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NIS Assessment Toolkit for EU Member States 2010-11

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Annexes

Introduction to the Toolkit

This toolkit introduces the National Integrity System (NIS) concept and approach and provides those implementing the NIS EC 2010-2011 project[1] with the necessary information and tools to conduct the NIS assessment. The annexes also contain key operational information for this assignment, such as interview guidelines, a draft NIS workshop agenda and several specific guiding documents for the research component of the project. While this toolkit guides the research component of the NIS EC 2010-2011 project, it should be read in accompaniment with the Advocacy Toolkit and Project and Financial Management Toolkit prepared for this project.

NIS Concept and Approach

The National Integrity System (NIS) comprises the principle governance institutions in a country that are responsible for the fight against corruption. When these governance institutions function properly, they constitute a healthy and robust National Integrity System, one that is effective in combating corruption as part of the larger struggle against abuse of power, malfeasance and misappropriation in all its forms. However, when these institutions are characterised by a lack of appropriate regulations and by unaccountable behaviour, corruption is likely to thrive, with negative ripple effects for the societal goals of equitable growth, sustainable development and social cohesion. Therefore, strengthening the NIS promotes better governance in a country, and, ultimately, contributes to a more just society overall.

The concept of the NIS has been developed and promoted by Transparency International (TI) as part of TI's holistic approach to combating corruption.[2] While there is no absolute blueprint for an effective anti-corruption system, there is a growing international consensus as to the salient aspects that work best to prevent corruption and promote integrity. The NIS assessment offers an evaluation of the legal basis and the actual performance of institutions relevant to the overall anti-corruption system. These institutions – or 'pillars' –comprise the executive, legislature, judiciary, the public sector, the main public watchdog institutions (e.g. supreme audit institution, law enforcement agencies), as well as political parties, the media, civil society and business as the primary social forces which are active in the governance arena.

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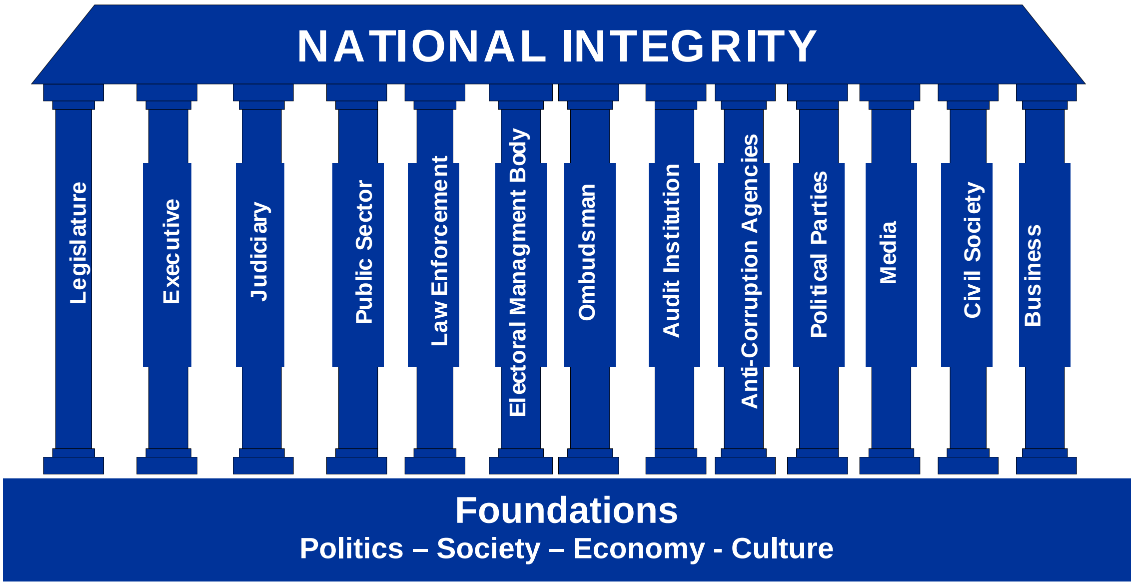
[1] For the sake of simplicity, national implementing partners are called 'National Chapters' (NCs) throughout this toolkit, although not all partners in the NIS EC 2010-2011 are National Chapters.
[2] Further details of the NIS can be found in The TI Source Book 1997 and 2000 and the partly completed TI Anti-Corruption Handbook, both available at www.transparency.org/nis.

Thus, the NIS is generally considered to comprise the pillars depicted in Figure 1, which are based on a number of foundations in terms of political, social, economic and cultural conditions.[3]

Figure 1: Pillars of a National Integrity System



The NIS is based on a holistic approach to preventing corruption, since it looks at the entire range of relevant institutions and also focuses on the relationships among them. Thus, the NIS presupposes that a lack of integrity in a single institution would lead to serious flaws in the entire integrity system. As a consequence, the NIS assessment does not seek to offer an in-depth evaluation of each pillar, but rather puts an emphasis on covering all relevant pillars and at assessing their inter-linkages.

TI believes that such a holistic "system analysis" is necessary to be able to appropriately diagnose corruption risks and develop effective strategies to counter those risks. This analysis is embedded in a consultative approach, involving the key anti-corruption agents in government, civil society, the business community and other relevant sectors with a view to building momentum, political will and civic pressure for relevant reform initiatives.

On a cross-country level, the NIS assessment creates a sound empirical basis that adds to our understanding of strong or weak performers. In addition, from a regional perspective, the

[3] These pillars may not constitute the entire NIS in each country. For instance, in some countries the monarchy, the military, or a certain foreign institution (e.g. EU, international donor, neighbouring country) may play a pivotal role; in others, some pillars may not exist. In such cases, the scope for the NIS should be adapted to local circumstances, based on suggestions from experts in the country.

results can create a sense of peer pressure for reform as well as an opportunity for learning from those countries that are in similar stages of development.

Since its inception in the late 1990s, more than 70 NIS assessments have been conducted by TI, many of which have contributed to civic advocacy campaigns, policy reform initiatives, and the overall awareness of the country's governance deficits. In 2008/2009, a number of refinements and revisions in the NIS assessment approach have been undertaken, which promise to make the tool even more relevant for independent governance and anti-corruption initiatives.

The NIS Assessment Step by Step

Carrying out an NIS assessment involves the following steps, which are explained in greater detail in the toolkit:

Step 1: Project Planning - The TI national chapter (NC) taking part in the EC 2010 project sets up project structures and teams, including researcher and advisory group.

Step 2: Familiarizing with NIS research process & outputs – Researcher familiarizes herself with the NIS research process and outputs, particularly the NIS indicators and NIS country report. Researcher and project coordinator attend NIS training workshop.

Step 3: Data Collection - Researcher collects data on legal framework and actual practice of NIS pillars, and for other components of NIS report, via desk review and in-depth interviews.

Step 4: Drafting NIS report – Researcher develops draft NIS report based on collected data.

Step 5: Scoring NIS Indicators – Researcher scores NIS indicators, which are reviewed by advisory group and finalized by researcher, in consultation with national chapter and TI-S.[4]

Step 6: Convening NIS workshop – National Chapter convenes consultative workshop to discuss findings and identify recommendations for strengthening national integrity. Subsequently, NIS report is updated with outcomes of consultative workshop.

Step 7: Publishing NIS country report - NIS report is launched and disseminated at national and international level.

Step 8: NIS Advocacy - Advocacy, agenda setting, promotion of policy reform, internal strategy and other follow-up activities emerging from the NIS assessment commence.

[4] The precise process for validation of scores is still under consideration by TI-S and NCs, as it has implications for the comparability of scores across countries. A process of chapter consultation to decide on the most appropriate scoring process for the EU NIS project will be undertaken prior to commencement of the research.

Step 1: Project Planning

At the outset of the project implementation, a number of preparatory steps need to be completed, namely (1) signing a Memorandum of Understanding, (2) defining the specific purpose of the NIS assessment; (3) familiarising yourself with the common project timeline and setting up project structures to adhere to it (4) setting up project teams and personnel.

1. Signing a Memorandum of Understanding

Apart from the contract with the European Commission, a contract and a Memorandum of Understanding should also be signed between the NC and TI-S, detailing the respective roles and responsibilities of each partner. By signing this MoU, TI-S agrees to offer technical assistance and quality control to the NC implementing the EC 2010 project, while the national chapter agrees to follow the NIS assessment toolkit, including the specified timeline and requirements for conducting the research component and organising the consultative activities which are part of the overall NIS assessment exercise.

2. Defining Project Purpose

It is important that each project partner taking part in the EC 2010 project has a clear understanding of why they are undertaking an NIS and what they hope to achieve with the exercise. NCs are therefore encouraged to complete a brief project purpose statement, using the template below, which contains a fictitious example to give an indication of the kind of information required here. Once completed, the project purpose statement should be submitted to TI-S. The length of the document should not exceed 1½ pages.

NIS Project Purpose Statement	
Country	*Exemplia*
Organisation	*TI Exemplia*
Project Coordinator	*Ms. Marie Cruz*
Main Objective of NIS Assessment	• *To influence the government's anti-corruption policy, which will be drafted next year*
Secondary Objectives	• *A baseline on the performance of the anti-corruption system in the country* • *An advocacy strategy based on priority areas identified* • *Build the public profile of TI Exemplia* • *Identify partners for advocacy activities* • *Provide inputs into TI Exemplia's new strategic plan*

Risks for achieving objectives	***Risk*** *Government will not participate in NIS assessment*	***Likelihood*** *Medium*	***Impact*** *Undermine consultative approach of NIS. Reduce legitimacy of findings. Reduce overall impact as govt more likely to dismiss report*	***Plans to mitigate risk*** *Early and high-level approach by Board of TI-Exemplia to senior government officials to secure their participation in NIS assessment process*
	Other stakeholders will not participate in NIS assessment	*Low*	*Undermine consultative approach of NIS. Reduce legitimacy of findings.*	*Promotion of NIS assessment process at key events, such as national civil society week and anti-corruption conferences*
	Difficulties in finding a suitable researcher	*High*	*Reduce quality of report*	*Two academics who serve on TI-Exemplia Board will be asked to 'headhunt' for a suitable researcher*
	Key informants will not be available for interviews	*High*	*Reduce quality of report*	*TI-Exemplia will secure letter of support from senior government officials and business associations, which will encourage staff to make themselves available for interviews*
Comments	*The NIS assessment is being implemented at a crucial time for TI Exemplia and the entire country. The new government has dedicated itself to the fight against corruption and is going to start the development of a comprehensive anti-corruption strategy. The results of the NIS assessment and the momentum generated by the multi-stakeholder process can be used to influence the anti-corruption strategy so that it reflects the key recommendations of the entire anti-corruption community. In addition, the NIS assessment will be extremely useful for our own strategic planning, partnership-building and public profile-raising activities.*			

The following potential purpose areas for the NIS assessment might be useful to keep in mind when completing the project purpose statement:

Advocacy & Policy Reform: The most common ultimate aim of conducting an NIS assessment is to produce evidence and a momentum for change among the anti-corruption community which can be used for specific advocacy and policy reform initiatives. NIS findings point to specific weaknesses in the integrity system, and thereby assist in prioritizing advocacy and policy interventions. They also offer important positive lessons for policy reform by highlighting best practices. In order to ensure an effective link between assessment and advocacy, the NIS assessment embraces a participatory approach, providing opportunities for stakeholder input and engagement throughout the assessment exercise. For more guidance on Advocacy and Policy Reform, see the Advocacy Toolkit developed for this project.

Monitoring & Comparing: The information generated by the NIS assessment provides benchmarks for measuring the impact of policy interventions and a basis for comparing the performance of NIS pillars. A look at the NIS indicators gives a good indication of which areas possess high integrity and which are lagging behind. Comparing weak to strong areas helps generate competition for improvement and provides incentives for positive change. If undertaken iteratively over time, the NIS assessment can be used as a monitoring tool to evaluate overall progress of the entire integrity system as well as individual institutions, thereby offering useful information for advocacy and reform efforts.

Strategic Planning: Due to its holistic and comprehensive nature, the NIS can serve as a useful planning tool for the future work of an organisation, specifically a national chapter. It detects priority areas for reform and cross-cutting problems, which can inform the content of the strategy and plans of the national chapter in future years.

Building Coalitions: Due to its emphasis on wide consultation and debate during the project implementation at the advisory group meetings and National Integrity Workshop, the NIS assessment can help a national chapter to build its public profile and identify potential partners for advocacy campaigns and other follow-up activities.

Guide to Specific Research: The NIS assessment provides a comprehensive overview of the functioning of the main governance institutions in a country. It is particularly useful to obtain a rather general holistic picture of the entire governance system; it does, however, not offer an in-depth diagnosis of any specific institution. But it can point to the need for such an in-depth institutional assessment to be conducted as a concrete follow-up project to the NIS assessment exercise, e.g. in case a certain institution emerges as being particularly weak or surprisingly strong.

Of course, the NIS can meet several objectives at the same time; in addition, other country-specific objectives and usages are possible and should be considered by the national chapter.

3. The Project Timeline

The timetable for the EU NIS assessments allows 12 months for completion from signing the MoU to the publication of the NIS report (see timeline from EC proposal on which the grant was awarded in Table 1). Note that this timeline includes a 3 month preparation phase leading up to the NIS Training Workshop.

Table 1: Timeline for EC NIS Project – Research & Engagement Component

***Key NIS landmarks**

Who	Action	Time frame
NC and TI-S	Sign Contract MoU on NIS assessment	October 2010
NC	Recruits researcher and set up NIS advisory group	October – December 2010
Researcher	Familiarises herself/himself with NIS approach, specifically NIS Toolkit and indicators	December 2010 – January 2011
Researcher and Project Coordinator	**Attend TI-S training workshop in Berlin**	**31st January – 4th February 2011**
NC	**Convenes first meeting of NIS advisory group**	**February 2011**
NC	Decides on any adaptations of research framework and finalises research plan and schedule	February 2011
NC	**Submits NIS Research Implementation Plan and Timeline (Annex 2) to TI-S**	**18th February 2011**
Researcher	Conducts research, interviews, field tests; drafts report[5] and scores indicators	February – June 2011
Researcher	**Submits draft of first completed 'pillar report' to TI-S for review**	**4th March 2011[6]**
Researcher	Submits drafts of individual pillars for review by TI-S, as they are completed.	February – May 2011
Researcher	**Submits first full draft report to NC who passes it on to TI-S and advisory group for review[7]**	**30th June 2011**
NC	**Convenes validation meeting among advisory group and researcher to discuss report and preliminary**	**15th July 2011[8]**

[5] Report needs to be drafted in a language in which it can be reviewed by TI-S. Where this cannot be the case, the NC needs to discuss with TI-S how adequate technical assistance and quality control can be provided.
[6] Each NC will be required to work out a detailed research submission timeline with TI-S to facilitate the timely review of all NIS pillar reports. This will be drafted no later than 2 weeks after the NIS Training Workshop in Berlin.
[7] If the report is being drafted in English, it is preferable for the researcher to submit drafts of individual pillars for review by TI-S, as they are completed. In this case, the first draft review process would take place over the course of February to June 2011.
[8] This is an indicative date – the NC should choose the optimum date to ensure participation of all advisory group members. Please allow enough time for the feedback to be incorporated by July 7th.

	scores	
Researcher	**Revises and submits updated draft of report and scores to TI-S and NC**	**25th July 2011**
TI-S and NC	Provide detailed feedback and comment on updated draft report and scores	12th August 2011
Researcher	Refines report based on feedback	19th August 2011
NC	**Organises and convenes National Integrity workshop[9]** **Includes results of National Integrity Workshop in draft NIS report**	**1st week of September 2011**
NC	Sends report to external reviewer for feedback	September
External Reviewer	Provides comments on report	September
Researcher and NC	If necessary, revise report to address external reviewer's comments	September
Researcher, NC	**Attend Participants Meeting B - regional priorities and planning**	**September 2011 (date TBC)**
NC	Work with copy-editor on professional copy-edit of the draft report	October 2011
NC	Commissions libel check of report, where feasible	October 2011
NC, TI-S, (adv. group)	Provides final edits	October 2011
NC, researcher	Makes final changes and approves final draft	October 2011
TI-S, NC, advisory group and researcher	**Print, publish and promote country report**	**November 2011**
NC	Engages in advocacy and other follow-up activities to NIS assessment[10]	November 2011 -

5. Planning Human Resources for National Chapter

The NIS Project Coordinator should dedicate 20-30% of her/his time to coordinating the NIS assessment activities and has overall responsibility for the implementation of the project. In addition, the Executive Director and Board may be involved in the project for limited and specific purposes, such as chairing the advisory group and NIS workshop, participating in the analysis and identification of key recommendations emerging from the assessment, and in the promotion of the results and relevant follow-up activities.

[9] f the report is being drafted in English, it is best to translate it into the local language(s) before the National Workshop to ensure the report is accessible to as wide an audience as possible.

[10] While the Advocacy based on the findings of the NIS assessment will be focussed on Year 2 of the project, there are numerous opportunities for outreach and advocacy during Year 1 also. The following are examples of advocacy opportunities which should be capitalised on by the NC: NIS Advisory Group meetings, interviews with stakeholders, the National Integrity Workshop.

The main tasks of the national chapter are as follows:

- plan for and coordinate NIS assessment implementation
- select researcher and provide her/him with access to relevant resources, particularly contact information for potential interviewees
- set-up advisory group and convene group meetings
- plan, coordinate and convene NIS Workshop
- select suitable external reviewer (see section 8 below)
- participate in quality control process of the study by reviewing narrative and scores and providing comments
- translate or oversee translation of the study or parts thereof into relevant local language(s) or into English
- manage national publication of the report in local language(s)
- promote and disseminate the report and its main findings in-country
- fundraise for project activities not covered by existing funds and for follow-up activities
- participate in follow-up activities, as appropriate

6. Recruiting NIS researcher(s)

Based on previous experience, it is highly recommended to contract **one lead researcher** who has overall responsibility for the research component of the NIS assessment. The lead researcher can hire a number of additional researchers for specific research tasks. However, to keep things simple, the contractual relationship should only involve the national chapter and the lead researcher. While the final decision on the researcher will usually lie with the project partner concerned, TI-S shall retain a 'right of veto', i.e. it can object to the proposed appointment of a candidate who is deemed unqualified for the role based on the qualifications outlined above. The researcher must be hired in advance of the NIS Training Workshop and must be available to attend that training workshop, an essential component to the success of the project.

As an alternative to one individual lead researcher conducting the whole NIS assessment, it is also possible to hire a number of individual expert researchers to complete pillars on the institutions in which they specialise. In this case, it is still advisable to have one core researcher who coordinates the work of the other researchers and ensures that the contributions are unified into a cohesive whole. Apart from this unifying role, the core researcher would also be expected to train the relevant experts in the NIS methodology (as they would not all be able to attend the project kick-off training workshop) and ensure that their contributions are submitted according to a strict timeline. The core researcher would also be the contact point for TI-S regarding research issues during the review process.

The contract with the researcher should specify the entire set of tasks which are specified in this toolkit as well as concrete deadlines.[11] The researcher fee should be divided into several tranches and should cover research expenses but also local travel, communications, secretarial expenses and any other incidental expenses. The fee should also cover the costs of conducting the key informant interviews, which are viewed as an integral part of the research process.

The primary tasks of the NIS researcher are to:

- Prepare for and attend the project kick-off workshop in Berlin
- Research, write and deliver the NIS report and provide NIS scores within the agreed timetable and based on the standards laid out in the NIS toolkit
- Participate in monthly progress calls with TI-S NIS team
- Revise draft NIS report based on feedback from NC, advisory group and TI-S
- Identify and conduct interviews with key individuals and organisations (at least two interviews per pillar – one external expert and one official from the relevant institution), after consulting with the national chapter (and after notifying the government and getting any consent necessary to conduct the research, should this be required)
- Manage implementation of transparency field tests (in cases where NC chooses to include these optional freedom of information requests in the assessment)
- Participate in validation meeting and NIS workshop
- Contribute to promotional events surrounding the launch of the NIS report

The lead researcher should have the following qualifications:

- Background in political science, public administration, law or another related social science
- Proven expertise in political-institutional analysis, with particularly strong knowledge of the country's governance system
- Excellent understanding of the legal framework and actual practice of the country's major governance institutions
- Familiarity with transparency, accountability and anti-corruption discourse
- Ability to write succinctly and for a non-academic audience

- Proven commitment to practical policy reform and evidence-based advocacy in the field of anti-corruption and good governance
- Experience in working with/applying quantitative indicators and rating methodologies.

Recruitment Process:

Previous experience has shown that selection of the right researcher is crucial to the overall success of the project. You want to make sure to get the best person available given the complexity and importance of tasks at hand. A proper process is the best guarantee of such a selection, and is also in line with our obligations to the donor. The following principles should be followed in selecting the lead researcher:

- *Competitive bidding* - the selection process should be open, transparent and competitive. The researcher Terms of Reference should be made publicly and widely available, for a sufficient period of time, and the final decision should be based on best value for money.

- *No conflicts of interest* – any potential or real conflicts of interest should be avoided at all costs. The position involves substantial amount of remuneration, as well as a high level of prestige associated with the final publication. It is essential to conduct the dealings at arm's length.

- *Due diligence* - ideally, the selection panel should involve several individuals with appropriate background to make an informed decision. The shortlisted candidates should be subject to an interview. Prior work samples and references should be sought and checked. A discussion with TI-S on the final shortlist should take place (see below).

- *Consultation with TIS* – the applications of at least 3 shortlisted candidates' should be forwarded to TI-S policy and research team for review and input. While the final decision on the researcher will usually lie with the project partner concerned, TI-S shall retain a 'right of veto', i.e. it can object to the proposed appointment of a candidate who is deemed unqualified for the role based on the qualifications outlined above. The shortlist should be forwarded to the NIS research programme coordinator Suzanne Mulcahy (smulcahy@transparency.org), copied to Paul Zoubkov (pzoubkov@transparency.org).

[11] A draft contract template, which needs to be adapted by the NC, can be obtained from TI-S.

- *Archiving* - the Commission reserves the right to ask for evidence that a proper procurement process has been followed. Therefore you should keep any documents related to the hire of the lead researcher.

- *Internal Guidelines* – in addition to the above, your organisation may well have its own procurement guidelines. You will need to take these into account as well.

7. Setting up NIS Advisory Group

The advisory group should consist of between 8 and 12 people from various constituencies who will meet at least twice during the project implementation (see timeline). There should be a good balance of representatives from civil society, government, the private sector, academia, the donor community and other relevant anti-corruption stakeholder groups. It is important that, as much as possible, the advisory group is as inclusive as possible and composed of a broad cross-section of members in terms of political affiliation, capital city-based vs. regions, and any other relevant factors.

The key responsibilities of the NIS advisory group are to:

- Advise the national chapter on the main aspects of the project implementation
- Review and comment on draft NIS report
- Validate NIS Indicator Scores
- Attend NIS workshop

The key benefits of having an advisory group in place include:

- Expert feedback on NIS findings
- Strengthened legitimacy and buy-in of the anti-corruption community into the NIS process and report
- Assistance in research and outreach (e.g. identifying interviewees, NIS workshop attendees)
- Building the National Chapter's network and contacts
- Assistance in promotion of NIS assessment findings and recommendations

8. Selecting an External Reviewer

Each partner is required to select an external reviewer who will peer-review the final draft of the NIS before publication. This person should be a country expert with a particular expertise in the political and social context of the country. They should be non-partisan and where possible non-resident, to provide an informed outsider perspective. An academic or journalist living abroad could be a suitable candidate. They should be contracted for 2 days (as per the budget) to read and review the text and provide a short report detailing any errors or misrepresentations, checking for consistency throughout the report and confirming that the analysis is supported by sufficient evidence or highlighting areas of controversy that require further evidence. TI-S will provide a Terms of Reference and contract template which should be used when contracting the external reviewer. The feedback of the external reviewer should be incorporated into the final draft of the report.

9. Setting up an M&E System

The EU NIS 2010-2011 project will include a Monitoring & Evaluation (M&E) system to ensure that the project is effectively delivered upon. Such a system will assist the NC to:

- measure project performance over time
- detect any obstacles or problems early on
- find out whether the project outputs has been produced and goals have been achieved
- explores unintended results or consequences
- learn what could have been done better

For more information on the specific M&E system for the EU NIS 2010-2011 Project, see the Project and Financial Management Toolkit.

Step 2: Planning NIS research process & outputs

Before the NIS research activities can get underway, the researcher needs to engage thoroughly with the project's conceptual framework, the scope of the required work and the specific deliverables. They are described in this section.

The bulk of the NIS report is made up of an assessment of the NIS pillars, i.e. those public institutions and groups of actors which have the (official or unofficial) power to influence how a country is being governed, and thereby to impact on the degree of national integrity.

These pillars usually comprise the following:

- Legislature
- Executive
- Judiciary
- Public Sector
- Law Enforcement Agencies
- Electoral Management Body
- Ombudsman
- Supreme Audit Institution
- Anti-corruption Agencies
- Political Parties
- Media
- Civil Society
- Business

In some countries, local conditions will be such that additional indicators or even an additional pillar might be desirable and/or required to accurately capture the entire set of governance institutions and actors in a country. The addition of a pillar requires the development of indicators and scoring questions. If the national chapter and researcher see a need for such an addition, they can do so in consultation with TI-S. This has to be done at the beginning of the research process, so that appropriate data collection methods for these additional indicators can be added.

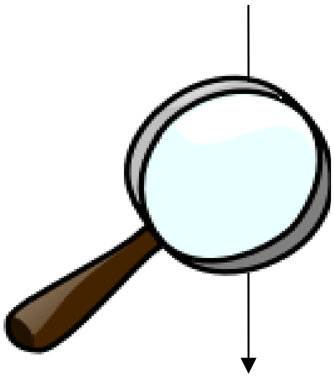
In some cases it may be appropriate to remove a pillar but this must be agreed with TI-S at the outset of the project. Please note that the mere absence of certain pillars in a country (e.g. absence of an anti-corruption agency) should not be seen as a sign for a lack of relevance; quite the contrary, this absence usually points to a weakness in the overall national integrity system and should therefore be noted and highlighted in the NIS assessment.

In federal and decentralised political systems, the National Integrity System assessment framework requires some adaptation. As a rule, the central institutions are assessed as the 'pillars' unless significant variation in the institutional make-up is known to exist across the units of the system. The Anti-Corruption Agency pillar in a federal system, for example, would usually be similarly designed in terms of framework and policy across all the units of the system. Where significant variation exists, the pillar assessment can be disaggregated to accommodate this. This would need to be discussed with TIS at the beginning of the research phase.

Each of the pillars is assessed along three dimensions – (1) the institution's overall ***capacity*** to function, (2) its own internal ***governance*** in terms of integrity, transparency and accountability, (3) its ***role*** in contributing to the overall integrity of the national governance system - as well as along a common set of indicators under each of these dimensions, namely *resources* and *independence* under capacity; *transparency*, *accountability* and *integrity* under governance; and pillar-specific indicators under role (since no common indicator names for the role dimension could be established since different institutions perform different roles within the integrity system). Most indicators are broken down into two aspects: (a) the situation pertaining to the formal framework governing these institutions ('law'), and (b) the situation regarding their actual institutional practice and behaviour ('practice'). This makes an analysis of any gap between the formal framework and the actual practice possible. The entire set of indicators can be found in Annex 1. Figure 2 below summarizes the indicator framework.

Figure 2: NIS Indicator Framework

NIS Pillars												
Legislative	Executive	Judiciary	Public Sector	Political Parties	Electoral Management Body	Supreme Audit Institution	Ombudsman	Law Enforcement Agencies	Anti-Corruption Agency	Media	Civil Society	Business



For each pillar

Dimensions	Capacity				Governance						Role
Indicators	Resources		Independence		Transparency		Accountability		Integrity		*Pillar-specific*[12]
	Law	Practice	Law	Practice	Law	Practice	Law	Practice	Law	Practice	Law & Practice

Research Planning

Once the key decisions regarding the adaptation of the research framework to the country context have been made, a research implementation plan and timeline should be submitted to TI-S (see Annex 2 for a template). This should be submitted within ***2 weeks following the NIS Training Workshop***. Here the NC gives details on:

1. Adaptation of the Analytical Framework, i.e. addition or deletion of pillars and, in the case of addition of a new pillar, plans to develop indicators.

2. Data Collection, i.e. whether field tests will be included as part of the data collection tools.

[12] For the dimension "role", the indicators differ from pillar to pillar, since different pillars perform different roles for the national integrity system.

3. Data Analysis and Report Write-up, i.e. who will draft the report and in which language. Plans for translation into English/local language should also be noted here.

4. Project Implementation, including the following:

    a. List of Advisory Group Invitees

    b. Details and tasks of any additional researchers to be recruited to assist the lead researcher. There are a number of options to consider in terms of division of labour and it is very important that a clear plan is devised to maximise and rationalise the research budget to best effect:

        i. Lead researcher contracts a group of additional researchers who conduct research and draft individual pillar reports. Lead researcher compiles report into a coherent whole

        ii. Lead researcher drafts pillar reports him/herself and uses research assistants to collect and collate legal/desk research and/or conduct some of the key informant interviews

        iii. Lead researcher hires particular experts to conduct parts of the research, e.g. a legal analyst and uses this analysis as an input while drafting the report him/herself

    c. Research plan detailing plans for data collection, write-up and submission of draft of each pillar (see template as part of Annex 2). The core research phase, as foreseen in the timeline above (p.10-11) should be completed within 4-5 months (months 3-7 of the timeline). It is important to carefully plan the data collection (desk research, interviews and field tests) for each pillar and to set deadlines for submission of draft pillar reports by the lead researcher to TI-S for review. To this end, a plan indicating the sequence in which research for each pillar will be conducted should be completed. The example in Table 2 below gives an indication of the details required:

Table 2 Sample Research Plan					
	NOVEMBER	**DECEMBER**	**JANUARY**	**FEBRUARY**	**MARCH**
Desk Research	Legislature Judiciary	Executive Public Sector Law Enforcement	EMB Ombudsman Supreme Audit Institution ACA	Political Parties Media Business Civil Society	Supplementary Research and compilation of country profile, corruption profile, anti-corruption activities.
Interviews	Legislature Judiciary	Executive Public Sector Law Enforcement	EMB Ombudsman Supreme Audit Institution ACA	Political Parties Media Business Civil Society	Supplementary interviews where necessary
Field Tests (optional)	Field Test Planning	Legislature Executive Judiciary Public Sector Law Enforcement EMB Ombudsman Supreme Audit Institution Anti-corruption Agencies		Analyse and incorporate field test data into pillar reports	
Pillar Report Write-up		Legislature Judiciary	Executive Public Sector Law Enforcement	EMB Ombudsman Supreme Audit Institution ACA	Political Parties Media Business Civil Society Front Matter of NIS report
Submit Draft Pillar Reports to TI-S for review		Legislature Judiciary	Executive Public Sector Law Enforcement	EMB Ombudsman Supreme Audit Institution ACA	Political Parties Media Business Civil Society Front Matter of NIS report

Step 3: Collecting Data

To bring the NIS assessment framework to life, actual data and information for the NIS indicators, as well as for the country profile, corruption profile and anti-corruption activities section needs to be collected.

Since the assessment of the NIS pillars via the NIS indicators forms by far the most substantial part of the country report, it is also the focus of the data collection efforts. The data collection process involves a range of different methods, with an emphasis on a desk review of existing legislation, policy papers and existing analyses of institutional performance of the respective pillars, key informant interviews, and the option of completing a limited number of field tests. In terms of covering specific events or time-bound data sources, the NIS assessment time period usually covers the previous twenty-four months before the start of the assessment process[13], while information about earlier events might provide relevant historical background information. In the following, each data collection method is outlined in brief. More detailed information for the specific data required for each indicator can be found in Annex 1 NIS Indicators and Foundations and on the following website www.transparency.org/nis.

Desk review: Since the NIS assessment is mainly concerned with an institutional analysis of each pillar, a desk review of the relevant existing information forms the backbone of the data collection process. The following types of documents are likely to be particularly relevant:

Legislation: The respective legislation regulating the resourcing, internal functioning, as well as external role and responsibilities of the respective pillar, is a key source and can often be found on the institution's website.

Official documents: In addition to legislation, other official documents (e.g. government white papers, policy statements, evaluations, strategies) usually provide information on the formal framework as well as the actual performance of the respective institution.

Secondary data: There is also a wide range of policy-oriented or academic reviews and assessments of the performance of an institution, which can yield relevant information. Apart from university libraries, it is advised to use internet search engines and also to examine the online resources of think tanks, research organisations, international institutions and other anti-corruption actors in the country for such type of data. This type of information will also provide the bulk of information for the country profile (and for the scoring of the NIS foundations), corruption profile and summary of anti-corruption activities as well as presents a major data source for the 'practice' indicators of the NIS pillars. A resource centre where TI-S and partners can deposit and consult relevant reports and articles will be provided on the project website.

Key Informant Interviews must be conducted for all pillars. The main purpose of the key informant interviews is to gather information about the actual practice of the respective pillar. Since this necessarily involves subjective views and assessments, it is of utmost importance to get a balanced sample of interviews and for the researcher to reflect upon, filter and analyze the data received via the interviews. For each pillar, **at least two interviews** have to be conducted with (1) a person who has worked for a significant period (at least five years) in a senior position within the pillar, and (2) another person who is an external expert on the pillar (e.g. an academic or NGO staff member monitoring the activities of the pillar). One expert can provide information for more than one pillar. If representatives from within the pillar will not make themselves available for an interview after a credible attempt, the researcher should make note of this refusal in the report. Any relevant qualitative information and insights should be included in the country report. In conducting the key informant interviews, please make use of the interview guide in Annex 3 Key Informant Interview Guide. Please refer also to the style guide in Annex 4 Country Report Style and Formatting Notes for information on referencing interviews.

Field tests are an optional extra data source for the EU NIS project. They are used to obtain information about the transparency in practice of a specific institution. In particular, such tests can be used to assess the public availability, and thereby also the transparency, of information held by the respective institution. For example, a request could be made to the winner of the last presidential election, asking for information on the total amount of private funding received during the election campaign. Further information on the field tests can be found in Annex 5 NIS Field Test Guide.

While the organisation of the field test exercise requires a substantive amount of work (e.g. reviewing existing legislation, identifying volunteers to submit requests, training them, analysing results), given its relevance for all public institutions and given the fact that it provides real-life evidence on institutional practice, this data collection method is recommended to be used where feasible. This should be discussed with TI-S at the outset of

13 National chapters can adjust this time period, if there are reasons for using a slightly different time horizon, e.g. to make sure that the full time period since the last NIS assessment is covered. This needs to be indicated in the NIS report.

the project where a recommendation on the use of field tests will be given based on, among other things, existence of other ‘freedom of information’ data and national chapter capacities.

Collating Data: Each NIS indicator is presented in an indicator sheet, which contains an overall *scoring question*, which has to be answered based on the information assembled by the NIS assessment, as well as further *guiding questions* to facilitate the data collection, *minimum* and *maximum* benchmarks for the scoring, and suggested further *data sources* in addition to the core data sources of desk review and key informant interviews. It is important to be aware that not every guiding question will be relevant to every country context and the researcher’s judgment is necessary to select and answer those questions which contribute to a full analysis of the scoring question. Annex 1 contains indicator sheets for the entire indicator set, which the researcher is requested to review thoroughly before embarking on the research.

An example of a completed indicator sheet is provided in Table 3 below. The solid line between the rows named “Additional data sources” and “Score” indicate that the first group of rows is information provided in the NIS assessment framework, whereas the second group of rows is to be completed by the researcher. The legend below explains the purpose of each row in greater detail. After the indicator sheets have been completed by the researcher, s/he would convert the information into a draft report for the respective pillar. Alternatively to completing the indicator sheets, the researcher can also chose to draft the pillar reports directly without compiling the indicator sheets beforehand. An example of a well-written and well-researched pillar report can be found in Annex 6.

Table 3: Example Indicator Sheet

Pillar	**CIVIL SOCIETY**
Indicator number	**12.1.4**
Indicator name	**Independence (practice)**
Scoring question	To what extent can civil society exist and function independently of the state?
Guiding questions	To what extent are CSOs free to operate without undue government interference? Is government oversight reasonably designed and limited to protect legitimate public interests? Are there examples of government manipulating CSOs to advance its interests?
Minimum score (1)	The state regularly and severely interferes in the activities of CSOs.
Maximum score (5)	CSOs operate freely and are subject only to reasonable oversight linked to clear and legitimate public interests.
Additional data sources	CIVICUS CSI 2.6.1; Freedom House, Academic studies, Donor reports; ICNL reports, USAID NGO Sustainability Index
Score	2
Text	Even though Exemplia's constitution provides for the freedom of association, government interference in the activities of civil society is rather common. In particular, advocacy CSOs are frequently subject to unwarranted government interference, such as refusals for demonstrations or visas, frequent inspections of their records and disruptions at their public meetings (REFERENCES). For example, the NGO ActionAlert received frequent visits from the state security services for 'private meetings' over the past 12 months (REFERENCE). The African human rights council has noted that Exemplia's government practices violate the freedom of assembly and are not based on the protection of legitimate public interests (REFERENCE). In addition, a recent study found that through government funding, connections, and political favours, many CSOs are politically influenced and permitted only to perform a very limited and uniform role such as service delivery of the state's welfare provisions (REFERENCE). The lack of transparency for public funding to CSOs has also created fertile ground for the development of 'clientelistic' networks and silences dissent amongst those organisations that want to preserve their public funding. The pervasive nature of these problems has had a chilling effect on the work of many CSOs, which are afraid to speak out against the government (INTERVIEW WITH XXX). Thus, as observers note, in Exemplia, a significant subsection of CSOs (mainly those working or seeking to work on advocacy of governance and human rights issues) are not able to exist and function independently.
Comment	A score of '2' was given since the evidence showed that the government is interfering in a rather large number of CSOs and on a rather frequent level. While the situation is not the same as the scenario for score '1', it is rather close to it, just lacking in severity and being mainly confined to advocacy CSOs. A score of '3', on the other hand, would have not given justice to the pervasiveness of government interference and its negative impact on CSOs, i.e. that many of them cannot function independently of the government.
Sources	• Human Rights Watch Report 2002 • CIVICUS CSI Report, www.civicus.org/csi/exemplia • Interview with Marc Muller, Director NGO Coalition of Exemplia • Interview with Ms. Lisa Beauchamps, member of Legal Resource Centre
Causes	The potential causes for the large extent of government interference in civil society activities are (1) the perceived threat posed by advocacy CSOs for the government, which is decreasing in popularity, (2) the weak entrenchment of the rule of law within the state apparatus and the subjugation of the police forces and judiciary under political control by the government.
Recommendations	In order to improve the level of independence of civil society, structural changes in the state apparatus, and here specifically in the independence of law enforcement agencies and the judiciary are required. Further international pressure on the government (e.g. via UNCAC reviews and AU's Peer Mechanism process) might be helpful, since the government seems to be receptive to international public opinion and the advice of certain key players, such as Nigeria and Senegal.

Legend:

Indicator number	Running indicator number
Indicator name	Specifies content of indicator as well as focus on law or practice
Scoring question	Overall question to be answered by the information presented under the indicator
Guiding questions	More specific questions which helps the researcher to collect the appropriate information which answers the overall scoring question
Minimum score	Qualitatively defined 'scenario' for a minimum score, i.e. a score which reflects the worst situation with regard to this indicator
Maximum score	Qualitatively defined 'scenario' for a maximum score, i.e. a score which reflects a 'best-practice' situation with regard to this indicator
Add. data sources	Suggested data sources in addition to core data collection methods of desk reviews and key informant interviews
Score	Score assigned by researcher [*If score is changed on basis of advisory group input, the original score and the reasons for changing the score should be noted in the comment field*]
Text	The information collected by the researcher on the respective indicator question via desk review, key informant interviews, field tests and other data sources, which is used as a basis for the indicator score.
Comment	Any comments by the researcher on how s/he understood the indicator question and any other judgments made during the scoring
Evidence	References to all primary and secondary information sources used for the indicator
Causes	For those indicators, which are scored as relatively weak (e.g. scores 1, 2, and potentially 3), the researcher should indicate the potential causes for the situation
Recommendations	For those indicators, which are scored as relatively weak and therefore in need of improvement, the researcher should indicate potential recommendations for improvements

Step 4: Drafting NIS Report

In a next step, the entire range of the information assembled during the data collection phase and collated in the indicator sheets or in the draft pillar reports is used to assemble the NIS report, based on the report outline presented below.

Annotated Outline - NIS Country Report

I. Introductory information

Provide full name, title and organisation for all authors and contributors. No further details are necessary.

Provide *acknowledgements* (including of donors where applicable) and the list of advisory group members and interviewees[14].

Provide a *table of contents*, as well as separate *lists* of the titles and page numbers of tables and of figures if they are used in the report.

Provide a *list of all acronyms* and *abbreviations* used in the text. Those used only once do not need to be included.

II. About the NIS Assessment

This brief (750 words) section should describe the specific methodology and approach used by the NIS assessment. TI-S will provide a template which needs to be adapted depending on the specific activities undertaken by the National Chapter as part of the NIS assessment.

III. Executive summary

The *Executive Summary* (max. 2000 words) should provide a succinct and clear narrative summary of the assessment's findings as well as a quantitative summary in the form of the NIS temple. Major themes, conclusions and key recommendations should be included. The executive summary should not quote word for word from the main report, but can draw on its main conclusions.

Drawing on the results of the NIS consultative workshop, it should include a set of priorities and recommendations which should give an overview of the priority areas, issues or activities where further progress is most urgently needed, where real

[14] Individual interviewees can remain anonymous, if otherwise no interview would be granted.

opportunities for reform exist. It should also outline where emphasis should be placed in future and what factors are required to support the development of a functioning National Integrity System and the effectiveness of the pillars. This could include areas or activities that require attention (policy reform, training, etc.) in the short- or medium-term, and the stakeholders who would need to take responsibility. It could extend to areas where donor support, cooperation and coordination may be relevant. Priorities may also include further research/investigation, either into particular types of corruption or of best practice in combating corruption.

The section should end with approximately five succinct, bulleted recommendations, which should be phrased such that they are actionable and that it will be possible to verify any progress made in future.

IV. Country Profile – the Foundations for the National Integrity System

Since the national integrity system is deeply embedded in the country's overall social, political, economic and cultural context, a brief analysis (2000 words) of this context is required so that the national chapter and other anti-corruption organisations can better gauge the opportunities and constraints for institutional reform and other potential interventions to improve the National Integrity System. There are four different "foundations" of the NIS (political-institutional, socio-political, socio-economic, socio-cultural), for which the researcher has assembled qualitative information and quantitative scores (see last section of Annex 1). For each dimension, the researcher should present the score and insert a write-up of about 500 words taken from the respective foundations sheet in Annex 1. The order of the dimensions is as follows:

1. **Political-institutional foundations**
2. **Socio-political foundations**
3. **Socio-economic foundations**
4. **Socio-cultural foundations**

V. Corruption profile

The *Corruption Profile* (2,000 words) should reflect what is known about corruption in the country based on existing research. This profile should include reference to available quantitative and qualitative studies, such as surveys, case studies, etc. It should not be based on speculation but focus on reliable empirical results. If little study of corruption has been undertaken in the country, this should be indicated.

Research findings on the nature of corruption may involve analysis of any of the following:

- causes, including tradition, culture or ethnic development (for example, patronage, clientelism, regional ethnicity), the nature of political structures, the nature of party politics, levels of pay, the propensity for corruption in the dominant business sectors, transit crime and drugs, money laundering, etc.
- levels of analysis (central, regional, etc.)
- costs (both political and financial)
- types (grand or petty, embezzlement or nepotism, customs or business sector, etc.)
- the impact of recent, pertinent change (such as democratisation, decentralisation or privatisation)
- relevant corruption-related data (e.g. CPI, BPI, Global Corruption Barometer, World Bank Governance Indicators, ICRG Governance Data, Global Integrity Index, etc.)

VI. Anti-corruption activities

Anti-corruption Activities (1500 words) is an opportunity to discuss positive efforts that have been made in the country. This section should provide an overview of anti-corruption reforms or activities with a direct impact on the NIS from the past two to five years. While most emphasis should be on national government anti-corruption reform, the section should also address international, private sector or civil society initiatives. EU initiatives relevant to the country context should also be discussed here. To the extent possible, the author should also examine what has driven reform in the anti-corruption field.

The section should establish whether the country has an anti-corruption strategy and a timetable for its implementation. If a strategy exists, explain how it was designed, including whether there a participatory multi-stakeholder process. The progress made in terms of implementing the strategy should also be described.

With respect to business and civil society, discuss considerable or consistent efforts to promote integrity, transparency, accountability or good governance, identifying which organisations have been key actors, and which specific aspects of the NIS their activities have addressed.

When applicable, provide a brief overview of donor anti-corruption and/or lender initiatives over the last five to ten years. Mention which bilateral and multilateral donor agencies are based in the country and what types of anti-corruption initiatives they have supported.

VII. The National Integrity System

This section (approximately 50,000 words) forms the core of the NIS assessment. The objective is to give a well-rounded picture of the institutions and processes of the NIS, how the NIS pillars work and how they interact. Analysis should include the strengths and weaknesses of each pillar.

The narrative report is compiled from the indicator sheets which were used to collect the data. Each pillar report begins with a table providing the indicator scores, followed by a succinct one-paragraph summary overview of the respective pillar's key features and performance. The next subsection briefly describes the internal structure and organisation of the pillar. The following subsection provides a narrative assessment of the results along the three dimensions of capacity, governance and role, and their respective indicators, using the information presented in the NIS pillar reports. The indicator names and scoring question should be used as headings to structure these subsections. Each indicator assessment should comprise approximately half a page of text. The final subsection lists the key recommendations with regard to strengthening the pillar's performance, which emerge from the assessment. An example of how to structure a pillar section is provided in the "sample pillar report", which can be found in Annex 6. This example should be studied closely by the researcher before embarking on the task of drafting the report.[15]

VIII Conclusion

The conclusion should be structured around the NIS temple graph. This brief section (2,000 words) should assess how the NIS works overall, and should look at the interconnections, linkages and interplay among the NIS components. Following the underlying hypothesis of the NIS assessment that one needs to look holistically at the entire integrity system in order to gauge its effectiveness, this subsection seeks to identify relevant relationships across the individual pillars. It should focus on those instances

[15] If you use indicator sheets to write-up the information, you should transfer the information from the indicator sheets into a narrative format as follows:

- Information in row 'Text' contains the qualitative assessment of the respective indicator and forms the bulk of the write-up
- Information under 'Comment' can supplement the qualitative assessment in cases where a specific score was contested
- 'Score' contains the assigned score
- 'Evidence' contains the data sources which need to be referenced in the write-up
- 'Recommendations' will contain the final recommendations on how to improve the performance under the respective indicator and will draw heavily on the national integrity workshop, outlined in Step 6 below.

where weaknesses in certain pillars are related to/caused by features/actions of other pillars, e.g. a dominant executive undermining the independence of the legislature. In addition, the impact of the overall governance context on the performance of the NIS as a whole and/or on specific pillars should be highlighted. Based on this analysis, the author should come up with recommendations on how to move the negative interactions among certain pillars into interactions which support the overall integrity of the system.

It should also summarise the strengths and weaknesses of the NIS pillars, including which pillars have been more successful and why others have been less successful.[16]

The conclusion should also provide an analysis of the reasons for any potential discrepancies between the formal rules/positions governing the NIS and the practices on the ground.

IX. Bibliography

Provide a list of full citations for all references and sources cited in the report. The reference list can be divided according to reference type (i.e. Books, Newspapers and Periodicals, Laws, etc.). Please see Annex 4 Country Report Style and Formatting Notes for more information.

When drafting the report, the author is asked to use a "scientific journalism style", which presents valid analysis and arguments about technical matters in a language, which is accessible to non-experts as well. The following guidelines should be taken into account:

- Use clear & concise language
- Use "scientific journalism" style, i.e. accessible language (professional audience, but not only technical experts)
- Avoid highly technical terms/language
- Substantiate any assertion with references, using footnotes as per the style guide elaborated in Annex 4. All cited references will appear in full in the bibliography.
- When citing interviews, it is best practice to agree in advance with the interviewee the title you will use (e.g. District Court Judge or Senior Official Department of Justice) when making any reference to the interview in the report.
- In cases where an interviewee wishes to remain anonymous, citations should give relevant information about the interviewee, the place and date of the interview. The absence of names should be explained in the bibliography, but is not necessary in the footnote.

Example:

Footnote reference to anonymous interview:

Interview of District Court Judge with Author, Colombo, December 8, 2009.

Bibliography reference to anonymous interview:

District Court Judge 2009. Interview with Author. Colombo, December 8. Name withheld by request.

- Be balanced (highlight strengths as well as weaknesses in the performance)
- Use *topic sentences* to structure paragraphs. A topic sentence is "a sentence whose main idea or claim controls the rest of the paragraph; the body of a paragraph then explains, develops or supports with evidence the topic sentence's main idea or claim". For more info, see http://grammar.ccc.commnet.edu/grammar/paragraphs.htm
- Follow TI's policy of only mentioning individual cases that have entered the public domain, and can be referenced with reputable sources. Authors should be careful to reflect the status of cases at the time of writing: whether there have been allegations only or whether investigation or prosecution by authorities has begun or has resulted in a judgement and whether it is final or subject to appeal. This distinction is important to assess the reliability of the information and the risk of defamation posed by using the case.
- Adhere to guidelines in NIS Style & Formatting Notes in Annex 4 and refer to the Sample Pillar Report in Annex 6.

[16] For ease of presentation, consider using a table with key strengths and key weaknesses as columns and the different pillars as rows.

Step 5: Scoring NIS Indicators and Foundations

The NIS indicators offer a quantitative summary assessment of the presented data. The indicator scores are based on the data and information assembled in the NIS report and are therefore integrally tied to the report. They cannot be conducted as a separate stand-alone activity. The NIS indicator questions and supporting information are contained in Annex 1.

Assigning Scores: Based on the qualitative information contained in the draft NIS report, the researcher rates each indicator on a scale of 1 to 5, 1 being the lowest and 5 the highest rating. Each endpoint of the scale (scores 1 and 5) as well as the mid-point have been qualitatively defined in the rating framework, i.e. concrete examples/scenarios were given, where possible.

It is advised that the researcher proceeds as follows in assigning the scores:

1. Read the **scoring question** to understand what is being assessed under this specific indicator

2. Review the **qualitative information**, which has been collected, and which answers the scoring question

3. Read the descriptions for the **minimum, mid-point and maximum score** in order to clarify the meaning of the scores.

4. **Assign the score** which best reflects the qualitative information. Please note that this process might sometimes lead to the realization that additional information or some clarification of existing data might be required. When this is the case, the researcher should add/change the information and then start again with the score assignment.

5. Note the reasons for why a specific score was given in the row "**comment**" in the indicator sheet.

6. **Proceed** with the next indicator.

The same procedure applies to scoring the NIS foundations (political-institutional foundations, socio-political foundations, socio-economic foundations, socio-cultural foundations), i.e. the researcher rates the conduciveness of each NIS foundation for an effective functioning of the national integrity system in the country on a 1-5 scale. Further information can be found in Annex 1.

Validating Scores[17]: A validation meeting among the advisory group, the researcher and the NIS coordinator is held after the scores have been assigned by the researcher. The aim of the validation meeting is to review and comment on the initial scores. If the Advisory Group does not agree with a specific score, it can request either (a) a justification (i.e. ask the researcher to provide further evidence in the country report so that the qualitative information aligns with the quantitative score), or (b) a change in the score by the researcher. The Advisory Group decides on these requests via majority vote, if necessary. The outcomes of the meeting should be recorded in a supplementary document.

The researcher then reworks the NIS report and scores. TI-S then reviews the scores when the second draft report is submitted to check whether, from an outsider's perspective, the respective score matches the qualitative information presented in the report. Where a disagreement arises between the researcher, TI Chapter, Advisory Group or TI-S, the final decision about the score is made by National Chapter, in consultation with the TI-S and the researcher. A report completion protocol is provided in Annex 7 of this document. This details the various final steps between submission of the full draft for review and launch of the report.

Aggregating Scores*:* The final scores are transformed from to their original five-point scale to a 0 to 100 scale, such that the final score is out of 100. There is no weighting of individual scores. The individual indicator scores are then aggregated (by simple averaging) into scores for each dimension. The scores by dimension can also be further aggregated into a single score for each pillar. Also, separate scores for the indicator set which covers the formal framework versus the one which covers the actual practice are possible.

To give a snap-shot summary presentation of the quantitative NIS assessment findings, the NIS Temple graph is used. The NIS temple has been used as a metaphor for a functioning integrity system in the past, but, due to the lack of quantitative information, could not be used to summarise the main findings of an actual NIS assessment thus far. With the introduction of the NIS indicators, this is now possible. As exemplified in the graph below, the NIS temple gives a concise overview of the specific strengths and weaknesses of a country's integrity system.

[17] The information on scoring validation presented here reflects the process in place in September 2010. The precise process for validation of scores is still under consideration by TI-S and NCs, as it has implications for the comparability of scores across countries. A process of chapter consultation to decide on the best scoring process for the EU project is currently ongoing.

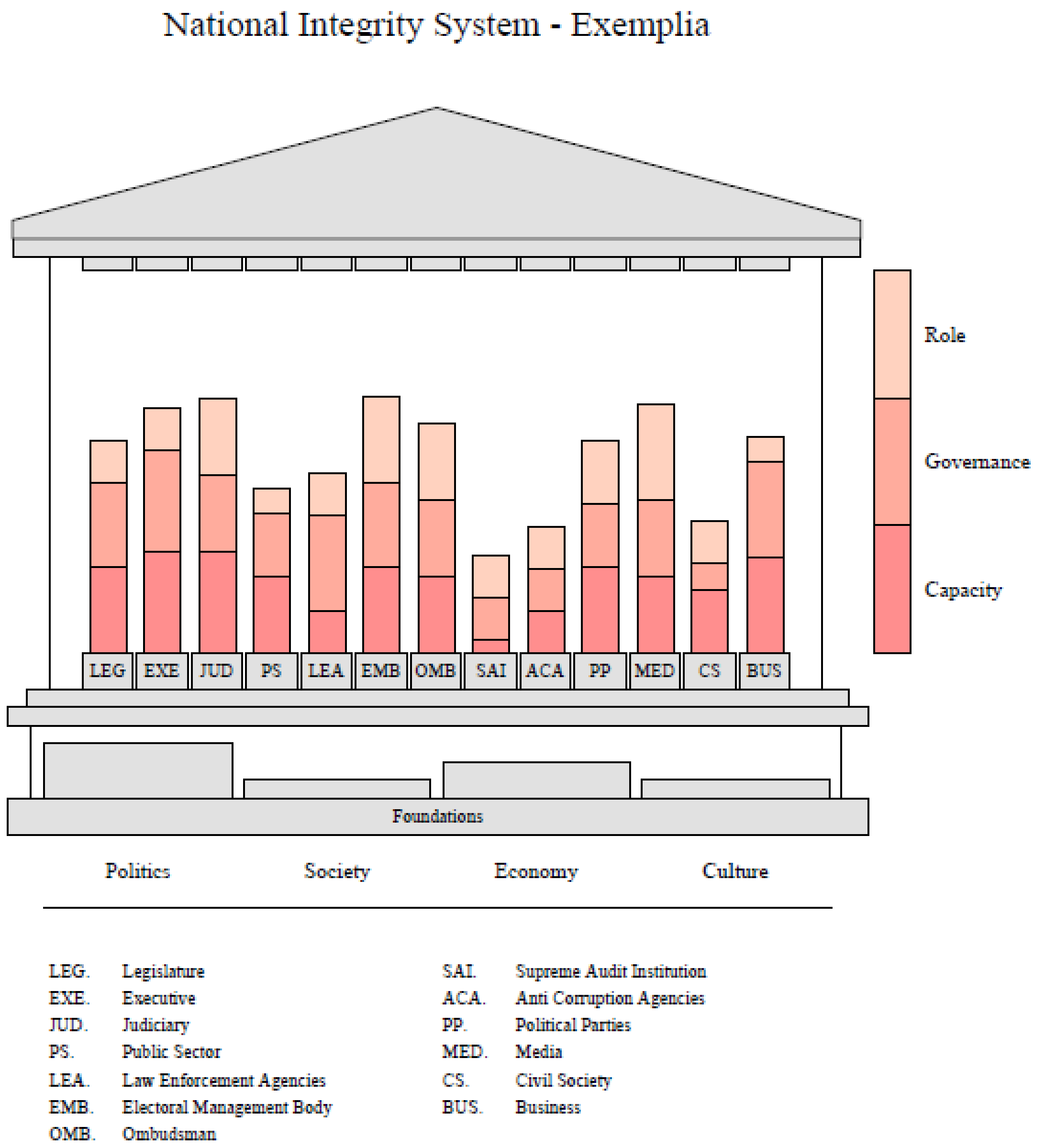


Figure 3: NIS Temple

The example depicts a rather weak integrity system, particularly with regard to the supreme audit institution (with a particularly low capacity), anti-corruption agencies, and civil society, which is particularly weak in its internal governance. The strongest performers are the judiciary and the legislature. The entire National Integrity System is based on strong political-institutional factors (such as a consolidated democracy and an effective state), but weak socio-political and socio-cultural foundations, as indicated by high levels of social conflict, widespread public apathy and mistrust.

Step 6: Convening the National Integrity Workshop

The National Integrity Workshop is an integral part of the entire NIS assessment process and serves to connect the research component with the advocacy component of the project. This section provides some guidance as to the planning, preparation, implementation and follow-up to this workshop. The guidelines presented here are intended to offer a general approach to the planning of the workshop and should of course be adapted to fit with the national context and conditions.

1. Planning & Preparation

It is of utmost importance that the workshop is fully integrated into the project implementation, so as to build sufficient interest and momentum among stakeholders. Some useful pointers are:

- Decide dates and venue early on;
- Establish list of invitees and send around invitation at least 6 weeks beforehand;
- Make sure key stakeholders are able and willing to attend workshop;
- Circulate draft NIS report to invitees beforehand;
- Agree on facilitator(s), and roles for researcher and advisory group members;
- Put together information package (including draft NIS report, brief outline of NIS approach, draft agenda, list of attendees, information on National Chapter) and share with confirmed attendees;
- Hold planning meeting among workshop organisers to agree on division of roles and workshop agenda. Annex 8 contains an example for a workshop agenda, which you are encouraged to draw upon.

2. Conducting the Workshop

The NIS workshop aims to use the draft NIS assessment as a platform for discussions among key stakeholders about future priority actions for anti-corruption policy and advocacy and to build momentum among the anti-corruption community to put these activities into practice. However, the extent to which stakeholders are willing/able to embark upon setting such an agenda for the future is likely to vary from country to country. National chapters must therefore use their own judgement as to how far they would like to go in building "action planning" into the workshop design. It is important to design the structure and processes of the workshop in such a way that it is most conducive to the specific workshop objectives set by the national chapter. A sample agenda can be found in Annex 8.

There are a large number of tools available for such multi-stakeholder assessment workshops, such as visioning/scenario-building, SWOT analysis, stakeholder analysis, brainstorming with cards, force field analysis, search conferences, or appreciative inquiry, which the organisers are encouraged to draw on.[18]

There are also some general considerations that should be borne in mind when designing the workshop:

Since the first section of the workshop deals with presenting and discussing the findings, there is often not enough time for the second objective of identifying recommendations and priority actions. Hence, it is advisable not to over-run the sessions at the beginning, while at the same time allowing for sufficient time so that the group can reach a broad consensus on the overall accuracy of the assessment's findings. This is important so that the entire group is willing to use the assessment as a starting point for the identification of priority actions. However, the workshop should not be allowed to question individual indicator scores, but rather to indicate any disagreement with the overall assessment of a pillar.

When asking a diverse group to come up with recommendations, often a mere 'wish-list' is being produced, without much detail and without considering whether they can be achieved, or which ones should be prioritised. Carrying out a "prioritisation exercise" can help to deal with these challenges: (1) focus on those recommendations which are attainable; (2) once an initial list has been compiled by participants, ask them to rank them according to priority; (3) given the limited time available at the workshop, do not develop a fully-fledged action plan for each recommendation; (4) rather, make use of the workshop to prioritise and build momentum among stakeholders for key follow-up activities. It is therefore recommended to use the template in Table 4 below to list, discuss and prioritise the most pertinent recommendations emerging from the workshop:

Table 4: NIS Priority Actions (Example)

I	Strategic options*	Constraints	Solutions	Feasibility Rating	Key Actors	Rank
Introduction of whistle-blowing legislation re: public sector employees	A. Run public campaign	High costs	Pro-bono work by media	Medium	Media, ad agencies, high-profile 'ambassador'	1
	B. Lobby parliamentary working	No natural allies in parliament	Get support from public sector	High	Parliament, political parties,	

[18] See the following useful websites which contain further information on these tools: http://portals.wi.wur.nl/msp/, http://www.mycoted.com/Category:Creativity_Techniques, http://www.ifad.org/evaluation/guide/annexd/index.htm, http://www.viwta.be/content/en/new_Manual_for_Participation.cfm, www.odi.org.uk/RAPID/.

	group		unions		government, public sector union	
Stronger regulation of party funding	A. Amendment of legal framework	Long process, limited political will	Build evidence base and seek support from foreign donors	Low	Pol. Parties, legislature, foreign donors,	2
	B. Voluntary code for pol. parties	No political will, no enforcement mechanism	Build monitoring and enforcement into Code	Medium	Political party leadership, researchers, media	
	C. Bring current practice to constitutional court for review	Technical skills required, lengthy process, uncertain outcome	Do feasibility study	Medium	High court, lawyers	
	A.					
	B.					
	C.					

*please note that the strategic options are not necessarily mutually exclusive.

<u>Legend:</u>
Goal – Clearly state the specific goal of the action
Strategic options – What are possible strategies for achieving the goal? In some cases, of course, there might only be one feasible strategy available.
Constraints – For each option, identify the key constraints for achieving the goal. In other words what or who will get in the way of achieving the goal which will typically include institutional, financial, technical, environmental or political hurdles which have to be overcome.
Solutions – For each constraint, try to identify potential solutions on how to overcome the constraints.
Feasibility – For each option, rate the feasibility of using this option successfully to achieve the goal.
Actors – For each option, identify the key actors required for achieving the goal
Rank: What is the rank priority of the specific action among the complete list of identified actions?

3. Workshop Follow-Up

The key follow-up activities to the workshop are

- update the NIS report with workshop outcomes;
- share the final NIS report and workshop minutes with attendees;

Step 7: Publishing NIS report and other outputs

Once the discussions and outcomes of the NIS workshop have been added to the draft NIS report, the report is ready to be reviewed, and then edited, designed and printed.

- ***Review***: Throughout the report drafting stage, TI-S will be available to provide input on drafts of specific sections and pillars of the report. It is particularly important that the first pillar drafts are sent to TI-S for review and feedback at the earliest possible stage, to facilitate easier drafting and review of subsequent pillars. For the final review, the report will be reviewed by TI-S, the NC and the external reviewer. At least the section on recommendations should also be reviewed by the advisory group to ensure that it adequately reflects the discussions at the NIS workshop and focuses on the strategically important policy areas.

- ***Design:*** A report design template will be provided by TI-S. This should be used as the lay-out for the final report. It is advisable to write the report in a normal word document first and only to insert the content into the design template when a final draft has been produced. Where an NC has made structural changes to the NIS, e.g. introduced an additional pillar or chapter, the project coordinator should contact TI-S so that the appropriate changes can be made to the template before the content is inserted by the NC.

- ***Launch***: The date, venue and format of the launch event for the NIS report should be decided so that its impact on the anti-corruption community is maximized. For example, it could be decided to have the launch coincide with the CPI launch, international anti-corruption day or another date which ensure significant public interest in the event and its content. In addition, a media advisory should be issued before the launch as well as potentially a press release after the launch. In addition, the national chapter should consider giving the NIS report a punchy title, indicative of the main findings.

- ***Other products***: In addition to publishing the NIS report, it is highly recommended to utilize the vast amount of information provided by the NIS assessment and the interest generated by various stakeholders by developing supplementary publications, such as brief policy papers on the top recommendations from the NIS assessment. Such policy papers are often more successful in making an impact on policy, since they provide short and succinct information and analysis, which is more likely to be noticed by policy-makers than comprehensive reports.

Step 8: NIS Advocacy

To connect the NIS assessment outcomes with successful advocacy and policy reform initiatives, a thorough planning exercise of the envisioned advocacy activities should be undertaken. As part of the EU NIS 2010-2011 project, each NC should develop its own strategic advocacy plan. For further guidance, see the Advocacy Toolkit, which will be provided to project partners. This toolkit seeks to give guidance to TI national chapters in undertaking effective advocacy to promote a strong National Integrity System in their country, both at national and at EU level, during the project implementation phase and especially during Year 2, once the findings from the NIS assessment have emerged.

The NIS assessment and in particular the recommendations emerging out of the NIS workshop are a great opportunity to kick-start crucial anti-corruption activities, where possible under the leadership of the national chapter. The Advocacy Toolkit provides guidance on how to move from the NIS assessment to an NIS assessment-based advocacy plan.

Conclusion

Through the process of doing the NIS assessment, the national chapter has compiled strong and compelling evidence on corruption in your country. By making sure that high quality research and policy analysis are at the root of all advocacy efforts, forceful advocacy can make a decisive change for the better. By communicating well and persistently on the issues in the NIS assessment, and by being agile in the short-term and constant in the long-term, the national chapter can make a huge difference in bettering the quality of governance.

Inside the wider TI movement, this advocacy work can promote a campaigning, change-oriented culture that brings people together in a powerful coalition to end the devastating impact of corruption. As advocacy produces results, it would be highly useful to the wider TI movement if these plans and experiences are shared through the Online Forum and with TI-S.

List of Annexes