



PLANNING A GOVERNANCE ASSESSMENT

A guide to approaches,
costs and benefits

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March 2009

PLANNING A GOVERNANCE ASSESSMENT: A GUIDE TO APPROACHES, COSTS AND BENEFITS

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ACRONYMS

CPI	Corruption Perceptions Index
CSO	Civil society organization
DIAL	Développement et Insertion Internationale
DGTTF	Democratic Governance Thematic Trust Fund
FH	Freedom House
HDI	Human Development Index
ICRND	International Conference of New and Restored Democracies
IDEA	International Institute for Democracy and Electoral Assistance
MDG	Millennium Development Goals
MOE	Margin of error
NGO	Non-governmental organization
NIS	National Integrity System
NSO	National statistical office
OECD	Organization for Economic Co-operation and Development
OGC	Oslo Governance Centre
REDET	Research and Education for Democracy in Tanzania
TI	Transparency International
UGI	Urban Governance Index
UNDEF	United Nations Democracy Fund
WBI	World Bank Institute
WGA	World Governance Assessment

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INTRODUCTION

Growing demand for country-led governance assessments

Over the past 15 years, governance has become a key concept in the debates surrounding international development. Governance assessments vary according to the interests, needs and culture of the assessor. Some focus mostly on public sector corruption; others take a broader approach which can include elements of human rights and democracy examined across civil society, the private sector, the judiciary and government institutions.

Until recently, governance assessments were dominated by bilateral and multilateral donors, as well as other external actors. At a meeting of the Organization for Economic Co-operation and Development's (OECD) GOVNET group, held in London in February, 2008, over 30 different governance assessment tools were identified, with at least another nine more under development. Although debate was lively over the need for more of these tools, broad agreement was evident on the need to support national efforts to monitor and evaluate governance.

While donors' approaches to assessments are changing, demand is growing within countries for better evidence on governance. Government and non-government stakeholders in some countries are integrating governance into their national development plans. Civil society is demanding better information on progress in order to hold governments to account.

After years of trying to make changes from the outside, donors, such as those in the GOVNET group, are now hoping that country-led efforts are better situated to improve on democratic governance. There is good reason to believe that when assessments form part of the national actors' agenda, instead of that of external actors, assessment results are more likely to lead to real change. According to UNDP, such country-led democratic governance assessments differ from external assessments in that they are initiated, implemented and sustained by national actors. Through investing in the assessment, national stakeholders believe in its legitimacy and hold it to be relevant.

However, the process of conducting a country-led assessment of democratic governance is potentially fraught with politics: after all, governance is about principles such as transparency, accountability, efficiency, fairness and participation. In many countries, including many in the North, such topics can be very sensitive. Country-led efforts can, and in some cases will, be unduly influenced by those in power, who in the end may set the agenda and possibly manipulate the results. In addition to internal politics, external actors, primarily donors, also have political agendas and often wield considerable power.

To reduce political biases in the assessment results, it is critical that there is a legitimate governance process of indicator selection. One approach to secure a legitimate process is through broad-based participation that includes both government and non-government stakeholders. In a participatory approach the *process* of assessing democratic governance should mirror the *principles* of democratic governance. Both process and results must be able to stand public scrutiny, include the voices of the poor and women, be representative of the populace and be accountable to the citizenry.

What this guide aims to do for you

This guide examines the basic issues that a country or organization should consider when developing and producing a governance assessment. It is by no means the "last word", but should serve as a starting point and outline for those interested in conducting a country-led governance assessment. The paper explains the trade-offs of various approaches and methodologies in terms of quality and costs. At the same time, it provides some basic background on the

technical aspects of conducting a governance assessment. Topics are discussed in simple language in the hope that readers without much research experience will be able to grasp the fundamentals.

This guide attempts to answer the rather complex question: how can country-led governance assessments be carried out with broad stakeholder participation at a reasonable cost, and at the same time produce meaningful results that can be used by civil society and governments alike? We hope to provide some useful ideas and information needed to answer this question.

An increasing number of nationally-based organizations are giving greater priority to the need to assess democracy, governance and human rights as part of their country's national development plans. For many years, bilateral and multilateral donors have conducted various types of assessments in many countries around the world. Many of these assessment tools and frameworks have been designed to provide comparisons over time and across countries and regions.

While these external assessments provide a rich source of information, they do not often point to national-level institutions or institutional arrangements. They also often lack national ownership and stakeholder engagement in the assessment process. Moreover, they tend to offer aggregate results that fail to capture complexities and nuances of governance issues, and often overlook the perceptions of governance issues that impact marginalized groups in society, such as the poor and women.

For UNDP, the value of a nationally owned governance measurement system is that it serves as a critical accountability mechanism for local stakeholders, especially the citizens of a country and non-state actors. Nationally owned systems provide upward internal rather than external pressure for reform. They provide a catalyst for greater citizen engagement in democratic processes and may well lead to better governance at local and national levels if the assessment efforts themselves use solid research methodologies and practice democratic governance. In addition, they must be conducted in a professional manner if they are to be viewed as legitimate. The professionalism and objectivity of those participating must be beyond question or reproach. Moreover, these assessments need to take issues such as gender, ethnicity and different political viewpoints into account.

This paper is arranged in 12 sections, in a structure that allows readers to easily access the subjects in which they are most interested. Each section provides some basic information on the topic, as well as some guidance on the costs and benefits of various approaches.

- **Section 1** examines participation in country-led governance assessments
- **Section 2** discusses who conducts governance assessments
- **Section 3** covers funding and technical assistance
- **Section 4** examines types of governance assessments
- **Section 5** discusses the types of data and data collection methods
- **Section 6** presents several approaches to defining governance and developing governance frameworks
- **Section 7** examines different types of indicators, and discusses using existing indicators vs. developing new ones
- **Section 8** compares the various sampling strategies available
- **Section 9** discusses the analysis and presentation of data
- **Section 10** provides advice on ways to communicate and disseminate the results
- **Section 11** compares four country-led approaches, including the costs
- **Section 12** offers brief concluding remarks on the role of governance in the assessment process, as well as a review of the main points of this paper

SECTION 1

Participation

Growing demand for more inclusive participation in assessments

Until now, the major sources of information on the state of governance in a particular country has come from external sources, such as Freedom House (FH), Transparency International (TI) and the World Bank Institute (WBI). Each organization takes a different approach: TI concentrates on corruption and uses a basket of indicators and data from various sources to construct the Corruption Perceptions Index (CPI). WBI takes a broader view of governance, again using available data to construct a composite index. FH primarily relies on experts to assess the situation in each country and provide ratings on various dimensions of freedom.

Originally, the release of these annual assessments was more or less a curiosity. Today, these releases are front-page news in most countries, and donors use them to make funding decisions and pressure governments. As recognition has increased that governance is an important element in development, donors and governments began regular conversations about the state of governance and what could be done to improve it. As these conversations intensified, other actors, especially the media and civil society, began to pay closer attention to governance. However, conversations about governance primarily remained limited to donors and government. In recent years, especially since the 2005 Paris Declaration on aid effectiveness, interest has been growing by governments and some donors to widen the ownership of the assessment process. Increasingly, civil society and the private sector are asking for chairs at the table when governance is on the agenda.

Since the adoption of the Paris Declaration in 2005, there has been a growing interest to make governance assessments more relevant to national stakeholders by encouraging country-led assessments. When examining external assessments, we find that few have consulted with local stakeholders when it comes to selecting topics, let alone indicators. By taking a more participatory approach, governance issues can be better integrated into national development plans and reform efforts.

The Paris Declaration stresses increased harmonization among donors, better alignment with a country's development priorities and increased ownership of the development process. The essence of the Paris Declaration is partnership based on trust. Supporting country-led governance assessments fits well with the spirit of the Paris Declaration. The mainstreaming of governance into national development plans is already occurring in Zambia and several other countries.

In most cases, citizen interests will be represented by civil society organizations (CSOs), often including political parties. Country-led governance assessments will increase ownership for citizens, assuming that the process is participatory and includes input from stakeholders inside and outside of government. While CSOs have blossomed during the past 15 years, real CSO "watchdogs" remain scarce. Including CSOs, the assessment process has the potential to move civil society to a new, more mature level, similar to civil society organization in most countries where democratic forms of governance are institutionalized. In addition to civil society organizations, academics, the media and political parties should be included among non-government stakeholders in the assessment process. Finally, the private sector needs to play a significant role in these assessments, given that it is increasingly important in terms of development, and previous research indicates it is often a victim of corruption and bad governance.

Who participates?

Who is included in the assessment often depends on the interests and ideas of the group, organization or champions that initiate the process. Governance assessments can come from many sources and for many reasons.

External donors routinely conduct assessments in most countries they support with development aid, for the purposes of quality assurance, risk assessments, better targeting of aid, conditionalities, monitoring and evaluation. These assessments can range from narrow to broad, but are almost always aimed or tied to an ongoing programme or development project. In general, the assessed party rarely participates in the assessment, and results of these assessments are not made available to the general public, either back home or in the country being assessed.

In some circumstances, governments assess themselves, but these are rare. Depending on the amount of outside participation and the governments' commitment to practicing democratic governance as they attempt to assess it, the credibility of the results can vary widely. Internal, unlike external, assessment often examine local factors that external assessments often miss.

Internal government assessments that aim to facilitate a large-scale national process of deliberation and self-review are usually triggered by various social and political forces. These forces can come from many sources including a need to improve negotiations with donors, internal politics, election pledges, commitments to democratic reform or international commitments. As an example, the democratic governance assessment that was conducted in Mongolia was a follow-up to the international commitments made at the Fifth International Conference of New or Restored Democracies held in Ulaanbaatar in 2003. Democratic governance assessments may also take place as a result of opportune moments. For example, the African Peer Review Mechanism in Ghana took place as a result of President John Kufor taking office, ending the 20 years long rule of President John Rawlings.

The cycle of assessments that aim to examine democratic governance as a large-scale national process is often long-term. It tends to form part of political processes that include civil society engagement, stakeholder involvement, political debate and validation of policy recommendations. The challenge often includes making stakeholder participation genuine.

Smaller-scale government assessments that aim to improve democratic governance with regard to specific ministries, agencies and units of government require less momentum and are often conducted as part of governments' own monitoring and evaluation efforts to improve performance. Pressure by civil society and political parties may be helpful here too, at least to emphasize a need to improve on service delivery and participation.

Internal assessments by non-government stakeholders are increasingly common. Civil society organizations, often with significant help from external donors, have examined various governance issues. These efforts may be led by national or international NGOs, think tanks, unions, national institutes or political parties. Such assessments frequently are part of civil society's efforts to improve the evidence base for advocacy of specific reforms, agenda setting, or monitoring of Government. For example in sub-Saharan Africa, the Afrobarometer is now beginning its fourth round of citizen surveys on democracy, corruption, markets and civil society in 19 countries.

Who should participate?

It would be wrong to argue that everyone should be involved in every governance assessment. Legitimate research is conducted by institutes, NGOs, governments and other actors without extensive citizen participation. However, it is important that non-government stakeholders participate in country-led assessments, particularly when they aim to facilitate a national process of deliberation and critical self-review. In these cases the process of conducting the assessment should mirror the democratic governance principles being measured.

As a rule, once an initial group is established, it should be expanded to include any stakeholders not already represented. Special effort should be made to include voices of groups that are marginalized and not well-represented by civil society organizations. If no stakeholders can be recruited to participate directly, views of these groups can be captured through focus groups, in-depth interviews and representative household surveys.

Although there is not a set list of who should participate, below are some stakeholders who may have an interest in participating in a country-led governance assessment.

- Representatives of the government, which might include government ministers, high-ranking civil servants and members of the legislature
- Non-government stakeholders, which might include members of civil society organizations, academics, business people, members of the media, religious leaders, members of the legal community, representatives from the major political parties and others
- Groups without any or with weak civil society representation, such as nomadic populations, rural, poor and uneducated populations, and marginalized groups

A smaller “steering committee” should be chosen to take responsibility for planning the project, raising funds, and overseeing the entire process. For example, in Zambia a Governance Monitoring and Evaluation Committee (GMEC) has been formed. It is made up of representatives from various government ministries and institutions, as well as representatives from a variety of civil society organizations. The group, organization or champions that initiate the assessment often form the basis of the steering group, but efforts should be made to make the steering group as representative as possible of all stakeholders. The steering committee must be made up of committed people with the skills necessary to guide the process, and its leader must have adequate human and financial resources. The steering committee’s oversight role should cover the initial planning, indicator selection and development, as well as reporting of results.

Conclusions, costs and benefits of expanding participation

If the group of interested stakeholders is too large, it can complicate matters and increase costs. In some cases, just getting everyone to the same meeting can present significant logistical challenges. However, if non-government stakeholders are left out of government-based assessments, the credibility and legitimacy of those assessments will suffer. That said, it is imperative that government stakeholders be included as well, because the process of assessing governance is a political exercise. Including both government and non-government stakeholders increases the political legitimacy of the process internally and externally. The ratio of government to non-government stakeholders will likely vary across countries. However, the more equal the representation the better. Yet even when non-government stakeholders are outnumbered, the value of these parties working together on governance issues is a clear step in the right direction.

It is interesting to note that getting a diverse group of government and non-government stakeholders in the same room can have unintended consequences, many quite positive. Experiences from the UN-Habitat’s Urban Governance Index suggest that when government and non-government stakeholders meet on governance issues, relationships are forged and progress is often seen in other areas where these interests meet.

Broad participation increases the chances that government will use the indicators and findings in the policymaking process. As more voices are included, quality is raised by gaining a better understanding of contextual issues, including issues specific to the poor, women and vulnerable groups. Expanding participation also increases the transparency of the process, which is key to gaining legitimacy and use of the results. However, large groups are sometimes harder to control and the costs of holding larger meetings and reaching agreements can be more time-consuming and more expensive than when a smaller group is involved. Therefore, as mentioned above, once all the interested stakeholders have had a chance to meet and discuss the project, a smaller more manageable steering committee should be selected to guide and manage it.

SECTION

2

Governance Researchers

Over the years, many actors have become involved in assessing governance. This section attempts to identify participants and how they may either fit or not into a country-led governance assessment. Potential partners may include:

International teams that conduct survey-based assessments often have superior survey research skills, but lack the inside knowledge needed to get good-quality data and draw representative samples in many places where census data is out of date and other challenges are present. Usually there is minimal ownership of the process by the government or local stakeholders. International teams are expensive and not really suited for country-led governance assessments.

External experts are commonly used in desk studies where little or no original data are collected. These experts often do not reside in the country they are assessing and thus have very little in-country ownership of the assessment process. External experts are often quite expensive.

Local independent research companies may lack capability and experience, but generally have a good feel for the cultural context and other local or indigenous issues. The quality of these organizations varies widely from country to country. Established high-quality companies can be costly. For instance, in sub-Saharan Africa there has been significant growth in the number of high-quality research organizations. The Afrobarometer is now beginning its fourth round in 19 countries and has earned a solid reputation for conducting high quality research by working with independent research organizations in each country. When considering a local research firm, principals in the firm should have advanced degrees in a social science (such as sociology or political science) and at least one staff member should have some statistical and data analysis training. Contacting past customers is also a good way to make sure one hires the right company. For country-led assessments to be feasible in the long run, local researchers will need to be realistic in the prices they charge for their work. Most countries simply will not be able to afford to pay “donor prices.”

Nationally based academics have conducted governance assessments in several countries. For instance in Tanzania, researchers from the University of Dar es Salaam have been conducting democracy assessments for more than 10 years with the REDET project, funded by Denmark’s development agency DANIDA. As with local research organizations, the quality of academics varies for assessments relying on survey data, especially in terms of indicator and questionnaire development and sampling. For archival research, it is always a good practice to look for someone who has successfully published a book or published in peer-reviewed journals. One advantage of contracting nationally based academics is that these researchers often have talented and dedicated graduate students as research assistants. Fees charged by local academics vary considerably. Academics may also need to adjust their fees downward from “donor levels” for nationally based assessment to be financially sustainable.

National statistical offices (NSOs) have the capacity and experience to conduct high-quality governance assessments. Recently, these organizations have expressed increased interest to conduct country-led governance assessments. Développement et insertion internationale (DIAL) a French development organization, has already worked with several NSOs primarily in francophone countries in sub-Saharan Africa and in Latin America. More detailed information about the DIAL’s 1-2-3 project, and the costs associated with some of the approaches discussed above, can be found in Section 11 of this guide. Experience and capacity are clearly positives. However, in some countries NSOs

may suffer from being perceived as “agents of the state” when collecting sensitive data concerning corruption and governance. NSOs may also be open to political influence in some countries. NSOs are a viable option if the process has wide stakeholder participation and transparency, especially in countries where there is little or no capacity in civil society to conduct these studies. The marginal cost of adding a set of governance questions to an existing household survey is quite small compared to doing a stand-alone survey of typical citizens.

Conclusions, costs and benefits concerning who conducts governance assessments

External experts and international companies are usually expensive and do not fit well with efforts to increase local ownership. Local research organizations offer greater independence, but can also be expensive and the quality of their work can vary widely. Academic researchers are worth considering, given that they often have lower overhead and have access to skilled assistants and field staff.

National statistical offices likewise have the skills, staff and experience to carry out high-quality assessments. They also have potential advantages when it comes to cost, given that they are in the field on a regular basis. With high levels of transparency, autonomy and stakeholder participation to ensure legitimacy, these institutions have real potential to conduct professional assessments, with sample sizes large enough to allow extensive disaggregation of the results.

SECTION

3

Funding and Technical Assistance

Finding ways to fund a governance assessment that will increase stakeholder ownership and have a reasonable level of autonomy offers some challenges. The larger governance assessments, such as the WBI, TI, and FH are paid for by major donors. Few countries where governance is a major concern can afford to fund a country-led assessment. In more developed countries, civil society organizations fund governance research, but in most developing countries civil society organizations rely on donors to fund their research. There are few CSOs funded by citizens in the countries where governance matters most, and there is no reason to believe that this situation will change soon.

Country-led governance assessments must include government and non-government stakeholders to be successful and viewed as legitimate by citizens and donors. However, with few independent civil society organizations and many national governments unable to fully fund and sustain country-led governance assessments, some type of external funding is likely to be required. Assessments that can claim a high level of professionalism, are policy relevant, include government and non-government stakeholders, engage the public and build local statistical capacity are likely to be most attractive to donors and international organizations.

Technical assistance

Besides providing or assisting with the funding of governance assessments, donors and international organizations are beginning to offer technical assistance. UNDP's Global Programme on Capacity Development for Democratic Governance Assessments is a good example of how some international organizations are helping countries and donors coordinate these efforts. As an example, during 2008 UNDP lent assistance to country-led governance assessments in China, Montenegro and Paraguay. UNDP's Global Programme provides technical assistance in response to country demand: Stakeholders interested in technical assistance from UNDP on country-led governance assessment must initiate the project themselves and then approach donors and international organizations for funding and technical assistance.

(http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html)

Funding the assessment

The funding of assessments varies greatly. Several bilateral donors fund governance assessments, and it is advisable to aim for a basket of funds. Part of ownership is to demonstrate that the stakeholder's own funds are put into the governance assessment. While many will not be able to afford to fund 100 percent of these efforts, stakeholders must be ready to provide matching funds, or assume some amount of cost sharing.

Funding through the United Nations

Three funding modalities available under the United Nations umbrella include the UNDP Global Programme on Capacity Development for Democratic Governance Assessments and Measurements, the United Nations Democracy Fund (UNDEF) and the Democratic Governance Thematic Trust Fund (DGTTF).

Global Programme on Capacity Development for Democratic Governance Assessments and Measurements

The Global Programme is hosted by the UNDP Oslo Governance Centre and will support activities in at least 10 countries over a full four-year period beginning in 2008. In addition to these countries, the Global Programme will provide seed money to catalytic projects on democratic governance assessments. The Global Programme aims to support projects that:

1. Enhance **national ownership** through facilitating multi-stakeholder engagement on governance measurement and monitoring.
2. Support **capacity development** initiatives focused on defining and selecting governance indicators and data collection.
3. Promote the **sustainability** of national governance monitoring through supporting development of a governance database and facilitating its institutionalization.
4. Increase the **policy relevancy** of governance indicators by promoting and supporting processes and methods that
 - (i) enable country contextualization and
 - (ii) increase the uptake and use of governance indicators in policymaking processes.

(http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html)

United Nations Democracy Fund (UNDEF)

UNDEF is a recent fund, established in 2005, and provides assistance to governmental, non-government, national, regional, and international organizations on topics related to democracy support, including democratic governance assessments. For example in 2006, UNDEF funded the Integrity Index for Panama's Public Institutions as well as the Support in Achieving Millennium Development Goal (MDG) 9 on Human Rights and Democratic Governance in Mongolia.

This fund is particularly interested in projects that give civil society voice and are innovative in the area of supporting democracy.

Applying to the fund is a competitive process. In 2007 the fund received 1,873 applications and recommended only 86 projects to the Secretary General.

(<http://www.un.org/democracyfund/>)

Democratic Governance Thematic Trust Fund (DGTTF)

DGTTF is different from UNDEF in that it is open to application only from UNDP non-liaison country offices in developing countries. In 2008, the fund has been supporting country-led governance assessment in countries such as China, Ukraine and Montenegro through the respective UNDP country offices.

This fund is increasingly emphasizing the innovative and catalytic character of project proposals. These include initiatives that serve as a staging point for bigger programmes or probe into unexplored territories of democratic governance, such as indigenous governance practices or politically sensitive areas where the use of core funds is more problematic. Developing nationally owned governance performance assessments is a specific priority of this fund.

In 2008, DGTTF made US\$12 million available for country based projects. The amount of funding ranges from US\$ 40,000 to US\$ 300,000.

(<http://www.undp.org/governance/ttf.htm>)

Conclusions on funding and technical assistance

This section is more about the realities of funding country-led governance assessments than about the costs and benefits of various approaches. It attempts to offer some examples of how international organizations, such as UNDP's Oslo Governance Centre can help make these national initiatives a reality.

Certainly if national governments or well-funded civil society organizations can independently fund assessments, ownership and autonomy will increase dramatically. However, with most countries needing external funding, what may matter most are the level of professionalism and the amount of transparency and legitimacy that country-led assessments exhibit. Knowing who is paying and the amount of influence they carry will be critical in the development of the indicators, questionnaires and the types and sources of the data. The amount of autonomy and independence that in-country stakeholders have in designing, implementing and reporting results is one test of ownership. Another test involves funding. Stakeholders should provide some of the funding through matching funds or some level of cost sharing.

Donors and international organizations are already providing some funding, training and technical assistance for country-led governance assessments in the spirit of the Paris Declaration. Donors typically respond most favourably to requests made by government and local stakeholders in-country. Mongolia has completed a very successful national governance assessment and added governance as MDG9. Zambia is now in the planning stage of conducting its first country-led governance assessment as part of its Fifth National Development Plan. Financial and technical assistance is available for nationally led projects that are seen as practicing the principles of democratic governance including participation, transparency and accountability. Simply put, if there is an interest in developing a nationally led effort to monitor and evaluate governance, national stakeholders must ask for help and do their best to help fund the effort. Ownership means taking responsibility and taking the initiative.

SECTION

4

Types of Assessments

Initial questions

When trying to answer the questions posed in this section it is important to recognize the integral link between (1) the purpose of the assessment, (2) its content, and (3) its format and timetable of publication. The type of assessment stakeholders choose to conduct will affect the type of data, the format of the results, the budget and the amount of time needed.

First, stakeholders need to determine how the results will be used. Will the results be used by activists and advocates, by policy-makers and government officials, or by both groups? To inform specific policy interventions, research may have to be more detailed and require more questions, than if it is to be used for advocacy. Examples here may include data that can be used for monitoring or evaluation, or data that can be used for detailed policy planning. In contrast, assessments for advocacy require clearer messages. Assessments for advocacy may also find difficulty in getting the government to lend the capacity and experience of the national statistical offices for such efforts. Instead, advocacy assessments may need to rely on independent or academic research organizations. Below is a list of factors to consider before deciding on which type of assessment to use.

- The purpose of the assessment
 - Civic education/awareness raising
 - Influencing public debate
 - Monitoring and evaluating progress on governance, democracy and human rights issues over time
 - Agenda setting for reform
- Programme evaluation
- Do stakeholders want to compare the results against accepted benchmarks?
 - These can either be generated internally or by external actors
 - Do they want to be able to compare the results with those from other countries?
- Type of assessment stakeholders choose to conduct (discussed below)
- Sources of data used (discussed below)
- Type of data collected (see Section 5)
- Method of data collection (see Section 5)
- Forms and levels of governance and types of Indicators
 - Are stakeholders interested in the *de jure* situation – the rules of the game as defined in laws and the constitution?
 - Are stakeholders interested in the *de facto* situation – the way governance is practice in everyday life?
 - Or are both the *de jure* and *de facto* equally important?
 - Should the macro (political institutions) and micro (citizen) levels of governance be examined?
 - Should they choose objective or perception-based indicators?
 - Will they develop a scale, an index or something else?

An integrated process

It is important to think of the entire initiative as an integrated process, where each decision influences other steps. Careful planning in the early stages will enhance overall quality and usefulness of the project. Once the purpose of the assessment is known, then consideration should be given to the resources available (both financial and human), and the amount of time available to conduct and report results.

There is a need to define a few terms and discuss briefly the levels at which governance is typically assessed before examining assessment types. A more detailed discussion of these terms and other issues related to measurement and indicators can be found in Section 7.

Timing and scope

Timing of the assessment is another factor to consider. Timing may well be driven by the purpose of the assessment. For instance, if the goal of the assessment is to influence public debate about a country's democracy, it might be useful to consult the election calendar. If the goal is narrower, such as constitutional reform, then it would be best to synchronize the assessment with a schedule already established for public consultation. If the goal is to evaluate reforms or programmes already underway, then it would be best to fit the assessment with the timetable officially laid down at the outset of the reforms in question. Regular broad-based governance assessments are very useful for tracking progress over time and integrating governance into national development plans, and it may be possible to include programme or policy evaluations in a regularly scheduled nationwide assessment.

De facto or *de jure*?

A useful place to start is to decide which form of governance to assess in a country. Often stakeholders are concerned with assessing both the *de jure* and *de facto* forms of governance. This is because in some countries constitutional rights or laws exist on paper (*de jure*) but not in practice (*de facto*).

- **De facto** is concerned with what happens in practice. This can be measured by using objective data or perception-based data. An example here might be to ask citizens to which extent freedom of speech is allowed in their country.
- **De jure** refers to the existence of formal rules found in documents, laws, regulations and the constitution. These indicators usually rely on objective indicators. An example here might be the existence of a law or constitutional provision protecting free speech.

FRAMEWORK FOR DEVELOPING DE JURE AND DE FACTO INDICATORS

	EXAMPLE OF INFORMATION THAT THE INDICATORS CAN PROVIDE	TYPE OF INDICATOR	DATA TYPE	DATA SOURCE/S
De jure	Existence of laws and policies	Objective	Text/ qualitative	Archival
	Quality of laws/policies, in terms of fairness, efficiency, transparency and/ or accountability	Subjective/ perception-based	Qualitative and/or quantitative	Experts
De facto	Actual experiences of how well the laws/policies are enforced and implemented in terms of efficiency, fairness, transparency and/ or accountability	Objective/ events-based	Quantitative	Documents, administrative data, surveys
	Opinions and perceptions of how well the laws/policies are enforced and implemented in terms of efficiency, fairness, transparency and/ or accountability	Subjective/ perception-based	Quantitative and/or qualitative	Surveys, opinion polls

Micro, macro or both levels?

To assess governance properly, the differences between the macro and micro levels should be closely examined. At the macro level there exist political institutions and at the micro level the experiences, attitudes and beliefs of typical citizens, in particular the extent to which the political institutions are accepted as legitimate. Many claim that to have higher levels of democratic governance, there must be a fit between these two levels. At the macro level, there should be political institutions that conform to democratic procedures and the rule of law, and at the micro level, an acceptance by the mass public, who in a democracy have the power to sanction or remove their leaders. A careful examination of the political institutions and how they are perceived by the public is needed in a comprehensive governance assessment.

An index or a scale?

Many of the existing governance assessment report their results as an index. It is important to understand the differences between an index and a scale. An index is often made up of many types of data, collected in different ways from different stakeholders. It is a numerical tool that represents a combination of indicators and information that can be compared over time.

One of the best known indices is the UNDP Human Development Index (HDI). The HDI is a combination of many different indicators, such as GDP, literacy rates, educational enrollment, life expectancy, and number of telephone lines. Transparency International's Corruption Perceptions Index and the World Bank Institute's Worldwide Governance Indicators are also well-known examples of indices used to assess governance.

At some point in the development of an index, decisions are made on how much weight each indicator is given. Indicator weighting is likely to be complicated and subjective. Because of the complexity, the process is often arbitrary, and seldom transparent or easily understood by typical citizens or even many experts. It also is important to consider the sources and quality of information used when interpreting an existing index or attempting to construct a new index.

A scale is a set of numerical values assigned to subjects, objects, or behaviours for the purpose of quantifying the measuring qualities. In contrast to indices, scales are usually one-dimensional and measure only the degree to which an individual or object possesses the characteristic of interest. Scales usually rely on original data, but it is often possible to use secondary data to develop a scale. Scales are often created by simply adding up the scores or values of indicators and are usually easy to understand.

At some point stakeholders must choose to develop or use an index, a scale or both. There are no clear advantages to either approach concerning costs; it really depends on the situation. Scales may be easier for typical citizens to understand, but may have more rigorous data requirements and require time and money to develop. Indices can be tricky to construct. Getting the weighting correct can be difficult and this process can be difficult for typical people to understand. In some cases, using an index may limit opportunities to disaggregate the results. Finally, these measurement tools require skill and experience to construct.

Types of assessments

Desk studies are usually conducted by local or external experts such as academics. These assessments may rely on archival data, administrative data, narrative reports, laws, legal documents and government statistics, as well as the opinions of key informants. Desk studies often suffer from a lack local context and experience when conducted by external experts. However, the use of local academics or other experts may rectify this problem. Regardless of whether external or local experts are used, these studies often only provide the views of a small group of experts. Desk studies are usually cost-effective, especially after the initial round, because many are simply updated versions of previous studies. These studies are well suited for examining the *de jure* governance situation in a country and may also be useful to better understand the *de facto* situations.

Key stakeholder surveys are assessments that rely on the perceptions of expert or well-informed stakeholders within a country. Sampling strategies vary, with some surveys using probability (random) and others non-probability (non-random) based sampling. Some studies include government stakeholders, while others do not. Non-government stakeholders often include NGOs, academics, business persons, members of the media, members of the legal community, and religious leaders. Government participants often consist of ministers, high ranking civil servants and members of the legislature. These data are primarily perception-based and can collect qualitative (words) and/or quantitative (numbers) data. Sample sizes are usually quite small, at usually fewer than 100 participants. One critique of these studies is that they only report on the perceptions of key stakeholders, which may very well differ from perceptions of typical citizens. Proponents argue that these key stakeholders are more likely to be well-informed about, and active in, governance-related issues. These studies can usually be conducted quickly and at a reasonable cost. They generally concentrate on the *de facto* state of governance.

Mass opinion surveys are usually assessments based on the experiences and opinion of typical citizens. These large surveys primarily collect quantitative data and assess *de facto* governance conditions. Because these surveys often have large sample sizes (more than 1000), the data can usually be disaggregated to capture the voices of the poor, women and vulnerable groups in society.

- Stand-alone surveys of typical citizens usually use probability-based sampling and have large sample sizes of 1000 or more (see the detailed discussion of sampling in Section 8). Here the survey instrument is usually, but not always, developed to specifically address and measure issues concerning governance. The indicators can be subjective (perceptions) and/or objective (reported behaviour or experiences). These surveys can be expensive, and sampling challenges are common. In most developing countries, the most common mode of data collection is face-to-face, which again, is the most expensive mode of data collection. Generally these surveys are fairly costly, unless the governance assessment can be added to an existing survey. The data collection for the 2008 Afrobarometer survey in Zambia, with a sample size of 1200 citizens, cost around US\$75,000. The larger the country and the larger the sample, the greater the expense.
- Typical citizen surveys on governance conducted by national or central statistical offices (NSOs) are usually attached to a regularly scheduled household survey. These surveys normally have very large samples (between 5000 and 20,000 households) that allow many options when analyzing data. These studies can be very cost-effective, especially if attached to a regularly administered household survey. The large sample sizes associated with these household surveys allow for detailed analysis and disaggregation of the data. A pioneer in this type of governance assessment is the French organization DIAL, with its 1-2-3 surveys. There is more detailed information on the DIAL's 1-2-3 in Section 11.

Cross-country comparative surveys may or may not employ the same sampling techniques. Sometimes the questions are identical or conceptually equivalent, but at other times different questions are asked or data are collected at varying times, making direct comparisons difficult. Without questions aimed at capturing the local context, the results may be difficult to interpret and act on. For assessments conducted by local stakeholders, cross-country comparability may not be a major concern. However, it may be possible to attempt regional comparisons, if the countries are similar, which may increase the likelihood of attracting external funding. Again, this type of assessment tends to concentrate on the *de facto* situation, unless combined with a desk study that addresses the *de jure* state of governance in each country.

Business surveys were some of the first sources of information on governance issues. These assessments primarily focused on corruption. Major indices such as Transparency International's CPI and the World Bank Institute's Worldwide Governance Indicators routinely use results from business surveys when constructing their indices. However, these surveys only capture the opinion of a small, yet arguably important portion of the population. With a number of organizations already conducting these assessments, it is probably not worthwhile to conduct a stand-alone survey of businesses. These surveys generally capture the *de facto* governance situation.

Target group discussions are designed to learn more about the experiences and opinions of vulnerable and marginalized people, such as women and the poor. These groups are often left out of expert and some typical citizen surveys. These qualitative discussions are very similar to focus groups and should be employed carefully. Generally, it is better to over-sample these groups in a typical citizen survey than to solely rely on the focus group methodology. However, these discussions can be valuable in making sure the questionnaires contain the right questions and do not miss the experiences of people in these groups. The *de facto* state of governance is primarily assessed with this type of method.

Costs and benefits concerning different types of assessments

For country-led governance assessments, three options are viable: desk studies, key stakeholder surveys and mass opinion surveys. Desk studies rely on experts, and the results are only as good as the experts consulted. In the case of nationally driven assessments, the use of local experts seems to make the most sense. Some argue that desk studies are limited and the perspective is that of an expert, rather than stakeholders or typical citizens. However, desk studies can be particularly useful when assessing the *de jure* state of governance in a country. Moreover, they are a valuable complement to other types of assessments, such as mass opinion surveys and key stakeholders surveys, which tend to concentrate on the *de facto* situation.

Mass surveys of typical citizens are very valuable, but can be expensive. The most cost-effective option for these large surveys is for national statistical offices (NSOs) to conduct the research. The autonomy of these institutions varies from country to country, with some of them possibly subject to political pressure. In some countries citizens may feel uncomfortable speaking about sensitive political issues, such as governance, to an employee of the government. However, with NSOs holding considerable resources and experience in areas such as sampling, they can offer an attractive option when the circumstances allow. The best way to ensure a credible assessment using NSOs is broad stakeholder participation and the practice of democratic governance within the assessment process. These conditions will help ensure that the data collected become a public good used for policy and civic education. Simply put, there is no easy answer as to when or when not to use the NSO. Clearly, under the right circumstances, NSOs can be a viable option and offer real potential for cost savings and sustainability, while in other circumstances, using local independent research organizations may be the most viable.

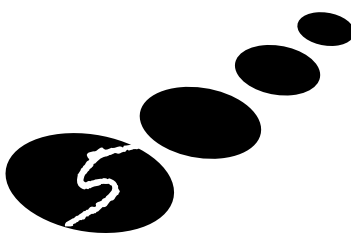
Key stakeholder surveys can be independently conducted relatively quickly and for a reasonable cost. They often include key stakeholders from inside and outside of government. They offer the perceptions of people who are well-informed about governance issues. These groups can often offer a deeper understanding of issues concerning governance democracy and human rights in comparison with typical citizens. However, they are limited in that they do not reflect the opinions of typical citizens and members of vulnerable groups. In the end, these surveys of key stakeholders may offer a valuable complement to larger surveys of citizens and as another means to assess the *de facto* state of governance in a country.

If possible, it is always better to try and understand complex issues such as governance from more than one angle; this is often referred to as *triangulation*. As mentioned above, governance operates on two levels, the macro level of political institutions and the micro level of the citizens. The ideal situation is to combine a professional desk study that captures the *de jure* state of governance with a *de facto* survey of typical citizens to provide both qualitative and quantitative data respectively. If key stakeholders are surveyed, both types of data can be produced. Quantitative data provide numbers and statistics, while qualitative data can offer deeper context that often helps in understanding the meaning behind the numbers.

While mixed methods are desirable, a word of caution is needed. Governance is a complex, multidimensional concept, affecting the government and the lives of citizens in many ways. It is important to keep the *feasibility* factor in mind and avoid trying to do too much, especially at the beginning. Identifying the most important governance issues in a country, and developing a feasible plan to monitor and evaluate them, is the best way to begin. The Metagora, a pilot project of PARIS21 and OECD, recommended focusing assessments on key issues, not only because it makes the assessments more feasible, but because it increases the immediate relevancy and appeal of the assessment to people and decision makers.

De facto assessments generally cost more than *de jure* assessments, but one without the other limits the use and legitimacy of the findings. Regular broad-based assessments that capture both the *de facto* and *de jure* state of governance and examine political institutions (macro level), as well as the citizenry (micro level), are the most useful for tracking progress over time to inform policy. Moreover, the cost of conducting regular assessments should fall after the first round is completed. One can expect savings in sampling, data analysis, reporting of the results and other aspects of the project. Professionalism, participation and legitimacy are the guiding principles when choosing an assessment type.

SECTION



Types of Data and Data Collection Methods

Qualitative and quantitative data

There are basically two types of data: qualitative and quantitative. Simply put, qualitative data are usually descriptive text or words and quantitative data contain numbers. Qualitative approaches, if conducted in a rigorous manner, require more skill than many quantitative approaches. Qualitative approaches provide text data, which are more time consuming to analyze, even with new text management software, such as NVIVO, AtlasTI and AnSWR (available free at <http://www.cdc.gov>). The coding of text data is a very subjective process and open to various types of coding problems, such as investigator bias or a lack of inter-coder reliability.

Quantitative approaches provide increased rigour by investigating relationships at known levels of probability. They also are easier to analyze because researchers use standard, replicable techniques. Common analysis software includes SPSS, Stata and SAS.

One criticism of quantitative data is that they lack the context to understand exactly what the numbers mean. For example, to know if it is good or bad when an indicator of reported sex crimes goes up, one needs to know more about the context: Is the number going up because more sex crimes are occurring, or is it going up because more women trust the police and choose to report sex crimes?

If the resources and the schedule allows, combining methodologies often provides the most useful results. By combining archival information and administrative data with original qualitative and quantitative survey data, you have the advantage of examining the situation from several vantage points (triangulation). This approach can increase the level of professionalism, credibility and legitimacy. Good-quality analysis of both qualitative and quantitative data can be expensive. The extent to which you can use both types of data will depend on the budget and the human resources available. The goals of professionalism and legitimacy should be the guide, whatever approach is used. There is more detailed information on data analysis in Section 9.

Administrative, archival and secondary data are used in many assessments. These data can be qualitative and quantitative and come from a variety of sources, including narrative reports from government, administrative data routinely collected by government ministries, other government statistics, the constitution, laws and legislation, as well as statistics and data gathered by domestic NGOs, international organizations and academics. It can be very useful to undertake a *data mapping exercise* to inventory and assess the data available from various sources. This exercise can be completed by a qualified academic or other expert. Support from the government makes the process much faster and easier. The results are then made available to the steering committee for examination. One tool available to assist with this process is the IMF's Data Quality Assessment Framework. More information on this tool is available at www.dsbb.imf.org/Applications/web/dqrs/dqrsdqaf.

Survey data and survey research is a relatively new field. Modern surveys were pioneered in the US and elsewhere after World War II. As surveys became more common and computers more powerful, social scientists became interested in conducting and designing surveys. Social scientists examined closely how question wording, question order and different types of response sets influence results. They found that questionnaire design is critically important in terms of the quality of results. These small, easily avoided mistakes can cause big problems with results and quality of data, especially in terms of validity and reliability. It is wise to take advantage of the research on these issues when examining existing indicators, survey questions or when developing new ones. The best advice is to have an outside survey research expert, with many years of experience, examine the questionnaire in the *draft phase* of development.

Survey data comes in many forms. Original data comes from research you conduct yourself, and secondary survey data comes from projects conducted by others. Data from surveys can be qualitative, quantitative or a combination of both. Surveys are primarily used to determine the de facto governance situation. However, in some circumstances researchers often use surveys to test the knowledge of respondents concerning *de jure* governance.

Types of interviewing

- **Focus groups** generate qualitative data and are good for developing questions and gaining a deeper understanding of issues.
- **Structured interviews** use an identical instrument for each respondent. Interviewers are given explicit instructions. This technique has a systematic approach that uses primarily structured questions with fixed response sets. Usually very few open-ended questions or questions asking for detailed comments exist.
- In a **semi-structured interview** a written list of questions and topics that need to be covered *in a particular order* is outlined. These questionnaires are often developed from informal, unstructured and focus group interviews. They can include open-ended and/or more structured questions. This approach is ideal when working with elites, managers, bureaucrats and other people who have limited time.
- Some projects **combine elements** by starting with a large structured quantitative study and then selecting a portion of the sample for more in-depth, semi-structured qualitative interviewing on selected topics or indicators

Modes of survey data collection

Face-to-face data collection is likely the best option in most developing countries. It is also the most expensive and time-consuming. It requires professional management of trained interviewers, the sample itself, and other aspects of the study. In many countries, it is the only way to reach respondents and achieve a reasonable response rate. Data collected using this method must be cleaned and entered twice to assure accuracy, thereby further increasing the cost of this mode of data collection. One way to reduce costs without compromising too much on quality is to use university students who are often interested in gaining research experience. Another way is to take advantage of NSOs who have trained staff and vast experience in this type of data collection.

Mail surveys can work well only if the postal system is reliable. The questionnaire must be carefully designed for self-administration, and there should not be too many language issues. The designing and implementation of self-administered surveys is a well researched sub-field of survey research. With the right population, such as businesspeople or other elites with a valid mailing address, mail surveys can work very well. The cost is usually quite reasonable. Plan on making at least three attempts/mailings for each respondent to meet the “best practices” threshold for this mode. This method is not recommended for surveys of typical citizens in most developing countries. It also misses the homeless and other vulnerable groups who may not have a valid mailing address.

Internet surveys require special planning and design. These surveys can suffer from low response rates. Developing and implementing internet surveys has become very reasonable in terms of cost. Several very reasonably priced internet survey services are available, such as Survey Gizmo at www.surveygizmo.com and Survey Monkey at www.surveymonkey.com. Data collection is usually neat and clean. Again, at least three contacts are required. You can use regular mail, email or telephone to contact respondents. Usually, very little data cleaning or data set preparation is necessary with this method, making it the most cost-effective mode available. Some internet survey providers offer project management and easy-to-use questionnaire development tools. Again, as with mail surveys described above, this approach works best with populations, such as businesses, NGOs, IOs, academics, the media, government workers, and others who are likely to have regular access to the internet. These studies rely on a *listed sample*, a sample with complete contact information for the participants including names, address, telephone numbers and possibly email addresses. Access to the internet is increasing daily in most countries, making this inexpensive mode of data collection very attractive for the right populations.

Telephone surveys may have coverage issues. In many countries, people do not have a phone in their home, and if they do have a phone, it is usually a mobile or cell phone. Most cell phone providers do not make telephone numbers available for use in random-digit-dial surveys. If a representative cell phone sample can be drawn, it will still contain a bias, because most people in developing countries do not have a cell phone either. Moreover, in some countries, incoming calls may be charged to the person receiving the call, further complicating the process. In addition, software for managing and conducting a professional telephone survey is very expensive. Telephone surveys are not a viable option in most developing countries.

Focus groups can generate information about the background conditions surrounding governance issues. It can help the researcher better understand the independent variables (causes) that determine governance ratings. Focus groups are usually efficient in terms of time and money. They are highly participatory and have the potential of generating solutions to the problems identified by the group members.

On the negative side, the focus group approach has certain disadvantages that cannot be ignored. It is very demanding and requires highly skilled coordinators. Also, since the approach catalyzes collective integrated thinking, it makes individual ratings insignificant. Yet another drawback is that accuracy can suffer, as some individuals may not feel comfortable to speak up in public. Focus groups yield less systematic results. The consensus view of most social sciences is that focus groups are best used to identify issues and develop surveys rather than as the only source of data.

Costs and benefits of different types and sources of data

Different data sources offer different features. Clearly, archival and secondary data sources are very valuable when it comes to documenting whether laws exist to protect rights and promote democratic governance (*de jure*). Access to this information ranges from fairly easy to quite difficult. For example, it is relatively easy to examine laws and the constitution, but it might be difficult to get access to data and information collected by government agencies. As countries move toward country-led assessments, more administrative data will be used to monitor and evaluate various aspects of democratic governance in various ministries and government agencies. A careful evaluation of these administrative data in terms of quality, reliability and validity is highly recommended.

Collecting original data requires skill, experience, time and more money. In most countries where a survey is conducted, the approach will likely be face-to-face, which is the most expensive mode of data collection. Still, in certain circumstances, various populations such as elites may have reliable access to the internet, telephone, and/or reliable mail service. These modes of data collection mostly capture the *de facto* situation and can significantly reduce costs compared to the face-to-face method.

A thorough assessment may well include both archival and secondary data, as well as survey data. It also will likely include *de jure* information such as the existence of various laws and objective- or perception-based *de facto* information, at both the macro (political institutions) and micro (citizen) levels. Combining different sources and types of data is more professional and provides more credible results than relying on a single source, form or level of data.

SECTION

6

Governance Definitions and Frameworks

Much has been said about governance over the past 15 years. It has been defined in many ways and applied to many situations. How stakeholders define governance will have an impact on the type and amount of research required. The list of those assessing governance is quite large. An excellent source for information on the wide variety of governance indicators is the *UNDP's Governance Indicators Guide*, produced by the UNDP's Oslo Governance Centre.

Definitions lead to frameworks that in turn lead to “operationalizing”, which leads to indicators. In this case, to operationalize means to specify how a concept will be measured (by an indicator). Operationalizing is the method whereby indicators are developed to measure a particular aspect or element of governance. If stakeholders define governance broadly then the concept or framework will be broad and will contain more indicators, than if you start with narrow definitions.

The section begins by offering a few examples of how different groups have defined governance, both narrowly and broadly, and is followed by a brief discussion of the role of theory. Next, there are examples of how different projects develop definitions into concepts and frameworks. Indicators, directly flow from these steps and are discussed in detail in the next section.

Narrow and broad definitions of governance

Transparency International has a very narrow definition that focuses on corruption, “defined as the misuse of entrusted power for private gain.” TI further differentiates between “according to rule” corruption and “against the rule” corruption. Facilitation payments, where a bribe is paid to receive preferential treatment for something that the bribe receiver is required to do by law, constitute the former. The latter, on the other hand, is a bribe paid to obtain services the bribe receiver is prohibited from providing. (Transparency International website, 2008)

The World Governance Assessment (WGA) uses a human rights based approach for broadly defining governance as “the formation and stewardship of the formal and informal rules that regulate the public realm, the arena in which state as well as economic and societal actors interact to make decisions.” (Hyden, Court and Mease, 2004)

UNDP uses a broad definition of governance and conceptualizes *democratic governance* through inclusive participation, responsive institutions and certain principles and values, such as human rights, gender equity and integrity. UNDP argues that democratic governance is an end in itself, and a means to achieve human development

Definitions can be broad or narrow, precise or vague. Narrow definitions are not necessarily more precise; broad definitions can be precise, and narrow definitions can be vague. The more precise the definition, the easier it will be to develop a framework to use as a basis for identifying indicators. The clearer the links among the definition, the framework and the indicators, the less expensive and time consuming the process.

Theory should guide research and therefore the development of indicators. Theory is simply a set of related propositions that suggest why events occur in the manner in which they do. You can think of theory as the conversation surrounding governance – what it is and why and how it matters. Various theoretically based approaches assess governance; some are broad and others less so. Theories about the role of governance in democracy, development and human rights lead to working definitions of governance. These result in frameworks that lead to indicators that allow measurement. It is wise to take advantage of the extensive amount of work and research that has been conducted on governance, rather than “reinventing the wheel”.

Governance frameworks

Below are four examples of how definitions of governance are developed into frameworks to facilitate the identification of indicators. The first two examples are included in the definitions above. As you examine these frameworks, keep an eye out for the differences and similarities.

1. UNDP/IDEA: Framework of Democratic Governance

Although a unique definition of governance does not exist, most definitions are based on a normative approach that reflects the positive dimensions of governance. Data (*de jure* and *de facto*) come from a variety of sources and are both objective and subjective. UNDP has adapted the State of Democracy Assessment Methodology of the International Institute for Democracy and Electoral Assistance (IDEA) to support their work on democratic governance. From 2004 to 2006, Mongolian stakeholders using the seven guiding democratic governance principles (outlined below) developed 115 “core” indicators and 16 “satellite” indicators that captured the local context in Mongolia. The elements of this framework are described briefly below.

Participation:

- Women/men and poor/non-poor should enjoy and exercise the same rights to participate
- Women/men and poor/non-poor should possess the capacities and resources to participate
- An inclusive participatory culture should exist that encourages women and the poor to be active politically

Representation:

- Parliamentarians at national and sub-national level articulate the concerns and priorities of women and the poor
- Civil service is representative of social composition of the electorate, including women and the poor

Accountability:

- Clear and effective lines of accountability (legal, financial, administrative and political) are necessary to safeguard judicial integrity, and to ensure honest and efficient performance by civil servants in the delivery of public services to women and low-income groups

Transparency:

- Government decision-making in areas of particular concern to women and low income groups should be open to legislative and public scrutiny

Responsiveness:

- Accessibility of government to advocates of pro-poor, gender sensitive policy formation, implementation and service delivery

Efficiency:

- Goods and services provided by the public sector at least in terms of cost and in the quantities/qualities desired by citizens

Equity:

- The state redistributes entitlements through taxation and public expenditure in accordance with a democratically expressed social welfare function

2. The World Governance Assessment

The WGA definition offered above is linked to six theoretically based governance principles. This approach assesses the *de facto* form of governance, using a mix of perception-based qualitative and quantitative data. The questionnaire contains 36 indicators, with each of the six principles measured in each of the six societal arenas (see below). In addition, there are six contextual indicators in the questionnaire covering topics such as the role of women, support for the poor, and transparency of the budget process. A background report, produced by the local country coordinator, contains historical, as well as additional *de jure* and *de facto* information and is used in the analysis.

WGA Principles of Governance:

- Accountability
- Participation
- Decency
- Fairness
- Transparency
- Efficiency

WGA Societal Arenas of Governance:

- Civil Society
- Political Society
- The Executive
- The Bureaucracy
- The Judiciary
- Economic Society.

3. Transparency International's National Integrity System (NIS)

TI's NIS is a relatively new initiative that employs a much broader definition of governance. The NIS has been carried out in 23 countries. It is not to be confused with the definition used for the Corruption Perceptions Index mentioned above. The framework has 16 governance pillars, which are examined across seven criteria. The NIS project has identified 300 different indicators. Local chapters, which conduct these assessments with assistance from the TI secretariat, have wide discretion as to which indicators they choose to use. The approach uses a combination of objective- and perception-based indicators examining the *de jure* and *de facto* governance situations. Country chapters often use mixed approaches in collecting these data. These can include desk studies, expert surveys and focus groups.

The 16 NIS Pillars:

- Executive
- Legislature
- Political parties
- Electoral commission
- Supreme audit institution
- Judiciary
- Public sector/civil service
- Law enforcement agencies
- Public contracting system
- Ombudsman
- Government anti-corruption agencies
- Media
- Civil society
- Business sector
- Regional and local government
- International institution

Each of these pillars is examined on seven criteria:

- Role(s) of institution/sector as pillar of NIS
- Resources/structure
- Accountability
- Integrity mechanisms
- Transparency
- Complaint/enforcement mechanisms
- Relationship to other NIS pillars

4. The Urban Governance Index (UGI) by UN Habitat

The UGI uses 25 indicators across four sub-indices. The assessment process includes participants from civil society organizations, associations of local government, ministries of local government, or coalitions of these key actors to design their own urban governance indicator systems.

Effectiveness

- Local government revenue per capita
- Ratio of actual recurrent and capital budget
- Local government revenue transfers
- Ratio of mandated/actual tax collection
- Predictability of transfers in local government budget
- Published performance delivery standards
- Consumer satisfaction survey
- Existence of a vision statement

Equity

- Citizens' charter: right of access to basic services
- Percentage of women councilors in local authorities
- Pro-poor pricing policies for water
- Incentives for informal businesses

Participation

- Elected council
- Selection of mayor
- Voter turnout
- Public forum
- Civic associations per 10,000 population

Accountability

- Formal publication
(contracts and tenders; budgets and accounts):
- Control by higher levels of government
- Codes of conduct:
- Facility for citizen complaints
- Anti-corruption commission
- Independent audit

Conclusions, costs and benefits of how you define governance

As you can see, these frameworks share many of the same elements, such as transparency, accountability, participation, and efficiency, among others. They also examine these elements of governance across similar areas of society. A concise definition that lends itself to a well-defined and developed framework saves money and time. Between the examples provided above and the dozens of examples offered in the *UNDP Governance Indicators Guide*, stakeholders have plenty to think about when deciding on how to develop a country-led governance assessment. Whatever approach fits the situation best, it is wise to use theory and previous research as a guide. At the very least, there should be several indicators for each dimension of governance examined, in each area of society and/or government. The following section addresses the next step in the process: identifying existing governance indicators and developing new ones.

SECTION

7

Indicators –

Existing vs. New Indicators

This section begins with background information on indicators. It then provides advice and guidelines on using existing indicators, followed by an important section on developing new indicators. Developing new indicators can be complicated and sometimes costly. Clearly, a need exists for indicators that can capture the local context, something that external assessments rarely do. However, developing new indicators requires skill and testing to ensure a high degree of rigour and credibility. It is a good idea to balance the development of new contextual indicators with indicators used elsewhere to allow comparisons with other countries. This section offers examples of the different methods used to develop new governance indicators, highlighting stakeholder participation. The section concludes with advice regarding the cost and benefits of the various types of indicators and development of new vs. using existing indicators.

UNDP, through its Global Programme on Capacity Development for Democratic Governance Assessments at the Oslo Governance Centre, supports a broad, democracy-based approach to measuring governance. It argues that indicators should be selected and generated through a transparent, participatory and inclusive process. National institutions, including academia, should be used to develop the indicator system so that national capacity is strengthened.

What is an indicator?

- An indicator is a device for providing specific information on the state or condition of something. An indicator is also a measure, gauge, barometer, index, mark, sign, signal, guide to, standard, touchstone, yardstick, benchmark, criterion and point of reference. (Source: *Oxford Dictionary*)
- An indicator can be a numerical or a text-based (qualitative) measure of quality of life in a country, such as governance. Indicators are used to illustrate progress of a country in meeting a range of economic, social, political and environmental goals.

Types of indicators

Objective indicators can be developed from archives or secondary data sources. They also can be developed from administrative data collected by government. Some *de jure* (rules, laws) examples include the existence of an integrity commission, existence of a particular law against corruption, or a civil right in a constitution. *De facto* (practice) examples include the number of corruption cases prosecuted or number of defendants found guilty.

Reported behaviour or event indicators usually come from surveys of typical citizens or selected groups and from government statistics, such as number of arrests or convictions. Surveys such as DIAL's 1-2-3 ask respondents (typical citizens) if they have ever been asked to pay a bribe or have ever paid a bribe to a public official (*de facto*).

Subjective or perception-based indicators are found in surveys of typical citizens or smaller surveys of key stakeholders such as experts inside and/or outside of government about issues related to governance. These indicators rely on opinions or perceptions of how things are (*de facto*) or should be. Perception-based data have proven very reliable over the years in many different contexts and cultures. In many cases perception-based data are the only source of information where objective or reported events data are not available.

Proxy indicators do not measure the subject of interest directly and thus are an indirect measurement. Proxy indicators are usually less expensive to develop, but vary considerably in quality. When and how proxy indicators are utilized will vary from country to country. It is a very good idea to closely examine the work of others who have used proxy indicators in their assessments. Issues of time and money often influence the need to use proxies, rather than developing an indicator that measures the subject directly. At other times, proxies are used to measure subjects that are difficult to measure directly. For instance in many developing countries, it is difficult to measure income directly, so researchers often use proxies such as the roofing material of the house, ownership of livestock, or ownership of land.

The basics of good measurement

Some researchers prefer reported behaviour- or event-based data, while others like a combination of both objective- and perception-based data to capture the *de jure* and *de facto* situations concerning governance.

Good measurement is the foundation for the quality of results. Often overlooked, the time and money invested in improving measurement pays off in better, more reliable and more valid results that increase the legitimacy of the assessment. It is critically important that indicators be reliable and valid.

- **Reliability:** can the results you have be reproduced with a similar sample in a survey situation? Even if the data and indicators are not survey based, reliability is still important. For instance, in a desk study one would expect to get similar results from a different expert examining the same information.
- **Validity:** does the indicator measure what it is supposed to measure? Sometimes, an indicator is developed that we think measures governance, but is later found to be actually measuring something else or simply measuring it poorly. Validity issues can arise in both survey and non-survey-based indicators.

Using existing indicators

Existing (other people's) indicators can be useful, but the general rule is similar to a "buyers beware" situation. Just because an indicator has been used before does not mean it is right for your assessment. Previously used indicators do not come with guarantees. Some existing indicators are flawed in terms of reliability and validity. Furthermore, some indicators may not fit the historical or cultural context found in every country. When examining existing indicators, it is important to look closely at the characteristics of the indicator. These words of warning aside, much good work has been done on governance over the past two decades. Many "core" or existing indicators should transfer quite well from country to country and culture to culture. Moreover, many have already been tested for reliability and validity.

Developing new indicators

Recently, much discussion has occurred about developing new "national" indicators for governance and other issues, with the emphasis on increasing the ownership of the assessment process. Three areas that have been identified in many countries are indicators to help us better understand how governance impacts the lives of women, the poor and vulnerable groups.

Because most of the externally-based assessments focus on cross-country comparisons, they simply do not, or are not, interested in the nuanced contextual factors that impact governance in most countries. It is this very lack of context that limits the usefulness of most cross-country approaches. That said, it is likely that many existing governance indicators that can and should be used. The hope is that country-led assessments with broad stakeholder participation will fill in the gaps found in most cross-country assessments and help us better understand how and why governance matters within countries, as well as across countries.

Many believe that gaining a deeper understanding of governance and being able to apply it to policy design and outcomes lies in these details. Country-led efforts will likely target specific sectors or government institutions, such as the electoral system, access to justice, and service delivery. Therefore, country-led assessments must examine the context and details surrounding governance in their country, ensuring that all groups, including those most vulnerable, are included. To meet these needs it may be necessary to develop new or “satellite” indicators, as Mongolia did in its recent governance project.

New indicators by definition are untested and so involve risk. Like existing indicators, new ones can suffer from problems related to reliability and validity (explained above). Therefore, they should be pilot-tested for reliability and validity. Results of the assessment are only as good as the quality of the indicators being used. If the new indicators have measurement flaws then the results will suffer and lack credibility. However, with an adequate budget, careful planning and testing, new indicators can address vulnerable groups and capture other contextual factors, such as in the recently completed governance project in Mongolia, whose groundbreaking project is explained below and in Section 11. This groundbreaking project is explained below and also in Section 11. Developing indicators is not easy, but there are well-established guidelines and “best practices” available.

Participatory approaches to developing indicators

Various approaches can be used to develop new indicators. Some are very participatory, such as the approach that UNDP recommends, while others approach the task with less group participation. The less participatory approaches rely on survey research techniques to expand input into indicator selection and development, in an attempt to save time and money. The amount of participation in the selection of existing and the development of new governance indicators depends on the amount of time and money available. UNDP has argued that the process of identifying existing and developing new indicators is itself a governance process. A good example of a highly participatory process comes from Mongolia where UNDP provided assistance to the Government and an independent research team to coordinate a multi-stakeholder Governance Assessment in 2005-2006 (see (<http://www.undp.org/oslocentre/docs07/DGI-Mongolia.pdf>))

In addition to strong media coverage and numerous awareness raising events the Mongolia assessment methodology included:

- More than 100 participants of the national conference on “Democracy in Mongolia – Challenges and Opportunities” held in Ulaanbaatar in June of 2005, were interviewed for a test-expert survey to clarify key issues related to research
- More than 1000 citizens in six *aimags* (provinces) and six districts of Ulaanbaatar were interviewed in the survey. Results were collected, processed and reflected in the final report
- 36 focus group discussions and 12 free dialogues for data collection were organized in six *aimags* and six districts
- The questionnaire form used for surveying public opinion also was used to study and compare the opinion of parliamentarians

Developing indicators with more limited stakeholder participation

This approach still involves the participation of a significant number of stakeholders, but relies on survey research techniques to reduce the need for large meetings of stakeholders to identify indicators. After a large group of interested stakeholders have been consulted and a steering committee formed, representatives from the steering committee, along with experts who have knowledge of indicator development, take the lead in selecting indicators. Then this group works together to identify existing indicators and develop new ones. Existing governance frameworks are useful and should be used as a starting point for selecting a set of “core” indicators. Sometimes there may be a need to modify certain indicators, but for the most part many should move comfortably from country to country.

If the steering committee feels there is a need to develop new indicators, well-tested and accepted methods for identifying new indicators are available. Focus groups are one of the ways that researchers develop new indicators. Another is to conduct a pilot study where some respondents are asked open-ended questions about the topic of interest. A similar scenario can be developed in non-survey situations, such as a desk study. After the team feels comfortable with the indicators, they can report back to a larger group of stakeholders if they wish. Below is a list of some of the steps used in this method to identify and develop indicators:

- A set of issues and the groups that may be affected by governance issues are identified by the larger group of stakeholders and/or the steering committee
- A series of separate focus groups are held with each group of interest. These are open-ended discussions addressing the issues in question and are also designed to discover any unidentified issues
- Transcripts from the focus groups are then used to develop new indicators
- The indicators are pilot-tested in a survey, or other means if a desk study is being conducted, and the results examined
- The results are then presented to the steering committee, or possibly an expanded group of stakeholders, for advice and approval.

ACTIVITIES AND TIMETABLE FOR INDICATOR DEVELOPMENT: AN EXAMPLE FROM MONGOLIA'S MDG9 GOVERNANCE PROJECT

MONTH	ACTIVITIES	DECISIONS
1	Parliamentary (Sub) Committee and Secretariat start work	Announcement of intention to establish a system of pro-poor, gender sensitive governance monitoring under parliamentary control
1-3	Preparatory work for 1st National Workshop on Monitoring Democratic Governance	
4	1st National Workshop on Monitoring Democratic Governance (2 days)	Reach a consensus on the 'road map' by the end of the workshop
4-9	Working Groups prepare material on different areas of governance that feed into Secretariat's report. Secretariat drafts proposals for monitoring democratic governance	
10	2nd National Workshop on Monitoring Democratic Governance (1-2 days): discusses Secretariat's report and proposals.	
10-11	Follow-up to workshop by Working Groups and Secretariat	
11	Secretariat submits final report and proposals to Parliamentary (Sub)Committee	
12		Parliament approves a system for monitoring democratic governance, which includes a set of pro-poor, gender sensitive governance indicators

Source: UNDP *Measuring Democratic Governance: A framework for selecting pro-poor and gender sensitive indicators*, pg. 48, May 2006

Indicator checklist

How one chooses to measure or assess an aspect of governance will directly impact the type of results that will be reported. Below is a checklist of questions to consider when selecting an existing or developing a new indicator.

- What sources of data are available for this indicator?
- What type of data will this indicator produce?
- Can the results be disaggregated?
- At what level does it assess governance: macro or micro?
- What form of governance is examined: *de facto* or *de jure*?
- Will it be an objective, perception-based or a proxy indicator?
- How should it be measured: by text (qualitatively), numerically (quantitatively) or by both?
- Will it capture the local context and/or vulnerable groups?

Conclusions, costs and benefits concerning indicators

In conclusion, it is probably best to try and strike a balance between “core” (existing) and “satellite” (new country- or culturally-specific) indicators when developing a country-led assessment. In the recent Mongolian assessment only 11 percent of indicators used fell into the “satellite” category. It also is recommended that both *de jure* and *de facto* forms of governance be assessed, and the macro and micro levels of governance be measured as directly as possible. Using the checklist provided above is a good place to start, whether using an existing indicator or developing a new one.

Participation in indicator identification by an expanded group of stakeholders will likely increase the amount of ownership people feel in the process and increase interest in the results. However, the larger the group, the longer and more costly the process is likely to become. When it comes to the more technical side of developing the indicators, a smaller skilled group is best.

Developing new indicators requires skill. Many previously used indicators have been tested for reliability and validity, which can save time and money. New indicators should be developed only where gaps exist. Regardless of the approach, the cost of new indicators and the time required to develop them must be seriously considered. Brainstorming in a small or large meeting of stakeholders is the easy part; meeting high professional standards for this type of work (testing for reliability and validity) is the harder. Like most factors concerning the assessment process, it may come down to how much time, money and human resources are available.

Many existing indicators are based on widely accepted universal standards and treaties, such as the human rights accords. These universal standards are often advocated by researchers, civil society and marginal groups within countries. If ownership of the selection process is broad-based and national expertise is trusted, there may be greater acceptance for adopting and adapting frameworks based on such standards. Strong ownership may well lead to less focus on indicators being old or new, and a greater focus on what the assessment should aim to measure.

So, when should you develop new indicators and when should you use existing ones? This is a much-debated point. Where there is a legitimate need for new indicators, that need should be met. However, when existing indicators are sufficient, then new indicators should not be created. What is important here is that there is strong stakeholder ownership of the indicator selection process. Nationally led assessments should capture the local context, vulnerable groups, and national priorities. We do need to invest in better measurement to push our understanding of how governance matters, especially for groups and issues that have not been included in external assessments. If financial and human resources are indeed limited, it is better to measure fewer aspects of governance well, than many poorly. Simply stated, better measurement leads to better results. The more reliable and valid the indicators, the more likely that the results will be viewed as professional and legitimate.



SECTION 8

Sampling – The Basics

Every survey research project needs a sampling strategy. This applies to both qualitative and quantitative research. Social scientists rely upon sampling to make inferences about a population.

- The population is the entire group of elements about which we would like to know something.
- A sample is a subset of these elements. Sometimes the researcher includes the entire population in the study, which is called a census.
- Samples provide us with estimates of characteristics found in the population. Some estimates are better than others, and most estimates contain some error.
- A sampling frame contains all the eligible elements for the study. Examples of sampling frames include a voters' list, membership list, or telephone book.

Two major types of sampling

Probability sampling is also commonly referred to as random sampling. In this type of sampling, each element in the sampling frame has a *known* chance of ending up in the sample. Some of the major types in this category include Simple Random, Systematic Random, Stratified, Multistage and Cluster sampling.

Non-probability sampling implies that personal judgment has somehow been involved in the decision about which elements to include in the sample. One cannot say before the fact what the chances are of any one element being included in the sample. The major types of non-probability (non-random) sampling include Purposive or Judgmental, Quota and Snowball sampling.

Sample size and sampling error are related in probability-based samples. A poor sample can introduce error into results in many ways. One, the sampling error, is easy to understand and calculate. Sampling error is directly related to the size of the sample. It is the amount of error associated with the sample not representing the population on the measure of interest.

It is important that one knows the sampling error, or as it is commonly referred to, the margin of error (MOE). In probability (i.e., random) samples, as sample size increase, the MOE decreases. Upon deciding on the amount of sampling error that one can accept, always remember that this type of error increases when examining sub-groups in the overall sample (i.e. by sex, age, education, regions).

For populations of more than 1,000, there should be a sample size of at least 500. However, an overall sample size of 500 restricts the ability to disaggregate the data and draw meaningful conclusions about factors such as sex, region, religion, ethnicity or vulnerable groups. Once these groups are broken out, the sample sizes will shrink, increasing the amount of sampling error associated with the results. Therefore, if possible, one should have a sample size of 500 for each group of interest in the population.

EXAMPLES OF SAMPLING ERROR RATES AT 95 PERCENT CERTAINTY

A SAMPLE SIZE OF:	GIVE YOU A MARGIN OF ERROR OF AROUND:
2500	+/- 2.0 %
1500	+/- 2.5 %
1000	+/- 3.1 %
500	+/- 4.4 %
200	+/- 6.9 %
100	+/- 9.8 %
50	+/- 13.9 %

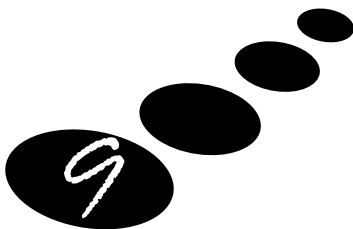
Costs and benefits concerning sampling and sample size

In conclusion, large samples cost more money, but offer more precision (better estimates). Probability sampling, which is usually more expensive, is preferred over non-probability sampling. However, in some cases non-probability sampling can work quite well and is used all over the world in large and small projects. If one is seeking the opinions of experts, then non-probability sampling is something to consider. Most of the time, the size of the sample is driven by how much money is available – more money, larger sample. The larger the sample, the more precise the estimates become and the easier it is to examine differences between groups in society. However, there is a point where the amount of precision gained by increasing the sample size diminishes. This means that even if resources are plentiful, there is no reason for excessively large sample sizes (see the examples offered above).

When it comes to designing and drawing large representative samples, clearly NSOs have the experience and also may offer significant cost advantages. However, if the project is going to attempt to reach vulnerable populations such as domestics, homeless or displaced people, even NSOs may need to modify their “normal” sampling procedures. Getting to these hard to reach populations may require more time and money.

Generally, it is better to have a well-executed study with a smaller sample, than a less rigorous study with a larger sample. Besides the costs associated with larger samples, you must also factor in the costs of designing, drawing (selecting the respondents) and managing the sample. If examining various groups in the population is a priority, then it would be wise to allocate sufficient funds for a sample large enough (with an acceptable MOE) to allow for disaggregation of the data.

SECTION



Data Analysis and Presentation

Data analysis

External governance assessments tend to aim for a *single number* to explain the situation in a particular country. This desire for a *single number* is driven primarily by donors and some decision makers. Many decision makers like to keep things simple. Another reason for the single-number approach is the construction of many of the indicators used by the various parties. Many of these tools are indices that are composed of a variety of different types of data that do not lend themselves to providing detailed or disaggregated information.

Country-based assessment should attempt to provide a reasonable amount of detail in reporting results. It is often quoted that the “devil is in the details,” and understanding governance is no different. Governance, if defined broadly, includes a number of factors that interact with state and society across numerous societal arenas or sectors. Moreover, governance has different effects on people. For instance, research has found that governance affects women differently from men in many circumstances. It also affects certain economic groups differently. Therefore, if the data are available to provide detailed information, then that information should be available to those who are interested. While it is important to disaggregate, do not overlook aggregate findings and make sure to report them. Many researchers get excited when they discover differences, but often those differences are not as important as the similarities. Be sure to keep things in perspective when reporting the results. Statistical differences in the data may, or may not, reflect meaningful differences in the “real” world. Also remember that different actors use information differently. Some may want more aggregate results or summaries, while others with more specialized interests, will want more detail.

The best advice is to offer the most detailed results available for each indicator. The closer one gets to providing raw data to the public, the better. This high level of transparency is crucial for country-led assessments. The more accessible the raw data are, the higher the perceived credibility and legitimacy.¹ Thus, the assessments will be more useful to the interested stakeholders, whether internal or external, government or non-government.

Transparency and participation in the coding and data analysis processes are very important. Practicing the principles of democratic governance at this stage of the process will help avoid any possible politicization of the results. Many times data (both qualitative and quantitative) must be coded before they can be analyzed and the results reported. Coding is a mix of art and science, but in the end, it is mostly art. Deciding how to code information, or an answer to a survey question, is often a very subjective process. Wherever there is subjectivity, there is potential for error and bias (manipulation) in the reported results. This means that coding processes should be conducted in a professional, transparent manner. Often codes and coding procedures are developed by a group and the actual coding process checked for inter-coder reliability. Inter-coder reliability is the extent to which two or more coders agree on the coding of data. These data are usually qualitative, but in some cases the coding of responses can affect quantitative results.

¹ Of course any information that could personally identify a participant should be removed before the data are made available to the public.

Tools to analyze data

Quantitative data are usually analyzed with computer programmes. These can be a tool as easy to use as Microsoft Excel or the freely available alternative provided by Open Office. However, usually more sophisticated statistical analysis programmes such as SPSS, SAS, or Stata are used. The later programmes require training and can be quite expensive. Most universities have academics (often the younger generation) that have access to these statistical programmes and know how to use them. The levels of knowledge and experience with these programmes often vary considerably. Different departments or faculties often have different approaches to analyzing data, especially survey data. Statisticians may have the skills, but also may have strong feelings about the statistical assumptions that govern their discipline. This means that they may be reluctant to do more than provide simple descriptive results when working with survey data. Other social scientists, such as those in sociology or political science, are more likely to provide more options when it comes to data analysis, particularly because it is common practice in these disciplines to stretch the rules a bit to maximize the utility of the data collected. It should be pointed out that while “purists” sometimes restrict the level of analysis of some data, it is not a good idea to “push” data too hard. When looking for assistance, look for someone who has a proven track record.

Data analysis: best practices

There always exists a chance that an error may occur or in some cases that someone may manipulate the data in ways that influence the results. This can occur no matter what computer programme is used for analysis. This is another reason why the raw data must be publicly available. Often in the data analysis process routine decisions are made when recoding variables and performing various tests. In today's *point-and-click* world, many of these tasks have been automated. However, behind every point-and-click the data analysis programme is executing a mini-programme or set of commands that result in the desired effect. Therefore, all programming should be retained, so that it can be examined by the stakeholders involved in the governance assessment and others. Getting these relationships and procedures established at the beginning of the process will go a long way toward protecting credibility of the results and reducing opportunities for politicization or manipulation of the findings.

Data presentation

The upcoming section on communicating the results of a governance assessment provides ideas on different types of presentations available for different audiences. When presenting quantitative data, most audiences can easily become overwhelmed when presented with too many numbers. The best approach is to combine numbers with charts and graphs that many find easier to understand and less intimidating.

Many types of tools are available to create graphs, charts and tables. As mentioned, one of the most common and successful tools is Microsoft Excel or the shareware product developed by Open Office, available at <http://www.openoffice.org>. In addition, all of the previously mentioned statistical programmes can create simple charts and graphs that can be used to present overall, as well as disaggregated results for the poor, men and women, by region or for comparing urban and rural populations. Another product is DevInfo. This product is more difficult to use, but has some very nice features if you have data from a national survey of typical citizens spread across the country. It is available free at <http://www.devinfo.org>. This software was developed by UNICEF as ChildInfo. It has been adapted to help countries track progress on the Millennium Development Goals (MDGs) and other development issues. Training is offered in many locations around the world, and this programme allows the user to add the results of a governance assessment to demographic, geographic, economic and social data available from NSOs and other sources.

Stakeholders' role in the data analysis process

Meetings with the steering committee should be held at various stages in the data analysis process. These meetings are critically important for the assessment process. The meetings guarantee that government and non-government stakeholders are aware of the process and thus, have an opportunity to provide input into which findings will be included and how the information will be presented.

After the steering committee approves the data analysis process and preliminary results, it is a good idea to hold a larger meeting of stakeholders (similar to the one that was convened at the beginning of the process). This meeting expands the participation in the data analysis process and the approval of preliminary results. It also increases ownership and the legitimacy of the assessment process. Along with the results, the steps taken to assure transparency of the data analysis should be explained and approved. Of equal importance is to explain how the raw data will be made available to the public.

Conclusions, costs and benefits concerning data analysis

The case has been made strongly for transparency and participation in the data analysis phase of the assessment. It also is critical that the raw data be made available to the public. Publicly available data allows for independent analysis by NGOs, academics, the private sector and other interested parties. These data also provide a valuable learning opportunity for students around the world interested in governance. Participation in this step, like the others mentioned earlier, is the key to legitimacy. These steps ensure that democratic governance is being practiced in the assessment and that the results will be viewed by the larger public and other interested parties as professional and legitimate.

Analysis of the data is an area where adequate funding is very important. Like many other areas of the assessment process, local consultants will have to charge *national prices*, rather than *donor prices*. The key is to find qualified data analysis professionals who are committed to the spirit of the assessment and fully understand the goals of the project. It is important to remember that how one defines governance influences the framework and indicators that determine the type of results available.

SECTION 10

Communication and Dissemination of the Results

Once the results are approved, a plan should be developed to share them with the public and others. These efforts may include developing presentations, producing papers, launching a website, investing in stakeholder participation, consultations, promoting analyses and usage of data, public launching of results and other activities. The table below provides some ideas that may help communicate the results to various audiences. This very useful table is used with permission and taken from the 2nd edition of the IDEA State of Democracy Assessment Framework. It has been modified slightly for the purposes of this paper. Many projects typically build in approximately 10 percent of the overall budget for communication.

DECIDING ON DISSEMINATION PRODUCTS

PRODUCT	COST	CONTENT/FORMAT	MEDIUM	USERS
Full report, hard copy	Medium to high	Full assessment	Publication in the local in-country language/s and English	Government officials, politicians, the media, academics, donors, political activists, international organizations and some members of civil society
Full report, electronic copy	Low	Full assessment plus linkages and data archive	Webpage of the assessment or links to the mainweb site from the relevant participants	Elite Internet users, international interested parties and opinion formers
Executive summary/press release	Low	Aggregated executive summaries (all sections) with various individual indicators highlighted as warranted	Press conference	Government officials, academics, the media, politicians, political parties, international organizations, members of civil society and donors
Academic conference and conference documents	Medium	Full assessment as background paper, with presentations and papers from participants	Conference pack and section on the project web site	Academics, policymakers, journalists and students
Extracts by section (specialist interest)	Low to medium	Executive summaries and specific sections	Sector and interest specific journals and in-house magazines; specialists, various websites	Interest-specific, such as educators, health workers, media, local government officials
Extracts by section (popular issues)	Low	Derivative popular texts around current affairs	Popular press – magazines and newspapers, various websites	Literate, educated
Questionnaires, civic education summaries, class room kits	Medium	Cartoon, non-textual or basic language, video or audio	CBOs, churches, NGOs, schools, community centres, libraries, (“gate-keepers”)	General, including illiterate or poor
Interviews and features by radio and TV personnel	Low	Verbal and visual summaries	Radio and TV	General, including the illiterate and poor with access to radio and TV

SECTION 11

Comparing Approaches and Costs

Examples of what assessments cost

If countries are going to acquire more ownership of the assessment process, cost and long-term sustainability are critically important. While many different options are available, (some expensive and some not so expensive), no detailed information exists on the costs for different types of assessments. In an effort to provide some guidance in the area, this paper suggests three ranges: low, or less than US\$15,000; medium, or between US\$15,000 and US\$75,000; and high, more than US\$75,000 per assessment. Real examples are given, based on completed assessments. Of course, the final cost of any type of assessment can vary significantly, so the options outlined in each category should be used only as a guide. As more information on the real costs of conducting different types of assessments become available, the UNDP's Oslo Governance Centre will update this section of the guide.

Over the years, it has been possible to raise money for "one-off" governance assessments covering a variety of issues. Rarely do we find in-country-based projects where data have been collected regularly over a long period of time. There are exceptions, but not many. One such exception is the Research and Education for Democracy in Tanzania (REDET) project that began in 1992. It is based at the University of Dar es Salaam in Tanzania. This project continues today and has been primarily funded by DANIDA. The Afrobarometer, begun in 1999, has had three rounds. The most recent round was completed in 18 countries in 2006, and a fourth round is currently in the field in 19 countries in 2008. DIAL's 1-2-3 surveys (mentioned earlier), conducted in cooperation with national statistical offices have collected regular data on governance issues since 1990 in the capital cities of several countries in Africa and Latin America.

Identifying the major costs

It is evident from the previous sections of this guide that many factors contribute to the overall cost of conducting a governance assessment. Depending on the size of the group or groups participating and the scope of their participation, the costs associated with each step may increase or decrease. The following is a short list of major costs that can be expected.

- It starts with the organizing of the initial meetings of stakeholders
- Moves on to costs associated with the type of assessment chosen
- Type or types of data to be collected
- Mode of data collection,
- Selection and development of indicators
- Pilot testing of indicators
- Sampling
- Data entry and validation
- Data analysis
- Finally, communicating the results to the public.

This paper has attempted to shed light on which options are more or less expensive and to identify tradeoffs of choosing different approaches.

Lower-cost options

The Urban Governance Index is designed to be used in a city or town. The assessment began in 2002 and has since been conducted in more than 50 cities and towns around the world. The scope of the methodology is therefore quite limited, but can be very useful for assessing local governance. The questionnaire is circulated in advance, and the information is discussed and agreed upon by all stakeholders before being fed into the questionnaire. The UGI does not replace or substitute household surveys, citizen's report cards, statistical data or perception surveys. It is a fact-based tool that can complement the findings of all the above. The UGI is not expensive to undertake. It involves some technical capacity building for a partner organization (which can facilitate the exercise) and the organization of a one-or two-day meeting for selected stakeholder representatives. The average cost of this assessment is around US\$6000.

(<http://www.unhabitat.org/content.asp?typeid=19&catid=25&cid=2167>)

The World Governance Assessment (WGA) started at the United Nations University in 1999. It has operated as a project at the Overseas Development Institute in London since 2004. There have been two rounds of data collection in 27 countries. The WGA has a well-tested methodology for conducting governance assessments. It combines input from local stakeholders with an analysis of a tested set of governance indicators that are capable of producing interesting and relevant insights for activists, government, and other observers. These results have a variety of uses, including civic education and policy input.

Data are collected from a cross-section of well-informed persons from 10 key stakeholder groups in each country, using local country coordinators, who typically are academics, local researchers or consultants. In addition to collecting quantitative data these local coordinators also encourage informants to provide comments of a more qualitative nature. Along with these data, the local coordinators provide a narrative country report, similar to a desk study, along with possible explanations for the findings in their data. The typical sample size is around 80 key stakeholders in each country. The cost of conducting the WGA in a single country, including training, assistance with study management and communication is currently around US\$12,000.

(http://www.odi.org.uk/WGA_Governance/Index.html)

Medium-cost options

DIAL's 1-2-3 surveys. Développement et Insertion Internationale (DIAL) a French development NGO, works with NSOs to measure governance and democracy in the general public, using surveys. This multi-country activity aims at developing a routine official statistical tool that can considerably enhance monitoring and assessment of governance and democracy. It consists of the collection and analysis of data on governance, democracy and subjective poverty, through household surveys carried out by NSOs in francophone Africa and the Andean Community. Data are collected through the specific survey modules on democracy, governance and subjective poverty, which are attached to the questionnaire of the regular household surveys conducted by NSOs.

Thus, the results obtained include both objective indicators, such as absenteeism of public functionaries in different public services, incidence of corruption in various administrations, participation in previous elections and reasons for non-participation. It also includes subjective perceptions and opinions in areas such as the functioning, trustworthiness and shortcomings of government institutions and policies, as well as the most important problems facing the country.

One of the main strengths of this approach is the high level of disaggregation available. Direct policy implications are possible, for instance, when a particular single institution is identified as particularly prone to corruption. Because the modules are attached to surveys that provide rich socioeconomic information, all governance related phenomena can be disaggregated in relation to the incidence in poor/non-poor households, households with/without higher education, and households with a woman as household head, for example. This allows for a clearer picture of the vulnerability of different social classes.

The DIAL 1-2-3 governance module adds about 13 minutes to a typical household survey conducted by an NSO/CSO. This additional time should not be too expensive. Obviously, costs will vary from country to country, based on the sample size of the survey, the coverage, size of the country, and infrastructure. Generally, the most expensive elements of a household survey are the sampling, making contact with the selected household and then with the selected respondent in that household. The marginal cost of adding about 100 governance questions to an existing household survey is quite reasonable in the DIAL 1-2-3 approach. In Peru, the DIAL governance module was added on to an existing survey of approximately 20,000 households for a cost of approximately US\$60,000.

(<http://www.dial.prd.fr/>)

EXAMPLE OF COST, APPLYING THE DIAL GOVERNANCE MODULE

Information on total costs includes equipment, training, wages, services, data entry and consistency analysis for the DIAL governance module applied in Peru in 2004. The Peruvian sample size is relatively large with respect to other experiences in Africa or Madagascar where sample sizes usually are around 3000 households.

- Planned sample: 20,000
- Final sample size : 19,673
- Unit cost: US\$ 3.53
- Total cost: US\$ 52,990

Source: DIAL

Higher-cost options

Democratic governance assessment in Mongolia. Beginning in 2003, the government of Mongolia with assistance from the UNDP embarked on a process of conducting a democratic governance assessment as part of strengthening democracy in the country. The assessment was a full-scale and comprehensive process that included consultations with civil society, country-contextualization of methodology, capacity development of local research institutions and political institutionalization of governance indicators. Approximately 130 indicators were developed, including a set of “satellite” indicators designed to capture the local context. The first round of results, *Democratic Governance Indicators: Assessing the State of Governance in Mongolia*, was published by the Government of Mongolia and UNDP in 2006.

While more costly, many stakeholders agreed that the higher costs involved in undertaking such a comprehensive process were justified. The cost of the first round was quite high, but the second round was considerably less expensive. The current approach relies on the NSO conducting the household surveys with a reduced number of governance indicators (25), with costs falling into the medium range discussed above in the DIAL example. Today, democratic governance assessment forms part of the parliamentary monitoring mechanisms of Mongolia’s MDG9 (Strengthen Human Rights and Foster Democratic Governance) and has had a real impact on democratization in Mongolia. The financial accounting below sets the standard for transparency and accountability concerning the use of funds.

The first project period from June 2004 to March 2006, was a follow-up project to the Fifth International Conference of New and Restored Democracies (ICRND), carried a total price tag of US\$530,300 and had multiple donors, of which USAID was the most important. The budget was divided into eight outputs:

- \$135,621 was allocated to **build consensus on the avenues of strengthening the ICNRD follow-up mechanisms and processes**, and on implementation and monitoring strategies for the Ulaanbaatar Declaration and Plan of Action, as well as international sharing of Mongolia's experience in democratic governance building and its national ICNRD5 follow-up action plan. Costs here were mostly related to communication, communication material and international travel.
- \$32,000 was allocated to on-going **democratic governance programme. Reviews and consultations** were held to identify the gaps and missing links to develop a Mongolia national action plan. Costs here were mostly related to research and studies.
- \$56,800 was allocated to design and implement a **pilot project on democratic governance indicators**, with technical advice from UNDP, its Bureau of Development Policy (BDP), and its Oslo Governance Centre (OGC). Here most of the costs were related to subcontracting national research institutions and secondly on audio-visual productions used in consultations.
- \$70,767 were allocated to design and implement a **broadly consultative and participatory activity** for the preparation of the Country Information Note, which was based on the guidelines developed with UNDP/BDP support and drawing from work on democratic governance indicators. Most costs here were allocated to transportation and daily allowances of participants, but also \$10,000 was spent on studies and research.
- \$6,050 was allocated to **website maintenance**.
- \$155,660 was allocated to **develop the capacity of government, including parliamentary strengthening**. Most costs were allocated to international consultants, but they also covered salaries of several local staff and office operational costs such as stationery.
- \$28,679 was allocated to **dissemination of the results**.
- Finally, \$15,009 was allocated to providing **professional services** such as auditing.

The second phase of the project (2007-2008) aimed to strengthen democratic processes through participatory democracy assessment and MDG9, using a set of institutionalized democratic governance indicators designed to improve policy and practice. Similar to the first phase, democratic governance indicators formed a means, rather than an end, which accounts for some of the greater costs compared with assessments that are more stand-alone and less embedded in a long-term political process. The implementing agency was the Institute of Philosophy, Sociology and Law at the Mongolian Academy of Science, a local research institute.

This second phase was funded by the United Nations Democracy Fund (UNDEF) and carried a total price tag of US\$238,350. The budget was divided into 4 outputs:

- \$120,000 was allocated to **streamline democratic governance indicators** and develop a set of specific target indicators to assess democracy and MDG9 and obtain approval by the Government. Of this sum \$44,000 was allocated to research produced by national consultants, \$18,500 to an international consultant, \$12,000 to consultations and \$17,000 to training of local researchers and participation in international conferences.

- \$15,000 was allocated for **government interventions for achieving MDG9 defined**. Costs here relate to analysis and policy recommendations by national consultants on ongoing and future MDG9 interventions and their relevance to MDGs 1 through 8 as well as consultations on interventions.
- \$44,000 was allocated for **designing, implementing and institutionalizing an independent monitoring and reporting system on the implementation of MDG9**. Costs here include setting up an oversight and reporting body comprised of government representatives, preparation of a MDG9 chapter in the statistical yearbook by the NSO and assistance in preparation of the national MDG report published in 2007.
- Finally, \$28,000 was allocated for **facilitation of a nationwide dialogue on MDG9-related issues and a strengthening of national advocacy capacity**. Costs here relate to securing participation and materials.

As mentioned above, the UNDP Oslo Governance Centre will continue to collect more detailed information on the costs of country-led governance of assessments and update this section as the information becomes available. Country-led assessments should keep detailed information on costs and make this information public, thereby increasing transparency and legitimacy.

Overview of selected governance assessments

The table below provides information on existing governance assessments. As more information becomes available through UNDP, this portion of the guide will be updated.

OVERVIEW OF GOVERNANCE ASSESSMENT FRAMEWORKS FOR COUNTRY-LED ASSESSMENTS

ORGANIZATION	BROAD OR NARROW DEFINITION	COVERAGE	STAKEHOLDER PARTICIPATION	COST	DE JURE, DE FACTO, OR BOTH	DATA SOURCE(S)	TYPE OF DATA COLLECTED
Afrobarometer	Broad, 100 indicators covering governance and democracy	18 countries	Moderate, some country specific questions	Moderate	Primarily <i>de facto</i>	Typical citizen surveys conducted by independent research organizations	Primarily quantitative data from structured questionnaires
The DIAL 1-2-3	Broad, 100 indicators covering governance and democracy	Urban areas of 10 countries in sub-Saharan Africa and Latin America	Limited to the NSOs	Moderate	Primarily <i>de facto</i>	Survey of typical citizens, both objective and subjective indicators	Primarily quantitative from structured questionnaires

OVERVIEW OF GOVERNANCE ASSESSMENT FRAMEWORKS FOR COUNTRY-LED ASSESSMENTS (CONTINUED)

ORGANIZATION	BROAD OR NARROW DEFINITION	COVERAGE	STAKEHOLDER PARTICIPATION	COST	DE JURE, DE FACTO, OR BOTH	DATA SOURCE(S)	TYPE OF DATA COLLECTED
Mongolia Governance Project	Broad, uses IDEA framework 131 indicators	Case study, 1 country	High	High	<i>De facto and de jure</i>	Desk study and surveys of key stakeholders and typical citizens	Perception and objective data. Qualitative and quantitative
National Integrity Systems (NIS) produced by Transparency International	Broad, up to 300 indicators	8 countries	Moderate	Moderate varies	<i>De facto and de jure</i>	Index	Varies depending on the source-reported events, experts, business surveys. Qualitative, narrative and quantitative
Transparency International CPI	Narrow, focuses mostly on public sector corruption	180 countries	None or very limited	Unknown	<i>De facto and de jure</i>	Index, uses data collected by other organizations. The number of sources varies widely	Qualitative – objective and subjective
Urban Governance Index	Broad, 25 indicators		Moderate	Low	Mostly <i>de facto</i>	Questionnaires and output of one- to two-day meetings of stakeholders	Quantitative and qualitative perception-based data, as well as a desk study
World Governance Assessment	Broad, 42 indicators	23 countries	Low to moderate	Low	<i>De facto</i>	Scale, survey of key stakeholders from 10 groups	Quantitative and qualitative perception-based data, as well as a desk study
World Bank Institute	Broad, 6 sectors examined	212 countries	None or very limited	Unknown	<i>De facto and de jure</i>	Index, uses data collected by other organizations. The number of sources varies widely	Varies depending on source – reported events, experts, and business surveys. Qualitative, narrative and quantitative



SECTION 12

Conclusion

Governance matters in country-led assessments!

It is critical to practice democratic governance in all phases of the assessment process: planning, conducting the assessment, analyzing the data, and reporting of the results. Clearly, the practice of governance principles, such as accountability, transparency, fairness, participation and efficiency, are essential. If any of these principles are missing from the process, the assessment will not be credible and will lack legitimacy. This section begins with a discussion of the how the practice of democratic governance matters to a country-led governance assessment. This is followed by an attempt to set funding priorities. Finally, we review the major steps in the assessment process and some final advice.

- **Accountability:** for a successful outcome, the group conducting the assessment must demonstrate high levels of accountability. If questions arise, as they certainly will, the members of the stakeholder groups must be ready and available to answer and discuss any of these questions. The data collection group, in the case of a survey, or the experts who conduct a desk study, also must be available to answer questions.
- **Transparency:** development of the indicators, sampling, study management and data analysis must be totally transparent. The budget, questionnaires and the raw data should be made available to the public. As mentioned throughout this guide, credibility and legitimacy in this type of work hinges on transparency.
- **Fairness:** how governance impacts various groups should be included in the project. While it may not be possible to examine each group in society, every effort must be made to determine the impact of governance issues on as many groups as possible. Giving voice to overlooked and vulnerable groups is fundamental to the practice of democratic governance
- **Efficiency:** projects must be efficient to ensure sustainability. We all know that research of any type costs money. Over the years, consultants working on governance, democracy and other issues have been paid considerable sums for their research. All over the world, externally based consultants cost more than local researchers. Research carried out by government, civil society and universities is generally less expensive and often of equal or higher quality. Governance matters and will continue to matter for the foreseeable future. To this end, country-led assessment must be affordable.
- **Participation:** in a perfect world all interested stakeholders should participate in the assessment process, especially at the beginning and end of the assessment process. But in reality, some interested parties may not be asked to participate, or may not choose to participate, and the ratio of government to non-government stakeholders will likely vary. A steering committee should be formed consisting of government and non-government representatives to guide this process. Clearly, even when government stakeholders outnumber non-government stakeholders, the fact these two groups are working together is a real step forward.

The practice of democratic governance within the assessment process will lead to legitimacy and acceptance by civil society, the general public, the government and external actors such as bilateral and multilateral donors. In addition, the assessment process must be conducted in a professionally, as stressed throughout this guide. If these conditions can be met, country-led assessments have the potential to mainstream governance into national development plans and to raise civic consciousness concerning governance and its role in democracy and development. Below is a review of the key steps in the assessment process.

Funding priorities

Throughout this paper, discussions have been included concerning the costs and benefits of various approaches. Now comes the tough part: trying to give advice on how to prioritize where you should direct your financial resources. Here is an attempt.

1. The first area is who participates. At the very least you need to have government and non-government stakeholders working together, especially if the national statistical offices are involved in collecting data. As mentioned above, this is a project undertaken for the good of the nation and its citizens. Therefore, it would be wise to consider only reimbursing participants for direct expenses. Think carefully about whether the assessment should have a high level of participation by a large group, or a more limited level of participation.
2. *De jure* indicators are often less expensive, but it is the *de facto* or practice of governance that impacts most people's lives.
3. Do not skimp on cleaning and validating the data.
4. Make sure you keep at least 10 percent of your budget for communication of the results.
5. Invest in measurement.

The key steps to a successful governance assessment

- **Participation:**
 - A governance assessment is a political exercise, and therefore one that requires broad participation
 - Hold an open meeting of all stakeholders interested in participating in a country-led governance assessment
 - Select a steering committee made up of government and non-government stakeholders. The steering committee should participate in each step of the process to ensure credibility and legitimacy
 - This type of activity requires a high level of commitment and someone to take responsibility, and therefore an executive director is necessary
 - To have a successful assessment, the steering committee members and their leader must be ready to work hard for the good of their country, rather than for personal gain or notoriety. The executive director should benefit from the necessary political support and have adequate staff
- **Choosing the type of assessment**
 - Pick an assessment type that meets specific needs and purpose, whether to raise civic consciousness, monitor and evaluate ongoing efforts to improve governance, set the political or policy agenda, advocate policy change, or conduct an evaluation
 - Think of the feasibility of the type of assessment in terms of human and financial resources
 - Combine a desk study that is designed to document the *de jure* state of governance combined with a *de facto* survey of key stakeholders and typical citizens to provide the most complete coverage
- **Choosing the sources of data**
 - Look for data sources that provide *de facto* and *de jure* information
 - Examine the quality of the data sources
 - Conduct a data mapping of the existing government and non-government data
 - Mix qualitative and quantitative data when possible

- **Choosing the type or types of indicators (existing and new)**
 - Try to cover both the *de facto* and *de jure* governance situation
 - Try to have a mix of objective, events-based and perception-based indicators
 - Make sure to invest in new indicators to fill in gaps not covered by existing indicators. Then be sure to test these in terms of reliability and validity
 - Use proxy indicators when you can not measure something directly or if the cost of direct measurement is too high
 - Do not “re-invent the wheel” by developing new indicators, if existing ones are available
- **Choosing the appropriate sampling strategy if you are going to collect data using a survey**
 - Make sure your sample is big enough to allow disaggregation of the data
 - Use probability-based (random) sampling where possible
- **Think about how you will present the results first, not as an afterthought**
 - The earlier steps outlined above directly impact the type of results you will be able to report and share
 - Make sure you match the presentation of the results with the audience.
- **Make sure the entire process is transparent and also practices the principles of democratic governance, such as accountability, efficiency, fairness and participation**
 - Make the raw data available to the public
 - Make all project documents, including the budget, coding of the data, and minutes from all meetings publicly available
- **Remember, it is better to start with a smaller more professional assessment than to aim too high and sacrifice quality**

The steps outlined above are dependent, to one degree or another, on some or all of the other steps. They all depend on the financial and human resources available. While money is very important, human resources are also critical for a successful assessment. Prices and quality of work vary considerably from country to country and within countries. Countries whose governments are interested in pursuing an assessment, and are willing to include a diverse group of non-government stakeholders, should be able to secure funding and technical assistance. Broad participation and the presentation of a feasible research plan will increase the chances for external funding and success. Once successful, it should be possible to expand the scope of the assessment. Feasibility is the key to sustainability. Sustainability will maximize the impact of a country-led governance assessment in terms of development, policy and civic education.

KEY RESOURCES AND LINKS

Publications

Government of Mongolia and UNDP, *Democratic Governance Indicators: Assessing the State of Governance in Mongolia*
<http://www.undp.org/oslocentre/docs07/DGI-Mongolia.pdf>

International IDEA's Democracy Assessment Framework
<http://www.idea.int/democracy/index.cfm>

National Academy of Sciences, *Improving Democracy Assistance: Building Knowledge through Evaluations and Research*, 2008
(www.nap.edu/catalog/12164.html)

Netherlands Institute of International Relations, *Framework for Strategic Governance and Corruption Analysis*, October 2007.

Transparency International Zimbabwe, *A Comparative Study of National Integrity Systems in Five Southern African Countries*, 2007.

UNDP, *Governance Indicators Users' Guide*
http://www.undp.org/oslocentre/docs07/undp_users_guide_online_version.pdf

UNDP, *Framework for Selecting Pro-Poor and Gender-Sensitive Governance Indicators*
<http://www.undp.org/oslocentre/docs06/Framework%20paper%20-%20entire%20paper.pdf>

UNDP, *Framework for Piloting the Development of Pro-Poor and Gender-Sensitive Governance Indicators for Policy Reform*
<http://www.undp.org/oslocentre/docs06/Framework%20for%20piloting.pdf>

UNDP and Christian Michelson Institute, *Governance Assessments: Opportunities for Inclusive Participation and National Ownership*, September 2007.

USAID, *Handbook Of Democracy And Governance Program Indicators*
http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pnacc390.pdf

USAID Centre for Democracy and Governance, *Conducting a DG Assessment: A Framework for Strategy Development*, November 2000.

Vera Institute of Justice, *Global Guide to Performance Indicators*
<http://www.vera.org/>

Websites

International Household Survey Network
<http://www.internationalsurveynetwork.org/home/>

UNDP Democratic Governance Assessments
http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html

Global Programme on Capacity Development for Democratic Governance Assessments and Measurements
http://www.undp.org/oslocentre/flagship/democratic_governance_assessments.html

United Nations Democracy Fund (UNDEF)
<http://www.un.org/democracyfund/>

Democratic Governance Thematic Trust Fund (DGTTF)
<http://www.undp.org/governance/ttf.htm>

Centers for Disease Control and Prevention
<http://www.cdc.gov>

Survey Gizmo
<http://www.surveygizmo.com>

Survey Monkey
<http://www.surveymonkey.com>



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