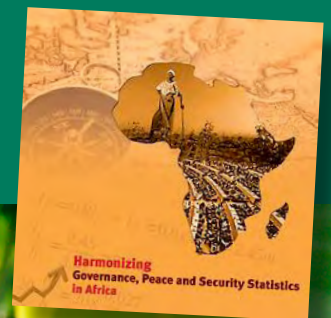




*Empowered lives.  
Resilient nations.*

## STRATEGY FOR THE HARMONIZATION OF STATISTICS IN AFRICA (SHaSA)

# GOVERNANCE, PEACE AND SECURITY (GPS) DATA



Stock-taking Report 2012-15







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Stock-taking Report 2012-15

December, 2015

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# Introduction

In March 2016, the United Nations, advised by the UN Statistical Commission and its Inter Agency and Expert Group (IAEG), approved indicators for the 169 targets of the 17 Sustainable Development Goals (SDGs). Included is a goal on justice, peace, and accountable institutions: Goal 16, which has 12 targets and 23 indicators.

In January of 2015, the 24<sup>th</sup> Assembly of Heads of State and Government of the African Union (AU) adopted *Agenda 2063: A Shared Strategic Framework for Inclusive Growth and Sustainable Development* in Addis Ababa, Ethiopia. Agenda 2063 envisions an integrated, prosperous, and peaceful Africa, driven by its own citizens and representing a dynamic force in the global arena.

By these decisions the world and its statistical system will officially recognise the relationship between good governance, peace and security (GPS) on the one hand and sustainable development on the other. This subtle but important relationship, central to the thrust of the SDGs, was known and celebrated in the *United Nations Millennium Declaration* in 2000, but a corresponding goal was not included in the Millennium Development Goals for lack of consensus at that time about how it could be reliably measured.

In the intervening 15 years, and indeed for some years preceding them, the reliable measurement of GPS steadily advanced. Throughout this period, and particularly in the last three years, Africa has played a leading role in the research and implementation of GPS measurement, through the particularly advantageous conjunction with the *Strategy for the Harmonization of Statistics in Africa* (SHaSA) that is GPS-SHaSA. Within the SHaSA programme, GPS is:

- measured by an increasing number of national statistical offices;
- using collaboratively developed and harmonized survey and administrative instruments;
- framed by relevant Africa-wide governance,

security, and statistical Charters;

- locally contextualised after consultation with stakeholders;
- under the auspices of Special Technical Group 1 on GPS of the Africa national statisticians' own continent-wide programme;
- sponsored by the regional governmental organisation, the AU Commission, through its Statistics Division in the Department of Economic Affairs;
- supported by the applicable UN agency, the Africa Regional Bureau of the United Nations Development Programme;
- backed by sustained research involvement from DIAL-Paris and Wits University-Johannesburg.

This African contribution of GPS-SHaSA fed directly into the consultative political and United Nations Development Programme (UNDP)-led technical processes, concurrent with an AU-led political role in which SDG 16 was prefigured in the report of the UN Secretary-General's High Level Panel,<sup>1</sup> in Aspirations 3 and 4 of the AU Agenda 2063, and in formulation of the Goal and its targets by the UN's Open Working Group (OWG).<sup>2</sup> Subsequently, as UN deliberations have proceeded, the example of GPS-SHaSA has encouraged the practical feasibility of GPS measurement and monitoring in the increasing number of implementing national statistical offices; in pioneering country reports in French, English, Portuguese, and Arabic; and in UNDP-sponsored country comparative reports.<sup>3</sup>

These GPS-SHaSA achievements have in turn informed the GPS measurement-requirements of new Africa-initiated development processes that have been taking shape while also aligning to the SDGs; notably the Common African Position and the renewed monitoring apparatus of the African Peer Review Mechanism.

This report, commissioned by the UNDP in collaboration with the AU Commission's Statistics

Division, takes stock of the GPS-SHaSA process. It recalls its antecedents, inception, and development in Section 1; then focuses in Section 2 on assessing the rapidly expanding uptake of its harmonized instruments, based on both survey and administrative data, by ten countries at various stages of consultation, implementation, and reporting. This report then considers the institutionalisation of

the process within, between, and among countries in Section 3, as well as the project's considerable recent international influence; and in Section 4 it offers recommendations for the next phase of the GPS-SHaSA programme, drawing on some of the strengths and challenges of these methodological and institutional developments.





# 1. The development of the GPS-SHaSA initiative

## 1.1. ANTECEDENTS SHAPING THE APPROACH AND MANDATE OF GPS-SHASA

A specialized technical group (STG) on governance, peace and security (GPS) statistics is the first of 14 thematic STGs established as part of the *Strategy for the Harmonization of Statistics in Africa* (SHaSA), developed and implemented by the African Union Commission (AUC) in collaboration with the African Development Bank (AfDB) and the UN Economic Commission for Africa (UNECA).

The most important attributes of the current GPS-SHaSA – the scientific provenance of the harmonised survey methodology applied by national statistical offices (NSOs), its within-country bottom-up legitimization through interaction with stakeholders, and its across-country official support from the community of African national statisticians – derive from the three main threads out of which it came to be woven and that together ensure its strength and sustainability.

### 1.1.1 THE ADD-ON GOVERNANCE MODULE: AFRICA, ANDES, AND BEYOND

The first, methodological, thread<sup>4</sup> has been the pioneering work of survey-based measurement of democratic governance initiated as early as 1995 in Madagascar by Ms Mireille Razafindrakoto and Mr Francois Roubaud of DIAL,<sup>5</sup> a French research institution. They developed and used a compact module of governance questions that could be added-on to any household survey, the latter often donor-funded for a particular purpose such as health or agriculture. The governance module was complemented after 2010 in GPS-SHaSA by a second module specifically focussed on peace and security.

They found that governance profoundly affects development at the local level and that surveys are a valuable instrument for the voice of the marginalized to reach policy-makers, especially in developing countries where intermediate institutions may be weak. Moreover, the modular add-on design was an important cost-saving measure for cash-strapped African national statistical offices, and would help from the outset to ensure that the surveys could be repeated periodically. The modular add-on design is an important feature of current GPS-SHaSA projects and will be essential for ongoing support of monitoring and methodological advancement planned for the various African and international initiatives.

On the basis of this successful initiative, the DIAL researchers then adapted and applied the approach in two major regional initiatives: during the first half of 2000 in seven Francophone West African countries simultaneously and then in seven countries of the Andean community in South America. It was also applied in Vietnam in 2008. Several countries institutionalised the survey in their national statistical system, such as Benin, Mali, and especially Peru, where it has been conducted annually since 2004. Subsequent scientific analyses<sup>6</sup> of the initiatives identified the indicators' reliability, built on the established standards of the NSOs and large samples they could mobilize; the indicators' utility to policy-makers, researchers, and civil society to informing debate and policy formation; and the indicators' legitimacy derived from country ownership and the expression of citizens' voice. All these features would prove relevant and essential to the renewed uptake of this approach after 2012 in GPS-SHaSA.

Two other prior ventures in measuring GPS in Africa would assist the content adopted by GPS-SHaSA after 2012. Afrobarometer, established in 1999, is a

non-partisan research network that conducts public attitude surveys on democracy, governance, economic conditions, and related issues in more than 35 countries in Africa.<sup>7</sup> Its fifth round, conducted via civil-society or academic partner entities, was published in 2014. Afrobarometer's questionnaire design is rigorously controlled out of the University of Michigan and its harmonized datasets are freely available online. Afrobarometer kindly furnished a staff member to participate in GPS-SHaSA design consultations and its repertoire of questions assisted the final GPS-SHaSA choice alongside those of DIAL. Afrobarometer's quality control and data publication set standards for SHaSA to emulate. The other venture, the famed Ibrahim Index of African Governance (IIAG), published annually since 2000, participated only intermittently in the consultations. As an aggregator of data from numerous third-party sources and drawing on a variety of inputs with a high-quality methodology, IIAG is marginally relevant to the population-sample survey approach adopted for SHaSA-oriented NSO efforts.<sup>8</sup>

### 1.1.2 RELEVANT GPS-MEASUREMENT INITIATIVES SINCE THE MDGS

The second, contextual, thread<sup>9</sup> of SHaSA derives from particular efforts to remedy the lack of a governance goal in the 2000 MDGs, in the years preceding the consultations leading up to the SDGs. The Millennium Declaration committed signatories to "promote democracy and strengthen the rule of law, as well as respect for all internationally recognized human rights and fundamental freedoms, including the right to development."<sup>10</sup> However, national-statistician delegates to the MDG consultations from developing countries rejected the proposal that these should be measured solely by surveying particular experts, and proposed that the matter be developed within the official statistical system community and recommendations reported at a later stage.<sup>11</sup>

Among many specific international responses to this shortfall that arose, three in particular helped create the climate in which African statisticians could embrace the approach of GPS-SHaSA and rapidly move into the international lead.<sup>12</sup> The first was that some members of the International Association for Official Statistics (IAOS), led by Statistics Switzerland,

organised the 2000 Montreux Conference on Statistics, Development and Human Rights, at which academics, civil society organisations, and some NSOs interacted for the first time, and tabled their current efforts at GPS measurement.<sup>13</sup> A second response was the founding of the UNDP's Oslo Governance Centre in 2002 that implemented a global programme of 35 country-level sample surveys in developing countries, many of them in African countries. These were designed and administered with local participation, aimed at diagnosing specific democratic-governance deficits and informing civil-society attempts to address them.<sup>14</sup> A concurrent, third response was the five-year Measuring Democracy, Human Rights and Good Governance (Metagora) project, hosted by the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD). Metagora set several precedents through its nine country-level projects by connecting national statistical offices to statutory human rights organisation or rights-based civil society organisations in GPS measurement.<sup>15</sup> Researchers from DIAL contributed to developments in all three responses.

By 2011, these initiatives had elaborated the pioneering DIAL experiences on an even broader stage, establishing the important conjuncture that would be taken, in the African context, into GPS-SHaSA:

Measuring governance and its human rights and democracy dimensions is technically feasible and politically relevant...governance assessments ought to be based on domestic ownership and inclusive national participatory processes [and] be driven by authoritative national actors; national statistical offices can be efficiently involved in measuring governance issues; and statistical analysis and quantitative indicators can add significant value to the work of civil society actors, national human rights institutions, and academics.<sup>16</sup>

Ironically, hard-won insights such as these, based on governance-survey innovations in innumerable developing-country contexts, only achieved their deserved international force following publication of the Sarkozy Report from the Commission on the

Measurement of Economic Performance and Social Progress, led by Joseph Stiglitz, Amartya Sen, and Jean-Paul Fitoussi. The report's recommendation was forceful: Political voice and governance should be measured among other dimensions of well-being; and in particular it suggested that "the types of question that have proved their value within small-scale, unofficial surveys should be included in larger scale surveys undertaken by official statistical offices."<sup>17</sup>

### 1.1.3 CONCURRENT GOVERNANCE POLICY AND MEASUREMENT IN AFRICA

Africa, however, had not been waiting for this mandate. A series of policy charters relevant to governance, including one on official statistics, had followed steadily after the inception of the African Union. Within this broad framework, in 2010 the community of African national statisticians established the continent-wide programme SHaSA with the first of its specialized technical groups, STG1, focussed on GPS. This is the third, African institutional, thread from which GPS-SHaSA was woven.

The AU was launched in 2002 as successor to the Organization of African Unity. The AU's Constitutive Act in sections 3 and 5 had recognised the importance of the domain of governance, peace, and security for the development of African states. It soon adopted its *Protocol Relating to the Establishment of the Peace and Security Council of the African Union*. At much the same time, the UNDP's 2002 Global Human Development Report on *Deepening Democracy in a Fragmented World* contended that "countries can promote human development for all only when they have governance systems that are fully accountable to all people – and when all people can participate in the debates and decisions that shape their lives."<sup>18</sup>

This view was soon paralleled in the New Partnership for Africa's Development (NEPAD) in 2003, urging "the eradication of poverty and the fostering of socio-economic development, in particular through democracy and good governance."<sup>19</sup> To monitor and encourage progress, NEPAD further proposed the African Peer Review Mechanism (APRM), which fostered conformity to these values through a series of voluntary governance peer reviews.<sup>20</sup> In addition to a qualitative self-assessment schedule, each review

included a quantitative country survey conducted independently by UNECA. At the same time in the same year, the African Union Convention on Preventing and Combating Corruption was adopted, when several NSOs already began to explore surveys dealing with corruption.

The underlying concepts of democratic governance were soon elaborated in the 2007 *African Charter on Democracy, Elections and Governance*. This Charter and the Peace and Security Council Protocol directly provided the framework for the design of the two GPS-SHaSA survey instruments.

Similar challenges for official statistics – and in particular for the development of harmonized approaches tailored to African requirement – were manifesting simultaneously across the AU's mandate to achieve economic, political, and cultural advancement and integration across Africa. Accordingly, in February 2009, the Assembly of Heads of State and Government of the African Union adopted the *African Charter on Statistics*. Notably, this Charter not only set out the principles regulating official statistics in Africa, principles of independence, quality, mandate, dissemination, protection, and co-operation. It additionally recognised that "statistical information is vital for decision-making by all components of the society", and that "public confidence in official statistical information is premised, to a large extent, on respect for basic democratic values."<sup>21</sup>

Soon afterwards, the *SHaSA Strategy Document* was issued, elaborating the programme's four strategic themes: to produce quality statistics for Africa, to coordinate the production of quality statistics for Africa, to build sustainable institutional capacity in the African Statistical System, and to promote a culture of quality decision-making. The document also established the twelve STGs to take its strategic themes forward. Each STG would have a supporting secretariat and in due course meet and choose a lead country as Chair. The AU charged its Secretariat, the AUC, to operate GPS-SHaSA through its Statistical Division.







## 1.2 THE START-UP OF STG1, AND THE ACTIVITIES OF GPS-SHASA, 2012-2015

It was against these historical developments stretching forward from the 2000 MDGS, and with the impressive and demanding mandate for official statistics on GPS emerging from seminal African policy documents issued by the Heads of State, that three workshops were held in rapid succession in 2013 to get the GPS-SHaSA programme under way

### 1.2.1 THE THREE FOUNDATIONAL WORKSHOPS: DESIGN AND APPROVAL

The first meeting of GPS-SHaSA was held in Nairobi in May 2012 and convened by the AUC Statistics Division, with the National Bureau of Statistics of Kenya. The meeting heard inputs from several Francophone and Anglophone NSOs on governance work already undertaken, notably in the field of anti-corruption; from AU functions monitoring peace and security information; and from the Africa Governance Institute, African Development Bank (AfDB), Afrobarometer, DIAL, and the UNDP's Oslo Governance Centre. UNDP's Regional Bureau for Africa provided essential quick-turnaround funding for this and the two subsequent meetings.

An initial road map was defined for immediate activities, notably attention by a technical group to goals, questionnaire items, and administrative sources. Also the governance structure of STG1 was constituted, and country membership resolved, mindful of region, language, and demonstrated experience or interest in the GPS domain (Table 1.1).

The Group's second meeting was held in Dakar in September 2012, co-hosted by the AUC and the

African Governance Institute, and led by Department of Economics Affairs of the AUC. Further stakeholders included Oxfam, the **African Institute for Economic Development and Planning**, and the Mo Ibrahim Index (IIAG), who gave inputs. The Group was joined by UNDP, who quickly assumed a technical role in driving the Group's activities and building its profile, networking with NSOs, and engaging the academic consultants. This was a critical factor in the rapid and far-reaching success of the group in the ensuing two years.

As a framework for its prospective indicator discussions, the Group took heed of the eleven principles in Section 3 of the Charter on Democracy noted earlier (Table 1.2).

Other precepts were established for the Group's subsequent trajectory: the importance, alongside governance, of peace and security indicators; the user-orientation of the indicators; an ownership role for NSOs, and its importance for data sovereignty; the empowerment of 'voice' that would follow from a survey-based approach alongside administrative data; and the prospective benefits for the APRM process.

One subgroup at the meeting made progress on survey questions from various sources organized along the Charter principles tabulated above; the other had an inaugural discussion on sources for, and potential users of, data sources on peace and security. The groups agreed on several guiding methodological issues regarding the surveys:

- add-on questionnaires on the DIAL pattern would be used for affordability;
- normative as well as empirical questions were desirable;

**Table 1.1 Country membership of STG1 steering committee**

West Africa	Central Africa	East Africa	North Africa	Southern Africa
Benin	Cameroon	Ethiopia	Algeria	Malawi
Cote d'Ivoire	Congo Brazzaville	Madagascar	Egypt	Mozambique
Ghana	Gabon	Uganda	-	South Africa
Senegal**	-	Kenya*	-	-

Note: \*Chair, \*\* Deputy Chair.

**Table 1.2 Main principles of the African Charter on Democracy and Elections**

1. Human rights and personal freedoms	7. Citizen participation
2. Rule of law	8. Transparency
3. Representative government	9. Control of corruption
4. Regular, transparent, free and fair elections	10. Constitutional order
5. Separation of powers	11. Political pluralism
6. Gender equality	

- administrative sources would triangulate survey-based questions;
- indicators would be established applicable to all countries, for comparability, which could be supplemented by country-specific indicators reflecting local context;
- pilots should span diverse contexts, to test the viability of harmonized instruments in contexts where the governance information needs vary significantly.

The third meeting, at Yamoussoukro in November 2012, was deliberately arranged back-to-back with the AU's Committee of Director Generals (CoDGs) of NSOs meeting and the Africa Symposium on Statistical Development. It was arranged and funded by the UNDP's Dakar Regional Governance Officer, with assistance from the AUC. Representatives from the designated Francophone and Anglophone NSOs, research centres, and consultants received draft questionnaires prepared by the respective academic advisers, mindful of the policy framework and prioritizations from the earlier meetings. Changes were identified for incorporation, so that the instruments could be supplied to volunteer NSOs for piloting in 2013 onwards.

Early-draft menus of possible administrative sources and items were also discussed to advance as a parallel but closely linked STG1 project led by UNDP. In addition, an NSO procedure manual was contemplated. This posed interesting challenges: the distinctive extra requirements of the proposed GPS surveys and the novel inter-departmental arrangements that would be required in each country for administrative sources. The production was deferred until the survey and administrative pilots

gave practical indications of what would be involved.

Immediately following this workshop, a detailed report was assembled for presentation to the CoDGs, reproduced as Document A1 in Appendix B of this report. The workshop report indicates the strategic alignment of the roadmap to the SHaSA strategic themes, explains STG1's activities for the year, displays the draft survey instruments, proposes the roadmap and an associated budget for the piloting phase, and solicits volunteer NSOs for piloting. An additional key message from the discussions was conveyed to the CoDGs, concerning the advantages of NSOs in the measuring of GPS. This drew on experience among several NSOs in collecting GPS data under the DIAL survey rubric, pursuant to the 2003 AU Convention on Corruption. It was noted that NSOs:

- have official legitimacy, as public institutions,
- have accumulated expertise in the statistical field,
- are subscribed to established standards and procedures,
- afford large samples that permit disaggregation,
- can ensure sustainability of data collection and dissemination,
- can secure cost-effectiveness by using add-on modules, and
- in some instances are already experienced in GPS statistics.

On this basis, the CoDGs formally and enthusiastically adopted the methodology and action plan of the document, and encouraged the conveners to commence activities, seek further funding, and report back after twelve months. An immediate aftermath of the CoDG meeting was that between January and June 2014 twenty countries formally signed



to undertake the surveys and/or administrative schedules.<sup>22</sup> Clearly, given the lead-up circumstances described earlier, this particular STG of the new SHaSA had struck a chord.

### 1.2.2 IMPLEMENTATION: PILOT COUNTRIES AND SELF-STARTERS

Rapid progress continued thereafter. The survey instruments for governance were finalized in English and French (Documents C1 and C2), and for peace and security (Documents C3 and C4), as were the corresponding administrative data schedules (Document C5). By the latter half of 2013, three countries had commenced piloting, and two other had undertaken to commence piloting when a suitable parent survey became available for the add-on modules. This involved the NSO, early on, either in constructing the institutional arrangements in-country to achieve data collection according to the two GPS administrative-information schedules; or, for the surveys, in convening a prior inter-departmental validation meeting, typically with assistance from the country UNDP office, to tweak the questionnaires appropriately for the context. One pilot was provided for in each statistical region of Africa in order to subject the instruments to maximum variation. By the end of 2013, as reported to the CoDG in Johannesburg (Document A2), therefore, the situation among the designated pilots for surveys was:

- Cape Verde: National validation workshop in August; data collection ongoing;
- Cameroon: National validation workshop in September, pre-test ongoing;
- Malawi: National validation workshop in December; data collection pending;
- Côte d'Ivoire: Launch in 2014.

Cape Verde had translated the survey modules into Portuguese, and programmed them for data collection with hand-held digital devices. For the piloting of the administrative-data schedules the situation was:

- Kenya: National validation workshop in November; pre-test ongoing.

All five of these countries required start-up funding grants of up to US\$ 50,000 from the UNDP Regional

Bureau. Remarkably, however, given the availability of the add-on survey modules after Yamoussoukro, in French and English, a further four self-starter countries began piloting the surveys of their own accord, and using their own resources:

- Burundi
- Mali
- Tunisia
- Uganda

The instruments were consolidated with metadata descriptions (Documents C6 and C7), a breakdown for triangulation cross-referring the survey questions with administrative-data items (Document C5), and a draft procedure and training manual (Document C9) was produced for survey implementation focussing on the distinctive requirements posed by the GPS modules over and above the more conventional household surveys to which they would be added.

In June 2014 a workshop was held in Praia, hosted by the NSO, with representatives from Burundi, Mali, and Uganda NSOs; AUC; the UNDP facilitator; and the academic advisers to establish the tabulation plan (Document C8) towards harmonised reporting of the survey-based results.

The first public announcement of GPS-SHaSA results was by Cape Verde in the same month. It vividly displayed the potential dissemination and policy impact of such results, when these have been collected by the NSO with official approval. The launch was opened by the country's President of the National Assembly in the National Assembly itself, which emphasised the advantage of surveys in bringing people's voice into GPS measurement and consequent debate. A month later the President of Cape Verde made several references to the GPS statistics in his speech at the independence celebrations, confirming the policy relevance of the SHaSA approach and the trust they commanded among the political leadership.

### 1.2.3 OFFICIAL REPORTING OF GPS-SHASA RESULTS

Following the full survey tabulation plan, the Uganda NSO was the first to publish an official report, in December 2014, in English (Document D5). UN

Women, which had supported the production costs via the Uganda UNDP office, also commissioned and published a series of three policy briefs on the gender implications of the results. These highlighted particular issues faced by Ugandan women with respect to corruption, crime, and political participation (Document G3). This demonstrated an alternative avenue for international dissemination of the GPS-SHaSA products.

Kenya, building on prior experience in anti-corruption monitoring, undertook to pilot the administrative schedules. Following an inception workshop in late 2013, a technical working committee of the contributing departments and entities was constituted, followed by a training workshop early in 2014. The report was officially issued in April 2015, covering 15 out of 20 governance indicators and 10 out of 13 on peace and security (Document D3).

DIAL had assisted Burundi and Mali with capacity building for analysis of their GPS-SHaSA survey results at a joint workshop in Paris, and followed up with technical assistance in the production of their reports in analytical form. The two NSO issued their report in May and September 2015, respectively, in French (Documents D2 and D4). And Tunisia, having been exposed to the modules in the course of a UNDP venture in country-specific Goal 16 indicator development, joined GPS-SHaSA, rapidly implemented, and in November 2015 published its official report in Arabic (Document D6).

**Figure 1.1 GPS-SHaSA official country reports**



It is noteworthy that several of the countries moving rapidly from inception to implementation, and carrying through to official public reporting, have been self-starters that proceeded without requiring the seed-finance furnished to others by UNDP. This speaks to the importance of the resolve of the respective NSOs, supported by the will of their political principals.

Burundi, Mali, and Uganda kindly made their anonymized datasets available to the academic advisers, who met in Paris in mid-2015 and prepared a path-breaking three-country policy brief comparing key findings from the country NSOs' GPS-SHaSA results. It was circulated at the first meeting of the Inter-agency Expert Group on SDG indicators (IAEG-SDGs) in June 2015, to showcase the African lead being set in survey-based GPS measurement conducted by NSOs, and to encourage the inclusion of such indicators for the 12 targets of Goal 16.

The AUC Statistics Division and UNDP convened and co-hosted a learning workshop (Document E1) in Addis Ababa in November, for NSO representatives from the nine countries that had been practically involved by then. A similar, shorter event had been held in 2014, back-to-back with the Cape Verde launch. Two to three representatives from eight countries made presentations to compare experiences, to extract lessons for the benefit of the 11 countries to come next and their own repeat iterations, to identify capacity-building needs, and to make information available on a systematic basis. The workshop also met the new heads of the new, enlarged AU statistical function and the re-launched Oslo Governance Centre, respectively Mr Imani Younoussa and Ms Sarah Lister.

The impressive status of GPS-SHaSA activity, accomplished within four years of its inception meeting, was summarised at the workshop (Document E2), from which Table 1.3 is extracted.

In late November 2015, progress was presented to the meeting of CoDGs in Libreville by the NSO Director General of Côte d'Ivoire on behalf of STG1 (Document A3), as part of its now customary annual report to the CoDG's oversight session on SHaSA overall.

**Table 1.3 Status of GPS-SHaSA activity at December 2015**

Pilot countries	Self-start countries	Committed to implement
Cape Verde * ●	Burundi ♦ ✕	Benin
Côte d'Ivoire *	Mali ♦ ● ✕	Chad
Cameroon *	Senegal *	Congo-Brazzaville
Kenya ▲	Uganda ♦	Dem. Rep. of Congo
Malawi * ✕	Tunisia ♦	Gabon
* Survey module conducted		Guinea-Conakry
♦ Official survey report issued		Madagascar
✕ Admin-schedules completed		Niger
▲ Official admin. report issued		Seychelles
● Two or three survey iterations		Togo

In November 2015, taking advantage of anonymized data generously made available to the advisers by Malawi and Côte d'Ivoire in advance of their official reports, collation with the three-country comparative brief regarding Burundi, Mali, and Uganda allowed an extended five-country comparative policy brief, prepared (Document D1), for the UNDP Africa Bureau and the AUC to issue jointly.





## 2. The statistical and administrative instruments: methodological assessment

Within two years, between late 2013 and the end of 2015, GPS-SHaSA surveys were launched in nine countries, four as pilot-country initiatives, and five on their own account, as self-starters (Table 1.3). To these nine countries, two additional ones may be added: Benin, which has independently continued its longstanding undertakings in the GPS area, and Madagascar, in which the methodology was initiated in 1995 and was scheduled to administer the latest survey instruments again at end of 2015. In addition, some countries have already conducted several waves of surveys: two in Mali, in 2014 and 2015, and three in Cape Verde in 2013, 2014, and 2015.<sup>23</sup> Subsequently, both Mali and Cape Verde decided to institutionalize the module on an annual basis.

Given the novelty of both the methodological approach and the institutional framework of the GPS-SHaSA initiative, the numerous implementations of the surveys are a very concrete indicator of its success. In an exceptionally short time, the SHaSA Special Task Group STG1 on GPS has become perhaps the most dynamic working group of SHaSA. As noted, tens of thousands of African citizens have been surveyed using the harmonized survey instruments, and the data processed. Cape Verde was the first to publicly present selected survey results, followed closely by four other countries: Burundi, Cote d'Ivoire, Mali, and Uganda. These last four countries have issued detailed analysis reports. Subsequently, Malawi completed its survey and data production.

**Table 2.1** Template of documents submitted to GPS-SHaSA workshop, November 2015

Country	Methodological Report	5-country brief	Analytic Report	Comments
1. Cote d'Ivoire	X	X	X	All documents produced
2. Cameroon	X			Data cleaning in progress.  Analysis will follow
3. Cape Verde				No information to date <sup>21</sup>
4. Malawi	X	X		Analytical report not yet produced
5. Kenya	X	X	x	Test of the questionnaire in 2013 (74 individuals)
6. Burundi	X		x	Ongoing official request to get the dataset
7. Mali	X	X	x	All documents produced
8. Tunisia	X		x	Analytical report in Arabic



This report follows a Learning Workshop in Addis Ababa in November 2015, at which eight of the nine countries submitted prior documentation and shared experiences of their progress, as shown in Table 2.1.

The methodological assessment in sections 2.1 to 2.3 is based mainly on the five countries for which the survey databases were made accessible to the authors

for analysis: Burundi, Cote d'Ivoire, Malawi, Mali, and Uganda. For the remaining countries, available information was used including internal reports and conference presentations. The template that was used to request information for the Addis Ababa workshop and the across-country assessment is shown in Box 1, on the implementing of the survey and/or the administrative data modules.

### **Box 1. Template for country reports on GPS (Governance, Peace and Security) modules towards SHaSA Stakeholders consultative meeting, Addis Ababa, 12-13 November 2015**

#### **1. GPS Surveys**

- Institutional arrangements for implementation of GPS survey (Was there a “validation meeting”? In addition to the NSO, was any other Department involved? Was there any financial assistance for the add-on GPS survey module – if so, who, and amount? Any other relevant institutional arrangements?
- Project documents (methodology, other relevant information) on the survey design
- Characteristics of the survey on which the modules were grafted; The sampling design
- Questionnaires
- Datasets (with the weights, if computed); or official protocol to get them (if mandatory)
- Analytical reports
- Methodology report (survey period, training, non-response rate, adjustments to the planned framework, assessment: to strong points and weaknesses (what works and what did not)
- Challenges, prospects (ongoing or planned actions & schedules, etc.)

#### **2. Administrative data**

1. Has your NSO implemented the ShaSA instrument for gathering administrative data?  
If “yes”, please complete qns 2.1 to 2.3. If “no”, please complete qns 3.1 to 3.3.

*If “yes”*

- 2.1 Please send us a copy of the Report! (pdf if possible)
- 2.2 Please briefly outline the institutional process that your NSO followed, as below, e.g.:
  - a) Obtaining Ministerial approval
  - b) Stakeholder meeting (Please list Departments or Agencies involved in supplying data)
  - c) Validation meeting to adapt the instrument (please mention which items were altered)
  - d) Collaborative arrangements with other Ministries or Agencies, e.g. Memorandum of Understanding or policy.
  - e) Timetable that was followed
  - f) Training, if any
  - g) Process to follow up Departments or Agencies for missing or late information
  - h) Additional financial support to the NSO, if any (if so, please mention funder, and amount)
  - i) Preparation of the Report
  - j) Publication
  - k) Any other relevant information
- 2.3 Please describe and challenges, and future prospects and arrangements

*If “no”*

- 3.1 Has your NSO made any plans for the institutional processes to implement the administrative-data instrument?
- 3.2 If so, please briefly outline what is planned, and when. If you wish, use items 2.3(a) to (k) above as a checklist.
- 3.3 Please outline what you envisage are the challenges for implementing this instrument, and what your NSO envisages, or would need, to overcome them.



In section 2.4 the application of the administrative schedules is considered. Four countries have administered them: Burundi, Côte d'Ivoire, Malawi, and Kenya. Since the Kenya National Bureau of Statistics (KNBS) was the first to issue an official report, this is used as a case study in section 2.4.

## 2.1 GENERAL CHARACTERISTICS OF THE GPS-SHASA ADD-ON SURVEY MODULES

While the sample design and sample sizes vary by country, common sampling principles were applied overall in all countries (Table 2.2). The surveys fully followed the recommendations enacted by the project.<sup>24</sup> First, the GPS-SHASA module has been grafted on two kinds of support surveys. For the majority, the support survey is a living conditions survey and/or a 1-2-3 survey (LCS/123). In two cases, Uganda and Tunisia, the modules were linked to more general surveys on governance. In both cases,

the larger governance survey, of which the GPS-SHASA module is a component, was conducted by the NSOs in partnership with UNDP. Lastly, Kenya had not conduct the survey at that time. The KNBS pre-tested the questionnaire on approximately seventy adults, by grafting it on a specific survey on tobacco consumption. The sampling design of support surveys is relatively homogeneous and standard with the LCS/123 surveys: a multistage, usually two-stage, stratified sampling frame. The primary sampling units (PSUs), enumeration districts derived from the last population census, are drawn with probability proportional to size in terms of individuals or households. At the second stage, within each PSU, after all households have been enumerated exhaustively, some are selected randomly, drawing from a systematic list. Stratification is implemented at the first stage, based on geographical areas: regions, provinces, or agro-ecological zones. The sample size varies from 4,000 to 21,000 households. These are nationally representative surveys, and may be

**Table 2.2 Main characteristics of the GPS-SHASA survey modules**

	Pilot Countries					Other Countries (Self-starters)				
	Came- roon	Cap Verde	Kenya	Malawi	Tunisia	Benin	Burundi	Côte d'Ivoire	Mali	Uganda
<b>Support Survey</b>										
Name of the Survey	ECAM 4	IMC	GATS	WMS	GPD	EMICoV	ECVMB	ENV	EMOP	UNGBS
Type of Survey	HLS/123	HLS/123	Specific	HLS/123	GoV	HLS/123	HLS /123	HLS/123	HLS/123	GoV
Number of PSUs	1,024	n.a.	Test	699	298	911	415	1 068	911	375
Nb. of HH (theoretical)	12,848	9,918	Pilot	12,700	4,470	22,080	7,128	12,816	5,466	3,750
Nb. of HH (final)	10,303	8,804	-	14,198	n.a.	21,402	7,006	n.a.	n.a.	n.a.
<b>GPS-SHASA Module</b>										
Year of Survey	2014	2013-15	2013	2015	2014	2015	2013-14	2015	2014-15	2013
Unit of analysis	Adult	Adult	Adult	Adult	Adult	Adult	Adult	Adult	Adult	Adult
Nb. of HH (from Support Surv)	50%	50%	-	All	All	All	All	25%	100	33%
Nb. of individuals/ household	1	n.a.	1	1	n.a.	All	All	1	<3	1
Nb. of individuals (in database)	5,102	3,771	74	14,198	14,000	39,991	13,116	3,082	13,835	1,036

Sources: GPS-SHASA modules, 2013-2015, NSOs; authors' calculation.

Note : Enquête CAmerounaise auprès des Ménages (ECAM, Cameroon) ; Inquérito Multi-objetivo Continuo (IMC, Cape Verde) ; Global Adult Tobacco Survey (GATS, Kenya) ; Welfare Monitoring Survey (WMS, Malawi) ; Enquête Gouvernance, Paix et Démocratie (GDP, Tunisie) ; Enquête sur les Conditions de Vie des Ménages au Bénin (EMICoV, Benin) ; Enquête sur les Conditions de Vie des Ménages au Burundi (ECVMB, Burundi) ; Enquête sur les Niveaux de Vie (ENV, Cote d'Ivoire) ; Enquête Modulaire et Permanente auprès des ménages (EMOP, Mali) ; Uganda National Governance Baseline Survey (UBOS, Uganda).

disaggregated at least as urban/rural, but often go further to be regionally representative also as in Benin, Burundi, Cameroon, Malawi, and Mali.

In terms of the questionnaire, all the questions of the generic module, about 60, have been generally accepted. In a small minority of countries, a very limited number of issues or phrases were deemed sensitive and removed from the original questionnaire: for example, preference for a regime led by 'a strong man' in Uganda, 'confidence in the President' in Cameroon, and 'threat of terrorism' in Tunisia. These rare redactions can probably be explained by the novelty of the GPS theme. It was considered at this first stage as a pilot phase to test the procedure, which may have led to some nervousness or self-censorship. However, only two countries took the opportunity to include more questions specific to the local context, Uganda and Tunisia, where the harmonized GPS-SHaSA module was a sub-part of a broader governance survey. Benin is the only country to have used the GPS-SHaSA device to its maximum potential, with full administration of the modules, to which were added a significant battery of specific questions. This ambition, in terms of questionnaires and sample, is the more remarkable in that Benin set up its GPS inquiries completely autonomously. But this is less surprising when one knows that Benin had advanced furthest with institutionalization of modules since the first DIAL experiment with GPS in the early 2000s. It is noteworthy that Benin and Mali, having advanced furthest in terms of institutionalization, are also those to have consistent sample size over time, confirming their commitment to the approach.

The sampling strategy used calculates the theoretical coefficients to extrapolate the GPS sample results to the population of adults in the country. These coefficients were adjusted to account for non-response. In addition, in some countries, an *a posteriori* stratification procedure had to be implemented.

Indeed, because of constraints on the ground, the random selection of respondent from the adults within the household could not be fully respected, introducing sample bias. There is an over-representation in some countries of older members of the households and under-representation of younger, more mobile members. After a study of

the comparative distributions of socio-demographic variables between the supporting survey and the GPS module, several post-stratification criteria were selected: area of residence, gender, living arrangements, and age category. They were variously combined as appropriate, and the subtotals were calibrated on extrapolations from the support survey.

## 2.2 EVALUATION OF THE RELEVANCE AND ROBUSTNESS OF THE RESULTS

Two types of errors need to be distinguished in the survey results: non-random errors or measurement errors, and random errors or sampling errors. We explore the two in turn.

### 2.2.1 MEASUREMENT ERROR: NON-RESPONSE, CONSISTENCY, AND RELIABILITY

Regarding measurement error, a number of measures were taken at the outset to ensure the quality of the investigation. Particular attention was paid to the development phase of the methodology and questionnaire, and the training of investigators. The questionnaire drew on over two decades of experience with the design, allowing it to be tested and adjusted, mindful that it be both understandable for respondents and rich in information for analysis. Moreover, the principle was adopted not to accept proxy respondents. In the case of Burundi, 13 percent of answers were provided by another member of the household rather than the respondent herself or himself. But comparative analysis among the respective answers showed that the quality of responses was only slightly affected.

The questions were adapted to local contexts and in most cases the questionnaire was translated and administered in national languages. Concepts were translated so as to ensure a good understanding among respondents who did not speak French or English. For individuals in the household at the time of the passage of the investigator, the non-response rate for the different issues is thus very limited. As can be seen in Table 2.3, the figures presented contain a significant proportion of data-entry errors, representing responses that fall outside the range of categories for the particular question. They are

not non-responses, strictly speaking. The rate of non-response thus measured does not significantly vary from one population group to another, broken down by gender, income level, education, or other categories.

### 2.2.2 INTERNAL CONSISTENCY: STRONG CORRELATION BETWEEN QUESTIONS THAT ARE RELATED

Caution is required in the analysis of correlations, in that results seeming counter-intuitive or contradictory do not necessarily mean errors. They may reflect paradoxes that can be explained. However, the internal consistency of responses to a questionnaire can generally be an indicator of the robustness of the survey. We present different types of illustrative results in this vein.

First, Figure 2.1 illustrates the strong correlation between two categories of information: respondents' personal experience of particular freedoms and their overall assessment of the extent of freedom in the country. It illustrates Burundi, where people who feel that specified freedoms are respected also feel most free to exercise those freedoms. For instance, 85 percent of those who feel completely free to speak their minds believe that freedom of expression is respected; while only 25 percent of those who do not

feel free to say what they think believe that freedom of expression is respected.

Figure 2.2 compares two assessments, one of politicians in general, the other of deputies or members of parliament. It is seen that in the Ivory Coast, the overall judgment of politicians' readiness to listen converges with that focused on the members of the National Assembly.

Finally, Figure 2.3 shows that two differently worded questions – estimate of the likelihood of being a victim or of the level of concern – on the perceived threat of criminal violence, give very consistent results in Mali.

### 2.2.3 COMPARISON OF GPS-SHASA MODULES AND AFROBAROMETER SURVEYS

The GPS-SHaSA approach to measuring governance, peace, and security by means of household surveys is by no means unique. On the theme of security, the relatively standardized victimization surveys are well established. But governance surveys are less well known. In this area, the Afrobarometer surveys are now recognized as a model in Africa. Their standardization and comparability, the extent of continental coverage, and the level of institutionalization make it a potential alternative with many similarities to the survey module of the GPS-SHaSA initiative. We will not seek here to

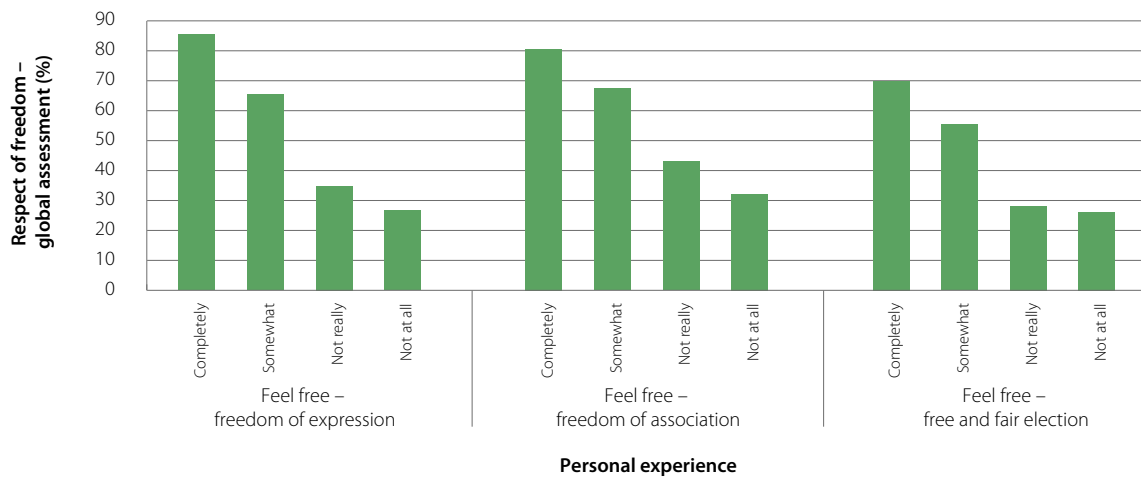
**Table 2.3 Partial non-response rate to some questions of the GPS-SHaSA modules**

%	Countries				
	Burundi	Cote d'Ivoire	Mali 2014	Mali 2015	Uganda
<b>Governance</b>					
Satisfaction with democracy	1,1	0,0	2,2	0,0	0,0
Victim of corruption	0,8	0,0	0,3	0,0	0,0
<b>Peace and Security</b>					
Feeling of safety	0,5	0,0	2,3	0,0	0,0
Threaten with firearm	0,6	0,0	2,8	0,0	0,0
<b>Labour Market</b>					
Activity Rate	0,0	0,0	1,7	2,0	n.d.
Salarization Rate	0,0	0,0	n.d.	n.d.	n.d.
Unemployment Rate	0,0	0,0	1,7	2,0	n.d.

Sources: GPS-SHaSA Modules, 2013-2015, NSOs; authors' calculation.

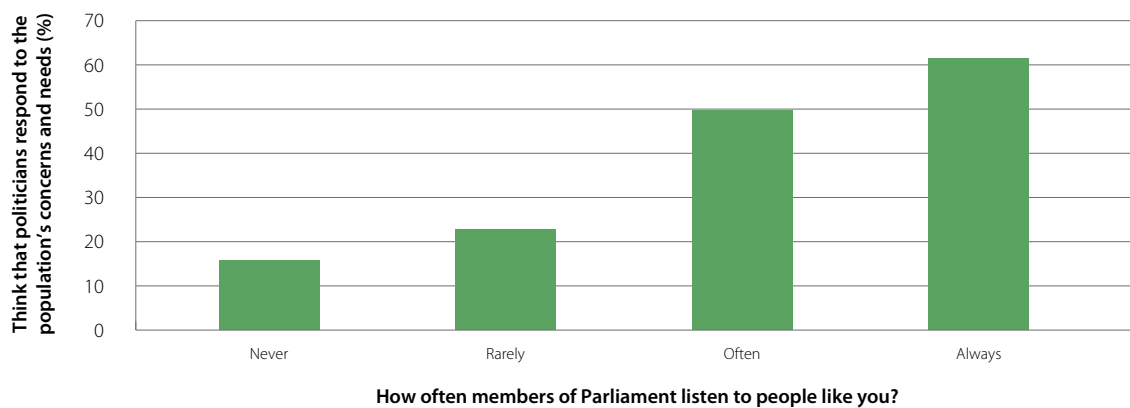


**Figure 2.1 Respect for democratic principles and freedoms in Burundi – general assessment and personal experience**



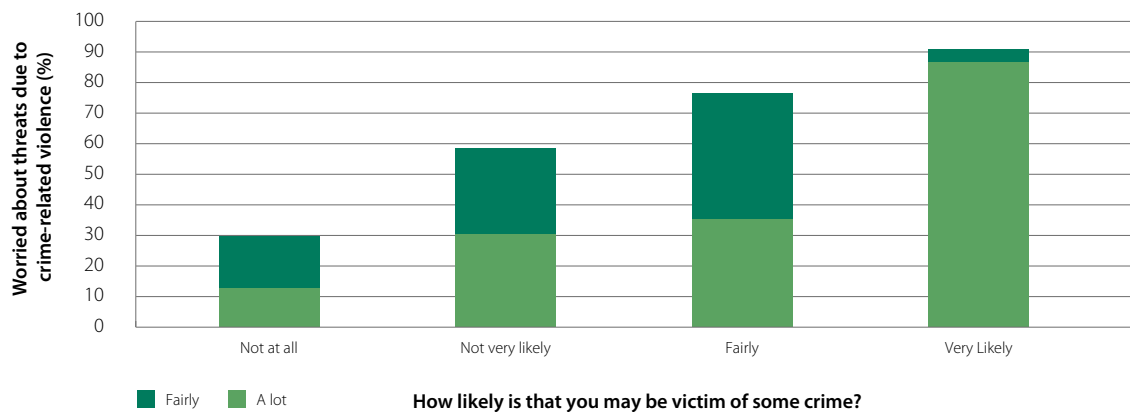
Source: ECVMB 2014, GPS-SHaSA module, ISTEEBU; authors' calculation.

**Figure 2.2 Politicians taking account of concerns of population in Cote d'Ivoire**



Source: ENV2015, GPS-SHaSA module, INS, Cote d'Ivoire; authors' calculation.

**Figure 2.3 Perceived threat in terms of violence of a criminal nature in Mali**



Source: EMOP 2013-2014 Survey, GPS-SHaSA module, INSTAT, Mali; authors' calculation.

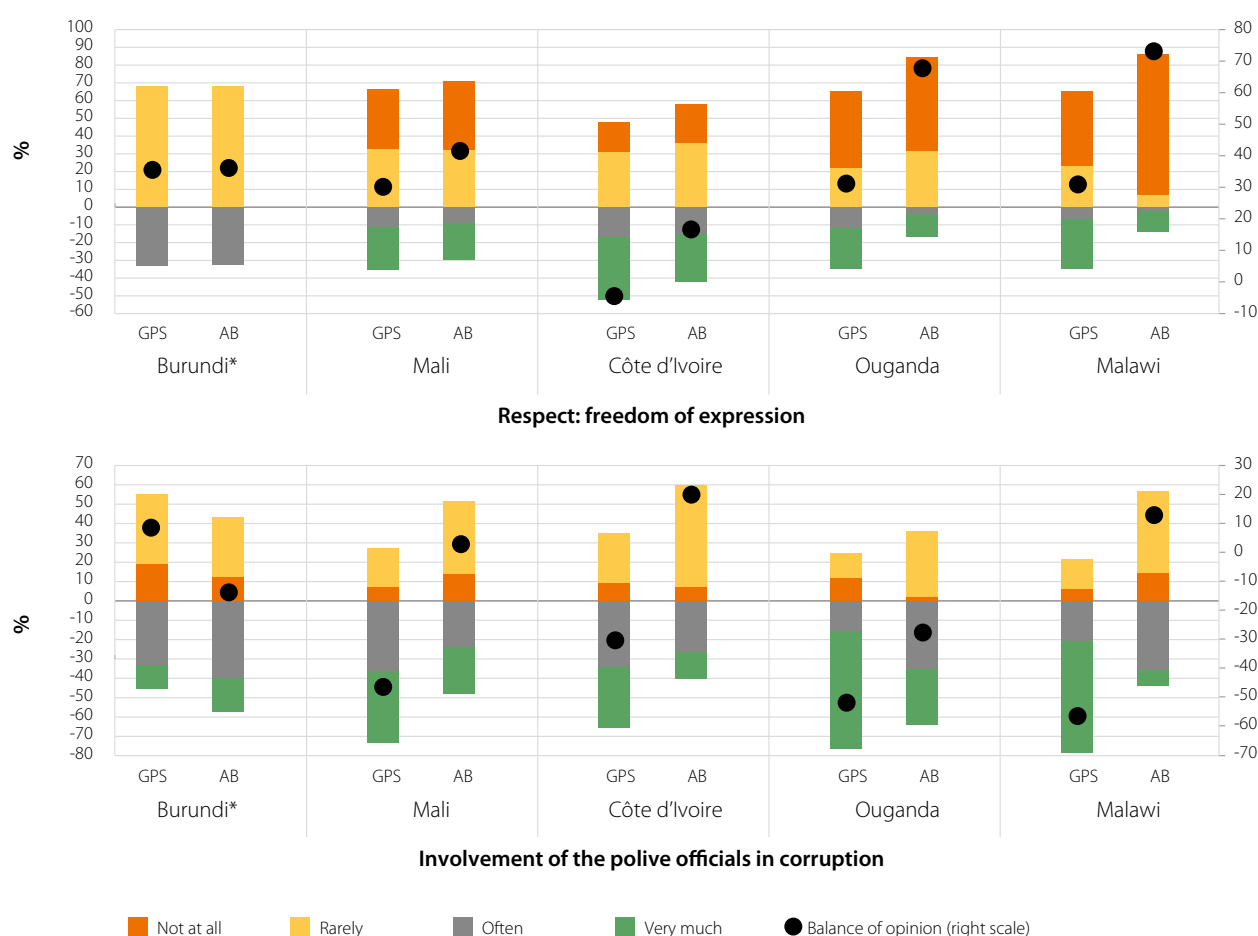
analyze the relative merits of the two initiatives. They are more complementary than competitive. Rather, the aim is to study the robustness of the statistical indicators, comparing the results of both types of surveys on common issues.

As early as 2004 it was demonstrated at a conference organized by DIAL in Bamako that the results were broadly convergent, at least in the case of Mali, among the DIAL modules, Afrobarometer, and UNECA's draft measure of governance.<sup>25</sup> The availability of three instances of governance surveys in the same country and at the same time provides an opportunity for consideration of the question. The main conclusions of this exercise are illuminating. First, for a number of variables, the distribution of responses is very close, showing the robustness of the measure, for example, respect for freedom of expression in Mali or Burundi

in Figure 2.4. Secondly, the hypothesis of a systematic bias arising from public inquiries is not sustained. In some cases, the answers to Afrobarometer surveys are on average more critical than those of the GPS-SHaSA initiative but the opposite phenomenon is observed for many other variables.

Thus, the level of satisfaction with the functioning of democracy was lower for Afrobarometer than DIAL; but respect for freedom and electoral transparency was lowest in the DIAL-type modules used by GPS-SHaSA. More often, for the same question, the results vary from one source to another, depending on the country, institutions, and periods. Take the case of respect for the nine principles of democracy in the five countries where information is available. For each of the 33 variables where questions are similar, we can calculate the difference of the balances of opinion,

**Figure 2.4 Comparison of GPS-SHaSA modules with Afrobarometer surveys**



Sources: GPS-SHaSA modules, Afrobarometer surveys, various countries; authors' calculation.

Notes: For Burundi, the possible answers for the respect of freedom of expression were "yes / no".

a summary measure of the variations between the two sources. In 13 cases, the Afrobarometer results are more critical than the GPS-SHaSA module; in 15 cases, they are less so; and in 5 cases the difference in balance-of-opinion is not significant.

Obviously the conclusion is not definitive. The exercise is imperfect by nature, in that questions are not asked in exactly the same way, at precisely the same time, or to the same specific respondents.<sup>26</sup>

## 2.2.4 SAMPLING ERRORS: PRECISION OF ESTIMATORS AND CONFIDENCE INTERVALS

A major advantage of the method applied here is that it is possible to precisely calculate confidence intervals associated with each of the survey variables, to assess their accuracy.

For selected questions of the GPS-SHaSA module of all countries for which data are available, Table 2.5 provides a measure of the quality of the proposed

estimators, at the 5 percent level. Two lessons can be drawn at this stage:

- The results are robust, and of course the more accurate as the sample size increases.
- Sampling errors on GPS variables are not systematically different from those observed for conventional socio-economic variables.

For instance, shown in bold, one sees in Côte d'Ivoire that the margin of error for measuring satisfaction with democracy is no different from that for the labour market participation rate.

## 2.3. SURVEY MODULE – AN ASSESSMENT

These two survey modules were drafted within the framework of a continent-wide process to collect and monitor reliable, harmonized indicators in all areas and sectors of national socio-economic and political life in each country. The methodology was designed to respond to the pressing need for relevant and reliable

**Table 2.4 Estimators precision for some key variables and countries (%)**

	Burundi	Côte d'Ivoire	Mali 2014	Mali 2015	Uganda
<b>Governance</b>					
Satisfaction with democracy	77.0 [75.5 ; 78.5]	56.4 [53.5 ; 59.2]	58.7 [56.0 ; 61.4]	57.5 [55.0 ; 60.0]	72.1 [68.5 ; 75.5]
Contact with administration	80.4 [78.4 ; 82.3]	40.6 [37.9 ; 43.3]	11.5 [10.2 ; 12.8]	15.5 [14.1 ; 17.1]	29.0 [25.9 ; 32.1]
Victim of corruption	4.4 [3.7 ; 5.2]	16.4 [14.3 ; 18.8]	7.5 [8.7 ; 12.8]	4.0 [3.4 ; 4.6]	18.0 [15.3 ; 21.1]
Confidence in administration	86.6 [85.3 ; 87.8]	72.3 [69.7 ; 74.8]	67.4 [64.7 ; 70.1]	62.2 [59.9 ; 64.4]	61.9 [58.2 ; 65.5]
<b>Peace &amp; Security</b>					
Perception of armed conflict threat	55.2 [53.2 ; 57.2]	47.2 [43.7 ; 50.7]	53.7 [49.8 ; 57.5]	59.4 [55.9 ; 62.8]	39.0 [34.7 ; 43.6]
Victim of physical assault	4.3 [3.8 ; 5.0]	7.1 [5.7 ; 8.8]	1.7 [1.2 ; 2.2]	0.6 [0.5 ; 0.8]	n.d. -
Existence of structures to solve conflict	84.9 [83.4 ; 86.3]	65.5 [62.0 ; 68.7]	74.9 [71.8 ; 77.8]	67.1 [64.3 ; 69.8]	5.7 [4.3 ; 7.5]
Feeling of insecurity	7.8 [6.8 ; 8.9]	29.1 [26.4 ; 31.9]	17.5 [15.5 ; 19.8]	31.6 [29.3 ; 34.1]	53.2 [48.8 ; 57.6]
<b>Labour Market</b>					
Participation rate	88.0 [87.2 ; 88.8]	56.3 [53.5 ; 59.0]	69.8 [68.0 ; 71.5]	n.a. -	n.a. -
Salarisation rate	7.5 [6.7 ; 8.4]	14.9 [12.8 ; 17.3]	n.a. -	n.a. -	n.a. -
Unemployment rate	2.4 [2.1 ; 2.8]	3.5 [2.6 ; 4.6]	5.2 [4.4 ; 6.1]	n.a. -	n.a. -

Sources: GPS-SHaSA Modules, 2013-2015, NSOs; authors' calculation.



statistics, to track and report on government action, and to effectively prevent and manage conflict.

### 2.3.1 A FOUNDATION IN OFFICIAL POLICY AND OFFICIAL STATISTICS

The selected indicators fall well within the continent's approved normative framework, and in particular, are in line with two reference documents: the Charter on Democracy, Elections and Governance for governance statistics, and the Protocol of the Peace and Security Council for peace and security statistics. Obviously, the chosen methodology applies the principles of the African Charter on Statistics.

In SHaSA methodology, NSOs have been chosen as the main institutions for the collection of GPS data. This is a strategic choice based on several technical and institutional reasons:

- their legitimacy as public institutions, in particular with regard to the production of official statistics, which are considered as public goods;
- their familiarity with established statistical standards and procedures;
- their ability to draw sufficiently broad national representative samples that permit different types of data disaggregation for the purpose of public policy formulation;
- their strategic position to ensure repetition of the surveys and the sustainability of the mechanism; and finally
- the obvious cost-effectiveness, in financial and human resources, of the option of attaching an add-on GPS module to their regular surveys.

For all these reasons, NSOs have an unparalleled advantage over any other public or private institution.

The questionnaire aims at collecting three categories of information simultaneously:

- the experiences and behaviours of citizens,
- their value orientation regarding democratic governance norms,
- their perceptions and opinions.

In addition to these three categories of information in the modules, socio-economic information – sex, age

group, level of education, ethnic groups, geographical location, migratory status, type of integration on the job market, poverty level, and the like – emerges from the base or support survey. The combination of the three categories of information makes it possible to draw up the most comprehensive picture of the different dimensions of governance, and of peace and security. By correlating these with the socio-economic variables, it will then be possible to identify groups or sub-groups in the population that are most affected by the dysfunctions of the governance and peace and security system, with a view to installing appropriate, targeted policies that are tailored to the specific situation of each country.

In sum, the questions selected in both modules are derived from the experience of various successful completed or ongoing surveys from the last two decades. These include the democratic governance survey developed by DIAL and the Afrobarometer surveys for collecting and monitoring governance indicators, as well as the victimization surveys, where peace and security indicators are concerned. The questions were chosen, in the course of the consultations among NSO representatives from the five African sub-regions, for their two-fold relevance: they are relevant to the objectives, the GPS themes, and the aim of harmonization, which requires indicators that can be applied in all countries and they also have statistical and analytical relevance through simple, easily comprehended questions that allow for sound interpretation.

### 2.3.2 COST-EFFICIENT IMPLEMENTATION

A guiding principle underpinned the process of reflection in the STG1: the proposed system should not be onerous. The less onerous a survey – in terms of the duration of the interview and also the material, financial, and human resources required – the greater its feasibility, reliability, and above all its sustainability for the indicators to be monitored over time. The GPS-SHaSA survey system is based on two statistical options.

The first selected option: The selected methodology is based on the technique known as an add-on survey. In practical terms, this means that the two modules of governance and of peace and security







were designed to be appended to national household surveys that serve as the base or support surveys. This choice makes it possible to achieve considerable economies of scale by avoiding the need to set up additional specific surveys. It also offers the advantage of mobilizing variables available in the base survey, notably detailed socio-demographic or economic variables. But the stand-alone option nevertheless remains open, for example, if there are no household surveys scheduled at the time when a GPS survey is required.

The second selected option: Each of the two modules has been limited to fit in a single page questionnaire, or at most a two-page questionnaire for countries which do not like a too-condensed layout, thus guaranteeing minimal extra expenditure and reduced survey costs.<sup>27</sup> As a result, out of the numerous existing indicators, the choice had to be limited to the most relevant questions. More specifically, with a view to obtaining a harmonized questionnaire, only questions of general interest that could apply to all African countries were selected. For data to remain comparable over time and among countries, the questionnaire must be applied as it stands, from one year to the other.

Nevertheless, beyond this basic platform, it was suggested that countries develop an additional set of specific questions that are appropriate for the national context. Even if a country added an additional single page on governance and on peace and security the total would still only be four pages at most.

Finally, while the two modules are independent and may be administered separately, it is preferable to administer them simultaneously, for reasons of cost and to maximize their analysis potential by cross-referencing thematic areas.

The questionnaires were generally administered through face-to-face interviews by dedicated interviewers who received specific training on GPS-SHaSA modules. The specificity of these thematic modules, with topics that may be sensitive and that the NSOs may not be used to addressing, requires special attention. Key principles for the implementation of statistical surveys are of even greater importance in the case of the GPS surveys.

The first is the need for the investigator to establish a climate of confidence, particularly by adopting a neutral and non-judgmental attitude. The second concerns strict observance of the sequence and the wording of questions in the harmonized modules, to enable comparisons over time and between countries. This also requires that the translation process of the questionnaire into national languages be handled with the utmost thoroughness.

### **2.3.3 ADVANTAGES OF THE BASIC GPS-SHASA APPROACH**

The strength of the approach is that the adopted methodology meets basic principles for measuring and monitoring governance. These principles may seem trivial for an audience familiar with statistical surveys. However, the discussions in defining indicators for SDGs show that the need and possibility of statistical monitoring of governance is not necessarily obvious to policymakers or development actors. Moreover, even among statisticians, applying statistical tools to topics beyond NSOs' standard domains does not naturally make sense. Our goal is therefore to show how the traditional strengths of statistical surveys are particularly relevant to assess and monitor governance, peace and security in each country. Alongside the benefits of quantification, one can add that the surveys collect the views of all categories of the population. So its advantages of inclusiveness, participation, and enhancement of democratic debate cannot be neglected.

The advantages of the statistical approach: First, investigating a large sample of individuals who are representative of the general population ensures the relevance and reliability of the data collected. Transparency can be ensured on the method of measurement, standards, and procedures for surveys of households being standardized. Moreover, the quantitative approach allows the monitoring of developments over time and comparison between regions or countries, since the methodology is reproducible from one period to another and from one country to another. But these are inherent characteristics of any well-designed statistical surveys. The additional interest is when they give rise to in-depth analysis illuminating the decisions and the definition of policies. The GPS surveys not



only provide aggregates or indicators that can be tracked, they make available to the public a database that is an analytical resource. There is the possibility to break down information according to different categories of the population – gender, poverty, ethnic group, region, discriminated population, and others – correlating different information to understand the views or behaviours of the population.

A participatory process brings a voice: Statistical surveys offer the opportunity to different categories of individuals to express themselves and to be heard through the voice of a sample that represents them. Survey results can thus be a means for citizens to exert pressure, a way to challenge the decision makers on their dissatisfactions, their needs, and their expectations. This process to relay the views of the vast majority is particularly important in countries where such information is lacking, or when civil society or other intermediary bodies are poorly organized. In the absence of representative data, perceptions may be biased in favour of a minority that has the opportunity to be heard, or else they may grant an unwarranted legitimacy to the views of experts who do not represent the citizens. Thus, dissemination and provision of survey results open the way to democratic debate.

The content and design of the questionnaire: The choice of questions, their sequence, and their precise wording are components of the GPS-SHaSA survey methodology. The questionnaire design stems from long-term experience derived from fieldwork testing the relevance and robustness of survey results; the interaction among representatives from regional NSOs in the GPS-SHaSA process; and dialogue with different actors in validation and training meetings in the pilot countries. Thus, a draft set of questions was selected in both governance and peace and security modules starting from different experiences of past and ongoing surveys successfully conducted over the past two decades. These include the modules developed by DIAL in the early 2000s, from Afrobarometer surveys, and from victimization surveys of UN Office on Drugs and Crime (UNODC).<sup>28</sup> The questions were chosen because of their relevance to the GPS-SHaSA objectives, notably harmonization of indicators across the GPS themes, and statistical and analytical relevance, using simple questions that

allow robust interpretations. The same applied to the field manual and the tabulation plan, developed in successive iterations. The collective construction of the overall apparatus was essential for the success of the statistical protocol by ensuring real ownership by the collaborating countries.

Relevance of coverage: The module on governance encompasses key principles of democratic governance – rule of law, equity, transparency, democratic accountability, participation – related to the eleven basic principles underlying the Charter on Democracy, Elections and Governance. Likewise, the module on peace and security seeks to measure violence and insecurity experienced everyday by the population that can hinder the development potential of the country, underpinned by the principles put forward by the Protocol of the Peace and Security Council.

More broadly, the GPS-SHaSA initiative has sought to integrate systematically three types of sources to ensure a maximum degree of coherence and insight: the normative charters and conventions currently in force at the African level, administrative statistics, and surveys. This was captured in two matrices aligning the governance indicators with those of peace security, for both survey and administrative instruments (Document C5).

The survey questionnaires gather three types of information: the practices, experiences and behaviours of the population; their attitudes, norms, and values; and their assessments and judgments. In other words, they collect both objective, evidence-related behaviours and experiences, and subjective information related to perception or to the satisfaction of respondents. These two dimensions provide a more complete diagnostic to define relevant policy, especially because they are not necessarily correlated.

In addition, socio-economic and demographic data are collected from the base/support survey – gender, age group, education level, ethnic groups, geographic location, migration status, role in the labour market, poverty levels, and the like. Combined with the above three types of information, this permits the identification of the most affected population subgroups for a specific problem or dysfunction in terms of GPS. Thereby relevant information can be

used to implement and target policies appropriate to the specific context of each country.

As already stressed, the GPS-SHaSA instruments, especially the questionnaire, were designed through a participatory process. Different workshops have gathered internal as well as external expertise to consider the state of the art in the field and to develop, validate, and document the entire results from the questionnaires,

## 2.4 PILOTING THE ADMINISTRATIVE SCHEDULE: THE LEAD EXAMPLE OF KENYA

### 2.4.1 BACKGROUND: THE CHALLENGE OF ACHIEVING DATA SOVEREIGNTY

Administrative data has of course had many applications to GPS in Africa prior to SHaSA. Even prior to the African Union Convention on Preventing and Combating Corruption in 2003, countries such as Kenya in 2001 had begun marshalling corruption and crime evidence, administrative but also survey-based. After 2007, Côte d'Ivoire's National Commission on Good Governance looked to the NSO, which had been gathering corruption data, for broader governance information for its annual report. In 2011, Cape Verde institutionalized data production in the selected thematic areas of crime and justice. In 2014 Cameroon received funding from the EU to conduct a baseline study on the judicial system, and embarked on administrative data collection in this area at the same time as conducting the GPS-SHaSA survey. Such countries could contemplate GPS-SHaSA participation with some institutional capacity already in place.

Of more across-country scope, the self-applied schedules of the APRM monitoring mechanism drew on African countries' own administrative GPS data.<sup>29</sup> So did various UN and multinational agencies, directly or indirectly, notably the World Bank Institute for its massive Worldwide Governance Indicators database, the UNDP for its development indicators databases and *World Reports*, and the UNODC for its compilations. Such data is also used, to varying extents, by NGOs and private sector agents such as ILAG, Transparency International, the World Economic Forum, and The Economist Intelligence Unit for their

respective multidimensional indexes. African NSOs complained of the strain upon their limited resources in replying to the seemingly endless requests, often requiring re-aggregation of information to fit the different enquirers' categories.

In view of this local and international diversity, the development of administrative information schedules for the first time under GPS-SHaSA may be important for several reasons. The schedules were

- explicitly framed by Africa's own charters on corruption, governance, and peace mentioned,
- collaboratively developed among participating NSOs,
- harmonized across countries,
- driven by local policy concerns,
- tailored to African priorities and contextual specifics, and
- integrated with contemporaneous survey-based GPS-SHaSA instruments.

With this motivation, several countries stepped forward to apply the harmonized GPS-SHaSA schedules for collecting their own cross-ministerial and multi-agency data on GPS: Burundi, Côte d'Ivoire, Malawi, and Kenya. All four countries applied a preparatory sequence and at the time of writing Burundi, Côte d'Ivoire, and Malawi had reports in draft. More countries would have moved ahead, but the resource requirements were challenging and UNDP's seed funds were largely exhausted by the pilots of the survey modules.

The Kenya National Bureau of Statistics was keenly aware of these priorities, having observed that governance in the country was being assessed by some twenty countries, not one of them Kenyan! It remarked: "There is need to reinforce 'data sovereignty' in Africa, in response to the current proliferation of externally-led, uncoordinated data collection drives which marginalize NSOs and often apply different methods for measuring the same things."<sup>30</sup> Since the Kenyan NSO has been, hitherto, the first to issue an official public report on the endeavour (Document D3), its implementation was impressively thorough, and with creditable outcome, it provides a suitable case study and precedent for other countries.

The requirements of effective implementation of the GPS-SHaSA schedules were considerable, for Kenya as for the other pioneers. In general, the reliable collation of administrative data demands much greater stake-holder buy-in than the once-off contextual adjustment of a survey questionnaire. Participating entities have to adapt or recalculate their information, perhaps quite substantially, to the agreed categorizations of the across-country harmonized instrument and to institute the training and standards to do so. They have to commit to resources to do this on an ongoing basis, at the agreed periodicity. And this is best achieved through representation and regular participation in a special inter-agency group. This is patient, detailed, and demanding work. To secure this level of commitment demands visible and high-level executive sponsorship of the process. In Kenya all this was achieved by a three-stage process. From the outset Kenya had the additional advantage that its Crime Statistics Section, established in 2001, had gradually grown into a fully-fledge Governance Statistics Section in response to planning priorities. This section was able to handle the preparatory sequence with exemplary thoroughness. Its two lengthy reports, of the ultimate GPS findings and of the prior preparatory and training workshop of stakeholders and information-provider institutions<sup>31</sup> serve as exemplars for other countries.

#### 2.4.2 THE THREE STAGES OF IMPLEMENTATION

The first stage was the National Validation Workshop held in Nairobi in November 2013, convened by KNBS with UNDP support. Some 50 participants came from government ministries, agencies, academia, and civil society. The aims of the meeting were several: to understand GPS-SHaSA as a means to generate

both country-level and continental data support of policy-making and monitoring, to 'domesticate' the SHaSA administrative-data instruments to reflect Kenyan specificities, and to secure the buy-in of the institutional actors.

Crucially, a network of dedicated focal point officers was established in the departments responsible for supplying the necessary administrative data, and a focal point in KNBS was identified to act as overall coordinator of the GPS data collection process.

The second stage was the KNBS's two-day GPS statistics training workshop for the 28 focal point persons, convened in May 2014 by the Bureau's Governance Statistics Section with UNDP support. Its objectives could be more focussed and operational than those of the first, buy-in event. These were:

- to officially establish the GPS Technical Working Group and approve its Terms of Reference,
- to take stock of data already being collected by the various government institutions,
- to review and validate the list of SHaSA indicators on GPS from admin sources and assign the appropriate national sources for each,
- to agree on additional, country-specific GPS indicators to be covered.

The span of items in the agreed GPS-SHaSA instrument had been agreed in the continent-wide consultative process of 2012-2013. The wide range of institutions required to provide information in the case of Kenya, and that participated in the second workshop, is indicated in Table 2.6. The table also shows the three more manageable Technical Working Group (TWG) Sub-committees created by KNBS.

**Table 2.5 Sub-committees and participants of the KNBS Technical Working Group**

TWG Sub-committee	Membership
Criminal Justice Statistics	National Police Service, the Judiciary, Kenya Prison Service, Department of Probation, Department of Children Service
Environmental Governance Statistics ( <i>country-specific information needs</i> )	Kenya Wildlife Service, National Environment Management Authority, Kenya Forest Service
Governance Security Statistics	National Registration Bureau, Ministry of Interior & Coordination of National Government, Office of the Commissioner for Refugees, Department of Immigration



For each entity, its mandate, the type of data produced and published, challenges, and applicability to the GPS-SHaSA instrument items was discussed. Thereafter, training-oriented sessions addressed the conception of indicators, the Fundamental Principles of Statistics, the setting and achieving of data standards, and the role therein of the National Statistical Development System (NSDS).

The meta-data tables of the GPS-SHaSA administrative-data instruments were scanned and distributed, so the participating agencies could identify additional country-specific items they wished to be recorded and produced. A timetable was agreed for securing, adapting, and supplying the data, overseen by the quarterly meetings of the TWGs. The data was obtained from registers, reports, information systems, and some special-purpose databases; and sometimes involved considerable manipulation by spreadsheet. Focal persons shared experiences and insights, and arranged to avoid duplication, for instance between Police and Wildlife regarding smuggling.

The third stage was the following up of slower data providers, and then compilation and publication of the extensive official report (Document D3). It transpired that of the administrative GPS-SHaSA schedules, 27 of the 38 total of agreed governance measures (71 percent) could be fulfilled, and 23 of the 27 on peace and security (85 percent). For the indicators regarded as core, the figures were 15 out of 20, and 10 out of 13, respectively, or 76 percent of core indicators.<sup>32</sup> This is very creditable for a first implementation. The Report concludes in this regard that the set of SHaSA core indicators piloted are good, and suitable for adoption elsewhere. They can be available in the medium term. Kenya's intention is to collect these indicators annually.

#### **2.4.3 THE IMPORTANCE OF POLICY RELEVANCE FOR USERS**

A key success factor, identified in the KNBS Report and the UNDP documentation, was that GPS-SHaSA was launched at a time when political principals have encouraged the statistical bureau to address governance, or it has seized the opportunity, following influential national or international policy documents.

In the case of Kenya, an important local development was The Economic Recovery Strategy Paper of 2003, which recognized the importance of addressing corruption to attract investment and increase growth. This in turn had attracted resources for governance statistics, from the World Bank and the International Monetary Fund's General Data Dissemination Standard programme. Then, in 2008, Kenya Vision 2030 recognized the importance of security, 'a society free from danger and fear' for accelerating transformation of the country into a rapidly industrializing middle-income nation. And in particular, the society experienced some major terrorism attacks and challenges such as cyber-crime, money laundering, and drug trafficking. There were thus strong local grounds for the Governance Unit to expand, to be keen on taking up the GPS-SHaSA instruments, and to have the resources.

Moreover, these were augmented by pan-African developments. In particular, building on the important earlier treaties and mindful of the momentum to the SDGs, in June 2014 the African Union's fifty-four member states adopted the Common African Position (CAP) on the post-2015 development agenda. It emphasizes the importance of good and inclusive governance, fighting corruption, increasing transparency and accountability, reinforcing rule of law, and strengthening institutional capacity – very much the headings of the African Charter on Democracy and Elections. It also makes peace and security a pillar of the CAP. Clearly the GPS-SHaSA, with its collaboratively developed across-country harmonized instruments, came on-stream at a timely moment. As the KNBS Report itself notes, "the contribution of efficient enforcement of law, the maintenance of public safety, and the guaranteeing of law and order to economic growth, and the improvement of quality of life cannot be over-emphasized."

Even so, just as the Kenyan practical experience can function as an exemplar for following countries, so probably will some of the difficulties it experienced: limited available time and training among staff, corresponding resource requirements, and especially data problems – summarized as deficient data quality but familiar as inconsistent or incomplete data capture, patchy coverage of issues, poor connectivity, limited GPS, and incompatible formats or definitions.





# 3. Institutional arrangements of GPS-SHaSA initiative

## 3.1 ARRANGEMENTS AT THE NATIONAL LEVEL

Preceding sections have brought up the institutional requirements and developments for first evolving a pan-African consensus on the GPS-SHaSA instruments, and then seeing these implemented in practice in half a dozen countries, representing different degrees of both NSO capacity and differing situations of GPS. First, the perspective was historical, the context against which GPS-SHaSA arose, and how its activities unfolded. Second, the approach was methodological-quantitative in the main, directed at comparing and assessing rolling out the two survey-based instruments on GPS in five countries. Then the approach was methodological-qualitative in the main, taking Kenya as a case study of the implementation of the administrative schedules. This section explicitly addresses the important GPS-SHaSA institutional requirements and developments, and a country-comparative approach will illustrate the exigencies of adopting and then implementing at country level.<sup>33</sup>

### 3.1.1 THE INSTITUTIONAL CIRCUMSTANCES IN WHICH COUNTRIES ADOPT GPS-SHaSA

As presented earlier in this report, national policy imperatives prioritized by political principals and Africa-wide protocols – on anti-corruption, security, governance, and development – provided motivations for the take-up of the GPS-SHaSA approach by NSOs. But it will be of interest, for future take-up by other countries, to notice that this relationship needs to be differentiated. In some instances, the political principals were spurred by the policies and protocols to make demands on the NSOs for the measurement of GPS. But in other instances, the NSOs, whether noting the wider developments in official statistics or the responses of their peers, drew their statistical

responsibilities for sound GPS to their political principals' attention. In either direction, however, there was a shared commitment to the achievement of data sovereignty – the belief that issues of GPS, especially, need to be measured in a manner owned by both parties rather than imposed from without. We may illustrate these three configurations in turn.

In Uganda, for instance, already in 2008 the Ministry of Public Service had consulted the Uganda Bureau of Statistics (UBOS) for data to help address corruption and related problems in service delivery. By the time that the SHaSA GPS survey module came to the attention of the DG of UBOS, at the Yamoussoukro meeting of the CoDGs in 2013, a national baseline survey on governance had already been developed by UBOS. So the DG secured additional funding from UNDP to attach the GPS-SHaSA survey modules to Uganda's baseline survey. The specific component on peace and security offered an important complement in view of tensions in the North of Uganda.

Similarly, regarding the administrative-data modules, it was shown how the Kenyan government had prompted the foundation of a unit on corruption statistics in KNBS and subsequently expanded its remit to governance. So KNBS had the experience and capacity to apply the modules promptly and comprehensively. Moreover, this allowed the Bureau to institutionalize a network of statistical focal points across ministries and agencies. In Cape Verde, to respond to governmental security concerns, in 2011 the statistical office created a Justice and Security Statistics Unit that established strong collaborations between the statistical office and government ministries. The piloting of the GPS-SHaSA governance survey module allowed the statistical agency to supplement existing administrative data collection with the surveys and to widen its coverage of GPS.



The converse relationship, with the NSO taking more of the initiative, is evident in Burundi and Cameroon, where democratic space was more limited. In Burundi the NSO built on the fact that in Vision Burundi 2025 governance is recognized as a critical lever for economic development and for improving the living conditions of citizens. Likewise, in Cameroon, reference was made to robust and timely statistics as a pre-requisite for achieving Cameroon's Vision 2035, which envisions Cameroon as an emerging economy by 2035. Furthermore, the GPS-SHaSA pilot was an opportunity to reinforce Cameroon's long-standing reputation as a centre of statistical excellence in the Central African region.

Malawi and Tunisia present a hybrid configuration. Initial expectations were that executive entities in Presidential offices would coordinate a national governance monitoring system. The statistical agencies proactively reached out to authorities, indicating that GPS fell within their overall official mandate and expertise for the production of public statistics. In Malawi, the NSO applied the GPS-SHaSA pilot to position the NSO as a central actor in the elaboration of this monitoring system. The country's leadership adopted the proposal at a time when a corruption scandal had overshadowed the good governance agenda.

In Tunisia, the country's transitional authorities were keen to advocate SDG 16 on Peaceful and Inclusive Societies, in response to popular aspirations for democracy and freedom. But the exercise was steered by the Ministry of Foreign Affairs and the President's Office. Tunisian statisticians presented GPS-SHaSA to them as an established response to the issue of measurability of Goal 16. Thus, the GPS-SHaSA methodology became the backbone of Tunisia's Goal 16 monitoring framework, and the official report was the first to be published in Arabic, before the end of 2015.

Côte d'Ivoire also presents a hybrid example, in a different way. In 2007, the Statistical Office had established a sound department on governance statistics, based mainly on surveys of perceptions and experiences of corruption. The National Commission on Good Governance sought department's assistance with data for its annual report on the state of governance in Cote d'Ivoire. The GPS-SHaSA provided the statistical agency with established means to

achieve the requisite expansion of its scope. In turn, the Commission is committing to finance the GPS-SHaSA survey on an annual basis.

Whatever the direction of the initiative to undertake the GPS-SHaSA approach the authorities and the NSOs have shared an imperative in achieving data sovereignty. The strength of this imperative in Kenya was described in the case study. Benin provides another interesting perspective. The government of Benin had expressed unease over an apparent decline in Benin's overall score on the IAG after 2011. The NSO piloted the GPS-SHaSA survey instruments, using national funds, giving citizens of Benin their own voice on their lived experience of GPS, and boosting the country's data sovereignty.

These vignettes highlight the variable circumstances at country level in which the GPS-SHaSA approach has come to be so rapidly applied since its inception. This also applies to some extent to the rollout; yet the force of the broad validation and training sequence, in tailoring and applying the collaboratively harmonized instruments, has assured the intended output of comparable results.

### **3.1.2 SECURING BUY-IN OF USERS AND DATA SUPPLIERS THROUGH VALIDATION WORKSHOPS**

In theory, the institutional participants and organizational process for implementing the survey modules or administrative schedules or both may be simply rendered as in Box 3.1. In practice, however, the NSOs and their stakeholders were invigorated by the engagement. In the words of a Ugandan statistician, "the perception that people had of the Ugandan Bureau of Statistics was greatly enhanced when it started to be seen as an institution in tune with their daily struggles and aspirations; suddenly, the numbers started to make sense to them."

Most pilot countries therefore launched their GPS-SHaSA pilots by holding a national validation workshop that brought together a wide constellation of actors whose involvement would be critical for GPS-SHaSA statistics to be impactful. These included likely users of GPS statistics—including the country's political leadership, parliamentarians, relevant

ministries, departments and agencies, oversight institutions such as anti-corruption commission and audit institutions, civil society, and academia—and data producers in relevant government entities, for the administrative data component.

Towards building broad-based ownership of the methodology, validation meetings split stakeholders into thematic working groups to adjust questions to suit the local context or to propose additional questions on national issues of concerns. In Cameroon, for instance, a survey question was added on linguistic discrimination against the Anglophone community. In Kenya, administrative items were added on natural resource governance.

National validation workshops also provided opportunities for peer-to-peer exchanges between pilot countries. For instance, a statistician from Mali took part in Tunisia's validation workshop, and a Cape Verdean statistician contributed to national discussions in Malawi and in Cameroon. These interactions contributed to confidence in the pan-African feasibility of the GPS-SHaSA process and to team spirit among pilot countries.

### **3.1.3 INSTITUTIONALIZING GPS DATA PRODUCTION THROUGH NATIONAL GPS COMMITTEES**

In several instances a Technical Working Group or a National GPS Committee was formally instituted

as a follow-up to the national validation event, coordinated by the NSO. Their members are statistical focal points in relevant ministries, departments, and agencies, and in some cases, civil society, and academia. They serve as GPS-SHaSA ambassadors and guarantors of methodological rigour. Even more importantly, in administrative data collection they served as interfaces with their respective institution: assessing data availability and quality, securing collaboration, and identifying capacity-building needs that the NSO would then try to address.

The Technical Working Group set up in Kenya was described in the case study. In Uganda the School of Statistics and Planning of Makerere University developed training modules for survey enumerators and mapped existing GPS data sources. In Cameroon, the statistical office considered formalizing a new sub-commission on GPS statistics in the national Law on Official Statistics. Cape Verde's successful experience in developing protocols for cooperation between the statistical office and various government entities generated much interest among pilot efforts. A sample protocol was translated from Portuguese into French and English and introduced in other pilot settings. Following a diagnostic of current data collection practices, such protocols formalized the statistical agency's commitment to build the data collection capacity of the partner and also guaranteed confidentiality.

## **Box 2. Implementation sequence of GPS-SHaSA**

### **A. Before starting data collection:**

- a. National validation of the four instruments with likely users of such data within and beyond government, and with data-contributing ministries and agencies;
- b. Addition of country-specific survey questions and administrative indicators.

### **B. Data collection:**

- a. Training of enumerators on the specificities of surveying GPS;
- b. Possible adaption for IT-enabled data collection such as using tablets or mobile phones;
- c. Establishment of administration-data collection protocols with contributing ministries etc.

### **C. Data analysis and dissemination:**

- a. Capacity development for analysis in NSO, and possible involvement of researchers in analysis;
- b. Comparison of NSO data with other datasets and other countries' GPS-SHaSA;
- c. Broad-based dissemination strategy to media, parliament, Cabinet, and others;
- d. Web portal for user-friendly display of results and anonymized data.







Evidenced in the accounts of these experiences and more detailed descriptions, are several requirements for the ongoing institutional sustainability of GPS data production at country-level: organizational, in the establishment or consolidation of GPS units in NSOs rather than merely focal points, which are essential especially for the gathering of administrative data; financial, whether in the costs of capacity building or administering the instruments with some countries wondering whether a stand-alone survey of modest sample size might be more economical than add-ons; methodological, in the deficiencies in availability and quality of data and the data culture in departments; and effective dissemination, through to conversion of findings into policy.

These requirements will be thoroughly addressed under Recommendations, but dissemination deserves some mention here. In Cape Verde, selected results were officially presented to representatives in the National Assembly. Soon afterwards, at the country's anniversary celebrations of Independence, the President quoted the popular perceptions of unequal treatment of citizens before the law. Similarly, the NSOs of Mali and in Benin both launched their GPS-SHaSA results on Africa Statistics Day, 18 November 2015, to a wide range of stakeholders including government officials, parliamentarians, civil society organizations, and the media. Stakeholders called for a repeat of the survey in 2016 to allow for the tracking of trends, especially given the fragile situation in certain regions of both countries.

### 3.2 POTENTIAL ARRANGEMENTS AT THE REGIONAL LEVEL

In the SHaSA documentation approved by the CoDGs at Yamoussoukro in December 2012 (Document A1), it was also envisaged in the action plan and budget that an intermediary infrastructure would be invaluable, for the furtherance of GPS as much as for trade or economic development: especially given the number of African countries, the coincidence of interests in the five regions of the continent, and existing infrastructure at a regional level. Indeed this vision was reflected in the constitution of the SHaSA steering committee represented in Table 1.1. Envisaged at regional level was:

- Establishment and capacity-building of units specifically dedicated to the regional coordination of GPS data production, in the statistical divisions of Regional Economic Communities;
- Use of GPS statistics by Regional Economic Communities for the prevention and management of conflicts;
- Regional learning and sharing experiences among NSOs, including the development of a wider regional selection of possible country-specific indicators as a complement to the core indicators.

However, this has proved to be one domain in which GPS-SHaSA has made no headway. The central reason is financial resources. At the centre, GPS-SHaSA has been officially co-ordinated piecemeal on the budget and staff time of the AU Statistics Division and then rescued by intensive involvement and support in practice from the UNDP Regional Bureau for Africa. The latter drew, likewise, on staff time of UNDP, and a UNDP budget that could be applied to the necessary co-ordination meetings, representation abroad, and consultancy. At country level, to the survey pilots the UNDP has provided seed funds for the workshops, travel of representatives, and marginal costs of the add-on survey modules; and the survey self-starters have financed themselves. As a result, UNDP had no support funds left for the administrative-schedule implementers, so that Kenya had to be an administrative-data self-starter. In some instances, UNDP ingeniously leveraged third-party funds, such as UN Women paying for the production of the Uganda BOS country-survey report. But between these two levels, centre and country, there were simply no resources available for the envisaged regional development.

As the number of participating countries increases from 10 to 20 and beyond, this will be an important area of development: for country-to-country implementation support, regional analyses and briefs, and evidence-based support for other regional entities. Since administrative overhead is unlikely to appeal to donors, a sensible overhead needs to be included in country and core budgets to cover this level.

### 3.3 ARRANGEMENTS AT THE INTERNATIONAL LEVEL

From the outset, it has been important for GPS-SHaSA to build and extend an international profile in a few respects: to secure sustainability for its pan-African GPS contribution and for the encouragement and example that Africa's GPS could offer; in the shorter term, to the inclusion of GPS as a SDG, and in the longer term, to the establishment of a UN Statistical Commission (UNSC) Praia City Group on GPS.

#### 3.2.1 ADVANCING GPS-SHaSA'S AFRICAN PROFILE AND ACTIVITIES

First, advancing GPS-SHaSA's African profile and activities have been essential to obtain support from statistical and political principals, the CoDGs and African Heads of State, for the increasing country participation that is critical for its long-term Africa-wide contribution. In regard to CoDGs, it has been scrupulous about its annual reporting as a means of keeping DGs and their counterparts in the AU, AfDB, and UNECA up to date.

But, in addition, it has reached out to parties with a stake in GPS-SHaSA through focussed side-events at high profile gatherings, assisted by vivid brochures in French and English (Documents B1 and B2). Two prominent instances will suffice. In March 2013, UNDP and the AUC jointly organized a High-Level Panel on Governance, Peace & Security Statistics on the sidelines of the AU Conference of Finance and Economic Ministers, in Abidjan, to demonstrate the importance of nationally generated GPS data, and to advocate for ministers to allocate additional resources to this end, as part of the national budgetary allocations for NSOs. The ministerial advisors who attended strongly supported the proposed approach and reiterated the need for sound country-generated GPS data.

The Metagora experiment developed nine bottom-up country-driven governance measurements. During 2014-2015 the UNDP co-ordinated Tunisia and three other countries in attempting something similar, but with a specific focus on exploring the feasibility of monitoring the targets of the prospective governance goal that had included the UN's OWG among the

SDGs. The workshop focussed on baskets of indicators for each target, for which it drew heavily on the SHaSA harmonized GPS modules, additionally encouraged by Mali, which was currently implementing the modules. As a consequence, Tunisia joined GPS-SHaSA as a self-starter; and rapidly published official results in November 2015. This is a striking confirmation of the benefits of making the effort for networking and South-South collaboration that yields positive results beyond what may be log-framed in advance. The relationship was consolidated when Mr Roubaud represented GPS-SHaSA at the follow-up workshop among the four countries a year later that formulated recommendations for indicators and resource requirements. Tunisia is being encouraged to make anonymized data available as did the first five participating countries, so that the comparative data-driven analysis can be further expanded.

#### 3.2.2 CONTRIBUTING TO A GOAL ON GPS IN THE SDGS

While building its own profile, recruiting more participants, and advising related endeavours within Africa, on the basis of its growing practical experience, GPS-SHaSA also actively contributed to the UNDP-led international consultations on SDG 16 on justice, peace and accountable institutions: effectively democratic governance, the term that the UNDP had popularised with its *Human Development Report* of 2003. The global salience of GPS had been strikingly confirmed in the 2015 youth-oriented *My World Survey*, in which 'an honest and responsive government' was emerging firmly as the fourth priority, and 'protection against crime and violence' was the sixth, among education, health, jobs, sanitation and nutrition. The top priorities at end-December 2015 are shown in Figure 2.5.

The status of GPS-SHaSA was recognised as an instance of quantified governance measurement in which the Africa region was leading global practice. For instance, the Chair of the SHaSA steering committee, Mr Robert Buluma from the KNBS, addressed the Geneva Declaration Conference on Peace and Security in November 2014.

He presented the Kenya experience in successfully gathering statistics on crime, firearms, and drugs

seizures, and on judicial and prison performance; showed how these and other sources populated the GPS-SHaSA administrative schedule; and outlined the overall GPS-SHaSA approach with NSOs as exemplars for measuring the targets of SDG 16.

Similarly, through inputs from UNDP, DIAL, and AUC, GPS-SHaSA was a lead participant in the major event co-organised by UNDP, Saferworld, and AUC, “Towards Regional and National Statistical Capacities for Measuring Peace, Rule of Law and Governance: An Agenda for the Post-2015 Sustainable Development Goals Framework” in June 2014. The summary (Document G2) concluded:

By showcasing the emerging success in Africa of the GPS-SHaSA group and other initiatives, the meeting showed that measurement of progress in these areas is not only feasible in a wide range of country contexts, but also in high demand by the political leadership of many countries. SHaSA and other African-owned and led initiatives support

the call for a data revolution as a central tenet of the post-2015 development agenda. They also offer important models to examine in the context of goal 16 proposed by the OWG, on achieving peaceful and inclusive societies, rule of law, and effective and capable institutions.

The core facilitation and advisory team of STG1 made presentations and documentary submissions to many of the consultations over three years, mainly UNDP-led, contributing to the findings of the High Level Panel, the formulation of SDG 16, the finalisation of the targets by the OWG, and the distilling of indicators. These appearances occurred in Johannesburg, Uppsala, New York, Glen Cove, Mexico City, and Vienna, as well as the Virtual Network on SDG 16 convened by UNDP’s Governance and Peacebuilding Team in New York; and most recently by convening submissions (Document G1) to the IAEG web consultations following its November 2015 Bangkok meeting.<sup>34</sup>





### 3.2.3 THE INCEPTION OF THE UNSC'S PRAIA CITY GROUP ON GOVERNANCE

The same team initiated the third of GPS-SHaSA's most notable international collaborations, the establishment of the Praia City Group on Governance by the UNSC at its forty-fifth assembly in New York in March 2015. City Groups are ongoing communities of practice among senior offices of NSOs in specialist areas, like inflation, national accounts, informal sector, gender, and others. Prompted by the IAOS' 2000 Montreux conference, the idea of a City Group on governance was canvassed by a committee of the UNSC as early as 2002. It had recommended, on the one hand, the establishment of "a mechanism (perhaps a city group involving statisticians and others, including policy officials) to develop statistical indicators of human rights and good governance"; but on the other hand it warned that "it would be better to 'get it right' rather than 'get it quick', if widespread ownership of the indicators is to be established around the world."<sup>35</sup> As a result, nothing was done about this for the next decade.

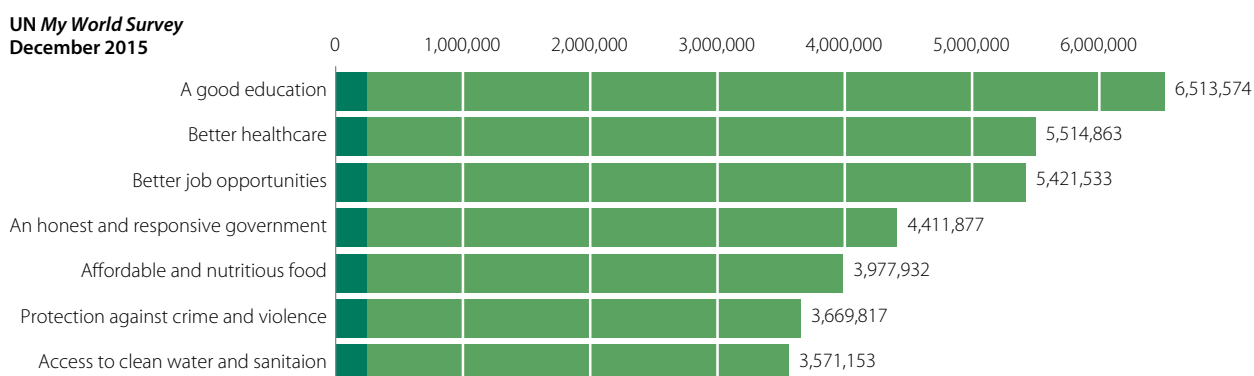
By 2013, however, the GPS-measurement landscape had flourished dramatically in the intervening years, followed by the lead-up to the SDGs. Notably, the UN Secretary General's High-level Panel of Eminent Persons on the Post-2015 Development Agenda had firmly posited goals on ensuring good governance and effective institutions and on ensuring stable and peaceful societies, with four targets in each.<sup>36</sup> Equipped with the practical example of GPS-SHaSA,

the incoming Director of the UN Statistical Division met with GPS-SHaSA representatives in 2013. They agreed that a City Group would be the most systematic and sustainable way for the UN system to respond to the rapidly escalating expectations of official-statistical input on GPS, and so initiated the City Group sequence. As a first step the GPS-SHaSA secretariat and the AUC Statistical Division, invited the DG of the Cape Verde NSO – the first of the five UNDP-supported pilot countries to present results from implementing the GPS-SHaSA survey modules – to carry the global banner, and the project was born.

At the UNSC in February 2014, Cape Verde proposed to introduce the founding document of such a City Group for consideration at the 2015 meeting. The first draft of the document was produced during the tabulation-plan meeting at Praia in June, 2014 (Document F1). Cape Verde hosted a consultative meeting in Praia in October 2014, to discuss the focus and title of the proposed city group, its objectives, activities, and method of operation. The highly successful meeting, with 50 attendees, included 12 NSOs, UNODC, and UN Women; international and African partner organisations such as Paris 21, OECD, AU, and AfDB; and local diplomatic missions including Cuba and China. Many supportive written submissions were also received. As a result, when the establishment of the City Group and its activities was put to the full UNSC in March 2015, with the UNDP as the supporting UN entity, some 40 countries explicitly supported it.

**Figure 2.5** XXXX

**9,716,164 votes for All Countries & Country Groups / All enders / All Education Levels / Age Group (All Age Groups)**



The inaugural annual meeting of the Group was held at Praia in June 2015, organizationally supported by UNDP. Boding well for the City Group's future stature, NSO representation spanned all the global regions, plus all the applicable partner organisations.<sup>37</sup> Inputs included a GPS-SHaSA review and recommendations. Work groups considered the prospective activities and a roadmap, to be put to the UNSC in 2016. The central initial product, as with preceding City Groups, is envisaged to be a manual of definitions, standards, and procedures of GPS measurement to formalise the subject. Tellingly, the Conclusions of the Meeting Report noted that:

There is no harmonized procedure for measuring official statistics of governance, in particular as regards the concepts and methodologies used, or even its inclusion as part of the production of official statistics. The process that is closest to this is the Strategy for the Harmonization of Statistics in Africa – Governance, Peace and Security (GPS-SHaSA), which is in the pilot phase.

In sum, advantaged by the breadth of its Africa platform and outputs and the legitimacy derived from its active NSO participation, CoDG approval, and AUC/UNDP support, GPS-SHaSA has been able to make a formative and substantial contribution internationally to the stages of SDG 16 development within the SDG process, and to the institutionalization of future official-statistical governance considerations by the Praia City Group.

### 3.4 BUDGET ISSUES

Finding the requisite financial support for GPS-SHaSA is a perennial challenge. Had the programme waited to find the funds envisaged, not unrealistically, in the submission to CoDGs at Yamoussoukro in 2012, it would now have nothing to show, rather than the spectacular practical progress it has achieved.

That submission estimated a need of \$2.1 million for the first phase of the rollout (2013-2014), for five country pilots with one in each region of Africa, the establishment of GPS Statistics Units in pilot NSOs for longer-term institutionalization, and the establishment of an STG1 Secretariat within the AUC Statistics Division to coordinate the rollout.

However, in each year item of the rollout, the actual support funding for surveys was only a third of the total – in year one, some \$50,000 per country. For the designated pilot countries this was generously supplied by UNDP via country offices or, in Uganda, by a third-party funder, UN Women, or found by the NSO itself in the case of the self-starters.

The convener has been unable to draw from the AfDB \$50 million overall for African statistical development as the AfDB indicated that the funds would need to be applied for on a country-by-country basis. This portends a huge challenge for the GPS-SHaSA centre.

GPS-SHaSA has been run on the proverbial shoestring. So far, the resources have been a combination of three contributions:

- the paid staff time of the AUC Statistics Division, and much more on that of the UNDP Regional Bureau for Africa;
- costs of meetings, travel, and consultancies, plus seed money for the four survey pilot countries, at the very outset from the Oslo Governance Centre and subsequently from the UNDP mentioned above;<sup>38</sup>
- costs in kind from the statistical bureaux of the self-starter countries, five for implementing the survey modules and four for implementing the administrative-schedules.

A more recent budget (Document H1), prepared for the UK's Department for International Development, envisaged the seed funding per country rising to approximately \$80,000 in the current two years and \$100,000 in the following two years.







# 4. Recommendations

## 4.1 INTRODUCTION

Experience and lessons that stem from the implementation of the GPS-SHaSA instruments in the pilot countries, presented in this stocktaking report, are mobilized to provide recommendations. The objective is threefold: to consolidate the process and improve the instruments in countries already involved, to help guide other countries that have signalled their official interest to take on the initiative, and to enlist the remaining half of countries in Africa to participate.

The recommendations rely on discussions with NSO staff in charge of the GPS-SHaSA surveys or administrative-data process; analyses of the six GPS-SHaSA official reports already available, for the strength, weaknesses, and recommendations they identify; methodological insights based on statistical comparisons of survey datasets from the five pilot countries that were in a position to make them available; and discussions during workshops or meetings with different types of stakeholders such as researchers, development community, and policy-makers interested in the methodology or the results of the GPS-SHaSA instruments.

The more extensive and accessible evidence for the recommendations is from the add-on GPS-SHaSA survey modules. The implementation of the administrative-data schedules and the national institutional arrangements require appreciable intergovernmental interaction within countries and the desirable regional institutions would require across-country participation. That is why among the three components of the initiative the survey approach has advanced in more countries than the administrative-data approach; and why the across-country structures remain nascent. While the direction is clear, the implementation is arduous because it requires the existence of effective institutions, which in most cases require new initiatives within and between countries. The recipe for institution building is still lacking. However, the good news is

that progress so far gives credibility to the initiative, and provides the incentive to tackle the weaker dimensions of the programme.

In extracting and shaping these recommendations we have prioritized those of a more important structural or relational nature, hoping to advance the national statisticians' GPS-SHaSA programme in a sustainable way and improve operational feasibility in the short or medium run. However, we have not neglected more detailed pointers regarding the improvement of the survey modules on governance and on peace and security, based on extensive experience by the countries in their implementation, and the specific feedback in this regard in the UNDP/AU meeting in Addis Ababa in October 2015. These pointers are listed in Appendix A.

## 4.2 ADD-ON GPS-SHASA SURVEY MODULES

As shown in Table 1.3, by the end of 2015 eight countries had administered the GPS-SHaSA modules, of which four had published official reports. Two of the eight countries had done repeat administrations.

### 4.2.1 SAMPLING

As discussed earlier in Section 2.1 and Table 2.2, since the GPS-SHaSA survey modules are generally administered as add-ons to a base or support survey to save costs, sampling recommendations have to be concerned with the sampling of both the support survey and the modules, since the latter are usually attached to a subset of the former.

*Recommendations regarding the support surveys:*

1. Regular socio-economic household surveys – of living standards, labour force, 1-2-3, and the like – are preferable to one-shot subject-specific surveys. In general, the former employs a larger sample size, therefore supports more

extensive cross-tabulations with socio-economic characteristics, and facilitates a post-stratification strategy, if required.

2. Random or probabilistic samples, such as the classical two-stage stratified household sample, are highly preferable to purposive surveys to be able to compute defensible confidence intervals.
3. The bigger the sample size, the better: in particular, to allow break-downs to be representative at lower levels such as region or province, to monitor local governance, and peace and security.

*Recommendations regarding the add-on modules:*

4. The sampled subset for the GPS-SHaSA module should be representative of the adult population of the country in general 18 years old and over; and not of household heads. Thus, the GPS-SHaSA module respondents should be selected as a random sub-sample of adult population captured in the support survey. Various options can be adopted, mindful of the successive trade-offs. For instance, selecting all adults within each household reduces the biases but increases the cluster effect and reduces the precision of the estimators. Conversely, selecting randomly one or more adults in each household reduces within-household cluster effects, but raises the probability of self-selection of the respondent in the field: the household head may exert pressure on the interviewer to be the person to answer the module, to assert status or authority. The probability of inclusion and theoretical weight should be computed.
5. Substitute respondents should not be accepted, unless for the additional methodological exercise of estimating the biases introduced by proxy respondents!
6. Total and partial non-response rates should be systematically analyzed. Comparative cross-tabulations of basic socio-economic variables between the extrapolated support survey and the extrapolated GPS-SHaSA module should be computed, using theoretical weights. In case of divergence, a sound post-stratification strategy should be implemented. The common correction for sex by age may not be sufficient.
7. At all stages, the *ex ante* sample design and the

final corrections to take into account the *ex post* field work assessment should be explicit and available in a methodological document.

#### 4.2.2 QUESTIONNAIRES

The survey manual (Document C9) provides a detailed and comprehensive explanation of the objective of the two GPS-SHaSA modules, globally and for each question. To get reliable and useful results, information in the training manual should be taken into account carefully as it helps interviewers to understand the formulation and the way questions should be asked.

It is strongly emphasized that any changes in the content and phrasing of the questionnaire will not allow defensible comparisons to be made over time. Nevertheless, some questions may warrant adjustment or exclusion. The pilot phase provides a first test of the relevance of each question with the possibility of revising the questionnaire design. Three criteria are considered to assess the relevance of a question:

- Internal consistency: the reliability of the information provided by the respondents with other information in the same survey;
- External consistency with information provided by other comparable surveys;
- The usefulness of the results, to what extent the question leads to an interesting analysis and results.

Moreover, it should be remembered that the design of the questionnaires is a progressive process that can take time. For some questions, one survey round may not be sufficient to assess their adequacy or relevance.

In this light, first, the following recommendations will present the changes that are recommended at this stage. They would improve the questionnaire without losing its richness and the possibility of comparison over time. Second, we suggest a procedure to test the impact of these changes in a transition phase, which should be the next round. This procedure will be useful methodologically and analytically: it will test to what extent answers depend on question wording and formulation and it will permit assessment

whether if comparison over time is possible in spite of the changes. Third, we distinguish three categories of questions in the questionnaires: the core questions which we recommend to keep; questions which relevance can be discussed and could be removed; and questions we recommend be removed. Last, we note the possibility of country-specific extensions of the module, an augmented version, and urge its use, to allow the addressing of issues closely related to the local context of each country.

#### *Overall adjustments for the GPS-SHaSA modules*

1. Adjustments are necessary to improve the questionnaire design. Some of the comments collected (Appendix A, including countries' feedback) are taken into account, either regarding the questionnaire or to improve the survey training manual for better administration of the questions. We provide here the main points that should be tackled. Check and harmonize the 4-point scales: "- -- + ++" (for example: 'not at all' should be followed by 'not really' instead of 'a little'; then 'somewhat' and 'completely').
2. Use the same options/modalities for "+ ++", etc.
3. Make clear the distinction between positive and negative answers (check that ++ is really positive in the given phrasing of the question)
4. Check more precision is required on the reference period such as 'in the past 12 months' for some questions.

#### *Reformulation of three questions that lead to some ambiguity in the analysis.*

5. On experience of corruption: it is necessary to re-insert the option 'no contact with civil service.' It is essential to get this information for the analysis in order to calculate incidence of bribery among users. It should be stressed that some citizens might avoid contact with civil servants because of the level of corruption, if they fear becoming a victim of corruption and especially if they cannot pay. Therefore, the incidence of corruption must be computed taking into account the citizens who were in contact with the services concerned.
6. The second important remark is related to electoral participation. To get the indicator on the participation rate, one should take into account

only registered citizens. Rate of registration is therefore a valuable prior indicator. A follow-up question should be asked to get the reason for non-registration, or for the registered the reason for abstention from voting. One of the options that might explain non-registration or abstention is 'Do not trust the electoral commission.'

7. Since data statistics should not be related to only one person, the formulation of some question related to the president need to be reconsidered. Regarding the question on trust for example, the 'president' could be replaced by 'the executive.'

#### *Recommended methodological test for the transition phase*

8. In instances where it is possible, in some countries or for some questions, a test-protocol is recommended, to check the extent that the changes lead to different responses. The methodology for this test will need to be discussed and refined. Two options present themselves:
  - The sample could be split, using old and new reworded versions of the question;
  - For the whole sample, two questions with slight differences in terms of formulation could put in the same questionnaire.

#### *Recommendation regarding the set of questions to be kept, discussed, or removed*

9. Discussions within or among groups of countries can in due course be organized with different stakeholders – NSOs, users, experts, or researchers – to finalize the questionnaire design. But in the meantime, each country may wish already to firm up the questionnaire design for the following survey round. Either way, it is recommended that three categories of question are distinguished, for each of which suggestions have been formulated in the Appendix:
  - Core questions that should be retained. These questions have already been tested in different surveys and their relevance is indubitable including those that allow for the monitoring of SDG indicators.
  - Questions of which relevance can be discussed. They could possibly be removed, even if some countries choose to retain them.



- Questions that have proved not completely convincing, or covering information already captured in other questions. This applies especially if in some countries the objective is to shorten the questionnaire.

#### *Opportunity offered by a GPS-Augmented module*

10. At the outset of the programme it was suggested that countries might develop additional specific questions appropriate for the national context. Pilot countries have not explored this option yet. Policy makers or donors might be interested to know and measure the effect of a specific policy, such as on corruption, the efficiency of a public service, or other questions.

#### **4.2.3 ANALYSIS AND DISSEMINATION**

A strategy of analysis and publication of the GPS-SHaSA module should be implemented. The list of due publications should be announced in advance, in accordance with a well-defined publication plan, and reflecting the general publication commitment of the NSO. The extent of analysis may of course be adapted to the local circumstances, but prompt publication of key elements should become compulsory. Noticeable efforts should be dedicated to the analysis and publication phase, as it has been an uneven component of the GPS-SHaSA pilot initiative.

1. It is recommended that some first results should be produced and publicly disseminated relatively soon: within three months after the finalization of the exploitable micro-data files, and within six months of the end of the fieldwork. The content of this first release may vary according to available capacity. But, even if it is limited in scope to some key tables and figures, the important signal is that the survey already provides valuable information, and will yield more in the future. Therefore the possibility of light revisions, due to a more in-depth analysis, is acceptable and should be conveyed.
2. By analogy with the specifications of the IMF's General Data Definition Standard, full results from an annual survey should be published within the 12 months after the beginning of fieldwork. This is a longer publication, which can take various forms: an in- depth analytical report; a compilation

of tables and figures covering the sections of the questionnaire, or something of that quality. In the SHaSA experience hitherto, Mali and Burundi exemplify the first option, and Uganda the second.

3. Whatever the type of print publication, there should be computed and posted on the NSO website the exhaustive list of tables cross-tabulating each GPS variable with the main socio-demographic characteristics – including sex, area, education, and if possible poverty status or income/expenditure percentiles – in line with the tabulation plan (Document C8). All analytical and methodological documents should also be posted on the NSO website in due time.
4. In order to raise policy and public awareness of GPS, the survey, and the role of the NSO, light thematic publications, fact sheets, or policy briefs should be issued periodically – ideally every three months – until the implementation of the next round of the GPS-SHaSA surveys. Topical GPS issues, at the national or the international level, should be selected such as the three briefs on women and GPS issued by the Uganda NSO with UN Women.
5. Well-publicized open dissemination events can be organized after the finalization of each document recommended above, especially the main printed report. The kind of event may vary: press release, public conference, or presentation to civil society groups. In terms of audience, a large audience should be targeted including not only political principals and fellow departments and ministries, policy-makers, donors, and stakeholders, but also the media, which can inform ordinary citizens or specific groups who might be interested, and be potential users of the GPS results.

#### **4.2.4 TRAINING**

A training and sensitization programme is fundamental for the success of the surveys. GPS is not yet a classical theme for NSOs, so the training should be comprehensive. The following aspects are essential:

1. Training for survey coordinators, supervisors, and enumerators: As usual, the training should help to understand the general structure of the GPS-SHaSA modules, discuss key aspects of the questionnaires, and attend to the enumerators'

manual. But it should also include specific sessions to present the different aspects of GPS. The survey supervisors and enumerators should be familiar enough with the survey objectives, the confidentiality issues, and the topics themselves so that they can easily present the survey. They should have a clear understanding of the key terms and concepts used in the themes. Last but not least, given the difficulty of translating some questions/concepts in local languages, enumerators might need to practice during the training.

2. Training sessions for the data analysis and dissemination: This is necessary because the NSO analysis officers are not used to the topic. As they will be responsible not only for the analysis of data but also for presenting the tabulations and graphics in a form suitable for dissemination, they should be thoroughly briefed on the scope of the survey and understand to what extent findings can be helpful to define policy. The objective of the training is to make them aware of the wealth of the collected information, which allows for initial and subsequent in-depth policy-oriented analyses.
3. Training arrangement: the Anglophone participants should have the training in an Anglophone country, same for the Francophone participants to be taken in one of the Francophone countries.

### 4.3 ADMINISTRATIVE DATA

The administrative data collection component of the methodology was piloted most comprehensively by Kenya, and also Burundi, Cote d'Ivoire, and Malawi. Post-survey Interviews with SHaSA GPS focal points in other NSOs revealed a strong user demand for the requisite system for such data collection, which was consistently recognized as a necessary complement to surveys. The main challenges in collecting administrative data are related less to the ministries or agencies refusing to share data than to the unavailability of data, or to its poor quality in the source organizations. In most countries, budgets for statistical data production are dismally low. Therefore, recommendations are addressed to specific types of challenges: methodological, technical, organizational, and resource.

1. On the methodological front, it is a huge task to co-ordinate between the data repositories and their responsible officers of different ministries or agencies to harmonize definitions, formats, and schedules and to get compatible, consistent, and comprehensive data. But the data quality depends not only on the organization or structure in the data collection and harmonization, but upstream on its reliability. The two extensive workshops required to tackle this in immediate relation to the GPS-SHaSA instruments were well conducted in the case of Kenya. But for this to be sustainable, the following three recommendations are equally important.
2. In some African NSOs not all the data collection, quality control, and processing systems are computerized. Computerization diminishes errors, minimizes delays in forwarding returns to headquarters, enhances controls such as biometric data in the justice system, and enriches analysis with aspects such as geographic information and comparison. It also enriches dissemination of and accessibility to data through the internet, as well as organizational accountability in reporting.
3. In the future, NSOs need to undertake, and encourage in the data-producing government entities, the establishment of the necessary structures and capacities for systematic administrative GPS data collection. Focal points in NSOs have estimated that a two-year training programme is typically needed to create and sustain the necessary capacity in partner government institutions, ideally in the form of statistical units rather than individual focal points. Such training can be supplied jointly by NSOs' GPS unit or focal point, and by external experts. Tailored MoUs and statistical standards between the NSOs and their counterparts have helped to consolidate harmonization, supply, data reliability, and associated training in Cape Verde for example.
4. Dedicated and adequate financial resources are obviously critical for the activities. In the long run this has to be assumed as a responsibility of governments rather than donors. The same dissemination activities described above are thus vital to raise the profile of the surveys, and the valuable information they yield, to enlist from political principals the political will for ongoing

budget support, enabling the institutionalization of GPS statistical capacity in counterpart ministries and agencies. Otherwise, sustainability is jeopardized by the frequent redeployment of personnel within institutions, or loss to more lucrative jobs in the private or international non-governmental sectors.

## 4.4 INSTITUTIONAL ARRANGEMENTS

The main objective of the institutional arrangements recommended here is to consolidate and sustain the GPS-SHaSA initiative over time and help to expand their reach. Our proposals are framed at national, regional, and international levels, and they are articulated around NSOs.

### 4.4.1 NATIONAL

1. Within the NSOs, a specific structure should be identified in the organizational chart where GPS statistics is located. This proposal was part of the original GPS-SHaSA planning, but to our knowledge, it has not been implemented in any of the pilot countries.
  - The most ambitious option would be to create a structure at the same level as other senior and traditional statistical fields in the NSO, such as labour or price statistics or national accounts.
  - A second best option would be to add the GPS topic to an appropriate existing component with similar instruments. Since the survey and administrative aspects of GPS are complementary, they should be located in the same entity.
2. As is evident from the discussion and recommendations regarding administrative data, its successful collection requires close, structured, and sustained relationships of the NSO with other ministries, departments, and agencies. The NSOs should provide statistical standards to guarantee the quality of data and should coordinate specific protocols with the different institutions responsible for education, health, justice, police, fiscal administration, and other issues. The effectiveness was noted earlier of consolidating these arrangements through memoranda of understanding or other formalizing tools.
3. Optimally, this network of interdepartmental relations can be consolidated within an independent commission on GPS statistics under the leadership of the NSO. Such a body fulfils two objectives:
  - On the one hand, it brings together stakeholders involved in the production of GPS statistics, the supply side, with those interested in using GPS Statistics, the demand side. Where these have been set up, they include ministries and public bodies, academia and individual experts, private sector and civil society. The members are expected to have knowledge and interest in the range of GPS issues such as measurement, analysis, and policy. The engagement between producers and users can broaden the coverage and application of GPS statistics and lead to new sources of funding, or provide other benefits.
  - On the other hand, the commission has a mission to guarantee and secure the sustainability and the integrity of GPS statistics. It offers a mutual accountability between statisticians, stakeholders, and political principals. Such arrangements have arisen especially where governments had already established a department or function dealing with corruption or good governance, such as such as Kenya, Cote d'Ivoire, and Cape Verde, and are preceded elsewhere, as far afield as Peru and the Philippines.

### 4.4.2 REGIONAL

1. At the regional and sub-regional levels, analogous institutional arrangements should be promoted. As noted earlier, this is the respect in which, requiring but lacking separate resources, GPS-SHaSA has made least progress.
2. The proposed AU Institute of Statistics (StatAfric) should be the focal point of GPS statistics in Africa. It would be StatAfric's mandate to coordinate the overall SHaSA programme, under which GPS statistics is embedded as its STG1. GPS-SHaSA was formally structured and subsequently developed under the auspices of the AUC Statistics Division.
3. As within NSOs, a specific structure within StatAfric should be created to host GPS statistics. Its role would be to:



- Enact statistical norms, mindful equally of the African context and international requirements;
  - Ensure horizontal coordination with the other continental statistical centres/departments (in particular AfDB and UNECA).
  - Ensure vertical coordination: downwards to sub-regional centres and NSOs, and upwards to international organizations.
  - Promote GPS statistics in all respects, notably with continental institutions such as APRM and donors operating in Africa.
4. The same kind of institutional arrangements should apply at the sub-regional level such as statistical divisions in Regional Economic Communities, to apply the principle of subsidiarity.
  5. In parallel, the following concrete actions or options should be considered to consolidate the GPS-SHaSA process internationally:
    - It would be strategic for the STG1 to establish close working relationships with the AU team responsible for steering Africa's Agenda 2063, offering GPS-SHaSA indicators as a reliable and harmonized evidence base for monitoring the implementation of the peace and governance aspects of Agenda 2063.
    - The same applies regarding the AU functions dealing with the SDGs and the UN 2030 Agenda for Sustainable Development, notably for monitoring and reporting back on SDG 16 implementation.
    - Before the start of the second GPS-SHaSA phase, it would be useful to revisit the membership of the STG1 to reduce it to the most active representatives of each of the five regions. This smaller committee would help to chart the way forward in a decisive way. It should play a much stronger role as champion and advocate for the initiative, and in supporting the scaling-up strategy.
    - Envisaging a rotation of the Chair every three years, a new DG level Chair for the Group could be selected by the community at the next CoDG meeting.
    - To mark entry into the second phase, the appropriate agency could send out an official communication to CoDG, as was done soon after the starting the pilot phase, to request

expressions of interest for being a member of the STG1, and for embarking on GPS data production.

#### 4.4.3 INTERNATIONAL

1. At the international level, two interlinked statistical bodies are in charge of GPS statistics: the Statistics Commission of the UN and the Praia Group on Governance Statistics. The Praia Group held its inaugural meeting, a steering committee was constituted, and a roadmap formulated. GPS-SHaSA is proud of its role in the establishment of the Praia Group with the UNSD, and assisting the then AUC Statistics Division and the NSO of Cape Verde, INECV, in the set-up stage. Of course, while the scope of GPS-SHaSA is African, that of the Praia Group is determinedly global. Nevertheless, a prime recommendation for GPS-SHaSA internationally is to retain its pioneering and leading role in the actual implementation of harmonized, country-level GPS statistics.
2. Secondly, beyond the Praia Group, the GPS-SHaSA initiative should continue to be proactive with all initiatives about GPS statistics in the international arena. As a precedent, those African NSOs on the IAEG-SDGs together with its core advisers, have been participating actively in the debate ahead of March 2016 about the most appropriate indicators for the twelve targets of SDG Goal 16 on peace, justice and accountable institutions. The multi-country GPS-SHaSA experience was conveyed to the IAEG in mid-2015 a three-country paper illustrating comparative GPS results, distributed by UNDP. In essence, all activities linked to SDG Goal 16 should be tightly scrutinized by the GPS-SHaSA monitoring capability, at and across country-level. In this manner, and by these means, GPS-SHaSA should keep aware of new initiatives and be ready to promote its own expanding experience in the field.







# 5. Conclusion

This report first provided the historical context, in particular the national and international demand for GPS data and the different international and African organizational developments that led to the development of the GPS-SHaSA initiative. Thereafter, this report assessed in some detail, methodologically and substantively, what has been achieved regarding the harmonized instruments based on both survey and administrative data, across the ten countries where the initiative has been variously implemented. The assessment then extended to the wider environment of GPS statistics, notably the institutionalization of the processes at the different national, regional, and international levels. Drawing upon these presentations and assessments, corresponding methodological and institutional recommendations have been formulated at some length for the future operation, improvement, and expansion of the GPS-SHaSA venture.

To induce the wider lessons that stem from the whole process, three different points deserve to be stressed. First, given the list of achievements, it can be said that even if the global battle for country-based comparative GPS measurement is still under way, the GPS-SHaSA initiative can be considered a considerable success at this stage at a continental level. Huge progress has been made in the few years since the initiative was launched. What appears today almost obvious was seen as impossible few years ago, and faced sustained and widespread resistance. From a methodological point of view, it was not known whether respondents' statements would be sincere and robust, and indeed whether they would dare answer, especially in more troubled circumstances. From an institutional point of view, even more problematically, there was the reluctance and scepticism of official statisticians themselves. So the first lesson learned from the pilot implementation of these African GPS instruments is their feasibility, the statistical viability of the approach, at all levels: replicability of the process, quality of the indicators, limited costs, and acclaimed usefulness of the results.

The second lesson is timeliness. The GPS-SHaSA – with its collaboratively developed, cross-country, harmonized instruments, and the challenge of achieving data sovereignty – came on-stream at a timely moment in the global user demand for reliable GPS measurement. GPS-SHaSA modules grafted on socio-economic household surveys conducted by public statistics constitute an innovative method of measuring GPS. Even if the approach had been experimentally developed previously, under GPS-SHaSA it is innovative in several respects. It makes the links for the first time between governance dimension and peace & security. The global developments spurred for the first time the institutionalization of the instruments at all levels in Africa: national, sub-regional, and continental. Ten NSOs were inspired actually to embark on the GPS-SHaSA initiative in a short time, with modest start-up funds from UNDP or drawing on their own financial resources.

Third, the experience shows the potential of pragmatically taking advantage of existing institutional arrangements, in how GPS-SHaSA objectives fall within existing national, regional, and international agendas. Beyond the harmonized instruments, the initiative will clearly foster the development of statistical capabilities relevant for different types of users. But, although the institutionalization of the initiative is on track, much remains to be done in this field, in particular to consolidate and to institutionalize a practical and tailored design process.

Since the GPS-SHaSA initiative is still an ongoing process that needs to be consolidated, observations and lessons drawn from the pilot countries' experiences are mobilized in this report to propose some key, and realistic, recommendations. Indeed, in this stage of consolidating the gains from the pilot and aiming at a second stage, the feasibility and the sustainability of the process should be kept in mind. Conditions that prevailed in the different countries, notably human and financial constraints as well as institutional weaknesses, must be considered



in focusing on achievable objectives instead of theoretical fancies.

Among the challenges in the short run, the last part of this report emphasizes different technical and financial issues that should be addressed. First, regarding the add-on survey instruments, recommendations identify the careful attention which should be paid to the sampling frame: representative and not biased; the questionnaire design: simple and comprehensive but not too dense; the special training: extending to sensitization; the drafting of systematic, reliable, and relevant analysis: first results, policy briefs, a more detailed official report; and the dissemination of results: quick enough to be relevant and usable by a large audience. The proposal for the stabilized design includes an improved questionnaire that will constitute the basic core, whether for the second round in countries already involved in the initiative or for countries just beginning. This questionnaire can take into account the SDG 16 indicators presented by IAEG-SDGs at the 47<sup>th</sup> session of the UNSC in March 2016. Subsequently, progressive adjustment will occur if needed. Diagnostic work will be deepened and corroborated, both by further detailed analyses with existing data sets as they are made available and, above all, by the expansion of the surveys' scope to more countries.

Regarding the challenges in collecting administrative data, the main recommendations are related to the NSO's leadership role, and the need for financial and technical support to put in place or reinforce collaborative structures across different data-producing government agencies. A capacity-building programme with specific operational training is necessary to overcome the many types of problems

such data availability, quality, and consistency among different sources; lack of coordination; and non-harmonized definitions, formats, or schedules.

The recommendations also cover the institutional arrangements required to guarantee the sustainability of the GPS-SHaSA initiative in the medium and long run. The involvement of various relevant structures or bodies at national, regional, and international levels with the central role of NSOs has to be considered. The first concrete steps to launch this ambitious process are the creation of specific structures to champion and implement the GPS-SHaSA initiative within NSOs and the systematization of the coordination role of NSOs at the national level. Simultaneously, the initiative should be officially inserted in regional and international projects for which technical and financial support is secured.

Although still expanding, this initiative already has had operational impact on the place of GPS in the monitoring of development policies, especially SDGs and the institutionalization of this activity in the UNSC's Praia City Group. Through providing rich new empirical material GPS-SHaSA promote insight and better understanding of the relationship between governance at large – demonstrated by social and political participation, trust in institutions, corruption perceptions, and other examples – and households' living conditions; as well as the interactions between individual's perceptions, values, and aspirations and their subjective and objective experiences. One can legitimately affirm that this provision of reliable and relevant information out of Africa is a modest but significant factor in promoting democratic governance not only in developing countries, but also in the world at large.

# Annex A

## Recommendations

December, 2015

### INTRODUCTION

Experience and lessons which stems from the implementation of the GPS-SHaSA harmonized instruments in the pilot countries, presented previously in the stock-taking report, are mobilized to provide recommendations. The objective is twofold: to consolidate the process and improve the instruments in countries already involved; to help to guide other countries willing to take on the initiative. The recommendations rely on discussions with NSO staff in charge of the SHaSA GPS survey, critical analysis of SHaSA GPS datasets from pilot countries, discussions during workshops or meetings with different types of stakeholders (researchers, development community, policy-makers, etc.) interested in the methodology or the results of the SHaSA GPS instruments.

The easier part concerns the Add-on survey *GPS-SHaSA* modules; more complex are the Administrative data part and the institutional arrangements. That is exactly why among the three components of the initiative, the two latter showed much less progresses than the former. If the direction is clear, the implementation is an arduous way because it pre-supposes the existence of effective institutions; which is obviously not the case in most of the African countries. The recipe for institution building is still lacking. However, the good news is the will give credibility to the initiative while providing incentive to proceed forward of the weaker dimensions of the initiative.

To elaborate these recommendations we had the choice between two main options: first, enumerating a long list of recommendations just considering their theoretical relevance; second, establishing a shorter number of recommendations which combine structural properties to shape GPS Statistics in a sustainable way

and operational feasibility in the short or medium run. We focus on the second option we consider a more reasonable process to consolidate the progress.

### 1 STATISTICAL INSTRUMENTS

#### 1.1 ADD-ON SURVEY GPS-SHASA MODULES

##### 1.1.1 Sample

###### *Support survey*

1. Regular socio-economic household surveys (Living Standard, 1-2-3 survey, LFS, etc.) should be preferred to one shot subject specific survey. In general, this kind of survey relies on a bigger sample size. It also allows for enlarged cross-tabulation with socioeconomic characteristics (analytics) and facilitates the post-stratification strategy (statistics).
2. Random survey (for instance the classical two stages stratified household surveys) should be preferred to purposive survey (quota), in order to compute "true" confidence intervals.
3. The bigger the sample size, the better; in particular, to be representative at the local level (region, province, etc.) in order to monitor local governance (mapping).

###### *GPS-SHaSA module*

1. The GPS-SHaSA module should be (at minimum) representative of the adult population of the country (in general 18 years old and over); and not of household heads, for instance. Thus, the GPS-SHaSA module respondents should be selected as a random sub-sample of adult population captured in the support survey. Various options can be adopted, being conscious or the consecutive trade-offs. For instance, selecting all adults within each household reduces the biases

but increases the cluster effect (and reduces the precision of the estimators). Conversely, selecting randomly one or more adults in each household reduces within households cluster effects, but raises the probability of self-selection of the respondent in the field (the household head may exert pressures on interviewer to answer the module for prestige). Probability of inclusion (and theoretical weight) should be computed.

2. Proxy respondents should not be accepted (except for additional methodological exercise, to estimate precisely the biases introduced by proxy respondents).
3. Non response rate (total and partial) should be systematically analysed. Comparative cross tabulations of basic socioeconomic variable between the extrapolated support survey and the extrapolated GPS-SHaSA module (using theoretical weights) should be computed. In case of divergence, a sound post stratification strategy should be implemented. The common [sex \* age] correction may not be sufficient.

At all stages, the sample design (*ex ante*) and the final corrections to take into account the field work assessment (*ex post*) should be explicit and available in a methodological document.

### 1.1.2 Questionnaire

The survey manual provides a detailed and comprehensive explanation of the objective of the GPS modules (globally and for each question). To get reliable and useful results, information in this manual should be taken into account carefully as it helps to understand the formulation and the way questions should be asked.

It should be kept in mind that any changes in the content of the questionnaire will not allow to make comparison over time. However, the pilot phase provides a first test of the relevance of each question in order to revise the questionnaire design. Two criteria are considered to assess the relevance of a question: the reliability of the information provided by the respondents (internal consistency i.e. with other information in the same survey; external consistency i.e. with information provided by other comparable surveys); the usefulness of the results (to what extent

the question leads to an interesting analysis and results). Still, it should be reminded that the design of the questionnaire is a progressive process which can take time. For some questions, one round of survey is not sufficient to assess their relevance or not.

So regarding the questionnaire, with the idea of a progressive adjustment, the following recommendations will first present the changes which should be made at this stage. The objective is to improve the questionnaire without losing its richness and the possibility of comparison over time. Second, we suggest a procedure to test the impact of these changes in a transition phase (in the next round). This procedure will be useful methodologically and analytically: it will serve to test to what extent answers depend on formulation/wording and it will permit to assess if comparison over time is possible in spite of the changes. Third, we review the questionnaire and distinguish three categories of questions: the core questions which we recommend to keep; questions which relevance can be discussed and could be removed; third, questions we suggested to remove. Then, we will insist on the possible extensions of the module (augmented version) and the opportunity of addressing specific issues closely related to the local context of each country.

#### *Adjustments or suggested changes for the GPS-SHaSA module*

Adjustments are necessary to improve the questionnaire design. Some comments collected (see in the appendix countries feedback) can also discussed and taken into account (at least to improve the survey manual). We provide here the main points which should be tackled.

- Need to check and harmonize the 4-point scales: “- - + +” (for example: ‘not at all’ should be followed by ‘not really’ instead of ‘a little’; then somewhat and completely).
- Use the same options/modalities for “++”, etc.
- The distinction between positive and negative answers should be clear (check that ++ is really positive)
- Check if it is necessary to add precision on the reference period (‘in the past 12 months’) for some questions.



Two questions need to be reformulated as it leads to some ambiguity in the analysis.

- The first one is on “experience of corruption”: it is necessary to re-insert the modality ‘no contact with civil service’. It is essential to get this information for the analysis (to calculate incidence of bribery on users). It should be stressed that some citizens might avoid contact with civil servants because of the level of corruption (if they fear to be victim of corruption and especially if they cannot pay). Therefore, the incidence of corruption must be computed taking into account the citizens who were in contact with the services concerned.
- The second important remark is related to electoral participation. To get the indicator on participation rate, we should take into account only registered citizens. Rate of registration is a useful indicator. Specific question should be asked to get the reason of non-registration, and another one should address the reasons which explain abstention (for the registered). One additional reason which might explain non participation (non-registration or abstention) is “do not trust the electoral commission”
- Since data statistics should not be related to only one person, the formulation of some question related to the president need to be reconsidered. Regarding the question on trust for example, the “president” could be replaced by “the executive”.

#### *Recommended methodological test for the transition phase*

One solution could be in some cases (when possible: in some countries or for some questions) to put in place a test-protocol to check to what extent the changes lead to different responses (methodology regarding this test is to be discussed and refined).

- For a certain number of respondents: add the old version of the question (same question with different wording)
- Or for the whole sample, put in the same questionnaire two questions with slight differences in terms of formulation

*Recommendation regarding the set of questions to be kept (or removed)*

Discussions can be organized with different stakeholders (NSOs, users, experts or researchers) in order to finalize the questionnaire design. But as the organization of such discussions may take time, each country can already at their level take decision on the questionnaire design of the following survey round. As a basis for discussions or to help countries to take rapid decisions if needed, we provide a first proposal which distinguishes three categories of questions (see in the appendix):

- The core questions which we recommend to keep. These questions have already been tested in different surveys and their relevance cannot be questioned (for example, questions which allow for the monitoring of SDGs indicators).
- questions which relevance can be discussed and could be removed (their global relevance especially in a second round survey - when GPS module is re-conducted after the first/pilot round - even if in some countries, it can be kept) ;
- Third, questions which removal can be considered (their relevance are not completely convincing and/or information already captured in other questions) especially if in some countries, the objective is to shorten the questionnaire.

#### *Opportunity offered by a GPS-Augmented module*

Beyond the basic platform, it was suggested that countries develop an additional set of specific questions that are appropriate for the national context. This option which was not yet really used by the pilot countries offers the opportunity to get more specific information on nationally relevant issues. Policy makers (or donors) might be interested to know (and measure) the impact of a specific measure or policy (on corruption, the efficiency of a public service, etc.)

### **1.1.3 Analysis and Dissemination**

A strategy of analysis and publication of the GPS-SHaSA module should be implemented. If possible, the list of due publications should be announced in advance, along a well-defined publication plan, and following the general publication commitment and strategy by the NSO. The strategy of analysis and publication should be flexible and adapted to the

local circumstances, but some elements should be compulsory. Noticeable efforts should be dedicated to the analysis and publication phase, as it has been the weakest component of the GPS-SHaSA pilot initiative.

#### Analysis

1. As quick as possible after the survey, some first results should be produced and publicly disseminated. The delays should be inferior to 3 months after the finalization of the exploitable micro data files, and 6 months after the end of the field work. The content of this first release may vary according to national context (available capacity). It may be very limited in scope (a few tables and figures), the key signal is that the survey already provides valuable information, and will give more in the future. The possibility of some further (light) revisions, due to a more in depth assessment of the survey, should be accepted and stressed.
2. A longer publication, which can have various forms (a more in depth analytical report; a list of tables and figures considering all sections of the questionnaire, etc.) should be released at maximum 3 months after the first publication. Whatever the type of publication, the exhaustive list of tables cross tabulating each GPS variables with the main sociodemographic characteristics (among which sex, area, education, and if possible poverty status or income/expenditure percentiles) should be systematically computed and posted on the NSO website.
3. In order to raise attention high on GPS and the survey, light thematic publications (fact sheets, policy briefs) should be issued every 3 months, until the implementation of a new round of GPS-SHaSA survey. Topical GPS issues, at the national or the international context, should be selected.

#### Dissemination

1. At least one dissemination event should be organized after the finalization of each document recommended above. The kind of event may vary: press release, public conference, etc.
2. In terms of support, classical printed publication should be NTIC. The NSO website should be systematically feed.

3. In terms of audience, a large audience should be targeted including not only policy-makers, donors but also the media which can inform ordinary citizens or specific groups who might be interested and be potential users of the GPS results

All documents (analytical and methodological) should be posted on the NSO website in due time.

#### 1.1.4 Training

A training (and sensitization) program is fundamental for the success of the surveys. It is all the more crucial since the subject tackled is not yet a classical one for NSOs. Therefore, the training should be comprehensive.

- Training for survey coordinators, supervisors and enumerators. As usual, the training should help to understand the general structure of the *GPS-SHaSA* modules, discuss key aspects of the questionnaires and the enumerators' manual. But it should also include a specific session to present the different aspects of Governance, Peace and Security issues. The survey supervisors and enumerators should have a clear understanding of the key terms and concepts used in these themes. They must be familiar enough with the survey objectives, the confidentiality issues, the topics (what exactly the modules are about) so that they can easily present the survey (formulation of a sentence as an introduction). Last but not least, given the difficulty to translate some questions/concepts in local languages, enumerators might need to practice during the training.
- Training sessions for the data analysis should also be organized as the NSOs officers (analysts) are not used to the topic. As they will be responsible not only for the analysis but also for the dissemination, they should measure the scope of the survey and *in fine*, understand to what extent findings can be helpful to define adequate policy. The objective of the training is to make them aware of the wealth of the collected information which allows for in-depth policy-oriented analyses.

## 1.2 ADMINISTRATIVE DATA

The main challenges in collecting administrative data are not related to ministries or agencies refusing to share data, but rather to the unavailability of data, or to its poor quality. In most countries, ministerial budgets for statistical data production are dismally low. Therefore, recommendations address mainly two types of challenges: organizational and technical issues. On the first front, the coordination (connection) between the different ministries or agencies in order to harmonize definitions, formats, schedules and to get compatible, consistent and comprehensive data constitutes a huge task. But the data quality depends not only on the organization or structure in charge of the data collection and harmonization, upstream, the availability of data does not guarantee its reliability. Technical capacity of each data-producing administrative entity should be assessed and reinforced.

Going forward, NSOs will need considerable financial and technical support to establish the necessary structures and capacities for administrative data collection across GPS data-producing government entities. NSO focal points estimate that a 2-year training program is needed to build the necessary capacity in data-producing government entities; such a training program should be supplied jointly by NSOs' GPS focal points and external experts.

Dedicated financial resources to support the institutionalization of statistical units in ministries and agencies would help tackle another type of challenge, namely the frequent turnover of personnel within institutions which leaves NSOs without statistical focal points in ministries even after having invested in skill-building in certain employees who are then incentivized to move on to more lucrative jobs in the private or non-governmental sectors.

## 2 INSTITUTIONAL ARRANGEMENTS

The main objective of the institutional arrangements is to institutionalize and sustain the *GPS-SHaSA* initiative over time. Our proposals are declined along three nested scales (national, regional and international) and articulated around NSOs.

## 2.1 NATIONAL

**Within the NSOs**, a specific structure should be clearly identified in the organigram to locate the GPS statistics. This proposal was initially planned, but to our knowledge, up to now, it was not implemented in none of the pilot countries. The most ambitious option would be to create a structure, depending on how the NSO is organized (service, direction, etc.) at the same level than other statistical field in the NSO (labour statistics, income/expenditure statistics, price statistics, enterprise statistics, national accounts...). A second best option would be to add the GPS new topic to an already existing service/department. In this case, it should be in line with the thematic and the instruments. For instance it would be confusing and inappropriate to locate GPS statistics within the National Account service. Of course the highest position in the organigram, the better. Additionally, whatever the GPS statistics location within the NSO, it should be located in a unique structure, avoiding to split GPS stats by instruments: Add-on survey *GPS-SHaSA* modules on one side and Administrative data on the other).

National institutional arrangements should be considered not only at the NSOs level but **beyond NSOs**. First, by the definition, the collection of GPS Administrative data implies other institutions. The NSOs should edict statistical standards to guaranty the quality of data, coordinate the statistical protocols and activities with the different institutions administratively in charge of specific fields (line Ministries: education, health, justice, police, fiscal administration, customs, etc.).

Second, Independent Commissions on GPS statistics (IC-GPSs), including and under the leadership of the NSO, should be put in place. IC-GPSs are supposed to fulfil two objectives. On the one hand, the IC-GPSs will gather the stakeholders, those involved in the production of GPS Statistics (supply side) and those interested in using GPS Statistics (demand side). In terms of organisation, IC-GPSs comprise Ministries and public bodies, academia and individual experts, private sector and civil society. They should include the best specialists of the issue (measurement, analysis and policies). We will not develop here the classical and well known arguments why favouring



the dialogue between data producers and data users. It is fundamental (a space of concertation, a multiplier to broaden the use of statistics, a potential source of funding, etc.). On the other hand and more original, the IC-GPSs will have a mission to guaranty and secure the sustainability and the integrity of GPS Statistics. IC-GPSs offer a protection for statisticians in their interactions with the political power. The experience of the Peruvian NSO building up the Poverty Independent Commission is one of the best examples to illustrate the concrete positive effect of effective Independent Commission on NSO credibility (see Herrera et al., 2015)

## 2.2 REGIONAL

At the regional and subregional levels, the same kind of institutional arrangements should be promoted. First, the new born division of statistic of the AUC (StatAfric) should be the focal point of GPS Statistics in Africa. It is *StatAfric* mandate to coordinate the SHaSA, under which GPS Statistics is embedded as its STG#1. It is also under the auspice of the former AUC statistics division that the GPS-SHaSA and developed (2012-2015). As in NSOs, a specific structure within *StatAfric* should be created to host GPS Statistics. Its role would be to enact statistical norms. It should ensure horizontal coordination with the other continental statistical centres (in particular AfDB and UNECA). It should ensure vertical coordination: down with subregional centres and NSOs; and up with international organisations. Finally, it should promote GPS Statistics in all respects; notably with continental institutions (APRM) and donors operating in Africa.

The same kind of institutional arrangements should apply at the subregional level (statistical division in WAEMU, SADEC, etc.), in the application of the principle of subsidiarity

In parallel, the following concrete actions or options should be considered to consolidate the GSP-SHaSA process:

- It would be strategic for the STG1 to establish close working relationships with the AU team responsible for steering the Africa 2063 agenda: an important contribution of the SHaSA GPS indicators will be to offer a reliable and

harmonized evidence base for monitoring the implementation of the peace/governance aspects of Agenda 2063.

- If there is a structure in the AU which focuses on the SDGs/2030 Agenda, it would also be strategic for the STG1 to liaise closely with it, so as to ensure that the harmonized SHaSA GPS dataset is duly considered (and promoted) for reporting back on Goal 16 implementation.
- Before the start of the 2nd phase, it might be useful to revisit the membership of the STG1 to reduce it only to the most committed representatives of all 5 regions (current membership includes countries that have not even started to collect GPS data). A smaller committee composed of the most committed DGs should help steer the way forward in a more decisive way. They should play a much stronger role as champions/advocates for the initiative, and in formulating/supporting the scaling-up strategy (also keeping in mind the limited capacity in the AU Stats Division).
- Likewise, a new Chair for the Group (at the DG level) could be 'elected' by the community of DGs at the next CODG meeting.
- As we enter the 2nd phase, the AU Stats Division could send out an official communication to all DGs, as was initially done when we started the pilot phase, to request expressions of interest for 1) being a member of the STG1, and 2) for embarking on GPS data production (either as neophyte or for 2nd round of data collection)

## 2.3 INTERNATIONAL

At the international level, two interlinked main statistical bodies are in charge of GPS Statistics: the Statistics Division of the UN and the Praia Group on Governance Statistics, the latter being commissioned by the former. One have to remember that historically, the Praia Group is an outcome of the GPS-SHaSA initiative,<sup>1</sup> even if today the scope of the former is global, while the latter is restricted to Africa. **The main recommendation at the international level would**

<sup>1</sup> Praia Group has been created at the initiative of the GPS-SHaSA initiative. The INECV of Cape Verde had no previous experience in collecting surveys on GPS, which it develop as a pilot country of the GPS-SHaSA initiative.

**be to keep the worldwide leadership of Africa in the field of GPS Statistics, by all means.** The Praia Group is the first institution where to disseminate the African long lasting experience. The fact that the NSO of Cape Verde is part of the GPS-SHaSA initiative is a clear advantage, even if since the creation of the Praia Group in 2015 the INECV tended to neglect its African roots. Beyond the Praia Group, the GPS-SHaSA

initiative should be proactive with all initiatives about GPS Statistics in the international arena. It should keep aware of new initiatives and ready to promote its own experience in the field. More than international GPS Statistics initiatives, all GPS initiatives, in particular in the fields of policies should be targeted. At the core, all activities linked to SDG 16 should be tightly scrutinized by the GPS-SHaSA monitoring service.

# Annex B

## Proposal regarding the questionnaire (basis for discussion)

We suggest a first proposal which distinguishes three categories of questions:

**A. Question** the core questions which we recommend to keep. These questions have already been tested in different surveys and their relevance cannot be questioned (for example, questions which allow for the monitoring of SDGs indicators).

**B. questions** which relevance can be discussed and could be removed (their global relevance can be questionable even if in some countries (especially for a first round survey), it can be kept;

**C. questions** we suggested to remove (their relevance is not convincing and/or information already captured in other questions).

### GOVERNANCE MODULE

The questionnaire comprises 23 questions (or sequences of questions), which may be divided into five major groups:

- the first series of questions focuses on human rights and democratic principles (Q1 to Q6)
- the second series covers institutions (access, trust, functioning) (Q7 to Q10)
- the third series seeks to assess transparency and control of corruption (Q11 to Q15)
- the fourth series focuses on electoral processes (Q16 to Q18)
- the final series attempts to define the nature and extent of citizen participation (Q19 to Q23)

### HUMAN RIGHTS AND DEMOCRACY

**Question Q1.** Are human rights respected in this country? (Circle the corresponding figure)

1. Not at all 2. Rarely 3. Often 4. Completely

**Question Q2.** Democracy is often associated with the following characteristics.

- A. Freedom of expression
- B. Freedom of the press (media)
- C. Equality before law
- D. Political freedom
- E. Free and fair elections
- F. Freedom of movement
- G. Religious freedom
- H. Freedom of association
- I. Absence of discrimination

a) Which do you consider essential?

Essential: 1. Yes 2. No

b) Are they respected in this country?

Respected: 1. Never 2. Rarely 3. Often 4. Always

**Question Q3.** Overall, how satisfied are you with the way democracy works in your country?

Not at all satisfied

Slightly satisfied

Somewhat satisfied

Very satisfied



**Question Q4.** What do you think of the following ways of governing this country?

- A. Power concentrated in the leader, who doesn't worry about parliament or elections
- B. The army rules the country
- C. People choose their representatives to run the government

For each of the suggested political systems, the interviewer must circle the figure corresponding to the answer. The respondent has a choice of four answers: **1. Strongly disagree 2. Disagree 3. Agree 4. Strongly agree**

**Question Q5.** People are sometimes discriminated against on various grounds. These grounds include:

- A. Ethnicity / race
- B. Language / dialect
- C. Religion
- D. Regional origin (province, region)
- E. Nationality
- F. Poverty or wealth
- G. Sex / gender
- H. Disability
- I. Political affiliation
- J. Homosexuality

In this country:

- a) Do you think there is discrimination related to [these grounds]? **1. Never 2. Rarely 3. Often 4. Always**
- b) Have you ever been victim of discrimination due to [these grounds]? **1. Yes 2. No**

**Question Q6.** Do you agree with the idea that women should have the same chance as men of being elected to political office? **1. Strongly disagree 2. Disagree 3. Agree 4. Strongly agree**

## INSTITUTIONS (ACCESS, TRUST, AND FUNCTIONING)

**Questions Q7.** There are two questions for each service or institution:

**Q7.a)** Have you used the following services/ institutions during the last 12 months? **1. Yes 2. No**

**Q7.b)** How much do you trust them? **1. Not at all 2. Slightly 3. Somewhat 4. Completely**

- A. Civil service (in general)
- B. Courts of justice
- C. Police
- D. Public hospitals and clinics
- E. Public schools
- F. Tax / custom authorities
- G. Social security system
- H. State media
- I. The Parliament
- J. The Army
- K. The President
- L. The Prime Minister (if applicable)
- M. The mayor

**Question Q8.** How often do you think the following listen to people like you? **1. Never 2. Rarely 3. Often 4. Always**

- A. Members of Parliament / National Assembly
- B. Local elected officials / councilors
- C. Leaders of community organizations / traditional leaders

**Question Q9.** How well do you think your local authority is handling the following: **1. Very badly 2. Badly 3. Well 4. Very well**

- A. Reporting back to the people
- B. Consulting traditional / community leaders
- C. Delivering local services

**Question Q10.** In your opinion, how much power do local authorities have? **1. None 2. Little 3. Enough 4. Too much**

## TRANSPARENCY AND CONTROL OF CORRUPTION

**Question Q11.** How much information is provided by central authorities to citizens on government decisions? 1. **None** 2. **Little** 3. **Enough** 4. **Very comprehensive**

### Questions on corruption (Q12 to Q15)

**Question Q12.** To what extent do you think that corruption is a problem in this country? 1. **Not at all** 2. **Sometimes** 3. **Often** 4. **Always**

**Question Q13a.** In the past 12 months, have you had to give money or to offer a gift to a civil servant? (1. **Yes** 2. **No**) (if No → Q14) + 3. **No contact**

**Question Q13b.** If yes, how often? 1. **One time** 2. **Two to five times** 3. **More than five times**

**Question Q13c.** If yes, most of the time, in which service / department does it happen?  
1. **Health** 2. **Education** 3. **Police** 4. **Other basic services (water, electricity)** 5. **Tax/customs** 6. **Justice** 7. **Other (specify)**

**Question Q14.** To what extent do you think the following people are involved in corruption?  
1. **Not at all** 2. **Rarely** 3. **Often** 4. **Very much**

Fill in the line for each type of institution: The respondent must answer for each of the institutions (groups or personalities) concerned:

- A. Civil servants (in general)
- B. Health civil servants
- C. Education civil servants
- D. Police
- E. Tax and custom officials
- F. Judges, magistrates and judicial officials
- G. The President
- H. The Prime Minister (if applicable)
- I. Ministers
- J. Members of Parliament
- K. Locally elected officials
- L. Religious leaders
- M. Traditional leaders

**Question 15.** The aim of these questions is to determine whether respondents are aware of the existence of any official anti-corruption mechanism,

and to obtain their assessment of its effectiveness, with an emphasis on the strategic value of information.

**Q15a.** Do you have knowledge of the existence of an anti-corruption body in this country? 1. **Yes** 2. **No**

**Q15b.** How effectively is your government handling the fight against corruption?  
1. **Not at all** 2. **Not very** 3. **Fairly** 4. **Very**

**Q15c.** Are you aware of the government's efforts to fight corruption? 1. **Yes** 2. **No**

## ELECTORAL PROCESSES

**Question Q16a.** Did you vote in the last presidential\* election? 1. **Yes** 2. **No** 3. **Did not register on the electoral roll** [\* or equivalent of presidential elections in countries where such elections do not exist]  
If second round of GPS If there was an election since the last round

**Question Q16b.** If not, why not?

- A. No candidate / party represented your views
- B. Voting does not make a difference
- D. Had difficulty to register on the electoral roll
- E. Name was not on the roll in spite of registration
- F. Was not of voting age at the time of election
- G. Did not have ID
- H. Other reason \_\_\_\_\_ (specify)

**Question Q17.** Do you think that politicians respond to the population's concerns and needs? 1. **Never** 2. **Sometimes** 3. **Often** 4. **Always**

**Question 18.** To what degree do you think the government takes the concerns of the following groups into account? 1. **Not at all** 2. **Rarely** 3. **Often** 4. **Completely**

- A. Opposition parties
- B. Non-governmental organizations / civil society organizations
- C. Local authorities
- D. Private sector

## NATURE AND EXTENT OF CITIZEN PARTICIPATION

**Question Q19.** Are you an office-bearer or a member of a voluntary association? Three answer modalities are suggested: **1. Yes (office-bearer) 2. Yes (member) 3. No**

- A. Local (neighborhood, etc.)
- B. Religious
- C. Professional
- D. Cultural
- E. Savings group
- F. Political party
- G. Sporting group
- H. Recreational group
- I. Others (specify) \_\_\_\_\_

**Question Q20.** Among political parties, is there one that you identify with? **1. Yes 2. No**

**Question Q21.** How interested are you in politics?  
**1. Not at all 2. Slightly 3. Somewhat 4. Very**

**Question Q22.** How often do you discuss politics with those close to you (family, friends, colleagues)?  
**1. Never 2. Sometimes 3. Often 4. Very often**

**Question Q23.** Have you taken part in a protest in the last 12 months, such as:  
A. Petition **1. Yes 2. No**  
B. Strike **1. Yes 2. No**  
C. Demonstration **1. Yes 2. No**

## PEACE & SECURITY MODULE

The questionnaire comprises 13 questions (or sequences of questions), which may be divided into five major groups:

- The purpose of the first series of questions is to draw up a general diagnosis of the peace and security situation by defining which threats are perceived as most worrying, as well as people's general feelings of safety and satisfaction with their lives (Q1 and Q2, Q13).
- The second series focuses on citizens' safety as a whole, and especially their physical integrity and the crime levels that they have to deal with (Q3 à Q5).
- The third series covers peoples' perceptions of conflicts, in particular the prevalence of conflicts, their underlying causes, and the future trends where conflicts are concerned (Q9 and Q10, Q12).
- Finally, the last series of questions specifically covers public security services (mainly police, gendarmerie, and the military) and examines how ordinary people perceive their efficiency and transparency, and to what extent they are trusted (Q6 to Q8, Q11)

**Questions Q1.** How much do you worry about the following potential threats to your security, in your day-to-day life?

**4 answer modalities are suggested: 1. Not at all 2. A little 3. Fairly 4. A lot**

- A. Criminal violence
- B. Violence between communities
- C. Violence against women
- D. Armed conflict or warfare
- E. Terrorism
- F. Death, or injury from natural disasters (e.g. floods)
- G. Health hazards
- H. Poverty
- I. Unemployment
- J. Hunger
- K. Eviction (from your residence or your land)
- L. Human trafficking
- M. Others (specify) \_\_\_\_\_

**Questions Q2.** How safe do you feel in the following situations?

**5 answer modalities are suggested: 1. Not at all safe 2. A little safe 3. Fairly safe 4. Completely safe 5. Not applicable**

- A. Walking alone in your area during daytime
- B. Walking alone in your area at night
- C. Being alone at home during daytime
- D. Being alone at home at night
- E. Waiting for, or in public transport (in your area)
- F. At your workplace (e.g. fields, market, job, etc.)
- G. In public places, e.g. shopping centre, church



### Questions Q3.

The series of questions under Q3 are aimed at assessing the actual levels of violence (against persons or goods) that the respondent has directly suffered during the reference period (last 12 months prior to the survey). Here, we are no longer measuring subjective perception, but rather actual experience.

Eight types of violence are described:

- Modality A. Physical assault (excluding sexual assault): *You were physically assaulted (injured, slapped, punched, kicked, etc.)*
- Modality B. Burglary with (attempted) robbery: *Someone got into your residence without permission and stole or tried to steal something*
- Modality C. Specifying modality B: *With or without violence.*
- Modality D. Damage to property: *Someone deliberately destroyed or damaged your home, shop, or any other property that you or your household owns*
- Modality E. (Attempted) personal theft outside your home: *Something was stolen from you outside your home*
- Modality F. Specifying modality E: *With or without violence.*
- Modality G. Sexual assault: *You experienced sexual harassment*
- Modality H: Rape: *You were raped or experienced attempted rape*

They are formulated according to the same type of three embedded sequences.

**Q3.a)** Over the past 12 months, did the following (A to H below) happen to you? **1. Yes 2. No**

The respondent is asked if they have been a victim of one of the eight types of violence cited below.

**Q3.b)** If yes, did you or anyone else report the incident to public security services, or to other institutions?

**8 answer modalities are suggested:**

- A. Did not report**
- B. To public security services**
- C. To family / friends / neighbors**
- D. To community structures**

**E. Justice courts**

**F. Social services**

**G. Civil society organizations**

**H. Local administration**

**I. Other (specify)**

**Q3.c)** If you reported the incident, how satisfied were you with the way your problem was dealt with?

4 answer modalities are suggested: **1. Not at all satisfied 2. A little satisfied 3. Fairly satisfied 4. Completely satisfied**

### Questions Q4.

[Remark: as in Q3 the results for different countries reveal very low percentage of “yes”. Not sure it is the best way to capture and measure this phenomenon. Relevance of question 4 for countries where GPS is re-conducted, second or third round-survey, can be discussed]

**Q4a.** Over the last 12 months, has anyone threatened you with a firearm? **1. Yes 2. No**

**Q4b.** Over the last 12 months, has anyone threatened you with any other weapon (e.g. knife, machete, razor blade, axe, screwdriver)? **1. Yes 2. No**

**Q4c.** How widespread would you say firearm ownership is in your area?

**4 answer modalities are suggested: 1. Not at all widespread 2. A little widespread 3. Fairly widespread 4. Very widespread**

**Q4d.** Do you feel the need to own a firearm to protect yourself and your household? **1. Yes 2. No**

**Q4e.** Do you (or someone in your household) own a firearm? **1. Yes 2. No**

**Question Q5.** In your view, how likely is it that you may be the victim of some crime?

**4 answer modalities are suggested: 1. Not at all likely 2. Not very likely 3. Fairly likely 4. Very likely**

### Questions Q6.

[Relevance of question 6, especially for countries where GPS is re-conducted, second or third round-survey, can be discussed]

**Q6a.** Do you think that some people are discriminated against by public security services?

1. Yes 2. No

**Q6b.** Is there discrimination by public security services in relation to... [A-J below]? 1. Not at all 2. A little 3. Somewhat 4. A lot

**Q6c.** Have you yourself ever been a victim of discrimination by public security services, due to your... [A-J below]? 1. Yes 2. No

- A. Race / ethnicity
- B. Language / dialect
- C. Religion
- D. Regional origin (province, region)
- E. Nationality
- F. Poverty or wealth
- G. Sex (gender)
- H. Disability
- I. Political affiliation
- J. Homosexuality

**Questions Q7.** Overall, how effective are public security services in addressing security problems? 4 answer modalities are suggested: 1. Not at all effective 2. A little effective 3. Fairly effective 4. Very effective

A. All forms of crime

Among those, specifically:

- B. Violence against women
- C. Violence against children

#### Questions Q8.

*[Relevance of question 8 especially for countries where GPS is re-conducted, second or third round-survey, can be discussed]*

This battery of questions is the (simplified) equivalent of questions Q12 and Q13 on corruption in the governance module, but it applies only to public security services. The answer modalities are exactly the same.

#### Questions Q9.

**Q9a.** These days, is there any tension, conflict or violence between groups in your area? (1. Yes 2. No) (if no → Q10)

**Q9b.** If yes, in your opinion, what is the origin of this tension?

Nine (9) answer modalities are suggested:

- A. Economic competition
- B. Scarce natural resources
- C. Ethnic / tribal differences
- D. Linguistic/dialect differences
- E. Religious differences
- F. Political factors
- G. Territorial disputes
- H. Gangs
- I. Other \_\_\_\_\_ (specify)

**Q9c.** Thinking about your area, over the past 12 months, did the tension or violence between different groups increase or decrease?

4 answer modalities are suggested: 1. Decreased 2. Did not change 3. Increased 4. Greatly increased

**Q9d.** In your view, how do you expect the situation to evolve over the next 12 months?

4 answer modalities are suggested: 1. Will get better 2. Will stay the same 3. Will get worse 4. Will get much worse

#### Questions Q10.

The aim of this battery of questions is to describe local conflict resolution modes (at the respondent's place of residence): types of institutions, and their effectiveness.

**Q10a.** In your area, is there any means, institution or person to help resolve conflicts? 1. Yes 2. No

**Q10b.** Where do people usually go to get help for resolving a conflict?

7 answer modalities are suggested: A. Public security services B. Local committee C. Administrative authorities D. Political leaders E. Traditional leaders F. Religious leaders G. Other (specify)

**Q10c.** How effective is this?

4 answer modalities are suggested: 1. Not at all effective 2. A little 3. Fairly 4. Very effective

**Question Q11.** How much do you trust the government to protect you, your household and your property from crime and violence?

4 answer modalities are suggested: 1. Not at all 2. A little 3. Fairly 4. Completely

### Questions Q12.

**Q12a.** In your country, to what extent can most people be trusted?

4 answer modalities are suggested: 1. Not at all trusted  
2. A little trusted 3. Fairly trusted 4. Completely trusted

**Q12b.** In particular, to what extent do you trust:

4 answer modalities are suggested: 1. Not at all 2. A little  
3. Fairly 4. Completely

- A. Your relatives
- B. Your neighbors
- C. People from a different ethnic group / race than yours
- D. People with a different language / dialect than yours

- E. People with a different religion than yours
- F. People with a different political affiliation than yours
- G. People with a different nationality than yours

### Questions Q13.

**Q13.** Taking all things together, would you say that you are:

- A. Safe?

4 answer modalities are suggested: 1. Not at all safe  
2. A little 3. Fairly 4. Completely safe

- B. Happy?

4 answer modalities are suggested: 1. Not at all happy  
2. A little 3. Fairly 4. Completely happy



## SPECIFIC COMMENTS ON THE TWO QUESTIONNAIRES (FEEDBACK)

### DETAILED COMMENTS ON GOVERNANCE MODULE

Questions	Comments
1	The term 'Human rights' was not understood by most respondents
2	The terms 'democracy' and 'essential' had to be explained
2	Suggested new formulation : <i>Nous voulons, à travers les questions qui suivent, savoir votre avis sur les caractéristiques essentielles de la démocratie.</i> (Introduction à la question 2a.A) <i>Pensez-vous que le fait pour les gens d'être libre de dire ce qu'ils veulent est essentiel pour qu'on parle de démocratie ?</i> (question 2a.A) ou simplement <i>Le fait pour les gens d'être libre de dire ce qu'ils veulent vous semble-t-il essentiel pour qu'on parle de démocratie ?</i> (question 2a.A)
4	Option 'A' was not well understood
4	Some respondents were reluctant to respond
5b	Need to add 'in the past 12 months' (to be able to track trends)
7	For "A. Public services (in general)", examples should be given in order for the respondent to understand.
7	In Uganda, not everyone has access to state media and parliament. These boxes were blocked, for 'access'.
7	The question on trust should be asked to every respondent (user or not user of services). In some countries, only users answers the question on trust. But it is not necessary to use a service to declare if one trust this service or not (afterwards, it is possible to look at the difference between users and not users)
8	Some people do not know how to respond if they never had any contact with their MP/senator. Add 'don't know'
11	Question was too complicated; need further explanations, or break it down to focus on certain types of information
13	Need to re-insert modality 'no contact with civil service'; essential information for analysis (to calculate incidence of bribery)
13b	"More than five times" as the maximum sounds extremely low, if it's on an annual basis. The average taxi driver probably needs to pay the average police officer 5 times per MONTH, so that would be 60 times per year, plus all the other times they have to pay to get other types of services. The extent of corruption is probably much higher.
13c	The problem with this question is that you risk stigmatizing certain professions unfairly. It follows immediately after your question about petty corruption. Of course, people generally will report those professions they get in touch with most often, i.e. doctors, teachers and police. The question could be replaced or could be balanced with another more neutral question: <b>"In which sector do you think there is the most corruption: customs, land management, mining industry, oil industry, health sector, education sector, police, army, gendarmerie, justice, tax office, ministry or local administration delivering driving license, identity cards, passports, etc. (please pick the three sectors that are most corrupt according to you)"</b> The answers may still tilt towards the sectors where people are most in contact with, but at least there is a higher chance of getting other sectors exposed.
13	Would be useful to have a separate question on corruption in the natural resource sector: <b>Do you think there is much corruption in the exploitation of natural resources (gold, oil, fisheries, forestry, etc.)</b> "not at all", "somewhat", "much", "very much". It could be done as one question or disaggregated per sector to get a clearer sense.
13	There is no gender-specific question on corruption. One question could be the following: <b>"Has a public servant, teacher or employer ever asked you for a sexual favour in return for a service?"</b> Yes / No (the boys will smile at this question, the girls will likely think twice before they answer the question, either truthfully or by hiding the truth.) The 25% statistic on undermeasurement may apply here... Nevertheless, it would be good to get statistics out on that matter, especially in Africa, where sexual favours for obtaining services, good notes, a degree, a promotion or a job is very current.
14	'A. Public servants in general' could be removed since it is broken down in A, B, C, etc. Used 'yes' or 'no' instead of a 4-point scale.
14	Non-elected local officials are not included in the list, i.e. appointed governors for districts, provinces, states. It would be good to include them. Also perhaps include "business people", otherwise the private sector is entirely absent from your questionnaire, when they are very often part and parcel of the problem and also need to be exposed.
15b	Asking at national level is too broad; next time, should ask at district/village level.



Questions	Comments
15b	Government may be effective in addressing certain types of corruption, but not so effective with other types. Need to have more specific questions.
15c	Whether people are aware or not about the government's efforts to fight corruption doesn't tell you anything really. If a government is truly fighting corruption, you can be sure everybody will know. When the government is not fighting corruption, obviously people will not be aware. A better question would be <b>"How effective is the national anti-corruption authority in its fight against corruption" (name of the authority to be customized by country).</b> Another useful question would be <b>"Is the anti-corruption body independent from the government in your view?"</b>
16	Some respondents found this question to be 'political' (i.e. potentially misused for political ends)
16	Add first question: <b>Did you register?</b> To be able to calculate: a) participation rate = voted / registered b) Non-registration rate = non-registered / population of voting age c) Abstention rate = did not vote / registered  Also, perhaps remove modalities C (did not register on the electoral roll) and D (had difficulty to register on the electoral roll) if we first ask 'did you register'. Currently, a respondent can say that he did not vote because 'voting does not make a difference' but it might also be the case that he had not registered.
16	Add 'lack of trust in the national electoral commission' (same as 'voting does not make a difference?')
16	Add 'fear of violence at the polls' and 'others do not make me feel comfortable voting' i.e. discriminatory social norms (reasons that are particularly relevant to women)
17	Formulation needs to be revised.
19	Re-insert "kinship" or "associations d'originares". For certain countries like Madagascar, different from family.
20	Formulation needs to be revised. In Uganda, we asked: "do you belong to a political party?"
21	Q21 should come BEFORE Q20.

## DETAILED COMMENTS ON PEACE & SECURITY MODULE

Questions	Comments
3	Need to explain clearly what the term 'public security services' mean
5	Would be useful to break down the question for different types of crime.
6	The public security services are many in Uganda. Better to break down the question for each institution (police, army, etc.). Uganda did so during data collection
6c	Need to add 'in the past 12 months' (to be able to track trends)
8a	It would be useful to disaggregate the data for the police, the gendamerie and the army.
8c	"More than five times" as the maximum sounds extremely low, if it's on an annual basis. The average taxi driver probably needs to pay the average police officer 5 times per MONTH, so that would be 60 times per year, plus all the other times they have to pay to get other types of services. The extent of corruption is probably much higher.
12a	Not specific enough, not well understood. Q12b was better understood.
13	Need to further define 'safe' and 'happy', in the questionnaire
	Suggestion : Missing a question on "Do you feel safe to get involve in a civil society organization or other forms of association"?

More general comments to be discussed

- Sometimes it is necessary to add a) don't know, b) not applicable, c) did not answer.  
*Remark : But given existing experience, one should have in mind that when "Don't know/Don't want to respond" is offered on the questionnaire, fieldworkers tend to read it out, and respondents then choose it. It leads to an increased no-answer rate. Rather, it is more important to train the fieldworkers to enter the relevant code if the respondent, of her/his own accord, declines to answer.*
- Need to harmonize terminology in questionnaire:  
Example: 'population' vs. 'citizens'

# Endnotes

- 1 The 2013 Report, "A new global partnership: Eradicate poverty and transform economies through sustainable development" is available at <http://www.post2015hlp.org/wpcontent/uploads/2013/05/UN-Report.pdf>
- 2 The 2014 "Open Working Group proposal for Sustainable Development Goals" is obtainable at <https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1579SDGs%20Proposal.pdf&embedded=true>.
- 3 These reports are referenced or appended subsequently, in section 1.2 below.
- 4 This thread draws on M. Razafindrakoto and F. Roubaud (2015), "Les modules *Gouvernance, Paix et Sécurité* dans un cadre harmonisé au niveau de l'Afrique (GPS-SHaSA): développement d'une méthodologie d'enquête statistique innovante", *Statéco*, 109, 111-141.
- 5 M. Razafindrakoto and F. Roubaud (1996), "Ce qu'attendent les Tananariviens de la réforme de l'Etat et de l'économie", *Politique Africaine*, No. 61, pp.54-72.
- 6 For example, M. Razafindrakoto and F. Roubaud F. (2005), "Gouvernance, Démocratie et Lutte contre la Pauvreté": Enseignements tirés des enquêtes 1-2-3 en Afrique francophone", *Statéco* No. 99, pp.117-141 ; J. Herrera, M. Razafindrakoto, F. Roubaud (2007), "Governance, democracy and poverty reduction: Lessons drawn from household surveys in sub-Saharan Africa and Latin America", *International Statistical Review*, 75(1), pp.70-95; Dang Giang, Nguyen Thi Kieu Vien, Nguyen Thuy Hang, M. Razafindrakoto, F. Roubaud and M. Salomon (2011), *Youth integrity in Vietnam: Piloting transparency international's youth integrity survey*, Cecodes, DIAL, Live and Learn, Transparency International, Towards Transparency, Hanoi.
- 7 <http://www.afrobarometer.org/about>.
- 8 <http://mo.ibrahim.foundation/iiag/>
- 9 This thread draws on Mark Orkin, "Democratic governance and accountable institutions", mimeo, 2013; prepared for the CIGI-Canada) and KDI-Korea project "Towards a post-2015 development paradigm: Promoting the next set of development goals and targets".
- 10 United Nations Millennium Declaration, Resolution 55/2 of the General Assembly, 6-8 September 2000.
- 11 The annual expert-based assessments of Freedom House, a US based think-tank.
- 12 Specific aspects of governance measurement – e.g. by UNODC, UNOHCHR, the World Bank. OECD etc. – are referenced in the "Report of Cabo Verde on governance, peace and security statistics" to the 45<sup>th</sup> session of the UN Statistical Commission, mentioned in section 2.3.3: UN document E/CN.3/2015/17 of 9 December 2014, at <http://unstats.un.org/unsd/statcom/doc15/2015-17-CaboVerde-E.pdf>.
- 13 The many contributions at Montreux may be found at <http://www.portal-stat.admin.ch/iaos2000>.
- 14 These are summarised in several publications at <http://gaportal.org/resources/836>.
- 15 C. Naval *et al.* (eds), "Measuring human rights and democratic governance", special issue of *OECD Journal of Development*, 9:2 (2008).
- 16 Mark Orkin *et al.* (2011), "Towards the democratic monitoring of governance: the Metagora experience", in Goran Hydén and John Samuel (eds), *Making the State Responsive: Experience with Democratic Governance Assessments* (New York: UNDP).
- 17 Joseph F. Stiglitz *et al.* (2009), "Report by the Commission on the measurement of economic performance and social progress", para. 119 on p.58, at <http://www.stiglitz-sen-fitoussi.fr>.
- 18 At [http://hdr.undp.org/en/media/HDR\\_2002\\_EN\\_Overview.pdf](http://hdr.undp.org/en/media/HDR_2002_EN_Overview.pdf)
- 19 At [http://www.eisa.org.za/aprm/pdf/APRM\\_Declaration\\_Governance.pdf](http://www.eisa.org.za/aprm/pdf/APRM_Declaration_Governance.pdf).
- 20 Steven Gruz, "More than just self-assessment: the experience of the African Peer Review Mechanism", in Hydén and Samuels (eds), *Making the State Responsive*, *op. cit.*
- 21 <http://www.afdb.org/fileadmin/uploads/afdb/Images/Photos/eng-charte.pdf>
- 22 Benin, Burundi, Cameroon, Cape-Verde, Chad, Congo-Brazzaville, Democratic Republic of Congo, Gabon, Guinea-Conakry, Côte d'Ivoire, Kenya, Madagascar, Malawi, Mali, Niger, Senegal, Seychelles, Togo, Tunisia and Uganda.
- 23 The information on Cape Verde reflects what may be obtained from the website of INECV, since it did not submit a completed template nor representatives to the GPS-SHaSA learning workshop, organized in Addis Ababa by UNDP and the AU Statistics Division in November 2015.
- 24 Razafindrakoto M., Roubaud F. (2014), *Les deux modules harmonisés «Gouvernance» et «Paix et Sécurité» (à greffer sur des enquêtes socio-économiques auprès des ménages)*. Manuel d'enquête, AUC and UNDP, Addis Ababa.
- 25 ECA (2005), *Striving for Good Governance in Africa. Synopsis of the 2005 Africa Governance Report*, Economic Commission for Africa, Addis Ababa.
- 26 It should be added that the Afrobarometer surveys are already in their sixth wave while the GPS-SHaSA surveys are still in a pilot phase, which may also influence the degree of confidence of respondents and therefore the results.
- 27 The issue of restraining the length of the questionnaire to one page does not arise when PDAs (Personal Digital Assistants), rather than paper questionnaires, are used for conducting interviews. The layout of paper questionnaires can also be redesigned to suit local design practices in each country. *Nevertheless, while the questionnaire layout may vary, it is imperative that the formulation of questions does not change.*
- 28 UNODC, UNECE (2010), *UN Manual on Victimization Survey*, United Nations Office On Drugs And Crime & United Nations Economic Commission For Europe, Geneva; UNDOC, INEGI (2014), *Crime Victimization Surveys: Trainer Manual*, Center of Excellence, Mexico.
- 29 Steven Gruz, "More than just self-assessment", *op. cit.*
- 30 KNBS *et al.* (2015), "Report of the pilot exercise on collection of governance, peace and security statistics: administrative data", Nairobi.
- 31 KNBS (2014), "Governance, peace and security statistics training workshop report: Nakuru, 19<sup>th</sup> -23<sup>rd</sup> May, Nairobi.
- 32 Burundi similarly reports achieving 80% of "core" indicators, and without the advantage of a prior governance entity in the NSO.
- 33 Section 3.1 summarises an invaluable analytical overview of GPS-SHaSA compiled by Marie Laberge, Governance Specialist at the UNDP Regional Bureau in Dakar, who co-ordinated the GPS-SHaSA rollout for the first three of the four years reported here.
- 34 The proceedings of the main consultations are referenced at n.22 in "Report of Cabo Verde on governance, peace and security statistics" *op. cit.*
- 35 United Nations Economic and Social Council, Statistical Commission (2002), "Report of the Friends of the Chair of the Statistical Commission on an assessment of the statistical indicators derived from United Nations summit meetings", E/CN.3/2002/26.
- 36 "A new global partnership: eradicate poverty and transform economies through sustainable development (A/67/890).
- 37 NSOs: Cabo Verde, Brazil, Cameroon, East Timor, Egypt, France, Guinea-Bissau, Hungary, Mexico, Mozambique, Niger, Palestine, Philippines, South Africa, Tunisia, Peru; African Development Bank, DIAL, ECOWAS, G7 +, OECD, OHCHR, Paris21, UNDP New York, UNDP Praia, Saferworld, UN Women.
- 38 The once-off support was noted at section 1.2.3 from UN Women, for production of the Uganda survey-based report, linked to the production of three gender-based analyses of the Uganda GPS data







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