

Accountability Arrangements to Combat Corruption

A note on
Research Methodology for
Combating Corruption

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Partnering to
COMBAT CORRUPTION

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Background

This document presents a framework to analyze corruption in the infrastructure sector. Early sections provide the background to this document and outline the guiding principles for the study. Later sections describe the research process, key learning objectives and the methodology. The fieldwork process and suggestions on how to document the case are detailed towards the end of the document.

The research instruments used are provided in the annex; these include a corruption diary; observation checklist; guide for focus group discussions; semi-structured interviews for infrastructure service providers and a household questionnaire.

The sustainability of the livelihoods of the poor is compromised by corruption in the delivery of infrastructure services (here defined as comprising water supply, sanitation, drainage, access to roads and paving, transport, solid waste management, street lighting and community buildings). Corruption reduces access to infrastructure services and increases health risks.

The Water Engineering Development Centre (WEDC), Loughborough University, UK has conducted research on the topic of anti-corruption initiatives in infrastructure delivery in developing countries. Supported by the UK Department for International Development (DfID), the research provides evidence of how anti-corruption initiatives in infrastructure delivery can contribute to pro-poor outcomes. For more information, see: http://wedc.lboro.ac.uk/projects/new_projects3.php?id=191.

WEDC's research focuses on corruption in all aspects of service delivery, from procurement to day-to-day operations. Particular attention is paid to those aspects of service delivery that are not typically of high visibility, but nevertheless hamper efficient, effective and equitable service delivery. This research also addresses the way corrupt practices create inequities in service delivery; as such, it is particularly concerned with the more vulnerable service users. The research also emphasises the importance of both the service providers' and users' views on corruption in service delivery and explores accountability from the perspective of a range of stakeholders, including service users and sets of actors from civil society, the private sector and the public sector.

The main expected learning objectives of the research are an analysis of corruption in infrastructure delivery, including an understanding of the causes of corruption and the effects of corruption on the livelihoods of the poor, and a review of accountability initiatives in infrastructure delivery and the nature of the impact of greater accountability on pro-poor service delivery. The emphasis in

the research project is a move from analysis of the problem of corruption towards solutions.

This document provides information about the research agenda and methods used to investigate corruption in the infrastructure sector. This methodology was selected to allow the contextual analysis of real life situations based on multiple sources of evidence and a combination of qualitative and quantitative research techniques. The methodology was piloted in South Africa, Nigeria, Kenya, India, Pakistan, Bangladesh, Indonesia, Georgia, Ukraine and Nepal between 2005 and 2006. The research was conducted in partnership with local research institutes, universities and non-governmental organizations (NGOs). The resultant case studies examine the application of new transparency and accountability mechanisms in the delivery of public, private and municipal services.

To ensure follow-up, the study was carried out in countries where there was a strong demand for research on combating corruption. Such demand was assessed by a willingness to share the responsibilities for undertaking the study. At the country level, local researchers have been disseminating their reports to government, civil society groups and think tanks. The in-country researchers met for a preparatory workshop in Loughborough, UK, in 2005 to receive an orientation on the methodology and report preparation.

Guiding principles for the study

It is important to first clarify some of the key terms and ideas relevant to researching corruption in the infrastructure sector.

Partnering approach

This research has created a methodology that emphasises both the importance of service providers' views of corruption and those of users. The methodology reflects an attempt to explore accountability at the 'interface' between these two sets of actors. Qualitative and quantitative research methods can be used to ask people to define, describe and analyze their perceptions of the study topic. This method will necessitate an iterative approach to the research process by constantly adjusting the focus/design of the research in response to informant feedback. In addition, these methods are expected to assist in fostering a flexible and

relaxed environment where sensitive issues, attitudes and behaviours, such as corruption, can be discussed openly.

Poverty focus

The research methodology pays particular attention to low-income and other excluded groups in their use of accountability arrangements. This is an attempt to obtain a better understanding of how accountability for infrastructure services works within the context of poor communities. With this in mind, assessments should be made of the livelihood implications of corruption in infrastructure service delivery, as well as the positive changes to livelihoods that are occurring as a result of greater accountability. Of further interest is the effect of corruption on shared community assets. The pro-poor focus in the research aims to assess how greater accountability in service delivery improves the assets and capabilities of the poor, enables the voices of the poor to be heard in policy discussions as well as ensuring that publicly provided services are specifically targeted to the needs of the poor.

Empirical evidence of the impacts of day-to-day corruption

Corruption is defined here as 'the misuse of entrusted power for personal gain'. The research methodology focuses on the day-to-day incidence of corruption in service delivery in terms of technical performance, governance relations and user satisfaction. There is a need for empirical, rather than just anecdotal, evidence that identifies and studies those service providers who have actually instituted reforms aiming to tackle the issue of corruption directly through increasing accountability. Evidence-based research draws on first-hand experience of service providers investigating and resolving corruption-related problems in the specific country case study locations, in order to demonstrate that it is possible to combat corruption in practice.

Corruption in the delivery of infrastructure services

The services under investigation might include water supply, sanitation, drainage, the provision of access roads and paving, transport, solid waste management, street lighting and community buildings. However, case studies may also include related processes such as lands registry, licensing of routes for transport, examination of vehicles for safety and so on.

Selection of case studies

Case studies should be selected where anti-corruption initiatives and research are already underway in order to ensure that the findings gained over the course of the study feed into both policy work and action at the national and community levels. The research should review both successful and unsuccessful aspects of the initiatives in order to understand the generic lessons that can be learned from the case.

Post-research dissemination

A key aspect of the research process will be disseminating the research findings. The outputs of the country case study will be provided in versions that are suitable to policymakers, infrastructure service providers, NGOs, academics and civil society.

Development and use of local anti-corruption networks

Ideally, within each case study location a network of local experts from NGOs, academic institutes and the private and public sectors will be created or strengthened in order to disseminate the research findings. In addition, regional and international workshops can provide opportunities for researchers to network with their counterparts from other countries.

Research process

The data gathering, analysis and synthesis of information aspects of the research process can be carried out in the following stages:

- Orientation of researchers on the research project, methods and reporting formats.
- Collection of primary information and analysis.
- Synthesizing the information generated into a case study report.
- Dissemination of research findings in a variety of forms for more in-depth examination of the study topic. The country reports should be made available to local public, private and civil society leaders.

Learning objectives

The overarching learning objective of WEDC's research is to investigate how corruption in services delivery impacts on the sustainability of the livelihoods of the poor (for example, see Figure 1).

There are four main themes for analysis, and these need to be explored in depth to understand the impact of corruption in infrastructure delivery on the livelihoods of the poor. These four themes are described below. Methods that can be used to collect this information and analyze it are discussed in the next section.

What are the causes of corruption in infrastructure delivery?

Specific issues to be covered include:

- Local terminology and definitions of corruption;
- The main kinds of corruption that people have faced in infrastructure service delivery;
- Discussion of the main causes of corruption in service delivery; and
- The extent of anti-corruption mechanisms; for example, law and order, and access to justice and legal institutions.

What are the effects of corruption on the livelihoods of the poor?

Specific issues to explore include:

- The extent and nature of pro-poor policies/ activities in the provision of infrastructure services;
- Does corruption figure in people's definition of wellbeing? Discussion of the main impacts of corruption;
- How do households and individuals cope with corruption? Are some people better able to cope with the effects of corruption on their livelihoods? If so, why and how? What makes households at greater risk? Are there any gender differences?;
- Which institutions support people in terms of coping with corruption? Which problems do people think they can solve themselves and which do they require external support?;
- Have corruption-related problems changed over the years or have they remained the same?; and
- If almost everyone in the community is affected, how does the community cope?

What is the experience of those who are/were corrupt?

Specific issues include:

- What are the incentives for corrupt practices?;
- What motivates corruption?;
- How are anti-corruption measures subverted?;

- Does the legal framework and practice offer sufficient deterrence?;
- Does knowledge of regulations/codes of conduct affect corruption?; and
- Is it possible for people to stop being corrupt? What is needed to enable people to stop?

What are the remedies for corruption? A review of accountability arrangements

Specific issues include:

- What remedies for corruption are available? The forms and nature of accountability activities;
- What led to the institution of these arrangements?;
- What are the consequences of these arrangements?;
- The political context and any international factors; and
- Have people become better or worse-off? Who or which group(s) has benefited the most? Which groups have been unable to take advantage of opportunities or have been negatively affected? Why?

Methodology

The nature of the research led to the selection of the case study as the methodology for data collection because:

- The case study is recommended where the study focuses on real life, contemporary and human situations, and for a detailed contextual analysis of events and their inter-relationships, involving many variables and no control over the phenomena under study;
- Multiple sources of evidence are used to be adaptive to changing contexts and circumstances, as well as acting as a means of triangulation;
- Applying the case study methodology to this research provides a useful contrast with previous work, which has, in the main, comprised desk-based reviews; and
- Having face-to-face contact with the respondents and undertaking the research on corruption in context is important.

Research techniques

Qualitative approaches such as interviews, focus groups and observation are often better at describing and explaining situations while quantitative approaches such as questionnaires are better at measuring. Qualitative and

quantitative methods can be used together to gain a holistic understanding of an issue. The flexibility of the case study methodology allows for the selection of a combination of qualitative and quantitative research techniques. These techniques might include:

- **Document/article review** can be used to explore the experiences of individuals who used to be or who are corrupt. For example, it might be possible to scan official reports, press articles and research documents to find interviews with those who have been corrupt in the delivery of infrastructure services. Alternatively, it might be feasible to ask an informant to write about his or her experience of being corrupt in the third person, for example, in the style of an interview or story.
- **Questionnaires:** on corruption in general and on corruption in infrastructure service delivery in particular.
- **Semi-structured interviews** (guided by a checklist) with a wide range of stakeholders, including contractors, service providers, municipal professionals, the private sector, local leaders, elected officials, local government officials, NGO staff, community organizations, academics and especially low-income residents. In certain instances, it might be possible to interview officials or councillors who have been convicted and sentenced in cases involving infrastructure-related corruption.
- **Focus group discussions** with a range of stakeholders, including service users (guided by a checklist).
- **Direct observations** (guided by a checklist); for example, a transact-walk¹ could be conducted in a slum to collect supportive information. A participatory rapid appraisal (PRA)² census might also be conducted in the study location.

These research methods can be used to elicit the perspectives at the household, the community/neighbourhood and the city levels and to explore the links and partnerships between communities and authorities, service providers and local government (see Table 1, below). This methodology's emphasis on the local level is in recognition of the fact that there exists a certain amount of flexibility to adopt or change corrupt practices at this level. The data collection stage of the research should be preceded by field-testing of interviews and focus group discussions, as this will increase the likelihood of obtaining a rich set of data.

Table 1. Stakeholder levels and relative tools and techniques

Levels	Tools
State-level service providers	Semi-structured interview / informal discussion
Civil society-level service providers	Semi-structured interview / informal discussion
State-level policy actors	Informal discussion / consultation
Civil society-level policy actors	Informal discussion / consultation
Service recipients	Structured interview and focus group discussions

Table 2. Link between four key research questions and instruments

	Document / article review	Questionnaires	Semi-structured interviews	Focus group discussions	Direct observations
Causes of corruption in Infrastructure delivery	•		•		
Effects of corruption on the livelihoods of the poor		•		•	•
Experiences of those who were corrupt	•		•		
Remedies for corruption and informal remedies for corruption	•		•	•	

The link between the four key research questions of the study and the research instruments is summarized in Table 2.

Fieldwork process

Sampling

It is recommended that the research be carried out within a number of communities or neighbourhoods in every city. The neighbourhoods should be chosen to reflect the most dominant poverty groups in a country. Within a community, separate discussions need to be held with the key poverty groups identified (for example, poor people, old women, low-status social groups, the disabled and so on). It is important to bring out these differences within a community and to make sure that women in particular are consulted adequately.

If the research is not attempting to generate a representative sample, the researcher should have a reasonable degree of confidence that the findings will at least be representative of poor people in that community. This can be done by meeting with a large enough number

of respondents to ensure that the findings have been sufficiently cross-checked.

Enumerators and/or interviewers

The researcher should ensure that all the enumerators and/or interviewers are adequately trained in the research techniques and that the objectives and the scope of the research are clear to all of them. A team leader should be available for co-ordinating the study, for providing logistical and back-up support to the enumerators and/or interviewers and to review the reports in terms of their quality.

Talking about corruption

As readers will realize, it is important to be cautious when discussing the issue of corruption. Enumerators and interviewers should emphasize to people that the discussions and analysis would be handled confidentially. A confidentiality agreement could be provided to all informants, if they so wish. It is important not to make allegations or accusations of corruption in case of legal dispute. Also, it is important not to lead people to think that a specific case of corruption will be investigated through the research. The interviews and discussions should be

conducted in a local language to build rapport with the respondents. The research should, however, maintain its objectivity and neutrality throughout the process.

Preparing a country case study report

Once the research has been conducted, the researcher(s) can synthesize the results and prepare the overall country report. Once the case study report is finalized, the researcher should present the main findings back to stakeholders through city forums, media releases and road shows.

Triangulation

It is very important that all the information and analyses generated through this research are verified or 'triangulated'. This can be done in a variety of ways:

- the same issue or topic is discussed with different groups of people;
- an issue is analyzed by the same group of people using different methods;
- the same group analyzes the issue at different points in time;
- results from the analysis carried out by one group are shared for discussion with another group; and/or
- results of the study are shared with the community at the end of the process.

Quality control

Problems in terms of quality can be minimized if the following are ensured:

- research team members have previous experience of doing research;
- research team members are well briefed on the content, scope and process of the study;
- back-up support is provided for enumerators and interviewers;
- monitoring of the research process and provision of feedback is provided by the project manager; and
- research partners keep a case study database to create a chain of evidence between the questions asked, the data collected and the conclusions drawn; this will increase the reliability of the information presented in the case study.

Dissemination of country case studies

As mentioned earlier, it is important to link the case study, as far as possible, to other ongoing projects and studies. This linkage will ensure that the study findings can be used in ongoing activities and projects or for developing new ones at the country and community levels. In addition, the report should be made available to local public, private and civil society leaders. This kind of follow-up will also help in triangulating the results.

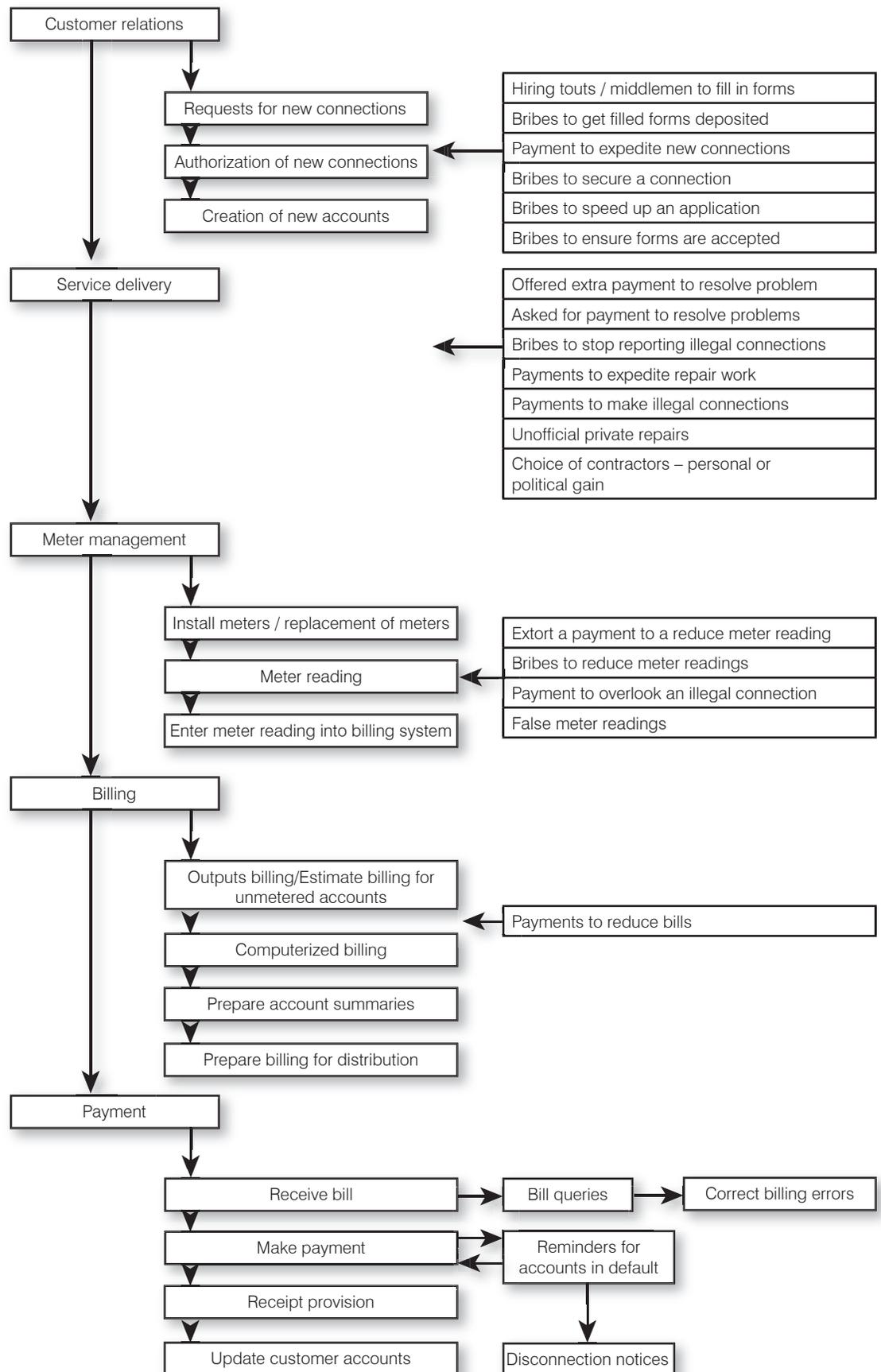


Figure 1. An example of a flow chart illustrating instances of corruption in service delivery.

Annex 1. Research instruments

Summary table

Method	Positive	Negative	Considerations
Questionnaires	<ul style="list-style-type: none"> • Efficient way of collecting information from a large area / population • Good for identifying general patterns or trends • Easy to use • Produce quantitative data, which is easy to tabulate, generalize and compare and provide a means of verifying the results • Do not have to be face-to-face, so respondents can fill in and return forms in their own time • Less 'messy' than qualitative approaches 	<ul style="list-style-type: none"> • Face-to-face form filling is time consuming • Postal questionnaires have low likelihood of getting a response • Questionnaires tend to reduce the complexity of experience into categories pre-defined by the researcher(s) • Questionnaires cannot explain the processes that influence strategies or the complexity of motivations that lie behind such actions 	<ul style="list-style-type: none"> • Questionnaires can cover large datasets in shorter time than other approaches • Costly in time and training in terms of subsequent coding and statistical analysis • Quantitative data has a higher potential for determining policy and is therefore useful to include in any research project
Interviews	<ul style="list-style-type: none"> • Interviews reduce researcher bias and allow informants more control over what they discuss and for how long • Often uncover new issues • Provide rich contextualized and explanatory data and are usually helpful for exploring complex experiences, perceptions and meanings, identifying causes and effects etc. 	<ul style="list-style-type: none"> • Interviews are likely to involve more time in data collection, transcription and analysis • Use small sample sizes and therefore can't claim representativeness on their own • Interviewer must be well trained and have a good understanding of research. 	<ul style="list-style-type: none"> • Interviews need time for data collection, transcription and analysis • It is usually best if the interview is carried out by the same person who designed the research and goes on to analyse the data
Focus groups	<ul style="list-style-type: none"> • A quick way of getting in-depth information from a group of people • Focus groups can be used to get both an approximate understanding of key issues and a more in-depth understandings • Can get a range of views on an issue • Cost and time-effective: no need for extensive preparation, training or analysis 	<ul style="list-style-type: none"> • Focus groups may be affected by issues of intimidation and domination by elites • There may be bias in sampling of groups • There is a need for a clear purpose and agenda, and skilled facilitation so that all issues are addressed and within time 	<ul style="list-style-type: none"> • Focus group preparation depends on the type of data needed and whether • sample of people is random or pre-selected • Little time needed to get information • No need for statistical analysis • May need two people per group: one facilitator and one note-taker
Observation (direct or participatory)	<ul style="list-style-type: none"> • Observing people / infrastructure in context might mean greater insight or accuracy 	<ul style="list-style-type: none"> • The presence of a researcher is likely to cause people respond or act differently • Observation will be based on the researcher's interpretation and may be biased 	<ul style="list-style-type: none"> • Observation can be rapid but may also take long periods of time • Cheap • Requires little training for analysis • Need to be aware of bias in observation • May yield little concrete data

Corruption diary

Date:

What happened? Was the bribe asked for or was the bribe offered?

Who asked for / accepted the bribe?

How much money did you pay?

What was the background – in what context did you encounter this person (specify problem)?

How many times have you faced this problem in the last six months (regularly / 'now and then' / rarely?)

Was the problem resolved satisfactorily by paying the bribe?

What do you think would have happened if you hadn't paid? For example, would it have made no difference, would there have been threats / harassment, a delay or denial of service, bad service etc?

How did you feel about the corruption experienced? For example, frightened, intimidated, powerless, embarrassed or unaffected?

Observation checklist

GENERAL OBSERVATIONS OF THE AREA				
Description of housing	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Kinds of materials used for construction				
Maintenance of common open spaces	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Provision of public telephones	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Provision of mail boxes	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Do houses have numbers	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Checklist for specific services				
WATER				
Do households have piped connections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Do households have booster pumps?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Do households use water filters?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Do households have water tanks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Are there standpipes in area?				
Is there evidence of illegal water connections?				

Observation checklist continued...

SEWERAGE				
Is there evidence of households with undesirable arrangements (latrines emptying into drains, open defecation, overflowing septic tanks / blocked sewers, smells etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Are there communal latrines?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Have there been attempts to clear blockages / improve sanitation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
ACCESS AND PAVING				
Separate vehicular and pedestrian traffic	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Frequency of pedestrian movement	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Frequency of traffic	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Comment on vehicle type				
Condition of pavements	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Condition of roads	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Comment on quantity of roads serving the community				
STREET LIGHTING / POWER				
Do households have an electricity connection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Are there electricity meters?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Is there adequate provision of street lighting?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
SOLID WASTE MANAGEMENT				
Are rubbish bins (public and private) provided?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Is street cleaning frequent?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Are street cleaners visible?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Has rubbish been dumped in open areas?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Is there evidence of regular waste collection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Is there evidence of recycling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
COMMUNITY BUILDINGS				
Are community buildings available?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
What is the condition of the community building?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Is the community building frequently used?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None

Observation checklist continued...

DRAINAGE				
Are there adequate arrangements for drainage?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Have arrangements been made for street paving?	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Poor	<input type="checkbox"/> None
Are the drains cleaned frequently?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Is there flooding in the street?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
Is there flooding inside houses?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't know	
ADDITIONAL COMMENTS				

Focus group discussions: issues for debate

Service delivery

- What is service provision like?
- What happens in informal / illegal residential areas?
- What do you think about service quality?
- Are there any problems with supply?
- If you have a problem, to whom do you speak?
- Is there community involvement in service delivery? Do you have 'a voice' in service delivery?
- Do you trust service providers?

Corruption

- Are bribes required, offered or demanded for service provision?
- Do you use bribes to obtain services? In what area(s) specifically?
- Do you use bribes to speed up service delivery? What services specifically?
- How do you avoid paying bribes? – That is, what informal strategies do people have for combating corruption?
- What happens if you don't pay bribes?
- What is the bribe amount that you usually pay?
- How often do you pay bribes?
- Which services do you usually pay bribes for?

- Why do you think corruption happens in infrastructure service delivery?
- How do you think corruption (in service delivery and in general) can be stopped?
- What do think about XXXX accountability initiative?

Livelihoods

- What are the costs of this kind of corruption for you? – That is, financial costs (in terms of income, impacts on employment / enterprises etc.); social costs (in terms of violence or harassment, gender relations, household relations, levels of trust / co-operation in society etc.); human costs (in terms of health, information, skills etc.); natural costs (in terms of access to land, water resources and so on); and physical costs (in terms of access to infrastructure services etc.)
- Does corruption provide any benefits for you?

Semi-structured interviews for infrastructure service providers

Ethics

- Is there a code of conduct for staff? If so, does it specifically address corruption? Is it effective?
- Is the integrity of staff monitored?
- Is there protection for whistle-blowers? Are informants protected against retaliation?
- Are there any pro-poor policies in place?

Complaints

- Is there a complaints office? If so, is it widely known? Is it used?
- Are there complaints procedures?
- What happens if a complaint about corruption is valid? And what happens if it is unfounded?

Procurement

- Is there a fair system for procurement?
- Are there competitive principles for tendering?
- Is there monitoring of procurement activity?
- Do you disqualify contractors who have attempted to bribe an official?

Human resources

- Is there a fair system for recruiting, disciplining and promoting staff?
- Are pay and benefits for staff fair / reasonable?
- How do you ensure transparency?
- Are the public involved in shaping service delivery, for example, in terms of budget priorities?
- Are regulations and policy guidelines publicly available? If so, where and how?

Corruption

- Is there a commitment to fight corruption within the agency?
- Please describe briefly any anti-corruption regulations that relate to service delivery.
- What is the agency's policy on personnel accepting or soliciting bribes, gifts, benefits or hospitality? Are such practices forbidden, accepted or do they depend on the situation?
- Do you provide specific training on integrity issues?

- Are staff members required to report attempts to bribe, induce or undermine their impartiality and independence?
- Are policies and procedures clear to employees?
- How do you punish corruption? What sanctions are applicable to staff for accepting or procuring bribes?
- What improvements could you suggest to current arrangements?
- Are there any NGOs or independent actors to monitor services?

Household questionnaire

Personal

Q1. Gender	
Male	
Female	
Q2. Into which age group do you fall?	
Younger than 24 years	
25 - 34 years	
35 - 49 years	
50 - 59 years	
60 years or older	
Refuse to answer	
Q3. Do you have a religious faith?	
Yes	
No	
Not sure	
Refuse to answer	
Q4. What is your highest academic qualification?	
Primary	
Secondary	
Diploma	
Degree	
Refuse to answer	

Livelihoods

Q5. What are the different sources of livelihood for your household?	
Micro-enterprise / self-employed	
Labourer	
Agriculture	
Migration	
Saving / remittances /pension	
NGO	

Business	
Public sector (government)	
Other (please specify)	
Q6. Do you think you have a voice in decisions about how the city is run?	
Yes	
No	
Don't know	
Q7. Do you have adequate number of meals every day?	
Yes	
No	
Don't know	
Q8. Do you feel safe where you live? (physical security)	
Yes	
No	
Don't know	
Q9. Are there health risks where you live?	
Yes (please specify)	
No	
Don't know	
Q10. Have you experienced threat of removal from land or a house – by landlords, property developers or landowners?	
Yes	
No	
Don't know	
Q11. Is your house near employment, transport links, healthcare, education and other social services and civic amenities?	
Yes	
No	
Don't know	

Q12. Do you have access to credit and loans?	
Yes	
No	
Don't know	
Q13. In the past, how have you coped with a crisis such as losing a job?	
Sale of household assets	
Ask for help from extended family	
Ask for help from friends and neighbours	
Contact influential people in the community	
Find other jobs	
Contact community groups	
Don't know	

Service delivery

Q14.	Access and use of service	Are you satisfied with this service?
Water		
Sanitation		
Electricity		
Transport		
Street lighting		
Railways		
Roads and paving		
Drainage		
Q15. Have you approached any of the service providers with a problem?		
Yes (please specify which agency)		
No		
Don't know		
Q16. Why did you contact this agency?		

Q17. How many times have you faced this problem in the last 6 months	
Regularly	
Now and then	
Rarely	
Q18. How did you contact the agency?	
Personal visit	
Telephone	
Wrote a letter	
Q19. Did you have a contact or reference to help you approach the agency?	
Yes	
No	
Don't know	
Q20. Did you have to pay your contact for his or her help?	
Yes (how much?)	
No	
Don't know	
Q21. Was your problem resolved satisfactorily by the agency?	
Yes (please specify how)	
No	
Don't know	
Q22. How satisfied were you with the speed with which your problem was solved?	
Satisfied	
Dissatisfied	
Neither satisfied nor dissatisfied	
Q23. Were you happy with the behaviour of staff?	
Yes (please specify why)	
No	
Don't know	

Q24. How satisfied are you with this agency after your experience with it?	
Satisfied	
Dissatisfied	
Neither satisfied nor dissatisfied	
Q25. Do you think you have enough information about infrastructure services?	
Yes	
No	
Don't know	

Corruption in society

Q26. What do you understand by the word 'corruption'?	
Q27. Can you think of an example of corruption?	
Q28. Do you think corruption is a bigger problem in the public, NGO or the private sector?	
Public sector	
Private sector	
NGO	
About the same	
Don't know	
Q29. Do you think corruption is a serious problem in any particular area of society? If so, which?	
Business	
Education	
Community organizations	
Church	
Sport	
Other (please specify)	

Q30. What do you think is the main cause of corruption in society?	

Corruption in infrastructure delivery

Q31. In terms of the various infrastructure services, which would you say has the greatest levels of corruption?	
Water	
Sanitation	
Electricity	
Transport	
Street lighting	
Railways	
Roads and paving	
Drainage	
Q32. During the past year, has any service provider asked you, or anyone you know, to pay a bribe for his or her service?	
Yes	
No	
Don't know	
Q33. If yes, what happened?	
The service provider asked for the payment	
The offer was made by the citizen	
Everyone knows you have to pay something extra	
Don't know	
Q34. What do you think would happen if you or the person you know didn't pay?	
It would make no difference to the service	
I would get a bad service	
There would be threats / harassment	
There would be delay / denial of the service	

Q35. How often do you think the average person pays a bribe to someone?	
Every day	
Every week	
Every month	
Every year	
Q36. How much do you think the average person typically pays?	
Q37. What do you think should happen to service providers found guilty of corruption?	
Lose their jobs and go to prison	
Lose their jobs and have to pay a fine	
Lose their jobs	
It depends on what they did	
There should be no punishment for corruption	
Don't know	
Q38. What impact does paying bribes have on you and your household?	
Q39. How do you feel about the kinds of corruption you experience? For example, frightened or intimidated, powerless, embarrassed, unaffected etc.?	
Q40. Do you have any of these in your home?	
Underground tank	
Overhead tank	
Handpump / well	
Water filter	
Emergency lights	
Generator(s)	
Water purifier	

Q41. Would you be willing to pay more for a better service?	
Yes	
No	
Don't know	
Q42. What improvements could be made to service delivery?	
Staff present at desks	
Staff behaviour improved	
Staff more helpful	
Jobs completed faster	
Fewer demands for 'speed' money	
Information more accessible	
Information more clearly displayed	
Forms more easily available	
Service time reduced	

Fighting corruption

Q43. Do you think the following ways of fighting corruption are effective or ineffective?
More prosecutions and longer sentences for corruption
More information about the way government works and spends taxes
News investigations of corruption
Campaigns to raise public awareness of the extent and costs of corruption
Codes of conduct to promote professional ethics
Promoting moral values in everyday life
Increase salaries of public employees
More ways for citizens to report corruption
More protection for people who report corruption
Establish a government agency dedicated to fighting corruption
Action taken by businesses to fight corruption

Thank you for completing this questionnaire.

End Notes

- ¹ Transect walks are walks which research teams take around a community in order to observe the people, surroundings and resources.
 - ² Participatory Rapid Appraisal is a way of carrying out a survey that can lead to a high level of participation by local people. It can be used to find out about the service needs of a local community by including the community in research, analysis of the issues, and planning for the future. Methods that can be incorporated in the appraisal process include interviews and focus groups.
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The sustainability of the livelihoods of the poor in low- and middle-income countries is compromised by corruption in the delivery of infrastructure services. Such services include water supply, sanitation, drainage, the provision of access roads and paving, transport, solid waste management, street lighting and community buildings. For this reason, The Water, Engineering Development Centre, (WEDC) at Loughborough University in the UK is conducting research into anti-corruption initiatives in this area of infrastructure services delivery.

This series of reports has been produced as part of a project entitled **Accountability Arrangements to Combat Corruption**, which was initially funded by the Department for International Development (DFID) of the British Government. The purpose of the work is to improve governance through the use of accountability arrangements to combat corruption in the delivery of infrastructure services. These findings, reviews, country case studies, case surveys and practical tools provide evidence of how anti-corruption initiatives in infrastructure delivery can contribute to the improvement of the lives of the urban poor.

The main objective of the research is the analysis of corruption in infrastructure delivery. This includes a review of accountability initiatives in infrastructure delivery and the nature of the impact of greater accountability.

For more information, please visit WEDC's web page:
http://wedc.lboro.ac.uk/projects/new_projects3.php?id=191

Please note: The views expressed in this document are not necessarily those of the Department for International Development or WEDC, Loughborough University.

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