



Collection of factsheets – Indices measuring geographical exposure to corruption risk

May 2023

INTRODUCTION

The Transparency, Anti-Corruption and Economic Modernisation Act 2016-1691 of 9 December 2016 (also known as the *Sapin II Act*),¹ provides for a set of measures to prevent and detect bribery, influence peddling, extortion by public officials, unlawful taking of interest, misappropriation of public funds and favouritism² (called the anti-corruption compliance programme).

Geography: a relevant tool for understanding corruption risk

Under the provisions of Article 17 (II, 3) of the Sapin II Act, the largest companies are required to conduct a risk assessment materialized by a regulatory updated documentation identifying, analysing and prioritizing the company's exposure to risks of external solicitations for bribery purpose, in accordance with its activities and geographical footprint. For the others organisations, the French Anticorruption Agency ("AFA") recommends also to consider corruption risks induced by the geographical location of their activities.³

The concept of geographical footprint is also relevant for assessing the exposure to corruption risk related to third parties with whom the organisations intend to establish or maintain relationships, in particularly for companies subject to Article 17 of the Sapin II law when implementing the measure provided for in 4° of II relating to "procedures for assessing the situation of customers, leading suppliers and intermediaries with regard to the risk map". As the AFA's recommendations point out, the third party's "geographic location" is a useful criteria for assessing the third party's inherent risk of corruption.

In order to assess the geographical component of the inherent corruption risk in a company's activities during the corruption mapping exercise or during the assessment of a third party, it may be appropriate for anti-corruption compliance departments to use indices that offer an assessment, usually at state level.

A collection of corruption risk indexes: what's the use?

While a number of resources exist to facilitate such assessments, processing the relevant information on the risk of corruption in a given area can be difficult. Indeed, these resources can be complex to apprehend, not only because of their

¹ The Transparency, Anti-Corruption and Economic Modernisation Act 2016-1691 of 9 December 2016

²As a matter of simplification, all of these offenses will be referred to indiscriminately as

[&]quot;corruption" in this document.

³ AFA Guidelines published in JORF of 12 January 2021, \$14, p.4

⁴ Ibid, §217, p.30

characteristics (accessibility, format, updating frequency, etc.) and their methodology (survey technique, adopted statistical approach, use of external data sources, etc.), but also because of their recent multiplication.

To assist companies in assessing the risk of corruption arising from the development of their activities abroad, and, where appropriate, in adopting due diligence measures, AFA has drawn up a collection of factsheets designed to present the main indices and their methodology, the data sources at least partially in open access, and to list the assessment reports carried out by various organisations: international organisations, governments, non-governmental organisations, financial institutions, private entities, foundations, associations or academic institutions. This document is supplemented by the presentation of various publications that may be useful for analysing corruption risks in a geographical area.

More specifically, the first part (1) of the document contains the main indices used to measure the risk of corruption in a given geographical area. Elaborated according to diverse methodologies and data sources, they may sometimes summarise other indices (composite indices). However, they were all constructed with the objective of assessing the risk of corruption in a geographical area.

The second part (2) of the document regroups indices based on methodologies and sources that are often similar to those in the first part, but which do not all have the primary objective of assessing corruption risk. Corruption is then considered as a component of a broader or related phenomenon, or is dealt with only in a specific geographical area. It may then be useful, in addition to the indices presented in Part I, it may therefore be useful to take into account data or assessments relating to this specific component in order to fine-tune the assessment of inherent risk in a geographical area.

The third part (3) of the document lists the corruption risk assessment reports for each State prepared by the relevant international organisations (UNODC, OECD, GRECO, and FATF), academic institutions or leading NGOs. Reading these reports can prove useful in the most complex cases to gain a more qualitative grasp of the corruption phenomenon, and of the prevention, detection and remedial mechanisms implemented by each State.

Finally, the fourth part (4) identifies additional tools that may be useful in analysing the risk of corruption inherent to a geographical area. These are mainly lists drawn up by France, the European Union, the United Nations or the United States, which include States and territories subject to economic sanctions or considered as non-cooperative, but also indexes drawn up by NGOs relating to the fight against money laundering or transparency in business life.

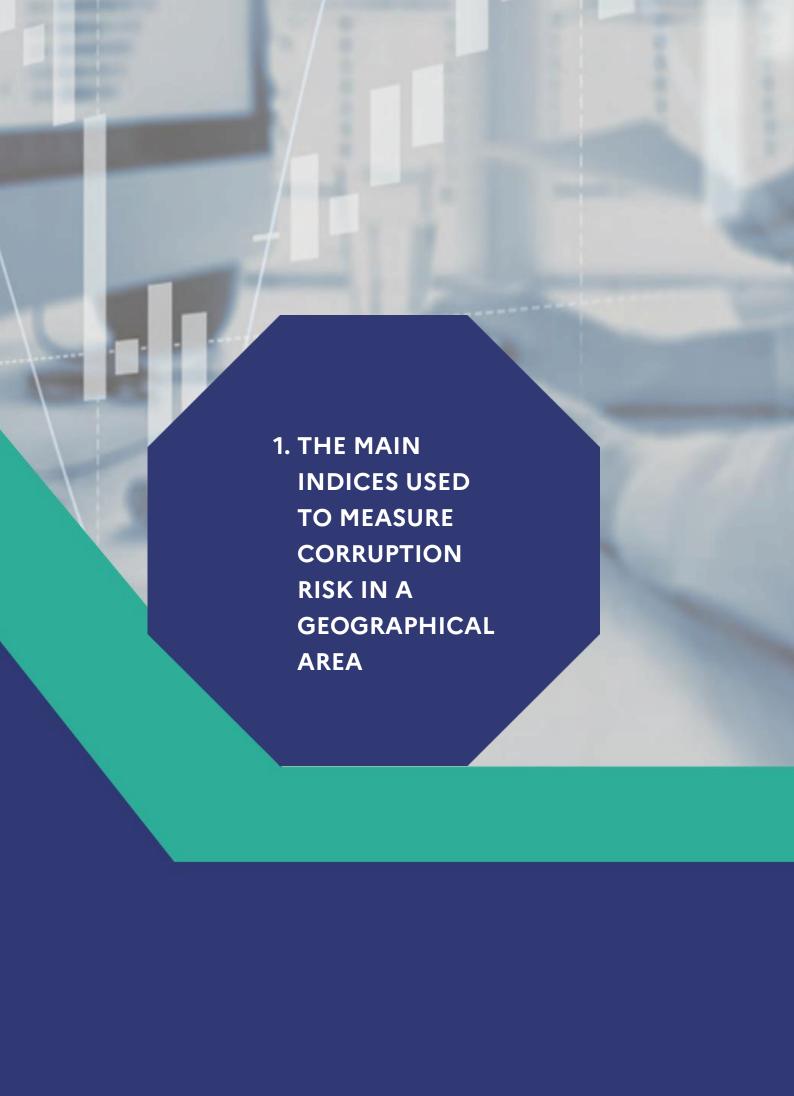
Disclaimer

This document is not intended to be an exhaustive list of the means to assess a geographical area's exposure to the risk of corruption. Furthermore, the risk of corruption related to the geographical areas in which it operates is not the only risk to be considered in determining a third party's exposure to corruption risk. Other risk factors must be considered in an effective approach to third party assessment. Organisations willing to implement an anti-corruption compliance programme may wish to consult AFA's guidelines as well as practical guides available on the AFA's website.

This survey does not constitute an endorsement by the AFA of the content of these tools, which content is on the sole responsibility of their authors and publishers.

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<u>FACTSHEET #1</u> – THE WORLD BANK: WORLDWIDE GOVERNANCE INDICATORS: CONTROL OF CORRUPTION

GENERAL INFORMATION:

-Index name: Worldwide Governance indicators: Control of corruption

-Index creation date: 1996

-Organisation information: the World Bank is an international financial institution

-Corruption categories within the scope of the study: public bribery, misappropriation of public funds, favouritism, unlawful taking of interest

INDEX CHARACTERISTICS:

- Index type: composite index
- Languages: English, French, Spanish, Arabic, Chinese
- > Index accessibility: free
- > Accessibility of index data: downloadable data
- Graphic representations: table, chart
- Index format: static
- Frequency of update: yearly
- > Last updated date: 2021
- Data history: yes
- Methodology availability: yes, available here
- > Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

- > Sectoral analysis: public sector
- > Geographic coverage: all continents
- Number of States or territories assessed: 214
- > Statistical approach: perception
- Investigation technique: aggregation of expert assessment and opinion surveys conducted by other organisations
- Rating scale: from -2.5 (high level of corruption) to 2.5 (minimum level)
- Population surveyed: no
- Using external data sources: yes
- Number of data sources used: not communicated
- List of data sources used by the index: the index in 2021 was calculated using different data sources from international institutions, international organisations and other stakeholders, such as:
 - expert assessments:
 - Bertelsmann Stiftung: The Transformation Index (BTI);
 - V-Dem Institute: Varieties of democracy.
 - opinion surveys:
 - Afrobarometer;
 - Latinobarometro;
 - Transparency International: Global Corruption Barometer;

- Business Environment and Enterprise Performance Survey (BEEPS).

The full list of data sources used by this index in 2021 is available here.

- Method description: the index consists of six governance indicators: voice and accountability, political stability and absence of violence and terrorism, government effectiveness, regulatory quality, rule of law, control of corruption. The Corruption Control Indicator is constructed using a selection of different data sources by the World Bank.
- ➤ Calculation method: a weighted result shall be calculated per State or territory on the basis of the results of these different data sources. Then, a classification by State or territory is made according to the results obtained. The index also calculates the change in the result from one year to the next.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

Source: Freedom House: Nation in transit report: questionnaire

- has the government implemented effective anticorruption initiatives?
- > are there adequate laws requiring financial disclosure and disallowing conflict of interest?
- do whistleblowers, anticorruption activists, investigators, and journalists enjoy legal protections that make them feel secure about reporting cases of bribery and corruption?

Source: Bertelsmann Stiftung: Transformation Index (BTI): questionnaire

- to what extent does an independent judiciary exist?
 - o the judiciary is independent and free both from unconstitutional intervention by other institutions and from corruption. It is institutionally differentiated, and there are mechanisms for judicial review of legislative or executive acts.
 - o the judiciary is largely independent, even though occasionally its decisions are subordinated to political authorities or influenced by corruption. It is institutionally differentiated, but partially restricted by insufficient territorial or functional operability.
 - o the independence of the judiciary is heavily impaired by political authorities and high levels of corruption. It is to some extent institutionally differentiated, but severely restricted by functional deficits, insufficient territorial operability and scarce resources.
 - o the judiciary is not independent and not institutionally differentiated.

VIGILANCE POINTS:

- > The index measures individuals' perception of corruption;
- > Coverage is limited to the public sector;
- The index is based on an aggregation of data sources (surveys and expert assessments), which differ in terms of characteristics and methodology, which may limit the reliability of the final results.

<u>FACTSHEET #2</u> – EUROBAROMETER (REGIONAL BAROMETER - EUROPE)

GENERAL INFORMATION:

-Index name: <u>Eurobarometer</u> -Index creation date: 1974

-Organisation information: Eurobarometer is produced by a European Union body affiliated to the European

Commission

-Corruption categories within the scope of the study: bribery, favouritism, unlawful taking of interest,

misappropriation of public funds

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: English, Bulgarian, Croatian, Danish, Spanish, Estonian, Finnish, French, Greek, Hungarian, Irish, Italian, Czech, Latvian, Lithuanian, Maltese, Polish, Portuguese, Romanian, Slovak, Slovenian, Swedish
- Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: report, tables, charts, articles
- Index format: interactive
- > Frequency of update: every two years
- > Last updated date: 2022
- Data history: yes
- Methodology availability: yes, available here
- Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

- Sectoral analysis: public and private sector
- > Geographic coverage: European Union
- Number of States or territories assessed: 27
- > Statistical approach: perception and estimation
- Investigation technique: public survey
- Rating scale: no
- > Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 26,509 in total (between 500 and 1,100 persons per EU Member State), 1,034 in France
- Using external data sources: no
- Method description: the sample per State shall be selected taking into account the population of each EU Member State and regional specificities. In each State, a random draw was made with a probability proportional to the size of the population and to the population density. All interviews were conducted face-to-face at the home and in the appropriate national language. With regard to data entry, the method of the computer assisted personal interview (CAPI) was used in States where the technique was available. The survey shall give rise to results and statistics for each EU Member State and to a comparison between those Member States.
- Calculation method: statistics are compiled as a result of the responses to the population surveys.

Source: Eurobarometer 2022 Survey: questionnaire

- QA4 Talking more generally, if you wanted to get something from the public administration or a public service, to what extent do you think it is acceptable to do any of the following?
 - o to give money;
 - o to give a gift;
 - o to do a favour.
- QA5 How widespread do you think the problem of corruption is in your country?
 - o very widespread;
 - o fairly widespread;
 - o fairly rare;
 - o very rare.
 - o there is no corruption
- QA12 In the last 12 months have you experienced or witnessed any case of corruption?
 - o yes, experienced;
 - o yes, witnessed;
 - o no.
- QA15 Please tell whether you agree or disagree with each of the following?
 - o too-close links between business and politics in ("name of the country") lead to corruption;
 - o in ("name of the country"), favouritism and corruption hamper business competition
 - o corruption is part of the business culture in ("name of the country")
 - o in ("name of the country"), the only way to succeed in business is to have political connections
- > QA15.A Please tell whether you agree or disagree with each of the following?
 - o you are personally affected by corruption in your daily life.

VIGILANCE POINT:

> The index only measures the European citizens' perception of corruption in Europe.

<u>FACTSHEET #3</u> – ERCAS AND ACGC (CIPE): CORRUPTION RISK FORECAST (CRF)

GENERAL INFORMATION:

-Index name: Corruption Risk Forecast (CRF) 2021

-Index creation date: 2021

-Organisation information: the European Research Centre for Anti-Corruption and State-Building (ERCAS) is a German University Centre and the Anti-Corruption & Governance Center (ACGC) of the Center for International Private Enterprise (CIPE) is a research centre affiliated with the Chamber of Commerce of the United States of America

-Corruption categories within the scope of the study: public corruption

INDEX CHARACTERISTICS:

- > Index type: composite index
- Languages: English
- > Index accessibility: free index, charged country factsheets
- Accessibility of index data: easily downloadable data
- Graphic representations: chart, graph, diagram, country factsheets
- Index format: interactive
- Frequency of update: not communicated
- Last updated date: April 2022
- Data history: yes, since 2021
- Methodology availability: yes, available here
- Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

METHODOLOGY:

- > Sectoral analysis: public sector
- > Geographic coverage: all continents
- Number of States or territories assessed: 120
- > Statistical approach: predictive
- Investigation technique: aggregation of expert appraisals and opinion surveys from other organisations
- Rating scale: in 3 categories improving, stationary, declining
- > Population surveyed: no
- Using external data sources: yes
- Number of data sources used: not communicated
- List of data sources used by the index: the index in 2021 was calculated using different data sources from international institutions and other stakeholders, such as:
 - indexes developed by the European Research Centre for Anti-Corruption and State-Building (ERCAS):
 - Index of Public Integrity (IPI);
 - Transparency Index (T-Index).
 - indexes developed by non-governmental organisations:
 - Transparency International: Corruption Perceptions Index (CPI);
 - Transparency International: Global Corruption Barometer.

The full list of data sources used by this index in 2021 is available here.

Method description: the tool uses 30 tangible indicators based on the results of different external data sources and those of the two indices developed by ERCAS (public integrity index and transparency index). A weighted result shall be calculated per State on the basis of the results from these different data sources, and a rating per State shall be calculated on the basis of these weighted results.

Calculation method: calculation of a twelve-year trend on the development of States in the field of corruption.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

- Transparency Index (T-Index): result and classification by State according to type of information available to the public:
 - taking into account the results and conclusions of accession of States to the United Nations conventions against corruption and the OECD conventions against bribery of foreign public officials, etc.;
 - taking into account the results and conclusions of court decisions, land registers and trade, etc.
- Index of Public Integrity (IPI): outcome and classification by State according to six components:
 - o commercial opening: this component measures the degree of openness to trade (score 1 to 10), taking into account the timing and costs of imports and exports;
 - o administrative burden: this component uses the results of the Transparency Index (ERCAS) on the following criteria: public procurement, land registry, business register, audit report. The following factors shall also be taken into account in the assessment of States: number of procedures to start a business, number of days to start a business, number of tax payments per year, time required to pay taxes;
 - administrative and budgetary transparency: This component is based on responses to 14 specific questions from the Open Budget Survey;
 - judicial independence: this component is based on responses to a question from the World Economy Forum
 (WEF) Executive Opinion Survey 2020: "to what extent is your country's judicial system independent of
 government, citizen or business influences?" The ratings range from 1 (highly influenced) to 7 (fully
 independent);
 - e-citizenship: this component is calculated using data collected by the <u>ICT Development Index</u> and the Internet World Stats to measure Internet access;
 - o freedom of the press: this component is based on the <u>Reporters Without Borders (RSF) World Press Freedom Index.</u>

VIGILANCE POINTS:

- The index provides a predictive approach to corruption that is inconsistent with other indices presented in this document;
- the index is based on aggregation of data sources with differences in characteristics and methodology, which may limit the reliability of the final results.

FACTSHEET #4 – GLOBAL RISK PROFILE (GRP): GLOBAL CORRUPTION INDEX (GCI)

The information presented below is limited to the freely accessible part of the index. This presentation does not constitute a review or opinion on the content quality of the market services offered by the publisher.

GENERAL INFORMATION:

- -Index name: Global corruption index (GCI)
- -Index creation date: 2018
- -Organisation information: Global Risk Profile (GRP) is a private consulting and business services company under Swiss
- aw
- -Corruption categories within the scope of the study: public bribery, private corruption, unlawful taking of interest, favouritism, misappropriation of public funds

INDEX CHARACTERISTICS:

- Index type: composite index
- Languages: English, French, Italian
- Index accessibility: free index, charged country factsheets
- Accessibility of index data: easily downloadable data
- Graphic representations: chart, table
- Index format: interactive
- Frequency of update: yearly
- Last updated date: 2021
- Data history: yes
- Methodology availability: yes, available here
- Availability of assessment results: yes, available <u>here</u>
- Index used by one or more other indices to measure corruption risk: not communicated

METHODOLOGY:

- Sectoral analysis: all business sectors
- > Geographic coverage: all continents
- Number of States or territories assessed: 196
- > Statistical approach: perception
- > Investigation technique: aggregation of expert appraisals and opinion surveys from other organisations
- Rating scale: from 0 (low risk of corruption) to 100 (high risk of corruption)
- Population surveyed: no
- Using external data sources: yes
- Number of data sources used: 42
- List of data sources used by the index: the index in 2021 was calculated using different data sources from international institutions and other stakeholders, such as:
 - Expert evaluations:
 - Transparency International: Corruption Perceptions Index (CPI);
 - The World Bank: Worldwide Governance Indicators: Control of Corruption.
 - Opinion surveys:
 - World Economic Forum (WEF): Executive Opinion Survey 2020;
 - Transparency International: Global Corruption Barometer.

The full list of data sources used by this index in 2021 is available here.

Method description: the index is constructed using a selection of different data sources. There two sub-indices: "Corruption" (accounting for 70% of the final score) and "White Collar Crime" (accounting for 30% of the final score).

A mapping of the results is available per sub-index. Several statistical approaches are used to calculate the final score, e.g. in the case of time series with visible trends, a linear extrapolation or an imputation on the last observation is imputation on the last observation is performed from the last five years available. Concerning aggregation, the data are converted to a scale of 0 to 100, where 0 represents the lowest risk and 100 the highest risk of corruption and white-collar crime. The overall score for each state is then calculated according to the different weights.

Calculation method: calculation of a weighted average based on results from different data sources and ranked by state.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

- The "Corruption" sub-index has 4 criteria:
 - 1. the ratification status of key conventions (oecd, un), 15%;
 - 2. the level of perceived public corruption (transparency international's corruption index, world bank data, world justice project organisation data), 25.5%;
 - 3. the reported experience of public and private corruption (transparency international's global corruption, barometer, world bank's enterprise survey), 17%;
 - 4. a selection of country characteristics closely linked to corruption, 42.5%. this indicator aggregates results related to 4 different indicators:
 - citizen's voice and transparency;
 - government functioning and effectiveness;
 - legal context;
 - political context.

VIGILANCE POINTS:

- The index measures the <u>perception</u> by individuals and experts (in financial crime, economics, politics, etc.) of corruption;
- the index is based on an aggregation of data sources (surveys and so-called appraisals) that differ in terms of characteristics and methodology, which may limit the reliability of the final results.

FACTSHEET #5 – TRACE INTERNATIONAL: TRACE BRIBERY RISK MATRIX

GENERAL INFORMATION:

-Index name: TRACE Bribery Risk Matrix

-Index creation date: 2014

-Organisation information: TRACE International is a non-profit association under Canadian law

-Corruption categories within the scope of the study: corruption

INDEX CHARACTERISTICS:

> Index type: composite index

Languages: English, French, German, Italian, Portuguese, Spanish, Chinese

Index accessibility: free

Accessibility of index data: easily downloadable data

Graphic representations: chart, tables, graphs

Index format: interactive

Frequency of update: yearly

Last updated date: 2021

Data history: yes

Methodology availability: yes, available here

Availability of assessment results: yes, available here

Index used by one or more other indices to measure corruption risk: not communicated

METHODOLOGY:

- > Sectoral analysis: all business sectors
- Geographic coverage: all continents
- Number of States or territories assessed: 194
- Statistical approach: perception
- Investigation technique: aggregation of appraisals and opinion surveys from other organisations
- Rating scale: from 1 (no corruption) to 100 (highly corrupt)
- Population surveyed: no
- Using external data sources: yes
- Number of data sources used: not communicated
- List of data sources used by the index: the index in 2021 was calculated using different data sources from international institutions and other stakeholders, such as:
 - Expert evaluations:
- Freedom House: Nations in Transit report;
- Bertelsmann Stiftung: BTI Tranformation Index;
- World Justice Project (WJP): WJP Rule of Law Index 2021;
 - Opinion surveys:
- The World Bank: Ease of Doing Business (decommissioned index).

The full list of data sources used by this index in 2021 is available here.

Method description: the index is constructed using a selection of different data sources. A weighted result shall be calculated per State on the basis of the results of these different data sources and four criteria: (a) timeliness and interactions with the government (40% of outcome); (b) deterrence (15% of the outcome); (c) transparency (22.5% of the outcome); (d) the role of non-governmental actors (22.5%t of the outcome).

> Calculation method: calculation of a weighted average based on results from different data sources and classification by State.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

- Criterion (a) Opportunity and Interaction with Government:
- Sub-criterion 1: Interaction frequency:

Source: V-Dem Institute: Varieties of democracy: guestionnaire

- 3.8.4.1. "State ownership of the economy" does the state own or directly control important sectors of economy?
- > Criterion (a) Opportunity and Interaction with Government:
- o Sub-criterion 1: Interaction frequency:

Source: The World Bank: Enterprise survey: questionnaire

- M.1/ J.30 - identify whether corruption is one of the biggest obstacles to doing business.

VIGILANCE POINTS:

- The index measures the <u>perception</u> by individuals and experts (in financial crime, economics, politics, etc.) of corruption;
- the index is based on an aggregation of data sources (surveys and so-called appraisals) that differ in terms of characteristics and methodology, which may limit the reliability of the final results.

<u>FACTSHEET #6</u> – TRANSPARENCY INTERNATIONAL: CORRUPTION PERCEPTIONS INDEX (CPI)

GENERAL INFORMATION:

- -Index name: Corruption Perceptions Index 2022 (CPI)
- -Index creation date: 1995
- -Organisation information: <u>Transparency International (TI)</u> is an international non-governmental organisation under German law, dedicated to the fight against corruption
- -Corruption categories within the scope of the study: public bribery, misappropriation of public funds, favouritism, unlawful taking of interest

INDEX CHARACTERISTICS:

- Index type: composite index
- Languages: English, French, Spanish, Russian, Arabic, German, Italian, Dutch
- Index accessibility: free
- > Accessibility of index data: easily downloadable data
- > Graphic representations: chart, table, rapport
- > Index format: interactive
- Frequency of update: yearly
- Last updated date: January 2023
- Data history: yes, since 1995
- Methodology availability: yes, available here and here
- Availability of assessment results: yes, available here and here
- Index used by one or more other indices to measure corruption risk: yes

METHODOLOGY:

- Sectoral analysis: public sector
- Geographic coverage: all continents
- Number of States or territories assessed: 180
- Statistical approach: perception
- > Investigation technique: aggregation of expert appraisals and opinion surveys from other organisations
- Rating scale: from 0 (extremely corrupt) to 100 (non-existent corruption)
- Population surveyed: no
- Using external data sources: yes
- Number of data sources used: 13
- List of data sources used by the index: the index in 2022 was calculated using 13 data sources from international institutions and other stakeholders, such as:
 - Expert evaluations:
 - Bertelsmann Stiftung: Sustainable governance indicators (SGI);
 - Bertelsmann Stiftung: BTI Transformation Index;
 - World Justice Project (WJP): WJP Rule of Law Index 2022.
 - Opinion surveys:
 - World Economic Forum (WEF): Executive Opinion Survey 2022;
 - PRS Group: International Country Risk Guide (ICRG) (not free);
 - IHS Markit (S&P Global): Advanced Country Analysis & Forecasting (AdCAF) (not free);
 - <u>Political and Economic Risk Consultancy (PERC): Asian Intelligence Report</u> (not free, except Annual review of corruption in Asia 2022).

The full list of data sources used by this index in 2022 is available here.

- Method description: the index is constructed using a selection of different data sources by Transparency International. A weighted average is calculated for each country based on the results of at least 3 data sources.
- ➤ Calculation method: calculation of a weighted average based on results from different data sources and classification by State.

Source: Freedom House: Nations in Transit report: guestionnaire

- has the government implemented effective anticorruption initiatives?
- are there adequate laws requiring financial disclosure and disallowing conflict of interest?
- do whistleblowers, anticorruption activists, investigators, and journalists enjoy legal protections that make them feel secure about reporting cases of bribery and corruption?

Source: Bertelsmann Stiftung: Transformation index (BTI): questionnaire

- to what extent does an independent judiciary exist?
 - o the judiciary is independent and free both from unconstitutional intervention by other institutions and from corruption. It is institutionally differentiated, and there are mechanisms for judicial review of legislative or executive acts.
 - o the judiciary is largely independent, even though occasionally its decisions are subordinated to political authorities or influenced by corruption. It is institutionally differentiated, but partially restricted by insufficient territorial or functional operability.
 - o the independence of the judiciary is heavily impaired by political authorities and high levels of corruption. It is to some extent institutionally differentiated, but severely restricted by functional deficits, insufficient territorial operability and scarce resources.
 - o the judiciary is not independent and not institutionally differentiated.

VIGILANCE POINTS:

- The index measures the <u>perception</u> by individuals and experts (in financial crime, economics, politics, etc.) of corruption;
- only the public sector is covered;
- the index is based on an aggregation of data sources (surveys and so-called appraisals) that differ in terms of characteristics and methodology, which may limit the reliability of the final results.

<u>FACTSHEET #7</u> – TRANSPARENCY INTERNATIONAL (TI): GLOBAL CORRUPTION BAROMETER AND REGIONAL CORRUPTION BAROMETERS

GENERAL INFORMATION:

-Index name: Global Corruption Barometer 2021, European Union Barometer 2021, Pacific Barometer 2021, Asia
Barometer 2020, Africa Barometer 2019, Latin America and The Caribbean 2019, Middle East And North Africa 2019

-Index creation date: 2003

-Organisation information: <u>Transparency International (TI)</u> is an international non-governmental organisation under German law, dedicated to the fight against corruption.

-Corruption categories within the scope of the study: bribery, favouritism, unlawful taking of interest

INDEX CHARACTERISTICS:

Index type: simple index

Languages: English, French, Spanish, Russian, Arabic

Index accessibility: free

Accessibility of index data: easily downloadable data

> Graphic representations: chart, table, graph, video, report, schema

Index format: interactive

Frequency of update: not communicated

Last updated date: 2021

Data history: yes

Methodology availability: yes, available here for the European Union Barometer for example

Availability of assessment results: yes, available here

Index used by one or more other indices to measure corruption risk: yes

- > Sectoral analysis: all business sectors
- Geographic coverage: all continents
- Number of States or territories assessed: 119
- Statistical approach: perception leading to estimation
- Investigation technique: public survey
- Rating scale: no
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 162,136
- Using external data sources: no
- Method description: the index uses two methods: Computer-assisted personal interviewing (CAPI) or Pen-and-Paper Personal Interview (PAPI), Computer-assisted telephone interviews (CATI). For each method, a stratified random probability sample was selected in each state, taking into account population size and density, regions and level of urbanization to ensure that the sample was representative. The global and regional barometers are constructed using the same method. However, the questions may change depending on the region to take account of cultural specificities. The methodology is detailed for each barometer.
- Calculation method: statistics based on responses to population surveys.

Sources: Global Corruption Barometer 2017, European Union Barometer 2021, Pacific Barometer 2021

- in your opinion, over the past year, has the level of corruption in this country increased, decreased, or stayed the same?
- if you ever paid a bribe for any of the services discussed above, did you report any of the incidents you mentioned to a government official or someone in authority?
- which of the following happened the most recent time that you reported a bribery incident?
 - authorities took action against the government officials involved.
 - o you suffered retaliation or other negative consequences as a result of reporting the incident.
- how often, if ever, did you have to pay a bribe, give a gift, or do a favour for a teacher or school official in order to get the services you needed from the schools?
- how often, if ever, did you have to pay a bribe, give a gift, or do a favour for a health worker or clinic or hospital staff in order to get the medical care you needed?
- how often, if ever, did you have to pay a bribe, give a gift, or do a favour for a police officer in order to get the assistance you needed, or to avoid a problem like passing a checkpoint or avoiding a fine or arrest?
- how well or badly would you say the current government is handling the fight against corruption, or haven't you heard enough to say?

VIGILANCE POINT:

The update frequency of the global corruption barometer is not disclosed.



<u>FACTSHEET #8</u> – AFROBAROMETER (REGIONAL BAROMETER – AFRICA)

GENERAL INFORMATION:

-Index name: Afrobarometer -Index creation date: 1974

-Organisation information: Afrobarometer is a non-profit company from Ghana.

-Corruption categories within the scope of the study: public corruption

INDEX CHARACTERISTICS:

Index type: simple indexLanguages: English, French

Theme: democracy and governance, including corruption

Index accessibility: free

> Accessibility of index data: easily downloadable data

Graphic representations: table, graph, articles

Index format: static

Frequency of update: every two years

Last updated date: 2021

Data history: yes

Availability of assessment results: yes, available here

Index used by one or more other indices to measure corruption risk: yes

- Sectoral analysis: public sector
- Geographic coverage: Africa
- Number of States or territories assessed: 34
- Statistical approach: perception
- Investigation technique: public survey
- Methodology availability: yes, available <u>here</u>
- Rating scale: no
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 23,248
- Using external data sources: no
- Method description: the sample per State is selected taking into account the population of the African States regional (urban, rural, etc.) and sectoral disparities in order to be as representative as possible. The population is selected at random. Face-to-face interviews are conducted.
- Calculation method: statistics on the perception of corruption in the public sector by the population of certain African States following the responses to the survey carried out among the population.

Sources: Afrobarometer survey - Cameroon Round 8 questionnaire (2021): guestionnaire

- > 33. Should the media constantly investigate and report on government mistakes and corruption?
- > 42. How many of the following people do you think are involved in corruption, or haven't you heard enough about them to say? (The president and officials in his office, members of Parliament, police etc.)
- > 43A In your opinion, over the past year, has the level of corruption in this country increased, decreased, or stayed the same?
- > 43B In this country, can ordinary people report incidents of corruption without fear, or do they risk retaliation or other negative consequences if they speak out?

VIGILANCE POINT:

The index measures only individual's <u>perception</u> of corruption in Africa.

<u>FACTSHEET #9</u> – ASIAN BAROMETER (REGIONAL BAROMETER – ASIA)

GENERAL INFORMATION:

-Index name: Asian Barometer Survey (ABS)

-Index creation date: 1971

-Organisation information: National Taiwan University is a Taiwanese public university

-Corruption categories within the scope of the study: public corruption

INDEX CHARACTERISTICS:

- Index type: simple index
- Languages: Chinese, English
- > Theme: democracy, governance and development including corruption
- > Index accessibility: free on request, but certain data are not accessible
- Accessibility of index data: easily downloadable data
- ➤ Graphic representations: reports, articles
- > Index format: static
- Frequency of update: around every 3 years, not all countries are assessed at the same time
- Last updated date: 2022
- Data history: yes
- Availability of assessment results: yes, available here (on request)
- Index used by one or more other indices to measure corruption risk: not communicated

- Sectoral analysis: public sector
- Geographic coverage: Asia
- Number of States or territories assessed: 18
- > Statistical approach: perception
- Investigation technique: public survey
- Methodology availability: yes, available here
- Rating scale: no
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: the number varies per state or territory
- Using external data sources: no
- Method description: the network is made up of research teams from thirteen East Asian political systems (Japan, Mongolia, South Korea, Taiwan, Hong Kong, China, the Philippines, Thailand, Vietnam, Cambodia, Singapore, Malaysia and Indonesia) and five South Asian states (India, Pakistan, Bangladesh, Sri Lanka and Nepal).
 - The sample may be selected using several methods, depending on the countries evaluated.
- Calculation method: statistics on the perception of corruption in the public sector by the population of certain Asian States following the responses to the survey carried out among the population.

Source: Asian Barometer Survey for Singapore: report

- Is politics clean and free of corruption? Analysis of the following criteria:
 - o no formal education
 - o incomplete primary/elementary
 - o complete primary/elementary
 - o incomplete secondary/high school
 - technical/vocation type
 - o complete secondary/high school
 - technical/vocation type
 - o incomplete secondary/high school
 - o complete secondary/high school
 - o some university education
 - o university education completed
 - o post-graduate degree

VIGILANCE POINT:

> The index measures only individual's <u>perception</u> of corruption in Asia.

<u>FACTSHEET #10</u> – EBRD / WORLD BANK: BUSINESS ENVIRONMENT AND ENTERPRISE PERFORMANCE SURVEY (BEEPS)

GENERAL INFORMATION:

-Index name: Business environment and enterprise performance survey (BEEPS)

-Index creation date: 1999

-Organisation information: The European Bank for Reconstruction and Development and the World Bank Group are

European and international financial institutions for development assistance

-Corruption categories within the scope of the study: bribery, unlawful taking of interest, favouritism,

misappropriation of public funds

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: English
- > Theme: business environment, including access to finance, infrastructure, competition and competition and performance measurement, corruption, and crime
- > Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: tables
- Index format: static
- Frequency of update: yearly
- > Last updated date: 2020
- Data history: yes
- Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

- Sectoral analysis: private sector
- ➤ Geographic coverage: Eastern Europe, Central Asia
- Number of States or territories assessed: 41
- Statistical approach: estimation
- Investigation technique: private companies survey
- Methodology availability: yes, available <u>here</u>
- Rating scale: from -2,5 (extremely corrupt) to 2,5 (non-existent corruption)
- Population surveyed: yes
- Category of population surveyed: executive and senior managers
- Number of respondents: 28,000 private companies
- Using external data sources: no
- Method description: stratified random sampling. All population units are into homogeneous groups and simple random samples are selected from each group. This method is used to produce estimated figures for each stratum with a given level of accuracy. The BEEPS criteria are company size, sector of activity and geographical region within a state. Questionnaire sent to company directors and senior managers and face-to-face interviews. 1,200 to 1,800 interviews conducted in large companies, 360 in medium-sized companies and 150 in small companies.
- Calculation method: statistics based on survey responses and leading to estimation.

Source: The World Bank: Enterprise survey: questionnaire

- > J.1 please tell me if you strongly disagree, tend to disagree, tend to agree, or strongly agree with the statement: "The court system is fair, impartial and uncorrupted".
- J-3 over the last year, was this establishment visited or inspected by tax officials or required to meet with them?
- > J.5 in any of these inspections or meetings was a gift or informal payment expected or requested?
- > J.6 when establishments like this one do business with the government, what percent of the contract value would be typically paid in informal payments or gifts to secure the contract?

VIGILANCE POINT:

> The index targets only private sector executives in Eastern Europe and Central Asia.

<u>FACTSHEET #11</u> – BERTELSMANN STIFTUNG: TRANSFORMATION INDEX (BTI)

GENERAL INFORMATION:

-Index name: Bertelsmann Stiftung's Transformation Index (BTI)

-Index creation date: 2006

-Organisation information: Bertelsmann Stiftung is a private foundation under German law

-Corruption categories within the scope of the study: public bribery, unlawful taking of interest, favouritism,

misappropriation of public funds

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: German, English
- Theme: democratic, economic and political transformation of the Member States of the European Union and the OECD, including a section on corruption
- Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: chart, reports, tables, graphs, articles
- Index format: interactive
- Frequency of update: every two years
- Last updated date: 2022
- Data history: yes
- Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

- > Sectoral analysis: all business sectors
- > Geographic coverage: all continent
- Number of States or territories assessed: 137
- Statistical approach: perception
- Investigation technique: expert appraisal
- Methodology availability: yes, available here
- Rating scale: yes
- Population surveyed: yes
- Category of population surveyed: national experts
- Number of respondents: 269
- Using external data sources: no
- Method description: the index includes three sub-indices: governance, economic transformation and political transformation. National experts are appointed by Bertelsmann Stiftung to evaluate the States. The evaluation is carried out by a first expert on the basis of the answers to 52 questions divided into 17 criteria. A second expert then examines the first expert's assessments. Consistency is ensured by subjecting each of the individual scores assigned by State to regional and interregional calibration processes.
- Calculation method: average the total results given by the experts, then rank them by State.

Section Democracy - 3: Rule of Law:

> Q 3.3 – prosecution of office abuse: To what extent are public officeholders who abuse their positions prosecuted or penalized?

Section Governance – 15: Resource Efficiency:

> Q15.3 – anti-corruption policy: To what extent does the government successfully contain corruption?

The full list of questions is available here.

VIGILANCE POINT:

The index measures individuals' <u>perception</u> of corruption.

<u>FACTSHEET #12</u> – BERTELSMANN STIFTUNG: SUSTAINABLE GOVERNANCE INDICATORS (SGI)

GENERAL INFORMATION:

-Index name: Sustainable Governance Indicators (SGI)

-Index creation date: 2009

-Organisation information: Bertelsmann Stiftung is a private foundation under German law

-Corruption categories within the scope of the study: public bribery, unlawful taking of interest, favouritism,

misappropriation of public funds

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: German, English
- Theme: sustainable governance of the European Union's and the OECD's member States, including a section on corruption
- Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: chart, reports, tables, graphs, articles
- Index format: interactive
- Frequency of update: not communicated
- Last updated date: 2020
- Data history: yes
- > Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: yes

- Sectoral analysis: all business sectors
- Geographic coverage: all continents
- > Number of States or territories assessed: 41
- Statistical approach: perception
- Investigation technique: expert appraisals
- Methodology availability: yes, available here
- Rating scale: yes
- Population surveyed: yes
- > Category of population surveyed: national experts
- Number of respondents: 269
- Using external data sources: no
- Method description: the index is constructed using a selection of different data sources by Bertelsmann Stiftung, supplemented by qualitative analysis from recognised national experts. The combination of experts' qualitative assessments and the selected quantitative data forms the structure of the survey. In order to aggregate the indicators into composite indices, the quantitative indicators (which use different scales and units of measurement) are standardised by a linear transformation.
 - Long-term data series were used to set appropriate minimum and maximum values and calculate results from 1 (the worst) to 10 (the best).
- > Calculation method: average calculation of the results obtained by State.

Source: Index Part 4: Quality of Democracy

Sub-part: Corruption prevention

> to what extent are public officeholders prevented from abusing their position for private interests?

The full list of questions is available here.

VIGILANCE POINT:

> The index measures individuals' perception of corruption.

FACTSHEET #13 – FCPA BLOG: FCPA TRACKER

GENERAL INFORMATION:

-Index name: <u>FCPA Tracker</u> -Index creation date: 2021

-Organisation information: FCPA Blog is a private company under American law

-Corruption categories within the scope of the study: bribery of foreign public officials

INDEX CHARACTERISTICS:

- Index type: simple index
- Languages: English
- Theme: public disclosure of investigations related to the US Foreign Corrupt Practice Act (FCPA)
- Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: report
- Index format: static
- Frequency of update: daily
- Last updated date: 2022
- Data history: yes
- > Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: not communicated

METHODOLOGY:

- > Sectoral analysis: all business sectors
- Geographic coverage: all continent
- > Statistical approach: description
- > Investigation technique: data source aggregation
- Methodology availability : no
- Rating scale: no
- Population surveyed: no
- Using external data sources: yes
- Method description: the tool searches for and analyses public disclosures relating to FCPA investigations. It relies exclusively on primary source documents (the first medium to report previously unpublished information), such as SEC filings, corporate disclosures and public reports. FCPA Tracker does not rely on media or press reports.

VIGILANCE POINT:

> The index focuses solely on public disclosures of investigations related to the Foreign Corrupt Practice Act (FCPA).

<u>FACTSHEET #14</u> – GLOBAL INITIATIVE: GLOBAL ORGANIZED CRIME INDEX

GENERAL INFORMATION:

-Index name: Global Organized Crime Index

-Index creation date: 2021

-Organisation information: Global Initiative Against Transnational Organized Crime (GI-TOC) is a non-governmental

organisation from Swiss

-Corruption categories within the scope of the study: corruption

INDEX CHARACTERISTICS:

Index type: composite index

Languages: English, Spanish, French, Arabic

Theme: level of organized crime including a part on corruption

Index accessibility: free

> Accessibility of index data: easily downloadable data

Graphic representations: report, articles, chart, graphs, schema, videos

Index format: interactive

Frequency of update: not communicated

Last updated date: 2021

Data history: no (recent index)

Availability of assessment results: yes, available <u>here</u> and <u>here</u>

Index used by one or more other indices to measure corruption risk: not communicated

METHODOLOGY:

- Sectoral analysis: all business sectors
- > Geographic coverage: all continents
- Number of States or territories assessed: 193
- > Statistical approach: perception leading to estimates
- > Investigation technique: aggregation of expert appraisals and data sources
- Methodology availability: yes, available here
- Rating scale: from 1 to 10
- Population surveyed: yes
- Category of population surveyed: population, worldwide experts, GI-TOC regional observatories
- Number of respondents: more than 350 experts
- Using external data sources: yes
- Method description: the index consists of the following two indicators:
 - o an indicator relating to the level of organised crime in States, on a scale of 1 to 10 (from the lowest to the highest level of organised crime), based on two sub-components:
 - the structure and influence of criminal actors (mafia-type groups including militias and guerrilla groups mainly financed by illicit activities, criminal networks, actors integrated into the State and foreign actors);
 - the prevalence of criminal markets (considerations of their value and size);
 - o an indicator relating to the resilience level of States to organised crime, on a scale of 1 to 10 (from the lowest to the highest level), designed to assess States' defence against organised crime and is based on a number of sub-components, including transparency and accountability of government, the judicial and detention system, territorial integrity territorial integrity, economic regulatory capacity, etc.

The index is constructed using a selection of different data sources by GI-TOC, supplemented by 350 expert

assessments and by GI-TOC's regional observatories. The data was analysed and verified by GI-TOC, and the experts were selected on the basis of their knowledge of the topic.

Calculation method:

- organised crime indicator: the experts were asked to rate each state on a scale of 1 to 10 (little to no influence, moderate influence, significant influence, major influence) for each sub-components (criminal markets, criminal actors). The scores are then weighted;
- the resilience indicator: a first group of experts rated each state from 1 to 10 (resilience non-existent or extremely ineffective, moderately effective, highly effective). The scores were then verified by a second group of experts specialising in each theme, and then validated by a group of external experts. The scores are then weighted.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

Source: <u>questionnaire</u>

- how are corruption payments related to this market structured? At what level of the state apparatus are corruption payments made?
- to what extent do mafia-style groups interact with the state in their criminal activity: minimal interaction, moderate interaction or significant interaction? Is there evidence of large-scale corruption between mafia and state? Are state actors threatened by mafia-style groups?

VIGILANCE POINT:

In its 2021 report, GI-TOC states in page 31 "Notably, corruption is not included in the Index as a standalone criminal market, but rather is captured as an aggravating factor when determining the scores for each of the 10 criminal markets. Furthermore, corruption is also reflected in the criminal actors and resilience components of the Index as a cross-cutting theme".

<u>FACTSHEET #15</u> – QUALITY OF GOVERNMENT INSTITUTE: EUROPEAN QUALITY OF GOVERNMENT INDEX

GENERAL INFORMATION:

-Index name: European Quality of Government Index

-Index creation date: 2010

-Organisation information: Quality of Government (QoG) Institute is an independent research institute of the

University of Gothenburg, Sweden

-Corruption categories within the scope of the study: public bribery, unlawful taking of interest, favouritism,

misappropriation of public funds

INDEX CHARACTERISTICS:5

- Index type: composite index
- Languages: English
- > Theme: quality of public authorities in the European Union (health, education, security) including a part on corruption
- Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: chart, tables, reports
- Index format: interactive
- Frequency of update: not communicated
- Last updated date: 2021
- Data history: yes, available here since 2010
- Availability of assessment results: yes, available here
- Index used by one or more other indices to measure corruption risk: not communicated

- Sectoral analysis: public sector
- Geographic coverage: European Union (and three others States in 2013: United Kingdom, Serbia, Turkey)
- Number of States or territories assessed: 30 (and 210 regions)
- Statistical approach: perception
- > Investigation technique: opinion poll
- Methodology availability: yes, available <u>here</u> and <u>here</u>
- Rating scale: yes
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 129,000
- Using external data sources: yes
- List of data sources used in the index: The 2021 index has been calculated using various sources of data from international institutions, organisations and other stakeholders, for example:
 - The World Bank: Worldwide Governance indicators: Control of corruption
- Method description: The index is used to calculate a national score and a regional governance score. The national score is calculated from an aggregation of data sources (including criteria from the World Bank's World Governance

⁵ Charron, Nicholas, Victor Lapuente, Monika Bauhr & Paola Annoni. 2022. Change and Continuity in Quality of Government: Trends in subnational quality of government in EU member states. Investigaciones Regionales-Journal of Regional Research, 2022(53), 5-23.

Indicators). The regional score is calculated on the basis of an opinion survey conducted for this index among the population by region, by state. The sampling method chosen for these data is simple random sampling. Responses, recorded using computer-assisted telephone interviews, were weighted at the individual level after being aggregated using post-stratification weightings, based on gender, education and age, to better guarantee representativeness. It should be noted that the index was built up in four main phases (195 respondents in 2010, 400 respondents in 2013 and 400 to 450 respondents in 2017). The index also offers a comparison by region to track trends over time.

Calculation method: results and statistics on the public's perception of corruption in the public sector following responses from an aggregation of data sources and a public opinion survey conducted among the population.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

Examples of questions:

- Question 14 Corruption is prevalent in my area's local public school system.
- Question 15 Corruption is prevalent in my area's local public school system.
- Question 16 Corruption is prevalent in the police force in my area.
- Question 17 People engage in corruption for different reasons. Thinking about the reasons why people engage in corruption in your area, again, using the same scale of 1 to 10, with '1' being "strongly disagree" and '10' being "strongly agree", how much do you agree with the following?
 - question 17_1 people in my area must use some form of corruption to just to get some basic public services.
 - o question 17_2 corruption in my area is used to get access to special unfair privileges and wealth.

VIGILANCE POINT:

> The index measures only individuals' perceptions of corruption in the public sector and within the European Union.

FACTSHEET #16 – LATINOBAROMETRO (REGIONAL BAROMETER – LATIN AMERICA)

GENERAL INFORMATION:

-Index name: <u>Latinobarometro</u> -Index creation date: 1995

-Organisation information: Latinobarometro is a non-profit private organisation under Chilean law

-Corruption categories within the scope of the study: public bribery, favouritism, unlawful taking of interest

INDEX CHARACTERISTICS:

Index type: simple index

Languages: English, Spanish

> Theme: governance, including a part on corruption

Index accessibility: free

Accessibility of index data: easily downloadable data

Graphic representations: tables, graphs, articles

Index format: static

Frequency of update: not communicated

Last updated date: 2020

Data history: yes

Availability of assessment results: yes, available here

Index used by one or more other indices to measure corruption risk: yes

METHODOLOGY:

- > Sectoral analysis: public sector
- Geographic coverage: Latin America
- > Number of States or territories assessed: 18
- Statistical approach: perception
- Investigation technique: public survey
- Methodology availability: yes, available here
- Rating scale: no
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 20,000
- Using external data sources: no
- Method description: the sample by state is selected taking into account the population of the Latin American states regional (urban, rural, etc.) and sectoral disparities, in order to be as representative as possible. The population is selected at random. Face-to-face interviews are conducted with the population.
- Calculation method: results and statistics on the public perception of corruption in the public sector Latin American States based on responses to the public opinion survey.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

Source: Survey Latinobarometro: questionnaire

- Q20E: Do you strongly agree (1), agree (2), disagree (3) or strongly disagree (4) with the following statement: It is possible to eradicate corruption from politics.
- > Q68: Have you or a member of your family known about an act of corruption in the last 12 months?
- In your opinion, over the past year, has the level of corruption in this country increased a lot, increased some, stayed the same, decreased some, decreased a lot?
- Q69: In your opinion, over the past year, has the level of corruption in this country increased a lot, increased some, stayed the same, decreased some, decreased a lot?
- Q70: In the last 2 years how much progress has been made in reducing corruption in state institutions?
- Q71: How many of the following people do you think are involved in corruption, or haven't you heard enough about them to say? (The president and officials, Members of Parliament, Police...)

VIGILANCE POINT:

> The index measures only individuals' perceptions of corruption in Latin America.

FACTSHEET #17 - OECD: PUBLIC INTEGRITY INDICATORS (PII)

GENERAL INFORMATION:

-Index name: <u>Public integrity indicators (PII)</u>
-Index creation date: 2021, still in progress

-Organisation information: Organisation for Economic Co-operation and Development is an international

organisation working to improve public policy

-Corruption categories within the scope of the study: public bribery, unlawful taking of interest, favouritism,

misappropriation of public funds

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: English
- Theme: government resistance to the risks of corruption and breaches of public integrity
- > Index accessibility: free
- Accessibility of index data: easily downloadable data
- Graphic representations: chart
- Index format: interactive
- Frequency of update: not communicated
- Last updated date: index created in 2021
- Data history: no
- Availability of assessment results: yes, available <u>here</u>
- Index used by one or more other indices to measure corruption risk: not communicated

METHODOLOGY:

- > Sectoral analysis: all business sectors
- Geographic coverage: all continents
- Number of States or territories assessed: OECD member States
- Statistical approach: perception
- Investigation technique: aggregation of data sources
- Methodology availability: yes, available <u>here</u>
- Rating scale: no
- Using external data sources: no
- Method description: the indicators combine sub-indicators relating to the minimum institutional procedures for independence or integrity of key stakeholders in the system; more results-oriented sub-indicators are based on administrative data and surveys.
- Calculation method: not communicated

VIGILANCE POINT:

> The index is recent and still being developed.

FACTSHEET #18 – WORLD JUSTICE PROJECT: RULE OF LAW INDEX

GENERAL INFORMATION:

-Index name: WJP Rule of Law Index 2021

-Index creation date: 2010

-Organisation information: World Justice Project (WJP) is a non-profit organisation based in the United States

-Corruption categories within the scope of the study: public corruption

INDEX CHARACTERISTICS:

- > Index type: simple index
- Languages: English
- Theme: adherence and respect by states and territories to the principle of the rule of law, how it is lived and perceived throughout the world, including a part on corruption
- > Index accessibility: free
- > Accessibility of index data: easily downloadable data
- Graphic representations: chart, reports, tables, graphs, articles
- Index format: interactive
- Frequency of update: not communicated
- Last updated date: 2021
- Data history: yes
- Availability of assessment results: only the aggregated results, available here
- Index used by one or more other indices to measure corruption risk: yes

METHODOLOGY:

- Sectoral analysis: all business sectors
- Geographic coverage: all continents
- Number of States or territories assessed: 139
- Statistical approach: perception
- Investigation technique: aggregation of data sources
- Methodology availability: yes, available <u>here</u>
- Rating scale: from 0 (the lowest level) to 1 (the highest level)
- Population surveyed: yes
- Category of population surveyed: all socio-professional categories
- Number of respondents: 4,200 experts / 13,800 households
- Using external data sources: no
- Method description: evaluation using 44 indicators divided into 8 categories.
- Calculation method: calculation of the overall average results given by the experts, then ranking by State.

MORE DETAILS ON THE ELEMENTS RELATING TO CORRUPTION (EXAMPLES OF QUESTIONS, DETAILS OF CRITERIA TAKEN INTO ACCOUNT, ETC.):

Source: Survey WJP Rule of law Index: guestionnaire

Factor 2: absence of corruption

- > 2.1 Government officials in the executive branch do not use public office for private gain
- > 2.2 Government officials in the judicial branch do not use public office for private gain
- 2.3 Government officials in the police and the military do not use public office for private gain
- > 2.4 Government officials in the legislative branch do not use public office for private gain

VIGILANCE POINT:

> The index measures only individuals' perceptions of corruption.



3.1. Evaluation reports produced by international organisations

→ <u>Mechanism for the Review of Implementation of the United Nations Convention against Corruption:</u>

- <u>Data source</u>: executive summaries and, with the agreement of the State under review, publication of the <u>full reports</u> of State implementation of the United Nations Convention against Corruption;
- Objective: assessing each member State's compliance with the United Nations Convention against Corruption;
- Description: the Mechanism for monitoring the Implementation of the United Nations Convention against Corruption adopted in 2009, enables States Parties to carry out a mutual review of the implementation of the Convention's obligations. The auditors produce a report, the executive summary of which is necessarily published online, identifying the strengths and weaknesses of the system and making recommendations for improving compliance with the Convention.

→ Organisation for Economic Co-operation and Development (OECD):

- o Data source: country reports on the implementation of the OECD Anti-Bribery Convention;
- Objective: assessing each OECD member State's compliance with the obligations of the Convention on Combating Bribery of Foreign Public Officials in International in International Business Transactions of 1997;
- <u>Description</u>: through a working group made up of experts from various countries, the OECD assesses the evaluated State's compliance with the obligations of the Convention and issues recommendations to improve its compliance with the Convention.

→ Group of States against Corruption (GRECO):

- Data source: evaluation by country;
- Objective: assessing each GRECO member State's (all Council of Europe member States and several third-party States) compliance with its obligations under the Council of Europe Criminal Law Convention on Corruption (1999) and other GRECO reference standards (Council of Europe Civil Law Convention on corruption of the Council of Europe, and various guidelines and recommendations); GRECO proceeds by thematic evaluation cycles;
- Description: GRECO, through a working group made up of experts from different States, evaluates member States' compliance with the obligations of the conventions and reference sources and issues recommendations to improve their compliance with the Convention. Initial evaluation and compliance reports are published on the GRECO website after their final adoption by the plenary meeting.

→ Financial Action Task Force (FATF):

- Data source: evaluation by country;
- Objective: assessing each FATF member jurisdiction's compliance with the obligations arising from FATF Recommendations on combating money laundering and terrorist financing;
- Description: the FATF, through the International Cooperation Review Group cooperation review group, which is made up of experts from various countries, assesses its members' compliance with their obligations and provides advice on how to improve compliance with its Recommendations.

3.2 Evaluation reports produced by other organisations (NGOs, research institutes)

- → <u>Transparency International (TI)</u> (an international non-governmental organisation under German law, dedicated to the fight against corruption):
- <u>Data source</u>: exporting corruption 2022: assessing enforcement of the OECD anti-bribery convention;
- Objective: assessing and ranking countries according to active, moderate, limited, weak or no implementation of the OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions;
- Description: the report ranks the 47 main exporting countries (which together account for 84% of global exports) according to four categories: active, moderate, limited or non-existent application of international standards. The categories are chosen on the basis of the number of judicial proceedings and their state of progress (investigation, public action, final judgment or out-of-court settlement). The more advanced proceedings the more "points" it earns for the State being assessed. The opening of an investigation is worth one 'point', and the imposition of a financial penalty, when significant, is worth ten. Of the 47 countries evaluated, 43 are parties to OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions. The report has been published since 2005 and is now updated every two years. The latest edition was published on October 11th, 2022 (data covers the period from 2018 to 2021).
- → <u>V-dem Institute</u> (a Swedish research institute funded by various international organisations):
- Data source: Varieties of democracy;
- Objective: assessing democracy as a system of law;
- <u>Description</u>: The assessment is carried out by academics, researchers and experts who use a large body of data to analyse compliance with seven principles: electoral, liberal, participatory, deliberative, egalitarian, majoritarian and consensual, some of which relate to corruption.
- → International Institute for management development (IMD Business school) (an independent university institute based in Switzerland):
- Data source: World Competitiveness Yearbook;
- Objective: assessing the competitiveness of States and territories;
- Description: the assessment is carried out by experts who use a multitude of criteria, some of which relate to corruption, to examine how a State's social, political and economic climate affects the competitiveness of competitiveness of companies. A survey is conducted among company directors and executives in different States. IMD proposes a ranking of States and territories based on this data.



The resources shared below are in line with the theme of the present document and are not exhaustive.

4.1 Lists of non-cooperative States and territories drawn up by States or international organisations

→ French tax authorities:

- List of non-cooperative states and territories for tax purposes

→ European Council, Council of the European Union:

- EU list of non-cooperative jurisdictions for tax purposes –Consilium (europa.eu)

→ Organisation for Economic Co-operation and Development (OECD):

- <u>List of uncooperative tax havens</u>

→ Financial Action Task Force (FATF):

- List of high-risk jurisdictions subject to a call for action
- List of jurisdictions under increased monitoring

4.2 Lists of persons and States subject to international sanctions

→ French Treasury :

- International economic sanctions (only in French)

→ European Union:

- <u>List of EU sanctions</u>

→ United Nations:

- <u>United Nations security council</u>

→ Office of Foreign Assets Control (OFAC):

- Sanction lists

4.3 Other tools produced by private organisations

- → Basel Institute on Governance (a non-profit foundation registered in Switzerland):
- o Data sources: Basel Anti-Money Laundering (AML) Index;
- Objective: assessing and classifying countries according to their level of exposure to the risk of money laundering and terrorist financing;
- Description: published since 2012, the composite index uses 18 sources of data from the Financial Action Task Force on Money Laundering (FATF), Transparency International, the World Bank Group and the World Economic Forum. These sources are classified into five categories to provide a final score for each jurisdiction: the quality of the anti-money money laundering and terrorist financing, corruption, financial transparency and standards, transparency and public accountability and legal and political risks.
- → <u>Tax Justice Network (TJN)</u> (a British non-governmental organisation):
- Data sources: Financial Secrecy Index (FSI);
- Objective: highlighting practices that encourage banking secrecy and tax havens, promoting greater financial transparency on an international level;
- Description: the Financial Secrecy Index (FSI), created in 2009, assesses the transparency of tax policies and regulations in more than 100 countries, based on indicators such as the quality of regulation, access to financial information, international cooperation, etc. The final ranking is based on a scale of 0 to 100, where 0 represents the highest level of transparency and tax cooperation and 100 the highest level of banking secrecy.

GLOSSARY AND LEGENDS

All the definitions set out below by the French Anti-Corruption Agency (AFA) are to be considered within the meaning of the present document.

C

> Composite index:

A composite index is an index that is composed of several simple indexes.

D

Data:

Data is a representation of information in a standard form suitable for its use.

> Descriptive statistical approach:

The descriptive statistical approach aims to collect observations on statistical objects with a certain property and to translate these observations into numbers that provide information about that property. The purpose of descriptive statistics is to structure and represent the information contained in data. The population is the set of subjects observed. The characteristic is the property studied on these objects.

E

> Estimation-based statistical approach:

An estimate is an approximate assessment of the characteristics or behaviour of a population based on results obtained from one or more samples.

<u>Vigilance point</u>: the sample scale is not always the same as the scale of the study results. Results for an entire State can be inferred from the analysis of part of its population, and sometimes a single region may be surveyed or over-represented.

> Expert appraisal:

An expert shall designate a person who, by reason of his competence in a specific field, is appointed to give technical opinion. Expert appraisal is a methodology to collect assessments conducted by several experts on different aspects of the same issue, using indicators, with the aim of obtaining a single result on the aspect being appraised.

> Perception-based statistical approach:

Perception is the action of mind-grasping facts, such as having a clear or confused perception of a situation.

<u>Vigilance point</u>: perception is by nature subjective. Within a population, it can be influenced by external factors such as media coverage of the subject at the time of the survey (which can amplify people's feelings), or cultural differences (perception of corruption as 'positive' in some countries). The perception of experts and citizens will also differ due to uneven knowledge of the subject.

Predictive statistical approach:

Predictive analysis, considered as a type of data mining, is a field of statistical analysis that extracts information from data to predict future trends and patterns of behaviour. The core of predictive analysis is based on capturing the relationships between explanatory variables and the explained, or predicted, variables derived from past occurrences and using these relationships to predict future outcomes.

R

Rating scale:

A rating is an assessment by a specialised institution of the corruption risk of a State, providing codified information.

S

> Simple Index:

An index represents a ratio that measures the variation in time or space of a quantity or set of quantities. A simple index is one that is not calculated using other indicators or data sources, as opposed to a composite index.

> Survey:

A survey is a technique based on public responses to targeted questions that seeks to identify the evolution of a phenomenon in society, such as corruption.

> Statistics:

Statistics is a science whose purpose is to collect and count various facts of social life, such as statistics on financial crime.

www. agence-francaise-anticorruption. gouv. fr

Design & Authoring

French Anti-Corruption Agency

Achievement:

French Anti-Corruption Agency - AFA

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