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MANUAL ON CORRUPTION SURVEYS

Methodological guidelines on the measurement of bribery and other forms of corruption through sample surveys

2018

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Center of Excellence in
STATISTICAL INFORMATION ON GOVERNMENT, CRIME, VICTIMIZATION AND JUSTICE

UNITED NATIONS OFFICE ON DRUGS AND CRIME
Vienna

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PREFACE

Corruption represents a severe impediment to sustainable development. The cost of corruption is greater than merely the diversion of resources from their rightful purpose – corruption corrodes the social fabric of society, weakens the rule of law, undermines trust in the government, erodes people's quality of life and creates a conducive environment for organized crime, terrorism and violent extremism to flourish.

The adoption of the 2030 Agenda for Sustainable Development was a major breakthrough, with Member States explicitly recognizing the importance of promoting transparency, accountability and integrity for sustainable development. Sustainable Development Goal 16 and its targets on reducing corruption; developing effective, accountable and transparent institutions; ensuring responsive, inclusive, participatory and representative decision-making; and strengthening access to information, are not only valuable and important aspirations in their own rights to build just, peaceful and inclusive societies, they are also important conditions for the successful achievement of all the Sustainable Development Goals.

The year 2018 marks the 15th anniversary of the adoption of the United Nations Convention Against Corruption (UNCAC). In this time, the Convention has reached near-universal ratification, with 186 Parties as of September 2018. UNCAC is the sole global comprehensive anti-corruption convention, covering a wide-range of corruption offences and providing international standards to Member States to guide reforms.

Despite this important progress, the prevalence of corruption remains substantial in many countries; and tackling and preventing corruption has proven to be a complex challenge. There exists a significant knowledge gap in understanding and measuring corruption. Corruption affects and interacts with numerous political, economic, social and cultural factors: its multi-faceted and hidden nature makes it a complex problem to measure.

Given the lack of internationally-established methodologies or standards in measuring Sustainable Development Goal indicators 16.5.1 and 16.5.2, few Member States have collected data on corruption indicators in the 2030 Agenda. Many have sought guidance and standard methodologies to support their efforts.

The *Manual on Corruption Surveys: Methodological guidelines on the measurement of bribery and other forms of corruption through sample surveys* seeks to address this gap.

The Manual has been developed by the United Nations Office on Drugs and Crime in partnership with the United Nations Development Programme. By providing comprehensive guidance on measuring corruption, from the planning stage to the analysis and dissemination of results, this Manual can support evidence-based policymaking and inform the design and evaluation of policy reforms in addressing corruption risks.

We encourage Member States, donor partners, civil society organizations, academia and all stakeholders to make use of this Manual to monitor progress in the fight against corruption and achieve the Sustainable Development Goals for everyone, everywhere.

Yury Fedotov
Executive Director
United Nations Office on Drugs and Crime

Achim Steiner
Administrator
United Nations Development Programme

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GLOSSARY

Active bribery of national public officials – The promise, offering or giving, to a public official, directly or indirectly, of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties. [1]

Computer Aided Web Interviewing (CAWI) – A survey interview in which respondents compile the survey questionnaire online by using a personal username and password.

Computer Assisted Personal Interviewing (CAPI) – A face-to-face survey interview in which the interviewer records the answers on a computer (instead of using paper and pencil).

Computer Assisted Telephone Interviewing (CATI) – A survey interview conducted by telephone in which the interviewer enters the answers directly into a computer.

Informal sector – The set of unincorporated enterprises owned by households which produce at least some products for the market but which either have less than a specified number of employees and/or are not registered under national legislation.[2]

Passive bribery of national public officials – The solicitation or acceptance by a public official, directly or indirectly, of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties.[3]

Pencil and Paper Interviewing (PAPI) – A face-to-face survey interview in which the interviewer writes the answers on a paper questionnaire.

Private sector – This sector broadly refers to the business enterprise sector, which includes all firms, organizations and institutions whose primary activity is the market production of goods or services (other than higher education) for sale to the general public at an economically significant price, as well as the private non-profit institutes mainly serving them.[4]

Public official – Any person holding a legislative, executive, administrative or judicial office of a State Party, whether appointed or elected, whether permanent or temporary, whether paid or unpaid, irrespective of that person's seniority; any other person who performs a public function, including for a public agency or public enterprise, or provides a public service, as defined in the domestic law of the State Party and as applied in the pertinent area of law of that State Party; any other person defined as a "public official" in the domestic law of a State Party.[5]

Public sector – The general government sector plus all public corporations including the central bank.[6]

[1] Article 15, United Nations Convention against Corruption (UNCAC) (United Nations, New York, 2004). Available at www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf.

[2] International Labour Organization (ILO), Resolutions Concerning Statistics of Employment in the Informal Sector Adopted by the 15th International Conference of Labour Statisticians, para. 5 (1993).

[3] Article 15, UNCAC.

[4] The Organisation for Economic Co-operation and Development (OECD), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development* (Paris, 2002).

[5] Article 2, UNCAC.

[6] OECD, *Measuring Public Employment in OECD Countries: Sources, Methods and Results* (Paris, 1997).

Sector – A general term used to describe a group of establishments engaged in similar kinds of economic activity. A sector can be a subgroup of an economic activity – as in "coal mining sector" – or a group of economic activities – as in "service sector" – or a cross-section of a group of economic activities – as in "informal sector".[7]

[7] ILO, International Monetary Fund (IMF), OECD, Eurostat, United Nations Economic Commission for Europe (UNECE), World Bank, *Producer Price Index Manual: Theory and Practice*, (IMF, Washington D.C., 2004).

HOW TO USE THIS MANUAL

The main purpose of the *Manual on Corruption Surveys* is to provide countries with methodological and operational guidelines for developing and implementing sample surveys, both among the population and among businesses, in order to measure the prevalence of bribery[8] at national level and to collect other relevant information on corruption. A particular goal of this Manual is to support countries' measurement of their progress towards achieving Sustainable Development Goal 16 target 5: "Substantially reduce corruption and bribery in all their forms". In highlighting the value of producing experience-based statistical information on corruption, the advantages and disadvantages of different approaches to measuring bribery and other forms of corruption are also illustrated.

Intended as a tool for those wishing to understand and analyse corruption in a scientific manner, the *Manual on Corruption Surveys* is primarily targeted at national statistical agencies, anti-corruption bodies, relevant national institutions, research centres, non-governmental organizations and private sector entities. The Manual does not cover general methodological issues related to sample surveys, for which various technical instruments and standards have been produced by the international community for decades.[9] Instead, the information contained within is aimed at guiding national authorities interested in conducting sample surveys on corruption, from the planning stage to the analysis and dissemination of results.

In this Manual, the term "corruption" is used when reference is made to the acquisition/use of information on a number of relevant topics for the purpose of monitoring/analysing corruption in general terms. The term "bribery" is used when reference is made to the measurement of this specific form of corruption, for which an established and experience-based methodology is described.

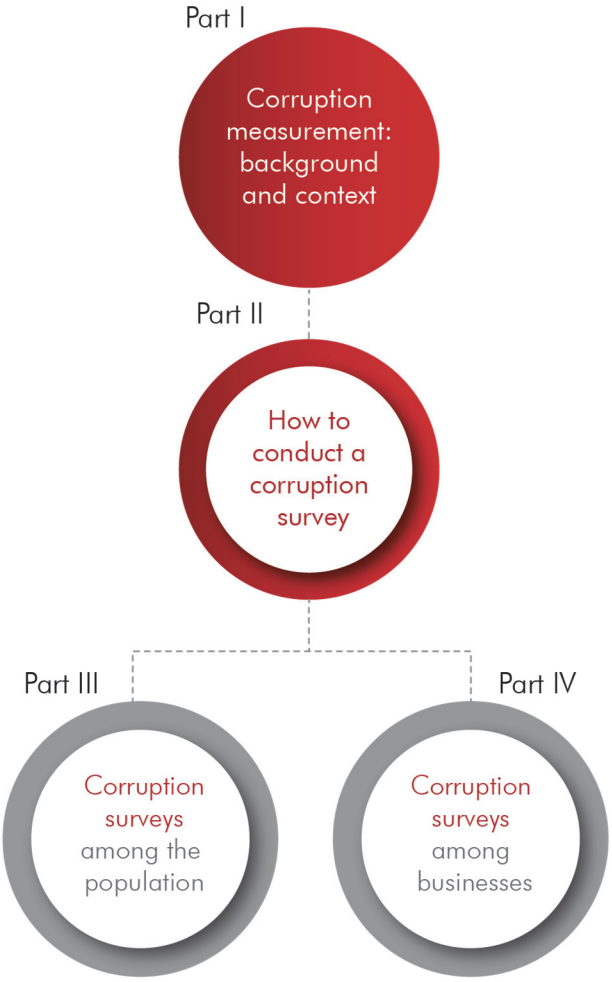
Specific methodological issues of sample surveys on bribery as experienced by the population are discussed separately from those on bribery as experienced by the business sector. In addition, guidelines are provided on how to investigate a number of aspects related to bribery (such as the mechanism of bribery, the sectors and officials affected, and reporting bribery to authorities) that can assist in understanding corruption for the purpose of strengthening the fight against it.

Designed to be applicable and practical for users conducting corruption surveys among the general population, as well as for users conducting corruption surveys among businesses, this Manual is split into four parts:

[8] The definitions of bribery of national public officials, bribery of foreign public officials and officials of international organizations and bribery in the private sector are contained in articles 15, 16 and 21 of the United Nations Convention against Corruption (UNCAC). These provisions are also the basis for the definition of bribery in the International Classification of Crime for Statistical Purposes (ICCS), where bribery is defined as: "Promising, offering, giving, soliciting, or accepting an undue advantage to or from a public official or a person who directs or works in a private–- sector entity, directly or indirectly, in order that the person act or refrain from acting in the exercise of his or her official duties".

[9] See annex IV of this Manual for a list of international methodological guidelines on sample surveys.

Figure 1: Structure of the Manual on Corruption Surveys



PART I provides an introduction to the measurement of corruption, in which the international monitoring framework on corruption, and how measuring corruption relates to the 2030 Agenda for Sustainable Development, are presented. The challenges associated with measuring corruption are also described, as are the benefits of using sample surveys.

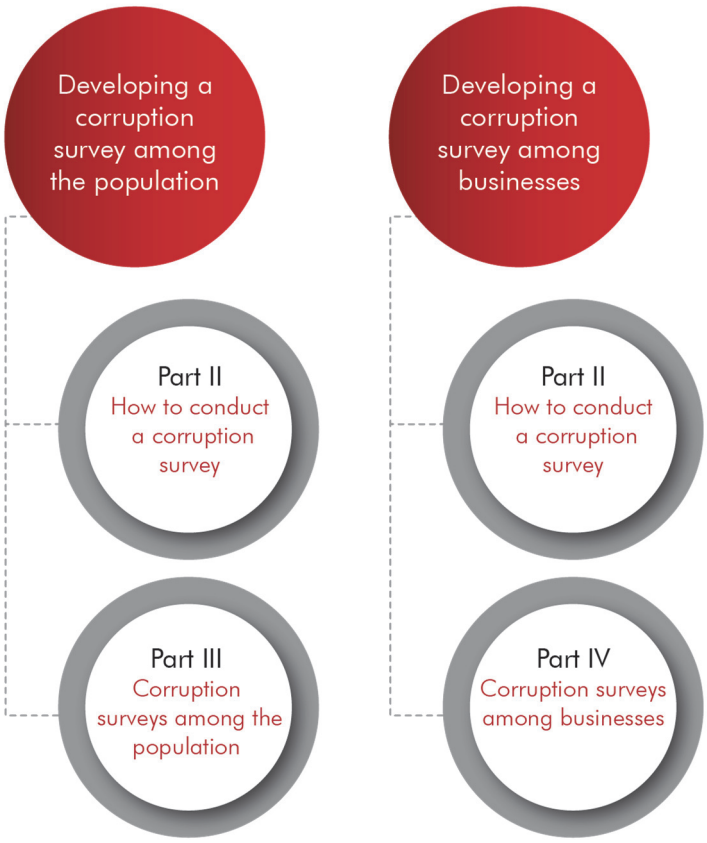
PART II outlines the general methodology for conducting corruption surveys, which can be applied to any target population. Relevant to users interested in conducting surveys, either among the general population or among businesses, this section presents concrete and technical steps required for the development and implementation of corruption surveys.

PART III presents methodological guidelines specific to corruption surveys among the general population. Specific survey objectives related to measuring corruption among the population are introduced, as are issues related to sampling and data collection, design of the questionnaire and key topics to address in a corruption survey among the population. Users interested in measuring corruption through sample surveys among the general population should follow the guidelines provided in Parts II and III.

PART IV presents methodological guidelines specific to corruption surveys among businesses. Specific survey objectives related to measuring corruption among businesses are introduced, as are issues related to sampling and data collection, design of the questionnaire and key topics to address in a

corruption survey targeted at businesses. Users interested in measuring corruption through sample surveys among businesses should follow the guidelines provided in Parts II and IV.

Figure 2: Pathways for using the Manual on Corruption Surveys



1

CORRUPTION MEASUREMENT: BACKGROUND AND CONTEXT

I. CORRUPTION MEASUREMENT: BACKGROUND AND CONTEXT

Corruption is a complex and evolving phenomenon; it takes on many forms, is perpetrated by various actors and has a detrimental impact on political, social, cultural, institutional and organizational structures, on economic and structural policies, and can affect numerous aspects of everyday life.

The hidden and highly collusive nature of corruption often prevents an in-depth examination of its scope and nature. To fight corruption more effectively, there is a need to improve comprehension of its different manifestations and to make regular, scientifically-based efforts to measure its occurrence.

The development of evidence-based policies to prevent and counter corruption helps inform the public about trends and patterns of corruption and increases the accountability of Governments. This section highlights the principal initiatives for establishing the international agenda for measuring corruption.

1. International framework for corruption measurement

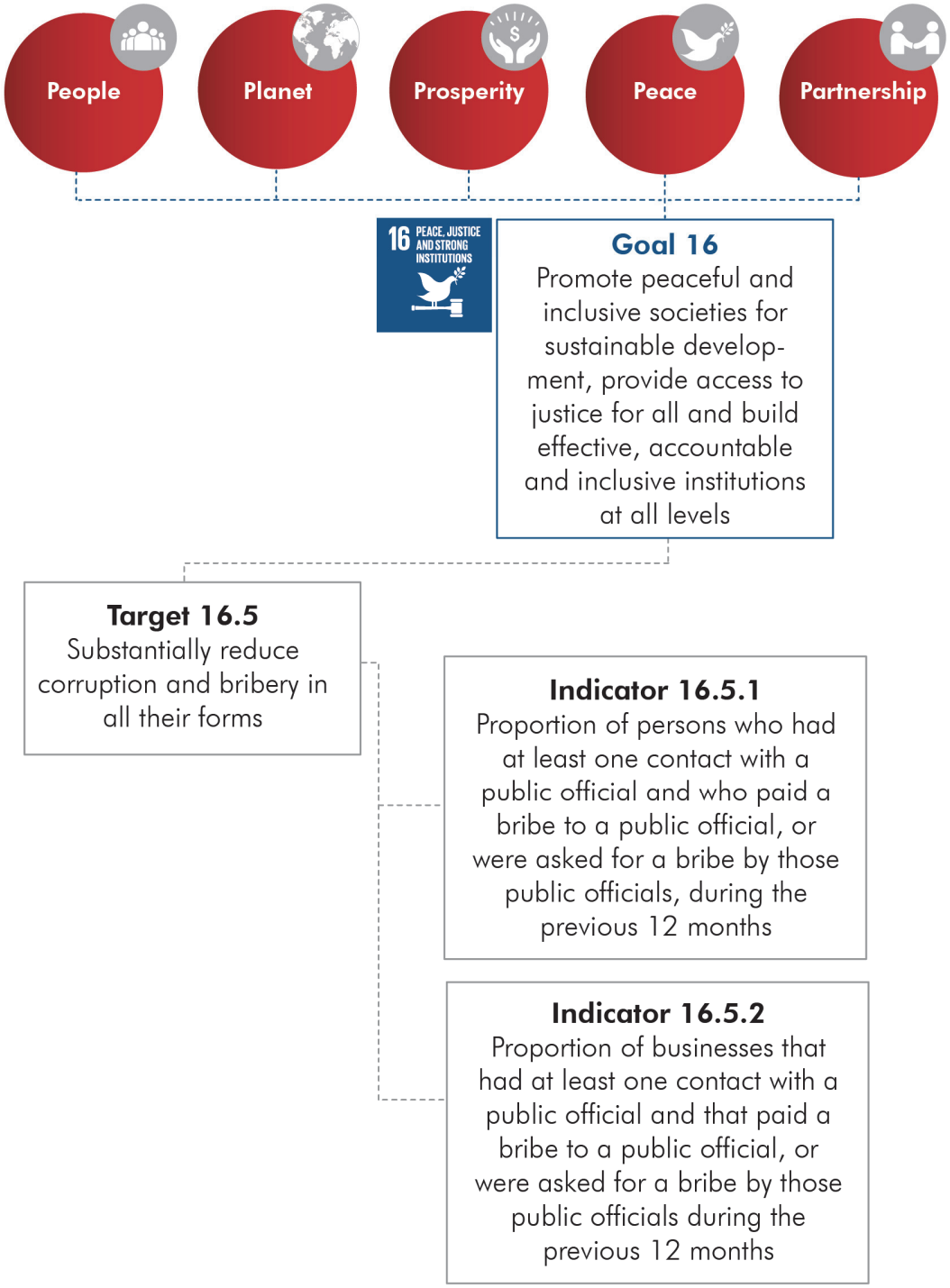
Sustainable Development Goals

The 2030 Agenda for Sustainable Development,[10] adopted by the United Nations General Assembly on 25 September 2015, acknowledges that corruption is a key obstacle to sustainable development. The adoption of the 17 Sustainable Development Goals represents a landmark achievement for the international community, not least because it clearly identifies corruption as a key obstacle to sustainable development and because it is a demonstration of the commitment of Member States to tackle corruption. Moreover, the adoption of universal and measurable targets underlines the importance of monitoring progress and developing evidence-based policies in achieving the Sustainable Development Goals.

Through Goal 16, the Agenda for Sustainable Development recognizes the need to build peaceful, just and inclusive societies that provide equal access to justice and are based on respect for human rights, on effective rule of law and good governance at all levels. These principles call for transparent, effective and accountable institutions free from corruption. In adopting the Sustainable Development Goal indicators, developed by the United Nations Statistical Commission, the General Assembly emphasized the need for them to be based primarily on national data, and encouraged countries to carry out efforts to integrate these metrics into their national official statistics. Yet the number of Member States collecting these data on a regular basis remains limited, which leads to under-reporting of the global progress on the Sustainable Development Goals. Lack of methodological guidance and resource constraints are among the reasons for data scarcity.

[10] United Nations General Assembly resolution 70/1, *Transforming our World: the 2030 Agenda for Sustainable Development*, A/RES/70/1, 21 October 2015.

Figure 3: Five pillars of the 2030 Agenda for Sustainable Development, including target and indicators on corruption



To address this, several international agencies were designated custodians of relevant Sustainable Development Goal indicators to provide guidance and support for implementing the indicator framework by:[11]

[11] Report of the Inter-Agency and Expert Group on Sustainable Development Goals Indicators (E/CN.3/2017/2*).

- Collecting data from countries under existing mandates and reporting mechanisms, compiling internationally comparable data through a process of consultation with national statistical systems, producing regional and global aggregates and making them available for international reporting
- Supporting increased adoption of internationally agreed standards and coordinating indicator development with national statistical systems, relevant international agencies and stakeholders
- Strengthening national statistical capacity and supporting compliance with internationally agreed standards
- Contributing to annual Sustainable Development Goal progress reports, feeding into the follow-up and review processes
- Establishing partnerships with other international agencies to promote the development of Sustainable Development Goal indicators

Target 16.5 of the Sustainable Development Goal calls on States to "Substantially reduce corruption and bribery in all their forms"[12] and statistical indicators 16.5.1 and 16.5.2 have been selected to monitor progress for achieving that target at international level. UNODC has been designated custodian of indicators 16.5.1 and (jointly with the World Bank) 16.5.2. This Manual provides specific guidance and support for the production of those two indicators.[13]

The long-term value of estimating the prevalence of bribery is to provide a benchmark and measuring tool for Member States. This Manual takes that measurement as a starting point and moves forward, when possible, by measuring conducts, experiences and perceptions related to corruption, which ultimately has an impact on the effective implementation and progress of all of the Sustainable Development Goals.

United Nations Convention against Corruption

The United Nations Convention against Corruption[14] (UNCAC) was adopted in 2003 and entered into force in 2005. With 186 States parties,[15] UNCAC is approaching universal adherence, making it one of the most ratified United Nations conventions. The adoption and widespread ratification of UNCAC is a demonstration of the commitment of Member States to tackle corruption.

UNCAC has also helped desensitize the issue of corruption, not only due to widespread ratification of the Convention but also through the participation of States parties in its Implementation Review Mechanism, a peer review process whereby the implementation of UNCAC by each State party is reviewed by experts from two other States parties. Through the Convention's Implementation Review Mechanism, States are able to demonstrate and report on the extent to which they have succeeded in implementing the Convention and its provisions, thus allowing them to establish a baseline against which progress can be measured. When submitting information on measures to implement the provisions of the Convention, States are also asked, where appropriate, to supplement that information, not only with examples of the implementation of those measures, including related court or other cases but also with available statistics.

Assessments carried out by the secretariat of the Implementation Review Mechanism show that over 85 per cent of States that have completed their implementation review process have subsequently

[12] E/CN.3/2016/2/Rev.1: 58.

[13] For more information on the custodianship of Sustainable Development indicators, see https://unstats.un.org/sdgs/metadata/.

[14] United Nations, Treaty Series, vol. 2349.

[15] Available at www.unodc.org/unodc/en/corruption/ratification-status.html.

amended their laws or adopted new ones in order to enhance further their compliance with the Convention's requirements. It is noteworthy that no State has been deemed fully compliant with the requirements of UNCAC, as all have received recommendations from their peer reviewers on how to enhance further their legal, institutional and operational frameworks for combatting and preventing corruption. One of the most common recommendations has been to enhance the gathering of data and statistics, which is the reason why the country review has been a point of departure for many countries' corruption-related statistics.

Article 61 of UNCAC, on the collection, exchange and analysis of information on corruption, underscores the need to analyse trends in corruption and the circumstances in which corruption offences are committed. Importance is given to developing and sharing statistics, analytical expertise and information on corruption, with a view to producing common definitions, standards and methodologies, as well as information on best practices to prevent and combat corruption. In addition, the article emphasizes the monitoring of policies and actual measures to combat corruption and to assess their effectiveness and efficiency. UNCAC does not contain one single definition of corruption. Instead, it recognizes that corruption entails several offences and thus requires States to criminalize the following conducts:

- Bribery (active and passive) of national public officials (article 15)
- Bribery of foreign public officials and officials of public international organizations (article 16)
- Embezzlement, misappropriation or other diversion of property by a public official (article 17)
- Trading in influence (article 18)
- Abuse of functions (article 19)
- Illicit enrichment (article 20)
- Bribery in the private sector (article 21)
- Embezzlement of property in the private sector (article 22)
- Laundering of proceeds of crime (article 23)
- Concealment (article 24)
- Obstruction of justice (article 25)

2. Main approaches to measuring corruption

The measurement of corruption is challenging. Corruption is a crime and collecting accurate data on it is at least as challenging as gathering evidence on any other type of crime. Illicit behaviour is hidden and victims are not always willing or able to report it to the authorities. For reasons such as the fear of retaliation, reluctance to resist an established practice or because they feel to some extent co-responsible, those who experience corruption are even less prone to report the crime to competent authorities than the victims of other crimes. When the measurement of corruption began, the difficulty of collecting relevant evidence favoured the use of indirect approaches, in which the measurement is not based on the occurrence of the phenomenon of interest but on other methods of assessment. The following are the principal indirect approaches used in the assessment of corruption to date, both at national and international level:

- Expert assessments – In this approach, a selected group of experts is asked to provide an assessment of corruption trends and patterns in a given country or group of countries. The basic idea behind expert assessments is to collect summary information from a selected set of individuals who are familiar with the subject under investigation. In the context of corruption,

such methods have been used within the framework of integrity, governance and competitiveness assessments.

- **Composite indices** –These represent a method of combining a variety of statistical data into a single indicator.[16] This approach is often used to quantify multi-dimensional concepts in a succinct manner or to assemble data generated by diverse sources. A number of composite indices on corruption and related topics have been proposed over the past few decades. While such indices could, in principle, be derived from evidence-based metrics, they have mostly used expert assessments and perception surveys as their primary sources of data. In relation to corruption, composite indices also include proxy indicators (e.g., judicial independence, freedom of the press, administrative burden, etc.), which provide more of a risk assessment than a measure of the actual level of the phenomenon.

Several indirect assessments of corruption have been produced over the past two decades (including the Transparency International Corruption Perceptions Index; Control of Corruption Indicator of the World Bank Governance Indicators; and the Global Integrity Index by Global Integrity).[17] Results derived from such assessments have often attracted considerable attention from the media, policymakers and the public at large. They have been useful tools to advocate for the fight against corruption and to give visibility to this topic in the international agenda.

However, assessments based on indirect methods have major weaknesses in relation to their validity and relevance. The construction of expert assessments and composite indicator metrics is based on a number of subjective assumptions, such as the selection of variables or sources and the determination of the algorithm used to combine heterogeneous data. Furthermore, indirect methods cannot be used to produce the disaggregated data or detailed information on corruption needed for policymaking purposes.

Another important distinction in the measurement of corruption is whether methods rely on indicators of the perception of corruption or of the experience of corruption:

- **Perception-based indicators** rely on the subjective opinions and perceptions of levels of corruption among citizens, business representatives, civil servants or other stakeholders in a given country, including groups of selected experts.
- **Experience-based indicators** attempt to measure actual personal experience of corruption. Experience-based measurement tools ask citizens or businesses if they have paid a bribe or experienced other forms of corruption.

While relevant to understanding public sentiment about any given topic, it is important to note that public opinion of corruption should not be used as a proxy for actual levels of corruption. Individual opinions on any given topic are affected by several factors[18, 19] and it cannot be assumed that perceptions of corruption are primarily informed by experience of corruption.[20]

[16] OECD and Joint Research Centre European Commission, *Handbook on Constructing Composite Indicators: Methodology and User Guide* (2008).

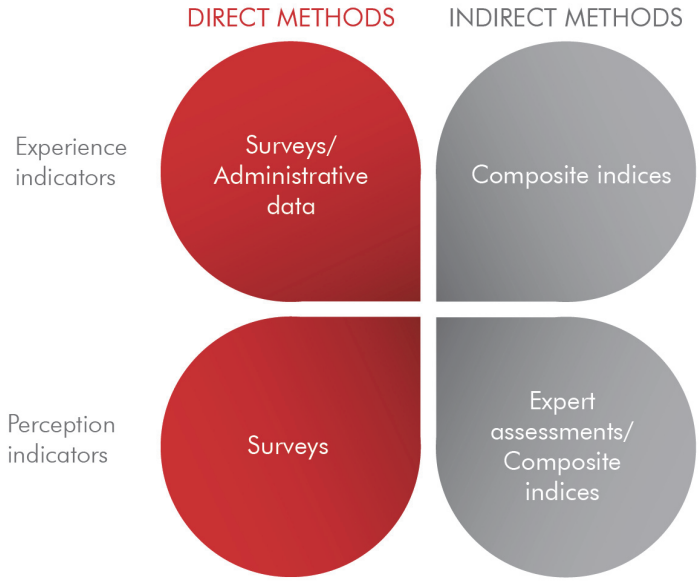
[17] UNODC, "Quantitative approaches to assess and describe corruption and the role of UNODC in supporting countries in performing such assessments", background paper prepared by the Secretariat, CAC/COSP/2009/CRP.2 (2009).

[18] James P. Lynch, "Problems and promise of victimization surveys for cross-national research", *Crime and Justice*, vol. 34, No. 1 (Chicago, University of Chicago Press, 2006).

[19] Gregory J. Howard and Tony R. Smith, "Understanding cross-national variations of crime rates in Europe and North America", *Crime and Criminal Justice in Europe and North America: 1995-1997*, No. 40 (Helsinki, European Institute for Crime Prevention and Control, 2003), pp. 23-70.

[20] For more information, see UNDP, *Users' Guide to Measuring Corruption and Anti-Corruption* (2015).

Figure 4: Main approaches to measuring corruption



Certain drawbacks of using indirect methods to assess corruption can be overcome by using different direct methods, which are aimed at collecting evidence-based information on corruption through statistical and standardized procedures:

- Administrative data are official data on reported cases of corruption from a variety of sources (police, prosecutors, courts, anti-corruption agencies).
- Sample surveys allow for the direct collection of data on the experience of representative samples of a given population, such as households or businesses.

Data on reported cases of corruption suffer from a very high "dark figure", i.e., the share of bribery that is not reported to or detected by criminal justice institutions. This is because victims or witnesses of corruption are usually less likely to report such cases than other types of crime. Findings from recent surveys conducted at national level indicate that the level of reporting of bribery cases to relevant authorities is, on average, only 12 per cent across European Union Member States[21] and well below 10 per cent in other countries in Europe, Africa and Asia.[22] Data on reported cases of corruption should therefore be interpreted with caution, as they may provide more information about the activity and the response of criminal justice systems to corruption, than about the actual extent of the phenomenon.

Ultimately, the use of direct methods on the experience of corruption is the most reliable approach to producing the detailed information on corruption necessary for policymaking purposes (e.g., identifying corruption-prone areas, procedures or positions at risk, or monitoring trends over time). Evidence-based policy and decision-making remain critical to addressing various forms of corruption

[21] European Commission, *Special Eurobarometer 397 Corruption Report*, Wave EB79.1 – TNS Opinion & Social (2014).

[22] UNODC, *Corruption in Afghanistan: Bribery as Reported by the Victims* (Vienna, 2013); UNODC, *Corruption and Integrity Challenges in the Public Sector of Iraq: An Evidence-based Study* (Vienna, 2013); UNODC, *Corruption in Nigeria. Bribery: Public Experience and Response* (Vienna, 2017); UNODC, *Corruption in the western Balkans: Bribery as Experienced by the Population* (Vienna, 2011).

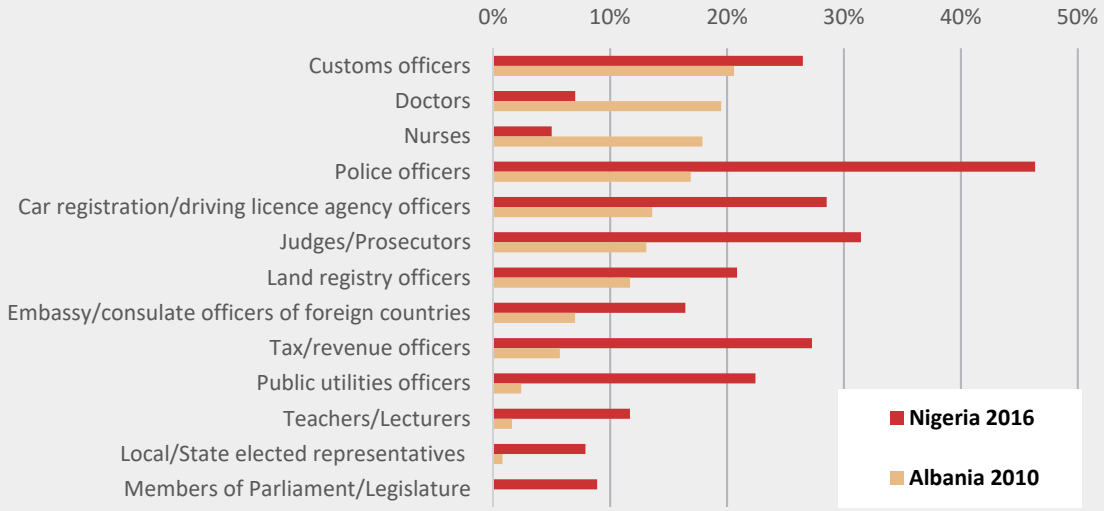
and the obstacles they represent.[23] In this context, the use of sample surveys based on solid and transparent methodologies that have been tested and promoted at international level, can produce important indicators on the extent and prevalence of corrupt practices.

The policy relevance of corruption surveys

The value of experience-based corruption surveys is directly relevant when designing and implementing evidence-based anti-corruption policies as they can provide systematic and comprehensive evidence of where and how bribery occurs. It is well known that data based on detected cases of corruption suffer considerable underreporting and they may show a biased view of actual corruption as they tend to reflect the intensity of activities by criminal justice and anti-corruption bodies more than the actual extent of corruption. For example, detected cases of corruption in the health sector may lead to greater scrutiny by criminal justice institutions and yet more corruption cases detected in that sector. By contrast, few or no cases detected in the education sector may lead to fewer activities for investigating corruption cases in that sector.

Comprehensive surveys on bribery experience can produce accurate and comprehensive information. For example, data on bribery prevalence by type of public official provide an indication of the real risk of bribery when citizens have dealings with various types of public official, thus providing guidance on where to focus anti-corruption activities and measures. As shown by surveys in various countries, prevalence rates – and thus priorities for anti-corruption efforts – vary widely across different sectors of the public administration. For example, while the prevalence rate of bribery is higher for almost all types of public officials in Nigeria than in Albania, the risk of paying bribes to doctors and nurses in the public health system is significantly higher in Albania than in Nigeria.

Prevalence of bribery, by public official receiving the bribe, Albania (2010) and Nigeria (2016)

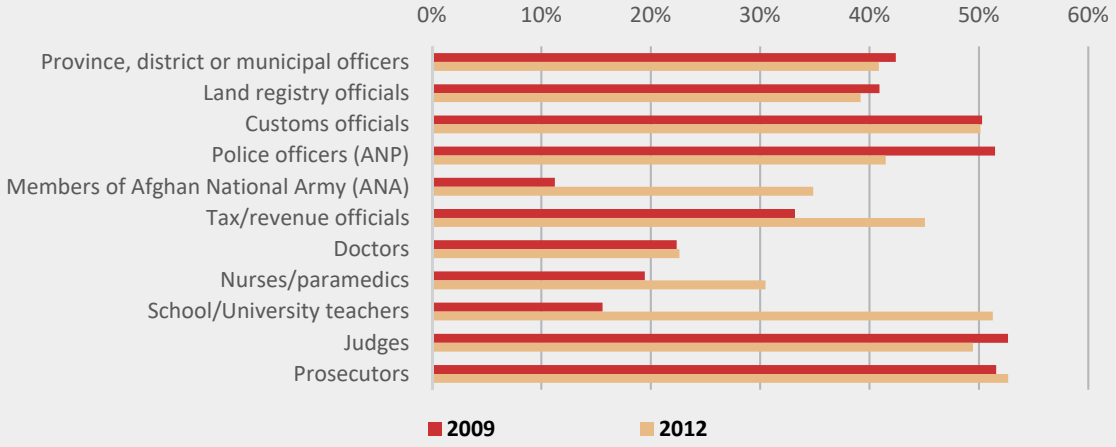


Source: UNODC, *Corruption in the western Balkans: Bribery as Experienced by the Population* (Vienna, 2011); UNODC, *Corruption in Nigeria – Bribery: Public Experience and Response* (Vienna, 2017).

[23] Sandra M. Nutley, Isabel Walter and Huw T. O. Davies, *Using Evidence: How Research Can Inform Public Services* (Policy Press, University of Bristol, 2007).

Prevalence rates of bribery can also change over time. Indeed, corruption surveys are most useful if repeated at regular intervals, thus making it possible to monitor changes in particular areas. For example, two corruption surveys conducted in Afghanistan in 2009 and 2012 indicate that the prevalence rate of bribery remained fairly constant in relation to most types of public official, but it decreased markedly in the case of police officers while it increased in relation to members of the army, tax officials, nurses/paramedics and school teachers. Such information can be used to assess the effectiveness of anti-corruption measures put in place in the period between surveys.

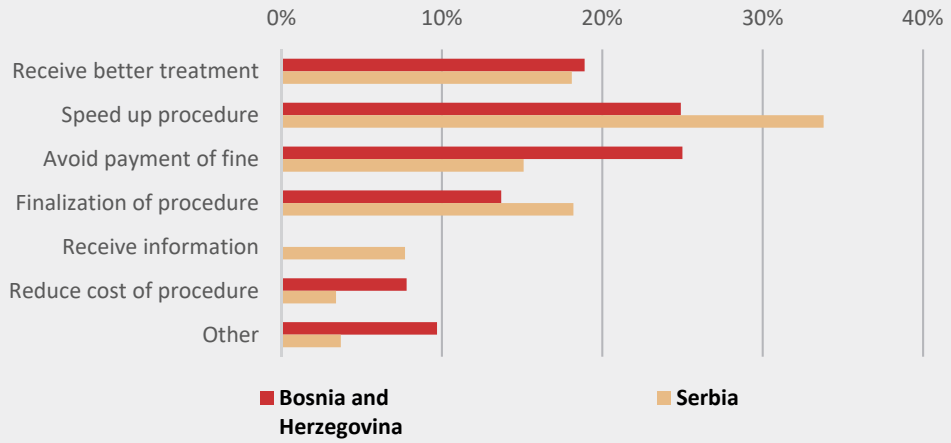
Prevalence of bribery, by public official receiving the bribe, Afghanistan (2009 and 2012)



Source: UNODC, *Corruption in Afghanistan: Bribery as Reported by the Victims* (Vienna, 2013).

Corruption surveys can also provide insights on modalities and the purpose of bribery, which are directly relevant when considering how to improve the provision of public services for reducing opportunities to commit corrupt acts. For example, when data on bribery show that a large portion of bribes are paid to speed up administrative procedures, the introduction of transparent systems for tracking the initiation and completion of administrative procedures could reduce opportunities for extracting bribes. On the other hand, when a large portion of bribes are paid to avoid the payment of a fine, the introduction of monitoring systems on concerned officials and procedures may help reduce bribe-paying.

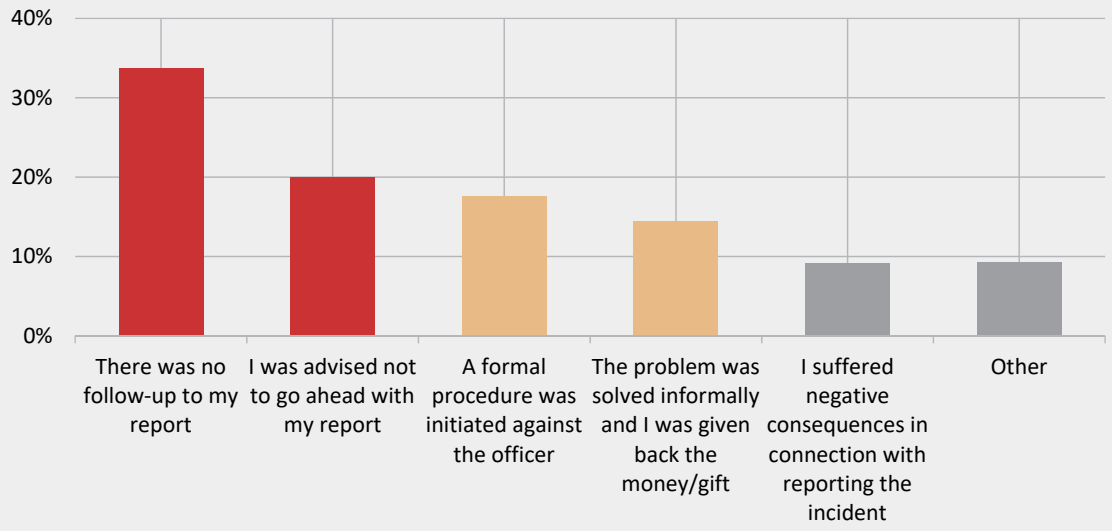
Percentage of bribes paid, by main purpose of payment, selected countries (2010)



Source: UNODC, *Corruption in the western Balkans: Bribery as Experienced by the Population* (Vienna, 2011).

Another area where the relevance of corruption surveys is immediately apparent is in assessing the response of those who paid bribes to public officials. One common observation across countries is that only a small minority of all bribery acts are actually reported to competent authorities. For example, the share of those who paid bribes and reported the case to relevant authorities was consistently less than five per cent in corruption surveys supported by UNODC in recent years. Monitoring this share over time can provide important insights into the success of anti-corruption agencies in encouraging the reporting of bribery. Additional insights can be gained by studying the reasons for not reporting bribery and the related consequences after bribery cases are reported. Given that among the few bribe-payers who actually report the incident to authorities, a large proportion of them indicate that no follow-up action is undertaken, the need for a more efficient and transparent case management system by anti-corruption agencies is clear. Furthermore, when the data show that a significant portion of those who report corrupt acts subsequently suffer negative consequences, a case should be made for the introduction of better mechanisms to protect whistle-blowers.

Percentage distribution of consequences subsequent to reporting bribery incidents to the authorities, Nigeria (2016)



Source: UNODC, *Corruption in Nigeria – Bribery: Public Experience and Response* (Vienna, 2017).

3. Benefits and drawbacks of using sample surveys to measure corruption

Conducted in the 1990s, the first sample surveys on corruption mainly targeted the perception of corrupt behaviours,[24] but were eventually broadened to include the measurement of the experience of bribery. The *International Crime Victims Survey*,[25] an international programme for measuring direct experience of crime victimization, also included a section to measure the experience of bribery among the population. The World Bank *Enterprise Surveys*[26] and *Business Enterprise Economic Surveys* are considered the largest firm-level survey data on the experience of bribery. Another development was the inclusion of "Governance modules" in the *1-2-3 Surveys*[27] targeted at citizens of West African capitals and Andean countries' surveys.[28] Since then, the number of both national and international surveys that measure this kind of experience has increased significantly, with an increasing number of countries exploring this phenomenon, either through dedicated corruption surveys or through modules within victimization or governance surveys.[29]

A comprehensive review of sample surveys on corruption made by the UNODC-INEGI Center of Excellence in Statistical Information on Government, Crime, Victimization and Justice identified 113 surveys developed at national or international level between 1993 and 2016.[30] Thanks to this large body of experiences, methodologies to conduct sample surveys on corruption have gradually improved. More than half of the surveys (53 per cent) were specifically aimed at collecting information on corruption, a quarter (27 per cent) included some questions on corruption but were mainly designed to assess governance and/or integrity, while the remaining share (20 per cent) were victimization surveys with a module on corruption. Out of the total, 92 of the sample surveys focused on measuring the experience of corruption while 21 only covered the perception of corruption.

Benefits

Probably the most apparent advantage of measuring corruption through sample surveys is that this is a widely-used methodology which, when implemented correctly, can rely on a solid theoretical background and long-standing experience at academic and institutional level. The possibility of computing estimates of the indicators of interest through transparent methods, along with measures of their accuracy, is a fundamental advantage of this approach.

Corruption surveys enable direct access to those who have experienced corruption. For that reason, information can be collected on the variable of interest (such as the experience of bribery) as well as on several characteristics, behaviours and phenomena associated with it. For example, detailed information on affected individuals (bribe payers and bribe receivers) and their demographic, social

[24] Sandra Sequeira, "Chapter 6 - Advances in measuring corruption in the field", *New Advances in Experimental Research on Corruption*, vol. 15 (London, Emerald Books, 2012).

[25] Available at www.unicri.it/services/library_documentation/publications/icvs/.

[26] Available at www.enterprisesurveys.org/data.

[27] Available at www.jstor.org/stable/41508450.

[28] See Javier Herrera, Mireille Razafindrakoto and François Roubaud, "Governance, democracy and poverty reduction: Lessons drawn from household surveys in sub-Saharan Africa and Latin America", *International Statistical Review*, 75 (1) (International Statistical Institute, 2007), pp. 70-95.

[29] UNODC-INEGI Center of Excellence in Statistical Information on Government, Crime, Victimization and Justice, *Critical Review of Existing Practices to Measure the Experience of Corruption* (Forthcoming, Mexico, 2018).

[30] Ibid.

and economic background can help identify whether household-, individual-, business- or country-specific features increase or reduce the risk of corruption.

Moreover, by requesting information about the type of public official or private entity involved (e.g., customs officers, police officers, tax/revenue officials, court officials, etc.), about the situation or administrative/business procedure during which the bribe was requested/offered (e.g., public procurement, customs clearance, obtaining building permits) or about the reason for its request (e.g., speeding up the procedure, obtaining an advantage over other participants in a bid), it is possible to acquire a comprehensive understanding of the mechanism of bribery. All these details are fundamental to understanding drivers of and vulnerabilities to corruption and, thus, to providing actionable and policy-relevant information.

Another important benefit of corruption surveys is their capacity to overcome the undercounting problem affecting administrative statistics on crime. Sample surveys guarantee the anonymity of responses and provide a context that makes respondents more amenable to disclosing their experiences. When correctly implemented, corruption surveys can even produce estimates of the "dark figure" of bribery.

In addition to overcoming under-reporting problems, sample surveys enable comparability of data, which is key to monitoring trends and assessing anti-corruption measures. They also enable the coverage of different target populations (e.g., individuals, businesses, civil servants), which is of utmost importance in understanding how types of corruption and risks vary among different actors. While the focus of this Manual is both on the general population and businesses, other target populations of surveys can be considered, such as public officials, users of public services and businesses participating in public sector bids. Within target populations, data collected through sample surveys enable the description of the phenomenon of interest, its dynamics and mechanisms in relation to various subpopulation groups of particular interest; for example, groups that are particularly vulnerable to, or at risk of, corruption.

Finally, sample surveys enable the gathering of micro-level data, providing analysis at the highest level of disaggregation: the crime incident and its victim.[31] Collecting data at the individual level helps to overcome the "ecological fallacy", which occurs when individual behaviours are solely explained through data collected at an aggregated level. Furthermore, the dissemination of micro-data, in accordance with legislation to protect privacy, can stimulate further research and analysis of corruption patterns and trends.

Drawbacks

The most common critique of surveys on corruption is linked to social desirability bias, or unwillingness to admit socially undesirable behaviour. As corruption is recognized as a socially undesirable issue, fear or shame of admitting their experience of it may lead respondents to underreport bribery. This bias varies among populations (e.g., businesses may be more sensitive to reputational damage than households) and it is also influenced by "whether the respondents benefited or not from corruption and how detrimental or justified the respondent views his or her

[31] Neuman, W. Lawrence, and Ronald J. Berger. "Competing perspectives on cross-national crime: an evaluation of theory and evidence", *The Sociological Quarterly*, vol. 29, No. 2 (1988), pp. 281–313; James P. Lynch, "Secondary analysis of international crime Survey Data: Experiences of crime and crime control", edited by Anna Alvazzi del Frate, Ugljesa Zvekic and Jan van Dijk (Rome, United Nations Interregional Crime and Justice Research Institute, 1993); James P. Lynch, "Problems and promise of victimization surveys for cross-national research", *Crime and Justice*, vol. 34, No. 1 (The University of Chicago Press, 2006).

actions to be".[32] The impact of non-disclosure can be a particular problem when a bribe is very large; for this reason, surveys are not considered to provide accurate results for cases of corruption involving very large sums/assets. However, experiences from household and business surveys indicate that well-designed surveys can also collect information on bribery cases entailing substantial amounts. This issue can be partially addressed by selecting interviewing techniques that can maximise the confidentiality of responses. Nevertheless, research has shown that social desirability bias is an issue that is difficult to control completely.[33]

Other possible limitations of corruption surveys relate to reporting bias. As in all surveys in which information is directly elicited from those in possession of it, two main issues can impact the accuracy of replies provided by respondents: 1) they misunderstand the question; 2) they fail to remember the correct answer. The first issue is strongly related to the fact that crime and corruption are social constructs and perception and interpretation of them can vary across citizenry, particularly in the case of the type of crime for which perceptions may be most culture-bound.[34] These concerns can, however, be taken under control through sound questionnaire design, including ad-hoc sections for "tackling cultural bias"[35] and proper question wording. The second issue is related to non-recall and mis-recall.[36] Non-recall usually depends on the memory decay of respondents,[37] while mis-recall is mainly based on the "telescoping effect".[38]

Given the cost of conducting sample surveys, the sustainability of this approach is also a critical element. As with any other sample survey, the cost is dependent on several factors (sample size, scope of survey, type of data collection method, etc.) and there is usually a direct trade-off between survey cost and overall quality. Using short modules on corruption[39] in already existing sample surveys at national level, instead of developing ad-hoc surveys, can be a valid strategy to address this problem.

[32] Ibid p.152.

[33] Stefanie Gosen, and Ulrich Wagner, "Social desirability in survey research: Can the list experiment provide the truth?" (Philipps-Universität Marburg, 2014).

[34] James P. Lynch, "Secondary analysis of international crime survey data: Experiences of crime and crime control"; Gregory J. Howard and Tony R. Smith, "Understanding cross-national variations of crime rates in Europe and North America".

[35] For further details on these techniques, see Jan van Dijk, John van Kesteren and Paul Smit, *Criminal Victimisation in International Perspective. Key findings from the 2004-2005 ICVS and EU ICS*, 10.15496/publikation-6621 (2007), pp. 10-11.

[36]Susan Rose-Ackerman, "Corruption", *The Encyclopedia of Public Choice*, (2003), pp. 67-76; Wesley G. Skogan, "Citizen reporting of crime: some national panel data", *Criminology*, vol. 13, issue 4 (1976), pp. 535-549.

[37] Memory decay occurs when people forget trivial or temporally distant events.

[38] The "telescoping effect" occurs when respondents have difficulties in accurately locating events within the appropriate reference period (for example, the last 12 months). Forward telescoping refers to events that are moved forward in time in the respondent's mind and seem more recent than they really are, while backward telescoping is when events are recalled as having taken place further in the past than they actually did. As a result, certain events that should be included may be excluded, while other events that should be excluded may be included; UNODC and United Nations Economic Commission for Europe (UNECE), *Manual on Victimization Surveys* (Geneva, 2010), p. 47; Manual Martin Killias, Marcelo F. Aebi and André Kuhn, *Précis de criminologie*, 3rd edition (Berne, 2012).

[39] For further reference, see Javier Herrera, Mireille Razafindrakoto and François Roubaud, "Governance, democracy and poverty reduction: Lessons drawn from household surveys in sub-Saharan Africa and Latin America", *International Statistical Review*, 75 (1) (International Statistical Institute, 2007), pp. 70-95.

Table 1: Benefits and drawbacks of sample surveys

Benefits	Drawbacks
Based on objective evidence and methodology	Impact of non-disclosure based on unwillingness to admit socially undesirable and illegal behaviour
Availability of details on corrupt behaviours (e.g., public official involved; when, how)	Potential reporting bias
Provide actionable and policy-relevant information	Sustainability issues relating to their cost
Overcoming under-reporting problems of administrative statistics	
Comparability of data	
Disaggregated data for several population groups	
Availability of micro-data	

When using sample surveys, it is important to be aware of the benefits and drawbacks of measuring corruption through this approach. Many of the challenges (e.g., the impact of non-disclosure, high economic costs, sustainability) can be overcome through sound methodological planning; in particular, in the sample design, questionnaire design/question ordering and choice of survey mode. The objective of this Manual is therefore to provide methodological guidelines on corruption surveys that maximize the benefits of using this approach and minimize the drawbacks. Nevertheless, it is important to note that corruption surveys cannot be the only methodological approach for responding to the need for information on corruption. Other methodological tools and metrics are needed to produce quantitative information on phenomena such as corruption involving very large sums/assets and the embezzlement of public goods. Methodological research on these topics is being undertaken and it is hoped that the production of experience-based metrics on these forms of corruption will be possible in the near future.

2

HOW TO CONDUCT A CORRUPTION SURVEY

II. HOW TO CONDUCT A CORRUPTION SURVEY

1. Building the case to measure corruption at country level

Unlike other criminal offences, corruption is directly related to the functions and powers vested in public servants. Aside from the methodological challenges of measuring a phenomenon as complex as corruption, conflicts of interest may arise when national institutions carry out such an exercise. It is therefore important to be aware of the strengths and benefits of corruption surveys when preparing the case for conducting one. The collection of reliable, comprehensive and comparable data on corruption at national level is fundamental for monitoring trends in corruption and for understanding its patterns and drivers. In addition to other assessments and reviews, such as those carried out under the UNCAC Implementation Review Mechanism, corruption surveys can provide useful indications, based on the experience of the public, of the effectiveness of domestic anti-corruption measures and policies. Measuring corruption at national level is important for four main reasons:

- Administration and transparency – National governments need to keep track of the magnitude of and trends in specific phenomena and to make this information publicly available to inform the population and other stakeholders. This includes producing data to comply with the requirements of international monitoring. This is the case, for example, of the monitoring framework established to monitor progress towards the Sustainable Development Goals.
- Planning and evaluation – This involves identifying a set of procedures for attaining future goals. Planning concerns the possibility of mapping and designing specific public policies against corruption through the analysis of actionable data collected at national level. The information gathered through experience-based corruption surveys can also provide useful additional indicators for evaluating the effectiveness of anti-corruption measures and policies.
- Policy research and analysis – Surveys can produce comprehensive, high-quality data that can be used to understand social, economic and political determinants of corruption. To some extent, they can also contribute to analysing the effects of changes in anti-corruption measures and policies. Corruption surveys support the development of a body of scientific literature on corruption, both nationally and internationally, which can facilitate the production of detailed strategies aimed at reducing corruption.
- Awareness raising – Actively informing public institutions and citizens about the real extent of corruption and the different forms it takes is of crucial importance. This is important for indicating areas of vulnerability and for highlighting any progress made, as well as for bringing scientific evidence into discussions on a highly sensitive topic.

In broad terms, the development of reliable metrics on corruption can prove beneficial to the wellbeing of society and the functioning of the economy. For instance, having a clear and comprehensive picture of the level of corruption entrenched in government procedures helps to improve assessment of its cost to business. Reliable analysis of trends in corruption and of how anti-corruption initiatives tackle this problem can lead to an increase in international investment. Increased levels of transparency and information on the prevalence of corruption may also help promote confidence in institutions and improve targeting of the most problematic agencies and procedures. Focalized interventions can then be tailored to the specific needs of each sector of the public administration.

In this context, the use of solid and transparent methodologies, which have been tested and promoted at international level, ensures the production of valuable results and helps overcome reliability issues. The involvement of national statistical authorities in the survey design and data collection phase represents an additional element for guaranteeing data quality.[40]

An important decision in the planning of corruption surveys is their periodicity. While a single stand-alone corruption survey will provide important insights into the extent, nature and patterns of corruption at a certain point in time, the value of surveys will be much enhanced by repeatedly carrying out comparable surveys that allow the measurement of trends over time. While the decision on the intervals between successive survey waves depends both on the information needs for updated data and the resources available for carrying out repeat surveys, it is advisable to carry out surveys in periodic intervals that enable the monitoring of trends over time, the evaluation of anti-corruption measures and prompt corrective action to be taken. In view of the evolving and constantly changing nature of corruption, it is advisable to carry out corruption surveys at least every three years to meet the requirements of monitoring corruption trends within the Sustainable Development Goal framework.

2. Ensuring national ownership and quality of surveys

National experiences can vary greatly in terms of the institutions that conduct and/or promote corruption surveys. In addition to exercises carried out by national institutions such as national statistical offices, anti-corruption commissions and national ministries, surveys are conducted by universities, research centres, non-profit organizations and private sector entities such as research centres and consulting agencies.[41]

While all those entities may have the expertise and resources to conduct high-quality corruption surveys, only national authorities are officially entitled to produce official statistics for their country. The role of national statistical agencies is particularly central to data produced for the monitoring of the Sustainable Development Goals[42] and, similar to what happens in other policy areas, national statistical offices can play a major role in carrying out corruption surveys because of their institutional role as well as their expertise. The Fundamental Principles of Official Statistics,[43] which have often inspired national legislation on statistics, specify a number of practices that guarantee professional independence, impartiality, confidentiality, transparency and the quality of the statistical output of national statistical offices. Furthermore, the infrastructure and skillsets typical of national statistical offices can ensure the sustainability needed to conduct corruption surveys at regular intervals, which is necessary for monitoring progress towards the achievement of Sustainable Development Goal target 16.5.

Some risks may also exist, however, when corruption surveys are implemented by national statistical offices, which should be considered in advance so as to reduce their potential impact. While national statistical offices usually enjoy a status that ensures their professional independence, with varying

[40] UNODC-UNECE, *Manual on Victimization Surveys*; "Quantitative approaches to assess and describe corruption and the role of UNODC in supporting countries in performing such assessments", background paper prepared by the Secretariat, (November 2009).

[41] UNODC-UNECE, *Manual on Victimization Surveys*; UNODC-INEGI Center of Excellence in Statistical Information on Government, Crime, Victimization and Justice, *Critical Review of Existing Practices to Measure the Experience of Corruption* (Forthcoming, Mexico, 2018).

[42] United Nations General Assembly resolution 70/1, *Transforming our world: the 2030 Agenda for Sustainable Development*, A/RES/70/1, 21 October 2015.

[43] United Nations General Assembly resolution 68/261. *Fundamental Principles of Official Statistics*, A/RES/68/261, 3 March 2014.

degrees of autonomy depending on the national regulatory framework, they are still part of national government and this can have an impact, whether real or perceived, on survey procedures and statistical outputs. Although this risk applies to all the activities and output of national statistical offices, it is heightened in a corruption survey where the focus is on an illegal activity with the involvement of public officials. In particular, even in well-structured surveys implemented according to the Fundamental Principles of Official Statistics, respondents may disclose their experience in a biased manner, as they feel they are reporting illicit conduct to a government agency rather than as part of a statistical exercise. Furthermore, the credibility of survey results may be diminished because data users may perceive that a government agency has a conflict of interest when producing data on the integrity of civil servants.

Other types of national agency and research centres engaged in carrying out corruption surveys can suffer from similar weaknesses, but national statistical offices or other agencies that are part of the national statistical framework, should put in place all possible measures to ensure the quality of the survey, the transparency of their activities and the integrity of their results. For example, a good practice followed in a number of cases is to establish a national advisory/technical committee that can oversee the development and implementation of a corruption survey. This national mechanism can ensure the involvement of major national stakeholders (e.g., line ministries, anti-corruption bodies, the judiciary, academia, experts, non-governmental organizations, etc.), strengthen broad national ownership and increase the quality and transparency of survey activities. When relevant, partnership with regional/international organizations can be a good practice for receiving technical support, enhancing the transparency of the process, promoting compliance with international best practices and promoting the integrity and quality of data.

National mechanisms for conducting corruption surveys

Memorandum of Understanding: the Italian National Institute of Statistics (ISTAT) and the Italian National Anti-Corruption Authority (ANAC) 2016

In order to strengthen collaboration and institutional synergies in the interest of the general public, ANAC and ISTAT signed a Memorandum of Understanding in 2016 for the sharing of knowledge, data, analytical methodologies and best practices, as well as to contribute to better knowledge of the phenomenon of corruption and related issues. Through the Memorandum, both institutions promote integrity, transparency and prevention of corruption in the country.

As the goal of their collaboration, ISTAT and ANAC set the development of a knowledge base on corruption through perception and experience surveys, both for the general population and the private sector. To achieve this, they agreed to manage joint initiatives and to undertake periodic consultations, training and personnel exchanges, communication and dissemination strategies, and to make available their information assets, methodologies, experiences and good practices, in compliance with current legislation on statistical confidentiality and their provisions for the treatment of personal data for statistical purposes.

National Steering Committee of the 2017 survey, *Corruption in Nigeria – Bribery: Public Experience and Response*

The survey on the public experience of bribery in Nigeria, conducted by UNODC and the National Bureau of Statistics of Nigeria in 2017, led to the establishment of the National Steering Committee as a discussion and consulting body for the effective implementation and adoption of the project. The National Steering Committee consisted of 14 stakeholder agencies, including all the major anti-corruption agencies in the country, the police force and the judicial branch.

Furthermore, survey methodology and implementation was overseen by the National Technical Committee, which was composed of a subset of some of the more technical counterparts from the National Steering Committee.

National Corruption Survey launched by the Central Authority for Corruption Prevention in Morocco

Created in 2007, following ratification of UNCAC by Morocco, the Central Authority for Corruption Prevention (ICPC) is tasked with coordinating, supervising and evaluating national policies for preventing and fighting corruption.

In 2013, the preparation of a national anti-corruption strategy was initiated by the Government of Morocco, followed by the launch of the first national household corruption survey conducted by ICPC. An effective participative approach was adopted through the involvement of major stakeholders, including several ministries and public institutions, civil society organizations, audit and control institutions, representatives of the private sector, and international organizations.

The methodology of the first survey was conceived in cooperation with the National Statistics Department and with the technical assistance of UNDP. The survey has enabled ICPC to design specific Moroccan indicators that have been adopted in the national anti-corruption strategy. Updated regularly, the indicators serve as objective tools to evaluate national anti-corruption efforts. ICPC now plans to implement a programme of corruption surveys, both among the population and the business sector, which will also produce data and indicators in line with international standards and the framework of the Sustainable Development Goals.

National Anti-Corruption Behaviour Survey in Indonesia

To enhance efforts in corruption prevention and eradication, in 2012 the Government of Indonesia issued Presidential Instruction 55/2012 on the National Strategy of Corruption Prevention and Eradication (Nastra CPE). The long-term vision of Nastra CPE (2012–2025) is: "to create an anti-corruption nation that is supported by a system of cultural values with integrity".

Statistics Indonesia (BPS), the national statistical agency, has been assigned the task, jointly with Bappenas, the national planning agency, to measure the fifth indicator of Nastra CPE, which focuses on anti-corruption education and culture. It does this through a survey called the *Anti-Corruption Behaviour Survey* (ACBS), which is about people's opinions about and experience of bribery.

Several stakeholders from national institutions (BPS, Bappenas, Corruption Eradication Commission, etc.), civil society organizations (Transparency International Indonesia, Indonesia Corruption Watch, etc.), and academia were involved in developing ACBS, with BPS being responsible for methodology and field collection.

The results of ACBS are used as a reference for assessing the implementation of the Corruption Prevention and Eradication Action and, more broadly, of the Indonesia National Medium-Term Development Plan 2015-2019, the overall planning instrument at country level.

3. Planning a corruption survey budget

A survey is a complex undertaking in which several activities need to be implemented and a number of actors are involved. The budget for developing a corruption survey needs to cover all relevant activities and certain strategic choices have a particular weight in determining the overall cost:

- **Objectives and scope of the survey** – Surveys aimed at investigating very specific corruption dynamics need a comprehensive questionnaire and large sample sizes.

- **Length of the questionnaire** – This influences the amount of time needed to design the questionnaire, to train interviewers and the length of the interviews themselves. In addition, long questionnaires result in more sophisticated data analysis.
- **Desired precision for estimates** – According to the desired level of survey results and representativeness (e.g., national, state, provincial, municipal level), the size of the sample will change, as will the number of interviews.
- **Sample design, sample size and sampling frame** – The larger the sample size, the greater the number of interviews to be conducted, validated and analysed. If a public sampling frame does not include the necessary information for selecting and interviewing the sample, there may be a need to purchase lists from private companies.
- **Data collection method** –The type of data collection method strongly influences the cost of a sample survey. Face-to-face interviews are the most expensive mode. If computer-assisted interviewing is used instead of paper and pencil interviewing, the cost is even higher. Telephone interviews are less expensive because travel costs for interviewers are avoided. Self-administered interviews are the cheapest data collection mode. Among them, web-interviewing allows greater savings than postal surveys. Apart from the main data collection process and fieldwork, the cost of introducing the survey by mail, email or telephone should also be considered.

As far as the cost of the above-mentioned factors varies according to the infrastructure available in each country (outsourcing is usually more expensive than using in-house infrastructure), it is difficult to identify an average for each of them. However, a detailed set of items to be considered when estimating the cost of a corruption survey is suggested below:

1. Project management

- Survey management
- Meetings with relevant stakeholders
- Back-office

2. Survey planning

- Situation analysis and discussion with relevant stakeholders
- Preparation of detailed work plan
- Publicity/advocacy

3. Survey design and sampling

- Development of sampling plan
- Sample generation for pilot survey and cognitive testing
- Sample generation for main survey
- Tracking and quality assurance of sampling design implementation

4. Survey questionnaire

- Questionnaire development
- Setting up, programming questionnaire database

- Questionnaire layout according to data collection method (e.g., CAPI, CATI, CAWI, etc.)[44]
- Quality control of questionnaire
- Questionnaire update on the basis of cognitive interviews
- Questionnaire translation in all local languages, when needed

5. Survey implementation[45]

- Cognitive testing and pilot survey[46]
- Hiring and training of interviewers
- Fieldwork
- Quality assurance of fieldwork

6. Data processing and verification

- Questionnaire programming and verification
- Data editing
- Data validation and weighting
- Database creation

7. Data products and reports

- Annotated data compilation from the cognitive testing
- Final validated and weighted database
- Code-book
- Methodological report
- Final report
- Dissemination of results

8. Evaluation

- Evaluation
- Evaluation report on survey processes, outputs and outcomes

Table 2 presents data on budget allocations for the various stages of survey implementation (development, operations, analysis/dissemination and evaluation) as experienced in a number of countries. Evidently, the majority of funds are required for the operational aspects of the survey (interviewers, materials, processing and other survey infrastructure), which actually generate the data. If a survey is run on a repeat basis, the development stage may require a much smaller outlay of funds in proportion to other activities. It is recommended that a small portion of resources be retained to enable evaluation of the survey processes, outputs and outcomes – particularly if there is a possibility of conducting the survey again in the future. This step adds accountability, as well as allowing for the improvement of processes and avoidance of problems in the future.

[44] CAPI: Computer Assisted Personal Interview; CATI: Computer Assisted Telephone Interview; CAWI: Computer Assisted Web Interview; PAPI: Pencil and Paper Interviewing.

[45] The budget for this task (survey procedures and implementation) largely varies on the basis of the type of data collection method chosen for the survey.

[46] The Pilot survey for the ISTAT *Multipurpose Survey on Households* (2016), which included a module on corruption, costed roughly €50,000 for a total of 1,000 telephone interviews outsourced to an external company.

Table 2 also provides an overview of the sample size, survey mode and approximate cost per interview of household corruption surveys conducted in the western Balkans,[47] Mexico,[48] Nigeria[49] and Italy.[50] Despite using the same survey mode (CAPI: face-to-face interviews), the approximate cost per interview varies and is not dependent on the sample size or geographic focus (national versus regional). While multiple factors account for the differences between the individual costs of interviews, the proportions of the various components of the budget remain roughly the same.

Table 2: Overview of budget allocation and selected survey characteristics of various corruption surveys among the population*

	Western Balkans (2011)	Mexico (2015)	Nigeria (2017)	Italy (2017)
Development	9%	9%	22%	10%
Operations	75%	74%	67%	81%
Analysis and dissemination	12%	9%	4%	7%
Evaluation	4%	8%	7%	2%
Geographic focus	Regional	National	National	National
Sample size	25,300	38,000	33,067	43,000
Survey mode	CAPI	CAPI	CAPI	CAPI/CATI
Approximate cost per interview ($)	28	49	21	45

*Budget allocations for the line costs of the four surveys were based on different accounting criteria. They are shown purely for illustrative purposes and comparisons should be made with caution.

4. Pros and cons of dedicated surveys and integrated modules

An important choice at the planning stage is whether to conduct a dedicated survey on corruption or to develop a module (a set of questions on corruption) to be integrated into a broader household or business survey. Victimization surveys, business environment and performance surveys, and surveys on the quality and integrity of the public administration are examples of surveys that can include a corruption module. The two approaches have advantages and disadvantages and a trade-off in general exists between accuracy and comprehensiveness of data, on the one hand, and sustainability and costs, on the other.

[47] UNODC, *Corruption in the western Balkans: Bribery as Experienced by the Population* (Vienna, 2011).

[48] INEGI, *National Survey of Quality and Governmental Impact* (ENCIG). Available at http://en.www.inegi.org.mx/proyectos/enchogares/regulares/encig/2017/.

[49] UNODC, *Corruption in Nigeria – Bribery: public experience and response* (Vienna, 2017).

[50] ISTAT, *Multipurpose Survey on Households: Safety of citizens* 2015-2016.

a) Dedicated surveys

Dedicated surveys on corruption thoroughly address corruption and related issues (perception and acceptability of corrupt behaviour, and awareness and effectiveness of anti-corruption agencies).

Pros:

- Comprehensiveness due to the possibility to include detailed questions both on the experience and perception of corruption, as well as on the characteristics of the most recent/serious incidents
- Accuracy of results due to the ability to devote more resources to screening for contact with public officials and corruption incidents, unlike surveys that do not specifically focus on this issue
- Possibility for respondents to concentrate on one main topic and gradually arrive at core-questions on corruption experience; this approach may reduce memory decay
- Possibility to address other related topics, such as the characteristics of services/procedures, acceptability of corrupt behaviour, etc.
- Opportunity to develop an ad-hoc methodological design for the survey

Cons:

- Conducting a high-quality sample survey is a costly exercise
- Survey sustainability may be affected by the high cost of a dedicated survey
- Burden on survey respondents

b) Integrated modules

An integrated module consists of a core set of questions on the experience of bribery and the type of public official involved. Integrated modules on corruption are usually included in surveys that are focused on other related issues, such as crime in general, governance, aspects of everyday life, the integrity of public institutions, and business environments, among others.

Pros:

- Save cost and time of survey design and data collection, since a large part is absorbed by the main survey cost (e.g., sampling design, fieldwork cost)
- Reduce the burden on respondents by limiting the number of questions to be answered
- Possibility to link to data from the same population on interlinked topics, which are collected by the main survey (e.g., quality of life, quality of public services, etc.)
- When the main survey is financially well established, the sustainability of the collection of corruption data will be periodically guaranteed

Cons:

- Limited set of questions on corruption and related follow-up on the most recent/serious incident, in the interest of covering other topics
- Possible impact on accuracy, as switching topics within the same survey can have an impact on the attitude and attention of respondent. In addition, the introduction of "context effects", i.e., one topic in a multi-topic survey may influence the answers to another topic

- Need to adapt to the methodological design of the main survey. This might hinder, for example, the use of a specific survey mode or sample design that are better suited to the objectives of a corruption survey
- Lack of dedicated training for interviewers on how to address sensitive issues, such as corruption

c) Choosing between a dedicated survey and an integrated module

For all the above reasons, the choice between dedicated surveys and integrated modules has to be made carefully.

The analysis of the advantages and disadvantages of dedicated surveys and integrated modules on corruption shows that:

- There is a trade-off between quality/comprehensiveness and sustainability related to each choice. Dedicated surveys are based on independent design and facilitate exploring the complexities and dynamics of corrupt behaviour but they require a large amount of resources. Countries with well-established surveys on the quality/integrity of public services or other topics indirectly linked to corruption may want to take advantage of the opportunity to complement them with a module on corruption so as to avoid increasing the number of surveys and related costs.
- In both cases, long-term plans should be established to ensure that corruption metrics can be produced regularly and serve the purpose of monitoring the phenomenon.
- Care needs to be taken when comparing/integrating data measured through dedicated surveys and modules.
- To ensure methodological quality, modules should include a minimal set of questions and follow survey implementation criteria (confidential framework, training of interviewers, etc.). In particular, modules should address the key topics to be integrated into household surveys and business surveys, respectively.

5. Establishing survey goals and objectives

Clearly establishing goals is the first and most important step in the process of survey development. The main methodological choices (e.g., sample design and selection; questionnaire design and content; data collection method) depend strictly upon the survey goals.[51]

Survey goals usually mirror the needs of users and stakeholders in relation to specific issues and provide the backbone to the development of the survey. The choice of survey goals is thus inevitably influenced by the agency/organization responsible for the survey. A university research centre, for example, may want to test a specific theory on corruption. A private consulting agency may need to estimate the risk of corruption for their clients while doing business in a given country. A governmental agency may need background information on the level of corruption across specific public services in order to develop preventive or repressive policies. In the case of national statistical offices, the main goal for conducting a corruption survey is usually related to the provision of general data on the prevalence and main features of the phenomenon. The choice of survey goals determines the choice of the target population (individuals or businesses, for example) and the methodological approach. National statistical offices, in particular, should also consider other users and stakeholders when planning a corruption survey.

[51] UNODC-UNECE, *Manual on Victimization Surveys*.

Survey objectives translate survey goals into more specific and concrete concepts. Survey objectives also specify the statistical outcomes of the survey and ensure that the design of the methodology reflects the overarching goals of the survey, as well as the data needs of users.

A survey conducted to support the implementation of the Sustainable Development Goals at country level could set the following goals and objectives:

- **Survey goals** – To produce data to assess bribery prevalence, the most vulnerable sectors and population groups, and state response to corruption
- **Survey objectives**:
  - To understand the prevalence of bribery in the selected universe
  - To examine prevalence of bribery across population groups (by geographic entity, age, sex, income, etc.) or by the characteristics of business entities (economic sector, size, etc.)
  - To explore the modus operandi and "mechanics" of bribery
  - To estimate the cost of bribery to individuals or businesses
  - To assess the likelihood of reporting bribery incidence to relevant authorities
  - To identify impediments to reporting bribery incidence to relevant authorities

Considering that under the "umbrella" of the 2030 Agenda for Sustainable Development, countries have been requested to produce a number of indicators on several topics, indicators may sometimes be interlinked (e.g., corruption and citizen satisfaction with public services). If this is the case, exploring the possibility of combining different Sustainable Development Goal indicators on similar topics within the same survey is recommended (e.g., 16.6.2: Proportion of population satisfied with their last experiences of public services).

In addition to the suggested core-goal and related objectives, countries can decide whether to address other aims in order to cover specific national needs. For example, besides addressing public sector bribery, a national sample survey could also include questions to investigate the experience of bribery within the private sector.

Gender and corruption

The results of several national corruption surveys, including those supported by UNODC, indicate that there are often differences in the way men and women perceive, experience and are affected by corruption.

Such differences may be due to differences in the experience of men and women when participating in both public and domestic life. As women are typically the primary caretakers of children and the elderly, they are more likely than men to experience corruption in their daily interactions with education, health and public services. An additional matter of interest is whether there are differences in the type and size of bribes requested according to the sex of the public official or person holding power.[a]

As the gender dimension of corruption is still poorly understood, the production of gender-specific data on corruption is essential to facilitate evidence-based policymaking and to enable the development of gender-specific approaches to fighting corruption. Indirect approaches to the measurement of corruption are not adequate for generating the evidence required to formulate gendered policy responses. Thus, only sample surveys can accurately capture the gender dimension of corruption in data collection.

The gender perspective should be integrated into corruption surveys when:

Designing the questionnaire – Incorporate gender concerns and the gender perspective into the objectives of the survey and into the planning and design of the questionnaire. This includes incorporating gender-sensitive questions and disaggregating all relevant questions by sex in the survey. For example: include the sex of both respondents and public officials; ensure that the list of public officials and/or administrative procedures reflects the experience of both men and women when dealing with the public administration; include the possibility to specify the payment of bribes through services as well as through sexual favours; include the sex of the businesses representative and their position in the business.

Selecting the sample design – Ensure that the sample design enables the production of reliable statistics for both men and women in sufficient detail and the disaggregation by other characteristics required for meaningful gender analysis.

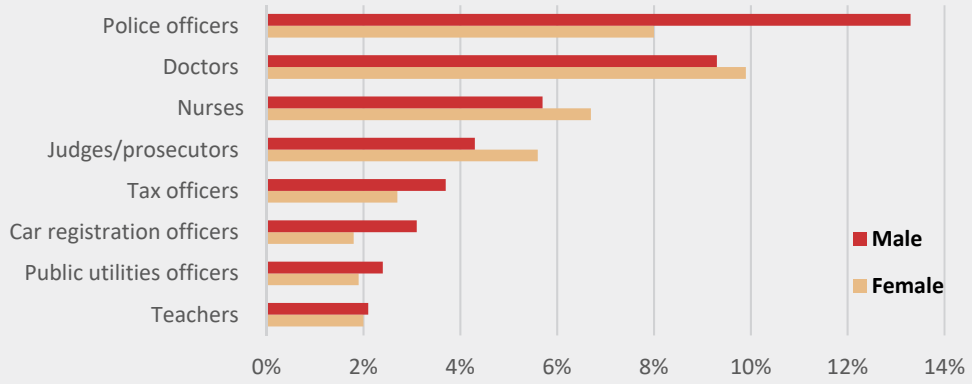
Training interviewers and staff – Address gender-related measurement issues and gender stereotypes, along with how to handle sensitive questions; the selection and training of interviewers are important for obtaining reliable gender-related data. Gender diversity is encouraged in the selection of interviewers.

Conducting interviews – Interviewees should be selected randomly and full confidentiality should be assured during the interview (i.e., no other member of the household should be present during the interview).

Conducting analyses – Systematically analyse gender differences in all experience and perception indicators of corruption. For example, to generate gender-sensitive anti-corruption policies: identify sectors and/or procedures that men and women have different exposure to, according to the official and/or procedure; identify different attitudes of men and women with regard to reporting corruption and possible anti-corruption authorities, trust and perception of the government.

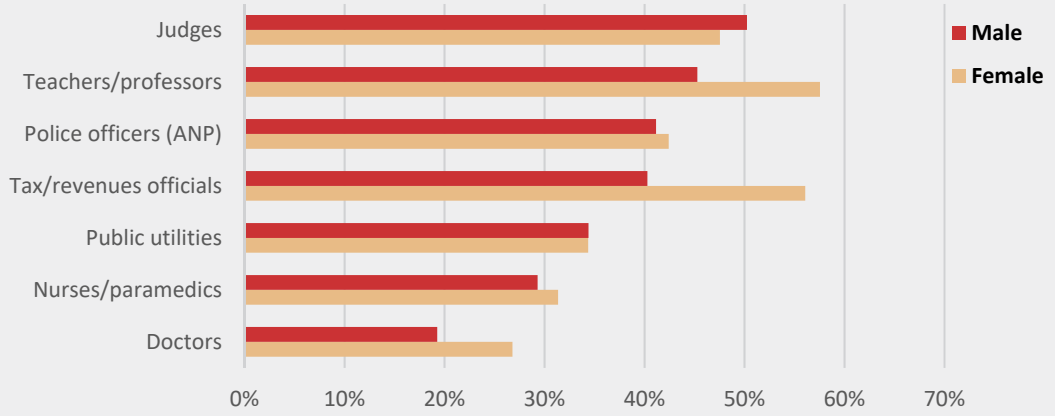
Below are three examples of gender-related analyses conducted on corruption sample surveys in Afghanistan, Nigeria and the western Balkans in various years. As the graphs show, the prevalence of bribery is often notably different among male and female respondents. For example, men pay bribes significantly more often than women when in contact with police officers in Nigeria and the western Balkans (but not in Afghanistan). On the other hand, women face a higher risk of paying bribes when in contact with nurses and doctors in Afghanistan and the western Balkans (but not in Nigeria).

Prevalence of bribery, by sex and by selected public officials, western Balkans region (2010)



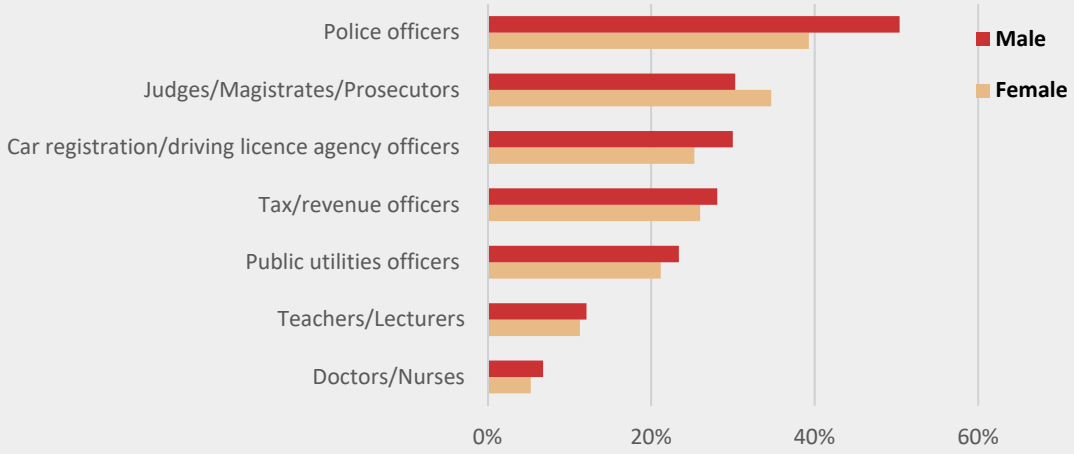
Source: UNODC, *Corruption in the western Balkans: Bribery as Experienced by the Population* (Vienna, 2011).

Prevalence of bribery, by sex and by selected public officials, Afghanistan (2012)



Source: UNODC, *Corruption in Afghanistan: Bribery as Reported by the Victims* (Vienna, 2013).

Prevalence of bribery, by sex and by selected public officials, Nigeria (2016)



Source: *UNODC, Corruption in Nigeria – Bribery: Public Experience and Response* (Vienna, 2017).

[a] UNDP, *Seeing Beyond the State:* Grassroots Women's Perspectives on Corruption and Anti-Corruption (2012).

6. Choosing an appropriate survey mode

a) Overview of survey modes and methods of data capture

The survey mode determines which of the following techniques is used to interview the target population of the survey:

- Face-to-face interviews
- Telephone interviews
- Self-administered interviews (e.g., postal and computer surveys)

The first two techniques imply direct interaction between interviewers and respondents during the whole survey, while the third allows respondents to answer survey questions directly without interacting with the interviewer.

The advent of information technologies has increased the range of interviewing modes by introducing Computer-Assisted Interviewing (CAI). CAI techniques facilitate the interview process by using computer software to customize the flow of the questionnaire based on the answers provided. When using CAI, it is not necessary to enter survey data as a separate process. These techniques also enable the incorporation of more complex question sequences than in a paper questionnaire.[52] Different data capture methods can be identified for each survey mode:

- Face-to-face interviews methods:
  - Computer Assisted Personal Interviewing (CAPI) – The interview takes place in person and the interviewer records the answers on a computer (instead of using paper and pencil).
  - Pencil and Paper Interviewing (PAPI) – The interview takes place face-to-face and the interviewer writes the answers on a paper questionnaire.
- Telephone interview methods:
  - Computer Assisted Telephone Interviewing (CATI) – The interview is conducted by an interviewer over the telephone who enter the answers directly into the computer.[53]
- Self-administered interview methods:
  - Computer Aided Web Interviewing (CAWI) – Respondents compile the survey questionnaire online by using a personal username and password.

In reality, distinctions between types of survey modes can be blurred. For example, the interview can take place in person, while the respondent answers directly using a tablet or smartphone. A web-based interview may be audio assisted, while telephone interviews can also be conducted using automated recording, prompting respondents to enter responses using a keypad.

b) Types of survey error and possible impact of different survey modes

The survey mode is an important element of conducting corruption surveys, as it can have either a direct or indirect impact on data and their accuracy. In particular, three principal effects should be considered when selecting the survey mode for a sample survey:

1. Coverage error

Coverage error is the extent to which the sample frame is not representative of the target population. Coverage error can occur when the sample frame excludes some elements of the target (under-coverage) or when it includes non-target elements (over-coverage). Frame imperfections such as under-coverage (for example, when the list of addresses does not include new houses) and over-coverage (for example, when the list of individuals includes those who are deceased or have moved away) are likely to bias or diminish the reliability of the survey estimates and to increase data collection costs. Both web and telephone survey modes suffer from under-coverage of the population, while face-to-face interviews usually have fuller coverage.[54]

[52] UNODC-UNECE, *Manual on Victimization Surveys*.

[53] Ibid.

[54] Bart Buelens et al., "Disentangling mode-specific selection and measurement bias", discussion paper (The Hague, Statistics Netherlands, 2012).

2. Non-response error

There are two main forms of non-response: 1) total non-response, when the sampled unit (either individuals or businesses) cannot be interviewed because they cannot participate in the survey, refuse to participate, or cannot be contacted; and 2) partial non-response, when the questionnaire is only partially completed.[55]

Refusal and non-contact are among the main reasons for the total non-response rate. Non-contact may, for example, be due to difficulties in finding the sampled unit, such as by calling or visiting an empty house. Refusals, by contrast, are usually due to lack of time, disinterest in the survey topic, distrust in the purpose of the survey and doubt about anonymity.[56]

When selected individuals do not respond to the survey, a bias in the results may be introduced in certain circumstances, as the characteristics of the group of respondents and non-respondents are often different, and may show dissimilar patterns in relation to the variable of interest (for example, the prevalence of different forms of corruption). This bias is extremely difficult to correct in the estimation phase, and its size is directly related to the non-response rate.

Existing corruption surveys included in the UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools show, on average, higher response rates to face-to-face interviews (between 65 per cent and 95 per cent) and CATI (between 14 per cent and 81 per cent), than to CAWI (between 14 per cent and 27 per cent).[57] Direct contact (by telephone or in person) with an interviewer is probably one of the reasons for this difference. There is some evidence, however, that more impersonal methods of data collection can improve partial non-response rates when dealing with sensitive issues. This has been proved in the case of illicit drug use,[58] smoking in teenagers[59] and abortions.[60]

3. Measurement error

Besides influencing the participation of the sampled units in a survey, the type of survey mode has an influence on the likelihood of respondents to report their corruption experience. "Conversation and prompting during a face-to-face interview, for example, may lead to better overall recall of events than during completion of a self-administered survey. Administering the interview by phone seems to have little effect on reporting compared to in-person interviews".[61] At the same time, the reporting

[55] James P. Lynch, "Problems and promise of victimization surveys for cross-national research"; UNODC-UNECE, *Manual on Victimization Surveys*.

[56] UNODC-UNECE, *Manual on Victimization Surveys*.

[57] For further examples, see James P. Lynch, "Problems and promise of victimization surveys for cross-national research" and Jan van Dijk et al., *Final Report on the Study on Crime Victimization* (Tilburg University, 2010).

[58] William S. Aquilino, "Interview mode effects in surveys of drug and alcohol use: a field experiment", *Public Opinion Quarterly*, vol. 58 (Oxford University Press, 1994), William S. Aquilino and L.A. LoScuito, "Effect of interview mode on self-reported drug use", *Public Opinion Quarterly*, vol. 54 (Oxford University Press, 1990); Susan Schober et al., "Effects of mode administration on reporting on drug use in the NLS".

[59] Angela Brittingham, Roger Tourangeau and Ward Kay, "Reports of smoking in a national survey", *Annals of Epidemiology*, vol. 8. (American College of Epidemiology, 1998).

[60] Lessler, J. T. and O'Reilly J.M., "Mode of interview and reporting of sensitive issues: design and implementation of audio computer-assisted self-interviewing" (1997); London, K. & Williams L., "A comparison of abortion underreporting in an in-person interview and self-administered questionnaire" (1990).

[61] James P. Lynch, "Problems and promise of victimization surveys for cross-national research".

of sensitive matters appears to be better when using self-administered procedures than face-to-face interviews.[62] Indeed, the presence of an interviewer may prevent respondents from revealing experience of corruption, which is considered a very sensitive and socially undesirable issue.

Social desirability bias emerges when respondents feel more comfortable providing socially acceptable answers.[63] Fear or shame of exposure may lead respondents to under-report bribes, especially when they face or talk directly to an interviewer. The absence of an interviewer, on the other hand, reduces social interaction and the tendency of respondents to take social norms into account.

c) Considerations when selecting the survey mode

The choice of survey mode needs to consider the scope of the survey, the resources available for the survey, the type of survey design (whether a dedicated survey or an integrated module), the target population, the information included in the available sampling frame, social desirability bias and the desired response rate. It is also important to consider that specific data collection modes can minimize or maximize certain errors. When possible and relevant, different survey modes could be tested at the pilot stage in order to investigate the possible impact on the measurement of bribery, which is the main variable of interest.

Face-to-face interviews (CAPI and PAPI) minimize the coverage effect, allowing for higher response rates than other survey modes (between 65 per cent and 95 per cent).[64] Furthermore, they have greater control over, and flexibility in, the interview. At the same time, they are very time- and money-consuming and can foster the measurement effect by influencing the reporting of corruption experience because of the effect of social desirability bias.

Computer-assisted telephone interviewing (CATI) allows for good control over the interview situation and is less costly than face-to-face interviews. However, increasing reliance on mobile phones (particularly among the young), poses a problem for the random sampling of land-line telephone numbers, resulting in sample under-coverage and non-response.

Computer Aided Web Interviewing (CAWI) proves its value in addressing sensitive offences, such as corruption, and elicits high reporting rates, while introducing a further cost advantage. A large victimization survey in the Netherlands also indicated that victimization levels were higher when using CAWI than other modes.[65] According to van Dijk et al., "the higher victimization levels in CAWI interview could be due to: 1) a bias in the respondents caused by non-response, with those participating having experienced more victimization; and 2) a real "method effect" where web-based interviewing somehow leads to higher victimization responses, possibly because respondents do not feel controlled by an interviewer".[66] Even if non-response is still a problem, increasing internet

[62] Pat Mayhew et al, *The 1992 British Crime Survey*, Research Study No. 132 (London, Home Office Research and Planning Unit, 1992); Catriona Mirrlees-Black, *Domestic Violence: Findings from a New British Crime Survey Self-completion Questionnaire*, A Research, Development and Statistics Directorate Report (London, Home Office, 1999; James P. Lynch, "Problems and promise of victimization surveys for cross-national research".

[63] See also, Bart Buelens et al., "Disentangling mode-specific selection and measurement bias"; Dillman et al., Internet, Mail, and Mixed-Mode Surveys: The Tailored Design Method, 3rd Edition, Wiley 2009; Edith de Leeuw, "To mix or not to mix data collection modes in surveys", *Journal of Official Statistics*, vol. 21, No. 2. (2005); Allyson L. Holbrook, Melanie C. Green and Jon A. Krosnick, "Telephone versus face-to-face interviewing of national probability samples with long questionnaires: comparisons of respondent satisficing and social desirability response bias", *Public Opinion Quarterly*, vol. 67, Issue 1, (Oxford Academic, 2003), pp. 79–125.

[64] UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools (website under construction).

[65] Jan van Dijk et al., *Final Report on the Study on Crime Victimization*.

[66] Ibid, pp.26-27.

coverage and use lead to better results in the future. Extensive testing would be necessary before CAWI could be used as the sole or partial interview mode for a victimization survey.[67]

Sequential mixed modes (for example, CATI/CAPI for the first contact, survey introduction and screening section, and CAWI for follow-up only on those who experienced corruption) can help reduce survey costs and adaptation to the needs of a specific target population, but there is a risk of sample loss with any subsequent change (for example, respondents may not continue the interview when changing from CAPI to CAWI) in the data collection instrument.[68]

7. Considerations for sampling

The methodology through which the sample is selected can have significant effects on the final results of a survey. This section discusses the basic concepts associated with sample design and sample error and provides an overview of considerations when determining the sample size of surveys in general.[69] For a more detailed discussion on sampling and data collection methods for household surveys among the population, see part III of this Manual; for business surveys targeting the economic sector, see part IV.

a) Sample design

There are two broad categories of sample design: probability samples and non-probability samples. The former, which are based on probability theory, allow for a representative collection of information from sample units, thus being able to make inferences about the entire target population. Non-probability samples provide data that are not necessarily representative of an entire population.

The simplest probabilistic method of selecting a sample is "simple random sampling", in which every sampling unit has the same probability of being selected. While its simplicity and unbiasedness are appealing, this method has several disadvantages when compared with other methods: it can be extremely costly, as the sample may be spread widely over a national territory, and it can result in a poor sample in the sense that some target groups may be underrepresented.

For example, if a population consists of 100 men and 100 women, a simple random sample of 60 people from this population could result in 60 men, or in 55 men and 5 women being selected. Having women under-represented in such samples would not only lead to unreliable estimates for the female population, but could also affect the estimate for the whole population. For example, if the prevalence of bribery tends to be lower among women than among men, the estimate of such indicator for the entire population resulting from this sample will probably be higher than the true value.

As a result, other methods, such as "stratified random sampling" – in which the frame is divided into different strata and a random sample[70] is drawn from each stratum – are preferred for corruption surveys targeted at the population and businesses. While this sampling methodology has many advantages, such as the proper representation of groups defined as strata, it also relies on the existence of a complex frame that contains extensive additional information necessary to form the strata, potentially increasing the cost of creating this frame.

[67] Jan van Dijk et al., *Final Report on the Study on Crime Victimization*.

[68] For the specific selection and measurement bias of mixed-mode surveys on victimization, see Bart Buelens et al, "Disentangling mode-specific selection and measurement bias".

[69] For a list of publications on international guidelines for conducting sample surveys, see annex IV of this Manual.

[70] The random sample within each stratum can be drawn using simple random sampling, or other probabilistic methods.

In the example above, if the population is stratified by gender, a random sample of 30 men and 30 women can be drawn, resulting in an appropriate representation of each group. Given the differences in patterns between both groups regarding bribery, this sample will also probably result in a less variable estimate.

The following are other common sample designs:

- Cluster sampling consists of dividing the population into subgroups (clusters), selecting a random sample of these clusters and interviewing all units in each selected cluster.
- Multi-stage sampling consists of selecting a sample in two or more successive stages. A common example of multi-stage sampling involves drawing a random sample of geographical regions/areas and then a systematic sample of dwellings within each region at a second stage.

b) Sampling error

There are two types of error in surveys: non-sampling and sampling errors. Sampling errors are errors caused by uncertainty in the fact that conclusions on the whole population are being drawn from a sample. Non-sampling errors are errors that arise for other reasons unrelated to sampling, and include misreporting by the respondent. In corruption surveys, given the sensitive nature of the information being collected, these can be significant.

Unlike non-sampling errors, sampling errors are quantifiable and depend directly on the sample design and size. The design effect (*DEFF*) is defined as the ratio between the sampling variance of an estimator under a given sample design and the sampling variance of an estimator under simple random sampling, for a given sample size. This indicator provides a measure of how efficient a specific sampling strategy is, and its use is recommended when evaluating a sample design, if funds and resources are available.

Stratified sampling is often an appealing method, as the design effect can be lower than 1 (one) under certain circumstances, i.e., if the stratification variables are correlated to the variables of interest. In the context of a corruption survey, this would imply that certain strata (for example, geographic areas) show a significantly higher/lower prevalence of corruption acts, such as bribery. In the case of cluster or multi-stage sampling strategies, the *DEFF* often tends to be higher than 1 (one), but the cost of a given sample size tends to be smaller than that of stratified random sampling.

c) Sample size

The ideal size of the sample[71] for a corruption survey, as well as for other rare social phenomena (crime, for example) depends on several factors, including:

- **The rarity of the investigated event** – In general, the prevalence of bribery is one of the main indicators in corruption surveys and, hence, should be used in the sample size calculations. As this is a relatively rare phenomenon compared with other social issues, only a small percentage of the sample will have experienced it during the reference period. Samples should be large enough to generate reliable estimates of the prevalence of bribery.
- **Anticipated response rate** – "If a high response rate is expected, the initial sample can be smaller than if a lower response rate is expected and still provide the same number of completed interviews. The anticipated response rate can be calculated through a variety of techniques,

[71] We refer here to the initial sample and not to the final sample of respondents.

including pilot tests, past experience or the experience of other similar surveys".[72] Response rates to corruption surveys vary across countries and data collection methods.

- **Precision of estimates** – Precision refers to the variability of estimates, which is largely influenced by the sample design and can be measured through the design effect. While pure stratified samples tend to show a *DEFF* lower than one, multistage stratified samples often have larger variances, and therefore require larger samples to achieve the same precision of the estimates.
- **Desired margin of error and confidence level** – The desired margin of error in estimates produced by the survey also influences the size of the sample. For example, if a primary goal of the survey is to measure year-to-year changes in the rate of bribery, it is necessary to make a choice about what degree of change in the bribery rate will be accepted as a real change. The narrower the desired confidence interval, for a given confidence level, the larger the sample size needs to be.
- **Available resources** – The amount of financial and other types of resources available for the survey strongly affects the sample size determination. Survey mode, data collection method and sample design affect the cost of sampling per unit. A compromise between these factors, the desired sample size and available funds should be found.

Calculating the minimum sample size

It is possible to calculate the minimum sample size that would yield estimates with the desired margin of error and confidence level, given the survey design and response rate, through the following formula:

$$n = \frac{z^2\hat{p}(1-\hat{p})}{e^2} \times \frac{DEFF}{r}$$

where:

z = normal distribution value in statistical tables for a pre-settled confidence (for example, for 95 per cent, 1.96)

$\hat{p}$ = estimation of proportion of interest (e.g, prevalence of bribery)

DEFF = design effect associated with the sample design

e = maximum expected margin of error (i.e., a confidence interval of $(\hat{p} \pm e)$)

r = minimum expected response rate

Part of this information may not be available prior to conducting the survey. In order to obtain reliable estimates of $\hat{p}$, *DEFF* and r, it is recommended to conduct a pilot survey. Alternatively, past experience with similar surveys, as well as other studies in the country (or in similar countries), could provide reliable sources of information.

In particular, the design effect for a proportion of the population can be calculated easily, as the associated sampling variance for simple random sampling can be approximated by $\hat{p}$(1- $\hat{p}$)/n. The values for p ˆ and n used in this formula should come from the pilot survey or previous experience utilized to estimate these parameters.

[72] UNODC-UNECE, *Manual on Victimization Surveys*.

It may be of interest to also take into account multiple variables or indicators and expected precision for these estimates when determining the sample size. Even though the main indicator of corruption surveys is usually the prevalence of bribery, the country may also want to consider the prevalence of other acts of corruption, or the average bribe size.[73] In this case, several sample size calculations could be performed simultaneously and the largest calculated sample size (i.e., the maximum) should be chosen in order to fulfil all the precision requirements of all the estimates considered. It is also important to consider which disaggregating variables estimates need to be produced for; for example, if estimates are needed at the subnational level, the desired sample size should be calculated for each geographic unit. The decision about a final sample size should be weighed against the resources available.

8. Designing the questionnaire: order of questions/sections

In a sample survey, the information objectives need to be translated into questions in order to elicit the requisite information from respondents. The process of selecting the questions, formulating them in a clear and concise manner and building a logical questionnaire structure needs to be managed carefully. The type of questions asked, the way they are formulated and the way they are ordered can significantly affect responses to a survey.[74] In particular, Yang and Hinkle[75]have indicated three main sources of systematic bias when designing survey questionnaires:

- Design of response options
- Wording of questions
- Question-order (context) effects

The design of response options and wording of questions is discussed separately for corruption surveys among the population and for those targeted at businesses in parts III and IV of this Manual. This section discusses the "question-order" effect (or context effect):

An extensive literature has demonstrated the existence of the question-order effect in influencing respondents' answers and thus survey results.[76] In particular, questions that are placed earlier in a questionnaire may influence responses given to items that come later. The mechanism of the question order effect has been explained mainly as a chain of cognitive and memory retrieval processes: "If respondents have already answered a question on a similar topic, this previous judgment, already

[73] For sample size calculations taking into account averages or totals (not proportions), an alternative formula can be found in Statistics Canada (2003). Available at https://www150.statcan.gc.ca/n1/en/pub/12-587-x/12-587-x2003001-eng.pdf?st=uR2Fh0u4.

[74] James P. Lynch, "Problems and promise of victimization surveys for cross-national research"; Roger Tourangeau, *Cognitive Aspects of Survey Methodology: Building a Bridge Between Disciplines*, Report of the Advanced Research Seminar on Cognitive Sciences and Survey Methods (Washington D. C. National Academy Press, 1984); Fritz Strack, and Leonard L. Martin, Thinking, "Judging, and communicating: a process account of context effects in attitude surveys", *Social Information Processing and Survey Methodology* (1987) pp. 123-148; Norbert Schwarz and Hans-J. Hippler, "Subsequent questions may Influence answers to preceding questions in mail surveys", *Public Opinion Quarterly*, vol. 59, No. 1 (Oxford University Press, 1995); Seymour Sudman, Norman N. Bradburn and Norbert Schwarz, *Thinking About Answers: The Application of Cognitive Processes to Survey Methodology* (San Francisco, Jossey-Bass, 1996).

[75] Sue-Ming Yang and Joshua C. Hinkle, "Issues in survey design: using surveys of victimization and of crime as examples", *Handbook of Survey Methodology for the Social Sciences* (New York, Springer, 2012) pp. 443-462.

[76] Ibid.

used once and now stored in the short-term memory, will take priority over other information in the long-term memory and will be drawn upon to provide an answer to this new question".[77]

On the other hand, questionnaires are often designed to introduce potentially distressing topics gradually, with questions that can facilitate understanding by the respondent and trigger his/her memory.[78] This strategy is aimed at triggering the "warm-up" effect, which allows time for the interviewer to establish a climate of trust and respect with the interviewee and for respondents to become confident about the questionnaire's content. The "warm-up" effect also concerns those cases where the initial question reinforces the answers given for subsequent questions.[79]

In the case of corruption surveys, the main issue is establishing the respective optimal position for sets of questions on attitude towards and understanding of corruption and of those related to the experience of bribery. For victimization surveys, some research has demonstrated the influence of question order on victimization experiences reported by respondents. Findings from the *National Crime Victimization Survey*[80] in the United States demonstrated that when a fear of crime question was asked prior to the screening interview, the likelihood of reporting victimization increased significantly.[81] "This finding was attributed to a "warm-up" effect of the supplement, such that the additional questions about fear of crime stimulated recall of crime events".[82] Other research was conducted on the effect of question order on the perception of safety,[83] which found no significant effect of question order, of either victimization experience or perception of security, on the level of perceived safety.

Research conducted on victimization surveys suggests that question order needs to be managed carefully and that, to maintain comparability of results, it should be constant across different survey exercises. Furthermore, taking into account research results and the fact that the primary focus of corruption surveys is on the disclosure of bribery experience and the measurement of its prevalence, it appears preferable that the first topics are related to attitudes, perception and understanding of corruption and on the quality of and access to public services, which can serve as a "warm-up" for questions focusing on the experience of bribery. In all cases, the use of a pilot survey and cognitive testing may help in quantifying the effects of question order better.

[77] Ibid, p. 452.

[78] Also, a brief introduction to the most sensitive questions, suggesting that such experience can happen to any people at any time, can help the respondent feel freer to answer the question, increasing the probability of response and disclosure (UNODC-UNECE, *Manual on Victimization Surveys*).

[79] Sue-Ming Yang and Joshua C. Hinkle, "Issues in survey design: using surveys of victimization and of crime as examples", pp. 443-462; James P. Lynch, "Review: clarifying divergent estimates of rape from two national surveys", *The Public Opinion Quarterly*, vol. 60, No. 3, (Oxford University Press, 1996), pp. 410-430.

[80] Available at www.bjs.gov/index.cfm?ty=dcdetail&iid=245.

[81] Linda R. Murphy and Charles D. Cowan, "Effects of bounding on telescoping in the National Crime Survey", *National Crime Study": Working Papers* (United States Department of Justice, 1976); C. Gibson et al., "Interaction of survey questions as it related to interviewer-respondent bias: proceedings of the section on survey research methods" (Washington, D.C., American Statistical Association, 1978).

[82] James P. Lynch, "Review: clarifying divergent estimates of rape from two national surveys", p.421.

[83] Sue-Ming Yang and Laura Wyckoff, "Perceptions of safety and victimization: does survey construction affect perceptions?", *Journal of Experimental Criminology* (2010).

Possible effect of question order when measuring experience and perception of crime: an experiment by the National Institute of Geography and Statistics (INEGI), Mexico

When developing the *National Survey of Victimization and Perception of Public Security* (ENVIPE) in Mexico, INEGI conducted pilot surveys to assess the possible effect of changing the order of the sections on the perception of security and the experience of crime victimization.

Two random samples were defined and two different questionnaire structures were applied to them: in the first sample, the section on crime victimization was positioned before the section on the perception of security; in the second sample, the section on perception came first.

Percentage of victims of selected crimes in two pilot surveys conducted when developing ENVIPE (2015)

Crimes	Pilot survey [1] Victimization before perception	Pilot survey [2] Perception before victimization
Robbery	11.1	11.4
Extortion	10.3	11.0
Vehicle theft and theft of vehicle parts	5.6	5.4
Fraud	3.5	4.9
Threats	3.6	5.0
Domestic burglary	2.5	2.7
Other kinds of theft[1]	2.0	2.2
Assault and battery	1.8	1.8
Other crimes[2]	0.4	1.6

[1] Refers to thefts other than robbery, vehicle theft and theft of vehicle parts, and domestic burglary.

[2] Includes crimes such as kidnapping or express kidnapping, sexual offences and other crimes.

Source: General Directorate for Governance, Crime and Justice Statistics, INEGI.

The data show that a question-order effect probably exists and that in almost all cases the experience of crime victimization (as measured by the percentage of respondents that were victims) is greater when the section on the perception of security is positioned before the section on the experience of crime victimization. In particular, the "warm-up effect" is bigger for crimes that are associated with a high degree of complexity (as in the case of fraud and threats) or with a heavy emotional impact (such as kidnapping and sexual violence).

It appears that positioning the section on the perception of security before the section on the experience of crime victimization is instrumental for generating a climate of trust between interviewer and respondent, as well as helping the respondent to focus on the topic of interest.

9. Building trust with respondents

There are many reasons why survey respondents may be unwilling to take part in a survey or not be completely truthful in responding to questions. Some respondents may be unwilling to admit to socially undesirable behaviour or be afraid of being held responsible for the commission of a crime. Others may have doubts regarding anonymity or confidentiality, or may feel indifferent about participating in a survey. When surveys are on sensitive topics such as corruption, questions can evoke strong personal feelings, which can lead to defensive answers, refusals or even false answers. It is therefore essential for agencies responsible for conducting corruption surveys, or surveys that include corruption-related modules, to build trust with respondents to the maximum extent possible.

The following elements are instrumental in establishing a rapport and feeling of trust with survey respondents:

a) Letter of introduction

A proper introduction to the survey should be made well in advance of the actual implementation of the questionnaire. A letter of introduction is usually sent by the coordinating agency (e.g., national statistical office), which should also mention potential additional support from other national authorities (e.g., Ministry of the Interior or Justice, national anti-corruption authority, European Union, United Nations, etc.) in order to increase the reputational image of the survey and reassure respondents. The letter of introduction should provide information on:

- The agencies coordinating and supporting the survey
- The purpose and importance of the survey
- The type and approximate length of the interview
- The number of households/businesses sampled for the survey and how respondents were selected
- The criteria for identifying the person within the household or business who should answer the questionnaire
- The use of collected data and anonymity, privacy and statistical confidentiality

When describing the main scope of the survey in the letter of introduction or introductory paragraph of the questionnaire, language and terms that could deter participation should be avoided and a positive message should be conveyed about the importance of the survey for improving policymaking. For example, it could be mentioned that the aim of the survey is to investigate the quality and level of integrity of public services. See annex IV of this Manual for existing examples of introductory paragraphs used by dedicated national corruption surveys targeted at the population and businesses.

b) Question wording/order

The UNODC-UNECE *Manual on Victimization Surveys* recommends that questionnaires begin with the least emotive topics in the survey before moving on to personal experiences. This kind of slow-paced approach gives the interviewer the opportunity to build trust with respondent, as well as giving respondents the chance to become accustomed to the survey topic before opening up about their experiences.[84] In both corruption surveys and general victimization surveys, responses tend to be more precise if the more sensitive questions are not asked too early in the interview.

[84] UNODC-UNECE, *Manual on Victimization Surveys*.

Moreover, questions should not stigmatize, blame or signal respondents as being the primary perpetrators of the corrupt act in question, but rather position them as victims of the system.

c) Interviewer conduct

Efforts should be made by the interviewer to promote an open and collaborative conversation. As with most statistical operations, proper training is crucial for teaching interviewers how to build an effective rapport with respondents (without overstepping their personal boundaries and making them feel over-exposed).

Some basic principles that interviewers need to be familiar with in order to build trust with respondents include:

- Interviewers should make sure that they look neat and appear friendly, projecting themselves as serious, yet easy-going and receptive.
- Upon meeting the respondent, interviewers should:
    - Kindly greet the respondent and introduce themselves
    - State their name, the organization they are working for, and the purpose of the visit
    - Present the objectives of the survey with a narrative that can meet the expectations of respondents (for example, about how the results will enhance better anti-corruption policies)
    - Briefly refer to the institutional framework supporting the survey
    - Clearly explain the principle of statistical confidentiality and how the collected data will only be used for statistical purposes, without it being disseminated further for any other reason
    - Provide a hotline number where the respondent can contact someone from the responsible agency to dissipate any lasting doubts
- Interviewers should appear to be interested, self-confident and self-reliant individuals throughout the whole interview.
- Upon detecting deviation or uneasiness by the respondent, interviewers should re-affirm and stress how the information provided will benefit the community (including the respondents themselves).
- Interviewers should also avoid using very complex words, technical terms and intricate syntax.
- Under no circumstances can interviewers show any judgement or complacent reaction to respondents, their responses and practices.
- Interviewers should respect and uphold the cultural norms of a respondent's community and avoid behaviour that could be interpreted as transgressing a respondent's beliefs and idiosyncrasies. For example, surveys should not be conducted on days of worship, and the norms appropriate when contacting respondents need to be respected.
- It is unacceptable to make evaluative comments about respondents' answers; a neutral expression is especially necessary when soliciting answers on corruption experiences and related conducts.

A note on confidentiality

Suggestions presented in this section are basic recommendations on how to approach respondents appropriately during an interview. Nonetheless, it is also important that interviewers thoroughly reaffirm the privacy and confidentiality of the information provided.

Confidentiality is a key element that obliges agencies to protect information supplied by respondents[a] and is the basic foundation for trust-building. Responsible agencies must take all necessary safeguards to guarantee that results produced by official statistical projects do not allow for the identification of respondents. Consequentially, interviewers must fully understand, promote and explain this obligation throughout interviews.

Depending on each Member State's legislation, national statistical offices may even be subject to the legal obligation of protecting information obtained for statistical purposes, in line with the United Nations Fundamental Principles of Official Statistics. To promote trust in such agencies further, it is important to make respondents aware of this liability (see section on confidentiality responsibilities of interviewers).

[a] UNODC-UNECE, *Manual on Victimization Surveys*, p. 71.

d) Informed consent and respondent privacy

Ensuring transparency when dealing with respondents is essential for building trust. In order to be transparent about the objectives of the survey, informed consent should be obtained from respondents. Informed consent allows potential respondents to evaluate the possible harm associated with participating in a survey and to make an informed decision about whether to participate.

Furthermore, information about the use of data on corruption, the anonymity of respondents and the privacy and confidentiality protocols used by the responsible agency while collecting, treating and disseminating survey data is of utmost importance. The political climate and the community's general opinion of and confidence in the government can impact on their trust in the responsible agency, especially when it is also a government institution. When such situations arise, it is fundamental to try to overcome them by constantly reassuring citizens that the work carried out by the agency is limited purely to statistical purposes.

A clear disclosure should be included in all of the responsible agency's publications, products and media messages, stating that the data it obtains will not be used for other objectives (such as taxation or prosecution) and that the private information of participants is secured. Providing references to legal articles and clauses relating to statistical regulation can help build trust with respondents further.

The responsible agency needs to apply the requisite protection of respondents and data during all stages of a survey, and present all its results comprehensively, fairly and in an understandable format for all end users.

10. Selection and training of interviewers

Bearing in mind the relevance of the role of the interviewer within the survey cycle, special attention should be given to the recruitment and training of the interviewing team. An interviewer "can offer improved quality and/or introduce bias into the data, [and] depending on their behaviour and level

of professionalism, they can prevent respondents from providing erroneous information".[85] Only professionally trained and experienced interviewers should attempt to contact prospective respondents. The following sections present basic notions to observe in the selection and training process of those interviewers.

a) Selecting interviewers

While it is recommended that interviewers meet the general requirements that most national statistical offices expect, previous experiences with corruption surveys draw the attention to the following specific criteria:

Gender and age – Although diversity in the selection of interviewers is strongly encouraged, the possible impact of the gender and age of an interviewer on the attitude of respondents needs to be considered carefully.

Origin – In general terms, interviewers should not be directly selected from the city or community in which they are going to work, since the probability of having acquaintances in common with the interviewer, may cause social desirability bias or increase non-disclosure. However, interviewers can be recruited to work in their own state or province, since the agency responsible can benefit from their linguistic and cultural knowledge of its different regions.

Education – As a minimum, interviewers should have completed secondary school. However, due to the conceptual rigorousness of the topic and to the required knowledge of basic national legal notions on corruption offences, it is advisable that interviewers have a bachelor degree or equivalent.

Interpersonal skills – Interviewers should have excellent relational and communicational skills. These are key for securing interviews and relating to respondents.

Integrity – Since interviewers have access to the personal information of respondents, interviewers must have a high level of integrity. Personal motivations for choosing this line of work and previous work experience are particularly useful for assessing that.

Experience – The sensitivity of corruption surveys requires a special level of preparedness and proficiency in handling interviews with ease and professionalism.

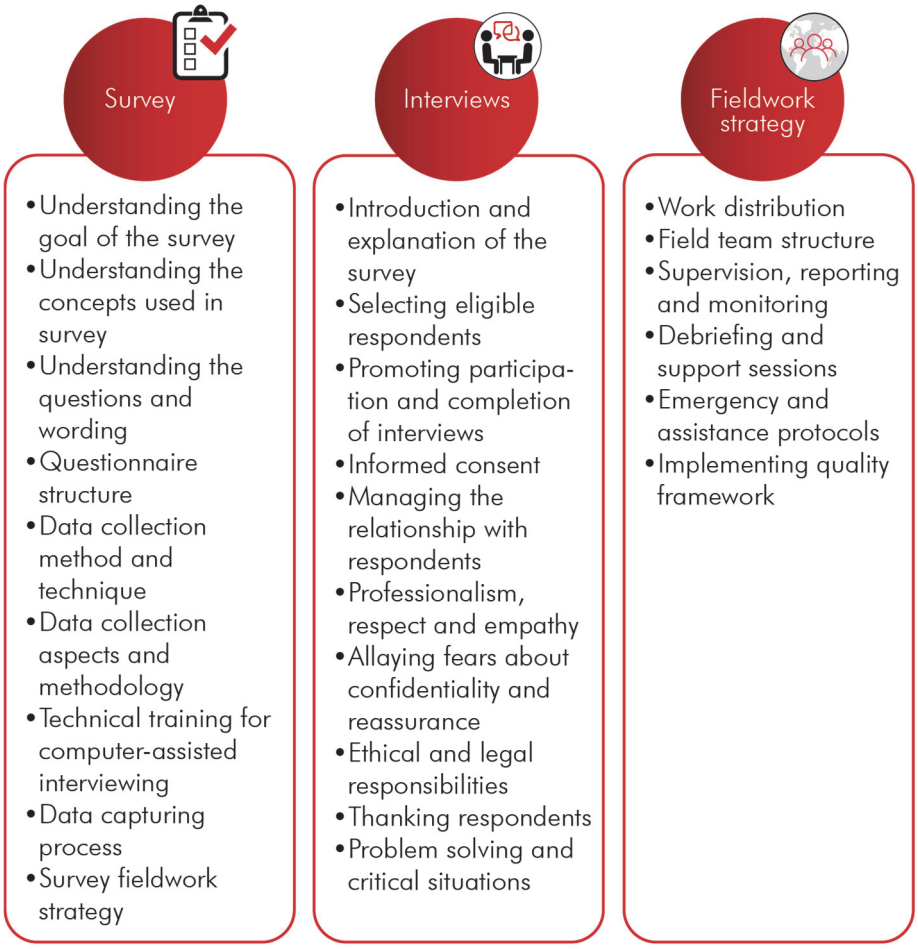
b) Training interviewers

Proper training ensures that interviewers are not only well qualified but also that they balance their performance between the effective application of the interviewing technique, the correct collection of information and respect for the respondent. Training should enable interviewers to further develop the skills that made them eligible during the selection process.

The training curriculum should be specifically designed according to the survey methodology, sample size and available resources. A list of basic topics that need to be addressed is presented in the following figure.

[85] UNODC-UNECE, *Manual on Victimization Surveys*, p. 48.

Figure 5: Core topics to be addressed in the training of interviewers



It should be noted that training should be actively maintained in a continuous manner throughout the whole data collection phase of the survey, including of replacement interviewers recruited once the survey has begun. This will help the application of corrective training/measures so that interviewers can be backed up in aspects such as the wording of questions. This will also help alleviate potentially stressful situations and prevent "burn-out" among interviewers.

11. Ensuring confidentiality of collected data

Actual confidentiality protocols must be in place if respondents willingly accept to participate in a survey based on the notion that their information will be protected. Survey researchers then have the ethical, and in most cases legal, responsibility to protect the interests and identities of respondents. Confidentiality should not be deemed an ideal target, but rather a basic and fundamental requisite. Specific action must therefore be taken during the survey cycle, both by interviewers and by the responsible agency.[86]

Since information collected in corruption surveys may include data on past criminal offences, ensuring confidentiality is of paramount importance, both for interviewers and responsible agencies.

[86] Jan van Dijk et al., *Final Report on the Study on Crime Victimization.*

a) Confidentiality responsibilities of interviewers

- **Interviewers must adhere to rigorous codes of conduct** – A code of conduct must be provided by the responsible agency and should state clearly how interviewers need to behave during fieldwork, how to treat respondents and how to handle respondents' information.
- **Interviewers must make sure that respondents answer the survey individually** – Taking into account the sensitivity of the survey topic, respondents should answer the questionnaire without any external pressure, and with no other member of the household/business present. Interviewers must be sure to cater for such situations.
- **Interviewers must be aware of the liability of disclosing information** – Van Dijk et al.[87] highlight the importance of making interviewers fully aware of the legal consequences of revealing information pertaining to respondents. For employees of the United States Bureau of Justice Statistics, for example, failure to meet confidentiality standards can result in a fine of up to $250,000 and/or imprisonment for up to five years if found guilty of an unauthorized disclosure of individual information.
- **Interviewers must adhere to instructions** – In some instances, breaches of information may be caused by negligence or involuntary omissions. It is therefore important that interviewers follow instructions from within their chain of command with extreme care.

b) Confidentiality responsibilities of agencies

A critical safeguard to ensure statistical confidentiality is the existence of a robust legal framework that can prevent interviewers from disclosing knowledge of a criminal event such as the offer of a bribe.[88] The conduct of a corruption survey must be framed within a broader normative regulation on statistical production, which imposes obligations and liabilities to interviewers who fail to meet confidentiality standards. It is also important to emphasize these responsibilities during the training of interviewers and to stress them at the beginning of each interview.

- **Informed consent** – Refers to a respondent's acceptance of participation in a survey only after being made aware of all the relevant implications, repercussions and alternatives that he or she is faced with. Informed consent can be obtained verbally or in writing (although this practice is often only used for surveys in which the target population are children, and parents need to give written consent for their participation). Some essential elements of informed consent which national statistical offices have conveyed to respondents are:
    - A description and explanation of the purpose of the research, which includes how long the respondent will be needed to participate and a description of the procedures
    - A description of any anticipated benefits and the importance of giving truthful answers
    - Disclosure of how the anonymity or confidentiality of the data will be maintained
    - Disclosure of whom to contact with any questions (within the responsible agency)
- **Internal and external clarification of how confidentiality must be maintained** – Agencies are responsible for protecting the information voluntarily provided to them. The legal norms that define this responsibility should be presented accurately to respondents. In the same way,

[87] Ibid.

[88] In some jurisdictions, the issue may be even more complex as knowledge of the commission of a crime (such as active or passive bribery) must be disclosed to the competent authorities and failure to do so may itself constitute an offence. In this case, the confidentiality of interviews should be protected by specific legislative provisions.

anyone with access to private information within the agency should also be made aware of their professional responsibility.

- **Avoiding harm to respondents during interviews** – Although unlikely in the case of corruption-oriented surveys, there is always a possibility that the questions and/or survey procedures will cause respondents physical, emotional or psychological damage. As corruption is a sensitive topic, respondents may experience discomfort or even traumatic reactions when recalling their experience. Questions should therefore be tested to prevent them from being perceived as intrusive, embarrassing or even self-incriminating.
- **Preventing respondent identification** – Harm can also be done when breaches of information lead to the identification of a respondent. Thus, to prevent a respondent's answers from becoming public, the responsible agency should ensure the adoption of "protocols for protecting the information provided by respondents and for removing identifiers from survey responses, securely storing information, encrypting files and reporting data".[89] This can be achieved through various methods, but in general, agencies should make efforts to ensure the confidentiality of information, protect any data that can be used to identify respondents or individual cases, scramble identification codes and examine outliers for key variables. In cases when survey data are made available to researchers, specific procedures need to be put in place to guarantee the complete anonymity of respondents.
- **Adhering to professional and scientific methods** – Responsible agencies should adhere to scientific processes and international standards that not only guarantee the validity of data but also the correct use of those data for statistical purposes. To that end, they need to develop specific guidelines and codes of ethics which ensure that individual data remain confidential and are only used for statistical purposes, as prescribed by the United Nations Fundamental Principles of Official Statistics.[90]
- **Engagement of independent monitors** – The inclusion of independent observers of survey operations could enhance integrity. Such monitors should verify to what extent all confidentiality measures have been consistently applied and provide a written assessment.

[89] UNODC-UNECE, *Manual on Victimization Surveys*.

[90] United Nations Fundamental Principles of Official Statistics [A/RES/68/261]. Available at https://unstats.un.org/unsd/dnss/gp/FP-New-E.pdf.

Ensuring confidentiality of survey data: the experience of the Italian National Institute of Statistics (ISTAT)

ISTAT is required by law to respect statistical confidentiality (Legislative Decree 312/89). The data collected during surveys can only be used for statistical purposes and cannot be communicated to other institutions or persons (including criminal justice authorities) if not processed and published in the form of tables and in such a way that no individual reference is possible. Pursuant to the same legislation (article 7, paragraph 2), the person interviewed must be informed of these rights and may decide whether or not to respond to "sensitive" questions contained in the various sections of questionnaires. Pursuant to the law governing the protection of privacy (Legislative Decree 196/2003), the only data controller is ISTAT. Below is an example of how the interviewers informed respondents about the confidentiality clauses:

"As in previous years, we are conducting a survey on the security of citizens and your participation is very important. Naturally, all your responses will be treated as strictly confidential and the data collected will be analysed in a way that will make it impossible to disclose information about participants."

<< Mandatory to state by law >>

"Let me inform you that, according to the law on data confidentiality, all the information provided will be exclusively used for statistical purposes, guaranteeing the most complete anonymity."

12. Cognitive testing

Cognitive testing is an essential step for guaranteeing the sound development of survey questionnaires. Cognitive testing should be developed for four main reasons:[91]

- Evaluating whether respondents understand the questions as the designers of the questionnaire meant them to be understood
- Ascertaining whether particular questions are incomprehensible or clear to respondents
- Helping to reveal if certain topics are too sensitive or uncomfortable for respondents, which may lead to respondents refusing to answer
- Illustrating the degree to which respondents are interested in the topic, as well as if the questionnaire is too long

Cognitive testing methods include several approaches. First, respondents may simply be observed completing the questionnaire. Second, an interviewer encourages the respondent to "think aloud" while answering the questions. Respondents are encouraged to comment on each question and explain how the final response was selected. Third, interviewers may verbally probe the respondent, which takes place after the respondent has answered the question, when the interviewer may ask for other specific information relevant to the question or the answer. Finally, cognitive testing may involve the use of focus groups; this is the informal discussion of a selected topic by participants who are chosen from the population of interest.

[91] UNODC-UNECE, *Manual on Victimization Surveys*, p. 133.

Cognitive tests can be useful for testing specific aspects of the questionnaire or even the survey methodology. For example, it may be necessary to ascertain the validity of screening questions or the duration of the reference period.

When developing a survey on a sensitive and complex issue such as corruption, the importance of cognitive tests is even more relevant. This kind of testing is fundamental for ascertaining whether questions on the experience of bribery are well understood by respondents.

Examples of cognitive testing of questions on corruption

Corruption in Nigeria – Bribery: Public Experience and Response (2017) – UNODC and National Bureau of Statistics, Nigeria

The objective of the cognitive testing in this survey was to examine the ways in which respondents interpret, consider and ultimately answer questions, as well as to identify potential response errors. Feedback was obtained on the following issues:

- How people respond to items if posed as open-ended questions (this information is useful in the construction of the final, standardized response categories)
- The appropriateness of pre-existing response options; whether the respondent makes distinctions between the categories provided and why the respondent chooses a specific category
- Whether different respondents answer the same question using similar response categories and, if so, what categories are most relevant
- Item comprehension: the terminology understandable and appropriate for asking about the concept in the question; and whether respondents understand the questions
- What respondents were thinking and feeling when they were formulating responses to the items

Forty respondents were selected for one-on-one in-depth interviews. Staff from the National Bureau of Statistics conducted the interviews after being trained in cognitive testing. The questions were administered face-to-face during the cognitive interview and respondents were observed while they were responding. The one-on-one interviews explored the four steps in the cognitive process of responding to questions:

1. Understanding the question and response categories
2. Recalling/looking for the information requested
3. Thinking about the answer and making a judgment about what to report
4. Reporting the answer

Each one-on-one interview lasted for an average duration of 47.2 minutes, ranging from 27 minutes to 73 minutes. With regards to the survey's main screening questions (i.e., contact with public officials and experience of corruption), the results of this cognitive testing were particularly interesting.

Contact with public and private sector services – cognitive testing results

a) The questions were easily understood by respondents. The only challenge was that, to avoid responses that were outside the reference period, interviewers had to remind respondents that the reference period was 12 months prior to the interview.

b) There were consistent interpretations of "having contact" with public officials as most respondents associated that contact with a situation where a bribe request was possible. Response categories were well understood by respondents.

c) Respondents who had no contact during the reference period understood the meaning of contact even after reading through the list of options. Therefore, most of the "no" responses were based on a clear understanding of the question. Every example given by respondents was based on their experience or the experience of a close friend, neighbour or relative.

Experience of bribery with public officials – cognitive testing results

a) Discussing corruption is not very sensitive and the question was easily understood by respondents. The binary response categories were not problematic.

b) b) The only challenge was that, although the question was not repeated, some respondents had trouble understanding the concept of a counterfavour. Often, experiences that involved counterfavours were considered to be bribes by some respondents, whereas other respondents did not consider such an experience as a bribe.

13. Pilot survey

Pilot surveys are not only helpful in identifying the best trade-off between available resources and coverage, response and measurement bias, but are also fundamental in evaluating the burden and the comprehensiveness of the questionnaire; the efficacy of question formulation in measuring experiences of bribery and corruption; the experience of interviewers; and the level of respondent cooperation.

During a pilot survey, all the phases of a survey are tested on a small number of respondents. In order to verify the survey structure, interviewers, information flow, data and other important questions, the following aspects should be checked:

- Criteria for selection of respondents
- Data collection method and related bias (i.e., coverage effect, non-response effect, measurement effect)
- Length of the survey
- Comprehensiveness of the questionnaire, acceptability and efficacy in measuring the survey topic
- Experience of interviewers and the efficacy of their training
- Non-response rate (overall and by questionnaire items)
- Information flows between survey interviewers and supervisors (e.g., address selection and substitution)
- Data recording and download

When developing a pilot survey, to ensure that the various contact methods are tested, it is more important to select the specific typologies of respondents than to select sample units that are representative of the overall population of interest.[92] In this way, it will be possible to identify potential bias or misrepresentation of the target population: For example, the pilot study should include

[92] UNODC-UNECE, *Manual on Victimization Surveys*.

segments of the population where it is anticipated that challenges may arise in contacting or interviewing people (such as members of minority groups).[93]

Examples of pilot surveys:

Pilot survey on the Experimental Module on Corruption Measurement, Italy

The ad-hoc module on corruption in Italy was tested in a pilot survey conducted in July 2015 in Padua, Milan, Rome, Naples and Palermo, with 500 CATI interviews and 150 CAPI interviews.

Given the positive outcome of the pilot survey as a whole, the module was incorporated into the *Multipurpose Survey on Households: Safety of Citizens*, which began at the beginning of October 2015.

Pilot Survey of *Corruption in Nigeria – Bribery: Public Experience and Response* survey

Before conducting the main fieldwork for the national survey on the quality and integrity of public services in Nigeria in 2017, the National Bureau of Statistics conducted a pilot survey to check the effectiveness of the draft questionnaire and the overall level of preparedness for the survey implementation. Key areas of focus during the pilot survey included the following:

- Understanding the purpose of the questionnaire by interviewers
- Testing questions for reliability and consistency
- Adapting questions to context
- Adapting local terms to ease understanding of the questionnaire
- Checking questionnaire length and time
- Mastering the use of the electronic device for data collection

Based on the outcome of the pilot survey, the following quality control measures were adopted in order to ensure the reliability of the data collection:

- Translating of the questionnaire into local languages
- Updating the household listing frame to include extra households as possible replacements
- Improving the logic and consistency check of the CAPI device
- Conducting further training for interviewers in the use of the electronic device adopted for fieldwork

The pilot survey proved crucial to the implementation of the survey as it identified a series of practical operational factors for improving the quality of the fieldwork.

With regard to conducting pilot corruption surveys, particular attention should be paid to testing the following aspects:

- Suitability of survey questions measuring experience of bribery and perception of corruption
- Terminology used to identify bribery in order to avoid social desirability bias, improve trust with respondents and ensure that all types of respondents will have the same understanding of the phenomenon under investigation
- Need to address specific practices or situations existing in the country

[93] Ibid, p. 135.

- Comprehensiveness of the list of public officials/services to include in questions on bribery
- Comprehensiveness of the list of business economic sectors included in questions on bribery
- Feasibility of investigating specific forms of corruption such as nepotism, favouritism and vote buying
- Acceptability of the questionnaire and the reliability of the responses
- Survey mode that best addresses the issue of social desirability
- Need for a set of control questions to check the reliability of the responses
- Need to involve specific stakeholders or public institutions to increase trustworthiness
- Need to advertise the introduction of the survey through special institutional or non-institutional channels in order to increase response rate

3

CORRUPTION SURVEYS AMONG THE POPULATION

III. CORRUPTION SURVEYS AMONG THE POPULATION

The second part of this Manual discussed general issues on the development of corruption sample surveys. In this part, detailed suggestions are presented for defining the objectives, statistical outcomes and requirements for sample surveys among the general population.

1. Survey goals and objectives

Similar to other statistical activities conducted in the framework of official statistics, corruption surveys are aimed at producing high-quality information that can inform policymakers and public opinion about the main features of corruption, so that better policies can be developed and implemented to counter it. More specifically, a number of possible objectives should be considered when implementing a sample survey on bribery among the population, such as:

- Understanding the features of bribery in terms of its extent, geographic distribution, at-risk population groups, types of public official involved, administrative procedures particularly at risk, types of bribe requested, modus operandi, type of relationship between counterparts, main reason for paying a bribe, consequences of accepting or refusing a bribe, etc.
- Collecting information on the contexts where and when bribery takes place, including on the drivers of bribery
- Investigating the demographic and socioeconomic characteristics of those involved in a bribery act (e.g., age, gender, educational attainment, income level, media exposure, etc.)[94]
- Measuring the perception of bribery and other forms of corruption, as well as public opinion on trends and patterns of corruption, in order to contrast the results with the experience of respondents
- Assessing the functioning of anti-corruption measures, including on the reporting channels and systems available to those who experience bribery (e.g., transparency of public institutions, whistleblowing procedures, existence of informal and formal controls of integrity, etc.)
- Collecting information on vulnerabilities, drivers and risk factors related to bribery, as well as on red-tape and quality of services provided by the public sector

In addition to the above objectives, corruption surveys among the population enable the collection of data for producing Sustainable Development Goal indicator 16.5.1, thus allowing national authorities to track progress in achieving Sustainable Development Goal target 16.5. The implementation of corruption surveys will also enable the production of disaggregated data on the prevalence of bribery; for example, at different geographic levels and for different types of public official.

More detailed information on selected issues in sampling, how to design the questionnaire and formulate questions for household corruption surveys is provided in the following sections.

[94] The Sustainable Development Goals suggest that national surveys on corruption among the population should be able to disaggregate the prevalence of bribery, at the very least, by type of public official, age and sex of bribe-payers, income level of bribe-payers, and educational attainment of bribe-payers. In addition, countries are encouraged to elaborate further on their own relevant demographics and disaggregation needs.

Example of survey goals and objectives for corruption surveys among the population

Goal – To monitor trends in the extent and pattern of bribery when citizens deal with public officials.

Objective - The core objective of sample population surveys on corruption should be the production of data on the prevalence of bribery among the general population when dealing with public officials. Further objectives can be considered in order to cover the specific national needs of research interests, such as the prevalence of bribery when dealing with private sector personnel.

Concept definition and operationalization – Although bribery also includes behaviour such as promising or offering a bribe and covers both the public and private sector,[a] Sustainable Development indicator 16.5.1 focuses on specific forms of bribery that are more measurable than others (the giving and/or requesting of bribes) and it limits the scope to the public sector.[b] This indicator captures the type of bribery affecting citizens in their dealings with the public administration and/or public officials.

Recommended disaggregation – National surveys on corruption among the population should be able to disaggregate the prevalence of bribery, at the very least, by type of public official, age and sex of bribe-payers, income level of bribe-payers and educational attainment of bribe-payers.

Since these are recommended disaggregation categories, countries are encouraged to elaborate further on their own relevant demographics and disaggregation needs.

[a] In the International Classification of Crime for Statistical Purposes (ICCS), bribery is defined as: "Promising, offering, giving, soliciting, or accepting an undue advantage to or from a public official or a person who directs or works in a private sector entity, directly or indirectly, in order that the person act or refrain from acting in the exercise of his or her official duties." This definition is based on the definition of bribery of national public officials, bribery of foreign public officials and officials of international organizations and bribery in the private sector contained in the United Nations Convention against Corruption (articles 15, 16, and 21).

[b] Metadata for the Proposed Global indicators for the Review of the 2030 Agenda for Sustainable Development; metadata for Goal 16. Available at https://unstats.un.org/sdgs/files/metadata-compilation/Metadata-Goal-16.pdf.

2. Selected issues in sampling and data collection methods

a) Target population and survey frame

The target population of a survey is the population for which information is desired.[95] The target population of a corruption survey among the population is traditionally the population within a specific age group residing in the country in question. It may be of interest to also collect disaggregated data for subgroups of the population, relating to gender, age or geographic location.

As for the age limits of the target population, different practices have been observed at national level. While a lower age limit (normally 15–18 years) is usually established, the use of an upper limit is not always utilized. The following table shows the age ranges of the target population in several corruption surveys among the population conducted in recent years:

[95] Statistics Canada (2003). Available at https://www150.statcan.gc.ca/n1/en/pub/12-587-x/12-587-x2003001-eng.pdf?st=uR2Fh0u4.

Table 3: Age ranges of target populations in recent corruption surveys among the population

Survey	Year(s)	Age range
Multipurpose Survey on Households: Safety of Citizens (Italy)	2015	18 to 80
Corruption in the western Balkans: Bribery as Experienced by the Population	2010	18 to 64
National Survey of Quality and Governmental Impact (Mexico)	2015	18 or older
Latinobarómetro	2013	18 or older
Module of *Governance, Peace, and Security in the Strategy for the Harmonization of Statistics in Africa*	2013–2017	18 or older
Global Corruption Barometer – Transparency International	2016–2017	18 or older
Special Eurobarometer 397: Corruption (European Commission)	2015	15 or older
Corruption in Nigeria – Bribery: Public Experience and Response	2017	18 or older

Source: UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

Subject to a country's specific needs, it is recommended that samples should include citizens aged 18 years or older, in order to ensure the comparability of results with existing initiatives and that the sample is representative by age, sex and geographic location, since these population groups may be affected by different levels and types of corruption. Countries may consider lowering the age threshold in accordance with national legislation.

A sampling frame represents a set of source materials (e.g., population registers or electoral registers) from which the sample is selected. In other words, it represents the list of units and related information that provides a means of choosing particular individuals in the target population to be interviewed in the survey.[96]

The selection of the sampling frame is as important as a well-defined target population. There is a two-way relationship between the target population and the sampling frame: although the choice of the sampling frame should be made based on the target population of interest, the sampling frame ultimately defines the population actually covered by the survey.

Sampling frames may exclude sections of the population, including people living in institutional settings such as hospitals and prisons, or may include areas that are impossible (or too expensive) to access because of geographic barriers. In this sense, these population subgroups should be excluded from the target population at the design phase. In particular, attention needs to be paid to any possible bias if population groups excluded from the sample frame have a different exposure to bribery from those included in the sample frame.

[96] United Nations, *Designing Household Survey Samples: Practical Guidelines*, Studies in Methods, Series F, No. 98, (New York, 2008), p. 75.

In the case of surveys conducted by telephone (CATI), for example, this could become a significant issue, as households with landlines tend to have different characteristics from households that communicate exclusively via mobile phone or from households not registered in any telephone directory. Moreover, in the case of face-to-face surveys (CAPI), an imperfect sampling frame could result from an out-of-date list of addresses, which may not include recently built houses. In both cases, the sampling frame does not cover the entire population and certain groups exposed to bribery may be at risk of being excluded.

In general, a sound sampling frame for corruption surveys among the population could be based on the most recent population census. Since frames need to be as current, complete and accurate as possible to avoid under-coverage of the target population and potential biases, it is recommended to conduct corruption surveys on the basis of the most up-to-date census frame.

b) Sampling unit

The ultimate sampling unit is defined as the smallest unit that is the subject of sample selection. In a population survey, the ultimate sampling unit is the individual. Often in corruption surveys, the sampling frame does not contain a list of ultimate sampling units, but rather of intermediate sampling units such as households.

In some cases, bribery payments refer to households as a whole (e.g., in the case of utility payments) but they can also refer to when a member of the household pays on behalf of another member (e.g., in the case of bribes paid to school teachers or to health professionals); in such cases, it could be argued that the household should be used as the reference unit and thus as the sampling unit. However, underestimation issues would exist in such cases, as the household member selected as the respondent may not have complete information about all contacts with public officials by all household members and relevant bribe payments. To ensure better accuracy of results, the use of individuals as sampling units is recommended. This may result in a cost increase because of the need for multiple visits to interview the randomly selected respondent.

c) Survey mode

The selection of data collection method (survey mode) is an important aspect of a corruption survey, as it can have an impact on the willingness of respondents to disclose their experience of bribery and other topics covered by the survey. The selection of a specific data collection method may have an impact on measurement errors (such as social desirability biases), the survey response rate and non-response biases.

As with other surveys on sensitive topics (e.g., violence against women or use of illicit drugs), the selection of the data collection method needs to take into account the practices that are commonly used in the country in question and the expertise and resources available, including the availability of different types of sampling frames. If possible, various survey modes should be tested in the pilot phase.

Examples of data collection methods used by national corruption surveys among the population

The integrated module on corruption within the *Multipurpose Survey on Households: Safety of Citizens*, conducted by ISTAT in 2015/2016, showed higher response rates for face-to-face interviewing (CAPI) than for telephone interviewing (CATI), but comparable corruption reporting rates for both methods. There was no evidence of a social desirability bias in either of the two methods. According to the Italian experience, adopting a mixed mode CATI/CAPI, which would enable costs to be contained and the lower response rates of telephone interviews to be balanced, could also be a feasible and consistent option.

The *Anti-Corruption Behaviour Survey*, conducted out by BPS – Statistics Indonesia in 2015, was implemented using CAPI. CATI was not as effective as face-to-face interviews in Indonesia because of the following reasons: 1) varying educational levels and varying access to fixed-line telephones among the population; 2) the need for a high response rate; and 3) the complexity of the questionnaire, which required clarifications and explanations.

Corruption in Nigeria – Bribery: Public Experience and Response (UNODC and NBS) was conducted via CAPI, using a hand-held device to capture the data during the interview. The device featured a programme with automatic consistency checks between answer options and enabled a smooth interview process by automatically following skip rules. After the interview, data were automatically uploaded to the central data processing centre at NBS headquarters (in Abuja), where they were processed and validated.

d) Sample design

While "Stratified sampling" is often used in household corruption surveys, other popular sampling methods include "Cluster sampling", "Sampling proportional to size" and "Multi-stage sampling". Further details on these methods can be found in the United Nations' *Practical Guidelines to Designing Household Surveys*.[97]

The following table shows the sample design of different surveys on corruption in several countries:

Table 4: Sample design of different corruption surveys

Country	Survey	Sample Design
European Union	*Special Eurobarometer 397: Corruption*	Stratification by regional administrative unit and type of area. Households were selected randomly and systematically. One respondent per household was selected via the "closest birthday rule".
Indonesia	*Anti-Corruption Behaviour Survey*	Multi-stage sampling. Sample of 170 districts/cities based on sampling proportional to the size of the population, with replacement. Random selection of census blocks, stratified by rural/urban areas. Ten households were then selected randomly from each census block. One respondent per household was selected using the "Kish grid procedure".

[97] United Nations, *Designing Household Survey Samples: Practical Guidelines*, Studies in Methods, Series F, No. 98, (New York, 2008); UNODC-UNECE, *Manual on Victimization Surveys*.

Mexico	*National Survey of Quality and Governmental Impact* (2015)	Stratification by conglomerates to ensure subnational representativeness. One respondent per household was randomly selected.
Nigeria	*Corruption in Nigeria – Bribery: Public Experience and Response* (2017)	Stratification at the state level and type of area (rural/urban). About 60 Enumeration Areas were randomly selected from each state. Fifteen households were randomly selected from each Enumeration Area. One respondent per household was randomly selected.
Italy	Integrated module on corruption within the *Multipurpose Survey on Households: Safety of Citizens* (2015-2016)	Two separate frames, two designs. Stratified sampling for households with landline telephones (CATI: 85 per cent of sample). Stratified sampling by municipality for households without landline phones (CAPI: 15 per cent of sample).
Panama	National Victimization and Public Safety Survey (2017)[98]	Stratification by conglomerates. Sample size determined independently by province/districts to ensure representative results for the urban population at the provincial and district (two specific districts) level.

Source: UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

e) Sample size

Many household corruption surveys are aimed at obtaining reliable estimates for specific population groups (e.g., by sex, by subnational region), creating further restrictions on the calculation of sample size. When these variables are used to stratify the sample, it is possible to have control of the sample size and, therefore, of the precision of the estimates for relevant subpopulations. There are several methodologies for optimally allocating a sample across several strata, or calculating the required sample sizes for each stratum.[99]

f) Selection of respondents

The appropriate selection of respondents is key to guaranteeing the reliability of corruption survey results. As population surveys target individuals (and not households), when the intermediate sampling unit is at household level the process to select the respondent must be transparent and random. To facilitate random selection, once a household is selected from the frame, basic necessary information on every individual that lives in that household should be collected. This is of great importance as it enables the probability of each sampling unit being included in the sample to be calculated and, thus, the sampling weights used in the estimation phase to be calculated properly.

Two main approaches for random selection are generally used:

1. **Closest birthday rule –** The household member whose birthday is closest to the date of the interview is chosen as the respondent

[98] *Encuesta Nacional de Victimización y Percepción de Seguridad Ciudadana*. Available at www.siec.gob.pa/index.php?option=com_phocadownload&view=category&id=16&Itemid=239.

[99] For an overview of these methods, see Statistics Canada (2003). Available at https://www150.statcan.gc.ca/n1/en/pub/12-587-x/12-587-x2003001-eng.pdf?st=uR2Fh0u4.

2. **Kish grid procedure** – Every eligible member of a household is assigned a unique combination of digits, which are placed in a selection grid and randomly chosen based on their place in that grid

The use of other criteria to select respondents within a household, such as interviewing the "head" of the household or the oldest member of the household, should not be pursued. Nor are other practices recommended, such as interviewing all household members or interviewing one member about the experience of all household members, as these methods can provoke clustering effects and/or result in an unnecessary burden for respondents and a decrease in the accuracy of responses.

Sample size calculation: the example of the *National Survey of Quality and Governmental Impact* (ENCIG), Mexico

The sample design of ENCIG is a three-stage sample, stratified by conglomerates, in which the ultimate unit of selection is a person aged 18 years or older. The sample was designed to provide reliable results at national level, state level and for Mexican cities of 100,000 and more inhabitants.

As the prevalence of bribery was unknown, various options were considered for calculating the size of the sample in the first wave of the survey. As robbery is believed to have a similar prevalence to bribery in Mexico, it was decided to use the prevalence of robbery as a proxy. In countries where no prior victimization surveys are available, conducting a pilot exercise is crucial.

Using the formula specified in the box on page 50 to calculate the sample size for each Mexican state, and considering a confidence level of 90 per cent, an expected maximum relative error of 15 per cent, a design effect of 1.47, a response rate of 85 per cent, and proportions that fluctuated from 10.4 per cent to 17.2 per cent, depending on the state, sample sizes ranging from 1,000 to 1,800 households per state were obtained.

For those states where the proportion was closer to 10.4 per cent, the required sample size was closer to 1,800, as the formula shows:

$$n = \frac{z^2\hat{p}(1-\hat{p})}{e^2} \times \frac{DEFF}{r} = \frac{1.645^2 0.104(1-0.104)}{(0.15 \times 0.104)^2} \times \frac{1.47}{0.85} = 1{,}792$$

Similarly, for those states where the proportion was higher and closer to 17.2 percent, the required sample size was smaller at around 1,000 households:

$$n = \frac{1.645^2 0.172(1-0.172)}{(0.15 \times 0.172)^2} \times \frac{1.47}{0.85} = 1{,}083$$

At national level, this amounted to 38,000 households, a sample size that enables the estimation of proportions as low as 0.5 per cent under the same parameters of maximum expected relative error, confidence level, design effect and non-response rate.

3. Designing the questionnaire

In a sample survey, the information objectives need to be translated into questions in order to elicit the requisite information from respondents. The process of selecting the questions, formulating them

in a clear and concise manner and building a logical questionnaire structure has to be managed carefully, as these features can have a significant effect on survey responses.[100]

Based on the experience of numerous surveys on corruption conducted in several countries across the world, this section is aimed at addressing the abovementioned issues by suggesting the key topics to be covered and how to formulate sensitive questions on the experience of bribery.

a) Topics to be included in a corruption survey

This section discusses topics to be covered in corruption surveys among the general population, for guaranteeing that multiple types of information relevant to anti-corruption policies are addressed.

Awareness of corruption, trust in institutions and perception of corruption

a) Access to public services and assessment of their quality and integrity

This set of questions usually includes information on citizens' access to, and quality of, basic services (such as health and education) and their perception of the adequacy and efficiency of public services.[101] As it is widely recognized that corruption, irrespective of its form, undermines the performance of public services and negatively affects citizens' perceptions and evaluations of those services,[102] the inclusion of a set of questions on citizens' satisfaction with public services can assess this relationship.

b) Knowledge of corruption and acceptability of selected behaviours

In this set of questions, respondents are usually asked to identify what they understand as constituting corruption by choosing from a list of behaviours. This is useful for framing differences in the understanding and acceptability of corrupt behaviours, not only across countries but also across different population groups (e.g., by sex and age). This set of question is also relevant for testing whether a relationship exists between attitudes towards corruption and the experience of paying bribes.

c) Level of trust in public institutions

Trust in public institutions, including in law enforcement and the criminal justice system, should be investigated in order to aid understanding of whether and how the perception and/or actual experience of corruption affect trust in public agencies. Indeed, it has been demonstrated that the level of trust in public institutions is linked to how corrupt those institutions are perceived to be.[103]

[100] UNODC-UNECE, *Manual on Victimization Surveys*; James P. Lynch, "Problems and promise of victimization surveys for cross-national research"; Roger Tourangeau, *Cognitive Aspects of Survey Methodology: Building a Bridge Between Disciplines*; Fritz Strack, and Leonard L. Martin, Thinking, "Judging, and communicating: a process account of context effects in attitude surveys"; Norbert Schwarz and Hans-J. Hippler, "Subsequent questions may Influence answers to preceding questions in mail surveys"; Seymour Sudman, Norman N. Bradburn, and Norbert Schwarz, *Thinking About Answers: The Application of Cognitive Processes to Survey Methodology*.

[101] World Bank, "Citizen report card surveys – a note on the concept and methodology, Social Development Notes – Participation & Civic Engagement, Note No. 91 (2004). Available at https://openknowledge.worldbank.org/bitstream/handle/10986/11277/286010CRC0SD0note09101public1.pdf?sequence=1&isAllowed=y .

[102] Heungsik Park and John Blenkinsop, "The roles of transparency and trust in the relationship between corruption and citizen satisfaction", *International Review of Administrative Sciences* (2011), pp.254-274; Alberto Vannucci, "Three paradigms for the analysis of corruption", *Labour & Law Issues*, vol. 1, No. 2 (2015) pp. 1-31.

[103] Stephen D. Morris, "Corruption and trust: theoretical considerations and evidence from Mexico", Meeting of the Midwestern Political Science Association, Chicago, Illinois (2008); Heungsik Park and John Blenkinsop, "The roles of transparency and trust in the relationship between corruption and citizen satisfaction".

This set of questions is interlinked with those related to perceived corruption among different institutions.

d) Trends in the perception of corruption and of its scope within public institutions

Although the measurement of corruption experience is focused on bribery, the measurement of the perception of corruption may include a broader range of attitudes and beliefs (for example, conflict of interest, abuse of power, embezzlement of public funds, etc.). Including questions on the perception of corruption is also important for examining the relationship between direct experience of corruption and the general perception of its trends and scope. In all cases, such questions are complementary to, but not indicative of, the experience of corruption.

e) Awareness and effectiveness of anti-corruption agencies/institutions

These questions are aimed at improving understanding of the level of awareness of existing anti-corruption agencies among the population and the perceived effectiveness of each of those agencies. In addition, specific questions on government commitment to, and efforts in, fighting corruption can be added.

Experience of bribery when dealing with public officials

f) Occurrences of bribery when dealing with public officials

This section represents the core part of the questionnaire. The aim of this set of questions is to identify all occurrences of bribery experienced by citizens who had at least one contact with a public official in the selected reference period. These questions enable the measurement of the prevalence and frequency of public sector bribery.

g) Characteristics and circumstances of bribery when dealing with public officials

Drawing on the last incidence of bribery experienced by respondents, additional information on the characteristics of the event is collected (e.g., the type and sex of the public official involved, the amount paid, etc.). This set of questions enables the analysis of additional information to complete understanding of the complexities of public sector bribery and to develop evidence-based policies.

h) Response by bribe-payers to bribery when dealing with public officials

This set of questions collects information on whether or not a bribery incident was reported to the relevant authorities, the result of, or reason for, not reporting it, and satisfaction with the response by the relevant authorities, etc. This is important for understanding the effectiveness of the criminal justice response to bribery.

Experience of bribery when dealing with private sector personnel

i) Occurrences of bribery when dealing with private sector personnel

The aim of this set of questions is to identify all occurrences of bribery experienced by citizens who had at least one contact with a private sector employee in the selected reference period. These questions enable the measurement of the prevalence and frequency of private sector bribery.

j) Characteristics and circumstances of bribery with private sector personnel

Drawing on the last incidence of bribery experienced by respondents, additional information on the characteristics of the event is collected (e.g., the type and sex of the private sector employee involved, the amount paid, etc.). This set of questions enables the analysis of additional information

to complete understanding of the complexities of private sector bribery and the development of evidence-based policies.

k) Response by bribe-payers to bribery when dealing with private sector personnel

This set of questions collects information on whether or not a bribery incident was reported to the relevant authorities, the result of, or reason for, not reporting it, and satisfaction with the response by the relevant authorities, etc. This is important for understanding the operations, efficiency and effectiveness of the criminal justice system and its response to private sector bribery.

Experience of other forms of corruption

l) Experience of nepotism and/or cronyism

Public sector institutions jointly make up the largest single employer in any given country. Although usually regulated to ensure transparency, the recruitment process leaves a varying degree of discretion to those who select the workforce. In accordance with national principles, regulations and best practice, new staff should be selected on the basis of criteria including their competence and experience, but it is often reported that other factors, such as nepotism and cronyism, come into play. Collecting information on the experience of nepotism and/or cronyism can contribute to the measurement of the prevalence of corruption, specifically in public recruitment.

m) Experience of vote buying

A key development in any democracy is manifested in the modalities, rules and regulations of the electoral process, including electoral campaign regulations, funding of parties and access to the media. These are all extremely important and sensitive topics for which countries implement thorough legislation in order to ensure fair and transparent elections. In this regard, the United Nations Convention against Corruption invites countries to identify criteria concerning candidatures for election to public office and to enhance transparency in the funding of candidatures and, where applicable, of political parties. In this framework, asking citizens if they have been exposed to vote buying can explore a specific aspect related to the integrity and transparency of the electoral process.

Sociodemographic characteristics of respondents

n) Social and demographic characteristics of survey respondents

The collection of background information on survey respondents is necessary for identifying population groups that are particularly vulnerable to bribery, as well as for identifying factors that may protect those groups from exposure to corrupt practices. In addition to standard information on the social, economic and demographic status of respondents, such as sex, age, marital status, citizenship, place of birth, educational attainment, employment status and income level, the collection of information on additional aspects, such as ethnicity, migratory background and disability status, can be considered. Specific risk and protective factors can be investigated by collecting information on selected conditions, such as exposure to media, social media and literacy of digital tools.

Evaluation

o) Interview evaluation

This section of the questionnaire has to be compiled by the interviewer in order to keep track of interview development and main characteristics (e.g., length, language of compilation, completed or not, reason for not completing, etc.).

Table 5: Suggested topics to include in dedicated surveys and integrated modules on corruption

Section	Topic	Specific information	Level of priority for inclusion in dedicated survey	Level of priority for inclusion in integrated module
Awareness of corruption, trust in institutions and perception of corruption	Access to public services and assessment of their quality and integrity	Access to different public services	!	
		Satisfaction with different public services	!	
	Knowledge of corruption and acceptability/sensitivity of specific behaviours	Selecting from a list of behaviours that are considered corruption	!	
	Trust in public institutions	Type of public institution	!	
		Level of trust	!	
	Perception of corruption in public institutions	Which corrupt practices are regarded as widespread in general and among different institutions	!!	
		Perceived level of corruption in daily life	!	
		Perceived trend in corruption over last three/five years	!	
		Whether comfortable in revealing potential corrupt behaviour to family, friends or acquaintances	!	
	Awareness and effectiveness of anti-corruption agencies/institutions		!	
Experience of public sector bribery	Occurrences of bribery when dealing with public officials	Contact with public official	!!	!!
		Bribes paid/given to public officials by type of public official	!!	!!
		Number of bribery payments by type of public official	!!	
		Bribes requested by public officials but not paid, by type of public official	!!	!!
		Bribes offered to a public official but not accepted, by type of public official	!	
	Information on the most recent incident of public sector bribery	Type of official involved in the last incident	!!	!!
		Sex of the official involved in the last incident	!!	
		Type of public service for which the bribe was paid	!!	!!
		Purpose of the bribe	!!	
		When the bribe was paid	!!	
		What the economic cost of the bribe was	!!	!!

	Response to bribery in dealings with public officials by bribe-payers	Whether it was reported to the relevant authorities	!!	!!
		Result of reporting	!!	
		Reason for not reporting	!!	
		Satisfaction with the job done by the relevant authorities	!	
		Negative consequences of not providing the requested bribe	!	
		Usefulness of having paid a bribe.	!	
Experience of private sector bribery	Experience of bribery when dealing with private sector employees	Contact with private sector employees	!	
		Bribes paid/given to private sector employees by type	!	
		Incidence of bribery payment by type of private sector employee	!	
		Bribes requested by private sector employees but not paid, by type of private sector employee	!	
		Bribes offered to private sector employees but not accepted, by type of private sector employee	!	
		Indirect experience of corruption (regarding people close to the interviewee such as relatives, friends, co-workers, neighbours)	!	
	Information on the most recent incident of private sector bribery	Type of official involved in the last incident	!	
		Sex of the official involved in the last incident	!	
		Type of private service for which the bribe was paid	!	
		Purpose of the bribe		
		When the bribe was paid	!	
		What the economic cost of the bribe was	!	
	Response to most recent bribery in dealings with private sector employees by bribe-payers	Whether it was reported to the relevant authorities	!	
		Result of reporting	!	
		Reason for not reporting	!	
		Satisfaction with the job done by the relevant authorities	!	
		Negative consequences of not providing the requested bribe	!	
		Usefulness of having paid a bribe	!	

Experience of other forms of corruption	Experience of nepotism/cronyism	Experience and knowledge of nepotism/cronyism	!	
	Vote buying	Experience of respondent or other member of household	!	
		Type of election (national or municipal)	!	
Sociodemographic characteristics of respondents	Demographic and social characteristics of respondent	Age, sex, education attainment, employment status, citizenship, place of birth, income level	!!	!!
		Ethnicity, migratory background, disability status	!	
		Exposure to media, social media, ITC literacy	!	
Evaluation	Interview evaluation	Length of interview	!	
		Language of compilation	!	
		Completed or not	!	
		Reason for not completing	!	

Legend:

!! Topics that should be included in a dedicated survey on corruption and in a survey module on corruption, respectively.

! Topics that can be considered for inclusion in a dedicated survey on corruption, subject to availability of resources and national priorities.

Topics required to computing Sustainable Development Goal indicator 16.5.1.

b) Formulating key questions for Sustainable Development Goal indicator 16.5.1

This section provides suggestions on how to phrase questions that best capture the experience of bribery among the general population and which key elements to cover in order to guarantee comparability of data, compliance with Sustainable Development Goal indicator metadata and to enhance accuracy of responses.[104] When developing the questionnaire in any given survey, the wording will be adapted by taking into account a number of aspects, such as overall style, length, mode of data collection and the institution implementing the survey. Furthermore, in each country, the exact wording will be determined by taking into account the meaning of terms in the national language (or languages) and of their use (or acceptability) in various cultural contexts.

[104] Metadata for the Sustainable Development Goal indicators are published in the repository held by United Nations Statistics Division, Available at https://unstats.un.org/sdgs/metadata/.

Sustainable Development Goal indicator 16.5.1 is defined as: "Proportion of persons who had at least one contact with a public official and who paid a bribe to that public official, or were asked for a bribe by that public official, during the previous 12 months."

There are three key tasks and corresponding questions for computing indicator 16.5.1:

1. To identify those respondents who had at least one contact with a public official during the survey reference period
2. To identify those respondents who paid a bribe at least once during the survey reference period
3. To identify those respondents who were requested to pay a bribe by a public official but did not do so

Each question should contain all the relevant attributes that define the particular behaviour in order to induce respondents to search their memories for events with all those attributes.[105] The following sections provide guidance on how to formulate each of the three questions.

Question 1:

"In the last 12 months, have you had contact with any of the following public officials, including through an intermediary?"

Screening questions included in existing corruption surveys among the general population

In order to understand whether screening questions should focus on public officials or on public services, a review was conducted of the 58 population surveys on corruption held in the UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

The main criteria for classifying a survey in each of the categories were as follows:

Public official-oriented – Questions are mainly centred on the individual, who either actively or passively engages in the undue transaction. Questions in this category refer to the generic categorization of "public official", or detail the specific function of the individual (e.g., customs officials, police officials, etc.).

Administrative procedure-oriented – Questions are mainly centred on the services, or official business-related situations in which respondents could have entered into contact with a public authority and engaged in a corrupt act. The initial approach is to refer to the respondent as a user or recipient of a government procedure/service.

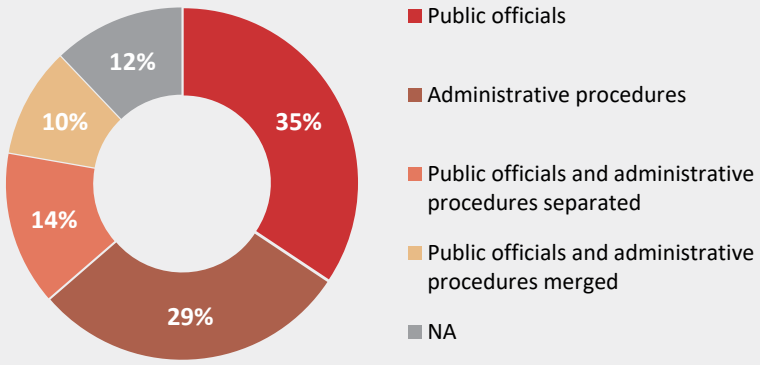
Public officials and administrative procedures separated – The questionnaire includes clearly separated questions that position the respondent as a beneficiary or user of public services and procedures, as well as questions that measure contact with generic and/or specific public officials.

Public officials and administrative procedures merged – Questions refer to a list of both public positions/authorities and public services/procedures. This kind of question does not differentiate between individuals and services.

[105] James P. Lynch, "Problems and promise of victimization surveys for cross-national research".

The analysis found that 20 surveys included a screening question oriented at public officials (34 per cent), out of which five surveys had follow-up questions that tried to identify during which type of procedure or service those officials indulged in corrupt behaviour. A further 17 surveys (29 per cent) included a screening question oriented at public services, with one of them introducing follow-up questions in order to establish which type of official requested a bribe during those procedures. Eight surveys (14 per cent) included differentiated screening questions or sections on public officials and public services, while six (10 per cent) included screening questions that simultaneously referred to government positions and public procedures.

Focus of screening questions included in corruption surveys among the general population



Source: UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

From the review of practices used in past corruption surveys among the population, it emerges that the use of screening questions has gradually become a common practice and the use of a list of public officials the preferred option.

This is a screening question as it is used for identifying individuals among the general population who have been in contact with public officials and/or public services and, as a consequence, are exposed to the risk of bribery. This question also clarifies the broad topic of the interview and helps respondents to focus on it in order to facilitate their recollection of relevant events.

There are two main approaches for asking respondents about their recent experiences of contact with the public administration: 1) experience of contact with certain types of public official; 2) experience of dealing with certain administrative procedures.

In a corruption survey among the general population, it is preferable to use a screening question based on public officials, as this ensures more comprehensive coverage of citizens' bribery experiences. That is because contact with public officials does not always take place in relation to a specific procedure (e.g., when dealing with police officers or teachers). Furthermore, citizens seem to recall contacts and dealings with people (in this case public officials) better than occurrences related to procedures.

For this reason, when designing a screening question for identifying respondents who had contact with public officials, it is fundamental to include a list of different categories of public official. In addition, providing a list of public officials clarifies the type of official, which should be considered when recalling past contacts. This expedient also helps in terms of comparability.

The following core set of public officials has been developed by looking at existing national and regional corruption surveys. This set should not be interpreted as a constraint, but rather as a basis that can be complemented with categories relevant at national level.

Table 6: Suggested standard list of public officials to be included in survey questionnaire

Public officials	Level of priority
Police/public security officers (including local police)	!!
Prosecutors; Judges/Magistrates at court	!!
Tax/revenue officers	!!
Customs officers	!!
Public utilities officers/inspectors (electricity, water, sanitation, etc.)	!!
Doctors/Nurses/Healthcare officials (public clinic or hospital)	!!
Teacher/Professors/Lecturers (state schools/universities)	!!
Social security and welfare authorities	!!
Passport agency officers	!!
Car registration/driving licence agency officers	!!
Members of the Armed forces	!!
Land registry (cadastre) officers	!!
Municipal/provincial officers	!!
Elected local government representatives (provinces, municipalities, cantons, etc.)	!!
Elected state/federal government representatives	!!
Members of parliament/legislature at national and local level	!
Traffic management authority officials (when different from police)	!
Public transport officials (e.g., ticket inspectors on buses, trains, etc.)	!
Immigration service officers	!
Inspection officials (health, safety, fire, labour, etc.)	!
Embassy/consulate officers of foreign countries	!
Public banks and financial institutions	!
Prison administration	!
Other public official/civil servant	!

Legend:

!! Core public official types that should be included in survey questionnaires to ensure data comparability.

! Additional public official types that could be included in survey questionnaires, subject to national context.

It is important to specify that an interaction with a public official should be considered as a contact when there is even minimal involvement of a public official in the procedure/issue of interest to the respondent. For example, a simple question about the location of an office is not to be considered as a contact, while a question about the steps to follow for a given administrative procedure qualifies as a contact. As the question above specifies, contact can be either direct or indirect through an intermediary.

Question 2:

Please consider all the contacts you had with a civil servant/public official in the last 12 months: was there any occasion when you had to give to any of them a gift, a counterfavour or some extra money (other than the official fee), including through an intermediary?

The wording of the question on the experience of bribery is fundamental as it needs to be extremely precise while facilitating the disclosure of an accurate response by minimizing possible effects of memory decay and social desirability bias. The proposed formulation of the question pursues such objectives by considering the following points:

1. In order to minimize social stigma and social desirability issues, the question on the experience of bribery should be phrased in a way that makes the respondent feel that he/she was obliged to pay a bribe. The sentence, "Did you have to give extra money, etc." could serve this purpose.

2. The term "bribery" should be avoided; instead, only expressions referring to the exchange of money, goods or services should be used. This approach increases the likelihood of disclosing bribery experience by those respondents who fear reporting a socially undesirable act. Furthermore, this approach is preferable as in many cases respondents do not consider their experience as a form of bribery.

3. The reference period should be clearly defined: a 12-month period is usually considered a good trade-off between the cost (short reference periods require more field interviews per year) and precision of estimates (the longer the reference period, the less complete the recall of past events). Clearly defining the start and end date of the reference period can help to reduce the "telescoping effect", i.e. when respondents have difficulty accurately locating events within the appropriate reference period.

Question 3:

In the last 12 months, was there any occasion when a public official, directly or indirectly, asked you to give a gift, a counterfavour or some extra money for an issue or procedure related to his/her functions but you did not give anything?

This question is required for identifying those occurrences of bribery when a bribe request was made but no bribe was given. Despite the refusal, such events are also classed as bribery, as the definition of bribery states.[106]

For the calculation of Sustainable Development indicator 16.5.1, the information collected in questions 1, 2 and 3 should be used in a standardized manner for producing comparable data. The table indicates the elements that should be retained for ensuring the comparability of indicator 16.5.1 for Sustainable Development Goal monitoring.

[106] The definitions of bribery of national public officials, bribery of foreign public officials and officials of international organizations and bribery in the private sector are contained in articles 15, 16 and 21 of the United Nations Convention against Corruption (UNCAC).

Table 7: Key elements of the calculation of Sustainable Development indicator 16.5.1

Information element	Description
Reference period	Last calendar year or previous 12 months
Age range	Age 18 or older[107]
Public officials	Reference should be made to those who had contact and experienced bribery occurrences with core list of public officials in table 6 (priority level !!) [108]
Method of computation	Number of people who, during the reference period, gave at least one bribe to an official or were asked to pay a bribe by a public official but did not do so *As a percentage of* Number of people who had at least one contact with a public official in the reference period

c) Formulating follow-up questions on the experience of bribe-paying

Any affirmative response to the experience of bribery requires the administration of follow-up questions to collect detailed information on the bribe. Although, ideally, follow-up questions should be asked about all bribery incidents, in order to maintain an acceptable burden on respondents and enhance the accuracy of their responses, it is recommended that the focus should be on the respondent's last bribery experience.[109] Assuming that there is no specific seasonality, neither in relation to bribery nor the timing of surveys, the last bribery experience can be seen as a random selection of all bribery experiences and is therefore representative of all bribes experienced by survey respondents.

Follow-up questions are aimed at understanding the precise circumstances of a bribe in order to produce actionable and policy-relevant information. For example, the information requested can be about the specific aim of the bribe request, the type of bribe and economic value, etc. All of these elements characterize the mechanics of bribery and produce information that can be directly used for evidence-based policies targeted at, for example, procedures that are particularly vulnerable to bribery, competent agencies, relevant regulations and costs. Follow-up questions can also focus on the exact timing of a bribery event in order to exclude events that took place outside the reference period.

On the basis of existing corruption surveys, the following table lists the main types of follow-up question on bribery.

[107] If the age range of the target population is broader, those outside the age range should not be considered when calculating Sustainable Development Goal indicator 16.5.1 to ensure data comparability for Sustainable Development Goal monitoring.

[108] If additional public officials are included in initial screening questions, they should not be considered when calculating Sustainable Development Goal indicator 16.5.1 to ensure data comparability for Sustainable Development Goal monitoring.

[109] Some follow-up questions can also be asked about the most serious incident to get a more complete picture of larger-than-average bribes. Notably, information on the most serious event should be collected in addition to information on the last incident.

Table 8: Suggested list of follow-up questions on the most recent incident of bribe payment (experience of bribery)

Topic	Example of question	Answer categories
Date of event	*Could you tell me the month in which this happened the last time?*	Specific month and year
Type of public official involved in the last incident	*The last time you had to make an extra payment or give a gift (the most recent event), to which official did you give it?*	See table 6
Sex of the official who received the bribe	*The last time you had make an extra payment or give a gift, what was the sex of the official who received it?*	1. Male 2. Female 3. Don't know
Type of bribe	*The last time you had to make an extra payment or give a gift (the most recent event), what did you give?*	1. Food and drink 2. Valuables (gold, jewellery, phones, etc.) or other goods 3. Some money (please specify amount in national currency) 4. Exchange with another service or favour 5. Don't know
Economic value of the provided gift/money/favour	*How would you approximately quantify the economic cost of this specific payment/gift/service?*	Please express the value in [national currency]
Type of public service for which the bribe was paid	*Please indicate the service you were seeking, the last time you had to make an extra payment or give a gift.*	1. Administrative certificate or document (ID card, passport, birth certificate, etc.) 2. Administrative licence or permit (driving licence, building permit, etc.) 3. Medical visit, exam or intervention 4. Certificate of good health/fitness 5. Exam at a public university or grades at a public school 6. Admission to a public school institution/university 7. Job application for public service/government institution 8. Promotion in public service/government institution 9. Government contract/public procurement 10. Public utility services (electricity, water, sanitation, etc.) 11. Tax declaration or exemption 12. Import/export of goods 13. Other 14. Don't know
Purpose of bribe	*The last time you had to make an extra payment or give a gift, what was the purpose of paying the extra money or giving the gift?*	1. Speed up procedure 2. Make finalization of procedure possible (which would otherwise not be possible) 3. Avoid payment of fine 4. Receive preferential treatment (e.g., increase score, reduce taxes, increase allowances, etc.)

		5. Receive information on the process (where to go, whom to approach, etc.) 6. It was a sign of appreciation for the service provided 7. No specific purpose (it is better to maintain good relationships) 8. Don't know
Type of bribe request	*The last time that you had to make an extra payment or give a gift, how did you understand that an extra payment or gift was expected from you?*	1. Direct request from the official 2. The official indirectly requested a payment 3. A third person requested the extra payment 4. Nobody asked for it, I did it to facilitate/accelerate the procedure 5. Don't know
Timing of bribe	*The last time you had to make an extra payment or give a gift, when exactly did you give the gift/money?*	1. Before the service was delivered 2. After the service was delivered 3. At the same time that the service was delivered 4. Partly before and partly after the service was delivered 5. Don't know
Reason for bribe	*The last time you had to make an extra payment or give a gift, to which of the following reasons did it apply?*	1. Personal/family reasons (e.g., for yourself, on behalf of another member of the household, on behalf of all members of the household) 2. Work/business reasons (as part of your normal economic activity or business) 3. Both 4. Don't know
Outcome of bribe	*The last time you had to make an extra payment or give a gift, did you get the service the bribe was meant for?*	1. Yes 2. No 3. Don't know
Reporting to relevant authorities	*The last time you had to make an extra payment or give a gift, did you report it to an official authority (e.g., police, prosecutor, anti-corruption agency, etc.) or to a non-official institution?*	1. Yes 2. No 3. Don't know
Specific official authorities to which the incident was reported	*To which official authority did you report it?*	1. Police 2. Anti-corruption agency 3. Public complaints commission 4. Agency/institution of the officer requesting the bribe 5. Other institution 6. No official authority 7. Don't know
Other non-official institution to which the incident was reported	*To which other, non-official, institution did you report it?*	1. Media 2. International organization 3. Non-governmental organization 4. Other institution 5. No other institution Don't know

What happened after reporting	*What happened after you reported the bribery incident?*	1. A formal procedure was initiated against the officer 2. The problem was solved informally and I was given back the money/gift 3. I was advised not to go ahead with my report 4. There was no follow-up to my report 5. I suffered negative consequences in connection with reporting the incident 6. Other
Satisfaction with the job done by the relevant authorities	*Were you satisfied with the job done by the authority you reported the incident to?*	1. Yes 2. No 3. Don't know
Reason for not reporting	*(If not) Why didn't you report it?*	1. It is a common practice, why should I report it? 2. It is pointless, nobody would care about it 3. Don't know to whom I should report 4. I know who to report to, but it is too far away 5. Fear of negative consequences for myself 6. I did not report it because I received a benefit from the payment/gift 7. I did not report it because I made the payment/gift as a sign of gratitude 8. I did not report it because I did not want to incur additional expenses 9. Other reason 10. Don't know

4. Analysis

Analysing results from collected data is the principal tool for obtaining comprehensive and actionable information to support policymaking. The agency conducting a corruption survey among the population should be aware of the relevance and usefulness of the information and have an understanding of the analytical outputs that will be obtained from collected data. The analysis of data should therefore be conducted in consideration of the survey goal and ultimately provide clear and objective insights into the prevalence of and trends in bribery experienced by the population.

a) Drafting a population survey report on corruption

Based on the data collected and highlighting the key indicators and variables needed to underpin policy-relevant analyses, a generic template for structuring and drafting reports is introduced in this section. This generic template provides an annotated outline of a report on bribery and is informed by a number of national and regional reports on corruption supported and/or implemented in recent years.[110] The template includes the typical main elements of interest when analysing the data collected in a corruption survey and provides suggestions about what type of analysis can be worth including in the subsequent report. The following outline does not imply, however, that any future corruption survey report should be limited to these elements. Indeed, in accordance with particular national or

[110] Full reports available at http://www.unodc.org/unodc/en/data-and-analysis/corruption.html.

regional contexts, additional elements of interest to stakeholders should be included in order to fully make use of the data collected.

Executive summary

The executive summary is an indispensable element for presenting the key findings of the study to a range of users with an interest in using that information for the development of anti-corruption measures. Just as importantly, the executive summary is often the primary source of information for the media to use when disseminating the results of the survey. A well-drafted and carefully edited executive summary can thus contribute significantly to the impact and ultimate success of a survey report.

A good executive summary will contain all the key findings of the report in a clear and concise manner, using simple, non-technical language that can be understood by non-specialists and is suitable for being quoted verbatim in the media. The inclusion of illustrative info graphs and simple charts that summarize complex quantitative data in an informative way can emphasize key points and facilitate understanding.

Introduction

A short introduction should provide basic information on the corruption survey such as the time frame covered, the sample size, the implementing agencies involved, as well as provide information about the general approach taken in measuring the experience of bribery and other forms of corruption in the survey. The introduction may also refer to the methodological annex for the technical details of the survey.

The reach of bribery

The first substantive chapter of the report should provide key findings on the extent of bribery and introduce the key indicators used: prevalence and frequency of bribery. The analysis presented can refer to the total prevalence rate, national and subnational rates or prevalence over time by presenting the findings in text, figures and maps. The frequency of bribery (average number of bribes paid by bribe-payers) can be included in the same section. When data are available for two or more surveys, comparisons of trends (at all geographic levels) will prove particularly relevant.

To illustrate statistical uncertainty due to the sampling error in the survey estimates, it may be useful to provide prevalence rates and frequency together with their confidence intervals. If information has also been collected on the experience of bribery in dealings with private sector employees, a section of this chapter could present the corresponding indicators, including by comparing this type of bribery with bribery in dealings with public officials.

For surveys that have also collected information about the perception of corruption among the public, this section could present major findings and, when possible and relevant, compare experience-based data with data based on perceptions and attitudes.

Suggested indicators:

- Prevalence of bribery in dealings with public officials among citizens in contact with public officials
- Frequency of bribery in dealings with public officials among citizens (average number of bribes paid by briber-payers to public officials in the reference period)
- Prevalence of bribery in dealings with private employees among citizens in contact with private employees

- Frequency of bribery in dealings with public officials among citizens (average number of bribes paid by briber-payers to public officials in the reference period)

How bribery works

In this section, the nature and mechanism of bribery is analysed and described, utilizing data collected on the modality of bribery (who instigates bribes), the timing of bribery (before/after the service is rendered), the purpose of bribery, the form bribes take (cash, goods or other forms) and the value (amount) of (cash) bribes. As before, the analysis can be along regional/administrative lines of interest (such as subregions or states) or it can be along analytical categories of interest. In the case of the latter, it may be particularly illuminating to combine various variables of interest, such as the timing or form of bribery with the modality of bribery.

An analysis of the size of cash bribes can benefit from looking both at average and median bribes, as well as examining outliers that may signal particularly large bribe payments in certain areas. An analysis of the purpose of bribe payments can provide insights into key problems of public service (such as delays in service delivery, or the unequal application of justice) in certain areas or locations. More detailed insights into dealings with the public administration can be obtained by the analysis of bribery in relation to the type of services sought, particularly if this type of analysis can be combined with other variables listed above (e.g., geographic regions, purpose, form and modality of bribes paid). In general, the larger the sample size of the survey, the more fine-grained the analysis and presentation of (statistically significant) findings can be.

Suggested indicators:

- Type of administrative procedures during/for which bribes were paid
- Percentage distribution of bribes by timing, purpose, etc.
- Average size of cash bribes paid to public officials
- Type of undue advantage given or paid (money, gift, favour, service)
- Average size of cash bribes paid to private employee

Who takes bribes

In this section, the focus is on the bribe-taker, meaning the public official who takes bribes or requests a bribe. Using several of the key indicators that refer to the type of public official involved in bribery, the recipients of bribes can be analysed and the type of official with the highest risk of bribery identified. It should be made clear in this section that the occurrence of bribery should always be measured relative to an individual's exposure to such an act, meaning that the prevalence of bribery (in general and by public official) is measured in reference to those who had contact with a certain type of public official over the previous 12 months.

Both the prevalence rate and average number of bribes paid to particular types of public official can be analysed and presented by geographic region or other dimensions of interest (e.g., sex of recipient or purpose of payment). Most of the analytical dimensions listed in the previous section (how bribery works) can be relevant for a more fine-grained analysis by type of official, provided the sample is large enough to produce significant estimates.

Data relating to private employees who receive bribes should be analysed separately.

Suggested indicators:

- Prevalence and frequency of bribery in dealings with public officials, disaggregated by type of public official
- Percentage distribution of bribe characteristics (timing, purpose, etc.) by type of public official

- Prevalence and frequency of bribery in dealings with private employees, disaggregated by type of private sector employee

Who pays bribes

Just as important as a comprehensive analysis and description of bribe-takers is the detailed analysis of bribe-payers, and how the combination of specific demographic and socioeconomic conditions affects the vulnerability of citizens to bribery. It is therefore instructive to disaggregate bribe-payers by a number of sociodemographic dimensions, such as sex, age, education and income level, and to combine these dimensions with geographic (urban/rural, by region or state) or other categories (e.g., by type of official to whom a bribe is paid). An analysis of bribery prevalence among particular groups of bribe-payers (e.g., by income level, employment status or occupation) can reveal a great deal about the nature of bribery as well as about the population subgroups who either bear a disproportionate burden of bribe-payments or make disproportionate use of such payments in relation to certain public services.

Suggested indicators:

- Prevalence of bribery in dealings with public officials, disaggregated by sex, age, income level and educational attainment of the bribe-payer
- Prevalence of bribery in dealings with public officials, disaggregated by type of public official who received the bribe and by characteristics of the bribe-payer
- Prevalence of bribery in dealings with private employees, disaggregated by sex, age, income level and educational attainment of the bribe-payer
- Share of bribes paid to private employees, disaggregated by type of private sector employee who received the bribe

How citizens respond to bribery

For policymaking purposes, this is one of the most important sections of a corruption report. In this section, the reaction of citizens to bribery requests and payments – ranging from the payment of bribes to the refusal of bribe payments and extending to the reporting of bribery to relevant authorities – is analysed and discussed.

The socioeconomic analysis of bribe-payers who refuse, and of bribe-payers who do not refuse, bribe payments, and of those who report and do not report bribery events, provides important insights into the conditions that facilitate the payment and refusal of bribes and the reporting of them. It also provides indicators for policy responses that can enhance the refusal and reporting of bribery.

Relevant dimensions of analysis may include regional breakdowns, type of official, type of authorities to whom bribery was reported, awareness of reporting channels, experiences with reporting bribery, motives for non-reporting and others. Further insights can be gained by analysing general attitudes on the acceptability of bribery and the implications for refusals and reporting, particularly if combined with further socioeconomic variables such as sex, age and educational levels.

Suggested indicators:

- Reporting rate to the relevant authorities (e.g., the police, anti-corruption agencies) of bribery in dealings with public officials
- Reporting rate to the relevant authorities (e.g., the police, anti-corruption agencies) of bribery in dealings with private employees

Conclusions and policy implications

This section can provide concrete inputs into shaping follow-up to the findings of a corruption survey. Conclusions and policy implications should be formulated with caution so as not to undermine the strength of the factual arguments presented in the previous sections of the report. In order to relate the survey findings to relevant anti-corruption policies and measures, it may be useful to consult substantive experts and national practitioners who are familiar with corruption issues when drafting this section.

Methodological annex

In the final section of the report, detailed information of interest to specialists and interested members of the public should be included to provide in-depth information on the technical aspects of the survey. This should include information relevant to the assessment of the survey, such as the sampling method, the design and development of the survey instrument, survey mode, findings of the pilot survey, sample design and weighting procedure, training of interviewers, quality control, language versions, fieldwork, data entry and cleaning and calculation of indicators. Other sections of the annex may provide detailed tables and graphs of interest relating to the regions or subregions (e.g., states) where the survey was conducted.

b) Communicating and disseminating the results

One of the last steps of the survey cycle is the publication and dissemination of the survey results. The process through which the information obtained during the corruption survey is released to end-users should always be undertaken in cooperation with all relevant stakeholders.

Depending on available resources, user demand and the survey stakeholders, responsible agencies may want to produce general interest publications on the experience of corruption, more specific special-interest publications, customized products for stakeholders, or specific statistical services.

Disseminating the *National Survey on Governmental Quality and Impact* (Mexico)

The dissemination strategy of the *National Survey on Governmental Quality and Impact* covers a broad range of fronts. Firstly, the responsible agency (INEGI) sends the executive presentation of the national results to the network of contacts of the National Information Subsystem on Government, Public Security and Justice. INEGI then produces executive presentations for each Mexican state and shares them with local government. Subsequently, INEGI prepares thematic presentations for federal ministries (health, tax administration and public security, among others). These thematic results are presented by the President of INEGI in closed meetings with the relevant ministers, in the hope that the information will feed their management improvement programmes. Finally, a general presentation of the results is given to the media, with the responsible team explaining the results to prevent misuse or misinterpretation. The corresponding documents and press release are published simultaneously that same day.

The publication and dissemination of results should focus on the following aspects:

- Clarity of findings – The findings of a corruption survey should be accurate reflections of the data and must be presented in a clear, concise and coherent way, which is user-friendly for all end-users and particularly relevant and actionable for policymakers. The focus should be on experience-based indicators and Sustainable Development Goal indicators.

- Use of traditional and web-based dissemination channels – Besides preparing the analytical report and relevant kit for the media (press release, selected findings and charts), it is important to prepare an adequate campaign on social media and inform relevant practitioners, experts and members of the research community.
- Transparency of methodology – Publications must provide a transparent methodology explaining how the survey was designed and implemented. Trust in survey data will increase if adequate information is presented to enable interpretation of the results.
- Release of microdata – The release of microdata increases transparency and thus serves to promote trust in survey results. All end-users should be able to access the data at the same time and the responsible agency should ensure that there is no pre-release of the data.

4

CORRUPTION SURVEYS AMONG BUSINESSES

IV. CORRUPTION SURVEYS AMONG BUSINESSES

The third part of this Manual detailed suggestions for defining the objectives, statistical outcomes and requirements for sample surveys among the general population. In this part, those suggestions are presented with reference to sample surveys among businesses.

1. Survey goals and objectives

Similar to other statistical activities conducted in the framework of official statistics, corruption surveys are aimed at producing high-quality information that can inform policymakers and public opinion on the main features of corruption, so that better policies can be developed and implemented to counter it. More specifically, a number of possible objectives should be considered when implementing a sample survey on bribery among businesses, such as:

- Understanding the features of bribery in terms of its extent, geographic distribution, types of business particularly exposed, types of public official involved, administrative procedures particularly at risk, types of bribes requested
- Collecting information on contexts and mechanisms where and when bribery takes place, including on modus operandi, types of relationship between the counterparts, main reason for paying a bribe, consequences of accepting or refusing a bribe
- Identifying economic sectors particularly vulnerable to bribery
- Measuring the perception and understanding of corruption within the business sector, in order to contrast the results with the experience of respondents
- Assessing the functioning of anti-corruption measures, including reporting channels and systems available to businesses that experience bribery (e.g., transparency of public institutions, whistleblowing procedures, existence of informal and formal controls of integrity, etc.)
- Collecting information on vulnerabilities, drivers and risk factors related to bribery, as well as on red tape and quality of services provided by the public sector

In addition to the above objectives, corruption surveys targeted at businesses enable the collection of data for producing Sustainable Development Goal indicator 16.5.2, thus allowing national authorities to track progress to achieve Sustainable Development Goal target 16.5. The implementation of corruption surveys will also enable the production of disaggregated data of bribery prevalence; for example, at different geographic levels and for different types of public sector/official.

Example of survey goals and objectives for corruption surveys among businesses

Goal – To monitor trends in the extent and pattern of bribery when businesses deal with public officials.

Objective – The core objective of sample surveys on corruption targeted at businesses should be the production of data on the prevalence of bribery among businesses when dealing with public officials. Further objectives can be considered for covering specific national research needs, such as the prevalence of bribery when dealing with private sector personnel.

Concept definition and operationalization – Sustainable Development Goal indicator 16.5.2 focuses on specific forms of bribery that are more measurable (the giving and/or requesting of bribes) and it limits the scope to the public sector.[a] This indicator captures the type of bribery affecting businesses in their dealings with the public administration and/or public officials.

Recommended disaggregation – National surveys on corruption among businesses should be able to disaggregate the prevalence of bribery by type of public official, economic sector of activity and size of business.

In addition to these disaggregation categories, further disaggregation variables can be elaborated at national level.

[a] Metadata for the Proposed Global indicators for the Review of the 2030 Agenda for Sustainable Development; metadata for Goal 16. Available at https://unstats.un.org/sdgs/files/metadata-compilation/Metadata-Goal-16.pdf.

More detailed information on selected issues in sampling, how to design the questionnaire and formulate questions for business corruption integrated modules and dedicated surveys is provided in the following sections.

2. Selected issues in sampling and data collection

a) Target population and survey frame

In principle, the target population of a corruption survey should reflect, to the greatest extent possible, all businesses that exist in a country on a certain date. However, more so than in the case of population surveys, the identification of the target population for business surveys takes into account the characteristics of existing sampling frames. In practical terms, population targets used in business surveys may exclude certain economic sectors, businesses of a certain size and businesses that are not formally registered.

For example, in the *Enterprise Surveys* implemented by the World Bank, the target population is restricted to 11 economic sectors (manufacturing, retail, wholesale, repair services, construction, transport, storage, communications, hotels, restaurants and IT): the choice is mainly driven by the fact that in most of the 139 countries covered by the surveys it is only possible to obtain reliable sampling frames for those sectors.

As the experience of bribery can vary greatly across economic sectors, it is important to include as many sectors as possible in the target population. For example, according to the *Special Eurobarometer 374: Corruption*, bribery is most prevalent in the construction and building (6 per cent),

engineering and electronics, and motor vehicles sectors (5 per cent).[111] In *The Crime Against Business in Europe: a Pilot Survey*[112] bribery was most prevalent among companies operating in the wholesale and retail trade, construction, and transport and warehousing sectors. Similar results were recorded in the UNODC survey, *Business, Corruption and Crime in the western Balkans*[113] where the prevalence of bribery was highest in the building and construction sector (12.2 per cent), followed by wholesale trade and retail trade (10.3 per cent) and transportation and storage (9.9 per cent).

Considering all of the above and taking into account the experience of using target populations in business surveys on corruption developed by international organizations, the recommended core set of economic sectors to be included in the target population of corruption business surveys is as follows:[114]

- Manufacturing (C)
- Electricity, gas, steam and air conditioning supply (D)
- Water supply, sewerage, waste management and remediation activities (E)
- Construction (F)
- Wholesale and retail trade; repair of motor vehicles and motorcycles (G)
- Transport and storage (H)
- Accommodation and food service activities (I)
- Information and communication (J)

To guarantee the consistency and comparability of results, it is recommended that business surveys on corruption include the above-mentioned sectors in the target population.

Regarding the size of business to be included in the target population, the exclusion of very small size companies is frequent practice. For example, several national surveys exclude one-person and/or businesses based in residential premises from their sample.[115]

[111] European Commission, 2014, "2.3 How corrupt are politicians at national, regional or local level?" in *Businesses' Attitudes Towards Corruption in the EU*, Flash Eurobarometer 373 – TNS Political & Social (@014), p. 30.

[112] European Commission, Gallup and Transcrime, "2.2.3 Relevance of each type of crime in the different economic sectors", *The Crime Against Businesses in Europe: a Pilot Survey* (2012).

[113] UNODC, *Business, Corruption and Crime in the western Balkans*: *the Impact of Bribery and Other Crime on Private Enterprise* (Vienna, 2013), p.1.

[114] Nomenclature is based on United Nations Department of Economic and Social Affairs, *International Standard Industrial Classification of all Economic Activities* (ISIC) Rev. 4 (2008). Available at https://unstats.un.org/unsd/publication/seriesm/seriesm_4rev4e.pdf.

[115] For example, Home Office, *Business Crime Scoping Exercise - Methodological work to consider the scope and feasibility of a new survey to measure commercial victimization* (2010); the *Swiss Business Crime Survey*; the *Italian Business Crime Survey*; the *European Business Crime Survey*; the *International Crime against Business Survey*, China, and the *National Survey on Business Victimization*, Mexico.

Table 9: Economic sectors covered by existing business corruption surveys developed by International organizations

Survey	Organization	Economic sector classification	Sectors targeted
Enterprise Surveys	World Bank	ISIC Rev.3.1 Codes 15–37, 45, 50–52, 55, 60–64, and 72	Manufacturing; Construction; Wholesale and retail trade, Repair of motor vehicles and motorcycles; Hotels and restaurants; Transport, storage and communications; Computer and related activities. For a few surveyed countries, other sectors may be included.
Flash Eurobarometer 374: Businesses' attitudes towards corruption in the EU	European Commission - TNS Political & Social	NACE[116] Rev. 2 Categories/ Divisions not specified	Energy, mining, oil and gas; Chemicals; Healthcare and pharmaceutical; Engineering and electronics; Motor vehicles; Construction and building; Telecommunications and information technologies; Financial services, banking and investment.
Business, Corruption and Crime in the western Balkans	UNODC	NACE Rev. 2 Categories C, D, E, F, G, H, I Categories C, D and E are aggregated as one for reporting purposes	Manufacturing; Electricity, gas, steam and air conditioning supply; Water supply, sewerage, waste management and remediation activities (C, D, E); Construction (F); Wholesale and retail trade; repair of motor vehicles and motorcycles (G); Transportation and storage (H); Accommodation and food service activities (I)
The Crime Against Business in Europe: a Pilot Survey	European Commission, Gallup and Transcrime	NACE Rev. 1.1 Categories D [including E], F, G, H, I, J	Manufacturing; Construction; Wholesale and retail Trade, Repair of motor vehicles and motorcycles; Hotels and restaurants; Transport and storage; Financial intermediation
Business Environment and Enterprise Performance Survey	World Bank	ISIC Rev. 3.1 Codes 15–37, 45, 50–52, 55, 60–64, and 72	Manufacturing (excluding extraction); Construction; Wholesale and retail Trade, Repair of motor vehicles and motorcycles; Hotels and restaurants; Transport, storage and communications; Computer and related activities

Source: UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

[116] NACE stands for the Statistical classification of economic activities in the European Union, which is a region-specific classification. NACE is derived from the International Standard Industrial Classification (ISIC) and both have the same items at the highest levels; however, NACE is more detailed at lower levels derived from the EU characteristics. The use of the same general structure allows for general international comparability.

Table 10: Size of business covered by existing business corruption surveys developed by international organizations

Survey	Institution	Size	Criteria
Enterprise Surveys	World Bank	Small	5–19 employees
		Medium	20–99 employees
		Large	100 employees or more
Flash Eurobarometer 374: Businesses' attitudes towards corruption in the EU	European Commission – TNS Political & Social	Micro	Up to 9 employees
		Small	10–49 employees
		Medium	50–249 employees
		Large	250 employees or more
Business, Corruption and Crime in the western Balkans	UNODC	Micro	Up to 9 employees
		Small	10–49 employees
		Medium	50–249 employees
		Large	250 employees or more
The Crime Against Business in Europe: a Pilot Survey	European Commission, Gallup and Transcrime	Micro	Up to 9 employees
		Small	10–49 employees
		Medium	50–249 employees
		Large	250 employees or more

Source: UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools.

When planning a business corruption survey, the target population should include businesses of all sizes, if possible. They can be disaggregated in the following categories:

- Micro = up to 9 employees
- Small = 10–49 employees
- Medium = 50–249 employees
- Large = 250 employees or more

National statistical offices generally maintain business registers, which are central repositories of baseline information on business entities and institutions. These registers are usually the by-product of tax and/or administrative records managed by government authorities and are often used as sampling frames for business surveys. Moreover, a number of commercial entities maintain business databases that can be used as sampling frames. However, their high cost is one of the main shortcomings of private businesses databases.

Corruption and the informal sector

Sampling frames and corresponding target populations of surveys among the business sector tend not to include the informal sector. This also applies to corruption surveys among businesses, which means that the bribery experience of informal economic entities is not reflected in such surveys.

Informal businesses may be more vulnerable than other businesses to certain corrupt acts (for example, in relation to law enforcement activities related to their lack of compliance with the regulatory framework) yet less exposed to other forms of corruption because they are less visible to some authorities. Exploring the features and dynamics of corruption affecting this sector of the economy would contribute to a greater understanding of corruption among businesses, particularly in developing countries where the informal sector may represent a large share of the whole economy.

In countries where the informal sector is very significant, conducting a supplementary exercise in order to include the informal sector as an additional target population may be considered. For this purpose, as the sampling frames of business surveys do not tend to include informal entities, a different approach is needed. A possible approach is to include a dedicated module to identify informal sector entities in a household survey: for each individual belonging to the active working population (e.g., any individual who has worked for at least one hour during the reference week), who states that he or she is the owner or a self-employed worker of a unit satisfying the conditions of membership of the informal sector (criterion relating to size or non-registration), the business corruption questionnaire is applied to the informal unit in question.[a]

The *1-2-3 Surveys*, promoted by Développement, Institutions et Mondialisation (DIAL), are an example of surveys adopting this approach. The first questionnaire identifies households with informal businesses and the second collects details about those businesses. Between 2001 and 2004, a module on multiple dimensions of poverty, governance and democracy was appended to the survey and developed in seven capitals in West Africa (in Benin, Burkina Faso, Côte d'Ivoire, Mali, Niger, Senegal and Togo) and in Madagascar.[b] This module also includes questions on bribery experience and corruption perception.[c] However, the approach of the *1-2-3 Surveys* has certain limitations; for example, without a proper sampling frame, the possibility of covering all informal activities in a probabilistic way is compromised, particularly in the case of marginal and/or geographically concentrated activities.

[a] François Roubaud, *Fiscaliser le Secteur Informel: Est-ce Souhaitable, Est-ce Possible?*, Projet MADIO (1997) p. 85; International Labour Organization (ILO), *Measuring Informality: A Statistical Manual on the Informal Sector and Informal Employment* (Geneva, 2013).

[b] Mireille Razafindrakoto and François Roubaud, "Les multiples facettes de la pauvreté dans un pays en développement. Le cas de la capitale malgache", *Economie et statistique*, No. 383-385 (2005), pp. 131-155.

[c] Javier Herrera, Mireille Razafindrakoto. and François Roubaud, "Governance, democracy and poverty reduction: lessons drawn from households in sub-Saharan Africa and Latin America", *International Statistical Review*, vol. 75, issue 1. (2007), pp. 70-95.

b) Sampling unit

The sampling units of business surveys are usually "individual business establishments"[117] or "business entities".[118] According to experiences collected in the UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools, the vast majority of business corruption surveys use the business establishment as a survey unit.[119] This approach is also preferred in business victimization surveys because conventional criminal offences such as theft, robbery and fraud are often perpetrated at local level and it is important to pinpoint their location to exactly where they occur; it may be difficult for large companies to provide information on crime incidents across all their establishments.[120]

The type of sampling unit is often determined by the unit used in sampling frames available in the country. The frequent use of establishments as sampling units is often based on the goals of several business surveys, which focus on issues related to production, workforce and productivity and how these relate to the business environment at the local level.

As corruption is linked to the type of business transaction and/or procedure, some incidents are more likely to happen at "headquarters level" (e.g., tax declarations are dealt with at headquarters and so any related bribery episode will happen at that level), while others are more likely to happen at "establishment level" (e.g., applications for utilities). When the sampling unit is the establishment, both headquarters and business units located elsewhere have a probability of being selected, while dependent establishments are excluded from the survey when the sampling unit is the business entity.

Using establishments as sampling units allows, in principle, for more comprehensive and precise information on corruption incidents, while having business entities as sampling units leads to a greater focus on procedures and business transactions taking place at headquarters level. The choice of the sampling unit mainly depends on the type of information available in business registers. In some countries, only business-level registers are available (i.e., the frame will only contain one entry for a multi-establishment company) while in some others, only establishment listings are available (usually from a census of businesses). Nevertheless, it should be recalled that the vast majority of business entities, especially small ones, have only one location and are therefore represented in the same way in the sampling frame, irrespective of the sampling unit adopted.

c) Survey mode

The survey mode is also of key importance in corruption surveys among business entities. Reputational risk and fear of retaliation or of legal consequences can have an impact on the type of information disclosed during the survey. The choice of survey mode therefore needs to be assessed

[117] According to the United Nations Department of Economic and Social Affairs, *International Standard Industrial Classification of all Economic Activities* (ISIC), Rev. 4 (2008), the establishment is defined as "an enterprise or part of an enterprise that is situated in a single location and in which only a single (non-ancillary) productive activity is carried out or in which the principal productive activity accounts for most of the value added".

[118] Ibid: The enterprise or business entity "is an economic transactor with autonomy in respect of financial and investment decision-making, as well as authority and responsibility for allocating resources for the production of goods and services. It may be engaged in one or more productive activities".

[119] One exception is the UNODC survey, *Business, Corruption and Crime in the western Balkans: the Impact of Bribery and Other Crime on Private Enterprise*, which targeted business entities (defined as an enterprise and its constituent parts situated in a single location or in multiple locations) as the available sampling frames at national level did not include information on the business local units.

[120] UNODC-UNECE, *Manual on Victimization Surveys*.

very carefully at the planning stage, and serious consideration should be given to the one offering a greater assurance of privacy to respondents.

According to a review conducted by the UNODC-INEGI Centre of Excellence, the prevailing survey mode is face-to-face interviewing (CAPI: 46 per cent of cases), followed by online self-administered interviews (CAWI: 27 per cent of cases) and those administered by telephone (CATI: 22 per cent of cases). The use of web-based questionnaires is quite common, especially when compared with practices utilized in corruption surveys among the population. Among the factors that can explain the higher frequency of this survey mode, are the fact that CAWI can ensure better privacy for respondents than the other modes, as their answers are directly captured by the online tool, and the flexibility of use for respondents, who can compile the questionnaire when and where they wish.

Despite these advantages, CAWI may cause self-selection bias, due to the fact that the response rate is significantly lower than for CAPI or CATI questionnaires and that respondents may be quite different from sampled interviewees that did not actually take part in the survey. Existing studies have found that participants who preferred online surveys to paper and pencil questionnaires, for example, differed from their counterparts in relation to a number of sociodemographic variables.[121] This may influence exposure to corruption experience as well as the likelihood of reporting it.

The choice of interview method needs to be assessed carefully against the social and technological context in which the survey is conducted. If possible, different survey modes should be tested in the pilot phase to evaluate their possible impact on survey results.[122]

[121] Andreas Mayr et al., "Web-based data collection yielded an additional response bias – but had no direct effect on outcome scales", *Journal of Clinical Epidemiology*, vol. 65, Issue 9. (2012), pp. 970–977.

[122] For example, in the 2012 UNODC survey, *Business Corruption and Crime in the western Balkans: the Impact of Bribery and Other Crime on Private Enterprise* some countries tested the use of face-to-face interviews against self-response paper questionnaires and found a very high rate of item non-responses for the latter, particularly in regard to sensitive questions on the experience of corruption. Consequently, it was decided to carry out face-to-face interviews.

Examples of data collection methods used by national corruption surveys among businesses

In Mexico, the *National Survey on Business Victimization* (ENVE) has been carried out by INEGI every other year since 2012. The survey includes a set of questions on the experience of businesses with public sector bribery and has been administered on a wide range of businesses through face-to-face interviews (CAPI). One of the main reasons for choosing this data collection method, besides the advantage of guaranteeing a high response rate, was the need to gain the trust and cooperation of businesses. The excellent reputation of INEGI as a reliable institute in Mexico was one of the key factors in convincing businesses to answer very sensitive questions about their corruption experience.

The 2012 survey *Business, Corruption and Crime in the western Balkans*, coordinated by UNODC and carried out by the national statistical offices and research centres of the seven countries/areas in that region, used face-to-face interviews for data collection, either through paper and pencil questionnaires (PAPI) or through hand-held devices (CAPI). Since the questionnaire was exactly the same in both cases, a comparison of the two data collection methods yielded valuable evidence about the different instruments. Interviewers in Bosnia and Herzegovina and Croatia used hand-held devices to capture the data in CAPI interviews, while interviewers in the other five western Balkan countries/areas used a traditional PAPI method. At 36.1 minutes, the total interview time in the PAPI interviews (n=9,243) was 12 per cent longer than the total interview time in the CAPI interviews (32.2 minutes, n=3,505). This means that by controlling the flow of the questionnaire through specially designed software, the use of computer-based questionnaires leads to a significant reduction in interview duration. In addition to this, CAPI leads to even larger time savings during data entry, as there is no need for the manual data entry necessary when using pencil and paper questionnaires, which are normally accompanied by further consistency checks. Furthermore, logical controls at the data entry stage during CAPI interviews enable direct back-check with interviewees and guarantee higher quality answers than PAPI interviews.

d) Sample design and sample size

According to available information, the majority of business corruption surveys use a stratified random sample to select sample units.[123] This method combines the basic nature of simple random sampling with increased precision because sample units can be drawn from subsets of the population with homogenous and meaningful features. The sample design of business surveys is usually done in relation to:

1. The economic sector of activity
2. Company size (usually in terms of number of employees)
3. Geographic location (e.g., subnational regions)

Depending on available resources and information needs, different levels of disaggregations of the three variables can be used. For example, the World Bank Enterprise Survey uses varying degrees of aggregation for sector stratification depending on the size of the economy. For very small economies the economy is only stratified into two macro sectors: manufacturing and services. For larger

[123] UNODC-INEGI Center of Excellence in Statistical Information on Government, Crime, Victimization and Justice, Repository of Corruption Measurement Tools.

economies, the manufacturing sector is disaggregated into a number of industries and the services sector is disaggregated into retail and other services.

In the case of corruption surveys targeted at businesses, the sample size should be selected in accordance with the desired accuracy of the survey estimates and the time and monetary resources available for implementing the survey. Moreover, the sample size depends on the type and number of disaggregation variables for which separate estimates need to be produced, such as economic sector, business size and geographic region.

For example, the *Italian Business Crime Survey* (2008)[124] required a large sample because estimates were required at regional level and, in selected areas, at provincial level. The sample size was also relatively large in the *Swiss Business Crime Survey* (2010)[125] as estimates were needed for its four different linguistic regions (German, French, Italian and Romansh). In the same vein, when carrying out the *National Survey on Business Victimization* (ENVE) in Mexico, INEGI selected a sample of approximately 34,000 economic units in order to produce estimates by sector (industry, commerce and services) and by size of firm ((micro, small, medium and large).

By contrast, business surveys conducted at the international level often use significantly smaller samples as the main goal is to produce estimates at national level only.

e) Selection of respondents

In contrast to surveys among the general population, respondents in business surveys provide information about a private entity (firm) within which they hold a position of responsibility and accountability. It is therefore fundamental to address the questionnaire to a person who has information about possible occurrences of corruption and holds an adequate level of responsibility within the company. In the case of small businesses, the owner or general manager is usually selected as the survey respondent, while in larger companies it is the CEO, the financial manager or head of accounting that tends to be interviewed. The selection of respondents to a corruption survey should also take into account the likelihood of contact between different employees/departments and the public administration. The possible impact of selecting different types of business employees should be tested in the pilot survey. In all cases, it is fundamental that respondents understand that their responses will not cause any harm to their business and that, on the contrary, their frank replies will in fact contribute to improving the environment in which their firm operates.

According to the UNODC-INEGI Center of Excellence, Repository of Corruption Measurement Tools, respondents vary significantly in terms of their positions within their company. For example, more than half of respondents to the *International Crime against Business Survey*, conducted in China in 2005-2006, occupied managerial positions (22.8 per cent were owners, managing directors or chief executives; 17.1 per cent were establishment managers and 12.6 per cent occupied different executive positions, such as financial director or production manager) while the other respondents were ordinary employees.[126] In the *Swiss International Corruption Survey*,[127] 41 per cent of the interviewees were CEOs, directors or managers of the sampled business, 38 per cent were owners or major

[124] Executive summary available at http://www.transcrime.it/wp-content/uploads/2014/02/Executive-summary-Report-16.pdf.

[125] Key findings available at https://www.unisg.ch/en/wissen/newsroom/aktuell/rssnews/forschung-lehre/2014/april/swissbusinesscrimesurvey-29april2014.

[126] Roderic G. Broadhurst et al., "Business and the risk of crime in China", *British Journal of Criminology* (2011).

[127] Available at www.alexandria.unisg.ch/252622/1/REPORT_SICS_Final_The%20Swiss%20international%20Corruption%20survey.pdf.

shareholders and 9 per cent were chief financial officers.[128] Some 47 per cent of the respondents of the 2012 survey *Business, Corruption and Crime in the western Balkans* were owners or major shareholders, 24 per cent were CEOs, directors or managers, 14 per cent were financial officers, 4 per cent were human resources officers and 3 per cent were senior legal officers of the selected business entities.

3. Designing the questionnaire

In a sample survey, the research objectives need to be translated into questions in order to elicit the requisite information from respondents. The process of selecting the questions, formulating them in a clear and concise manner and building a logical questionnaire structure has to be managed carefully because the type of questions asked, the way they are formulated and the way they are ordered can significantly affect responses to a survey.[129]

Based on the practices and experiences of surveys on corruption among businesses conducted in several countries across the world, this section is aimed at addressing the abovementioned issues by suggesting the key topics to be covered and how to formulate sensitive questions on the experience of bribery.

a) Topics to be included in a corruption survey

To address the multiple information needs deriving from anti-corruption policies, this section discusses the topics to be covered in corruption surveys among businesses.

Awareness of corruption, trust in institutions and perception of corruption

a) Access to public services and assessment of their quality and integrity

This set of questions usually includes information on businesses' access to, and quality of, basic services (such as obtaining utilities connections and clearing goods through customs) and their experience of the adequacy and efficiency of public services. As it is widely recognized that corruption, irrespective of its form, undermines the performance of public services and negatively affects businesses' views and evaluations of them[130] the inclusion of a set of questions on businesses' satisfaction with public services can assess this relationship.

b) Knowledge of corruption and acceptability of selected behaviours

This set of questions is useful for framing differences in sensitivity towards, and acceptability of, corrupt behaviours and helps clarify how businesses distinguish between corruption, facilitation

[128] Martin Killias, and Giang Ly Isenring, "A survey on business crime in Switzerland: on the difficulties of field research" (University of Zurich, 2011).

[129] James P. Lynch, "Problems and promise of victimization surveys for cross-national research"; Roger Tourangeau, *Cognitive Aspects of Survey Methodology: Building a Bridge Between Disciplines*; Fritz Strack, and Leonard L. Martin, Thinking, "Judging, and communicating: a process account of context effects in attitude surveys"; Norbert Schwarz and Hans-J. Hippler, "Subsequent questions may influence answers to preceding questions in mail surveys"; Seymour Sudman, Norman N. Bradburn, and Norbert Schwarz, *Thinking About Answers: The Application of Cognitive Processes to Survey Methodology*.

[130] Heungsik Park and John Blenkinsop, "The roles of transparency and trust in the relationship between corruption and citizen satisfaction"; Alberto Vannucci, "Three paradigms for the analysis of corruption".

payments and simple gifts.[131] In addition, this set of questions is relevant for testing whether different attitudes to corruption have an impact on businesses´ propensity to pay bribes.

c) Level of trust in public institutions

Trust in public institutions, including in law enforcement and the criminal justice system, should be investigated in order to aid understanding of whether and how the perception and/or actual experience of corruption affects trust in public agencies.[132]

d) Trends in the perception of corruption and of its scope within public institutions

While the measurement of corruption experience is focused on bribery, the measurement of the perception of corruption may include a broader range of attitudes and beliefs (e.g., conflict of interest, abuse of power, embezzlement of public funds, etc.). Including questions on the perception of corruption is also important for examining the relationship between direct experience of corruption and the general perception of its trend and scope. In all cases, such questions are complementary to, but not indicative of, the experience of corruption.

e) Obstacles to doing business

This type of question enables businesses to select the extent to which a list of obstacles deters them from doing business. Such obstacles may include high and complex taxation, labour regulations, political instability, crime and security, among others. This type of question is useful to assess if and how corruption is believed to hinder economic activity in comparison with other obstacles.

f) Awareness and effectiveness of anti-corruption agencies/institutions

These questions are aimed at improving understanding of the level of awareness of existing anti-corruption agencies among businesses and the perceived effectiveness of each of those agencies.

Experience of bribery when dealing with public officials

g) Occurrences of bribery when dealing with public officials

This section represents the core part of the questionnaire. The aim of this set of questions is to identify all occurrences of bribery experienced by businesses that had to perform a specific procedure with a public official (e.g., clearing goods through customs, requesting building permits, obtaining authorization, etc.) in the selected reference period. These questions enable the measurement of the prevalence and frequency of bribery among businesses when dealing with public officials.

h) Characteristics and circumstances of bribery when dealing with public sector officials

Drawing on the last incidence of bribery experienced by respondents, detailed information on the characteristics of a bribe event (usually the last one) is collected (e.g., the type of administrative procedure, the specific objective of the bribe, the amount paid, etc.). This set of questions enables

[131] For example, the Flash Eurobarometer 374, asks: "A gift from someone in return for a favour may be evidence of his esteem and kindness, but may also qualify as a bribe. If a public official receives money, a gift or a service from someone, what would be the minimum value at which you would consider this to be a bribe?".

[132] Stephen D. Morris, "Corruption and trust: theoretical considerations and evidence from Mexico"; Heungsik Park and John Blenkinsop, "The roles of transparency and trust in the relationship between corruption and citizen satisfaction".

the analysis and understanding of the mechanics of bribery and is key to the development of specific and evidence-based policies.

i) Response by bribe-payers to bribery when dealing with public sector officials

This set of questions collects information on whether or not a bribery incident was reported to the relevant authorities, the result of, or reason for, not reporting it, and satisfaction with the response by the relevant authorities, etc. This is important for understanding the operations, efficiency and effectiveness of the criminal justice system and other official authorities in responding to public sector bribery.

Experience of corruption in public procurement

j) Experience of corruption in public procurement

Considering the high risk of corruption in public procurement procedures, a dedicated set of questions can be included in order to identify occurrences of bribery in public procurement.

Experience of bribery when dealing with private sector personnel

k) Occurrences of bribery when dealing with private sector personnel

Businesses may need to contact other private sector companies to secure or perform a specific business transaction. This section is aimed at measuring potential experiences of bribery during such transactions. The aim of this set of questions is to identify all occurrences of bribery experienced by businesses that had to perform a specific procedure with a private employee from a different company during the selected reference period.

l) Characteristics and circumstances of bribery with private sector personnel

Drawing on the last incidence of bribery experienced by respondents, additional information on the characteristics of the event is collected (e.g., the type and sex of the private sector employee involved, the amount paid, etc.). This set of questions enables the analysis of additional information to complete understanding of the complexities of private sector bribery and the development of evidence-based policies.

m) Response by bribe-payers to bribery when dealing with private sector personnel

This set of questions collects information on whether or not a bribery incident was reported to the relevant authorities, the result of, or reason for, not reporting it, and satisfaction with the response by the relevant authorities, etc. This is important for understanding the operations, efficiency and effectiveness of the criminal justice system and its response to private sector bribery.

Characteristics of the selected business establishment and business representative

n) Characteristics of the selected business establishment and respondent

The collection of background information on business establishments is necessary for identifying which specific economic sectors are more at risk of corruption, as well as identifying potential protective factors. Information on business establishments should include economic sector of activity, size, annual turnover, whether privately or state owned, foreign capital participation, location, among others.

o) Characteristics of the selected business representative responding to the survey

Background information on the survey respondent, such as position, duration of employment in a company, among others, should also be collected.

Evaluation

p) Interview evaluation

This section of the questionnaire has to be compiled by the interviewer in order to keep track of interview development and main characteristics (e.g., length, language of compilation, completed or not, reason for not completing, etc.).

Table 11: Suggested topics to include in dedicated surveys and integrated modules on corruption

Section	Topic	Specific information on each topic	Level of priority for inclusion in dedicated survey	Level of priority for inclusion in integrated module
Awareness of corruption, trust in institutions and perception of corruption	Access to public services and assessment of their quality and integrity	Access to different public services	!	
		Satisfaction with different public services	!	
	Knowledge of corruption and acceptability/sensitivity of specific behaviours	Assessment of different types of understanding of corruption Acceptability of certain practices by public officials and/or when dealing with them	!	
	Trust in public institutions	Type of public institution	!	
		Level of trust	!	
	Perception of corruption in public institutions	Perception of corruption in the economic sector where the company operates, by type of public institution	!	
		Lack of investments due to fear of bribery and corruption	!	
		Perceived trend in corruption over last three/five years (whether decreased, increased or remained stable)	!	
		Whether satisfied with governmental efforts in curbing corruption	!	
	Perceived obstacles to doing business	Assessment of perceived obstacles to doing business	!	

	Awareness and effectiveness of anti-corruption agencies/institutions		!	
Experience of bribery in the public sector	Occurrences of bribery when dealing with public officials	Engagement in transactions/procedures with public sector, by type of procedure	!	!!
		Bribes paid/given to public officials by type of procedure	!!	!!
		Number of bribery payments by type of procedure	!!	
		Bribes requested by public officials but not paid, by type of public official	!!	!!
		Bribes offered to a public official but not accepted, by type of public official	!	
	Information on the most recent incident of public sector bribery	Type of official involved in the last incident	!!	!!
		Sex of the official involved in the last incident	!!	
		Type of bribe	!!	!!
		Type of public service for which the bribe was paid	!!	!!
		Purpose of the bribe	!!	
		When the bribe was paid	!!	
		What the economic cost of the bribe was	!!	
	Response of bribe-payer to most recent experience of bribery	Whether it was discovered through an internal compliance mechanism	!!	
		Whether it was reported to the relevant authorities	!!	!!
		Result of reporting it	!!	
		Reason for not reporting it	!	
		Satisfaction with the job done by the relevant authorities	!	
		Negative consequences of not providing the requested bribe	!	
		Usefulness of having paid a bribe.	!	

Experience of bribery in public procurement	Experience of bribery in public procurement	Participation in a public tender or a public procurement procedure in a specific reference period	!	
		Bribes paid/given during bidding processes in public procurement procedures	!	
		Bribes paid/given during bidding processes in public procurement procedures, by type of public official involved in the last incident, type of bribe paid, size of (cash) bribe, and purpose of bribe	!	
		Proportion of annual turnover coming from public tender or a public procurement procedure.	!	
Experience of bribery in the private sector	Experience of bribery when dealing with private sector employees	Contact with private sector companies	!	
		Bribes paid/given to private sector companies, by type	!	
		Incidence of bribery payment, by type of private sector employee	!	
		Bribes requested by private sector employees but not paid, by type of private sector employee	!	
		Bribes offered to a private sector employee but not accepted, by type of private sector employee	!	
	Information on the most recent incident of private sector bribery	Type of business relationship between the business and the private sector company to which the bribe was provided/requested (e.g., partnership/contract; regular business relationship but no contract; etc.)	!	
		Type of bribe	!	
		Type of service for which the bribe was paid	!	
		Purpose of the bribe	!	
		When the bribe was paid	!	
		What was the economic cost of the bribe	!	
	Response of bribe-payer to most recent experience of bribery	Whether it was reported to the relevant authorities	!	
		Result of reporting it	!	
		Reason for not reporting it	!	

		Satisfaction with the job done by the relevant authorities	!	
		Negative consequences of not providing the requested bribe	!	
		Usefulness of having paid a bribe.	!	
Characteristics of the business establishment and representative	Information on the selected business	Economic sector	!!	!!
		Number of employees	!!	!!
		Turnover, number of local units, urban/rural, privately/publicly owned	!	
		Percentage of foreign capital participation	!	
	Information on the business representatives	Sex	!!	!!
		Position in the company	!!	
		Number of years in the company	!	
Evaluation	Interview evaluation	Length of interview	!	
		Language of compilation	!	
		Completed or not	!	
		Reason for not completing	!	

Legend:

!! Topics that should be included in a dedicated survey on corruption and in a survey module on corruption, respectively.

! Topics that can be considered for inclusion in a dedicated survey on corruption, subject to availability of resources and national priorities.

Topics required to computing Sustainable Development Goal indicator 16.5.2.

b) Formulating specific questions for Sustainable Development Goal indicator 16.5.2

This section provides suggestions on how to phrase questions that best capture the experience of bribery among businesses and which key elements to cover in order to guarantee comparability of data, compliance with Sustainable Development Goal indicator metadata[133] and to enhance accuracy of responses. When developing a survey questionnaire, the wording needs to be adapted by taking into account a number of aspects, such as overall style, length, and mode of data collection. Furthermore, in each country, the exact wording will be determined by taking into account the meaning of terms in the national language (or languages) and their use (or acceptability) in various cultural contexts.

[133] Metadata for the Sustainable Development Goal indicators are published in the repository held by the United Nations Statistics Division, Available at https://unstats.un.org/sdgs/metadata/.

Sustainable Development Goal indicator 16.5.2 is defined as: "Proportion of businesses that had at least one contact with a public official and who paid a bribe to that public official, or were asked for a bribe by that public officials, during the previous 12 months."

There are three key tasks and corresponding questions for computing indicator 16.5.2:

1. To identify those businesses that had contact with the public sector while performing specific procedures during the survey reference period
2. To identify those businesses that paid a bribe at least once during the survey reference period
3. To identify those businesses that were requested to pay a bribe but did not do so

Each question should contain all the relevant attributes that define that particular behaviour to induce respondents to search their memories for events with all those attributes.[134] The following sections provide guidance on how to formulate each of the three questions.

Question 1:

In the last 12 months, has your business entity been in contact with a public official, including through an intermediary, for one of the following administrative procedures?

This is a screening question as it is used for identifying businesses that have been in contact with public officials for accessing public services and, as a consequence, are exposed to the risk of bribery. This question also clarifies the broad topic of the interview and helps respondents to focus on it in order to facilitate their recollection of relevant events.

There are two main approaches for asking respondents about their recent experiences of contact with the public administration: 1) experience of contact with certain types of public official; 2) experience of dealing with administrative procedures.

Both approaches have advantages and disadvantages: when using the screening question on contact with certain types of public official it can be easier for respondents to recall personal experiences of meeting or talking with particular types of official than with others; furthermore, certain types of contact with some types of official, such as police officers, teachers or health professionals, can take place outside the context of formal administrative procedures. However, for a survey exploring the bribery experiences among businesses, the use of a screening question focusing on administrative procedures is more suitable as it reflects actual interactions between two entities (business and the public administration), whereas the screening based on contacts with public officials is better suited to identifying interactions between two persons (respondent and public official). Moreover, this approach should help respondents to recall procedures undertaken by their company during the reference period.

For that reason, when designing the screening question for identifying businesses that have had contact with the public sector, it is necessary to include a comprehensive list of administrative procedures. A standard list clarifies the type of transactions to consider and increases comparability of data. The following list of procedures has been developed by looking at existing national and regional corruption surveys. This core set should not be interpreted as restrictive, but rather as a minimum set that can be complemented with additional typologies on the basis of national regulations and practices.

[134] James P. Lynch, "Problems and promise of victimization surveys for cross-national research".

Table 12: Suggested standard list of administrative procedures to be included in survey questionnaire

Administrative procedure	Priority level
Clearing import/export of goods through customs	!!
Bidding processes in public procurement procedures	!!
Securing contracts with public institutions without a bidding process	!!
Procedures related to building permits	!!
Procedures related to tax declaration/compliance	!!
Procedures related to labour regulations (including on-site inspections)	!!
Legal proceedings for administrative/civil/labour disputes	!!
Procedures related to health/safety of workers (including on-site inspections)	!!
Procedures related to off-site health/safety/environment issues	!!
Requests for utilities connections or contracts (electricity, gas, water, sewage, etc.)	!!
Obtaining or renewing licences for performing a business activity	!!
Obtaining other authorizations from public institutions	!
Legal proceedings for criminal offences	!
Applications for public funding for setting up/performing business activities	!
Other	!

Legend:

!! Core administrative procedures that should be included in survey questionnaires to ensure data comparability.

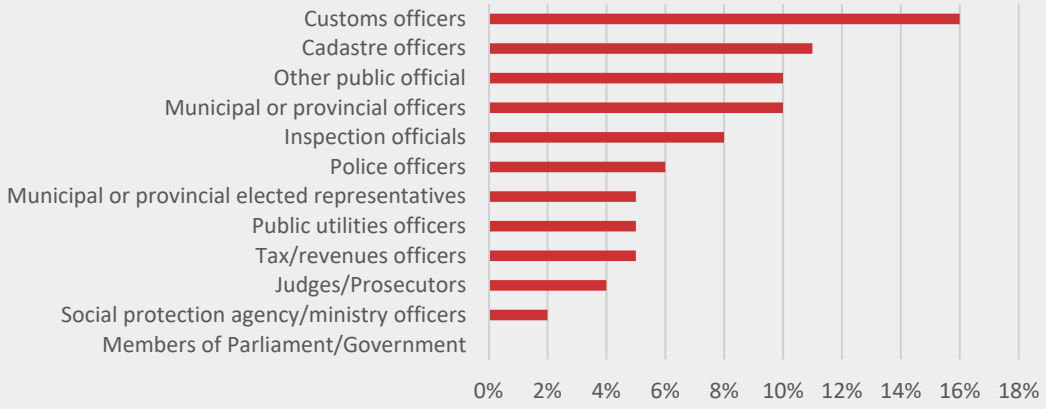
! Additional administrative procedures that could be included in survey questionnaires, subject to national context.

Comparison of screening respondents for contact with public official by type of official and by type of administrative procedure

During the UNODC survey *Businesses, Corruption and Crime in the western Balkans* (2013), two different versions of the survey questionnaire were piloted in order to test the differences in screening respondents for contact with public officials: by type of public official or by type of administrative procedure. The first version focused on the prevalence of bribery among businesses in contact with the public administration during the reference period by providing respondents with a list of selected types of officials. The second version focused on the prevalence of bribery among businesses in contact with the public administration during the reference period by providing respondents with a selected list of business-related procedures.

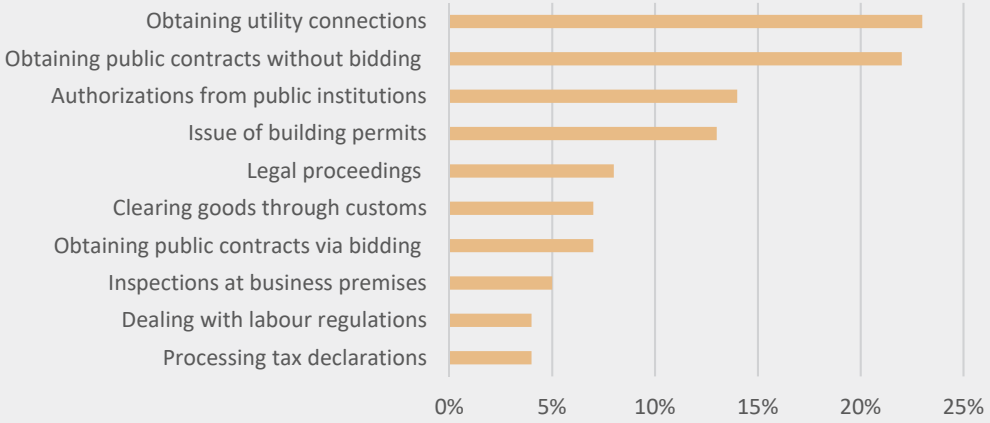
The results of these two pilot exercises are reported below and show differences in the prevalence of bribery. Measuring the prevalence of bribery during contact by procedure demonstrated more accurate and actionable results than by type of official, by indicating the specific processes most vulnerable to corruption. In addition, this set of screening questions assisted respondents better in their recollection of events.

Prevalence of bribery among businesses in contact with public officials, by type of official (western Balkans, 2013)



Source: UNODC.

Prevalence of bribery among businesses in contact with public officials, by administrative procedure (western Balkans, 2013)



Source: UNODC.

Question 2:

Please consider the [mentioned procedure]: in the last 12 months was there any occasion when your business entity had to give a public official involved in those procedures a gift, a counterfavour or some extra money (other than the official fee), including through an intermediary?

The wording of the question on the experience of bribery is fundamental as it needs to be extremely precise and, at the same time, facilitate the disclosure of an accurate response by minimizing possible effects of memory decay and social desirability bias. The formulation of the question needs to consider the following points:

- In order to minimize social stigma and social desirability issues, the question on the experience of bribery should be phrased in a way that makes the respondent feel that he/she was obliged to pay a bribe. The sentence "Did you have to give extra money, etc." could serve this purpose.
- The generic word "bribery" should be avoided; instead, only terms referring to the exchange of money, goods or services should be used. This approach increases the likelihood of disclosing bribery experience by those respondents who fear reporting a socially undesirable act. This approach is also preferable as in many cases respondents do not consider their experience as a form of bribery.
- The reference period should be clearly defined: a 12-month period is usually considered a good trade-off between the cost (short reference periods require more field interviews per year) and precision of estimates (the longer the reference period, the less complete the recall of past events). Clearly defining the start and end date of the reference period can help to reduce the "telescoping effect", i.e. when respondents have difficulty accurately locating events within the appropriate reference period.

Question 3:

In the last 12 months, was there any occasion when a public official, directly or indirectly, asked your business entity to give a gift, a counterfavour or some extra money for an issue or procedure related to his/her functions but nothing was given?

This question is required for identifying those occurrences of bribery when a bribe request was made but no bribe was given. Despite the refusal, such events are also classed as bribery, as the definition of bribery states.[135]

For the calculation of Sustainable Development Goal indicator 16.5.2, the information collected in questions 1, 2 and 3 should be used in a standardized manner for producing comparable data. The table indicates the elements that should be retained for ensuring the comparability of indicator 16.5.2 for Sustainable Development Goal monitoring.

[135] Article 15, UNDODC, United Nations Convention against Corruption (UNCAC) (United Nations, New York, 2004). Available at www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf.

Table 13: Key elements of the calculation of Sustainable Development indicator 16.5.2

Information element	Description
Reference period	Last calendar year or previous 12 months
Economic sector	Businesses in the following sectors should be considered:[136] 1. Manufacturing (C) 2. Electricity, gas, steam and air conditioning supply (D) 3. Water supply, sewerage, waste management and remediation activities (E) 4. Construction (F) 5. Wholesale and retail trade, Repair of motor vehicles and motorcycles (G) 6. Transport, storage (H) 7. Accommodation and food service activities (I) 8. Information and communication (J)
Administrative procedure	Reference should be made to businesses that had contacts with public officials and engaged in incidents of bribery when undertaking the core list of administrative procedures in table 12 (priority level !!)
Method of computation	Number of businesses that, during the reference period, gave at least one bribe to a public official or were asked to pay a bribe by a public official but did not do so *As a percentage of* Number of businesses who had at least one contact with a public official in the reference period

c) Formulating follow-up questions on the experience of bribe-paying

Any affirmative response to the experience of bribery requires the administration of follow-up questions to collect detailed information on the bribery event. Although, ideally, follow-up questions should be asked about all bribery incidents, in order to maintain an acceptable burden on respondents and enhance the accuracy of their responses, it is recommended that the focus should be on the respondent's last bribery experience.[137] Assuming that there is no specific seasonality, neither in relation to bribery nor the timing of surveys, the last bribery experience can be seen as a random selection of all bribery experiences and is therefore representative of all bribes experienced by survey respondents.

Follow-up questions are aimed at understanding the precise circumstances of a bribe in order to produce actionable and policy-relevant information. For example, the information requested can be about the type of public official involved, the specific aim of the bribe request, the type of bribe and economic value, etc. All of these elements characterize the mechanics of bribery and produce information that can be directly used for evidence-based policies targeted at, for example, procedures

[136] To ensure data comparability for Sustainable Development monitoring, if businesses from additional sectors are included in the target population, they should not be considered when calculating Sustainable Development indicator 16.5.2.

[137] Some follow-up questions can also be asked about the most serious incident in order to get a more complete picture of larger-than-average bribes. Notably, information on the most serious event should be collected in addition to information on the last incident.

that are particularly vulnerable to bribery, competent agencies, relevant regulations and costs. Follow-up questions can also focus on the exact timing of a bribery event in order to exclude events that took place outside the reference period. With this type of follow-up question, respondents are less likely to "telescope" in events from outside the reference period.[138]

On the basis of existing corruption surveys, the following table lists the main types of follow-up question on bribe-paying.

Table 14: Suggested list of follow-up questions on the most recent incident of bribe payment (experience of bribery)

Topic	Example of question	Answer categories
Date of event	*Could you tell me the month in which this happened the last time?*	Specific month and year
Type of public official involved in the last incident	*The last time you or somebody from your business entity had to make an extra payment or give a gift (the most recent event), to which official was it given?*	1. Police\public security officers (incl. local police) 2. Prosecutors; Judges/Magistrates at court 3. Tax/revenue officers 4. Customs officers 5. Public utilities officers/inspectors (electricity, water, sanitation, etc.) 6. Inspection officials (health, safety, fire, labour, etc.) 7. Social protection agency/ministry officers (pensions, allowances, etc.) 8. Health authorities 9. Land registry (cadastre) officers 10. Municipal or provincial officers 11. Elected local government representatives (provinces, municipalities, cantons, etc.) 12. Elected state/federal government representatives 13. Members of parliament/legislature at national, regional and local level 14. Other public official/civil servant
Sex of the official who received the bribe	*The last time you or somebody from your business entity had to make an extra payment or give a gift, what was the sex of the official who received it?*	1. Male 2. Female 3. Don't know

[138] James P. Lynch, "Review: clarifying divergent estimates of rape from two national surveys", p. 416.

Topic	Example of question	Answer categories
Type of bribe	*The last time you or somebody from your business entity had to make an extra payment or give a gift (the most recent event), what was given?*	1. Food and drink 2. Valuables (gold, jewellery, phones, etc.) or other goods 3. Some money (please specify amount in national currency) 4. Personal career advantage for public official or his/her relative/s 5. Job position for public official's relative/s or friend/s 6. Exchange with another service or favour 7. Don't know
Economic value of the provided gift/money/favour	*How would you approximately quantify the economic cost of this specific payment/gift/service?*	Please express the value in [national currency]
Purpose of bribe	*The last time you or somebody from your business entity had to make an extra payment or give a gift, what was the purpose of that extra money or gift?*	1. Speed up procedure 2. Make finalization of procedure possible (which would otherwise not be possible) 3. Reduce cost of procedure 4. Gain an advantage on competitors 5. Avoid payment of fine 6. Receive preferential treatment (e.g. increase score, reduce taxes, increase allowances, etc.) 7. Receive information on the process (where to go, whom to approach, etc.) 8. No specific purpose (it is better to maintain good relationships) 9. Don't know
Type of bribe request	*The last time that you or somebody from your business entity had to make an extra payment or give a gift, how did you understand that an extra payment or gift was expected from you?*	1. Direct request from the official 2. The official indirectly requested a payment 3. A third person requested the extra payment 4. Nobody asked for it, I did it to facilitate/accelerate the procedure 5. Don't know
Timing of bribe	*The last time you or somebody from your business entity had to make an extra payment or give a gift, when exactly did you give the gift/money?*	1. Before the service was delivered 2. After the service was delivered 3. At the same time that the service was delivered 4. Partly before and partly after the service was delivered

Topic	Example of question	Answer categories
		5. Don't know
Outcome of bribe	*The last time you or somebody from your business entity had to make an extra payment or give a gift, did you/they get the service the bribe was meant for?*	1. Yes 2. No 3. Don't know
Reporting to relevant authorities	*The last time you or somebody from your business entity had to make an extra payment or give a gift, did you report it to an official authority (e.g., police, prosecutor, anti-corruption agency, etc.) or to a non-official institution?*	1. Yes 2. No 3. Don't know
Specific official authorities to which the incident was reported	*To which official authority did you report it?*	1. Police 2. Anti-corruption agency 3. Public complaints commission 4. Agency/institution of the officer requesting the bribe 5. Other institution 6. No official authority 7. Don't know
Other non-official institution to which the incident was reported	*To which other, non-official, entity did you report it?*	1. Media 2. International organization 3. Non-governmental organization 4. Other institution 5. No other institution 6. Don't know
What happened after reporting	*What happened after you reported a bribery incident?*	1. A formal procedure was initiated against the officer 2. The problem was solved informally and I was given back the money/gift 3. I was advised not to go ahead with my report 4. There was no follow-up to my report 5. I suffered negative consequences in connection with reporting the incident 6. Other

Topic	Example of question	Answer categories
Satisfaction with the job done by the relevant authorities	*Were you satisfied with the job done by the authority you reported the incident of bribery?*	1. Yes 2. No 3. Don't know
Reason for not reporting	(If not) Why didn't you report it?	1. It is a common practice to pay or give gifts, why should I report it? 2. It is pointless, nobody would care about it 3. Don't know to whom I should report 4. I know who to report to, but it is too far away 5. Fear of negative consequences for myself 6. I did not report it because I received a benefit from the payment/gift 7. I did not report it because I made the payment/gift as a sign of gratitude 8. I did not report it because I did not want to incur additional expenses 9. Other reason 10. Don't know

4. Analysis

Analysing results from collected data is the principal tool for obtaining comprehensive and actionable information to support policymaking. The agency conducting a corruption survey among the business sector should be aware of the relevance and usefulness of the information and have an understanding of the analytical outputs that will be obtained from collected data. The analysis of data should therefore be conducted in consideration of the survey goal and ultimately provide clear and objective insights into the prevalence of and trends in bribery experienced by businesses.

a) Drafting a report on a business corruption survey

Based on the data collected and highlighting the key indicators and variables needed to underpin policy-relevant analyses, a generic template for structuring and drafting reports is presented in this section. Including selected elements of interest and providing suggestions about the type of analysis to conduct, the following outline should be adapted and/or complemented in accordance with national or regional information needs in order to make full use of the data collected.

Executive summary

The executive summary is an indispensable element for presenting the key findings of the study to a range of users with an interest in using that information for the development of anti-corruption measures. Just as importantly, the executive summary is often the primary source of information for the media to use when disseminating the results of the survey. A well-drafted and carefully edited executive summary can thus contribute a great deal to the impact and ultimate success of a survey report.

A good executive summary will contain all the key findings of the report in a clear and concise manner, using simple, non-technical language that can be understood by non-specialists and is suitable for being quoted verbatim in the media. The inclusion of illustrative info graphs and simple charts that summarize complex quantitative data in an informative way can emphasize key points and facilitate understanding.

Introduction

A short introduction should provide basic information on the corruption survey such as the time frame covered, the sample size, the implementing agencies involved, as well as provide information about the general approach taken in measuring the experience of bribery and other forms of corruption in the survey. The introduction may also refer to the methodological annex for the technical details of the survey.

The reach of bribery

The first substantive chapter of the report should provide key findings on the extent of bribery and introduce the key indicators used: prevalence and frequency of bribery. The analysis presented can refer to the total prevalence rate, national and subnational rates or prevalence over time by presenting the findings in text, figures and maps. The frequency of bribery (average number of bribes paid by bribe-payers) can be included in the same section. When data are available for two or more surveys, comparisons of trends (at all geographic levels) will prove particularly relevant.

To illustrate statistical uncertainty due to the sampling error in the survey estimates, it may be useful to provide prevalence rates and frequency together with their confidence intervals. If information has also been collected on the experience of bribery in dealings with private sector employees (business-to-business bribery), a section of this chapter could present the corresponding indicators, including by comparing this type of bribery with bribery in dealings with public officials.

For surveys that have also collected information about the perception of corruption among the public, this section could present major findings and, when possible and relevant, compare experience-based data with data based on perceptions and attitudes.

Suggested indicators:

- Prevalence of bribery in dealings with public officials among businesses in contact with public officials
- Frequency of bribery in dealings with public officials among businesses who paid bribes (average number of bribes paid by businesses to public officials in the reference period)
- Prevalence of bribery among businesses in dealings with private sector employees
- Frequency of bribery among businesses who paid bribes in dealings with private sector employees (average number of bribes paid by briber-payers to private sector employees in the reference period)

How bribery works

In this section, the nature and mechanism of bribery is analysed and described, utilizing data collected on the modality of bribery (who instigates bribes), the timing of bribery (before/after the service is rendered), the purpose of bribery, the form bribes take (cash, goods or other forms) and the value (amount) of (cash) bribes. As before, the analysis can be by geographic area, type of economic sector or other analytical categories of interest. In the case of the latter, it may be particularly illuminating to combine various variables of interest in order to understand, for example, whether the timing of a bribe payment is a function of its modality (cash, counter favour, gift, etc.).

An analysis of the size of cash bribes can benefit from looking both at average and median bribes, as well as examining outliers that may signal particularly large bribe payments in certain areas. An analysis of the purpose of bribe payments can provide insights into key problems of public service where businesses often resort to bribes to overcome bottlenecks or use bribes to avoid high fees, taxes and controls. More detailed insights into problems of public administration can be obtained by the analysis of bribery in relation to the type of services sought, particularly if this type of analysis can be combined with other variables listed above (e.g., purpose of bribes paid in certain economic sectors). In general, the larger the sample size of the survey, the more fine-grained the analysis and presentation of (statistically significant) findings can be.

Suggested indicators:

- Modality, timing, type of request and purpose of bribes
- Type of undue advantage given or paid (money, gift, favour, service)
- Average size of cash bribes paid to public officials
- Average size of cash bribes paid to private employee

Why bribes are paid

In this section, the focus is on the administrative procedures affected by bribery. Using several of the key indicators that refer to the type of public official involved, the types of procedure for which bribes are paid can be analysed and the types of procedure with the highest risk of bribery identified. It should be made clear in this section that the occurrence of bribery should always be measured relative to a business' exposure to such an act, meaning that the prevalence of bribery (in general and by type of procedure) is measured in reference to those who had contact with public officials during a certain type of procedure over the previous 12 months. Both the prevalence rate and average number of bribes paid during particular procedures can be analysed and presented by geographic region, economic sector or other dimensions of interest (e.g., purpose of payment). Most of the analytical dimensions listed in the previous section (how bribery works) can be relevant for a more fine-grained analysis by type of procedure, provided the sample is large enough to produce significant estimates.

The bribery of private sector employees in other businesses (business-to-business bribery) should be analysed separately.

Suggested indicators:

- Prevalence of bribery among businesses disaggregated by type of procedure during/for which bribery was paid/requested
- Prevalence of bribery among businesses by type of public official
- Prevalence of bribery by type of private service (e.g., application for electrical connection, application for water connection, asking for a loan, etc.)

Who pays bribes

Just as important as a comprehensive analysis and description of bribe-takers is the detailed analysis of bribe-paying businesses, and how the combination of specific economic characteristics of businesses (e.g., economic sector, size and interactions with public officials) affects their prevalence of bribery. It is therefore instructive to disaggregate bribe-payers by a number of dimensions such as economic sector, size of the business entity, ownership structure, foreign capital participation, turnover, and to combine these dimensions with geographic (urban/rural, by region or state) or other categories (e.g., by type of official to whom a bribe is paid). An analysis of bribery prevalence among particular types of business can reveal a great deal about the nature of bribery risks among businesses and who uses bribery in which circumstances to circumvent existing rules and regulations.

Suggested indicators:

- Prevalence of bribery in dealings with public officials, disaggregated by economic sector or activity, size, and turnover of the business
- Share of bribes paid to public officials, disaggregated by type of public official who received the bribe
- Value of bribes disaggregated by size and business sector
- Prevalence of bribery in dealings with private employees, disaggregated by economic sector or activity, size and turnover of business
- Share of bribes paid to private employees, disaggregated by type of private sector employee who received the bribe

How businesses respond to bribery

In this section, the reaction of business leaders to bribery demands and payments is analysed and discussed, ranging from the payment of bribes to the refusal of bribe payments and extending to the reporting of bribery to relevant authorities. An analysis of bribery prevalence in relation to internal compliance mechanisms and prevailing rules for "whistle-blowers" can go some way in describing and understanding the refusal, reporting or non-reporting of bribery and can provide evidence for general, industry-specific or even intra-firm regulatory regimes that best prevent corruption.

Suggested indicators:

- Reporting rate to relevant authorities (e.g., the police, anti-corruption agencies) of bribery to public officials
- Reporting rate to relevant authorities (e.g., the police, anti-corruption agencies) of bribery to private-sector employees

Conclusions and policy implications

Perhaps even more so than for a general population survey on bribery, the policy implications of a business corruption survey will have relevance for a number of different audiences. Therefore, it may be useful to structure this final section into conclusions and policy implications for different institutions, such as public policymakers and public institutions, business organizations and chambers of trade and commerce, business leaders and (general) advocacy groups. In view of this diversity, it may be useful to consult various stakeholders when drafting this final section, for example experts who are familiar with drafting anti-corruption measures for individual businesses, industry-wide compliance standards or economy-wide anti-corruption regulations.

Methodological annex

In the final section of the report, detailed information is provided on the technical aspects of the survey. This should include information relevant for the assessment of the survey, such as the sampling method, the design and development of the survey instrument, survey mode, findings of the pilot survey, sample design and weighting procedure, training of interviewers, quality control, language versions, field work, data entry and cleaning and calculation of indicators. Other sections of the annex may provide detailed tables or graphs of interest for regions or subregions (e.g. states) where the survey was conducted. For a business corruption survey, it may be particularly interesting to provide some basic economic background on the structure and performance of the economy or various economic sectors over the period of study.

b) Communicating and disseminating the results

One of the last steps of the survey cycle is the publication and dissemination of the survey results. The process through which the information obtained during the corruption survey is released to end-users, this should always be undertaken in cooperation with all relevant stakeholders. Depending on available resources, user demand and the survey stakeholders, responsible agencies may want to produce general interest publications on the experience of bribery, more specific special interest publications, customized products for stakeholders, or specific statistical services. The choice of one or the other should be motivated by the survey goal of monitoring the reduction in corruption and bribery and how to better report it.

Disseminating the National Survey of Quality and Governmental Impact (ENCIG), Mexico

The dissemination strategy of ENCIG covers a broad range of fronts. Firstly, the responsible agency (INEGI) sends the executive presentation of the national results to the network of contacts of the National Information Subsystem on Government, Public Security and Justice. INEGI then produces executive presentations for each Mexican state and shares them with their local governments. Subsequently, INEGI prepares thematic presentations for Federal Ministries (health, tax administration and public security, among others). These thematic results are presented by the President of INEGI in closed meetings with ministers, in the hope that the information feeds their management improvement programmes. Finally, the results are presented to the media, with the responsible team explaining each result in order to prevent misuse or misinterpretation. The corresponding documents and press release are published simultaneously on the same day.

The publication and dissemination of results should focus on the following aspects:

- Clarity of findings – The findings of a corruption survey should be accurate reflections of the data and must be presented in a clear, concise and coherent way, which is user-friendly for all end-users and particularly relevant and actionable for policymakers. The focus should be on experience-based indicators and Sustainable Development Goal indicators.
- Use of traditional and web-based dissemination channels – Besides preparing the analytical report and relevant kit for the media (press release, selected findings and charts), it is important to prepare an adequate campaign on social media and inform relevant practitioners, experts and members of the research community.
- Transparency of methodology – Publications must provide a transparent methodology explaining how the survey was designed and implemented. Trust in survey data will increase if adequate information is presented to enable interpretation of the results.
- Release of microdata – The release of microdata increases transparency and thus serves to promote trust in survey results. All end-users should be able to access the data at the same time and the responsible agency should ensure that there is no pre-release of the data.

ANNEXES

ANNEXES

ANNEX I

Example of a questionnaire for corruption surveys among the population (selected key questions)

1. OPINION ON SELECTED TOPICS

1.1 In your opinion, what are the three most important problems [COUNTRY] is facing today?

(Please first read out the full list to the respondent and then mark up to three items, begin with the first most important, then the second most important and then the third most important.)

S/n	Problems	First most important	Second most important	Third most important
1.	Housing	1	2	3
2.	Health care	1	2	3
3.	Religious conflict	1	2	3
4.	Ethnic or communal conflict	1	2	3
5.	Political instability	1	2	3
6.	Crime and insecurity	1	2	3
7.	Unemployment	1	2	3
8.	Education	1	2	3
9.	Corruption	1	2	3
10.	Infrastructure (transport, energy, communication, etc)	1	2	3
11.	High cost of living	1	2	3
12.	Drug abuse and drug trafficking	1	2	3
13.	Environmental degradation	1	2	3
14.	Other problem	1	2	3

1.2 What is your opinion about the following behaviours? Is it Always acceptable, Usually acceptable, Sometimes acceptable or Not acceptable? *(Please mark each row)*

	Behaviour	Always acceptable	Usually acceptable	Sometimes acceptable	Not acceptable
1.	A public officer being recruited on the basis of family ties and friendship networks	1	2	3	4
2.	A public officer asking for a bribe to speed up administrative procedures	1	2	3	4
3.	A private citizen offering a bribe to a public official to speed up administrative procedures	1	2	3	4
4.	An elected official taking public funds for private use	1	2	3	4
5.	An elected official using stolen public funds to assist his or her community	1	2	3	4
6.	A law enforcement officer (police, customs, immigration, army) asking for a bribe	1	2	3	4
7.	A company official asking for a bribe from a job applicant	1	2	3	4

1.3 In your opinion, how frequent are these practices among public officials? Do you think they are very frequent, fairly frequent, not very frequent but not unusual or do you think they never happen? *(Please mark each row)*

	Behaviour	Very frequent	Fairly frequent	Not very frequent but not unusual	Never happens	Don't know
1.	Influencing the hiring of friends or relatives in the public sector	1	2	3	4	5
2.	Influencing the award of government contracts to friends or relatives	1	2	3	4	5
3.	Requesting money or gifts for public services that should have been provided for free	1	2	3	4	5

1.4 In your opinion, how frequent are these practices among *private* sector employees? Do you think they are very frequent, fairly frequent, not very frequent but not unusual or do you think they never happen? *(Please mark each row)*

	Behaviour	Very frequent	Fairly frequent	Not very frequent but not unusual	Never happens	Don't know
1.	Influencing the hiring of friends or relatives in the private sector	1	2	3	4	5
2.	Influencing the award of contracts to friends or relatives in the private sector	1	2	3	4	5
3.	Requesting money or gifts for private benefit instead of the benefit of the company	1	2	3	4	5

1.5 In your opinion, how frequent are these practices among *elected* representatives/politicians? Do you think they are very frequent, fairly frequent, not very frequent but not unusual or do you think they never happen? *(Please mark each row)*

	Behaviour	Very frequent	Fairly frequent	Not very frequent but not unusual	Never happens	Don't know
1.	Influencing the career advancement of their friends or relatives on the basis of patronage instead of merit	1	2	3	4	5
2.	Influencing the award of contracts to companies/ individuals close to themselves	1	2	3	4	5
3.	Using public funds or property for personal or family needs	1	2	3	4	5
4.	Taking bribes or gifts to influence public contracts or public decisions	1	2	3	4	5
5.	Manipulating government records or public accounts	1	2	3	4	5
6.	Manipulating electoral processes/ electoral fraud	1	2	3	4	5
7.	Compromising on investigative functions	1	2	3	4	5

1.6.	**Compared with 3 years ago, do you think that the overall level of corruption in [COUNTRY] has increased or decreased?** *(Please mark one answer only)*	Increased	Remained stable	Decreased	
		1	2	3	☐

1.7 Usually, different levels of corruption exist in various sectors of a country. According to you, how frequently do corrupt practices currently take place in the following institutions? Do you think they are very frequent, fairly frequent, not very frequent but not unusual or do you think they never happen? *(Please mark each row)*

	Institutions	Very frequent	Fairly frequent	Not very frequent but not unusual	Never happens	Don't know
1.	Parliament/Legislature	1	2	3	4	5
2.	Federal government	1	2	3	4	5
3.	State government	1	2	3	4	5
4.	Local government	1	2	3	4	5
5.	Law courts/tribunals	1	2	3	4	5
6.	Police	1	2	3	4	5

7	Armed forces	1	2	3	4	5
8	Tax office	1	2	3	4	5
9	Customs office	1	2	3	4	5
10	Immigration service	1	2	3	4	5
11	Public utilities (electricity, water and sanitation)	1	2	3	4	5
12	Public hospitals	1	2	3	4	5
13	Public schools (primary/secondary/tertiary)	1	2	3	4	5
14	Land registry	1	2	3	4	5
15	Car registration/driving licence agency	1	2	3	4	5

2. EXPERIENCE WITH PUBLIC SERVICES

D1. In the last 12 months (since Month/YEAR), have you had contact with any of the following public officials, including through an intermediary? **<< INT.: If the answer is "yes" go to D2 for the same item. If the answer is "no" go to the next item in the list>>** (Please mark each row)	**D2.** Now think about the <TYPE OF OFFICIAL > : In the last 12 months (since Month/YEAR): did it happen that you had to give any of them a gift, a counterfavour or some extra money, including through an intermediary (with the exclusion of the correct amount of official fees)? **<< INT.: If the answer is "yes" go to D3 for the same item. If the answer is "no" go to the next item in D1>>**	**D3.** Now think about the <TYPE OF OFFICIAL > : In the last 12 months (since Month/YEAR): How many times was a gift, a counterfavour or some extra money given? **<< INT: Enter the number below and continue with D4.>>**	**D4.** Now think about the <TYPE OF OFFICIAL > : Could you tell me the month in which this happened the **last time**? **<< INT: Enter Month/YEAR); If more than 12 months ago, choose the option "The event happened more than 12 months ago" and return to D1/D2/D3 for the same item to enter corrections; then continue with D1 for the next item in the list.>>**

	Public officials	**D1**		**D2**		**D3**	**D4**
S/N		Yes	No	Yes	No	Please insert number of occasions	Month/YEAR Before Month/YEAR
1.	Police officers	1	2	1	2		☐
2.	Judges/Magistrates at court	1	2	1	2		☐
3.	Prosecutors	1	2	1	2		☐
4.	Tax/revenues officers	1	2	1	2		☐
5.	Customs officers	1	2	1	2		☐
6.	Public utilities officers (electricity, water, sanitation, etc)	1	2	1	2		☐
7.	Doctors (from public sector)	1	2	1	2		☐
8.	Nurses (from public sector)	1	2	1	2		☐
9.	Teacher/Lecturers *(from public schools)*	1	2	1	2		☐
10.	Car registration/driving licence agency officers	1	2	1	2		☐
11.	Traffic management authority officials	1	2	1	2		☐
12.	Members of the Armed forces	1	2	1	2		☐
13.	Land registry officers	1	2	1	2		☐
14.	Elected representatives from Local/State government (Governor, Chairman LGA, Councillor etc.)	1	2	1	2		☐
15.	Members of Parliament/Legislature	1	2	1	2		☐
16.	Immigration Service officers	1	2	1	2		☐
17.	Embassy/consulate officers of foreign countries	1	2	1	2		☐
18.	Other public official/civil servant	1	2	1	2		☐

<<INTERVIEWER: If at least one answer in D2 is "YES", continue with D5, otherwise go to D18>>

QNo	Question	Options	Response	
D5	**The last time you had to make an extra payment or give a gift (the most recent event), to which official did you give it?** (see the list in **D1**)	*Enter serial number from the list provided in D1*	☐☐	
D6	**The last time you had to make an extra payment or give a gift, what was the sex of the official who received it?**	Male...1, Female...2, Don't know (DO NOT READ OUT)...3	☐	
D7	**The last time you had to make an extra payment or give a gift (the most recent event), what did you give?** *(Please mark all that apply)*		Yes	No
A	Food and drink		1	2
B	Valuables (gold, jewellery, phones, etc.) or other goods		1	2
C	Some money (please specify amount: I_I_I_I_I_I_I_I_I *CURRENCY*)		1	2
D	Exchange with another service or favour		1	2
E	Don't know (DO NOT READ OUT)		1	2

D7B	**<< INT.: Only if option C ('some money' is selected, ask the following follow-up>> And was this the largest amount you paid to any public official in the past 12 months? (Choose only one)**	1. Yes, this was the largest amount 2. No, the largest amount was : I_I_I_I_I_I_I_I_I 3. No, but I don't remember the exact amount 99. Don't know	☐

QNo	Question		Response
D8	**The last time you had to make an extra payment or give a gift, please indicate the service you were seeking:** *(Please read out the full list of answer options first, then mark only one answer)*		☐☐
a	Administrative certificate or document (ID card, passport, birth certificate, etc.)	1.	
b	Administrative licence or permit (driving license, building permit, etc.)	2.	
c	Medical visit, exam or intervention	3.	
d	Certificate of good health/fitness	4.	
e	Exam at a public university or marks at a public school	5.	
f	Admission to a public school institution	6.	
g	Job application in public service/government institution	7.	
h	Promotion in public service/government institution	8.	
i	Government contract/public procurement	9.	
j	Public utility services (electricity, water, sanitation, etc.)	10.	
k	Tax declaration or exemption	11.	
l	Import/export of goods	12.	
m	Other	13.	
n	Don't know (DO NOT READ OUT)	14.	

QNo	Question		Response
D9	**The last time you had to make an extra payment or give a gift, what was the main purpose of paying extra money or giving a gift?** *(Please read out the full list of answer options first, then mark only one answer)*		
a	Speed up procedure	1.	
b	Make finalization of procedure possible (which would otherwise not be possible)	2.	
c	Avoid payment of fine	3.	☐
d	Receive preferential treatment (e.g. increase score, reduce taxes, increase allowances, etc.)	4.	
e	Receiving information on the process (where to go, whom to approach,…)	5.	
f	It was a sign of appreciation for the service provided	6.	
g	No specific purpose (it is better to keep good relationships)	7.	
h	Don't know (DO NOT READ OUT)	8.	

D10	**The last time that you had to make an extra payment or give a gift, how did you understand that an extra payment or gift was expected from you?** *(Please read out the full list of answer options first, then mark only one answer)*		
a	Direct request from the official	1.	
b	The official indirectly requested a payment	2.	☐
c	A third person requested the extra payment	3.	
d	Nobody asked for it, I did it to facilitate/accelerate the procedure	4.	
e	Don't know (DO NOT READ OUT)	5.	

D11	**The last time you had to make an extra payment or give a gift, when exactly did you give the gift/money?** *(Please mark only one answer)*	1. Before the service was delivered 2. After the service was delivered 3. At the same time as the service was delivered 4. Partly before and partly after the service was delivered 5. Don't know (DO NOT READ OUT)	☐
D12	**The last time you had to make an extra payment or give a gift, for which reason were you in contact with the public official?** *(Please mark only one answer)*	1. It was for an activity/procedure related to me personally 2. It was for an activity/procedure related to someone else of my family 3. It was for an activity/procedure related to my work/business 4. It was both for work and personal/family reasons 5. Don't know (DO NOT READ OUT)	☐
D13	**The last time you had to make an extra payment or give a gift, did you eventually report it to any official authority or to any non-official institution?** *(Please mark only one answer)*	1. Yes 2. No → (go to D17) 3. Don't know → (go to D18)	☐

D14	**To which official authority did you report:** *(Please mark all that apply)*	1. Police	1	2
		2. Anti-corruption agency	1	2
		3. Public complaints office/Ombudsman	1	2
		4. Same institution of the officer requesting the bribe	1	2
		5. Other institution	1	2
		6. No official authority	1	2
		7. Don't know (DO NOT READ OUT)	1	2
D15	**To which other, non-official, institution did you report?** *(Please mark all that apply)*	1. Media	1	2
		2. International organization	1	2
		3. Non-governmental organization (NGO)	1	2
		4. Other institution	1	2
		5. No other institution	1	2
		6. Don't know (DO NOT READ OUT)	1	2

D16	**What happened after you reported?** *(Please mark all that apply)*	Yes	No
a	A formal procedure was initiated against the officer	1	2
b	The problem was solved informally and I was given back the money/gift	1	2
c	I was advised not to go ahead with my report	1	2
d	There was no follow-up to my report	1	2
e	I suffered negative consequences in connection with reporting the incident	1	2
f	Other	1	2

D17	**If Not, why didn't you report?** *(Please read out the full list of answer options first, then mark only one answer – if in doubt choose the main reason why it was not reported)*	1. It is a common practice to pay or make gifts, why should I report? 2. It is pointless, nobody would care about it 3. Don't know to whom I should report 4. I know to whom to report, but it is too far away 5. Fear of negative consequences for myself 6. I did not report it because I received a benefit from the payment/gift 7. I did not report it because I made the payment/gift as a sign of gratitude 8. I did not report it because I did not want to incure additional expenses 9. Other reason 10. Don't know (DO NOT READ OUT)	☐
D18	**During the last 12 months, was there any occasion where a public official, directly or indirectly, asked you to give extra money or a gift for a particular issue or procedure related to his/her function but you did not give anything in relation to that issue or procedure?**	1. Yes 2. No → (go to D21) 3. Don't know (DO NOT READ OUT) → (go to D21)	☐

D19	**The last time this happened, which public official asked you to give money or a gift that you did not give?**	*Enter serial number from the list provided in D1*	☐☐
D20	**The last time a public official asked you to give money or a gift that you did not give, what happened as a consequence?** *(Please read out the full list of answer options first, then mark only one answer)*	1. I suffered negative consequences 2. There were no negative consequences 3. It is not yet clear what will happen as a consequence 4. Don't know (DO NOT READ OUT)	☐
D21	**During the last 12 months, was there any occasion where you offered, directly or indirectly, to give extra money or a gift to a public official (in addition to the correct amount of official fees) for an issue or procedure related to his/her function but the public official refused the offer?**	1. Yes 2. No → (go to D23) 3. Don't know (DO NOT READ OUT) → (go to D23)	☐
D22	**The last time this happened, which public official did you offer extra money or a gift that was refused?**	*Enter serial number from the list provided in D1*	☐
D23	**To your knowledge, did a member of your household other than you (that is the people that live with you now and share the same kitchen with you), give a public official a gift or some extra money (with the exclusion of the correct amount of official fees) during the last 12 months?**	4. Yes 5. No → (go to next section) 6. Don't know (DO NOT READ OUT) → (go to next section)	☐
D24	**Last time a member of your household (other than you), had to give to a public official a gift or some extra money, which official was it?** *(Please mark only one answer)*	*Enter serial number from the list provided in D1*	☐☐

3: EXPERIENCE WITH BRIBERY IN THE PRIVATE SECTOR

D26a. In the last 12 months (since Month/YEAR), have you had contact with any of the following persons in their role as employees of a PRIVATE SECTOR BUSINESS ENTITY, including through an intermediary? **<< INT.: If the answer is "yes" go to D.26b for the same item. If the answer is "no" go to the next item in the list>>** *(please mark each row)*	**D26b.** Now think about the <employee> : In the last 12 months (since Month/YEAR): did it happen that you had to give to any of them a gift, a counterfavour or some extra money, including through an intermediary (with the exclusion of the correct price or fee)? **<< INT.: If the answer is "yes" go to D26c for the same item. If the answer is "no" go to the next item in D.26a>>**	**D26c.** Now think about the < employee> : In the last 12 months (since Month/YEAR): How many times was a gift, a counterfavour or some extra money given? **<< INT: Enter the number below and continue with D27>>**	**D27.** Now think about the < employee> : Could you tell me the month in which this happened the last time? **<< INT: Enter (**Month/YEAR**); If more than 12 months ago, choose "The event happened more than 12 months ago" and return to D26a/b/c for the same item to enter corrections; then continue with D.26a for the next item in the list.>>**

Private sector employee		**D26a**		**D26b**		**D26c**	**D27**
		Yes	No	Yes	No	Please insert number of occasions	Month, YEAR Before Month, YEAR
1.	Doctor in a private hospital	1	2	1	2	☐☐☐	☐
2.	Nurse in a private hospital	1	2	1	2	☐☐☐	☐
3.	Teacher in a private school	1	2	1	2	☐☐☐	☐
4.	Official in a private bank	1	2	1	2	☐☐☐	☐
5.	Official in a private insurance company	1	2	1	2	☐☐☐	☐
6.	Other official in private business	1	2	1	2	☐☐☐	☐

<<INTERVIEWER: If at least one answer in D26b is "YES", continue with D28, otherwise go to D30>>

QNo	**Question**	**Options**	**Response**	
D28	**The last time you had to make an extra payment or give a gift (the most recent event), what did you give?** *(Please mark all that apply)*		Yes	No
A	Food and drink		1	2
B	Valuables (gold, jewellery, phones, etc.) or other goods		1	2
C	Some money (please specify amount: I_I_I_I_I_I_I_I_I CURRENCY)		1	2
D	Exchange with another service or favour		1	2
E	Don't know (DON'T READ OUT)		1	2
D29	**The last time you had to make an extra payment or give a gift, did you report it to any official authority/institution (e.g. police, prosecutor, anti-corruption agency, etc.)?**	1. Yes 2. No 3. Don't know (DO NOT READ OUT)		

D30	**To your knowledge, did a member of your household (other than you), give to any person who manages or works for a private sector business entity a gift or some extra money (with the exclusion of the correct amount or official fees) during the last 12 months (since May 2015)?**	1. Yes 2. No 3. Don't know (DO NOT READ OUT)

4. OTHER PRACTICES

Nepotism/favouritism in recruitment

D31	**I now want to ask a few questions on employment. Have you, or another member of your household, applied for a job in the public sector at least once during the last 3 years (since Month/YEAR)?**	1. Yes, me personally 2. Yes, a household member 3. Yes, both me and a household member 4. No → (go to next section) 5. Don't know (DO NOT READ OUT) → (go to next section)
D32	**On the occasion of the last application in the public sector, did you, or your household member, get the job?**	1. Yes, me personally 2. Yes, a household member 3. No → (go to D34) 4. Don't know (DO NOT READ OUT) → (go to next section)
D33	**Did you, or a household member, have to make an extra payment or to provide a gift to someone in order to facilitate the recruitment?**	1. Yes → (go to next section) 2. No → (go to next section) 3. Don't know (DO NOT READ OUT) → (go to next section)
D34	**Why do you think you, or your household member, did not get the job?** *(Please read out the full list of answer options first, then mark only one answer)*	1. Somebody who better fitted job requirements got the job 2. Somebody got the job because he/she was a friend/relative of somebody within the office 3. Somebody got the job because he/she paid money 4. Discrimination because of language, religion, tribe or ethnicity 5. Not applicable 6. Don't know (DO NOT READ OUT)

Vote buying

D35	**On the occasion of elections, some candidates may offer favours, some money or goods in exchange for a vote. Before the last national election, did it happen that you were asked to vote for somebody/some political party in exchange for a favour or some money/goods?** *(Please mark each row)*	**Yes**	**No**	**Don't know (DO NOT READ OUT)**
A	Yourself	1	2	3
B	Another member of your household	1	2	3

D36	**And before the last municipal election, did it happen that you were asked to vote for somebody/some political party in exchange for a favour or some money/goods?** *(Please mark each row)*	**Yes**	**No**	**Don't know (DO NOT READ OUT)**
A	Yourself	1	2	3
B	Another member of your household	1	2	3

5. FUTURE REPORTING

D37. If in the future you had to report a case where you were requested to pay some extra money or gift to a public official, who would you report it to?

(Please read out the full list of answer options first, then mark up to three items, begin with the first most important, then the second most important and then the third most important.)

	I would report to	**First most important**	**Second most important**	**Third most important**
A	Supervisor to the official (in the same organization of the officer requesting the bribe)	1	2	3
B	Police	1	2	3
C	Anti-Corruption agencies	1	2	3
D	Public Complaints Commission	1	2	3
E	Journalist/media	1	2	3
F	Anti-corruption NGO	1	2	3
G	Traditional leader/Village leader	1	2	3
H	Other person or institution	1	2	3
I	I would not report it to anyone	1		
J	Don't know (DO NOT READ OUT)	99		

ANNEX II

Example of a questionnaire for corruption surveys among businesses (selected key questions)

1: PERCEPTION OF SAFETY AND CRIME RISK

1.1 In your opinion to what extent does each of the issues listed below represent an obstacle for doing good business in your country? *INT: READ OUT: please mark each row.*

Obstacles	1. Very strong obstacle	2. Moderate obstacle	3. No obstacle	9. (DO NOT READ OUT) DK/NA
1. High taxes	1	2	3	9
2. Complicated tax laws	1	2	3	9
3. Labour regulations	1	2	3	9
4. Health and safety regulations	1	2	3	9
5. Currency fluctuation	1	2	3	9
6. Trade barriers	1	2	3	9
7. Crime (Property crime or violent crime)	1	2	3	9
8. Corruption	1	2	3	9
9. Political instability	1	2	3	9
10. Limited access to financing	1	2	3	9
11. Frequent changes in laws and regulations	1	2	3	9

1.2 During the last 12 months (since MONTH/YEAR), have you decided not to make a major investment because of fear of crime?

- ☐ 1. Yes
- ☐ 2. No
- ☐ 9. (DO NOT READ OUT) DK/NA

1.3 Are you satisfied with the work done by the police to control and prevent crime in the area or areas where your business entity is located? *INT: READ OUT: only one answer.*

- ☐ 1. Yes, always satisfied (go to next section)
- ☐ 2. Somehow, but not always satisfied (go to 1.4)
- ☐ 3. No, never satisfied (go to 1.4)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to next section)

1.4 Why you are not satisfied with the work of the police? <<*up to three choices allowed*>>

- ☐ 1. Police not present enough in the area
- ☐ 2. Police involved in corruption
- ☐ 3. Police do not react in time
- ☐ 4. Police do not catch offenders
- ☐ 5. Police not interested in crimes reported by businesses
- ☐ 6. Other
- ☐ 9. (DO NOT READ OUT) DK/NA

SECTION 2: BRIBERY AND CORRUPTION

<<INTERVIEWER>> READ OUT: In this section I am going to ask some questions about situations that could involve you or any representative of your entity while dealing with civil servants or public officials.

2.1: Perception of bribery and corruption in the public sector

2.1.1 Nowadays, in the business sector where your entity is operating, businesses like yours may be pushed to give a gift, a counterfavour or some extra money to public officials to get things done. For the following administrative procedures, do you think this is very frequent, fairly frequent, not very frequent but not unusual or never happens? ***(one choice per row)***

Administrative procedure	Very frequent	Fairly frequent	Not very frequent but not unusual	Never happens	DK/NA
1. Issuance of building permits	1	2	3	4	9
2. Obtaining authorizations from public institutions	1	2	3	4	9
3. Bidding processes in public procurement procedures	1	2	3	4	9
4. Obtaining contracts with public institutions without bidding processes	1	2	3	4	9
5. Getting utility connections (electricity, gas, water, sewage, etc.)	1	2	3	4	9
6. Processing tax declarations	1	2	3	4	9
7. Clearing goods through customs	1	2	3	4	9
8. Dealing with labour regulations	1	2	3	4	9
9. During legal proceedings (trials)	1	2	3	4	9
10. During inspections at the business premises	1	2	3	4	9

2.1.2 During the last 12 months (since MONTH/YEAR), have you decided not to make a major investment because of fear of having to give a gift, a counterfavour or some extra money in order to obtain the necessary services/permits?

☐ 1. Yes

☐ 2. No

☐ 9. (DO NOT READ OUT) DK/NA

2.1.3 (optional) The behaviours below are widespread in many countries and people may have different views on them: what is your personal opinion about them? ***(Please mark each row)***

	1. Always acceptable	2. Usually acceptable	3. Sometimes acceptable	4. Not acceptable	DK/NA
1. Use of relationships and contacts in public institutions in order to speed up business-related procedures	1	2	3	4	9
2. Use of public resources by public officials/civil servants in order to achieve private interest or benefit	1	2	3	4	9
3. Use of public resources by public officials/ civil servants for the interest of a third party	1	2	3	4	9
4. Performing multiple public functions at the same time	1	2	3	4	9
5. Performing public functions while having an interest in private companies at the same time	1	2	3	4	9

2.2: Experiences of bribery and corruption in the public sector

2.2.1 In the last 12 months (since MONTH/YEAR), has your business entity been in contact with a PUBLIC OFFICIAL, including through an intermediary, for one of the following administrative procedures? (please mark each row)	**2.2.2** If YES to 2.2.1: Now think about the < TYPE OF ADMINISTRATIVE PROCEDURE >. In the last 12 months (since MONTH/YEAR), did your business entity have to give the civil servant or public official administering the procedure some gift, a counterfavour or some extra money, including through an intermediary, with the exclusion of the correct amount of official fees?	**2.2.3** If YES to 2.2.2: In the last 12 months (since MONTH/YEAR), how many times was a gift, a counterfavour or extra money given?	**2.2.4** Now think about the <TYPE OF Administrative procedure > : Could you tell me the month in which this happened the last time? **<< INT: Enter Month/YEAR); If more than 12 months ago, choose the option "The event happened more than 12 months ago" and then return to previous questions for the same item to enter corrections; then continue with 2.2.1 for the next item in the list.>>**

Contact with public official through administrative procedure:	2.2.1		2.2.2		2.2.3	2.2.4
	1. Yes	2. No	1. Yes	2. No	Please insert number of occasions	Month/YEAR Before Month/YEAR
1. Issuance of building permits	1	2	1	2		
2. Obtaining authorizations from public institutions	1	2	1	2		
3. Bidding processes in public procurement procedures	1	2	1	2		
4. Getting contracts with public institutions without bidding processes	1	2	1	2		
5. Getting utility connections (electricity, gas, water, sewage, etc.)	1	2	1	2		
6. Processing tax declarations	1	2	1	2		
7. Clearing goods through customs	1	2	1	2		
8. Dealing with labour regulations	1	2	1	2		
9. During legal proceedings	1	2	1	2		
10. Procedures related to health/safety of workers	1	2	1	2		
11. Procedures related to off-site health/safety/environment issues	1	2	1	2		
12. Obtaining or renewing licences for performing a business activity	1	2	1	2		
13. No interaction with public officials/civil servants (INT: DO NOT READ OUT)	1		Go to Q.2.3.1			

<<INTERVIEWER: If at least one answer in 2.2.2 is "YES", continue with 2.2.5, otherwise go to next section>>

2.2.5 **The last time that your businesses entity had to give a gift, a counterfavour or some extra money to public officials or civil servants, for which administrative procedure was this…** ***(select from the list in 2.2.1 and enter the number below).***

☐ 1. Administrative procedure: _____

2.2.6 **The last time that your businesses entity had to give a gift, a counterfavour or some extra money to a civil servant/public official, can you remember the type of official/civil servant that requested the gift, counterfavour or extra payment?** ***(only one answer)***

- ☐ 1. Police officers
- ☐ 2. Municipal or provincial officers
- ☐ 3. Customs officers
- ☐ 4. Land registry/Cadastre officers
- ☐ 5. Tax/revenue officers
- ☐ 6. Public utilities officers (electricity, telephone, etc.)
- ☐ 7. Social protection agency/ministry officers (pensions, allowances, etc.)
- ☐ 8. Inspection officials (health, safety, fire, labour, etc.)
- ☐ 9. Municipal or provincial elected representatives (mayor, town councils, etc.)
- ☐ 10. Judges/Prosecutors
- ☐ 11. Members of Parliament/Government
- ☐ 12. Health authorities
- ☐ 13. Other public official/civil servant
- ☐ 999. (DO NOT READ OUT) DK/NA

2.2.7 **What was the main purpose of giving the gift, counterfavour or extra payment?** ***(only one answer)***

- ☐ 1. Speed up the procedure
- ☐ 2. Make finalization of procedure possible
- ☐ 3. Reduce cost of procedure
- ☐ 4. Receive better treatment (e.g. gain an advantage on competitors, reduce taxes, etc.)
- ☐ 5. Receive information on the process (where to go, whom to approach, etc.)
- ☐ 6. No specific purpose (it is better to maintain good relationships)
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.8 **What was given to them?** ***(please mark all that apply)***

- ☐ 1. Food and drink
- ☐ 2. Valuables (gold, jewellery, phones, etc.)
- ☐ 3. Some money (please specify amount: I_I_I_I_I_I_I_I_I CURRENCY)
- ☐ 4. Other goods
- ☐ 5. Personal career advantage for public official
- ☐ 6. Offer of a job position for family member/s or friend/s
- ☐ 7. Exchange with another service or favour
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.9 **How was it understood that it was expected?** ***(only one answer)***

- ☐ 1. Explicit request from the public official/civil servant
- ☐ 2. The public official/civil servant made you understand that a payment was expected
- ☐ 3. A third person requested the extra payment
- ☐ 4. Nobody asked for it, it was given to facilitate/accelerate the procedure
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.10 **When exactly was it given?** ***(only one answer)***

- ☐ 1. Before the service was delivered
- ☐ 2. After the service was delivered
- ☐ 3. At the same time when the service was delivered
- ☐ 4. Partly before and partly after the service was delivered
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.11 **Was this incident reported by your businesses entity to any official authority/institution (e.g. police, prosecutor, anti-corruption agency, etc.) or to any non-official institution?** ***(only one answer)***

- ☐ 1. Yes (go to 2.2.12)
- ☐ 2. No (go to 2.2.14)
- ☐ 3. No, but it was reported to another institution (go to 2.2.13)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to 2.2.16)

2.2.12 **To whom was it reported?** ***(only one answer)***

- ☐ 1. Police
- ☐ 2. Prosecutor office
- ☐ 3. Anti-Corruption Agency
- ☐ 4. Anti-corruption hotline
- ☐ 5. Same agency/institution of the officer requesting bribe
- ☐ 6. Other office
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.13 **To which other, non-official, institution was it reported?** ***(only one answer)***

- ☐ 1. Media
- ☐ 2. International organization
- ☐ 3. Non-governmental organization (NGO)
- ☐ 4. Other institution
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.14 **What happened after it was reported? *(only one answer)***

- ☐ 1. A formal procedure was started (go to 2.2.16)
- ☐ 2. The problem was solved informally and we were given back the money/gift (go to 2.2.16)
- ☐ 3. We were advised not to go ahead with our report (go to 2.2.16)
- ☐ 4. There was no follow-up to our report (go to 2.2.16)
- ☐ 5. My company suffered reprisals and/or negative consequences in connection with reporting the incident (go to 2.2.16)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to 2.2.16)

2.2.15 **Why was it not reported? *(only one answer)***

- ☐ 1. It is a common practice to pay or give gifts to public officials, no need to report it
- ☐ 2. It is pointless, nobody would care about it
- ☐ 3. It was not clear to whom it should be reported
- ☐ 4. Fear of reprisal
- ☐ 5. The company received a benefit from the payment/gift/ counterfavour
- ☐ 6. The payment/gift/ counterfavour was made as a sign of gratitude
- ☐ 7. Other reason
- ☐ 9. (DO NOT READ OUT) DK/NA

2.2.16 **During the last 12 months (since MONTH/YEAR), was there any occasion when a public official/civil servant, directly or indirectly, asked your business entity for a gift, a counterfavour or some extra money, but nothing was given? *(only one answer)***

- ☐ 1. Yes (go to 2.2.17)
- ☐ 2. No (go to next section)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to next section)

2.2.17 **The last time your business entity was asked for a gift, a counterfavour or extra money but nothing was given, during which administrative procedure was it?**

I_I_I report code used in the attached list (see 2.2.1)

2.3: Experiences of bribery in the private sector

<<INTERVIEWER>> READ OUT: In this section I am going to ask some questions about situations that could involve you or any representative of your entity while dealing with representatives of other private businesses.

2.3.1 In the last 12 months (since MONTH/YEAR), did it happen that your business entity had to give a gift, a counterfavour or some extra money to any person who manages or works, in any capacity, for a private sector business entity, including through an intermediary, to secure a business transaction (*int: with the exclusion of the normal amount of transaction payments*)?

- ☐ 1. Yes (continue with 2.3.2)
- ☐ 2. No (go to next section)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to next section)

2.3.2 The last time that your business entity had to give a gift, a counterfavour or some extra money, to any person who manages or works for a private sector business entity, what was the purpose of giving this gift, counterfavour or extra payment? *(only one answer)*

- ☐ 1. To win a bid for a private sector contract
- ☐ 2. To secure better prices for goods or services
- ☐ 3. To make an agreement with another private company on participating in a public tender
- ☐ 4. To gain an advantage over competitors
- ☐ 5. To receiving special information (inside knowledge on procedures, prices, etc.)
- ☐ 6. To obtain a loan from a bank
- ☐ 7. To get insurance
- ☐ 8. No specific purpose (it is better to keep good relationships)
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.3 The last time that your businesses entity had to give a gift, a counterfavour or some extra money to any person who manages or works for a private sector business entity, what was given to them? *(please mark all that apply)*

- ☐ 1. Food and drink
- ☐ 2. Valuables (gold, jewellery, phones, etc.)
- ☐ 3. Some money (please specify amount: I_I_I_I_I_I_I_I_I national currency)
- ☐ 4. Other goods
- ☐ 5. Offer a job position for a family member/s or friend/s
- ☐ 6. Exchange with another service or favour
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.4 How was it understood that it was expected? *(only one answer)*

- ☐ 1. Explicit request from the counterpart
- ☐ 2. The counterpart made you understand that a payment was expected
- ☐ 3. A third person requested the extra payment
- ☐ 4. Nobody asked for it, I did it to facilitate/accelerate the procedure
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.5 When exactly was it given? *(only one answer)*

- ☐ 1. Before the service was delivered
- ☐ 2. After the service was delivered
- ☐ 3. At the same time as the service was delivered
- ☐ 4. Partly before and partly after the service was delivered
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.6 Was this incident reported by your businesses entity to any official authority/institution (e.g., police, prosecutor, anti-corruption agency, etc.) or to any non-official institution? *(only one answer)*

- ☐ 1. Yes (go to 2.3.7)
- ☐ 2. No (go to 2.3.10)
- ☐ 3. No, but it was reported to another institution (go to 2.3.8)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to next section)

2.3.7 To whom was it reported? *(only one answer)*

- ☐ 1. Police
- ☐ 2. Prosecutor office
- ☐ 3. Anti-Corruption Agency
- ☐ 4. Anti-corruption hotline
- ☐ 5. To a superior of the person requesting the bribe
- ☐ 6. Other office
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.8 To which other, non-official, institution was it reported? *(only one answer)*

- ☐ 1. Media
- ☐ 2. International organization
- ☐ 3. Non-governmental organization (NGO)
- ☐ 4. Other institution
- ☐ 9. (DO NOT READ OUT) DK/NA

2.3.9 What happened after it was reported? *(only one answer)*

- ☐ 1. A formal procedure was started (go to next section)
- ☐ 2. The problem was solved informally and we were given back the money/gift (go to next section)
- ☐ 3. We were advised not to go ahead with our report (go to next section)
- ☐ 4. There was no follow-up to our report (go to next section)
- ☐ 5. My company suffered reprisals and/or negative consequences in connection with reporting the incident (go to next section)
- ☐ 9. (DO NOT READ OUT) DK/NA (go to next section)

2.3.10 Why was it not reported? ***(only one answer)***

- ☐ 1. It is a common practice to pay or give gifts, no need to report it
- ☐ 2. It is pointless, nobody would care about it
- ☐ 3. It was not clear to whom it should be reported
- ☐ 4. Fear of reprisal
- ☐ 5. The company received a benefit from the payment/gift/ counterfavour
- ☐ 6. The payment/gift/ counterfavour was made as a sign of gratitude
- ☐ 7. Other reason
- ☐ 9. (DO NOT READ OUT) DK/NA

ANNEX III

Examples of introductory texts used for corruption surveys and modules

Introductory texts used for corruption surveys among the population

1. The 2015 Indonesia *Anti-Corruption Behaviour Survey* (ACBS), carried out by Statistics Indonesia (BPS), was introduced as follows:

   "Our Government will continue to improve the quality of public services. However, there are still many shortcomings to be resolved. BPS is commissioned to conduct the Anti-Corruption Behaviour Survey 2015, which is aimed at receiving feedback from you for improvements in public services in the future. Your help is required to answer the following questions in accordance with your understanding, knowledge and experience. We guarantee the confidentiality of your identity and answers".

2. The *Corruption in Nigeria – Bribery: Public Experience and Response* survey, carried out in Nigeria by UNODC and the National Bureau of Statistics, used the following introduction formula:

   "This survey is a joint effort of the United Nations and the National Bureau of Statistics of Nigeria. It is aimed at collecting information on your experience and satisfaction with the use of public and private services and about the integrity of officials. There will also be some questions on your experience, as victims, of selected forms of crime and about your experience and confidence in the justice system. This survey is funded by the European Union and will assist the Government, with the support of international partners, in strengthening the quality and integrity of public and private institutions and to improve access to the justice system.

   Please, answer every question based on your knowledge and experience. There are neither correct nor incorrect answers. Your sincere feedback will bring us a lot closer to better service delivery by public and private institutions.

   This questionnaire contains no information that could make identifying interviewees possible, thus you will remain anonymous. The completed questionnaires will be treated confidentially and will be processed using statistical methods. Results will be published only in the form of statistical tables.

   May I start the interview, now? (1) Yes/ (2) No".

Introductory text used for an integrated module on corruption among businesses

The *National Survey on Businesses Victimization* (2016) is a business survey aimed at measuring victimization of economic entities in Mexico. The National Institute of Statistics and Geography (INEGI) introduces the questionnaire with the following introductory paragraphs:

"Confidentiality and obligation – in accordance with the provisions of the Law on the National System of Statistical and Geographical Information in force:

Article 37: "The data provided for statistical purposes by the informants of the System to the Units, in terms of this Law, shall be strictly confidential and shall under no circumstances be used for any purpose other than the statistical one."

Article 38: "The data and reports that the informants of the System provide for statistical purposes and that come from administrative records, will be handled observing the principles of confidentiality and reservation, which means they cannot be divulged in any case in registered or individualized form, nor shall they serve as proof before the judicial or administrative authority, including the prosecutor, in or out of court."

Article 45: "Informants of the System shall be obliged to provide, with truth and timeliness, the data and reports requested by the competent authorities for statistical, census and geographical purposes, and shall support them."

All services related to this questionnaire are free of charge to you.

Introductory text used for corruption surveys among businesses

1. The *Business, Corruption and Crime in the western Balkans* survey, carried out by UNODC in 2012 through computer assisted personal interviews (CAPI) and paper and pencil interviews (PAPI), was introduced as follows:

   "Hello/Good afternoon/Good evening, I am an interviewer from <NAME OF THE AGENCY>. We are conducting a sample survey on security, crime and corruption affecting businesses in <NAME OF THE COUNTRY>. Your company has been randomly selected from the <NAME OF THE SAMPLING FRAME> and you are among the <N> businesses which are going to be interviewed in <NAME OF THE COUNTRY>.

   This survey is part of a United Nations project aimed at collecting the opinions and experiences of companies on security, crime and corruption issues. The aim of the research is to collect information that will assist businesses in improving the level of security and in preventing crime and corruption.

   This interview will not take much of your time. (INT: If asked how long the interview will take, indicate a range of 20 to 30 minutes).

   May I please speak to the person primarily responsible for the management of this business entity?

2. *The Swiss International Corruption Survey*, carried out by the Universität St. Gallen through Computer Assisted Web Interviews (CAWI), was introduced as follows:

   "Dear Madam, Dear Sir,

   The Law School of the University of St. Gallen is conducting a study on the level of security and risks concerning Swiss firms while doing business abroad, and on the compliance tools used to avoid these risks. This study, financed by the Swiss National Science Foundation, aims at collecting the opinions and experiences of Swiss security for the firms and to prevent risky situations.

   Your participation in our research is of utmost importance. Thanks to your collaboration, we will be able to gather key information useful to the development of proper security programs for Swiss businesses. It is worth mentioning that the higher the participation, the more representative and valid the results will be.

   The survey is completely ANONYMOUS and CONFIDENTIAL. Any identification of your company or your person is impossible. Your answers will never be disclosed to third parties and will be used only for statistical purposes.

   Your firm might not have experienced particular issues related to security and risks abroad. If this is the case, your opinions and suggestions are still of key importance for our project and completing the questionnaire will not take you more than 10 minutes (as only the General Part needs to be completed). We thank you in advance for taking part in this survey.

   To ensure the preciseness of the information collected, it is preferable that the questionnaire be compiled by the person primarily responsible for the risk management of the firm (i.e. the Owner, Managing Partner, Director, Chief Executive Officer, Head of Risk Control, Head of Legal and Compliance Office).

   We truly appreciate your collaboration and thank you for the time you dedicate to this study. We will keep you updated about the results of our project and we will share with you the main findings of this survey.

   For further information, please do not hesitate to contact my collaborators at the contact details below.

   Yours faithfully"

ANNEX IV

International methodological guidelines and documents on sample surveys

Title	URL
UNODC-INEGI Center of Excellence in Statistical Information on Government, Crime, Victimization and Justice, *Inventario de Encuestas de Victimización en América Latina y el Caribe* (2013)	http://www.cdeunodc.inegi.org.mx/unodc/articulos/doc/1_inv_encuesvic.pdf
UNODC-UNECE, *Manual on Victimization Surveys* (Vienna, 2010)	https://www.unodc.org/documents/data-and-analysis/Crime-statistics/Manual_on_Victimization_surveys_2009_web.pdf
United Nations Statistics Division, *Designing Household Survey Samples: Practical Guidelines* (2008)	https://unstats.un.org/unsd/demographic/sources/surveys/Series_F98en.pdf
United Nations Statistics Division, *Household Sample Surveys in Developing and Transition Countries* (2005)	https://unstats.un.org/unsd/hhsurveys/pdf/household_surveys.pdf
World Bank, *Designing Household Survey Questionnaires for Developing Countries: Lessons from 15 Years of the Living Standards Measurement Study*, vol. 1 (2000)	http://documents.worldbank.org/curated/en/452741468778781879/pdf/multi-page.pdf
World Bank, *Enterprise Surveys: What Businesses Experience*	http://www.enterprisesurveys.org/methodology