users of public services/households, business people and public officials, which permits triangulation of the responses; and
- iii) Use of experience-based (vs. 'opinions') type of information.

These tools can also promote capacity building through the institutionalization of the participatory approach in monitoring projects. In particular, the design and implementation of the surveys:

- (i) foster learning through the close collaboration between external experts and local counterparts;
- (ii) promote long-term, sustainable partnerships among local stakeholders;
- (iii) obtain an initial benchmark of governance and public sector performance; and
- (iv) monitor on a regular basis governance and public sector performance.

Government leadership with wide participation and oversight



Page 18

THE GOVERNANCE DIAGNOSTIC SURVEY PROCESS

In most of the countries undertaking this type of work, the project components include:

- **A preparatory phase** (Phase 0) to identify and recruit the project team and develop a detailed work program.
- **A “partnership-promoting” phase** (Phase 1) to facilitate the coordination of the different national stakeholders involved in the process.
- **A development phase** (Phase 2) to assess potential institutional weaknesses, to design and revise diagnostic tools, and (iii) to train staff to carry out the required field work.
- **A fieldwork phase** (Phase 3) to collect the governance data, using the tools developed in Phase 2. This Phase will include sample design, fieldwork as well as data coding, and will be carried out jointly by local and external experts.
- **An analytical and action planning phase** (Phase 4), to analyze the data collected in Phase 3 and design a specific action plan to improve governance. The analysis, carried out jointly by the Bank team and local team, led to the completion of a policy report to address questions such as: What is the cost of mis-governance to firms, users, and public finances? What are its consequences? How does mis-governance affect poor users and small firms? What effect does mis-governance have in public service delivery? What are the causes of institutional vulnerability? What are the fundamental issues on which a reform program designed to improve governance and reduce mismanagement should to focus? The policy report is then used by the country to design a specific action plan for governance improvement
- **A dissemination phase** (Phase 5), to disseminate the results of the analysis completed in Phase 4 to local and central governments, citizens, media and research agencies. Where feasible, the development of internet sites for further data access and dissemination will

be promoted and a series of training activities will be organized on the use of the data for policy making and monitoring.

Adaptation to local challenges and constraints

To complete such in-depth data collection and analysis require time and resources that are not always available at the local level. In addition, some countries may face some very unique challenges that require more in-depth and narrowly defined data. For this reason, the team jointly with sector colleagues has begun modifying this process to allow countries to gather the most relevant data and achieve results quickly. This alternative approach has been used in Haiti, Madagascar, Mauritania, Senegal, Morocco and Yemen:

- a. **sector focus (health, education, transport, etc.):** some countries are keen to draft a governance reform that focuses only on a few sectors, rather than on the whole public administration. Depending on the policy interest, only two of the three surveys can be implemented, for example focusing more on the business environment (only firm and PO surveys) or service delivery (household and PO surveys; see for example Madagascar). Having only two surveys reduces the costs and the time of implementation, and helps identify areas for reforms more quickly. In the case of Morocco, Mauritania and Senegal the team has adapted the existing tool to a specific sector (health and transport, respectively)
- b. **thematic focus (violence, human rights, security, gender, etc.):** some countries may be interested in exploring specific challenges because of their political and economic conditions, as for example post-conflict countries. In this case, the team can adapt the three instruments to the policy need of the country (see for example, Haiti has a special focus on violence and security, and Cote d'Ivoire focuses on reconciliation);
- c. **rapid result baseline:** in a few cases countries need to gather baseline information on the quality of government institutions over a short period of time. In this case the team can adapt and reduce the size of the three questionnaires to reduce the time of implementation without compromising the robustness of the analytical work.
- d. **sustainability and institutionalization of data collection:** governance reforms need to be monitored over the medium term. Such exercise is best carried out by local institutions on a regular basis. To promote the institutionalization of such process, the team collaborates with National Statistical Agencies to include key governance questions in the national data collection implemented by these agencies (see for example, Peru and Paraguay). The dimensions of governance that the country decides to monitor over time are included in the national household and firm surveys implemented by the Statistical Agency and data begun to be collected and used on a regular basis by policymakers and researchers.