INTEGRITY MANUAL FOR PRACTITIONERS
Working on integrity in Afghanistan

Summary:

The manual is aimed at giving (a) the methodologies necessary to implement programs on Integrity issues considering the Afghan context and in assisting (b) individuals to run an institution efficiently, transparently and effectively in the context of Afghanistan

(a) Tools for research (how to use in-depth interview, focus groups and survey), Implementation of a research program (sampling, forms, reporting, standardization of the information, controlling the findings), Implementation of monitoring activities (selection of the targets, governance systems related to monitoring, methodological constraints, reporting issues, sustainability), Advocacy (through media, communities, workshops, with a sectorial approach), Media campaign (setting up a press conference, selection of the information to be highlighted, the press release, the follow-up), Lobbying (the targets for the lobbying, identification of partners, information management), control and measurement of the consequences of your actions.

(b) Afghan legal context for NGOs, minimal financial standards for integrity, financial procedures for transparency, internal controls, procurements control and reporting.
This manual was written by Lorenzo Delesgues. We are indebted to Hamid Razzaq who provided a very active support regarding the content and the translation. Alice Martina brought ideas and suggestions regarding the design. Mir Najmuddin Hashemi was very supportive in coordinating IWA and UNDP all along the project.

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Integrity Watch Afghanistan © 2009

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About IWA

IWA was founded in May 2006 with the mission to increase transparency, integrity, and accountability in Afghanistan through policy-oriented research, the development of monitoring tools and trainings for the facilitation of policy dialogue. IWA gathered a highly talented team consisting mostly of Afghan researchers with the addition of culturally literate internationals.

IWA's work is organized around these three areas:

a) Applied research as a basis for informed policy making and citizen information,

b) Citizen based monitoring of state service delivery, infrastructure reconstruction and natural resource extraction to ensure an effective use of resources and to increase state legitimacy,

 c) Advocate for the implementation of research and monitoring results to improve the integrity and legitimacy of state building,

IWA's publications are available online at www.iwaweb.org

About UNDP ACT project

The UNDP Accountability and Transparency (ACT) Project, designed to support the Government of Afghanistan in the development of its critical areas in the fight against corruption, was signed and commenced in January 2007. An important aspect of the project is to support civil society and media to play an active role in promoting accountability and transparency and to facilitate broad public awareness and education initiatives on the complex issues of corruption and to engage more civil society actors and local think tanks in this process.

The UNDP Accountability and Transparency Grants Facility (ACT-GF) aims to complement the anti-corruption activities undertaken by the Afghan public sector through strengthening the engagement of civil society in pro-transparency and integrity activities, specifically supporting those projects that focus on the key areas strengthening accountability and transparency and which go beyond pure awareness raising activities.
Summary of the manual

Objectives:

Many individuals or institutions want to start working on pro-Integrity issues but do not really know where to start. This manual’s aims is to provide individuals or organizations the initial practical guidance for starting and implementing activities related to Integrity. IWA’s experience in this field is here concentrated to help other civil society members to become active supporter of Integrity in Afghanistan. In the past four year of IWA’s activity, the necessity for such a manual was felt due to the lack of organizations working on Integrity in Afghanistan. We wanted this manual to be easy to use and practical. We hope the methodology and approach exposed in this manual will be used, readapted to the Afghan local needs and will assist the Afghan civil society to play a constructive role in the reconstruction and the sustainable development of the country for the benefit of Afghans. The methodologies exposed in this manual go beyond pro-integrity work and can be used as a based to start academic research.

How to use the manual

The manual is divided in sections classified thematically and covering the major aspects of pro-integrity activities. Each page develops one concept or one approach to develop pro-integrity activities. The manual provides with theoretical guidelines, with examples but also with practical tools to implement and manage your integrity project such as forms, contact or check lists.

The content:

(a) Qualitative research, other types of qualitative research (Focus groups, participative, non-participative, case studies)

(b) Survey, Implementation of a research program (sampling, forms, reporting, standardization of the information, controlling the findings),

(c) Implementation of monitoring activities (selection of the targets, governance systems related to monitoring, methodological constraints, reporting issues, sustainability),

(d) Advocacy (strategy and impact control),

(e) Media campaign (setting up a press conference, selection of the information to be highlighted, the press release, the follow-up), Lobbying (the targets for the lobbying, identification of partners, information management)

(f) Afghan legal context for NGOs, minimal financial standards for integrity, financial procedures for transparency, internal controls, procurements control and reporting.
# Manual classification by interests

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<th>Relevant page number</th>
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</tbody>
</table>

Integrity Manual p.8
Integrity can be obtained using the pressure of research, monitoring and advocacy on a socio-political environment. Integrity is influenced by research, monitoring and advocacy. The pressure created by these three components can be exerted by any actors of a socio-political system.

\[ I = f(r, m, a) \]

Overtime, increasing the integrity in a socio-political environment should decrease corruption in this environment and should increase the trust and legitimacy of its actors' actions.

The manual is structured around the idea that working on integrity necessitate a multidimensional approach. Any claims to improve the integrity of a given system or of given actors should be supported by evidences. For this reason, we thought that we should start the manual with notions about research that will allow any organization or individual to have a solid approach to its subject, reducing the risks for misconceptions, confusedness or worst misleading actions. Following the research and in order to be in direct contact with the areas to be influence toward a better integrity, notions about monitoring would be a tangible approach to any changes of actors or systems toward more integrity. The results of the research and/or of the monitoring are usually not going to create change per se, they need to be imbedded into an advocacy strategy which will exert strategic pressures on the different actors of the system to influence them and to create the necessary change toward a long lasting integrity. Finally we though that integrity could not happen without solid actors to promote it and lead by the example. The institution working on Integrity can be small and relatively simple but must be sufficiently solid to resist the attacks of the actors they are disturbing. The only force of will is not enough and some simple administrative and organizational suggestion can be precious support for any actors willing to work on the area of Integrity.
At this stage you should consider a series of key factors which should determine the questions and the methodology you will use for your research:

- What is your time scale?
- Is the subject of interest, was it researched before? How?
- What are your logistical resources?
- Who will participate to the research with you?
- What are the risks / access to the field?
- What is your budget?
- Are there key results to be achieved?
First and secondary data
First hand resource are data that you have directly collected using a methodology by you designed (if you design a survey and the data collection is conducted by surveyors, you will still consider this information as a first hand data).
Secondary data are information gathered by someone else, these can be press articles (although often quite factual) and other surveys or field research, case studies or hear saying. Certain secondary data can be considered as more reliable then others, for example statistics on courts cases, video reports, data reported by direct eye witness - however, make sure that you are able to cross check any secondary data.

Hypothesis: is a supposition or proposed explanation made on the basis of limited evidence. It is a starting point for further investigation. A proposition made as a basis for reasoning, without any assumption of its truth. It could be translated as “the foundation”. The hypothesis is often the element that has to be verified empirically during a research process in order to show a clear relation between a cause and an effect.
For example: Low paid civil servants take more bribe / In develop countries there is less corruption / Women are less corrupt then men all these hypothesis need to be verified empirically to see if they are true or not. These hypothesis can be further segmented in sub-questions which will be easier/ more suitable to verify empirically. Before you make your empirical research, you should clearly define the condition by which an hypothesis will be valid or not valid.

Empirical: An empirical evidence is based on an observable series of evidence, measures and/or fact(s) that are reproducible. The empirical experiment is use to verify the hypothesis of a theory to validate or invalidate it.

Difference between a descriptive and an analytical process: descriptive process is giving facts that are representing the reality. It is often the result of observation. The analytic process will put the facts together and try to find an underlying reason for these facts to happen in a certain manner. The analytic thought is critical and questions how things appear to us. Analytic process are organized and follow a logical dialectic.
Example: Descriptive: birds are flying close to the ground before the rain.
Analytic: Birds are flying to chase insects, before the rain the pressures of the air is higher and the insects are flying close to the ground so birds are flying close the the ground before the rain.

Actors: they are the elements, persons, groups of people, institutions, social entities, countries interacting and evolved in the a social system. The actors can be on their turn subdivided in sub-actors relevant for the understanding of their actions or evolutions.

A social system is composed of actors, rules, given historic patterns / evolutions / behaviors, resources (inputs and outputs) and should be consistent in scale and composition with the phenomenon your are studying.
Qualitative versus Quantitative Research components

<table>
<thead>
<tr>
<th>Qualitative</th>
<th>Quantitative</th>
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<tbody>
<tr>
<td>1. Understanding the behavior of actors and their understanding / interpretation of a situation</td>
<td>1. Seeks the facts of social phenomena</td>
</tr>
<tr>
<td>2. Uncontrolled and rough observations</td>
<td>2. Controlled and strict measurements</td>
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<tr>
<td>3. Subjective</td>
<td>3. Objective</td>
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<td>4. Close to data, with an insider perspective</td>
<td>4. Far form data, with an outsider perspective</td>
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<td>5. Discovery oriented, exploratory, analytical</td>
<td>5. Verification oriented, hypothesis-deduction</td>
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<td>7. Real, detailed</td>
<td>7. Hard data and replicable results</td>
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<tr>
<td>10. Can be cheap to conduct</td>
<td>10. Is often expensive to conduct</td>
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</table>

The qualitative research is used to explore an issue or a subject, it is often very informative and constitute a base for a quantitative research.

The quantitative research is there to do empirical measurements. It is a good complement to verify qualitative hypothesis.

Qualitative and Quantitative research -although they are not alone- are both legitimate vehicles to find out about social reality. It can be interesting to conduct both qualitative and quantitative research on one subject in order to capture it well. Both will require a high degree of self discipline and a great attention to details. Single research exercise are often not enough to understand.

Integrity Manual p.12
Implementation of research interview contact

Contact interviewees
To contact interviewees, there are three ways:

You know the person

1. You know the person well => Use the phone or use your usual meeting environment to introduce the research and to set-up a meeting
2. You don’t know the person well => Use the mail or the phone if the person has no mail access and try to set-up a meeting

The person is introduced to you

1. The person is introduced to you because of its relevance for your work, you should introduce your research project and try to see if the person is able to meet with you for an interview on the subject
2. The person name has been given to you by someone. You should call or mail the person introducing yourself and explaining how did you get his contact. Explain the reason of your interest and try to set-up a meeting for an interview.

You don’t know the person

1. You should call or mail the person introducing yourself and explain the reason of your interest and try to set-up a meeting for an interview.

Before you go to the interview, you should prepare an interview guide and you should make sure that the person interviewed is aware of the reason why you want to meet. The person should systematically be properly referenced in your contact list (see p.11)

When the researcher starts contacting persons for an interview, he has started to produce information and this information must be properly tracked and kept. This information is precious, it takes time and energy to gather it. As an organization or an individual you must make sure that this information is not lost and can be easily transmitted and accessed. If you want to look back at a research you made in two or three years, which is often the case you need to be able to find it or to go back to the details of an interview. If a researcher is leaving your organization, you must make sure that you have a proper institutional memory so that the content of his work can be use by his successor and that you can ensure a smooth take over.

The following document will help you:

• Contact mail template
• Contact list template
• Interview guide

Integrity Manual p.13
Implementation of research contact mail template

Forms:
Typical introductory mail:

Best practice

Dear X,

UXY is a Kabul-based social organization focusing on increasing transparency, integrity and accountability in Afghanistan.

We are currently conducting a survey on the Aynak copper deposit under the angle of its potential for development in Afghanistan. We are interviewing various stakeholders related to this project (e.g. Afghan State officials, official project partners, NGOs, etc.) in order to better understand its main trends and issues.

In this context, we would like to get your perspective on the matter through a meeting in the coming days, or from someone else in the UNDP knowledgeable on the extraction industry. Of course, we will be happy to share with you the final report of our study.

Please tell us the most convenient way for us to contact you.

Thank you very much in advance for your help,

Best regards,

Lonzo Dleg

Title
Contact number
Address of the organization
Logo

Risks

The person does not understand who you are

The person does not see why he should respond to your demand

The person does not know what to do in case he wants the help you

The person has more difficulties to find out more about you

Integrity Manual p.14
## Implementation of research: contact list

**Typical contact list:**

Under you can see capture of the way to present the categories give below using Excel. It is important to have a clear presentation and to use appropriate Excel’s filtering functions.

<table>
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<td>Consultant</td>
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### Name of the columns & Typical content

- **Institution**: Name of the institution
- **Contact name**: Full name of the person
- **Position**: Position as in the company/organization
- **Country or province or district**: Name of the country/province/district
- **Owned (persons responsible of this contact)**: Initials of the person responsible for the follow-up
- **Aware**: Is the person informed about our work? Yes / No / ?
- **Contacted last**: Date
- **Feedback**: Yes/No
- **Next steps**: Contact/Interview/2nd interview/lunch/comments...
- **Comment**: Write specific info about the person
- **Mail**: Mail
- **Phone**: Phone number with the international codes
- **Address**: Postal address complete
- **1st contact**: date
- **Call back date**: date
- **Interview date**: date
Implementation of research: interview form

**Best practice**

- This section should use the categories also entered in the contact list.
- The objective of the interview need to be written before the interview starts. This objective must help to verify the hypothesis of the research.
- The questionnaire must be organized in thematically so that when the interview goes from a theme to another, so the interviewer do not lose track of his questions.

**Risks**

- The information might be lost for future interviews or inability to track the precise reference if a quote is used in the report.
- The interviewer might have to call back the person because after the interview he realize that he didn’t ask important questions to the person.
- The interview must be types soon after is in order to be able to use the quotes and not to forget some important points.

All the data from the interview should then be process in the contact list and the interview questionnaire filled with all the information should be typed and saved in order to be used as a reference during the analysis.
Implementation of research in the Afghan context

**Typical steps for the research set-up in Afghanistan:**

**Contact with the Afghan authorities** are often required in order to avoid any trouble or obstacle when asking for meetings with civil servants or if filming. In case of problems during the research or incidents, an official authorization can help, it will show that the work was conducted properly, following the “procedures”. Often the best authority to be contacted at the district level is the office of the district governor, at the provincial level it is the office of the provincial governor. Normally you will start by the office of the provincial governor who will redirect you to the office of the district governor with a recommendation letter that is often binding for him. It is also good to come to the office of the provincial governor with and official recommendation from the economic ministry if you are an NGO or any other relevant line ministries. This recommendation can be accompanied by a short description of your research. Try to use this official introduction at your advantage by getting additional contact for your research. These persons if recommended by the provincial governor can assist you very much when making your research and giving you access to key documents. However, you must stay extremely vigilant to any sort of manipulations, often provincial and district governors have their own agenda and might orient your research in order to fit into it, so make sure that you also have alternative contacts during your field research.

**The issue of recording interviews** (in particular in the case of pro-integrity work) can be problematic. However, during our researches, we observed that people are often accepting to be recorded. It is for them a signal in your direction: “look I am not afraid, I am going to tell you the truth and you should trust what they say...”

When the issues you are researching are really problematic or when you are reaching a challenging part of your interview, often the person might ask you to turn off your recording. The problem with the recording is that it can affect the spontaneity of responses. Good notes are often better, also in the case of note taking, ask for the authorization, it is granted most of the times.

**Important aspects related to integrity research: discretion.**

Interviewees in Afghanistan will often make names describing people that are corrupt or will tell you a story that they have heard. It is important to attentively listen to it, focus on the structure of the story, often more then the real facts it will reveal certain patterns of corruption. In fact you will face a lot of manipulation and approximation in the way facts are reported. On your side avoid making names unless the cases have already been brought-up by your interlocutor. In certain circumstances this could ruin your interview. Also as a rule, never reveal the sources of your information unless it is public, even if your interlocutor insist. Tell him that you will not reveal what was in your discussion with him and this is your rule with all your interlocutors. Nevertheless it is extremely productive to send some indications of the information you have in order to launch the debate and in that case you can use certain information you have, in particular the patterns of an event you try to understand better. You do not need to make names, if your interlocutor is aware and if he is ready, he will surly make the link and provide you with additional information or interpretations.

**Who is introducing you:**

The channel through which you have been introduce to your interlocutor is key in the way he will interact with you. Always be aware of manipulation and try to always push for more evidence and details about the facts described during an interview. Very often humor is way to communicate and say disturbing things. Try to understand it and play on the same register. This will help in building trust.
Qualitative research

**What is a qualitative research:**
The qualitative research should be defined as a tool to observe and/or gather from interviewees or from a group subjective perspectives and unexpected information. The results of qualitative research are often a set of data used to create a theoretical idea while the quantitative research is going to be use to verify a theoretical idea.

**Objective of qualitative research:**
The qualitative research is analyzing a small number of key actors (usually less then one hundred in-depth interviews). Its objective is to state a series of hypothesis and defend them. The qualitative research will often have difficulties to test its validity, however, it can highlight ways to test its validity using quantitative research. By using a small sample, the qualitative research is able to explore very detailed aspect of a question and adapt its understanding to each of the actors of the system it is studying.

**Use of qualitative research:**
The qualitative research is looking for the roots of an unexpected behavior or situation while the quantitative research will try to measure the degree to which an indentified phenomenon is occurring. Its positioning should be neutral and it should demonstrate all its affirmations. Both qualitative and quantitative research can be used to the development of a theory or to deliver useful findings and play a role in policy making.

**Qualitative research in a pro-integrity context:**
The qualitative research is the starting point of any activity related to integrity. It will inform any further activities of monitoring, advocacy, policy making or any additional needs for quantitative research. Qualitative research is ideal to explore subtle issues such as conflicts of interest, corruption, nepotism, social pressure which are key in understanding integrity.

The information gathered will be used to understand a phenomenon, identify the risk for integrity and the possible evolution of a given situation. The actors involved and their role will be identified and analyzed. Plausible and solid explanations of their behavior will be formulated using qualitative research.

A series of qualitative research conducted by IWA on integrity issues are available on our website (www.iwaweb.org) and could be used as examples of qualitative research applications.

Summary of the issues presented in this section:
Desktop research
Qualitative research sampling
Field work (Afghan context)
The interview process
The interview (Afghan particularities)
Qualitative research check list
Processing Qualitative research data
Focus Group
Participatory versus non-participatory interviews
Qualitative research: Desktop

Desktop research:
The desktop research is the action to gather information in the form of written, pictures, sounds and video related to one subject. The desktop research is often a preliminary phase for any research. Its objective is to gather as many documents related to one subject in order to understand how the subject was analyzed before, what are the main group working on the issue and what are the major fault lines in the analysis of the subject. The desktop research can only gather information on subjects that have attracted attention or that add enough time to be explored. In the case of Integrity in Afghanistan, this subject was almost unexplored until three years ago. In such a case, the researcher must gather the necessary information that will be key for its analysis. This information might be present in reports that are not at all related to integrity but that are related to governance, to human rights, to justice reforms, to development, to economy, to sociology or last but not least to anthropology … All the information and the name of the researchers working in the area of interest must be carefully noted and checked, the desktop research is done following a series of steps:

1. Subject to be researched
2. Relevant areas corresponding to this subject: Economy, Anthropology, Natural resources, History, Law, Governance…
   - Identify authors and bibliographies
3. Relevant Geographical area: Countries: Afgha, C. Asia, S. Asia
   - Countries with common characteristics: Islamic countries, Post-conflict…
   - Identify authors and bibliographies
4. Filtering / Classifying
   - Find the key books / authors
   - Filter the research results by author, articles, books, institution, areas
   - Download and classify (create a reference folder with subfolders in your hard disk)
5. Reading
   - Identify the key extracts /pages
   - Identify the key extracts, data. Use the search function in your computer to highlight keywords
   - See what are the gaps

=> What can your research do that wasn’t done?

Integrity Manual p.19
Who should be interviewed:

Map the social environment you are studying and identify the key persons to be interviewed. You can make a good qualitative research if you interview 15 to 25 key persons but you must be extremely precise in their selection and the questions you are asking. Really explore all the relevant aspect of their knowledge in relation with your research. Your sample should probably consist of a wide range of different elements.

For example: “Understanding corruption perception in Afghan provincial governance structures”. List of the key population categories targeted by the study:

<table>
<thead>
<tr>
<th>Category</th>
<th>Macro categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Farmers</td>
<td>Ordinary Citizens</td>
</tr>
<tr>
<td>Small shop keepers</td>
<td>Private sector</td>
</tr>
<tr>
<td>Small maleks</td>
<td></td>
</tr>
<tr>
<td>Big Traders</td>
<td></td>
</tr>
<tr>
<td>Construction companies staff</td>
<td>Modern CSO representatives</td>
</tr>
<tr>
<td>NGO staff</td>
<td></td>
</tr>
<tr>
<td>Social Organizations staff</td>
<td></td>
</tr>
<tr>
<td>Media</td>
<td>Traditional CSO representaives</td>
</tr>
<tr>
<td>Provincial Councils representatives</td>
<td></td>
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<tr>
<td>CDC (NSP)</td>
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<tr>
<td>Shuras (Ulema)</td>
<td></td>
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<tr>
<td>Shuras (Tribal)</td>
<td></td>
</tr>
<tr>
<td>CS working for the MRRD</td>
<td>Rural development</td>
</tr>
<tr>
<td>CS working in the Justice</td>
<td></td>
</tr>
<tr>
<td>CS working for the Police (Mol)</td>
<td>State law and enforcement</td>
</tr>
<tr>
<td>CS working in Customs</td>
<td></td>
</tr>
<tr>
<td>CS working in Mustufiats</td>
<td>State revenue</td>
</tr>
<tr>
<td>CS working in Finance</td>
<td></td>
</tr>
<tr>
<td>CS working in Social Services (Health, Education...)</td>
<td>State Public Services</td>
</tr>
<tr>
<td>CS working for the Civil Service Commission</td>
<td>State civil service</td>
</tr>
<tr>
<td>Municipalities and district administration</td>
<td>Local institutions</td>
</tr>
</tbody>
</table>

Criteria

Try to identify in your sample male and female from relevant social groups for your study and with different age and educational and socio-economic background. Your interview should be adapted to each of them, they should be unique but with a similar objective: inform your initial hypothesis.

As your research progress your hypothesis might also evolve and you should adapt your sample as your understanding of the situation is progressing. Usually your interviewee sample should grow and not diminish

Setting up a sample for qualitative research: **Strategic sampling**

Start with a list of population categories to be interviewed and make some key interviews with people who should be well informed about your subject. Then constitute your sample mixing snow-balling contacts and key persons due to their institutional/social positions:

- Civil servants working in a particular office
- University teachers
- Students
- Customs Chief / employees
- District governor / a person from his office
- Head of police / normal policeman
- Etc.

- Usually the people with important position are not talking and will not give you a lot of key information. However they are key to get the buy-in or the introduction. Contact them to get their approval but don’t make their interviews at your first meeting with them. Try to finish with them when you are already more experienced and that you are able to ask them confirmation for some of your findings.
Qualitative research: field work

Field work:

It is crucial to have a contextual knowledge of the environment you are in before you do the interview or you identify the key persons for your research. There is very often an important gap between what you have imagined the field would be like during your desktop preparatory research and the moment you are in the field. If you have enough time at your disposal, it could be good to spend some time meeting with the potential people you will interview and start understanding their terminology, the taboos and the contextual element that were not appearing during your preparatory work.

During your preparatory research you should try to identify a few key contacts who will help you to gain access to your field. Make sure that you understand well the bias of each of your key informants and try to develop as soon as possible your own network of contacts.

During this exploratory phase of the field work it is important to keep note of the elements, situations, process or impressions that are surprising you, these might become important explanatory factors. You must also note the point that you planned and the relative difficulty or facility that you have in realizing them. In Afghanistan access to important person might be very easy while in the west it is much more difficult. However accessing to peoples’ family is much more easy in the west then it is in Afghanistan. These denotes specific social structures and interactions that might be key to understand certain phenomenon.

It also can happen that the researcher is in a situation where an informal conversation starts and the person in front is actually extremely well informed about your research subject. In this case, it is important to keep in mind your research objective and start an informal interview where you are gathering as many information as possible form the person. This type of situation is often happening during field research or for investigative journalists.

During a field research you must try to observe key environmental constant and try to understand which elements are subject to change and which are not. Try to find proves of the impression you have during your interviews, try to test your first analysis through informal discussions with persons you are interacting with, they will much certainly orient you a provide you with extensive explanations on why you could be right or wrong.

The field work is the time for the reconciliation of second hand data or observations gathered during your preparatory research with first hand impressions, data. Try to gather the maximum of proofs for that reconciliation (pictures, testimonies, documents…) or of elements against it.

The field work is a period of intense thinking /doubt /illusion/ euphoria and depression. You might change your initial analysis many times a day until you will each a moment where certain constant will appear try to identify them and question their pertinence to explain your position. Certain interviews will be key in understanding your perceptions. If you think that an interviewee was key, try to meet again with him/her and ask him/her for more contacts.
Interview:
In qualitative research the interview must be adapted as much as possible to the situation and to the context. The **objective of the interview** must be clearly set in the mind of the researcher and the dialogue must be build in order to fulfill those objectives. Among those objectives there will be the following types of information which will be gathered:
- Descriptive figures (quantitative data, size, frequencies, descriptions…) of a phenomenon
- Opinion on one issue
- Detailed experience of the interviewee about a specific area (event, persons, situations, social phenomenon…)
- Analysis of the interviewee about a precise subject
- Other contacts

In order to gather all of these information, it is important to have an **interview strategy** and to make sure that all the information that are wanted from one interviewee are clearly identified. **During the interview, unexpected issues might come-up and the researcher should be prepare to explore these issues as well.** To make a good interview **the researcher must be well prepared, stay critical and keep a creative thinking.** Interviews cannot be reproduced, they are a case to case situation- by opposition with quantitative research where interviews should be as similar as possible. The main interview strategy are:
- **Structured/ Semi structured /Focused interview:** using a well prepared interview guide
- **Narrative interview:** asking the interviewee to tell you his story and ask him for more details when he comes to an interesting part
- **Use of pictures, vignettes or scenarios**

Depending on the type of interview you want to do, you will need a questionnaire – in any case you should **write the content of the interview as soon as you possible after the interview.** In the case of Afghanistan, note taking or recording is not always possible. The researcher must find memotechnique tricks to remember all the content of the interview and must write it down as soon as possible. For this reason, the researcher should be very well prepared, have an idea of the figure he should expect and **remember the places where the interviewee gave an expected response and where he did not and try to understand why.** The **questionnaire** is a good tool to make sure that you are not lost during the interview. Very often you will not read the question but you will check that during the conversation you didn’t forget any important topics. The interviewee, usually contribute with additional aspects and dimensions to your topic, this is extremely useful to enrich your research and to trigger new questions.

At the beginning of the interview **a word of introduction should be given on the scope of the interview**, on the condition of **anonymity** and on the possibility to take note or to record the interview. In certain cases, this is not possible and the context speak by itself. **During the interview, it is important not to cut the interviewee** but the researcher must make sure that he is directing the interview. The researcher should try to adapt his level of language to the context and should not enter into conflict with the interviewee by expressing too strongly his opinion. It is however interesting to confront the interviewee to challenging interpretations or to push what he is saying one step further to see his reaction and how he is defending his analysis.

It is often interesting to **go to the interviewee place** in order to a greater understanding of his environment. In certain cases, this is not recommendable and a neutral environment (a restaurant, a tea house, a car) can be a better place. The context of the interview should be carefully noted (attitude of the interviewee, objects which could give an indication on the person (social environment, rich, poor, religious…), collaborators or other person assisting to the interview, reaction to certain questions.
Qualitative research: Afghan context

The Afghan context for qualitative research

Interview set-up:

Interviews meetings are often set-up without mail but through a phone call or through a formal introduction by an acquaintance
- **Who is introducing you** is extremely important. The way you are introduced to someone will often be determinant on the amount of information you will be able to gather during your interview. If the person who introduce you is highly estimated by your interviewee, you will certainly be surprise by the level of intimacy you will be able to reach during your interview. However if the introduction is very formal, the interview might also remain very formal. The person who introduce you will also be determinant of the amount of contact you will be able to gather from your interviewee.
- **Be careful of social sensitivities** (religious, ethnic... when you expose you research or your work). Make sure that you are presenting yourself in a manner which is adequate with the context. You should not impress people if you are interviewing simple persons (don’t dress with a suite if you are interviewing rural people), keep a low profile attitude where people can relate to you. You shouldn’t not be seen as not serious when you are interviewing persons with a high social status.

Recording: Taking notes, taping or video of the interviews

- In Afghanistan the note is the most frequent. It is however very interesting to tape and interview as it offer a very good way to keep track of all the details of the interview and to review them with calm and distance (small MP3 recorder are now available), the MP3 can then be kept in an archive for future consultations. The video is often sensitive in Afghanistan, religious and woman will often be reluctant.

Gender issue:

- Making an interview of a woman often implies that a “muharam” is present during the interview, unless the researcher is a woman or if the interviewee is coming from a liberal background. The advantage to be a woman research is to have access to both male and female in the society. If you are a male and you need to interview a woman, it can be helpful to be accompanied by another person. The difficulty with this is that the presence of a third persons interfere with the quality of the relation that is being built during the researcher and the interviewer.

Manipulation during the interviews:

When making interviews related to integrity issues, **the researcher must be extremely carful of not being manipulated**. It is extremely common that rumors are described by the interviewee as if they were first hand information. It is extremely important to know your subject and to be able to ask question which will show to your interlocutor that you know the subject. In certain situations it is more interesting to play the role of the neophyte, in that case the interviewee will explain you how he sees the question you are asking, this can give you the benefit to ask a few questions which could be problematic but in a very innocent manner. Be extremely careful in getting names, it is often more interesting to understand the reasons why the actors are behaving in a certain manner then to have names which can become dangerous for you.

In Afghanistan interviews of important political figures are rarely a one to one exercise, you will sit in the office of the person and people will regularly come and interrupt. It is interesting to understand the nature of the interruption but you must make the effort not to lose track of the interview.
<table>
<thead>
<tr>
<th>Qualitative research: interview check list</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Check list for the interview</strong></td>
</tr>
<tr>
<td>Present yourself in a neutral position.</td>
</tr>
<tr>
<td>Explain what you do, why, for who are you working, answer the interviewee questions if he has some questions about you. Be transparent about you.</td>
</tr>
<tr>
<td>Understand your similarities with your interviewee. This will help to understand the type of mistakes, misinterpretation you might do.</td>
</tr>
<tr>
<td>Make sure that the interviewee can express himself without being judged by your reaction.</td>
</tr>
<tr>
<td>The order of the question is not important as long as the conversation flows and all the topics are getting some coverage.</td>
</tr>
<tr>
<td>Try to make the interview as if you were having an ordinary every day talk. Question should almost not be apparent and should flow naturally in the conversation.</td>
</tr>
<tr>
<td>In certain cases to speak about corruption, integrity in a serious manner can be a relief for certain persons and they will be very prolix.</td>
</tr>
<tr>
<td>You can contribute to the conversation but be carful not talking more then the interviewee.</td>
</tr>
<tr>
<td>Question can have the form of a well placed comment , of a smile, of a figure to be commented or any other sort of dialogue attitude.</td>
</tr>
<tr>
<td>Make sure that the interview is not ending abruptly. You must manage the length of the interview intelligently.</td>
</tr>
</tbody>
</table>
Qualitative research: processing data

How to process the material accumulated during the field / desktop / interviews?

A system of classification of your information should be designed in order to be able to find all the related information easily. Usually it is interesting to use a table where the main research categories are entered:

<table>
<thead>
<tr>
<th>Thematic entry</th>
<th>Figures / facts</th>
<th>Descriptions</th>
<th>Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actors (list the names)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Geographical place (list the places)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Events (list)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Political process (relevant to your research) list</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social process (relevant to your research) list</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>References Article/books</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>References Multimedia</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In these categories you should insert the data gathered during your interviews and observations.

In these categories you should insert the data gathered during your desktop research, press articles.

The data once processed in this manner will be easier to find and to be tracked. Usually the researcher has an intuition for a possible analysis of those data, he should then classify the data in order to see which one are key to confirm his hypothesis and which one might be missing. At the beginning of the research a series of hypothesis should be enounced in order to determine the validity / invalidity of the hypothesis.

<table>
<thead>
<tr>
<th>Hypothesis</th>
<th>Criteria of validity</th>
<th>Criteria of invalidity</th>
<th>Empiric elements</th>
<th>Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hypothesis 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Hypothesis 2</td>
<td></td>
<td></td>
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<tr>
<td>Hypothesis 3</td>
<td></td>
<td></td>
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</tbody>
</table>

Integrity Manual p.25
Focus groups are used to gather information and behavior of social actors that are not isolated. In a normal interview the researcher interact in a one to one situation with the interviewee. It is often possible that in certain conflicting or delicate situations, the interviewee will manipulate the researcher, will hide certain points about his behavior. In a focus group discussion, the interviewees are under two type of constraints, the constraints from the questions and the constraints from the other members of the group who are aware of the situation. This configuration ensure that the elements expressed during the focus group interview have more chances to be accepted realities otherwise a debate will arise during the focus group.

The focus groups application: test analysis, to identify commonly accepted positions, to test quantitative research questionnaires.

The focus group stages:

1) Identify the questions you want to ask
2) Identify the relevant people you want to put together to interact. Be careful in certain cases the interaction can lead to two different results:
   - FG composed of different civil servants => consensus
   - FG composed of users and civil servants => debate
3. Find a comfortable setting, organize for refreshment and invite the people to join. Give them names (just first name) and label, seat the people in circle and be part of the circle. Organize for the recording or the note taking. In any case it is good to be two persons, one moderator one taking notes.
4. Make the introduction and explain the scope of your work and why you have brought them together. Explain the rules of the game: everyone can express freely and should talk equally and have the chance to express his idea, give also and idea of the length of the discussion. Based on that ask them to introduce.
5. Introduce the first subject and start the discussion, try to keep the flow and channel the discussion if you fell it is diverting form the initial subject.
6. If the group is well selected and knows his subject there will be little direction to be given.
7. The number of focus group participant should vary between 5 and 12 and the time should vary between 30 min and 2 hours.

TO DO

- Know your subject
- Be interested by the participants contribution
- Try to make them talk
- Make sure that every one is talking, try to limit any domination of the conversation by one person
- Try to pursue the important point that were not taken further by the participants
- Summarize the conversation at the end

NOT TO DO

- Don't take all the space in the discussion
- Don't interrupt
- Don't comment critically on participants' views
- Don't let the group get stuck at any point
- Don't allow one or two participant dominate the discussion
# Other qualitative research: Participatory / Non participatory observations

Both the participatory and non participatory observations are tools used in ethnography in order to gather data. The researchers are not really using interviews but they are putting themselves in the situation they want to study and they observe. In the participatory observation, the researchers also have conversations with the actors they are studying. These conversations are usually open and not directed by a questionnaire although they need to provide an understanding of the system they are studying. These observations are often enriched with documentation and recordings.

### Non participatory observations

1. You must find a strategic post of observation related to the subject you are studying. This can be an office where you will observe the relation between civil servants and users, a police station where you will observe the relation with arrested people. This could be in a frequented place where you will observe traffic police fining vehicles.

2. You must have an hypothesis to be verified.

3. Create a grid to insert your visual observations

4. Be careful of research bias because your interaction with your subjects will be extremely limited and they will have no chance to correct your presuppositions.

5. In your observer position you will have to identify key gestures and interpret their meaning and make measurements of frequencies and body language’s extremes (positive, negative, neutral). Register the gender, age, sign of social background. Identify the group dynamics, who speak, when in which order.

**The tools**: A video camera, an audio recorder, a camera

### Participatory observations

- First you must find a place (a work, a reason for being involved in the place you are studying), it could be the civil service employment, NGO work…(In certain cases, this can be difficult for Afghanistan)
- You must have direct access to what you are studying and interact with the persons you are studying as if you were one of them
- There are two possible way to act in the environment:
  a) Be explicit that you are a researcher (for this you will need and an approval or an introduction)
  b) Hide it

- Engage participants in exploratory conversations
- Record what you see and hear and start to classify it in relevant categories which will become more and more apparent while the observation is progressing

**The tools are**: notes, audio recorder, camera

### Notes

- Non participatory observation, is very much what is happening when you see animal documentary. Their interactions are observed and an analysis is made. It can be extremely useful to observe corruption in public places.

- In certain cases this can be dangerous, if you are studying narco-traffic or corruption this can be a very interesting but a very perilous research position. This type of approach could be very interesting for investigative journalists.
What is a Survey:
A survey describes a population. It counts and describe its particularities. The survey were initially used to predict population’s needs and understand its demographic evolution. Survey are starting to emerge as a governance tool in the 18th century.

Objective of the survey:
A survey is conducted to describe and interpret aspects of psycho-eco-social reality, it differs from the qualitative research which will be looking at explanation for a phenomenon. A survey will detect trends and will show possible relations between one social variable and another, the relation can be purely statistical and not analytic. The surveys are useful to measure the evolution of a phenomenon over a period of time.

Use of survey:
The surveys are use to measure a phenomenon through people's perspective. It is a statistical tool which varies in size, frequency and geographical coverage. The survey is a “quantitative” research tool.
The surveys depend on: attentive planning, sampling, data-gathering and data interpretation. A series of questions should be ask before starting a survey:
- Is the survey research the right way to approach the problem? (Think that other research techniques maybe more adapted also exist)
- Is a survey feasible here (security, access, sample, time..)? And would it bring valid conclusions?
- Is it ethically and politically appropriate to conduct a survey? (Will the survey show undesired or manipulable results?)

Survey in a pro-integrity context:
Survey can be appropriate in the context of pro-integrity programs. Issues related to integrity are often complex and relay on populations’ perceptions, experience or behaviors that are pictured in a survey.

Summary of the issues presented in this section:
Definition on the vocabulary used in survey
Issues specific to Afghanistan
Survey scoping
Sampling
Questions
Questionnaire
Quantitative research check list
Survey management
Surveyor training component
Data gathering techniques
Data collection management
Data entry & treatment
Data analysis
Data reporting
Survey Definition

Definition:

Population: in the case of a survey, it is the entire group of individual people we wish to consider. For example if we speak of the population of Kabul it will be all the people leaving in Kabul or also the people passing in Kabul or if we study the transportation system of Kabul the population will be the people using the different public transports in Kabul.

Sample: it is a subset of the population usually with the particularity that the subset resemble the population closely on key characteristics, the sample should be representative of the population. What is true on the sample should also be true in the population with a calculable error margin.

Weighting: If a category of the population is under-represented in a sample, for example woman are under represented – which is often the case in survey in Afghanistan- you can make the sample representative of your ideal population by weighting it. For example:

<table>
<thead>
<tr>
<th>Gender</th>
<th>Number in the sample</th>
<th>Proportion in the sample</th>
<th>Proportion in the population</th>
<th>Weight</th>
<th>Weighted sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female</td>
<td>300</td>
<td>30%</td>
<td>50%</td>
<td>50/30=1,67</td>
<td>300*1,67= 500</td>
</tr>
<tr>
<td>Male</td>
<td>700</td>
<td>70%</td>
<td>50%</td>
<td>50/70=0,71</td>
<td>700*0,71= 500</td>
</tr>
</tbody>
</table>

Validity: of a survey depend on the extent to which the conclusion are drawn logically from the data. For this we must consider the validity of the measurement. To which extent the data constitute accurate measurement of what was supposed to be measured. The validity of the population: to which extent the sample used in the survey is a accurate representation of the population is it is suppose to represent. The validity of the design: the extent to which the comparisons between data are appropriate to form a solid argument.

Variables: a variable is a measured quantity which can be divided in categories: descriptive variables (they have no impact on the conclusion); dependent variables (they are caused or influenced by others); independent variables (they are at the source of the cause or of the influence). For example see p47- 48
Survey: Afghan context

The access to all parts of the population and of the territory is limited:

- **Security.** A surveyor will have to be extremely careful when conducting the interview, he will need to make sure that his questions are not creating social or ethnic resentments. In certain cases in particular if the survey is about corruption and integrity issues, certain areas will have to be dealt very carefully. Our surveyors were threatened physically many times in Farah and Kandahar due to the questions they were asking, in those cases, the surveyor just left the area where they encountered the threats and continued the survey in other districts.

- In other cases, the surveyors were arrested by the local authorities who didn't understand that surveys could be conducted. To avoid this type of inconvenience we are now always getting an authorization in Kabul and then in the provincial capital, in this process we have not faced censorship on our questionnaires although this was signaled by other organizations conducting surveys.

- **Physical access** – no roads, snow- can be an issue in particular if vulnerable or isolated populations are targeted by the survey. In this case time management is the best manner to avoid delays due to limited access to remote areas, it is also important to have enough questionnaires printed in advance. Techniques like PDA can be a good solution if there is a possibility to recharge the PDAs.

- **Limited access to woman** is a real problem in particular in the south and in rural areas. The use of woman surveyor can be a good solution but it cannot be applied everywhere. Another way to proceed is to weight the sample, but a large number of woman remain necessary in order to maintain the statistical significance of the sample. In the case of woman, it is also important that the survey should not be conducted on many woman in the same place or from the same gyneco - as woman tend to be concentrated in one place, this can be a temptation for the surveyor in order to limit its travels. We observe that the quota of woman can be accessed using phone surveys with woman interviewers, although sometimes reticence remain from the husband to pass their wife to the surveyor.

The Population

**Illiterate population** can be an issue. In many cases the questionnaire are filled-up by the respondents themselves, in the case of Afghanistan it is normally the surveyors who fill-up the questionnaire. In this condition it is extremely important to formulate the questions in a very clear and simple manner so that illiterate populations are also understanding what they are asked. In certain cases we had remote population responding that they had access to information about project using internet which is just impossible. In these conditions, the surveyor must be well trained not to accept impossible responses. Make sure that in declaiming the questions and the possible responses he does not influence the respondent in its choices.

- **The baseline data on the population are not well established** creating uncertainties on the samples’ proportions to be representative of the Afghan population. To avoid this problem, we are gathering the major surveys and studies conducted until now and we examine their sample composition and based on this we constitute our sample. The idea is to be consistent in order to have a study coherent with one type of population sample so that the results of our surveys evolve in the same manner as the population, reflecting its real evolutions.

- For better results in the response and given the subject of the survey, it is important to preserve the anonymity of respondent, although it might be interesting to some information about them to verify if the survey was done properly, a phone number could be a good tracking system.

- In Afghanistan due to these problems, large part of the population remain out of reach to surveyors and the representative surveys are difficult to conduct without using a large samples or “snow ball” sampling techniques. It can be interesting to use a paneling technique to measure evolutions of experience/perceptions.
Survey: scoping

**Definition of the objectives:**
Questions to be asked to define the objective of a survey:

**Context:**

Existing literature on the issue

**Was a similar survey conducted before?**

No => **Is there any methodological reasons? If yes, do we have alternative solutions?**

Yes => **What were the results?** Is it possible to meet with the person who implement it to get their experience?

**Outcome:**

**Is the survey really creating new and relevant information? If no do we really need to conduct it?**

**Is the survey going to be a complement to a qualitative research?**

No

Yes => **How will implement it?** Do we have the capacity to conduct both at the same time? Make sure that the methodology are compatible and will reinforce each other.

**Is the survey self standing?**

**Will it be repeated?**

No

Yes => **Keep the methodology, make sure to have an institutional memory strategy, explore cost reduction strategies**

**Impact:**

**Are the survey results going to have a political impact or is it only for internal use?**

**What will be the impact on integrity?**

**Definition of the hypothesis (necessary for the design of the questionnaire and the analysis)**

Integrity Manual p.32
Technical/ Methodological constraints

- Defining the samples (different types of sample are used for different types of surveys) for example, IWA’s survey on Afghan perception of corruption used a sample which is representative of the Afghan population. In this case, one of the sample’s characteristics will be an equal proportion of male and female. The series of IWA’s surveys on users’ experience of integrity in public services are based only on a sample of public service direct users that are found at the exit place of public institutions. (In the latest case, we might have a sample dominated by male respondents.)
As we have seen before, a sample is a technique to have a smaller number of individuals representing a large population. It is extremely difficult to constitute perfectly representative samples (within the dots bar you have a representative sample).

**Scale and types of sampling**

- **Accidental or convenience sampling** simply take as a sample what you can get and where it is most easy to get. This can be by approaching your friends and relatives or standing in a market place and interviewing the first 100 persons you see. By not controlling the composition of your sample you have no mean to know how much the opinion you are gathering is representative of the population or even what the population consist of. It is a bit like throwing a nest in the water until you have reach your numeral objective and see what comes out. It is important to understand that this is **not a random sample**. In order to make a serious research work this technique of sampling is not reliable.

- **Quota Samples**: the researcher must identify key variables. Typically the key variables are gender, age, ethnic identity, place of residence, education background and social class. The surveyors will go in a bazar and interview people in a strategic manner so that they are able to reach the quota of individual necessary to the purpose of the survey. If there is a good information on the breakdown of this population then the sample will have to reflect the same proportionate breakdown. The quota sampling is an improvement of the accidental sampling and is more reliable. This type of sampling depend on the information quality of the quota. In the case of Afghanistan, this information on quotas is often lacking or does not reflect today’s reality. Within the quotas, the sampling is still made using the accidental sampling approach.

- **Purpose sample** the researcher identify a targeted population that be believe to be typical of the population he wants to study. For example “corruption in the customs” is his subject, the key variable will be persons in contact with the customs and if we know that the male population is 80% and the female population is 20% the sample will have to bear the same proportions.

- **Random sample** (almost impossible) the research will have to observe two major rules: 1) **every member of the population will have the an equal chance of being included in the sample**; 2) **Every combination of individuals from the population is equally likely**. To do so you need to identify a sampling frame or population of individuals (let say 500 individuals) to each of them you give a number. For your study you need 100 of them. If you take one number every 5 then one of the above conditions will not be respected. To make your selection you will need use the MS Excel function to find the random number: formula= Rand() *500 get 100 random numbers out of 500 you will have to drag down the formula over 100 cells. The number that will appear will have decimal, just don’t consider the decimals. These numbers are the persons from your 500 list that will constitute your sample. The results produced by the survey of these 100 individuals will give you a result very close to the one you would have got if you interviewed all the 500 individuals of your sample frame.

- **Cluster sample**, this is used for national surveys as the random sampling at a national level is very difficult to do. The researcher instead of starting with the name, the researcher starts with the name of geographical localities or companies branches, streets in a city. List of individuals are then compiled using the individuals present in those targeted clusters.

Integrity Manual p.34
# Survey sampling summary

## Sampling techniques summary

<table>
<thead>
<tr>
<th>Population</th>
<th>Random sample (almost impossible)</th>
<th>Accidental or convenience sampling</th>
<th>Quota Samples</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><img src="image" alt="Random sample" /></td>
<td><img src="image" alt="Accidental or convenience sampling" /></td>
<td><img src="image" alt="Quota Samples" /></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Population</th>
<th>Cluster sample</th>
<th>Systematic sample</th>
<th>Purposive sample</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><img src="image" alt="Cluster sample" /></td>
<td><img src="image" alt="Systematic sample" /></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Population</th>
<th>Snow ball sample</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><img src="image" alt="Snow ball sample" /></td>
</tr>
</tbody>
</table>

Integrity Manual p.35
Survey Sampling

The size of the sample:

The sample if well chosen and representative does not need to be very large. For a national survey covering 50 million persons a day of election can be composed of as little as 500-1000 individuals if representative. However in order to survey a small population such as a class room, of 38 individuals with a lot of diversity like in our previous example, the sample in order to be representative will be composed of at least 20/25 persons. For a random sample the sampling error depends on its size, the bigger it is the most accurate the results will be:

$$S_m = \frac{S_x}{\sqrt{N}}$$

$S_m$ is the standard error of the mean, $S_x$ is the sample’s standard deviation and $N$ is the sample size. With this formula we see that doubling the sample size (N) does not halve the standard error. This explains why a sample selected carefully ($S_m$ close to $S_x$) will not need to be very large in order to be representative.

Where to find the statistical data for Afghanistan, how reliable?

The National Statistic office provides a large number of data on the Afghan population. However a complete census is not available, raising concerns about the possibility to make Afghan population representative surveys. The other sources of statistical information about the Afghan population are found at:
AIMS
CPHD

These sources allow to conduct survey using quota sampling in a relatively safe manner. It is important in the report to write the source use to determine the composition of the quotas and to signal the possible limitations faced during the constitution of the survey. In particular if weighting techniques were used to compensate for the lack of certain parts of the population in the sample.

The sampling techniques used during the survey need to be chosen in accordance with the final use of the survey:

<table>
<thead>
<tr>
<th></th>
<th>Accidental sampling</th>
<th>Quota sampling</th>
<th>Purpose sampling</th>
<th>Random sampling</th>
<th>Cluster sampling</th>
</tr>
</thead>
<tbody>
<tr>
<td>Forecast survey</td>
<td>✗</td>
<td>✗</td>
<td>✗</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Perception survey</td>
<td>✗</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Experience survey</td>
<td>✗</td>
<td>✗</td>
<td>✓</td>
<td>✗</td>
<td>✗</td>
</tr>
<tr>
<td>Informative</td>
<td>✗</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Integrity Manual p.36
Choices on the types of questions (open / closed and their consequences)

• There are two main families of questions, the open one and the closed questions. The response for the open questions are more then one word and recall a small reflection from the respondent.
  For example:
  It often contains the words “explain”, “describe”, “Other… “

The responses for a closed question are often one word, one fact, one figure.
  For example:
  How old are you?
  Is this affirmation correct? (yes / no / don’t know/ no answer)

A combination of the two can be called semi open /closed questions and allow the respondent to give a response that was not initially written in the list of possible response. It is typically the “other:_______” choice.

In a survey, it is often easier for the analysis to use closed or semi closed questions. The coding of the response is easier and there is less interpretation required. This implies that the choices of responses in the questionnaire must cover most of the possible responses to that question. If you are using a large number of open-ended questions in a survey with a large sample, this might be extremely difficult to analysis and you will end not using this mass of information. If you still think that open-ended questions are necessary on a large proportion in your questionnaire, you may consider that a qualitative research might be more appropriate than a survey

The direct and indirect questions:

How will you vote in the next presidential election? Direct => a response could be interpreted as a firmer prediction then what it really is.
How do you think you will vote in the next presidential election? Indirect => one can think he doesn’t know.

When asking for the age or for an address, the direct form is fine. But to ask for an opinion, and attitude, a belief, the indirect form is more appropriate.
A direct question might give a response which is more rhetorical or ideological. Additional questions should be used to create a balance in the responses and ensure that the respondent views were correctly revealed.
Survey: Questions

Variation in questions’ formulation

The question should not oblige the respondent to give an opinion on something he has no opinion or experience about. The responses proposed should reflect the reality and should not corner the respondent in a false position.

Practical approach for the design of questions:

• A double questions is a question which contains to possible interpretations. The double questions are often identified by the presence of an “or” For example: When did you last were asked for or gave bribe? In the responses there will be a mixture of response which will be a head each for the analysis.

• “How often” is a difficult formulation to measure frequency, it is better to us “When did you last…”. With this formulation and a large sample, the analysis will emerge with a frequency corresponding the the “how often..” but clearly expressed and calculated.

• To get people’s opinion it is possible to ask the respondents to rank a list of given item (public service departments) according to their efficiency, the amount of corruption, their importance…

• Respondents can be asked to state their agreement with one or more pre-written statements such as: “I think most of civil servants are corrupted”: Strongly agree/agree/neutral/disagree/strongly disagree/don’t know

• The use of a continuous scale of semantic meaning between a pair of antonyms: International NGOs are: efficient 1-2-3-4-5 inefficient

• The use of scenario with an hypothetical outcome, which no one can really predict can be interesting to describe the respondent’s orientations and help the analyst in detecting hidden opinions (such as the practice of bribing or the tendency to this type of illicit practices). The deviance from the standard response could be used as an indicator.

• In the structure of the questionnaire, it could be interesting to ask a broad question and then refine it: Did you ever witness corruption when you go to pay your taxes? Yes / No if no, jump to question… If yes, What type of corruption did you witness?

A similar technique can be used to exclude potential respondents from the survey is they respond a particular question. If you are making an exit survey to understand user’s experience in paying an income tax, the survey could start with: Have you ever paid your income taxes? Yes: continue the survey / No: Stop the survey there.
Survey: questionnaire structure

Questionnaire structure, where to put the most important questions?

- It is better to write and introduction so the respondents understand the reason and the objective of the survey.
- The basic questions about age, gender, address, level of studies... are the easiest for the respondents and should be kept at the end of the survey when the respondent is more tired.
- The first questions should be friendly and not threatening, the respondent must feel at ease when responding, the formulation of the initial questions should be very easy and the responses given by the respondent should flow quickly. But these questions must be relevant for the survey.
- The most tricky and complex questions should be put in the middle of the survey but keep in mind that the survey should follow a logical structure. So the respondent should almost expect the next question.
- The questions which might threat the friendly relationship between the surveyor and the respondent should be kept toward the end for the questionnaire. Typically these question are about personal / sensitive issues; opinion; attitude; corruption.
Survey: Set-up / questionnaire

• **Questionnaire layout**
  • A short sentence of introduction between the sections of the questionnaire can be written to keep the respondent well in focus with the questions he will be asked for.
  • At the end of the question the attitude to be observed by the surveyor should be written into bracket ex: “read the response” “ don’t read the response. Repeat the question two times…
  • How many response should be given (one, two, multiple, scale) is the instruction clear?
  • When the questions need check how do they check, is it clear (Tick, cross, circle, erase…)

• The scaled responses, do you keep a odd number in order to create a “neutral” position with a positive and a negative view. A scale which is too detailed might be a problem during the analysis. The responses might be diluted but in certain cases it can be interesting to have more precise degree of quality for example:

  Are you satisfied with the efficiency of the passport department ?
  Rate the department according to their performance on the scale 0 to 5, 5 being the best. In this case all the rates between 2 and 5 are degrees of efficiency satisfaction. In this case 0 and 1 are truly negative judgments. If the scale rate from 0 to 5, 3 being neutral and 5 the best performance. In this case, the the satisfaction spam limited to two options (4/5) and might not help to enrich the analysis.

• **Mute data** are information which is not completely relevant to the actual survey but that might be capital for a further extension of the work or for making sure that the analysis is considering all the factors. These data are usually quite basic typically it is: the place where the survey was conducted, the time it took, the number of respondents filtered, the number of questionnaire not completed, the number of persons assisting to the interview, the phone number of the respondents… These information might not be relevant to understand people perception of a given issue but can become extremely useful to fine tune the analysis, to extend the survey and understand the problem it faced, to monitor the quality of the surveyor or to constitute a phone number database useful for future phone surveys.

• **Questionnaire testing**

  **Before starting with the real survey, it is capital to test the questionnaire and to make sure that major mistakes are corrected.** Once the questionnaire is considered drafted, it is good to organize a focus group with 6 to 10 persons who know the subject you are surveying but also with other colleague who can openly criticize it. During the test, the questionnaire will be used and problems regarding the formulation of questions, the lack of pertinent responses, the repetition of certain questions and the time necessary to complete it will be identified and solutions will be brought to correct it.

  Once the focus group correction have been added, **the questionnaire can be tested by surveyors on a small scale -30-50 questionnaires filled is normally enough to find the major mistakes.** The surveyors will report the problem they faced with real respondents. The questionnaire will be further improved until an agreement is found on its finalization – keep in mind that problems will keep appearing but these problems should be manageable. **This series of test is crucial before the survey is implemented in full-scale**

  **It is curtail when you design your question to think how will you analyze the responses**
Survey: Set-up / questionnaire

This is the typical ways people are answering to survey questionnaires. Make sure to reduce the possible confusion coming from the ticking.

Examples of ticking confusions

<table>
<thead>
<tr>
<th>Q1</th>
<th>Which of the below infraction did you face in the departments that processed your demand?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1R1</td>
<td>The officials were not aware of the regulations</td>
</tr>
<tr>
<td>Q1R2</td>
<td>The administrative regulations were not properly applied</td>
</tr>
<tr>
<td>Q1R3</td>
<td>More than one law is implemented</td>
</tr>
<tr>
<td>Q1R4</td>
<td>Other</td>
</tr>
<tr>
<td>Q1R5</td>
<td>None</td>
</tr>
<tr>
<td>Q1R6</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Q2</th>
<th>Did you face any corruption in the offices that processed your demand?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q2R1</td>
<td>Yes, a lot</td>
</tr>
<tr>
<td>Q2R2</td>
<td>Yes</td>
</tr>
<tr>
<td>Q2R3</td>
<td>No</td>
</tr>
<tr>
<td>Q2R4</td>
<td>No answer</td>
</tr>
<tr>
<td>Q2R5</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Q3</th>
<th>If there was corruption in the process, which departments were more corrupted? (Choose maximum 2 answers)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q3R1</td>
<td>Directorate of Kabul revenue</td>
</tr>
<tr>
<td>Q3R2</td>
<td>Directorate of tax payers</td>
</tr>
<tr>
<td>Q3R3</td>
<td>Bank</td>
</tr>
<tr>
<td>Q3R4</td>
<td>Measurement and obedience office</td>
</tr>
<tr>
<td>Q3R5</td>
<td>Ministry of commerce</td>
</tr>
<tr>
<td>Q3R6</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Q4</th>
<th>Which of the following departments were less corrupted? (Choose maximum 2 answers)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q4R1</td>
<td>Directorate of Kabul revenue</td>
</tr>
<tr>
<td>Q4R2</td>
<td>Directorate of tax payers</td>
</tr>
<tr>
<td>Q4R3</td>
<td>Bank</td>
</tr>
<tr>
<td>Q4R4</td>
<td>Measurement and obedience office</td>
</tr>
<tr>
<td>Q4R5</td>
<td>Ministry of commerce</td>
</tr>
<tr>
<td>Q4R6</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Q5</th>
<th>Among the below acts, which one did you face when processing your demand?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q5R1</td>
<td>Nepotism and favoritism</td>
</tr>
<tr>
<td>Q5R2</td>
<td>Performance in function of political ties</td>
</tr>
<tr>
<td>Q5R3</td>
<td>Bribery</td>
</tr>
<tr>
<td>Q5R4</td>
<td>Fabrication, duplicity, abstraction</td>
</tr>
<tr>
<td>Q5R5</td>
<td>Demand for gifts</td>
</tr>
<tr>
<td>Q5R6</td>
<td>All of the above</td>
</tr>
<tr>
<td>Q5R7</td>
<td>None of the above</td>
</tr>
<tr>
<td>Q5R8</td>
<td>Other</td>
</tr>
<tr>
<td>Q5R9</td>
<td>Don’t know</td>
</tr>
</tbody>
</table>

Integrity Manual p.41
## Survey: questionnaire check list

<table>
<thead>
<tr>
<th>Check list for the questionnaire’s design</th>
<th>Risk</th>
<th>Check</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are all the questions essentials?</td>
<td>Loosing respondent’s attention</td>
<td></td>
</tr>
<tr>
<td>Are the word used in your questionnaire well understood?</td>
<td>Some respondents might be excluded, illiterates in particular. The sample do not play its representative function and the precision of the survey is at stake</td>
<td></td>
</tr>
<tr>
<td>Do you make false assumptions on respondents knowledge?</td>
<td>Some respondents might still respond but wrongly. The sample do not play its representative function and the precision of the survey is at stake</td>
<td></td>
</tr>
<tr>
<td>Are there ambiguities in the formulation which will not allow you to use the response to that question?</td>
<td>During the analysis, the respondents’ position may not appear clearly because the signification of certain terms are overlapping. As a consequence the question cannot be used for analysis</td>
<td></td>
</tr>
<tr>
<td>Is it too long in time and in patience of the respondent?</td>
<td>Loosing respondent’s attention</td>
<td></td>
</tr>
<tr>
<td>Are the questions or response inducing an error or are they directive?</td>
<td>The respondents are influenced / directed in their responses, the survey is not able to get the real position of the respondents. This is particularly important when the survey tries to grasp opinions, attitudes or beliefs</td>
<td></td>
</tr>
<tr>
<td>Is your questionnaire clearly presented?</td>
<td>Responses might be entered in the wrong manner and might not be usable for the analysis</td>
<td></td>
</tr>
<tr>
<td>If you are gathering responses with a scale of opinion, is the scale used in the best way?</td>
<td>The scale should be able to grasp respondents’ lack of opinion. One of surveys’ bias is to generate opinion of people on any subject even on issues they never thought of…</td>
<td></td>
</tr>
<tr>
<td>If you need fact, is the format of the question correct?</td>
<td>Important indication might be collected from open ended questions or the “other…” response but it is sometimes misused</td>
<td></td>
</tr>
<tr>
<td>Is the balance between open and close questions OK?</td>
<td>If there are too many open questions, the analysis of the responses might be more complex and based on a greater interpretation.</td>
<td></td>
</tr>
<tr>
<td>Is there any risk that the questionnaire may embarrass or put the respondent in a sensitive position or worst cause a risk for the surveyor?</td>
<td>In addition of not providing an “honest response”, with the Afghan security context a wrongly formulated question can be an important threat for the surveyor</td>
<td></td>
</tr>
<tr>
<td>Did your questionnaire went through the right testing to find the response to all of these questions? (pre-survey piloting / full-scale pilot)</td>
<td>You will have some bad surprises at the time of the survey implementation if you didn’t do so</td>
<td></td>
</tr>
</tbody>
</table>

Integrity Manual p.42
Survey: Management issues

Typical form to manage a survey implementation

Before the surveyors go to the field, they should clearly understand the amount and the type of respondents they should find. They might be given printed questionnaire or PDAs or any other data-collecting tools. Before they go to the field, they should sign a form recapitulating what they received and what are their aims (Time, locations, type of sample, number of interviews…).

Scheduling

<table>
<thead>
<tr>
<th>Place Name</th>
<th>Name of the surveyor</th>
<th>Number of complete questionnaires gathered</th>
<th>Number of questionnaire left</th>
<th>Questionnaire gathered per day</th>
<th>Average of the other surveyors</th>
<th>Comments</th>
<th>Date last checked</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data entry form

<table>
<thead>
<tr>
<th>Questionnaire Number</th>
<th>Name of the data clerk</th>
<th># entered in the database</th>
<th>Comments</th>
<th>ID in the database</th>
<th>Checked independently</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Phone number lists and phone survey form follow-up

<table>
<thead>
<tr>
<th>Questionnaire Number</th>
<th>Name of the surveyor</th>
<th>Telephone number</th>
<th>Interview completed</th>
<th>Status (call back, number not working, Number busy, Number out of coverage)</th>
<th>Call back (up to five times then try next day)</th>
<th>Person refuses to answer</th>
<th>Other numbers given by the person interviewed</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Integrity Manual p.43
The surveyors’ training is key for a successful survey. While in the west most survey questionnaires are directly filled by the respondents. In Afghanistan due to the high level of illiteracy, the surveyors are filling up the questionnaire. Their training is essential for the success of the survey.

**Generally the component of the training are as follow:**

1) Presentation about your office and the scope of the survey you are conducting
2) Presentation of the questionnaire and study of the questionnaire question by question.
3) Answering questions about the wording and any understanding or interpretations of questions or answers difficulties.
4) Clarify for each questions the type of entry that is expected (dates, years only or month and year, currency Afghani / USD, names, place of life, name of city, name of the quarter, name of the district…)
5) All the surveyors must fill-in the responses to the question in an homogenous manner
6) Explain to the surveyors how they should present themselves to the respondents. The differences of response in a sample can be due to the difference in the way a question was ask rather then a difference of behavior within the sample. A way to measure standardization and the reliability of a questionnaire is to repeat the same question two times in the questionnaire and see if the responses are consistent (this could be done during the pilot to test surveyors level of standardization)
7) Explain about the sample but don’t be technical, just explain them the type of public you want to answer the questions and the quotas you want from them or the way you want them to select households to survey.
8) Set the rules of the game regarding the communication with the survey coordinator.
9) Ask the surveyor to test the questionnaire among them
10) Make a test with tricky situation / questions to test their ability to find rational solution to the problem they have and see how each of your surveyor reacts. If a problem is detected, explain again what you expect from them or ask one of them to explain to the person so that you can test if the other surveyors have the right attitude.
11) Explain them the security risk and the attitude to adopt *(do not go in dangerous areas or in place where they don’t feel comfortable or where they could be at threat. In case of problem, do not insist).*
12) Make a final test with a mix of questions related to questionnaire filling, interpretation of responses, sampling and attitude
13) Send the surveyors to try the questionnaire in a real setting and get their feedbacks
14) Solve the problems they might have faced during this trail period
15) Make sure that they all have a functioning phone and how often they must be in contact with the coordinator, solve the last logistic issues and send them to the field.

*Integrity Manual p.44*
Survey: data gathering techniques

Types of data gathering techniques

**Paper based:** this is the most used in Afghanistan. It has a lot of logistical constraints (data from the questionnaire need to be entered in the database, mistakes might emerge from this manipulation and time is needed). Surveyors need to carry the questionnaire with them and in certain places this can be dangerous. Responses are not always clearly marked. Questionnaire printing is expensive. It is time consuming.

**PDAs based:** the questionnaire is displayed on a PDA and the response are directly entered on the PDA that memorize them. This technique is new and is almost not used in Afghanistan. It is quite popular in the west, it saves time, it is more reliable in term of correctness of the answers reaching the database, there is an important starting cost but it is absorbed if the survey is large or repetitive.

**Phone based:** the questionnaire is designed for being read by phone to the respondent who choose the answer. The surveyor cannot see the respondent and often, in Afghanistan, the respondent are from a certain socio-economic category (not very poor, often from urban areas and literate). The phone survey limit the risk in a insecure environment and allow to gather the data quickly. The phone survey allow access to woman. In term of cost it is not very expensive but it requires a solid database of phone numbers. This type of survey is not very used in Afghanistan.

**Mail based:** the technique suppose to create a questionnaire which can be fill-up by mail recipient. The questionnaire is sent via mail to a list of potential respondents. The size of the questionnaire should be relatively short. Once the respondent respond to the survey, their response are automatically gathered in the survey database. The mail survey allow to select a very precise population (often with a bias) This type of survey technique would be quite efficient in order to survey the international community working in Afghanistan’s view of corruption but would not be efficient to survey the Afghan population’s view of corruption. In term of cost this type of survey is cheap.

**Kiosk surveys:** The kiosk is composed of a computer with a touch screen. The respondents can be asked to enter the responses to the survey directly by touching the screen. This type of survey is quite efficient to do exit poll or to measure customers’ satisfaction in a public place. The respondent sample is created in function of the place where the kiosk is positioned. The kiosk can be connected directly to the database in order to gather the information. Usually kiosk surveys are done on a determinate period of time. The major cost of this type of survey is to buy the kiosk terminal.

<table>
<thead>
<tr>
<th>Priorities</th>
<th>Paper Base</th>
<th>PDA base</th>
<th>Phone base</th>
<th>Mail base</th>
<th>Kiosk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget</td>
<td>high</td>
<td>average</td>
<td>cheap</td>
<td>cheap</td>
<td>average</td>
</tr>
<tr>
<td>Time</td>
<td>very slow</td>
<td>average</td>
<td>fast</td>
<td>average</td>
<td>slow</td>
</tr>
<tr>
<td>Sample particularities</td>
<td>precise</td>
<td>precise</td>
<td>snow ball</td>
<td>snow ball</td>
<td>contextual</td>
</tr>
<tr>
<td>Security constraints</td>
<td>high</td>
<td>average</td>
<td>low</td>
<td>very low</td>
<td>low</td>
</tr>
<tr>
<td>Errors on data entry</td>
<td>high</td>
<td>very low</td>
<td>low</td>
<td>low</td>
<td>average</td>
</tr>
<tr>
<td>Other positive points</td>
<td>Reliability</td>
<td>Mobility</td>
<td>Secure</td>
<td>Centralized</td>
<td>Contextual</td>
</tr>
</tbody>
</table>

Integrity Manual p.45
Data collection management

Possible tools for the follow-up:
Each surveyor should have a block note where he writes interesting events or questions arising during the interviews.

Field work follow-up database (see also p. 42)
When many surveyors are on the field, it is important to manage them continuously and to set-up a follow-up system which will reflect the stage of completion of the survey. Are the interviews done in accordance with what was specified in the sample? Are the quotas well selected? Which categories are missing and which one are in excess? **When the sample is more than 1000 persons this type of follow-up is necessary to ensure the quality of the sample.** One of the simplest way is to **have a person responsible for coordinating the surveyors.** The person will be in contact with them by phone and will have an Excel table with the sample objective and the actual sample composition, the area that are still to be survey and where certain type of populations are expected and the group of population missing from the sample. A typical way to present this in a table is:

<table>
<thead>
<tr>
<th>Quota</th>
<th>Objective</th>
<th>Actual</th>
<th>Missing</th>
<th>Kandahar 150</th>
<th>Kabul 400</th>
<th>Herat 150</th>
<th>Balkh 150</th>
<th>Logar 100</th>
<th>Nimroz 50</th>
</tr>
</thead>
<tbody>
<tr>
<td>male</td>
<td>50%</td>
<td>60%</td>
<td>-10%</td>
<td>40</td>
<td>50</td>
<td>80</td>
<td>80</td>
<td>30</td>
<td>38</td>
</tr>
<tr>
<td>female</td>
<td>50%</td>
<td>40%</td>
<td>10%</td>
<td>40</td>
<td>100</td>
<td>20</td>
<td>20</td>
<td>20</td>
<td>12</td>
</tr>
<tr>
<td>illiterate</td>
<td>80%</td>
<td>50%</td>
<td>30%</td>
<td>25</td>
<td>80</td>
<td>50</td>
<td>50</td>
<td>20</td>
<td>40</td>
</tr>
<tr>
<td>Total interview missing</td>
<td>0</td>
<td>430</td>
<td>570</td>
<td>70</td>
<td>250</td>
<td>50</td>
<td>50</td>
<td>50</td>
<td>0</td>
</tr>
</tbody>
</table>

With this type of tool the survey coordinator should be able to obtain the expected sample. The **survey coordinator should also follow if major problems were faced by the surveyors,** he should tell them which strategies worked in other places and he should orient them on the interview objective of the next day. Normally the field work for the survey should be done in a very limited period of intense work so that important events are not affecting the population opinion creating different layers individuals within your sample.

Post field follow-up: (see also p. 42)
Once the field work is finished and the questionnaires are brought back to the office, each surveyor should count the questionnaires and one person should give them a tracking number. **Normally surveyors are required to make 5-10% more questionnaire then the agreed quota** in case some of the questionnaire are not complete but also to ensure that the quotas are reached.

All the surveyor should then be **gathered and should give their impression about the survey and the problems they faced** during the interviews, what questions were problematic, why how did they solve the problem, were there major methodological changes? This focus group is particularly important to prepare the analysis phase and to write about the problems faced during the survey.

Integrity Manual p.46
Data entry & treatment

Recurrent problems and solutions, their impact on the survey final result

Data coding is the operation to give each question and each response or combination of responses a code which will allow the tracking and the analysis of survey’s results. The coding is very important in particular when questions with multiple choices are entered or when date or figures are entered. The coding must be done in order to allow the data to be manipulated with ease and to make the basic statistical operation on them.

Coding for questions with multiple entry:
A typical response could be Q1R1 & Q1R4 it is not possible to enter these response as a single response however it is possible to enter the combination (Q1R1,Q1R4) or (Q1R4, Q1R1) as a specific number which will be analyzed.

The other possibility is to consider the response Q1R1 and Q1R4 as separate responses and analyze them separately making linkage if necessary. This type of data entry however loose the interest of the combination of response given by the respondent which might have an important signification for the analysis.

Usually the data once coded are entered in a software to help analyzing them. The software that can be used are SPSS or Excel. A guide for the coding must be produced and must applied by the persons making the data entry (these indication are for paper based survey) when the survey are made using mail, PDAs or Kiosk, the data still need to be coded but the software facilitating the operation often propose contextual solution to reduce mistakes.

Data entry is performed by one or more persons, each questionnaire is entered in the database or in the software used for storing the survey’s results. This process if often a bit long and it is good to start it as soon as the first survey questionnaire arrive from the field. Mistakes are the main problem of manual data entry. For this reason, it is crucial to perform repetitive verifications with random techniques on 20% of the questionnaires. If too many mistakes are found it is worth reviewing the data entry process. (see p. 42)

Data cleaning is performed in order to detect the questionnaires that are incomplete, the consistency of the data with the expected sample after elimination of incoherent responses. It often happens that respondent misunderstood a question and give incoherent responses or the surveyor entered responses in a confused manner. Rules must be applied regarding the elimination of responses or the interpretation of certain responses in order to keep the standard of responses homogenous across the survey. The end result of data cleaning is a consistent database which can be tested with statistical tools to provide inputs for the analysis.
Quantitative data analysis

The first step for quantitative data analysis is to code them and enter them in a processable format (for small and simple survey access / excel can be sufficient) for more sophisticated survey, specialized software such as SPSS can be helpful (see p.46).

Data cleaning
The first step for any quantitative data analysis is to clean your data. The meaning is that any questionnaire which is incomplete should be eliminated. Or the questionnaire with important inconsistencies between the responses given should be eliminated. Also you should make sure that after all these eliminations your sample is still valid in term of representativeness. This is the reason why in quotas or random sapling, it is always important to survey at least 5% more persons then necessary. If your surveyors are making a good work of data collection, you should expect that 2-5% of your respondent will not respond to all the questionnaire and will be eliminated from your sample.

Frequency distribution
Once you have cleaned your data, you should extract the main information about your data. Analyze the rough response for each of the questions. Stratify your results by Male/ Female, Incomes, Education, Rural/Urban, Regions, Ethnic groups, Age. At this stage you should already be able to get some information about the way people have responded to you survey.

Identify correlations and relationships between data
The next stage is to how the response you gathered are linked with your initial hypothesis. You should then try to refine more the analysis of your data by identifying the links between the responses given. Identify the variable specific to your project. Are the people suffering about corruption also the one paying the higher amount of bribes? Or is there a link between the institution they perceived as more corrupt and certain amounts of bribe paid?

Certain key response associated together can give you derived variable difficult to assess with one single question (happiness, honesty, stress…)

All these questions or links should be identified and tried. For this type of analysis, it would be good to be assisted by someone who knows how to use SPSS.

The key operation to know for statistical analysis are:

Mean: average between respondents responses (it is the sum of the scores divided by the number of responses that contributed to that sum). The average are the middle scores of the frequency distributions.

Cross tabulation: is when you make two frequency distributions at the same time. For example for each response to one question what is the total for each response and what is the total of women and the total of men within each of the responses to that question. With this operation, you can calculate if the difference between the variable used in the cross tabulation are statistically significant (calculation of \( \chi^2 \))

Third variable analysis: for this you need a larger sample. For example is you want to analyze civil servants’ behavior to corruption compared to the rest of the population of your sample.
Correlation in analyzing the responses of a question with multiple response:
One interesting manner is to make a ranking. Which response comes back the most and then try to stratify the results seeing if male and female are having a similar behavior. The interest for the analysis is not only to understand which responds comes back more often but also how each respondents categories will behave.

The analysis of open ended questions:
Open ended questions can be a real problem for large survey, they will demand quite a lot of work. First you need to read them all and to understand if the response fall into certain types of general categories such as Happiness, sadness or agreeing disagreeing or patience, impatience, stress…
Once you have identified this categories and that this categories are able to bring you interesting inputs in your analysis, you should classify the response give in those categories. In that case the result can be treated using statistical tools. During this process, try to identify the interesting or particularly unexpected responses and see what those could bring to your analysis. Another good way to analyze them is to read them all and to write an analysis of their content. Organizing your responses structurally will still be quite helpful.

Example of the main tables:

<table>
<thead>
<tr>
<th>Frequency distribution</th>
<th>Multiple responses ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Q1</strong></td>
<td><strong>N</strong></td>
</tr>
<tr>
<td>R1</td>
<td>5</td>
</tr>
<tr>
<td>R2</td>
<td>30</td>
</tr>
<tr>
<td>R3</td>
<td>15</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cross tabulation</th>
<th>Tendencies for the Integrity sector</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Q1</strong></td>
<td><strong>Male</strong></td>
</tr>
<tr>
<td>R1</td>
<td>25%</td>
</tr>
<tr>
<td>R2</td>
<td>36%</td>
</tr>
<tr>
<td>R3</td>
<td>39%</td>
</tr>
</tbody>
</table>
The survey report can be presented in different manners:
Make sure that the tables and the chart you are using are not too complicated and clearly show your results. Try to avoid the 3D charting option in your computer, you almost never need it and think that your report might be printed in black and white so try to keep the colors quite simple but contrasted, play with the shape of the lines.

<table>
<thead>
<tr>
<th>Factors essential in recruitment</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Merit</td>
<td>104</td>
<td>8.3</td>
</tr>
<tr>
<td>Ethnic ties</td>
<td>483</td>
<td>38.6</td>
</tr>
<tr>
<td>Political or party ties</td>
<td>286</td>
<td>22.8</td>
</tr>
<tr>
<td>Personal acquaintances</td>
<td>325</td>
<td>26.0</td>
</tr>
<tr>
<td>Other</td>
<td>54</td>
<td>4.3</td>
</tr>
<tr>
<td>Total</td>
<td>1252</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Table

Text analysis can be added and is quite interesting in order to provide the reader with an analysis. When you are writing about survey results, you should try to be extremely consistent with your results. Don’t try to extrapolate if you are not able to find a clear linkage with your results. Also make sure that in your interpretation you have not forgotten to include certain significant crosstab or analysis using specific stratification of your data which could have revealed your results differently. The major risk with survey analysis is to show a good result with a wrong analysis. The reason you may find in your results might not be the real reason behind your results although this look correct.
The research writing is a challenging activity. It requires concentration, large time span where you are able to gather all your thoughts, a place where you can spread all your material, interview transcripts, books, and any other type of documents. Keep in mind that depending on your writing skills, it is difficult to write more than 10 pages per day of intense work. Some days you will spend all day in front of your computer or of a blank paper without writing anything, not even one page. This is part of the difficulties to write a research. In that case, don’t worry and try to process with method. Try to order and concentrate your thoughts on one key idea and try to explain it, paragraph per paragraph. If the style is not perfect at the first draft, this is not an issue, you will review your writing later. What is important is to have your ideas flowing-out and written.

Prepare the ground for writing:

• Make sure that you have prepared your material well. The interviews should all be systematically transcript, analyzed (possible quotes, patterns of the responses, analysis of the interviewee, key idea brought-up, possible links with other interviews). This information should be easily accessible and precisely summarized in order to use it, move it into the different steps of your analysis.

• Use a color system to highlight your material and link the bits together.

  • Don’t hesitate to make a series of word documents classified by subject where you cut and past all the elements related to the subject or the different sections or your future report. You can do the same with a documents which would track the different answer to one similar question / issue. To keep the interpretations of your interviews intact, make a document with two columns one with the transcript and one with the related interpretation.

  • Don’t be afraid of the interview which where more a conversation then a structured responses to your questions. These interviews if well conducted are the best to understand inner feelings and find unexpected elements to your analysis.

  • Do not hesitate to work both on printed version of your text or on your screen

The analysis part:

Once your material is well distributed, broken into coherent pieces, parallel between them are drawn:

1) You should start to write your comment about each pieces of your material. What impact this elements have on your hypothesis? How well does its help to answer your initial questions? Note informed reactions to your interviewee’s positions after you had a complete view of all your accumulated material. Understand what is missing. Do not hesitate to be a bit speculative on your interpretation but make sure your record it.

2) Identify all the important points and the principals emerging ideas in each interview. Start a coding frame where most of your material -the important points- should fall into. In a quantitative research this coding will be very much attached to the results of each survey's questions.

3) From all these points you will identify the central themes which will orient your report. The report will be explain why certain positions and situations in the interviews are observed. The report will look at a series of topics that are closely linked across the interviews and which could be the component of a theory on why the system and the actors we analyzed are behaving / reacting / evolving in that manner.

Never count number or try to count repetition in response for the qualitative analysis.
Writing your report:

Defining the outline:
Once you have identify your key topics from your interviews' responses. You should see if they are pointing in one similar direction. The response might not be clear and it should be analyzed in the writing phase. Make sure that you are using your data as much as possible, that your topic are relevant and well exposed. It is important to expose your topics in a manner that the different perspectives are well incorporated. The outline is the structure you are following in order to expose clearly and rigorously these topics in order to reach your conclusion.

Problem of the blank page is recurrent for all researchers. There are a few tricks to get started:
- **Writing the outlines**
  Distribute your arguments and your findings across the outlines. This is the architecture of your report. You should not hesitate to change it if you see that it is not providing good results or if it only reflects a part of your data.
  When writing the body of your text, keep asking you your initial question and repeat your hypothesis. Do not hesitate to ask additional related questions which might emerge from your data. This will be key in finding arguments and in responding to your questions in a solid and informed manner. However be careful of not deviating too much from your subject as it might then be difficult to use this additional information in your conclusion.
  - **Highlight in your interviews transcripts** the passage which illustrate people’s internal feeling and experiences, these are often key for understanding your actors' positions and to inform your analysis.
  - **Distribute your quotes** among the title and subtitles of your research report’s outlines.

How to quote?
The quotes comes for two sources: the desktop research (all the parts and articles that you thought could be helpful and significantly shed light to your analysis) and the interview. In your interview transcript it is good to highlight with a specific color the interviewees' quotes particularly relevant or illustrative for your analysis. The quotes should then all be put into brackets and referenced in bottom page notes with the reference of the book or article or the date and place of the interview. If there are no problem of confidentiality, the name and title of the person or just his title should be quoted. (usually the quotes have this form: **author / institution, title, year, page**)

A long report is not always a good report. A short report can be extremely powerful.

Quality checks
The constitution of a board of reviewers is an good way to ensure that the report to be published will reach a certain level of quality and will not breach the rule of confidentiality or the ethics of the organization.

When a research is completed, it is capital to describe the methodology used to achieve the results, expose the problems faced and the solutions found to solve them and clearly indicate the limits of the results. A cautionary view on the report can be stated.
Writing your report:

The parts of the report
Your research report will often follow the below structure.

1) Preliminaries: This part is constituted by the acknowledgements for the people and institutions who help you in the research. You should also provide an abstract or an executive summary which will summarize your findings in a few clear pages. Your main results should be presented there in a very simple manner. Usually this section will be extremely helpful when writing a press release (see p. . . .). You should state your cautionary view here.

2) The introduction: This should be quite brief and is usually the last part of your research you will write. It will briefly state why your subject is interesting and it will expose quickly the structure of your research. As part of the introduction, you can include the literature review where you will explain what has been done about this subject in the past by other researcher and why your approach is complementary. For an academic writing, the literature review is separate from the introduction and can be up to one third of the length of your report. In the case of non academic writings, this review should be brief but you should be able to show why your research is adding value to the subject.

3) The research aims should be clearly stated. It should be short, almost a bullet point page. For qualitative studies you should be able to show how the aim of your research has evolved since to moment you started it.

4) The methodology, this section is extremely important for the readers to understand to which extend your results are valid and what approaches you have chosen. In this section you should give detail on your choices, why you made them and you should explain your difficulties and how they were overcome. You should describe your field work, how, where, when, what, who, you can give a list of your interviews and explain the structure of your interview or questionnaire. How were your data analyzed (this is key for both qualitative and quantitative)

5) Your findings, it is the heart of your report, you will expose each finding systematically and argument them using the support of your data (qualitative and/or quantitative). The findings should not be a list of data or pieces of interviews, they should be organized in a dialectic manner with a beginning and an end. You should discuss the validity of your findings, try to see what are their consequences for the research you have made. The findings should be expose in separate sections with a proper paragraph of introduction and a paragraph of conclusion.

6) Your general conclusion should flow from your findings’ expose and it should be linked to the points you made in the aim of your research. The conclusion should be brief.

7) In many policy reports you can have recommendations for different actors base on your findings

8) Bibliography

9) Annexes can be added. In the annexes, you can put the questionnaires, the list of interviews, a chronology, other important documents you have often been using (laws, code of conducts, administrative mapping, photos...)
Monitoring Theoric

What is a monitoring?
The monitoring is a continue process which overtime generating a large number of comparable data. The monitoring focuses on one specific area and by measuring key indicators and/or behaviors is able to determine if a more complex system is functioning correctly. A good monitoring should not only be able to generate information about the functioning of a complex system but should also allow to identify the places where improvements are possible and threats are appearing. The monitoring can be applied to a program, a project, a socio-economic environment, an institution, an administrative process…

Who performs the monitoring?
The monitoring can be performed by many actors and can be internal or external. It is internal if it is performed within an institution. The results are only shared with a limited number of persons, preferably with the actors of the system monitored. The results of the internal monitoring are use to improve the performance of an institution of a process.
The monitoring can also be external, in that case the monitoring is performed by persons external from the monitored institution. The results of external monitoring are used to make sure that an institution or a process is performing according to its objectives and to its prerogatives.

The use of monitoring for integrity
The monitoring is used to detect the trends of a system or of an institution. These trends indicate if a system or an institution is performing its activities as it is supposed to or not. The monitoring is one of the most powerful tool to generate integrity. By collecting continues information on a system, the monitoring accumulates objective data on it, opening the possibility to detects the areas where integrity is lacking and indirectly putting pressure on the system’s actors to perform correctly. The internal monitoring allows the pressure to be exerted by the hierarchy while the external monitoring exert pressure on the actors through social accountability and public scrutiny. Monitoring results can become a powerful tool to orient policies.

What is necessary to do a monitoring?
One of the essential elements to perform a good monitoring activity is to have access to the relevant information. A monitoring program which would not be granted access to the key information or where the information collected would not be reliable would not be able to perform well. In certain cases, the information can not be divulged by law - for the monitoring of justice decisions for example- than proxies will have to be found to fill this information gap. The collaboration of the monitored actors is essential. For this reason, it is essential to build legitimacy in the implementation of any monitoring activity.

Summary of the issues presented in this section:
• Monitoring feasibility
• Context mapping for the monitoring
• Identification of monitoring inputs
• Creating monitoring buy-in and legitimacy
• Monitoring governance and indicators
• Monitoring key factors of success
• Monitoring implementation
• Monitoring tools
• Community based monitoring
• Monitoring risks
• Use of monitoring data
• Examples of monitoring activities

Integrity Manual p.55
Monitoring theory: feasibility study

Monitoring set-up:

Prior to the monitoring a feasibility study must be conducted. Typically in a monitoring feasibility study, the following element should be considered:

a) Mapping the actors involved in the area we want to monitor
b) Mapping the institutions involved in the area we are monitoring
c) Mapping the procedures/ laws involved in the activity we want to monitor, understand and list the reporting requirements
d) Understanding the categories of information produced (public / not public)
e) Understand the possible collaboration which could assist/sustain the monitoring process

f) Identify what the monitoring could bring to each actors of the process (this will contribute to the constitution of an argumentation to promote the monitoring process and get the different parties involved). The objective here is to create the condition for a win-win situation, where the monitoring is not only a dry critic but a process which results are imbedded in the working process of the institutions monitored. Identify the extant to which the different actors are willing to collaborate.
g) Create a strategy to obtain the involvement of the different actors in the monitoring process

h) Identify the proxies and indicators which could be measured for the purpose of the monitoring
i) Define what could be the role of the different actors in the monitoring process (reporting, access to documents / office space/ individuals on a regular basis / comments on the monitoring results, coordination meetings, joint working groups, trainings…)

j) Identification of the key process for the success of the monitoring
k) Timeframe for the implementation (actors involvement / measurements / action in case of no complying and key documents to be signed)
Monitoring theory : context mapping

Monitoring set-up:
The context mapping is used to identify the relation between the different actors and the manner in which the system functions. The map should also describe how the system interacts with its environment:

1) The monitoring process first identifies the bottle necks in a system or in an organization. In the case of integrity related monitoring, the bottle necks can be of three types:
   - The actors or process which are key in a system
     i.e: decision makers or persons in contact with external actors, process which generates the most money
   - The points or places where integrity can be at risk
     i.e place where a product or where customers are transiting and can be easily stopped, places of interaction between the public and the institution, points of internal control
   - The area / phases where reporting is asked by the procedure
     i.e: audit reports, evaluation reports, field visits from donors, respect of specific extraction quotas

2) For each of these bottlenecks, a graduation on their role in guaranteeing integrity should be made

To help with the definition of what should be monitored it is quite crucial to proceed with the mapping of one phenomenon. i.e If we want to make a monitoring of the tax payments in Afghanistan, it is important to identify all the institutions involved in the process, their procedures and how those procedure are link to other institutions not directly related to the MoF, the type of users they are managing, there hierarchy and the amount of tax they are gathering (compare this figure with a quick calculation using other data such as the number of potential tax payers), the geometrical distribution of those institutions. The analysis of all those data should allow a first identification of the key points and key elements to be monitored. In a second phase to fine tune the mapping, interviews with MoF civil servants and users is a good manner to gather further information on the way tax institution are functioning. Such interviews help understanding collusion present in a system and non institutionalized practices. On the left there is an example used to monitor the delivery of drivers' licenses

Integrity Manual p.57
Monitoring theory: inputs’ identification

Monitoring set-up:

Data inputs:

The identification of the possible inputs is used to understand what could be the data or the information that could nourish the monitoring process. This information should be as rational as possible. The compilation of publicly available information (published by the state or made available by recognized independent sources) can be the base to some very interesting monitoring programs (see the Brazilian www.excelencia.org project). Try to use as much information produced by the organs/systems you monitor. This will make your monitoring results more objective. However in certain cases, this basic information is not available and should be produced by the monitoring organ. The production of such data could be done using surveys which methodology should be agreed by all the actors monitored in order to make the survey results acceptable and legitimate. The type of information that should be identified for being used during a monitoring should have the following characteristics:

1. Reliable (Scientific measurements, surveys, internal reports, public figures)
2. Repetitive (the data should be regularly updated or updatable with a frequency in accordance with the monitoring)
3. Public or made public by an agreement with the monitored system
4. First hand
5. Representative

Human inputs:

During the preparation of the monitoring process it is necessary to understand how these persons are selected, to who and how are they accountable. Are these monitoring positions resulting from sustainable processes.

The monitoring are often conducted by a specific group or persons habilitated for this. Their habilitation comes from their social position (community/users representatives, civil society, media) or from their position (head of the monitoring committee). The monitors are often elected or designated to represent common interests. They have some specific task to conduct in order to feed the monitoring process (data gathering, testimonies, representation, scrutiny, approval of key documents).
The monitoring will have an impact only if it is viewed as legitimate and that the monitoring process is able to generate buy-in form the different actors. There are different strategies to achieve legitimacy:

- Argument about the advantages of the monitoring with each of the system’s actors from their own perspective. (i.e. in the case of an extractive industry monitoring, the company by participating actively to the monitoring will have better relations with the communities, reducing its expenses due to security to work in a socially tense environment; the state by being transparent on the money it receives will not be accused of stilling corruption and by publishing the social and environmental incidents due to the extraction will be able to hold the company accountable and the communities by participating actively to the monitoring will be able to have a greater impact on their social development by prioritize their needs and by holding the state and the company accountable to the outcomes of their engagements.)

- The monitoring process is based on the law and/or uses existing legal dispositions to be implemented

- The monitoring has a strong popular basis (see the social accountability initiatives driven by MKSS in India)

- The creation of joint working groups where the different actors of a system are meeting regularly to exchange their experiences and fix the expectations they have from each other can be a good base for legitimizing the monitoring.

In certain cases the monitoring is not able to bring changes but avoid a situation to deteriorate, in this case the monitoring creates a sort of status quo with regard to actors buy-in.
Monitoring theory: indicators and governance

Monitoring set-up:

The monitoring is supposed to focus on a series of key issues and define indicators for the extend to which the different elements of the system monitored are functioning correctly. The production of those indicators and all the monitoring process should be secured by a solid governance structure which would guarantee the quality and standards of the monitoring outputs and that actions are taken if a problem is detected.

Identify the elements which will be able to bring usable indicator to influence the system for better integrity. The information which will be monitored must in its own generate enough leverage to influence a transformation of the system (if petty corruption is identified but not really quantified, the incentive to transform the system might not be sufficient). The elements monitored can be an indirect indicator of the miss function of a more complex system.

The monitoring proceed with observations and measurements. The observation can be conducted on a precise mechanism in a procedure or on the existence of certain well defined characteristics of a system (i.e. complaints mechanisms, transparency, distribution of receipts, payment of specific taxes, declaration of specific incidents). The monitoring can also measure well defined critical actions accomplished by a key actors or by a user who went through the complete process and who is able to share the details of his/her experience of a complex system. This type of measurements are often used in monitoring to measure customers' satisfaction.
Monitoring set-up:

The monitoring process need to define blue print and key factors of success. These are the indications of the monitoring’s own success. It is possible that a monitoring is conducted but with no effects or without reaching its objective. These key factors of success should be defined prior the beginning of the monitoring activities and should be design in order to identify the problems in the monitoring process to improve it. i.e; no participation of the main monitored actors, unreliability of the data gathered, manipulation within the monitoring team...

The key factors of success should cover all the monitoring phases and should be regularly controlled to see if there are accomplished

A table can be used in order to measure them:

<table>
<thead>
<tr>
<th>Phase of the monitoring</th>
<th>Key factors of success</th>
<th>Measurement / Evidence</th>
<th>Accomplished Yes/No</th>
<th>Prerogative for its realization</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If the key factors of success have not been reached then the monitoring is not reaching its objectives. In certain cases, some assumptions can be pre-defined. For example woman participation should be accomplished during the monitoring process but if there are strong social pressure for not letting woman to participate in the monitoring, then there might be a solid reason for not succeeding on that point. The reason might be independent from you.
Monitoring theory : implementation strategy

Monitoring set-up:

The monitoring should be implemented following a predefined strategy. A series of documents, forms and processes could be prepared in order to ensure the success of the monitoring.

The definition of the above elements will allow to define the periodicity of the monitoring in order to accumulate sufficient data. The periodicity is often defined by the seasonality of an institution’s process (if all the users are coming at the beginning of the month, the monitoring should be concentrate at that moment).

The above elements are also identifying the places where the monitoring should be conducted. Due to the sensitivity of the elements monitored, it is important to make sure that the monitoring activities are not putting the monitors at risk.

Key implementation steps:

1. Detail the monitoring body’s governance structure with its legitimizations process and the monitoring quality control process
2. List the actors to contact to start setting-up the monitoring
3. Training material for the monitors
4. Monitors’ code of conduct
5. Monitoring board status
6. Reporting forms
7. Internet site used for the display of the monitoring
8. Constitute the monitoring oversight team
9. List the monitoring oversight duties and reporting requirements
Monitoring theory: The tools

- Explore the tools available to make the monitoring
There are a large number of tools available to conduct monitoring. These tools can be used internally and/or externally. It is possible to divide them in 8 major types:

1) Data generation (Experience survey, satisfaction survey general questionnaires)

2) Data collection (different actors in a process are completing a series of data on a regular basis and these are compared to see if there is a consistency (state and companies enter the amount of revenue they received and the amount of tax they gave. Other examples also exits where dispersed data are consolidated automatically - excelencia project in Brazil)

3) Observation (an actor is place in a key situation and observes that the procedure is applied correctly (typically it is the type of monitoring used during the elections). A "testimony actor" is placed in a typical situation and collect information by observing the integrity of the process he is going through

4) Complaints (data are collected by the users of an institutions. These type of data can be biased so they must be cross checked)

5) Social monitoring can be conducted by individual responsible in front of the community to make sure that a system or an institution is working properly for the benefit for the community.

6) Electronically (camera, are placed in key places), this type of monitoring can be quite controversial and are often only used internally

7) The monitoring forms (citizens’ monitoring / web monitoring / monitoring through survey…)

Different types and methods to collect monitoring data are existing:

- **Citizen’s monitoring**: monitoring conducted by a group of citizen’s representative and collecting data. The data collected are often presented to the public. The methodologies can vary and some of these examples are detailed p…The MKSS group is an interesting example (www.mkss.org). + Other examples. (!) some of the methodologies existing in other countries can not be applied in Afghanistan. The political context and the insecurity could put the monitors at extreme risk, their methodologies should be adapted to the local context.

- The **web base monitoring** are using data available online or published by reliable sources. The web monitoring compiles these information, creates derivate indicators and creates synthetic reports. An interesting example is given by the Brazilian excelencia project (www.exelencia.org) (!) the web-monitoring necessitates a large amount of diversified data made available online on a regular basis which is not yet the case for Afghanistan.

- The monitoring **survey** to collect users or beneficiaries perceptions or experiences is an interesting approach to gather reliable data on on large number of issues, in particular when those data are not available or existing. The survey done by IWA on public service integrity is an example of monitoring by survey.

- The monitoring can merge these approaches in an innovative manner (see the monitoring done by IWA on the natural resources)
Monitoring theory: community based monitoring

- Build the legitimacy of the monitoring process

Who is conducting the monitoring?

- Monitors' selection process: The selection process of the monitors depends on the amount of legitimacy necessary for the data they are collecting. The surveyor collecting survey data on users satisfaction at the exit of a public service will not need the same type of legitimacy than the monitors collecting information on behalf of a community in a village.

- The monitoring can gain in legitimacy if a monitoring board is created. The monitoring board should be composed of representative of the main stakeholders involved in the process to be monitored. The monitoring board can also become a control mechanism during the selection of the monitors.

- When governmental services are monitored, it is quite preferable -when possible- to obtain the collaboration of the government. This collaboration will also increase the impact of the monitoring results in pushing for governmental policy change in case problems are identified.

- The monitoring can also be designed as a complement of an institutionalized preexisting procedure. The state institution often have monitoring mechanism in place to verify the objectivity of their decisions. The monitoring of the state by CSO in an independent manner can be a valuable complement to reinforce the state's integrity.

Monitors selection process in the case of IWA local monitoring groups:

The selection process is based on an election. The monitors once selected must sign a code of conduct – the code of conduct is quit symbolic, the real pressure conducting to a greater monitor’s integrity comes from the the mechanism of social accountability. This mechanism is particularly relevant in rural areas.

In the case of a local monitoring held in a urban setting additional save guards to keep monitors’ integrity must be designed.

Integrity Manual p.64
Monitoring theory: community based monitoring

Build the legitimacy of the monitoring process

- Rational data collection
  The monitoring must accumulate the data in a rational manner. A predefined questionnaire can be a good tool for this. The questionnaire must be thoroughly tested with the different stakeholder of the monitored institution or system. The testing could be conducted using focus group discussions.
  The data collected should be as precise as possible in order to be use by the monitored institution to make precise changes or to show clear and objective infraction to the norm. For this reason, the data collected by the monitoring should follow a precise methodology which is reproducible in the long term. To be meaningful a monitoring should be reproduce overtime. It is particularly important for this to collect data that may not be useful at the moment but which could be essential when the monitoring will evolve in time (see p. 39).

How to validate the monitoring findings?

For the monitoring results to be credible by the different stakeholders, a series of “procedures” should be followed:

1) The data must be collected in a neutral manner, the data must be as rational as possible, the methodology use for the monitoring must be transparent, shared and accepted by all the stakeholders, the results can be submitted to a committee /monitoring board before their publication.

2) A legitimating process should be design for each monitoring activity increasing the chances for the monitoring results to bring changes and to be used and backed by a large number on stakeholders.

3) The legitimating process should include the possibility to review the monitoring results or to criticize the findings.

4) A series of indicator should be predefined to disqualify the monitoring results. If these indicators/hypothesis are not verified then the monitoring results should be revised.
### Monitoring Applied

**Example of monitoring around the world which could be interesting for Afghanistan:**

<table>
<thead>
<tr>
<th>Name of the monitoring</th>
<th>Area of concern</th>
<th>Additional information</th>
<th>Summary in the manual</th>
</tr>
</thead>
<tbody>
<tr>
<td>IWA's monitoring NIR</td>
<td>Infrastructure reconstruction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IWA's monitoring with the WB</td>
<td>Public service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MKSS</td>
<td>Public expenditures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CRC the Bangalore example</td>
<td>Public services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mine monitoring groups (Kazakhstan)</td>
<td>Working conditions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IWA mine monitoring project (3 Dimension reconciliation)</td>
<td>Mining for development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EITI</td>
<td>Resource course</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(ie. the Lapis initiative)</td>
<td>Mining</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Luta Hamutuk monitoring</td>
<td>Budget and reconstruction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget monitoring</td>
<td>Budget execution/ transparancy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PEPs</td>
<td>Financial transactions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Election monitoring</td>
<td>Elections</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Brazil's <em>Excelencia</em> project</td>
<td>Elected representatives</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Integrity Manual p.66
Indicators of Integrity in reconstruction classified according to:

- Accountability
- Access to information
- Competence
- Corruption

Gathering of data by the Local Monitoring Groups

1. Qualitative
   - Focus group discussions
   - Individual interviews

2. Quantitative
   - Statistics on the project (Beneficiary questionnaire)

Structured Observations

Context Analysis (History, Actors, Progress, Control, and Conflict)

A database will be designed to preserve and help the analysis of these data.

Integrity Manual- 67
Monitoring data processing and analysis

1. Gathering of data by the Local Monitoring Groups
   - Qualitative
     - Focus group discussions
     - Individual interviews
   - Quantitative
     - Statistics on the project
       (Beneficiary questionnaire)

2. Data and documents on each project are kept and analyzed
   - The response for each monitoring question classified by project
   - The list of documents gathered or used during the monitoring - contracts, letters sent to the ministries or to the donors or to the implementing organizations to gather information as well as their response.

3. Monitoring results are summarized in an “Integrity report” to be used to improve the delivery of aid.
   - Indicators of Integrity in reconstruction classified according to:
     - Accountability
     - Access to information
     - Competence
     - Corruption

Integrity report per project using the results from the questionnaires (the four integrity indicator are used for the Integrity report and the average between them gives the general integrity of the project (as viewed by the beneficiaries).
Implementation of monitoring

Forms:
Examples of questionnaires used in our monitoring:
Questionnaire used by our local monitors
Questionnaire used for the public service integrity

Reporting
Screen captures of the possible reportings:
Exelencia
IWA database
IWA public service Integrity

Timetable
1) Monitoring set-up (identification of the area to be monitored, data gathering to generate the monitoring structure, identification of the monitors or of the means used to conduct the monitoring, training of the monitors / surveyors, agreement on the monitoring requirements)
2) Monitoring (data collection and monitoring report)
3) Use of the monitoring results to create accountability/advocacy

Typical contact list should contain the following categories:

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
<th>Title</th>
<th>Telephone</th>
<th>Primary E-Mail</th>
<th>Relation to the org.</th>
<th>Remark</th>
</tr>
</thead>
</table>

Follow-up techniques
The use of focal points based at the level of the district can be a coherent management approach. The focal point would be in charge of liaising with the community’s monitors and would help to understand the problems faced by the community monitors. The focal points should receive extensive trainings and should be able to solve the most common problems faced by the community monitors. The focal point should follow a reporting framework able to identify their difficulties or the community’s difficulties as they appear.

Other techniques might be used in the case of monitoring processes which collect measurable/repetitive data on a regular basis. In that case online form can be a good solutions. Certain well identified actors should fill it up on given date. A memorandum of understanding might be signed to officialize the process. This type of technique is interesting for monitoring natural resource, budget, environmental types of monitoring.
In order to control the laundering of money obtained illegally by political actors, a list of “politically exposed persons” must be created and regularly updated. The list will be communicated to the major banking authority in order to limit the circulation of these funds on the international financial market.

The monitoring of “politically exposed persons” creates the necessary data and connects them with sophisticated controlled systems to limit the use of extorted funds.
Budget Monitoring

Monitoring the availability and the quality of the key budget documents set below.

Documents

Pre-Budget statement
Executive budget proposal
Citizen Budget
Enacted Budget
In-year Reports
Mid-year Review
Year end Report
Audit Report
Score

The MoF has now a new updated site

Integrity Manual- 71
The monitoring of budget execution can go beyond the control of the MoF/Audit or any other centralized publicly available documents. The monitoring can include the physical verification that roads, school, wages etc. have effectively been delivered to the population. In this case, it is necessary to have a more complex logistic which could rely on communities’ mobilization.

Advocacy in case key elements of the budget have not been executed appropriately

Collection of key data reflecting the budgetary execution. Existence of publicly available key documents, Centralization of the information at the MoF

Renewing the exercise to make sure that every step of budget design, discussions and execution are well documented, involve the public at large and accountable.

The monitoring of budget has been conducted in Afghanistan by verifying the availability to the public of the key budget documents. From the result an international Index was created comparing more than 80 countries around the world. (see www.ibp.org or www.iwaweb.org to download the International budget index)

Development priorities (ANDS) – theoretically after large consultation with the population

Budget proposed by the line ministries though the Ministry of Finance
Definition of priorities

Budget discussed by the Parliament

Execution of the Budget:
Comparing what has been voted with what has been executed by the different line ministries

Vote of the Budget

MONITORING
Local monitoring dynamics and initiatives

Local Monitoring Groups (LMG) Community based monitoring process

As implemented by IWA in Jabulsaraj since 2007

1. Hold implementers accountable
2. Empower communities
3. Fight corruption
4. Inform the donors on the impact of their work
5. Improve efficiency of aid at the local level
6. Build credibility of citizens’ action
7. Offers an alternative to warlords at the local level

1. Selection process
2. Integrity monitoring by the Local Monitoring Group (LMG)
3. LMG share monitoring results with
   - Community
   - Project implementers
   - State
   - Donors
4. Best practices are shared
5. Solution are found to correct project

Pressure

LMG’s monitoring results receive community’s approval

Community choose

Project to be monitored (corresponding to the Communities’ priorities)

Survey beneficiaries’ views
Obtain project documents
Field visits

Monitoring report

Reporting

IWA Facilitation role

Mobilization
LMG Training
Assistance to access info
IWA Facilitation role

Info Sharing/Channeling
Advocacy
Policy
Community base monitoring data process

1. Gathering of data by the Local Monitoring Groups
   - Qualitative: Focus group discussions, Individual interviews
   - Quantitative: Statistics on the project (Beneficiary questionnaire)

2. Data and documents on each projects are kept and analyzed
   - The response for each monitoring questions classified by project
   - The list of documents gathered or used during the monitoring - contracts, letters sent to the ministries or to the donors or to the implementing organizations to gather information as well as their response.

3. Indicators of Integrity in reconstruction classified according to:
   - Accountability
   - Access to information
   - Competence
   - Corruption

Monitoring results are summarized in an “Integrity report” to be used to improve the delivery of aid.

Integrity report per project using the results from the questionnaires (the four integrity indicator are used for the Integrity report and the average between them gives the general integrity of the project (as viewed by the beneficiaries)
The monitoring of education delivery is possible using the groups involved in the day to day education activities: the teachers, the students and their parents. This actors should be supported by the ministry and by the provincial councils how can help them to solve the problems raised at the school level.

A governance structure must be set-up in order to increase the interaction among these players and to make sure that they are accountable to each other. Below, we are showing a possible governance structure:

In addition to this a system to grade the degree of the problem faced in the education system must be elaborated. An example from IACD is as follow: The students and the parents have an evaluation

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
<th>Title</th>
<th>Telephone</th>
<th>Primary E-Mail</th>
<th>Relation to the org.</th>
<th>Remark</th>
</tr>
</thead>
</table>

Integrity Manual p.75
The monitoring process is divided in six major steps:

The mapping of the procedure, the design of the questionnaire, the survey and the analysis of the monitoring results, the discussion with the HOO on the best ways forward and finally the advocacy based on those decisions. This process is repeated every 4 to 6 months in order to measure the impact of our intervention on the quality of services. The institutions that are not correcting their performance are held accountable using a variety of approaches – pressure from the HOO, pressure from media, pressure from other ministries, pressure from the Parliament…

The monitoring per se

How to bring long-term change:
Data gathering for the Integrity of Public service monitoring

Monitoring elements are repeated for each procedure $n$ times and can be extend to the province

A base line on service integrity is generated as well as data for advocacy and lobbying to improve public service integrity

The integrity of monitored public services is improved and solutions are being developed for the benefit of users

The state delivers better services, corruption is diminishing and the state is gaining legitimacy back

Integrity Manual- 77
How is your parliament working?

To answer this question it is important to be informed and to have access to the following information. If these information are not accessible, a monitoring system should be established to generate them in an independent and objective manner:

- Attendance
- Activity in question and answers sessions
- Votes
- Role of speaker and other key staff of the Parliament
- Attitude during walk-out and boycott
- Asset declaration
- Role of the committees (issues dealt, efficiency, decisions)
- Parliament involvement in budget discussions
- General measurement on the role of Parliament to improve the countries governance quality
- Systematic broadcast of Parliament discussions
- Report card on the points discussed during each parliamentary sessions

Possible reference:

This organization generate very sophisticated report on the Brazilian parliamentarian and behavior using publicly available data and cross checking them. [www.excelencias.org.br](http://www.excelencias.org.br)

This type of monitoring might be difficult to implement in the Afghan context as most of this information is just not existing.
Integrity in Justice

The monitoring of the judiciary could focus on three main areas (see below). The major problem in the justice monitoring is the lack of public availability of information on cases in order to protect the privacy.

**Monitoring**

The target groups in this monitoring could be:

1. Officials in the courts of justice (e.g. judges, bailiffs)
2. Government officials in the executive and legislative branches
3. Prosecutors
4. Lawyers
5. Clients
6. Journalists

Possible reference:

See the experience of TI Kazakhstan (Courts without corruption) on this point. (toolkit 2002 p.V.26)

www.transparencykazakhstan.org
Environmental monitoring

1. Environmental Baseline for key elements:
   - Air
   - Water
   - Vegetal species
   - Sicknesses
   - Level of allergies, etc...

2. Environmental distortion
   Identification of the potential sources of pollution

3. Collection of possible incidents affecting the environment

4. Collection of key data reflecting the environmental shifts

5. Comparing the baseline with the data collected.
   Identification of environmental trends and possible causes for these trends

   Advocacy to avoid further deterioration and actions to restore better environmental standards

Observation of changes and impact of the monitoring actions
Regular surveys will be conducted by IWA in order to measure the experience and the perception of the population living around the mine. The results will be used to contrast the reports made by the state and by the companies.

Monitoring website: The State and the mining companies are entering the data related to the EITI (extracted quantities and proves of royalties payment and receipt from the companies to the State.)

In addition to these data, both the State and the company are entering data relative to the contract:
- Environmental protection data (quality of air, water, any major environmental)
- Social protection (incident on mine workers…)
- Human Development indicators.
- Other pertinent indicators

- Report on the survey conducted with the population living around the mine or working in the mines

The idea of the monitoring is to make sure that all actors involved in the mine are accountable to each other and that the contract passed between the State and the companies are respected.
Public procurement

1. Database to inform the public about procurement rules
2. Building alliance with major state entities involved in procurement.
3. Listing of projects and bidding process tracking
4. Review of project attribution
5. Possible to link this with community level monitoring of the project.

Advocacy in case problems are detected

Possible reference:
www.licitenet.com
www.veeduriadistrital.gov.co
www.poderciudadano.org.ar
Precious stone monitoring

**Monitoring:** Lapis Lazuli Trade

**Context**
Afghanistan has the only lapis mines in the World but it does not get revenue for it. Most of the work of Lapis is done in Pakistan.

Thousands of job could be created in Afghanistan and the State could get additional incomes if the trade of Lapis was controlled by Afghanistan.

**Possible solution**
Make an international campaign to make sure that only the lapis which has been legally exported from Afghanistan will be bought.
Ask the countries importing lapis to check the authenticity of imported lapis.
Regularly repeat the international advocacy campaign on the origin of Lapis.

The State could generate revenues from lapis trade.

**Creation of an “Island of Integrity” around one specific issue**
Investigation journalism

**Needs:**

Competent Journalists + Strong Newspapers Media

- Training + Media monitoring
- Merge the small newspapers so they become more solid and reliable

**Role of Afghan CSO**

**International Examples**

<table>
<thead>
<tr>
<th>Image</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="https://example.com/le-canard-enchainge.png" alt="Image" /></td>
<td>Satirical News paper founded in 1915. I brought resignation of cabinet ministers and international corruption affairs (Chirac's corruption, Bokassa's diamonds, Affair Elf Dumas)</td>
</tr>
<tr>
<td><img src="https://example.com/ultimas-noticias.png" alt="Image" /></td>
<td>Two Venezuelan journalists who uncovered irregularities in the investigation of the Danilo Anderson case</td>
</tr>
<tr>
<td><img src="https://example.com/stinky-journalism.png" alt="Image" /></td>
<td>CheckYourFacts.org or <a href="http://www.sourcewatch.org">www.sourcewatch.org</a> hold the media accountable by examining concrete, measurable errors of fact and ethical breaches encountered in the press.</td>
</tr>
</tbody>
</table>

**Possible reference:**
Saba media organization has written a guide to investigative journalism in the Afghan context.
Giving Access to Information

It is important to use a methodology which will preserve the neutrality of the information source. Otherwise it becomes a research product.

Political leaders, Parliamentarians

The semi-automatic compilation of information publicly available but not presented in an analytic manner

Aid projects, State Expenditure

Divulgation of public information not published previously with the objective to actively inform the population

Possible reference:
http://www.excelencias.org.br
http://www.laohamutuk.org

Monitoring

Integrity Manual- 85
What else could Civil Society do to bring Integrity

Summary of pro-integrity activities conducted around the world:

Procurement:
www.tinepal.org

Report Cards:
http://www.pacindia.org

Corruption mapping
www.transparency.lt

Budget execution:
http://www.voicesforall.org/proof/index.htm
http://www.janaagraha.com/campaigns
http://www.bestpractices.org

Natural resources:
http://www.dnr.state.wi.us/org/caer/ce/news/hearmeet.html

E-government:
http://english.metro.seoul.kr/government/policies/anti/
http://www.emontgomery.org
www.iukc.gr.jp
Advocacy

What is advocacy:
Advocacy is the action to diffuse a message or a position to influence a series of identified stakeholders. The advocacy is a continuous activity with mid to long term objectives of change. A series of activities are used for advocacy, among them press conferences, lobbying, trainings. The mean to diffuse a position and make sure that stakeholders' positions are durably changed must be tailored to the cultural specificities and to the political context.

Who performs the advocacy:
CSO are usually performing advocacy but it is clearly possible to go beyond that and build alliances to promote a message or a position. A series of very different stakeholders can be associated (State, media, communities, education system, private sector…). The advocacy is normally based on rational elements that are the results of a research or of a monitoring generated by an independent organization (CSO / CBO). CSO can facilitate advocacy campaign emerging from communities' initiatives.

The use of advocacy for integrity:
Integrity issues are often brought-up by publication and/or by informing citizens about specific research and monitoring results. When the population is well informed, it can then engage in creating pressure for change. The outcome of research, survey, monitoring on integrity related issues is often designed to inform advocacy actions. Due to the precision of the information generated, it can be well targeted and contextualized. The expectation for change can also be quite well defined. Advocacy campaign can also become a way to protect organization by making facts know to a large number of person and mobilizing the public attention.

What is necessary to do a advocacy:
During an advocacy campaign, the message must be clear and well directed. In the case of anti-corruption, large and general advocacy campaign against corruption are only raising expectation and are not really providing any incentives or solutions to reduce corruption, they can become counter-productive. The ideal to convey an advocacy message is to make sure that it is targeted and contextualized. The expectations of the different stakeholders should be well managed. One should not raise them if there are no certain on the results. "Promise less, deliver more" or the organization conducting the advocacy risk loosing its reputation and its legitimacy.

Summary of the issues presented in this section:
- Major advocacy steps
- Context analysis
- Defining an advocacy strategy
- Define the objective of change
- Advocacy actions
- Advocacy impact
- Advocacy risks

Related activities:
- Press conference
- Press release
- Lobbying
Advocacy aims at making changes based on results of a research, of a monitoring, of new reliable information or facts. The strategy for advocacy depends on the subject and the environment. There are some critical key steps but a large part of the success depends on the quality and consistency with which an issue is pursued. Advocacy actions can be articulated around the following a cycle:

**Reliable position to be advocated:** To start an advocacy, a reliable position must be reach based on findings. The information at the base of an advocacy campaign must be solid, objective and should be non-partisan. The capacity to convince and to influence attitude will be facilitated by solid evidence. A good source of evidence for advocacy are qualitative, quantitative research, monitoring or any other rational and scientific analysis. (See the previous section of this manual for more information on this)

**Context analysis:** The context analysis objective is to identify all the key actors, their relationships and their ability to influence and create change in favor of your position.

**Strategy:** It is the conceptualization of the stakeholders which need to be influenced, the objective to be reached by the advocacy and the way used to do so.

**Set objectives for change:** Objectives for the advocacy are defined and regularly measured, the objectives should be defined for mid an long term and associated to SMART indicators

**Action:** They must be designed in order to attract attention, to convey your message properly, to be legitimate and to touch the stakeholders you want to convince. In Afghanistan, you must be extremely carful to keep the advocacy action within the behaviours socially accepted by society.

**Measure impact:** Regular measurement comparing the objectives of your advocacy and their impact on the stakeholder’s positions

**Ensure continuity:** If the objectives are reached, you should make sure that these positions are sustainable and that the stakeholders you have influenced will keep their positions

**Adapt the strategy:** In case the objectives of the advocacy are not reached, changes might be necessary on your strategy or on the analysis you have made of the context.
Advocacy: context analysis

The context analysis objective is to **identify all the key actors, their relationships and their ability to influence and create change in favor of your position.** The context analysis must also identify the social, legal, economic or political obstacles that are not under your control (social habits, religion, taboos…) a part of your advocacy might try to bring change to them.

In the contextual review, you should **be informed on the previous attempts to bring changes in this area and understand what were their obstacles.** If you have already tried to advocate on this points but didn’t reach your objectives, try to review your context analysis, some elements might be missing.

In order to come-up with a good context analysis, it is interesting to use focus groups and see how certain key group might react to your propositions. Then speak with informed people knowing the key actors you want to influence and try to **understand how flexible these key actors are.**

List the events related to the issue you are pushing which could be helpful (**election are often very interesting periods for conducting advocacy** because the candidates need to be reelected and are ready to engage more easily on certain position, then after the election you can hold them accountable for their election’s promises).

It important when this is possible to **not focus on individuals but on institutions** as they are more long lasting and once they are acquired to your cause it will be more difficult for them to change.

**Stakeholders analysis**

<table>
<thead>
<tr>
<th>Category code</th>
<th>Actor name</th>
<th>Position</th>
<th>Reason for his involvement</th>
<th>Level of flexibility / constraints</th>
<th>Interest</th>
<th>Linked to which other actor</th>
<th>Relevant information about the person</th>
</tr>
</thead>
<tbody>
<tr>
<td>Code (see the next page chart) (O1, O2, A1, A2, A3…)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This exercise might be a bit abstract but it will provide you with the elements you will need in order to set-up your strategy

Integrity Manual p.90
In the above representation, the different key stakeholders and the contextual elements are placed in a chart. Their positions will depend on their degree of influence and the degree of support for the position the organization is advocating for.

In the first chart the stakeholders are just positioned and their ideal positions as a result of the advocacy have been defined.

In the second chart the priorities and the strategy to reach the results defined by the first draft are identified and the actors relation and interaction are also identified.

Integrity Manual p.91
Advocacy: objective for change

The indicators defined to observe the achievement of the advocacy objectives need to be “SMART indicators”. In other words they need to be:

S: Specific  
M: Measurable  
A: Achievable  
R: Relevant  
T: Time bound

<table>
<thead>
<tr>
<th>NOT SMART</th>
<th>SMART</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government should make their budget more transparent</td>
<td>By end 2010, the Ministry of Finance should publish a citizen budget document and the executive budget proposal.</td>
</tr>
<tr>
<td>Legislature should become more participatory in budget decision-making</td>
<td>By end 2010, the parliament should invite a panel of civil society representative to discuss budget with them prior the adoption of the budget.</td>
</tr>
</tbody>
</table>

Check list for a press conference with objective and indicators:

<table>
<thead>
<tr>
<th>(Action) Press release is done and you have the press conference</th>
<th>Achievements</th>
<th>Reason for not achieving the objective</th>
<th>Solution, changes in the advocacy tactic</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Indicator) Are the media present?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Target) Is the public understanding?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Indicator) Are the people present to the press conference?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Assumption) At least 4 media diffuse our information</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Integrity Manual p.92
Advocacy: action

Actions for advocacy can be many folds. They must be designed in order to attract attention, to convey your message properly, to be legitimate and to touch the stakeholders you want to convince. In Afghanistan, you must be extremely careful to keep the advocacy action within the behaviours socially accepted by society. These actions can be done in association with key stakeholders that are already supporting you and that would be key in relaying the support of others to your position.

Basic attitudes:

- Positive thinking
- Create a trust relation with your different stakeholders (think that is you present the message in the right manner, you should be able to get a consensus)
- Gather and present your evidence and your position in a very clear and consistent manner, you can adapt your presentation in function of your stakeholders
- Put the priorities on winning small but strategic things first.
- Keep consistent on the issues you are monitoring. Don’t be influence by people asking you more then what you can really deliver. For example if you are monitoring one issue and you want to bring change to it make sure that you are achieving that before you engage in other. Distracting you from your objective can a a tactic use by others to weaken your advocacy outcomes.
- Be flexible, make some compromise when needed but keep you objective in mind. It is possible to change tactic but try to keep your strategy. The compromises should be made in the base of a win-win situation. When you know that you are not getting as much as you were expected but that by changing a bit you will be able to have a series of stakeholder moving into your direction, you should no miss that opportunity.
- The tool you can use to diffuse your idea can be: Press conferences, media debates, village gathering, SMS, open letters, mail… these are interesting for generating indirect pressure on the decision makers. Media campaign could also be used. It is also possible to ask experts to lobby for you. Mass organization, and demonstration (for the moment very difficult to be done in Afghanistan due to security) could also be used. Make sure that you are getting all the proper authorization for this.
- Make indirect lobbying. Try to support certain decision makers in their choice to follow you by supporting them in case they face opposition. The idea for indirect lobbying is to send the massage that the decision maker will receive support if he takes that decision.
The impact of an advocacy campaign can take different forms:
- The arguments and the position of the advocacy enter in the public debate
- The policy making is able to change certain practices although this is not really know by the public at large
- Practices are changed and the reasons for this is known
- The organization becomes a reference on the area it advocates for. This can be expressed by regular demands for advices from policy makers

It is important to realize that the impact of an advocacy campaign can be due to factor external to your advocacy.

At the beginning of an advocacy campaign, it is important to set a series of objectives declined into indicators. These indicators will help to keep the direction of the campaign. They will also become to main to tool to measure the impact of your advocacy and to redefine your priorities and the element which can be improved for future advocacy campaigns.

<table>
<thead>
<tr>
<th>Set objectives / indicator</th>
<th>Achievement of the indicator</th>
<th>Impact</th>
<th>Problems faced</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In case the objectives of the advocacy are not reached or are only partially reached, changes in the strategy will certainly be needed unless the the objectives and the desired impact of the advocacy were too ambitious.

If the advocacy campaign is a success, it is fundamental to keep pushing and to maintain a pressure on the different stakeholders. Try to have them engaging in long term support or in action which will be decisive for a long term support of a large number of stakeholders. Try to generate regular assessment of the situation you are monitoring, these measurements will allow you to keep a certain level of pressure.
The Advocacy risks in anticorruption activities

This type of advocacy is too general. It should not be used unless it is in a precise context. The risk is only to raise expectations form the public

Make sure that advocacy stays very targeted to avoid the risk of raising expectations

Advocacy

Lapis campaign following the project’s implementation

Publish detailed information about certain public service in administrative office corresponding

Satiric article or cartoons following an investigative article

Information about monitoring results

Publication of citizen budgets

Debates on media

This type of advocacy is more effective as it is very targeted and people receive it in a context
A press conference is a key event to make public an important finding or a position. For certain messages, making a press conference can be counterproductive. For example: denouncing corruption in aid might have the consequence to reduce the aid given to Afghanistan, but Afghanistan needs aid, while the initial point you want to make is that aid should be spend more attentively- you should phrase your massage correctly. It is extremely important to evaluate the content of the message you are conveying to the media. Once the message has been sent it will make its own life. You can try to orient it by well selecting the media you are inviting and by formulating your message in a manner that the journalist will not need to work too much on your press release to convey the idea. The more copy-paste you can get from your original press release, the more chances you have your message will be relayed consistently.

Who is your audience:
Local and international media, key stakeholders, communities, donors financing your findings. You should try to choose a good balance between written, radio and TV media. They will all relay your message in a different manner and they will touch different categories of people.

When should you do a press conference:
Press conference should be done considering that during the days off in the west (Sat-Sun) the major media have less staff mobilized and attentive to the news wire. So it is often better to make the press conferences on Monday to Thursday. The timing is also better at the end of the morning or beginning of the afternoon. In Afghanistan very often, suicide bombing tend to happen early in the morning and this type of event are the priority for journalists. If you do the press conference late in the afternoon, then the journalist will not have enough time to write their story. It is preferable to hold your press conference close to the event you want to influence but you must give enough time to create the debate around it (usually between 3 and 7 days before).

Prepare the ground before the press conference:
It is a common practice to give the stories and the press release to journalists before the event, the information given is “embargoed” until a predefined date and time. This gives the journalist the time to write the articles and to sell it to the press before the event actually happens. With this technique you can ensure that a series of articles will be appearing in the press.

Where can you find media contacts:
In Afghanistan there are different press associations where database with the name and the contacts of the major registered journalists. It can be good to ask the journalist you know for more contact or try to find a media or press officer working for a major international donors, most of them have updated journalists mailing lists. During the press conference try to keep the names of the journalist who came and make sure you contact them next time.

What happens during the press conference:
Your invitees are gathering in one place, you distribute the report and the documents related to the event and if you wish also other documents about your organization. Then you can make a presentation about your findings -less then 15min- and respond to the journalists’ questions. The whole conference last for one hour maximum. At the end of the conference journalists often want to make individual interviews with you. You should keep your message clear and simple. If the question is misleading do respond with the message you want to put forward.

Typical activity framework: Reliable position to be mediatized Make press release Gather the media contacts Invitation mailing Call key media Press conference Follow-up send media pack

Integrity Manual p.96
Press conference: the press release

Typical press release:
1 or 2 pages long

Best practice

Attract the attention with the main point you want to highlight

Make quotes that can be used directly by the journalist in their articles

Detail your findings with bullet points

Detail your position with bullet points

Detail your expectations

Make sure you provide some information about your organization, it will be used in any article as well as a contact in case the person want to contact you directly

The report shows that:

- 64% of respondents considered that there is corruption in aid;
- In May 2008 after President Karzai signed the Afghanistan National Development Strategy, less than 33% of respondents knew about its existence.

IWA's concerns:

- Afghanistan is becoming increasingly dependent on aid rent. However despite high levels of aid pledged, aid remains highly unpredictable and too much aid is channelled outside of Kabul.

IWA's recommendations for a better aid:

- Today the Compact is limited to a donor-government agreement with the Afghan government. It is necessary to have a greater engagement of ordinary Afghans. For this a double compact needs to be agreed.

About the project

This study was conducted in April and May 2008. It relies on in-depth interviews with reconstruction stakeholders.

About IWA

IWA’s mission is to "increase transparency, integrity and accountability in Afghanistan's reconstruction process". IWA considers that high integrity standards must be applied in the aid...
Lobbying

Lobbying is the action to influence and make sure that key actors are changing their position regarding a subject or an issue. The lobbying is often directed toward political actors and industrial. **Lobbying is not directed to a large number of people** like advocacy is although it can be an important component of an advocacy activity. When you conduct lobbying, you should be selective on your targets and objectives. Human relations skills are essential. The objective of lobbying is a continuous long-term action on key actors to make sure that they are adopting your views. Usually lobbying will help you to impose your views or your proposition as a solution to a certain problem. In order to do so you should **create the conditions so that your solution or your indicators are used as references.** For example if you are conducting a survey providing key results and your survey is repeated across many years, you can become the reference for the evolution of a key phenomenon. Other surveys will have difficulties to provide the same information. A good illustration is the corruption perception index (CPI), the index became a reference on the evolution of corruption in different countries - although it has a lot of weakness and it certainly do not really show the evolution of corruption.

The **lobbying accumulation effect.** When you are making lobbying, it is important to keep in mind that social actors often don’t like to stay isolated, and this is valid for political actors as well. Once you have imposed your position to a few well chosen key actors, this should have an effect of “gravitational” attraction for other actors. The more actors are on your side, the more will be attracted. Your position slowly becomes acceptable and sets he norm.

10 Key steps:

- **Indentifying powerful actors** and decision making bottlenecks
- Indentify **your supports and their reasons for supporting you** and **your oppositions and the reasons for opposing you**
- Gather your arguments / Carefully **defining the limits of your position** / Define to which extent you can be flexible without contradicting your position
- **Show public evidence** of your strength (press conference, gathering, statistics, other objective evidence that what you say is right)
- Start contacting the key actors. Make official meetings with them at the beginning and then **try to enter in an informal relation** with them. Expose the advantage they would get by following you / convincing convergent stakeholders that you have the only valid solution
- **Support the people who support you** – in certain case some actors are not moving from their position because they are afraid to become isolated. It is often easier to convince a group of small actors who can on their turn become your “lobbying agents”
- **Favor long term** strategies versus short term lobbying. But keep in mine that in order to start you should have a few “quick wins”
- The ideal for a small organization is to **become a part of the solution** you are proposing. In particular if you are proposing a measurement of a phenomenon or key recurrent actions.
- To facilitate your lobbying work, it is important to **build alliances** with other group or organization defending similar positions. In certain cases, their lobbying strategies can be a solid complement to yours.
- Define **measurable indicators of success and make sure to associate a timeframe for their achievements.** Measuring your impact by comparing your achievements with your key factors of success. **If you see that you are not progressing, do not hesitate to change tactics but make sure that you keep the essence of your objectives consistent**
NGO’s activities in Afghanistan are ruled by an NGO law. The NGO law is available in English, Dari, and Pashto at the Ministry of Economy. The MoE is responsible for the registration of the NGO and for the control of their activities. When an organization is starting to extend its activities in a new province, the MoE branch in that province should be contacted, a registration might be required.

In order to make a NGO, the founders (Afghan or Foreigners) should propose a Status to the MoE. The MoE has a guide line for status writing. The Status will be reviewed by a board composed of representative from the MoE, Ministry of Justice, Ministry of culture and communication, Ministry of Finance, Ministry of foreign affaires, Attorney. Request for revision in the status might be asked by the committee. The details about the sources of funds of the NGO are required by the MoE.

Other civil society organization can be registered in the Ministry of Justice, this is for Afghan social organizations (these organization are not supposed to get funds from foreign countries)

Media organizations are registered in the Ministry of culture and telecommunications. Additional authorizations are required in order to broadcast radio or TV.

<table>
<thead>
<tr>
<th>Governance Requirements</th>
<th>Reportings</th>
<th>Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Once the organization is registered, its status is approved and can be changed according to the rules it stated</td>
<td>When the NGO is registered</td>
</tr>
<tr>
<td>Board meetings</td>
<td>The results of the board meeting are reported to the MoE.</td>
<td>As stated in the Status (usually once every 6 months)</td>
</tr>
<tr>
<td>General Assembly (GA)</td>
<td>The issues discussed in the GA are reported to the MoE</td>
<td>As stated in the Status (Usually once a year)</td>
</tr>
<tr>
<td>Activities reporting</td>
<td>The NGO should report the activities of its projects, the amount spent and the number of beneficiaries. A form is given by the MoE to be filled by the NGO</td>
<td>Every 6 months</td>
</tr>
<tr>
<td>Foreign employees</td>
<td>Should be registered at the MoE, at the Ministry of Social affaires and should pay tax on their incomes to the MoF (detailed on the tax to be paid are available at the MoF)</td>
<td>Monthly income tax to the MoF</td>
</tr>
<tr>
<td>New projects</td>
<td>These should be signaled to the MoE in the activity reporting</td>
<td>Every 6 months</td>
</tr>
<tr>
<td>Audits</td>
<td>An independent audits should be submitted every year to the MoE</td>
<td>Yearly</td>
</tr>
<tr>
<td>External audits</td>
<td>Their objectives and the changes that should be brought afterward</td>
<td>External audits</td>
</tr>
<tr>
<td>Independent evaluations</td>
<td>How should do it, what should be its objective, how regularly, what can be done in order to make the recommendation effective</td>
<td>Independent evaluations</td>
</tr>
</tbody>
</table>

Integrity Manual p.100
An organization which is working in the field of integrity should lead by the example. In certain cases, the organization working in this field are small and have not the capacity of very big NGOs and they might have in appearance some limited administrative capacities. This does not preclude them from having high integrity standards. The base for running an NGO properly is to have a healthy financial system, to have procedures that are applied and documented. To have regular meeting among the staff so that they know what is happening in the organization, what are the problems in the different projects and to make sure that when a problem is appearing there are no fear to expose it. The problems are there to be solved. It often happened that corruption happens in an organization in order to hide a miss function or a mistake.

In this section we will provide with a few examples that can be used by small organizations in order to improve internal integrity:

<table>
<thead>
<tr>
<th>Issue</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>Accounting system, bank, voucher and comparative statements, expenses prioritization, bills, cash</td>
</tr>
<tr>
<td>Internal rules / Code of conducts</td>
<td>Leaves, HR policy,</td>
</tr>
<tr>
<td>ToR for all the employees</td>
<td>Job content, salaries</td>
</tr>
<tr>
<td>Meetings</td>
<td>Weekly meetings, informal relations in the organization</td>
</tr>
<tr>
<td>Forms</td>
<td>Template of the different useful administrative forms</td>
</tr>
<tr>
<td>Files / Institutional memory</td>
<td>Folders and documents to be kept and inspected</td>
</tr>
<tr>
<td>Transparency</td>
<td>Which transparency level, accountings published, salaries</td>
</tr>
<tr>
<td>Internal controls / Board</td>
<td>Role of the board, composition of the board, how staff can be organized to control the finance and others’ work</td>
</tr>
</tbody>
</table>
Practical forms to be used by a small organization

When an organization is starting, it is always difficult to have all the required forms and administrative documents to run the organization administration properly. We have reproduced in the following pages just a few of the forms that we are using at IWA. This forms are just indicative and can clearly be improve or adapted to every organization needs. These initial templates are useful only if they are used rigorously, regularly and if they are kept properly. They will help the organization to be more accountable and to keep tracks of its activities.

<table>
<thead>
<tr>
<th>Issue</th>
<th>How to use it?</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>Accounting system, bank, voucher and comparative statements, expenses prioritization, bills, cash</td>
<td></td>
</tr>
<tr>
<td>Internal rules / Code of conducts</td>
<td>Leaves, staff behavior, HR policy, travel costs rules</td>
<td></td>
</tr>
<tr>
<td>ToR for all the employees</td>
<td>Job content, salaries, warnings</td>
<td></td>
</tr>
<tr>
<td>Meetings</td>
<td>Weekly meetings, informal relations in the organization</td>
<td></td>
</tr>
<tr>
<td>Forms</td>
<td>Template of the different useful administrative forms</td>
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<tr>
<td>Files / Institutional memory</td>
<td>Folders and documents to be kept and inspected</td>
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</tr>
<tr>
<td>Transparency</td>
<td>Which transparency level, accountings published, salaries</td>
<td></td>
</tr>
<tr>
<td>Internal controls / Board</td>
<td>Role of the board, composition of the board, how staff can be organized to control the finance and others’ work</td>
<td></td>
</tr>
</tbody>
</table>
Inventory item

Undertaking for Inventory Item

I, ___________________________ Title: _______________________________

Understand that I have received a _____Designation____________________ for an official use.

I hereby, undertake that whenever IWA needs to have the above-mentioned item back I will deliver this back. In case of loss or damage I am liable to pay a compensation fee as decided by IWA.

Signature: ___________________________ Date: ________________________

Verified by the inventory controller: ________________________________
<table>
<thead>
<tr>
<th>User Name &amp; Signature</th>
<th>Purpose of Work</th>
<th>Destination</th>
<th>Total KM</th>
<th>Estimated Price</th>
<th>Actual Total Price</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
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<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total KM &amp; Price</th>
<th>Net Pay</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Authorized By: Administration
Approved By: Director
Reception receipt

The 24/05/2009

I received from Integrity Watch Afghanistan Organization (IWAJ) the sum of ________ for ________ month of _______ 2009.

Received by: 
Name: 
Position: 
Signature: 

Paid by: 
Name: 
Position: Finance Officer 
Signature: 

Approved by: 
Name: 
Position: Executive Director 
Signature: 
Reparation request

Reparation request form

To: Integrity Watch Afghanistan

From: Logistics

I request that the following repairs be carried out in the following location:

- Workshop
- Company
- Other

Address:

Repairs of Low mower

These repairs are assessed as EMERGENCY/URGENT/ROUTINE

LOGISTICS USE ONLY. REPAIRS CARRIED BY _______ COMPLETED ON _______

NB: Please include as much detail to assist in tools required and potential purchase of materials prior to commencing work.

Name of the person: __________________________

Signature & Date: __________________________
## Food price control

<table>
<thead>
<tr>
<th>No</th>
<th>Item</th>
<th>Quantity</th>
<th>Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Rice</td>
<td>1 kg</td>
<td>90</td>
</tr>
<tr>
<td>2</td>
<td>Bread</td>
<td>1 piece</td>
<td>10</td>
</tr>
<tr>
<td>3</td>
<td>Tomato</td>
<td>1 kg</td>
<td>10</td>
</tr>
<tr>
<td>4</td>
<td>Potato</td>
<td>1 kg</td>
<td>20</td>
</tr>
<tr>
<td>5</td>
<td>Meat</td>
<td>1 kg</td>
<td>20</td>
</tr>
<tr>
<td>6</td>
<td>Yogurt</td>
<td>1 kg</td>
<td>15</td>
</tr>
<tr>
<td>7</td>
<td>Carrot</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>8</td>
<td>Sugar</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>9</td>
<td>Tomato pasta</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>10</td>
<td>Miso</td>
<td>1 kg</td>
<td>150</td>
</tr>
<tr>
<td>11</td>
<td>Watermelon</td>
<td>1 kg</td>
<td>70</td>
</tr>
<tr>
<td>12</td>
<td>Grape</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>13</td>
<td>Oil</td>
<td>1 kg</td>
<td>250</td>
</tr>
<tr>
<td>14</td>
<td>Almond</td>
<td>1 kg</td>
<td>300</td>
</tr>
<tr>
<td>15</td>
<td>Milk</td>
<td>1 kg</td>
<td>40</td>
</tr>
<tr>
<td>16</td>
<td>Black pepper</td>
<td>1 kg</td>
<td>350</td>
</tr>
<tr>
<td>17</td>
<td>Zina</td>
<td>1 kg</td>
<td>500</td>
</tr>
<tr>
<td>18</td>
<td>Bean</td>
<td>1 kg</td>
<td>100</td>
</tr>
<tr>
<td>19</td>
<td>Spinage</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>20</td>
<td>Macroni</td>
<td>1 pack</td>
<td>50</td>
</tr>
<tr>
<td>21</td>
<td>Pear</td>
<td>1 kg</td>
<td>40</td>
</tr>
<tr>
<td>22</td>
<td>Apple</td>
<td>1 kg</td>
<td>50</td>
</tr>
<tr>
<td>23</td>
<td>Coccocolla</td>
<td>1 kg</td>
<td>35</td>
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## Payment Voucher

**Integrity Watch Afghanistan**

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**Total**

By word: Zero US$

**Paid by:**

Name:

**Position:** Finance/Logistics

**Signature:**

**Approve by:**

Name:

**Position:** Executive Director

**Signature:**
# Stock Card

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Receipt Sheet

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<td>Receipt No:</td>
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</table>

This is to confirm that I have received (in words) from IWA Kabul Office for the purpose of

Received by: ____________________________
Title: Office keeper
Signature: ____________________________

Paid by: ____________________________
Title: Financial/Logistics
Signature: ____________________________

Checked by: ____________________________
Title: Executive Director
Signature: ____________________________
 Petty cash form

<table>
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<th>No</th>
<th>Account Received</th>
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<th>V-N</th>
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Received by:  
Name:  
Position:  
Date:  
Signature:  
Paid by:  
Name:  
Position:  
Date:  
Signature:  
Approved by:  
Name:  
Position:  
Date:  
Signature:  

IWA
# Cash Book

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## Mobile phone card

**Distribution of mobile phone card for month of June and July 2009**

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<table>
<thead>
<tr>
<th>Staff Signature</th>
<th>Admin Signature</th>
<th>Office Director Signature</th>
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</table>

# Staff Leave Record Sheet

## Integrity Watch Afghanistan

**Staff Leave Record Sheet**

*Duration: January to December 2009*

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Inventory list

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<th>Model</th>
<th>Made in</th>
<th>Price</th>
<th>Afs</th>
<th>US$</th>
<th>Voucher no</th>
<th>S/no</th>
<th>Remark</th>
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## Fuel consumption report for month of January 2007

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<th>Start Km</th>
<th>End Km</th>
<th>Covered km</th>
<th>Fuel</th>
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## Comparative Statement

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<th>Price</th>
<th>Supplier No 2</th>
<th>Price</th>
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</table>

**NOTE:** We have chosen supplier no (2) because it is cheaper than other suppliers and with good quality.

**Paid by:**
- Name: 
- Position: Finance/Logistics
- Signature: 

**Approve by:**
- Name: 
- Position: Executive Director
- Signature:
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Advance request sheet

Integrity Watch Afghanistan
Advance Request Sheet

Department: __________________________

Amount Requested: __________________________ Date: __________________________

Purpose: __________________________

Requested by: __________________________
Name: __________________________
Finance
Date: __________________________

Reviewed by: __________________________
Director
Date: __________________________

Approved by: __________________________
Date: __________________________

Received by: __________________________
Date: __________________________

For Reconciliation purpose only:

Advance disbursed: __________________________

Loss Bills submitted:
1:-
2:-
3:-
4:-
5:-
6:-
7:-

Loss Cash Balance: __________________________

Returned to cashier

________________________
Signature of Cashier/Finance Date: __________________________

________________________
Signature of Advance holder Date: __________________________
<table>
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<tr>
<th>IWA salary scale</th>
<th>base</th>
<th>indication level 6 = 20%</th>
<th>normal= 5%</th>
<th>good=10%</th>
<th>very good=15%</th>
<th>excellent=20%</th>
<th>Change the base for salary calculation</th>
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<td>plus 50%</td>
<td>plus 5% to 20%</td>
<td>plus 5%-20%</td>
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<td></td>
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<td>Project Manager</td>
<td>$1,000</td>
<td>foreign diploma</td>
<td>english</td>
<td>performance</td>
<td>promotion</td>
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## Timesheet for May 2009

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Perception of corruption in NGO Survey

Project Code: NGOS
Project Manager: Lorenzo Delesgues
Donor: -

Project Progress:
1. Methodology & questionnaire
   Expected: 15/04/07
2. Field gathering & data entry
   Expected: 01/06/07
3. Data classification, analysis and first draft report
   Expected: 25/08/07
4. Final report and dissemination
   Expected: 05/09/07

Kick-off: 1/03/07
End
First hand resource are data that you have directly collected using a methodology by you designed (if you design a survey and the data collection is conducted by surveyors, you will still consider this information as a first hand data).

Secondary data are information gathered by someone else, these can be press articles (although often quite factual) and other surveys or field research, case studies or hearsaying. Certain secondary data can be considered as more reliable then others, for example statistics on courts cases.

**Hypothesis:** a supposition or proposed explanation made on the basis of limited evidence as a starting point for further investigation. A proposition made as a basis for reasoning, without any assumption of its truth. It could be translated as "the foundation". The hypothesis is often the element that has to be verified empirically during a research process in order to show a clear relation between a cause and an effect.

For example: Low paid civil servants take more bribe / In develop countries there is less corruption / Women are less corrupt then men all these hypothesis need to be verified empirically to see if they are true or not. These hypothesis can be further segmented in sub-questions which will be easier/ more suitable to verify empirically. Before you make your empirical research, you should clearly define the condition by which an hypothesis will be valid or not valid.

**Empirical:** An empirical evidence is based on an observable series of evidence, measures and/or fact(s) that are reproducible. The empirical experiment is use to verify the hypothesis of a theory and validate or invalidate it.

**Difference between a descriptive and an analytical process:** descriptive process is giving facts that are representing the reality. It is often the result of observation. The analytic process will put the facts together and try to find an underlying reason for these facts to happen in a certain manner. The analytic thought is critical and questions how things appear to us. Analytic process are organized following a logical dialectic.

Example: Descriptive: birds are flying close to the ground before the rain.

Analytic: Birds are flying to chase insects, before the rain the pressures of the air is higher and the insects are flying close to the ground so birds are flying close the the ground before the rain.

**Actors:** they are the elements, persons, groups of people, institutions, judicial entities, countries interacting and evolving in the a social system. The actors can be on their turn subdivided in components relevant for the understanding of their actions or evolutions.

A social system is composed of actors, rules, given historic patterns / evolutions / behaviors, resources (inputs and outputs) and should be consistent in scale and composition with the phenomenon your are studying.

**Population:** in the case of a survey is the entire group of individual people we wish to speak. For example if we speak of the population of Kabul it will be all the people leaving in Kabul or also the people passing in Kabul or if we study the transportation system of Kabul the population will be the people using the different public transports in Kabul.

**Sample:** it is a subset of the population usually with the particularity that the subset resemble the population closely on key characteristics, it is representative of the population. What is true on the ample should also be true in the population with a calculable error margin.

**Weighting:** If a category of the population is under-represented in a sample, for example woman are under represented – which is often the case in survey in Afghanistan- you can make the sample representative of your ideal population by weighting it.

**Validity:** of a survey depend on the extent to which the conclusion are drawn logically from the data. For this we must consider the validity of the measurement (to which extent the data constitute accurate measurement of what was supposed to be measured), the validity of the population (to which extent the sample used in the survey is a accurate representation of the population is it is suppose to represent), and the validity of the design (the extent to which the comparisons between data are appropriate to form a solid argument).

**Variables:** a variable is a measured quantity which can be divided in categories: descriptive variables (the have no impact on the conclusion); independent variables (they are caused or influenced by others); dependent variables (they are at the source of the cause or of the influence).

**Mean:** average between respondents responses (it is the sum of the scores divided by the number of responses that contributed to that sum). The average are the middle scores of the frequency distributions.

**Cross tabulation:** is when you make two frequency distributions at the same time. (for example for each response to one question what is the total for each response and what is the total of women and the total of men within each of the responses to that question. With this operation, you can calculate is the difference between the variable used in the cross tabulation are statistically significant (calculation of $\chi^2$)

**Third variable analysis:** for this you need a larger sample. For example is you want to analyze civil servants’ behavior to corruption compared to the rest of the population of your sample.
Annexes

- Bibliography used for the manual

*Doing successful research project*, Martin Brett Davies, Palgrave, 2007
*Survey Research*, Roger Sapsford, SAGE, 2007
*L'essentiel de la gestion de projet*, Roger Aim, Gualino editeur, 2005
*Combating conflict of interest*, OSI, 2004
*NGO sustainability in central Europe*, LGI studies, OSI, 2005
*Tools to Promote Transparency in Local Governance*, UN-habitat, March 2004

IWA studies available on the site [www.iwaweb.org](http://www.iwaweb.org)

- Classified internet site with Integrity material / methodological resources
  Specifically on integrity issues:

  IWA: [www.iwaweb.org](http://www.iwaweb.org)
  OSI: [www.soros.org](http://www.soros.org)
  Revenue Watch: [www.revenuewatch.org](http://www.revenuewatch.org)
  TI: [www.transparency.org](http://www.transparency.org)
  Tiri: [www.tiri.org](http://www.tiri.org)
  U4: [www.u4.no](http://www.u4.no)
  External links to additional research resources
  [www.lexisnexis.com](http://www.lexisnexis.com)

- Classified programs useful for running a project/finance
  Quickbook: [http://quickbooks.intuit.com](http://quickbooks.intuit.com)

- Online resources for NGO management
  Mango: [www.mango.org.uk](http://www.mango.org.uk)
Integrity Manual 2009

Objectives: The manual is aimed at giving (a) the methodologies necessary to implement programs on Integrity issues considering the Afghan context and in assisting (b) individuals to run an institution efficiently, transparently and effectively in the context of Afghanistan

(a) Tools for research, Implementation of a research program, Implementation of monitoring activities, Advocacy, Media campaign, Lobbying, control and measurement of the consequences of your actions.

(b) Afghan legal context for NGOs, minimal financial standards for integrity, financial procedures for transparency, internal controls, procurements control and reporting.

About Integrity Watch Afghanistan:
IWA was founded in May 2006 with the mission to increase transparency, integrity, and accountability in Afghanistan through policy-oriented research, the development of monitoring tools and trainings for the facilitation of policy dialogue.

The illustration: “The angels and the Dragon, school of Muhammad Siyah Qalam, Central Asia, XV century