

Annex I

Guidance Note

Experiences, good practices and challenges in measuring corruption and the effectiveness of anti-corruption frameworks

Measuring corruption and the effectiveness of anti-corruption frameworks can enhance our understanding of its causes, risks, consequences, and trends. It allows for the identification of gaps and weaknesses in legal and institutional frameworks and the monitoring and evaluation of the effectiveness of anti-corruption policies and actions and can thereby inform domestic policy responses.

Due to the hidden and often complex nature of corruption, measuring it poses various challenges. In addition to requiring financial and technical capacity to gather and analyse data, any measurement approaches need to take into account the specificities of geographic, sectoral and legal contexts.

In resolution 10/4, the Conference of the States Parties requests the United Nations Office on Drugs and Crime to collect information on good practices, lessons learned and challenges in measuring corruption and to collect data on methodologies and indicators for measuring corruption risks, trends and prevalence, as well as for assessing the effectiveness of their policies and actual measures to combat corruption.

Part 1 of this Annex contains dedicated questions regarding measuring the effectiveness of anti-corruption frameworks. In this respect, reference is made to the document “Good practices, lessons learned and challenges in periodically evaluating the efficiency and the effectivity of anti-corruption measures and policies” (CAC/COSP/WG.4/2023/2), which contains an analysis of the information submitted by 38 parties to the Convention and was presented to the 14th session of the Working Group in 2023. Parties are invited to send additional information regarding measuring the effectiveness of anti-corruption frameworks and may wish to consider using the questionnaire contained below.

Part 2 of the below questionnaire contains questions on the measurement of corruption.

The answers to the questionnaire will flow into an analytical paper to inform the discussions of the 15th session of the Working Group on Prevention. In addition, unless otherwise requested, the responses will be published as part of the creation of a repository of methodologies and indicators for measuring corruption risks, trends and prevalence in line with paragraph 8 of resolution 10/4.

Part 1 – National experiences with assessing the effectiveness of anti-corruption frameworks

1. Does your country have any mechanisms in place to assess the effectiveness of its legislative and/or institutional anti-corruption framework? Please briefly summarize the methodology, scope and frequency of the process as well as any specific tools your country uses.

2. Please describe the institutional setup for assessing the effectiveness of the anti-corruption framework. Which institutions are involved in the assessment? Is there a mechanism for interagency

cooperation in assessing the effectiveness of the anti-corruption framework? Does your country engage with academia, civil society and the private sector throughout these processes?

3. If your country uses indicators to assess the effectiveness of its anti-corruption framework, please describe the indicators as well as the data sources used.

4. Please summarize any findings of the effectiveness assessment. If several exercises have been conducted, have any trends been identified?

5. How does your institution or country use the results of the assessments to inform policy-making? Has your country amended its anti-corruption framework in response to the outcomes of the effectiveness assessments?

6. Which challenges has your country encountered in assessing the effectiveness of anti-corruption frameworks, and which steps have been taken to overcome them?

7. Which good practices could your country share regarding the measurement the effectiveness of anti-corruption frameworks that could benefit other States?

8. Has your country been guided by any international efforts aimed at improving or assessing the effectiveness of anti-corruption frameworks (e.g., peer review mechanisms, methodologies provided by international organizations)? If not, are there any tools or measures by international organizations that you would consider helpful in this regard (e.g., guidance on data collection, provision of tools, stronger focus on effectiveness in peer reviews)?

9. Please insert any information you would like to add, such as descriptions of indicators or links to sources or reports.

Part 2 - National experiences with corruption measurement

A. Existing national or sub-national mechanisms to measure corruption and/or the effectiveness of anti-corruption frameworks

1. Does your country have any mechanisms in place to quantify or measure corruption? Please briefly summarize the methodology and scope (e.g. national, regional, sectoral) and frequency of the measurement process.

2. Please summarize any findings of the measurement exercises. If several exercises have been conducted, have any trends been identified?

3. Which institutions are involved in the measurement efforts (*e.g. Ministry/ies, Anti-Corruption Agency, Civil Service Commission, Ethics Commission, National Statistical Office, Supreme Audit Institution, procurement authority, tax authority, law enforcement authority*)? Is there a mechanism for interagency cooperation in measuring corruption?

4. Does your country engage with academia, civil society and the private sector in measuring corruption?

5. Which challenges has your country encountered in measuring corruption and which steps have been taken to overcome them? *E.g. Lack of resources, lack of methodological guidance, lack of technical capacity, lack of credibility of data, lack of legislation and procedures in place, multiplicity of data collection approaches, multiplicity of data sources and formats*

6. Which good practices could your country share regarding the measurement of corruption that could benefit other States?

B. Specific areas of corruption, indicators and sources

1. Which types of corruption does your country measure and which specific indicators does your country use to assess the level of corruption?

Please tick or describe the indicators your country uses to measure corruption.

| | Direct measures (e.g. prevalence of corruption collected through surveys) | Perception (among general population or selected groups collected through surveys) | Risk constraints (factors that deter corruption, e.g. use of e-governance) | Risks Opportunities (Factors that enable corruption; e.g. little oversight) | Legislative response (<i>de jure</i> ; e.g. law in place) | (Criminal) Justice response (<i>de facto</i> ; e.g. arrests, convictions for corruption offences) |
|-------------------------------|--|---|---|---|---|--|
| Bribery | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Embezzlement/misappropriation | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Money-laundering | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Illicit enrichment | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Abuse of functions | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Public hiring based on merit | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |

| | Direct measures (e.g. prevalence of corruption collected through surveys) | Perception (among general population or selected groups collected through surveys) | Risk constraints (factors that deter corruption, e.g. use of e-governance) | Risks Opportunities (Factors that enable corruption; e.g. little oversight) | Legislative response (<i>de jure</i> ; e.g. law in place) | (Criminal) Justice response (<i>de facto</i> ; e.g. arrests, convictions for corruption offences) |
|---|---|---|---|---|---|--|
| Independence and integrity of the judiciary | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Conflict of interest | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Management of Public finances | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Public procurement | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Candidature for and election to public office | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Preventive measures for the private sector | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Preventive measures for state-owned enterprises | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Training programmes | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |

| | Direct measures (e.g. prevalence of corruption collected through surveys) | Perception (among general population or selected groups collected through surveys) | Risk constraints (factors that deter corruption, e.g. use of e-governance) | Risks Opportunities (Factors that enable corruption; e.g. little oversight) | Legislative response (<i>de jure</i> ; e.g. law in place) | (Criminal) Justice response (<i>de facto</i> ; e.g. arrests, convictions for corruption offences) |
|--|---|---|---|---|---|--|
| Resources allocated to fight corruption | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Public reporting and access to information | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Protection of reporting persons | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Other: Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Other: Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Other: Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Other: Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |
| Other: Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. | Yes <input type="checkbox"/> No <input type="checkbox"/> Click or tap here to enter text. |

Please insert any information you would like to add, such as descriptions of indicators or links to sources or reports.

2. Which methods and data sources does your country use to measure corruption?

- Population surveys
- Business surveys
- Public official surveys
- Administrative records
- Procurement data
- Banking data
- Criminal justice records
- Other:

C. Data collection and use

1. How does your country ensure the validity and integrity of the data collected on corruption?

2. Are policies or mechanisms in place to

- Discuss and agree on data objectives, priorities and scope between relevant stakeholders
- Collect data to measure corruption systematically
- Collect data disaggregated by
 - sex
 - age
- Validate the accuracy and impartiality of the data collected to measure corruption
- Facilitate data sharing across institutions
- Integrate data from different sources
- Ensure easy access to data
- Release information on the measurement of corruption on regular basis (monthly, yearly)

3. Which technological tools or systems are employed by your country in the collection and analysis of relevant data?

4. How does your country utilize the data on corruption to inform policy-making and anti-corruption strategies?

5. Has your country participated in any international efforts or collaborations aimed at improving the measurement of corruption? If not, which efforts would you find helpful to inform your national measurement work?

6. If your country does not currently measure corruption, can you indicate why? Would any international efforts, e.g., those by international organizations, be helpful to inform national efforts in this regard? Which tools, support or other measures would you consider helpful?