

BUSINESS INTEGRITY COUNTRY AGENDA (BICA)

CONCEPTUAL FRAMEWORK FOR A BICA ASSESSMENT

SUPPLEMENT #1: ASSESSMENT PROCESS

1. CONTENTS

1. CONTENTS	2
2. PURPOSE OF THIS DOCUMENT	4
3. EIGHT STEPS FOR CONDUCTING A BICA ASSESSMENT	5
4. MOBILISE THE PROJECT	6
4.1. SIGN A MEMORANDUM OF UNDERSTANDING OR GRANT AGREEMENT	6
4.2. DEFINE THE ASSESSMENT PURPOSE.....	6
4.3. ESTABLISH A TIMELINE	8
4.4. DRAFT A BUDGET.....	9
4.5. PLAN HUMAN RESOURCES FOR PROJECT PARTNER	9
4.6. RECRUIT BICA RESEARCHER.....	10
4.7. ESTABLISH A NAG	12
4.8. APPOINT AN EXTERNAL REVIEWER	12
5. PREPARE THE RESEARCH	13
5.1. ATTEND TRAINING WORKSHOP	13
5.2. CONDUCT KICK-OFF WORKSHOP WITH NAG	13
5.3. TAILOR THE RESEARCH ACTIVITIES	14
5.4. SUBMIT THE RESEARCH PLAN	15
6. CONDUCT THE RESEARCH	16
6.1. COLLECT DATA.....	16
6.2. DOCUMENT DATA.....	18
7. SCORE BICA INDICATORS	20
7.1. ASSIGN SCORES	20
7.2. VALIDATE SCORES	21
7.3. AGGREGATE SCORES	21
8. CONSOLIDATE FINDINGS INTO BICA ASSESSMENT REPORT	22
8.1. WRITE THE DRAFT REPORT	22
8.2. REVIEW THE DRAFT REPORT.....	26
8.3. REVIEW AND UPDATE THE DRAFT REPORT.....	26
9. REVIEW BICA ASSESSMENT REPORT	27
9.1. PROVIDE FEEDBACK ON DRAFT REPORT	27
9.2. PREPARE A NAG WORKSHOP	27
9.3. CONDUCT THE NAG WORKSHOP.....	30
9.4. FOLLOW UP ON THE WORKSHOP	34
10. PUBLISH BICA ASSESSMENT REPORT	35
10.1. CONDUCT EXPERT REVIEW.....	35
10.2. DESIGN BICA ASSESSMENT REPORT	35
10.3. SIGN-OFF ON THE FINAL REPORT	35
10.4. LAUNCH REPORT	35
10.5. PROMOTE THE REPORT	36
11. TRANSFORM THE RECOMMENDATIONS INTO AN OPERATIONAL REFORM AGENDA	37
12. APPENDIX I: PURPOSE STATEMENT FOR BICA ASSESSMENT (EXAMPLE)	40
13. APPENDIX II: INDICATIVE EFFORT ESTIMATION FOR A BICA RESEARCHER	42

14. APPENDIX IIIA: MAJOR TASKS OF RESEARCHER43

15. APPENDIX IIIB: RECRUITMENT PRINCIPLES FOR SELECTING A BICA LEAD RESEARCHER.....44

16. APPENDIX IV: MAJOR TASKS OF BICA PROJECT MANAGER45

17. APPENDIX V: TERMS OF REFERENCE FOR NAG (EXAMPLE).....46

18. APPENDIX VI: SAMPLE RESEARCH PLAN.....48

19. APPENDIX VII: DRAFT NAG REVIEW WORKSHOP AGENDA49

2. PURPOSE OF THIS DOCUMENT

Transparency International's Business Integrity Country Agenda (BICA) seeks to create a relevant body of evidence on business integrity in a given country,¹ a widely-shared agenda for reform and a collective momentum for change towards more business integrity among key stakeholders.

BICAs assess the status of *key thematic areas* which enable the business sector in a given country to act with integrity. BICAs offer a comprehensive and therefore unique approach for gathering key information to provide a credible foundation for action.

Transparency International envisages that the BICAs will become an important reference point for fighting corruption in business practices within countries and around the globe.

This document provides detailed information on **how to conduct a BICA assessment**. It outlines eight steps that need to be conducted over the course of approximately nine to twelve months to prepare, conduct and launch a BICA Assessment Report.

The document complements the overarching Conceptual Framework for BICA Assessment – Overview and the Conceptual Framework for BICA Assessment – Supplement #2: Indicators.

A large number of appendixes provide practical support for this exercise.

The intended users for this document are project partners (such as Transparency International's national chapters or similar organisations) and the researchers conducting the BICA assessment.

¹ BICAs will look at the environment in which national and international companies operate within a country (inward perspective). BICAs will not assess how companies from this particular country conduct business abroad.

3. EIGHT STEPS FOR CONDUCTING A BICA ASSESSMENT

Carrying out a BICA assessment involves the following eight steps, which are explained in greater detail in this document:

#	Step	Description
1	Mobilise the project	The project partner (for example, the Transparency International national chapter) seeking to conduct a BICA assessment sets up project structures (including timeline and budget) and teams, including researcher(s), a National Advisory Group (NAG) and an external reviewer.
2	Prepare the research	The researcher familiarises him-/herself with the BICA research process and outputs, particularly the BICA indicators. Project partner representatives and the researcher attend a BICA training workshop. Afterwards, local adaptations need to be defined, discussed with the NAG and documented in the overall research plan, to be submitted to the Transparency International Secretariat (TI-S).
3	Conduct the research	The researcher collects data on the various stakeholder-oriented thematic areas and documents the data collection efforts.
4	Score BICA indicators	The researcher assigns scores for each indicator, validates them through expert interviews and aggregates them to the level of thematic areas.
5	Consolidate findings into BICA Assessment Report	The researcher writes the first comprehensive draft report, which will be reviewed primarily by the project partner and TI-S. The BICA Assessment Report is updated with findings from the initial (internal) review.
6	Review BICA Assessment Report	The project partner convenes a consultative workshop with the members of the NAG to discuss findings, and to identify strategic recommendations for strengthening business integrity. Subsequently, the BICA Assessment Report is updated with outcomes of this workshop.
7	Publish BICA Assessment Report	Following a final review by an external reviewer and the sign-off by the project partner and TI-S, the BICA Assessment Report is launched and disseminated at national and international levels.
8	Transform recommendations into an operational reform agenda	Finally, the project partner supported by the NAG and other relevant stakeholders should translate the strategic recommendations of the BICA Assessment Report into a concrete, operational reform agenda for advocacy and other priority follow-up activities (BICA Stage 2: Collective Action).

4. MOBILISE THE PROJECT

In order to conduct a BICA assessment properly, a number of preparatory activities need to be completed before the operational assessment can commence.

4.1. SIGN A MEMORANDUM OF UNDERSTANDING OR GRANT AGREEMENT

A Memorandum of Understanding (MoU) or grant agreement² needs to be signed between the project partner (for example, Transparency International's national chapter) and the TI-S, detailing the respective roles and responsibilities of each partner. By signing this,

- TI-S agrees to offer technical assistance and quality control to the project partner seeking to conduct a BICA assessment; while the
- Project partner agrees to follow the overall BICA assessment framework, including the specified timeline and requirements for conducting the research and organising the consultative activities which are part of the overall BICA assessment exercise.

Templates for the MoU and the grant agreement will be provided by TI-S.

4.2. DEFINE THE ASSESSMENT PURPOSE

It is important that each partner taking part in the project has a clear understanding of *why they are undertaking a BICA assessment* and what they hope to achieve with the exercise. The project partner is therefore encouraged to complete a brief project purpose statement, using the template shown in Appendix I: Purpose Statement for BICA assessment (example). Once completed, the project purpose statement should be submitted to TI-S. The length of the document should not exceed one and half pages.

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

Advocacy and reform: The most common ultimate aim of conducting a BICA assessment is to produce evidence and a momentum for change among relevant stakeholders which can be used for specific advocacy and reform initiatives. BICA findings point to specific weaknesses in the country's business integrity system, and thereby assist in prioritising advocacy, policy reform and other anti-corruption interventions. The assessment may also offer important positive lessons from previous policy reforms. The stakeholder-group orientation of the BICA Assessment framework facilitates targeted advocacy activities.

Monitoring and comparing: Comparing the performance of particular thematic areas (for example, business sector-related "Prevention" vs. "Transparency") gives a good indication of leading areas and which areas are lagging behind. Comparing weak to strong areas also helps to generate competition for improvement and provide incentives for positive change (for example, "Criminalisation of major forms of corruption" vs. "Law enforcement"). Furthermore, if undertaken iteratively over time, the BICA assessment can be used as a monitoring tool to evaluate overall progress of the entire business integrity system as well as individual thematic areas, thereby offering useful information for advocacy and reform efforts.

Further, more specific research: The BICA assessment provides a comprehensive overview of the major thematic areas that impact business integrity. It does not, however, offer an in-depth diagnosis of any specific

² A grant agreement needs to be signed if the TI Secretariat is supporting the project financially.

thematic areas. But it can point to the need for such an in-depth assessment to be conducted as a concrete follow-up project to the BICA assessment, for example, in the event that a certain thematic area emerges as being particularly weak or surprisingly strong.

Building coalitions: Due to its emphasis on expert interviews and consultations with members of the NAG and other experts during the assessment phase, the BICA assessment can help the project partner to build its business sector-related profile and identify potential partners for advocacy campaigns and other follow-up activities.³

In addition, other country-specific objectives and purposes are possible and should be considered by the project partner.

³ For example, engagement opportunities for project partners with the business sector can be identified by using the civil society guide of the UNCAC Coalition: "UNCAC and the private sector" (2013): www.uncaccoalition.org/images/PDF/Civil-Society-Guide-English.pdf

4.3. ESTABLISH A TIMELINE

The timeline for a BICA assessment, from signing the MoU to the publication of the BICA report, should not exceed **12 months**. The chart below shows an indicative timeline. After the completion of the research, recommendations need to be transformed into an operational reform agenda, followed up by a rigorous monitoring and evaluation plan. Transparency International chapters can adapt the timeline table presented below to fit their country contexts, keeping in mind that the research phase cannot exceed 12 months.



4.4. DRAFT A BUDGET

To set up an initial (draft) budget for the BICA assessment, it is recommended that the project partner makes use of the

- indicative effort estimation for BICA researcher(s), as shown in Appendix II: Indicative effort estimation for a BICA researcher, as well as the
- generic budget template, which can be obtained from TI-S.

Since the exact costs for the categories depend on the specific country context, they are left blank. Note that comments, which provide further background information on some line items, are included in comment fields in this budget template.

The draft budget (as well as the previously defined timeline) will be reviewed by TI-S, and updated (if necessary) as part of the final research plan (see Chapter 2.3).

4.5. PLAN HUMAN RESOURCES FOR PROJECT PARTNER

The project partner must appoint a BICA project coordinator within their team who should dedicate 30–40 percent of her/his time to coordinating the BICA assessment activities under the overall responsibility of the project partner's Executive Director. The BICA project coordinator will be the main point person in country responsible for ensuring the timely implementation of the BICA research work. S/he will also act as the main contact point for TI-S and ensure regular and smooth communication between all project parties. In addition, the project partner's Board may be involved in the assessment for purposes such as chairing the NAG and BICA workshop(s), participating in the analysis and identification of key recommendations emerging from the assessment, and in the promotion of the results and relevant follow-up activities.

The main tasks of the project partner are as follows:

- To plan for and manage the BICA assessment execution;
- To select researcher(s) and provide her/him with access to relevant resources, particularly contact information for potential interviewees;
- To ensure regular and smooth communication and exchange with all project parties (including TI-S);
- To set up a NAG and convene meetings;
- To select a suitable external reviewer;
- To participate in the quality control process of the BICA Assessment Report by reviewing the narrative and scores and by providing comments;
- To plan, coordinate and convene review workshop(s), and to conduct the launch event;
- To translate or oversee translation of the report or parts thereof into relevant local language(s) or into English,⁴ if necessary;
- To manage national publication of the report in local language(s), if necessary;
- To promote and disseminate the report and its main findings within the country (and beyond);

⁴ In general, BICA Assessment Reports need to be drafted in a language in which it can be reviewed by the TI-S. Where this cannot be the case, the project partner needs to discuss with TI-S how adequate technical assistance and quality control can be provided. If the report is being drafted in English, it is best to translate it into the local language(s) before the review workshop with the NAG to ensure that the report is accessible to as wide an audience as possible.

- To develop operational strategy and action plan (informed by the findings of the BICA assessment and subsequent political will analysis) together with NAG;
- To fundraise for project activities not covered by existing funds and for follow-up activities;
- To lead/participate in follow-up activities, as appropriate.

4.6. RECRUIT BICA RESEARCHER

Based on similar experiences,⁵ it is highly recommended to contract **one lead researcher** who has overall responsibility for the research component of the BICA assessment. The lead researcher can hire a number of additional researchers for specific stakeholder groups or thematic areas. However, to keep things simple, the contractual relationship should involve the project partner and the lead researcher only. While the final decision on the researcher will usually lie with the project partner concerned, TI-S shall retain a “right of veto”: in other words, it can object to the proposed appointment of a candidate who is deemed unqualified for the role (based on the qualifications outlined below). The researcher must be hired in advance of the BICA kick-off training workshop (conducted by TI-S; see Chapter 2.1) in order to attend this workshop, which is an essential element in the success of the project.

Apart from this unifying role, the lead researcher would also be expected to train the relevant experts in the BICA assessment framework and process (as they would not all be able to attend the kick-off training workshop) and ensure that their contributions are submitted according to a strict timeline. The lead researcher would also be the contact point for TI-S regarding research issues during the review process.

The contract with the lead researcher should define the **major tasks** (as outlined in **Error! Reference source not found.**) as well as concrete deadlines.⁶

The lead researcher’s fee should be divided into several tranches and should cover research expenses but also local travel, communications, secretarial expenses and any other incidental expenses. The fee should also cover the costs of conducting the expert interviews, which are viewed as an integral part of the research process.

The lead researcher⁷ should have the following **qualifications**:

- A background in business administration, public administration, law or another related social sciences
- Proven expertise in research and analysis on anti-corruption, with particularly strong knowledge of the country’s business integrity issues
- The ability to present comprehensive data and analysis in an easy-to-understand and appealing way for policy and advocacy purposes
- An excellent understanding of the legal framework regarding business integrity and public service processes (for example, public procurement, customs and taxes)
- Solid experience in working with/applying quantitative indicators and rating methodologies
- Proven experience in using participatory research techniques involving stakeholders from multiple backgrounds
- Proven experience in conducting expert interviews
- Familiarity with the transparency, accountability and anti-corruption procedures of companies

⁵ Stemming primarily from National Integrity System assessments.

⁶ A draft contract template, which needs to be adapted by project partner, can be obtained from TI-S.

⁷ In the following, the term *lead researcher* is shortened to *researcher*.

- Proven commitment to practical policy reform and evidence-based advocacy in the field of anti-corruption and good governance
- The ability to write succinctly and for a non-academic audience
- Excellent writing skills in English (if report is to be written in English)

The selection of the researcher(s) must adhere to a set of predefined principles, as set out in Appendix IIIa: Major tasks of researcher and Appendix IIIb: Recruitment Principles for selecting a BICA lead Researcher. Appendix IIIa: Major tasks of researcher

Prepare for and attend the assessment kick-off workshop in Berlin (tbd)

- Support preparation and participate in kick-off workshop with NAG
- Support decision on local adaptations
- Research, assess and document the assessment for all indicators of the BICA Assessment Framework within the agreed timeline and based on the standards laid out in the Conceptual Framework for a BICA assessment
- Conduct expert interviews per indicator if data is not available
- Interact with Transparency International's national chapter as well as members of the NAG (mentors) on the various thematic areas regarding data collection, scoring and verification
- Participate in monthly progress calls with BICA project team (from Transparency International's national chapter as well as TI-S)
- Write draft BICA Assessment Report
- Support preparation and participate in at least one major review meeting with the National Advisory Group
- Revise draft BICA assessment report based on feedback from national chapter, NAG and TI-S
- Contribute to promotional events surrounding the launch of the BICA report
- Participate in subsequent internal strategising and action planning workshop (optional)

The overall research, writing and review process should not exceed 12 months.

4.7. ESTABLISH A NAG

A key objective of BICA is that assessment and collective action activities are undertaken in a participatory way, with the involvement of a variety of relevant stakeholders. For this, a multi-stakeholder NAG must be established. With regards to conducting an assessment, such a multi-stakeholder group may

- provide rich sources of information and diverse views that may otherwise not be used (or even known);
- advise on research, for the selection or addition of thematic areas, and outreach (for example, identifying expert interviewees and workshop attendees);
- offer feedback on BICA findings (possible causes and solutions options);
- identify strategic recommendations;
- discuss ways to transform strategic recommendations into an operational reform agenda;
- strengthen the legitimacy and buy-in of key stakeholders into the BICA process and the final report;
- promote BICA findings and recommendations; and
- build up the project partner's network and contacts.

The project partner needs to identify potential members of a NAG and seek to obtain their commitment for participating in a BICA assessment phase (the major areas of responsibility are outlined in Appendix V: Terms of Reference for NAG (example)). The NAG should ideally comprise members from each major stakeholder group,⁸ complemented by other national and international experts. The NAG should have no more than 10 to 15 members and should be chaired and operationally supported by the project partner.

⁸ This may include: government, public service agencies, anti-corruption agency, audit institutions, media, civil society organisations, financial service providers (including banks, foreign investors), stock exchanges and market regulators, business associations, intergovernmental organisations and academia. It is important that the NAG is as inclusive as possible and is composed of a broad cross-section of members in terms of political affiliation, capital city-based vs. regions, and any other relevant factors.

4.8. APPOINT AN EXTERNAL REVIEWER

The appointment is recommended of an external reviewer who will review the final draft of the BICA Assessment Report before publication. This person should be a country expert with a particular expertise in the business-related context of the country. This person should be non-partisan and, where possible, non-resident, allowing him/her to provide an *informed outsider perspective*. An academic or journalist living abroad could be a suitable candidate. This person should be contracted for two days (as per the budget) to read and review the text and provide a short report detailing any errors or misrepresentations, checking for consistency throughout the report and confirming that the analysis is supported by sufficient evidence, or highlighting areas of controversy that require further evidence. The feedback of the external reviewer should be incorporated into the final draft of the report.

5. PREPARE THE RESEARCH

Before the operational assessment activities can get underway, the researcher needs to engage thoroughly with BICA's conceptual framework, and understand the scope of the required work and the specific deliverables. The researcher should also conduct a preliminary analysis of data sources and mapping of key stakeholders.

5.1. ATTEND TRAINING WORKSHOP

After a suitable researcher has been identified and contracted by the project partner (with approval from TI-S), the researcher needs to familiarise himself/herself with the overall purpose, objectives and assessment details of BICA. For this, the researcher must read the following documents, which will be provided by TI-S (available in English only):

- Conceptual Framework for a BICA assessment – Overview
- Conceptual Framework for a BICA assessment – Supplement #1: Assessment process
- Conceptual Framework for a BICA assessment – Supplement #2: Indicators
- Conceptual Framework for implementing a BICA reform agenda

Based on these documents, the researcher should prepare and submit a list of questions that he/she would like to address.

Furthermore, the researcher must attend a two-day kick-off training workshop (together with the project coordinator and other relevant team members from the project partner), conducted by TI-S, where additional background information, potential data sources, contact details and so on, will be shared with the researcher. The workshop will also be used to answer the questions that the researcher has submitted. Finally, the workshop will also be used to prepare the kick-off workshop with the NAG (see next chapter).

5.2. CONDUCT KICK-OFF WORKSHOP WITH NAG

The NAG should be engaged in the overall process as early as possible to build momentum for the entire exercise as well as among the NAG members. For this, the members of the NAG should be invited to a BICA kick-off workshop covering the following activities:

- Introduce the project partner team, researcher(s) and members of the NAG
- Present the overall BICA framework, objectives, timeline and other parameters
- Discuss local adaptations (for example, the inclusion of additional thematic areas)
- Identify other major stakeholders/potential interview partners
- Nominate “thematic area mentors” among the members of the NAG
- Decide on the next steps (for example, monthly status call and next meetings)

The project partner should decide on how long such a kick-off meeting may take. If organising one workshop to cover all aspects is too time-consuming, the kick-off workshop can also be broken down to two meetings with the NAG members.

Often the senior members of organisations that are represented in the NAG are very busy and may not be able to attend long meetings or workshops. Therefore it is a good idea to request those who join the NAG to appoint both a senior and junior representative from their organisation. This allows the key senior people to attend important sessions of meetings and delegate other responsibilities to their junior representatives. However, one key aspect in such a setup is for the BICA project team to ensure that the proceedings of the NAG meetings are communicated to the senior NAG members if/when they are absent (this will be done by the junior organisational representatives as well as through meeting notes) and that the junior representatives are empowered to make decisions on behalf of their organisation.

5.3. TAILOR THE RESEARCH ACTIVITIES

Prior to the submission of a research plan (as outlined in Chapter 2.4) the local conditions need to be understood and analysed against the overall purpose of conducting the BICA assessment (see Chapter 1.2) as well as its basic parameters (the budget and timeline).

First, it needs to be decided which *thematic areas* (for example, “Customs”) should be included in the assessment. The BICA assessment has nine thematic areas in total, out of which at least seven areas should be selected for assessment. If the project partner and the lead researcher see a need for additional thematic areas, they can add these in consultation with TI-S. This has to be done at the beginning of the research process, so that appropriate data collection methods for these additional indicators can be defined. Selected experts from the NAG should be consulted to obtain their views as well. Hence the first NAG kick-off workshop should be held prior to the beginning of the research phase so that any new themes that are country-relevant can be added to the existing thematic areas. Any new thematic areas to be included will need to be chosen from the nine already listed in the BICA framework.

Second, the *availability of data sources* needs to be assessed. In addition to a set of global and regional data sources (such as Transparency International’s National Integrity System reports or OECD country reports on the implementation of the OECD Anti-Bribery Convention⁹) – which may or may not include information on the country – national data sources may also be available (for example, country studies conducted by think tanks, donors, professional associations or companies). The researcher must consolidate these information sources in order to assess the validity of the initially assumed timeline and/or budget.

Third, if there is insufficient existing data, or in order to obtain additional information on certain thematic areas, *expert interviews* must be conducted (as outlined in Chapter 3). For this, the researcher must identify experts that are able to accurately describe the entire set of influencing factors and current status of certain thematic areas in the country. In order to identify such experts in the country, the researcher (ideally, in collaboration with other members of the NAG and the project partner) should undertake a preliminary stakeholder analysis and mapping. The aim of this initial analysis/map of key actors is to guide and focus

⁹ A list of the most common and relevant global/regional data sources applicable for BICA is provided in Conceptual Framework for a BICA assessment – Supplement #2: Indicators.

research planning, for example, by identifying where desk research would not provide enough information on certain thematic areas and so where additional interviews would be needed.

5.4. SUBMIT THE RESEARCH PLAN

Once key decisions regarding the adaptation of the research framework to the country context and the major data sources and stakeholders have been identified and mapped, a research plan must be submitted to TI-S. This should be submitted within two weeks of the kick-off workshop with the NAG, and should provide details on:

1. The adaptation of the assessment framework, the addition or deletion of thematic areas and, in the case of addition of a new thematic area, plans to develop indicators.
2. The results of the stakeholder analysis and mapping exercise, a map of key actors in the country and the relationships between them.
3. The data collection, and whether expert interviews or other data sources will be included as part of the data collection tools.
4. The data analysis and report write-up, who will draft the report and in which language; plans for translation into English/local language(s) should also be noted here.
5. The assessment execution, including the following:
 - a. List of NAG members
 - b. Details and tasks of any additional researchers to be recruited to assist the lead researcher
 - c. Research plan detailing plans for data collection, write-up and submission of draft of each thematic area (see Appendix VI: Sample Research Plan)
 - d. The core research phase and data collection process, as foreseen in the timeline above should be completed within three months. It is important to carefully plan the data collection (desk research, interviews and possible field tests) to adhere to the overall timeline. For this, it is advisable to indicate the sequence in which research for each thematic area will be conducted.
6. Changes to the initially established timeline (Chapter 1.3) and budget (Chapter 1.4).

6. CONDUCT THE RESEARCH

In order to conduct a BICA assessment, information for the **BICA indicators** and the **narrative report** needs to be collected. Since the assessment of the BICA thematic areas – via the BICA indicators – forms by far the most substantial part of the report, it is also the focus of the data collection efforts outlined in this chapter. The data collection process mainly involves two different methods, with an emphasis on **utilising existing data through desk research** (for example, existing legislation, policy papers and analyses of performance of the thematic areas). Existing data should be available for the previous 24 months before the start of the assessment process;¹⁰ information about earlier events might provide relevant historical background information. More detailed information for the specific data required for each indicator can be found in Conceptual Framework for a BICA assessment – Supplement #2: Indicators.

If such data is not available (or not representative, credible or outdated), **expert interviews** need to be conducted instead.

6.1. COLLECT DATA

The three main data collection methods are outlined here in brief (complemented by information on a participatory mapping exercise).

Desk research: A desk research and review of the relevant existing information forms the backbone of the data collection process, especially for the “Public Sector” stakeholder area.¹¹ The following types of documents are likely to be particularly relevant:

Legislation: The respective legislation regulating the environment in which companies do business is a key source and can often be found on the institution’s website.

Official documents: In addition to legislation, other official documents (for example, government white papers, policy statements, evaluations and strategies) usually provide information on the formal framework as well as the actual performance of the thematic area in question.

Secondary data: There is also a wide range of policy-oriented or academic reviews and assessments of the performance of thematic areas (for example, “Public Procurement”), which can yield relevant information. Apart from university libraries, it is advisable to use internet search engines and also to examine the online resources of think tanks, research organisations, international institutions, commercial service providers (for example, law firms, accounting and auditing companies) and other anti-corruption actors in the country for such data. This type of information will also provide the bulk of the information for the country profile, corruption profile and summary of anti-corruption activities, as outlined below in Chapter 5.1.

¹⁰ Project partners can adjust this time period, if there are reasons for using a slightly different time horizon, e.g. to make sure that the full time period since the last BICA assessment is covered. This needs to be indicated in the BICA report.

¹¹ Typically, there are less data sources available for the business sector than for the public sector.

Transparency in Corporate Reporting (TRAC) analysis: Collecting data for the thematic area “Business Sector – Transparency” requires desk research that follows TI’s TRAC methodology. The methodology for selecting companies, the underlying research process and scoring can be obtained from TI-S.

Expert interviews must be conducted for thematic areas where desk research or a TRAC analysis does not provide sufficient information. Since this necessarily involves subjective views and assessments, it is of utmost importance to get a balanced sample of interviews and for the researcher to reflect upon, filter and analyse the data received via the interviews. The number of interviews per thematic area is determined by the amount of relevant information and data retrieved through the desk research, as shown in the following table:

	Desk research found		
	a <i>sufficient</i> amount of relevant information on the thematic area	only a <i>limited</i> amount of relevant information on the thematic area	<i>no</i> information at all on the thematic area
Member of the NAG assigned as a mentor to the thematic area	1	1	1
Person(s) who worked for at least five years in a senior position within the thematic area (for example Public Procurement)	0 ¹²	1	2
External expert(s) (for example, an academic or staff member of a non-governmental organisation monitoring the activities of the thematic area)	0	1	2
Total expert interviews (min.):	<u>1</u>	<u>3</u>	<u>5</u>

When selecting expert for interviews concerning thematic areas in the *public sector*, it is typically feasible to identify subject matter experts on the relevant topic. This could include subject matter experts on public procurement, taxes, law enforcement, and so on.

Identifying experts for interviews concerning thematic areas in the *business sector* may be more challenging. Typically, the term “business sector” describes a variety of companies (sizes, ownership) and industries. Obviously, the researcher cannot speak to everyone in the business sector, nor are there typically individuals who have detailed expertise of all different facets of a country’s business sector. Therefore, the researcher should identify experts with detailed knowledge and experiences about groups within the “business sector” that represent the country’s business community the best. For example, a country may be dominated by a few industry sectors (for example, oil and gas and agriculture). In this case the researcher should seek to conduct interviews with these industry experts. Or a country may be mainly driven by small and medium-sized enterprises (covering a variety of industries). Other selection criteria could involve the level of public spending that a sector receives. Consequently, the researcher should identify experts accordingly. Thus the ground rule for selecting experts is that they possess knowledge and

¹² Optionally, expert interviews can also be conducted for thematic areas where sufficient information is available, but where additional opinions might provide further insight for the scoring.

experiences about groups that are best suited to represent the country's business sector composition. In countries where the business sector is diverse and expansive, the chapter may consider identifying some key sectors that are major contributors to the country's business sector to be studied under the BICA. Any such decision should be taken in consultation with the NAG and TI-S to ensure it does not compromise the objective of the BICA study.

One expert can provide information for more than one thematic area. If experts will not make themselves available for an interview after credible efforts have been made to secure one, the researcher should make note of this refusal in the report. Any relevant qualitative information and insights should be included in the country report. In conducting the expert interviews, make use of the interview guide provided by TI-S. TI-S will also provide a style guide for information on referencing interviews.

Stakeholder mapping: Desk research and expert interviews will serve to collect data about the performance of each thematic area with regards to the business integrity environment. However, the objective of a BICA assessment is not just to gain knowledge about each thematic area and visualise their current status, but also to provide SMART¹³ recommendations for further actions. Following expert interviews, an important next step of the research process is a one-day participatory mapping session aimed at:

- I. identifying the most important and influential actors (institutions and individuals) for the business integrity environment
- II. assessing their relative power/influence, and
- III. analysing the nature of relations between them.

This session, convened by the lead researcher with the support and assistance of the project partner, can involve anywhere from five to 15 participants (selected from among the NAG and other key experts). The key outputs of the session are a visual "map" illustrating key anti-corruption actors and relations among them, accompanied by a narrative description of the nature, dynamics and impacts of those relations. These outputs are intended to enrich the analysis of the BICA as a comprehensive assessment by shedding light on the interconnections among BICA thematic areas. They are also intended to assist in the eventual formulation of strategic actions by helping to pinpoint key actors and coalitions, the power relations between them and the forces that influence them. TI-S will provide a detailed description of the participatory mapping methodology and guidelines for preparing, conducting and documenting the session.

6.2. DOCUMENT DATA

Each BICA indicator is presented in an indicator sheet, which contains an overall *scoring question*, as well as further *assessment criteria* to facilitate the data collection and scoring. It is important to be aware that not every assessment criteria will be relevant to every country context and the researcher's judgment is necessary to select and answer those questions which contribute to a full analysis of the scoring question. Conceptual Framework for a BICA assessment – Supplement #2: Indicators contains indicator sheets for

¹³ Specific, Measurable, Achievable, Relevant and Time-bound.

the entire indicator set, which the researcher is requested to review thoroughly before embarking on the research.

For each indicator, the researcher should document the following points (either on the indicator sheets or in a separate document):

<i>Comment</i>	Any comments by the researcher on how s/he understood the scoring question and any other judgments made during the scoring.
<i>Text</i>	The information collected by the researcher on the respective scoring question via desk research, expert interviews, field tests and other data sources, which are used as a basis for the indicator score.
<i>Evidence</i>	References to all primary and secondary information sources used for the indicator.
<i>Causes</i>	For those indicators which are scored as relatively weak (for example, scores below 50), the researcher should indicate the potential causes of the situation.
<i>Recommendations</i>	For those indicators which are scored as relatively weak and therefore in need of improvement, the researcher should indicate potential recommendations for improvements.

It is recommended not to use these indicator sheets to document the data collection efforts. Instead, coherent but brief write-ups of qualitative information on each indicator should be drafted (a maximum of a page and a half each).

7. SCORE BICA INDICATORS

The BICA indicators offer a quantitative summary assessment of the researched data. It can be assumed that (especially after publication) individual scores will be challenged by external stakeholders; it is therefore crucial that the researcher thoroughly documents the collected data and the rationales for assigning scores.

7.1. ASSIGN SCORES

At the heart of the BICA assessment framework are the BICA indicators which translate the (largely) qualitative information into a quantitative score (on a five-point scale with the options 0, 25, 50, 75 and 100). Each indicator has an overall “scoring question” and more specific assessment criteria which the researcher needs to collect evidence on. Once the evidence has been collected, the researcher should use the guidance below to assign a quantitative score.

Indicator	Qualitative judgement	Visualisation
0	The scoring question is answered with “No, not at all”. The evidence collected for the assessment criteria indicates that there are requirements are not met at all.	Red
25	The scoring question is answered with “To a limited extent”. The evidence collected for the assessment criteria indicates that few of the requirements are met or that many requirements are met to a limited extent.	Red-Yellow
50	The scoring question is answered with “To some extent”. The evidence collected for the assessment criteria indicates that roughly half of the requirements are met or that most requirements are met to some extent.	Yellow
75	The scoring question is answered with “Largely”. The evidence collected for the assessment criteria indicates that many of the requirements are met or most requirements are met to a large extent.	Yellow-Green
100	The scoring question is answered with “Yes, fully”. The evidence collected for the assessment criteria indicates that (almost) all of the requirements are met.	Green

In order to facilitate communication, the results will be visualised through common and easily understood “traffic light” symbols. These will increase understanding of the results among the wider public.

Individual indicator result per thematic area will be aggregated to an overall thematic area result (for example, “Criminalisation of major forms of corruption”), using a simple average calculation. Thus, each indicator within a thematic area will be treated equally. Again, the overall thematic area will be expressed through a “traffic light” symbol.

It is important that the different thematic areas are not given an overall stakeholder score (for example, “Public Sector”) or even one overall BICA score, since the different thematic areas measure distinct aspects which are driven by different causes and have different meanings within countries. Therefore, an

aggregation into an overall score for the stakeholder group should be avoided as it could be inaccurate and misleading.

7.2. VALIDATE SCORES

A validation meeting among selected members of the NAG (mentors), the researcher and the BICA coordinator of the project partner needs to be held after the scores have been assigned by the researcher. Whether this is conducted as a one-day validation meeting with all NAG mentors or as individual phone conferences per thematic area, the objective is to review and comment on the initial scores. If the NAG mentors do not agree on a specific score, they can request either

- a) a justification (ask the researcher to provide further evidence so that the qualitative information aligns with the quantitative score), or
- b) a change in the score by the researcher.

The NAG decides on these requests via majority vote, if necessary. The outcomes of the meeting should be recorded in a supplementary document.

The researcher then reworks the indicator scores and adjusts the documentation accordingly. Afterwards, TI-S reviews the scores to check whether, from an outsider's perspective, the respective score matches the qualitative information presented in the report. Where a disagreement arises between the researcher, the project partner, NAG or TI-S, the final decision about the score is made by the project partner, in consultation with TI-S and the researcher.

7.3. AGGREGATE SCORES

The final scores for each indicator are then aggregated to thematic area scores. There is no weighting of individual scores within a thematic area (a simple average calculation is used). As outlined in Conceptual Framework for a BICA assessment – Supplement #2: Indicators, thematic area scores will not be aggregated to an overall stakeholder score (for example, "Public Sector") or even one overall BICA score.

8. CONSOLIDATE FINDINGS INTO BICA ASSESSMENT REPORT

After the actual research and scoring, the information collected needs to be consolidated in the first comprehensive draft report by the researcher; it will then be reviewed by the project partner and TI-S.

8.1. WRITE THE DRAFT REPORT

The relevant information assembled during the data collection phase needs to be consolidated in the BICA Assessment Report. This report is made up of five components. We suggest that the report be broken into separate parts and links provided on the TI chapter website to the different sections as separate documents in addition to the overall report.

- I. **Introduction**, including acknowledgements and information about the BICA assessment, plus an executive summary with key recommendations;
- II. **Narratives**, including the country's economic and business-sector related situation, the country's corruption profile as well as anti-corruption activities and stakeholders;
- III. **BICA assessment**, providing a summary narrative of the findings for each stakeholder group;
- IV. **Recommendations** for stakeholder (groups); and
- V. **Bibliography**.

In order to draft the BICA Assessment Report, the researcher must use the following outline:

Annotated outline – BICA Assessment Report

I.1 Introductory information

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

Provide acknowledgements (including of donors where applicable) and the list of NAG members and interviewees.¹⁴

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

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

I.2 About the BICA assessment

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

This brief section (750 words) should describe the specific methodology and approach used by the BICA assessment. TI-S will provide a standardised template to adapt according to the specific activities undertaken by the project partner as part of the BICA assessment.

I.3 Executive Summary

The Executive Summary (max. 2,000 words) should provide a clear, succinct narrative summary of the assessment's findings as well as a quantitative summary (visualisation/infographic of stakeholder groups and thematic areas). The executive summary should not quote word for word from the main report, but should draw on its main conclusions.

Drawing on the results of the BICA Review workshop (step 6), it should also include a set of priorities and recommendations which should give an overview of the priority areas, issues or activities where further progress is most urgently needed, and where real opportunities for reform exist. These recommendations should be separated into short-term and medium-term recommendations so that it is clear which ones are more urgent and need prioritisation. It should also outline where emphasis should be placed in future and what factors are required to support the development of a functioning business integrity system and the effectiveness of the various thematic areas. This could include areas or activities that require attention (policy reform, training, and so on) in the short- or medium-term, and the stakeholders who would need to take responsibility. It could extend to areas where donor support, cooperation and coordination may be relevant. Priorities may also include further research/investigation, either into particular types of corruption or of best practice in combating corruption.¹⁵

II.1. Country context¹⁶

A brief description of the country's economic situation (2,000 words) gives context to the country's strength and weaknesses. Information may include the following:

- Current political situation
- Unemployment rate (including development over time) and other labour market information
- Gross domestic product – total, per capita, growth, development over time
- Foreign-direct investment (including development over time)
- Current economic reforms
- Natural resources (if any)
- Relationship between imports and exports
- Protectionism
- Tax system
- Informal economy
- Technological readiness
- Privatisation efforts

II.2. Business sector composition

¹⁵ Alternatively, this section could end with a minimum of three succinct, bulleted recommendations for each stakeholder group (public sector, business sector, civil society), which should be phrased such that they are actionable and that it will be possible to verify any progress made in future.

¹⁶ For example: Country/Economy profiles of The Global Competitiveness Report 2013-2014 by the World Economic Forum.

In addition to the narrative of the country's economic situation, a brief description of the country's business sector composition (1,000 words) will further increase the understanding of the country's unique position in terms of implementing activities or encountering obstacles to change. The information may include the following:

- Dominant industries
- Relationship between multinational and national enterprises
- Share of small and medium-sized enterprises
- Role of state-owned enterprises

II.2. Corruption profile

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

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

- causes, including tradition, culture or ethnic development (for example, patronage, clientelism, regional ethnicity)
- the nature of political structures and party politics
- the propensity for corruption in the dominant business sectors
- money laundering
- the usage of intermediaries (for example, for public services)
- types of corruption (grand or petty)
- major corruption cases involving the business sector (last 24 months)
- relevant corruption-related data (for example, Corruption Perceptions Index, Bribe Payers Index, Global Corruption Barometer, World Bank Governance Indicators, International Country Risk Guide Governance Data, Global Integrity Report)
- ratified international conventions (for example, United Nations Convention against Corruption, OECD)
- participation in voluntary initiatives (for example, Extractive Industries Transparency Initiative)

II.3. Business integrity activities¹⁷

The section on business integrity activities (1,500 words) is an opportunity to discuss positive efforts that have been made by key stakeholders in the country with regards to promoting business integrity. It should provide an overview of business sector-related integrity reforms. As far as possible, the author should also identify key business integrity actors (for example, non-governmental organisations and business associations) and the relations between them, and should examine what has driven reform and action in the anti-corruption field.

When applicable, a brief overview of donor anti-corruption initiatives with regards to the business sector over the last five years should be provided. Mention should be made of which bilateral and multilateral donor agencies are based in the country and what types of anti-corruption initiatives they have supported.

¹⁷ The BICA assessment framework includes thematic areas for a country's civil society stakeholder group. These thematic areas are not part of the core indicators that must be assessed during a BICA assessment. If the project partner does not include these thematic areas as part of their assessment, information on the role of civil society in the country's business integrity system should be shown here.

III. BICA assessment

This section forms the core of the BICA assessment. Information for each stakeholder group should be given according to the following structure:

- *A visualisation capturing the thematic areas and the indicator scores within each stakeholder group*
- *Followed by a narrative of the strengths and weaknesses of each stakeholder group that is based on summaries of the findings from different indicators under the thematic areas assessed for each stakeholder group (refer to Mozambique BICA assessment report, pp. 62–75)*
- *A half page narrative for each indicator within the thematic area should be developed as an annex. This annex will not be part of the printed report but can be in the form of a link available to interested people on the website of the Transparency International chapter. The narrative is compiled from the indicator sheets (or other researcher’s documents) which were used to collect the data. Each narrative begins with a table providing the indicator scores, followed by a succinct one-paragraph summary overview of the thematic area’s key features, relevance and performance. The next subsection briefly describes the major findings for each indicator. The indicator names and scoring question should be used as headings to structure these subsections. Each indicator assessment should comprise no more than 250 words, including an analysis of the reasons for any potential discrepancies between the formal rules/positions (“on paper”) and the practices on the ground (“in practice”).*

IV. Recommendations

This brief section (a maximum of 1,500 words) should present the thematic areas that are the most likely triggers for change (as identified by the research and the NAG review workshop). The recommendations should be divided into “short-term” and “long-term” recommendations with the short-term ones being more actionable. These recommendations should be phrased such that they are actionable and such that it will be possible to verify any progress made in the future. Where possible, recommendations should be targeted directly at specific stakeholders within the stakeholder groups. These key recommendations must also be included in the executive summary.

V. Bibliography

A list of full citations for all references and sources cited in the report should be provided. The reference list can be divided according to reference type (books, newspapers and periodicals, and laws). TI-S will provide information regarding style and formatting notes.

When drafting the report, the author is asked to use a “scientific journalism style”, presenting valid analysis and arguments about technical matters in a language that is accessible to non-experts. The following guidelines should be also taken into account:

- Use clear and concise language
- Avoid highly technical terms/language
- Substantiate any assertion with references, using footnotes as per the style guide provided by TI-S. All cited references will appear in full in the bibliography.

- When citing interviews, it is best practice to agree in advance with the interviewee the title you will use (for example, District Court Judge or Senior Official Department of Justice) when making any reference to the interview in the report. In cases where an interviewee wishes to remain anonymous, citations should give relevant information about the interviewee, the place and date of the interview. The absence of names should be explained in the bibliography, but is not necessary in the footnote.

Example 1 – Footnote reference to anonymous interview: Interview of District Court Judge with Author, Colombo, December 8, 2009.

Example 2 – Bibliography reference to anonymous interview: District Court Judge 2009. Interview with Author. Colombo, December 8. Name withheld by request.

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

Throughout the report drafting stage, TI-S will be available to provide input on the drafts of specific narratives and thematic areas of the report. ***It is particularly important that the first thematic area draft is sent to TI-S for review and feedback at the earliest possible stage (and not just a final version at the end), to facilitate easier drafting and the review of subsequent sections.***

Writing the first comprehensive BICA Assessment Report (draft) should not take longer than four weeks.

8.2. REVIEW THE DRAFT REPORT

After writing the first comprehensive BICA Assessment Report (draft), the document will be handed over to the project partner and TI-S. Relevant sections (for example, thematic areas) may also be separated and distributed to the identified mentors of the NAG. This review should not take longer than three weeks. It is recommended that the Transparency International team and the researcher conduct a meeting/phone conference to discuss the feedback from Transparency International (and the NAG mentors).

8.3. REVIEW AND UPDATE THE DRAFT REPORT

Based on the feedback provided by the project partner and TI-S, the researcher should adopt the report and hand it over to the project partner for submission to the NAG. This should not take longer than one to two week(s).

9. REVIEW BICA ASSESSMENT REPORT

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

9.1. PROVIDE FEEDBACK ON DRAFT REPORT

After the internal review of the draft BICA Assessment Report and the subsequent adoptions by the researcher, the report needs to be sent to all members of the NAG for their review. This review should not take longer than three to four weeks.

9.2. PREPARE A NAG WORKSHOP

While the NAG is reviewing the report, the project partner must prepare the NAG workshop, where the feedback from the NAG will be discussed and strategic recommendations for the long-term reform agenda will be identified.

Ideally, the workshop should run for two days to ensure enough time for detailed discussions among all participants, building sufficient interest and momentum among stakeholders.¹⁸ The first day may be devoted to discussing the findings of the assessment, whereas the second day may focus on the identification of strategic recommendations.

Some useful administrative points for considerations are:

- Decide dates and venue early on (for example during kick-off workshop (Chapter 2.2); send a “Save-the-date” email to participants¹⁹)
- Establish list of invitees and send out official and detailed invitation (including an agenda) at least six weeks beforehand
- Make sure key stakeholders are able and willing to attend the workshop
- Submit draft BICA Assessment Report to invitees approximately four weeks before the actual review meeting (see above)
- Agree on facilitator(s) and on roles for researcher, project partner and NAG members

¹⁸ In some contexts it may not be possible for high level members of the NAG to attend a two-day meeting due to really busy schedules. In such cases, the local Transparency International chapter should ensure that senior representatives of the organisations that are part of the NAG attend the key session(s) of the workshop and a mid-level person from the organisation attends the rest of the sessions. It is, however, key that the organisations participating in the NAG provide their full support to the BICA research process and the Transparency International chapter must ensure that the junior members from the representing organisations are able to make decisions on behalf of the organisation they represent when needed.

¹⁹ The researcher must participate in the NAG review workshop as well.

- Put together an information package (including a brief outline of BICA objectives and approach, draft agenda, list of attendees, information on the project partner) and share with confirmed attendees
- Hold planning meeting among workshop organisers to agree on division of roles and workshop agenda. Appendix VII: Draft NAG review workshop agenda contains an example for a workshop agenda, which you are encouraged to draw upon.

In order to get the most of these important two days, the project partner should conduct certain preparatory activities. It is recommended that these activities are conducted in the context of a one-day internal meeting involving project partner staff, the BICA researcher(s), and selected members of the NAG.

- **Identify key stakeholders**
- **Analyse issues of political will**
- **Assess the capacities of the project partner**

While at this point the final strategic recommendations have not been defined yet (this is part of the NAG workshop – see next chapter), conducting these preparatory activities is seen as useful to simulate and prepare for the discussions during the upcoming workshop.

Identify key stakeholders

Based on the preliminary findings of the BICA assessment, a simple stakeholder analysis²⁰ to identify allies and opponents given potential strategic recommendations should be conducted by:

- 1) brainstorming a list of stakeholders (the people or groups affected by the objective/issue or who can influence the outcome),²¹ and
- 2) assessing each stakeholder against three basic questions:
 - i) Is the stakeholder for or against the identified objective, or are they neutral? (Rank them as *Strongly For*, *For*, *Neutral*, *Against* or *Strongly Against*).
 - ii) How much importance does the stakeholder accord to the identified objective/issue? (Rank this as *High*, *Medium* or *Low*).
 - iii) How influential, compared to others, is the stakeholder over the targeted decision-maker? (Categorise them as *Allies*, *Opponents* or *Neutrals* and rank their level of influence as *High*, *Medium* or *Low*).

Placing each of the stakeholders in an analysis grid (as outlined below) provides a quick visual picture of who the priority stakeholders and who the most important allies and opponents are.

20 See World Bank (2004), *Operationalising Political Analysis: the Expected Utility Stakeholder Model and Governance Reforms*, World Bank PremNotes, No. 95, online at www1.worldbank.org/prem/PREMNotes/premnote95.pdf.

21 Stakeholders may include pro-government politicians, opposition politicians, ministers, judges, lawyers, prosecutors, police, government auditors, anti-corruption commissioners, journalists, business leaders, industry associations, voters, international donors, civil society organisations, trade unions, faith groups, etc.

Sample Stakeholder Analysis Matrix

Once identified, we need to place the different stakeholders in this matrix

Influence of the stakeholder over the decision maker	High	↑Stakeholder		↓Stakeholder	→Stakeholder	
	Medium	↑Stakeholder		↓Stakeholder	→Stakeholder	
	Low	↓Stakeholder	→Stakeholder	→Stakeholder	↓Stakeholder	↑Stakeholder ↑Stakeholder
		Very Anti	Anti	Neutral	Pro	Very Pro

Importance of the issue to the stakeholder

↑High
→Medium
↓Low

Attitude of the stakeholder to your position

19

Analyse issues of political will

Once the key stakeholders have been identified, an approach on how to influence (persuade, enable and pressure) targeted key actors should be thought through. If power-holders want to address the issue of business integrity (or are already pressured by external forces, such as institutional investors or multinational companies) and are simply waiting for someone to advise them on how best to do it, the task is relatively easy. Such a scenario, however, is very uncommon. Public authorities and policy makers may have other priorities, may not recognise that there is a problem, or may even have a vested interest in maintaining the status quo. In these cases, analysing the principal reasons for resistance and formulating strategies to influence and nurture political will are required.

TI-S provides a detailed methodology for analysing issues of political will (with regard to each targeted key actor) and formulating strategies and actions that take into account key influencing factors at the individual, institutional, relational and societal level. This analysis is critical to the process of action-planning as it provides a methodology for understanding reasons for “political won’t” and identifying strategic actions to generate and nurture “political will”.

Assess the capacities of the project partner

A realistic assessment of the organisational and operational capacities of the project partner and the resources at its disposal is also important in determining what type and scale of strategies and actions the project partner is capable of taking on itself and/or supporting. Many methods and tools exist for the assessment and development of organisational capacities and the project partner may well have already conducted such as assessment.

If this is not the case, then a first step towards assessing the organisational capacity of the project partner can simply be to draft a list of all the resources at its disposal. Resources can include funds, people (staff, members, partners, allies) and their skills, and the reputation and influencing power of the project partner and its representatives. It may also prove useful to conduct a simple SWOT (Strengths, Weaknesses, Opportunities and

Threats) analysis.²² To do so, list all the relevant factors under each heading and rank them in order of significance. The project partner will then need to consider how best to utilise its strengths and counteract its weaknesses – for example, by working in partnership with others and making the most of networks, coalitions and allies.

9.3. CONDUCT THE NAG WORKSHOP

The two-day NAG workshop should have the following three major objectives and must be seen as a crucial element not only for the BICA Stage 1 (Assessment), but also for Stage 2 (Collective Action):

- Review and discuss the findings of the BICA assessment; the review meeting can also be broken down by stakeholder group with multiple shorter NAG meetings to discuss the findings of each stakeholder group.
- Identify and prioritise strategic recommendations for anti-corruption policy and advocacy (and – if time permits – operational activities).
- Build momentum among the anti-corruption community to put these activities into practice.

However, the extent to which stakeholders are willing and able to embark upon setting such an agenda for the future is likely to vary from country to country. The project partner must therefore use its own judgement as to how far they would like to go in building “action planning” into the workshop design. It is important to design the structure and processes of the workshop in such a way that it is most conducive to the specific workshop objectives set out by the project partner.

There are a large number of tools available for such multi-stakeholder assessment workshops, such as visioning/scenario-building, SWOT analysis, stakeholder analysis, brainstorming with cards, force field analysis, search conferences, or appreciative inquiry, which the organisers are encouraged to draw on.²³

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

It is advisable not to over-run the sessions at the beginning, while at the same time allowing for sufficient time for the group can reach a broad consensus on the overall accuracy of the assessment’s findings. This is important so that the entire group is willing to use the assessment as a starting-point for the identification of strategic recommendations (a reform agenda). Thus, the workshop should not be allowed to question individual indicator scores, but rather to indicate any disagreement with the overall assessment of a thematic area.

When asking a diverse group to come up with recommendations, often a mere “wish-list” is being produced, without much detail and without considering whether the points can be achieved or which ones should be prioritised. Carrying out a “prioritisation exercise” can help to deal with these challenges:

- Focus on the recommendations which are attainable.
- Once an initial list has been compiled by participants, ask them to rank them according to priority.

²² www.mindtools.com/swot.html

²³ See the following useful websites, which contain further information on these tools:
<http://portals.wi.wur.nl/mspl/>,
www.mycoted.com/Category:Creativity_Techniques, www.ifad.org/evaluation/guide/annexd/index.htm,
www.viwtb.be/content/en/new_Manual_for_Participation.cfm, www.odi.org.uk/RAPID/.

- Given the limited time available at the workshop, do not seek to develop a fully-fledged action plan for each recommendation.
- Make use of the workshop to prioritise and build momentum among stakeholders for key follow-up activities.

It is therefore recommended to use the template table below to list, discuss and prioritise the most pertinent recommendations emerging from the workshop.

Table: Priority Actions (example)

Goal	Strategic options*	Constraints	Solutions	Feasibility Rating	Key Actors	Rank
Introduction of beneficial ownership legislation	A. Run public campaign	High costs	Pro-bono work by media	Medium	Media, advertising agencies, high-profile "ambassador"	1
	B. Lobby parliamentary working group	No natural allies in parliament	Get support from business sector stakeholders (for example, banks, accountants)	High	Parliament, political parties, government, public sector union	
						2

*The strategic options are not necessarily mutually exclusive.

Legend:

Goal: Clearly state the specific goal of the action.

Strategic options: What are possible strategies for achieving the goal? In some cases, of course, there might only be one feasible strategy available.

Constraints: For each option, identify the key constraints for achieving the goal. In other words, what or who will get in the way of achieving the goal? There will typically be institutional, financial, technical, environmental or political hurdles which have to be overcome.

Solutions: For each constraint, try to identify potential solutions on how to overcome the constraints.

Feasibility: For each option, rate the feasibility of using this option successfully to achieve the goal.

Actors: For each option, identify the key actors required for achieving the goal.

Rank:

What is the rank priority of the specific action among the complete list of identified actions?

9.4. FOLLOW UP ON THE WORKSHOP

After the NAG review workshop, the project partner should conduct the following follow-up activities:

- Send thank you notes to the participants (directly after the workshop).
- Update the BICA Assessment Report with workshop outcomes (in particular, writing section IV of the report, “Recommendations”) – this can also be done by the researcher.
- Share the recommendations and workshop minutes with participants.²⁴

²⁴ The final draft version of the BICA Assessment report should not be distributed at this time, as it still needs to undergo additional reviews (see Chapter 7).

10. PUBLISH BICA ASSESSMENT REPORT

Once the discussions and outcomes of the NAG review workshop have been added to the BICA Assessment Report, the report is ready to be reviewed, and then edited, designed and launched.

10.1. CONDUCT EXPERT REVIEW

In preparation for the final sign-off, the report will be reviewed by an external reviewer. As outlined in step 1.8, this person should be a country expert with a particular expertise in the business-related context of the country, providing an informed outsider perspective. This expert review should take no longer than two days for reading, reviewing the text and providing a short report detailing any errors or misrepresentations, checking for consistency, and confirming that the analysis is supported by sufficient evidence or highlighting areas of controversy that require further evidence. This needs to be reviewed and approved by the project partner and TI-S.

It is also recommended that the recommendations should be reviewed by the NAG to ensure that they adequately reflect the discussions at the NAG review workshop and focus on the strategically important policy areas.

10.2. DESIGN BICA ASSESSMENT REPORT

It is advisable to write the report in a normal Word document first and insert the content into a design template when a final draft has been produced. The BICA assessment report is the key product of the BICA research process and therefore it is very important that it is a well-designed and visually appealing. The project partner should make use of a graphic designer who can assist in the production of a high-quality, well-visualised report.

10.3. SIGN-OFF ON THE FINAL REPORT

After the transfer of the working document into the final layout format, the project partner and TI-S need to conduct the final review (mainly to identify formatting issues and footnote errors) and sign-off.

10.4. LAUNCH REPORT

The date, venue and format of the launch event for the BICA Assessment Report should be decided so that its impact on the anti-corruption community is maximised. For example, it could be decided to have the launch coincide with the international anti-corruption day (December 9) or another date that ensures significant public interest.

A media advisory should be issued before the launch as well as, potentially, a press release after. In addition, the project partner should consider giving the BICA Assessment Report a punchy title, indicative of the main findings.

In addition to publishing the BICA Assessment Report, it is highly recommended to utilise the vast amount of information compiled through the BICA assessment and the interest generated by various stakeholders by developing supplementary publications, such as brief policy papers on the top recommendations derived from the BICA assessment. Such policy papers are often more successful in making an impact on policy, since they provide short, succinct information and analysis, which is more likely to be noticed by policy-makers than comprehensive reports.

10.5. PROMOTE THE REPORT

The project partner as well as TI-S should promote the report through various media channels, including social media. This should include also business-relevant sources, such as the Business Anti-Corruption Portal (www.business-anti-corruption-portal.com/).

In addition, all other stakeholders that have participated in the assessment exercise (for example, the researcher, the members of the NAG and the expert reviewer) are encouraged to promote the report as well.

11. TRANSFORM THE RECOMMENDATIONS INTO AN OPERATIONAL REFORM AGENDA

The BICA project consists of two stages: Stage 1 (Assessment), but also Stage 2 (Collective Action). The aim of step 8 of the BICA Assessment process is to transition from Stage 1 to Stage 2. Experience shows that one of the principal weaknesses of such assessments is the failure to translate findings into concrete strategies and operational actions for change. Therefore, a last and critical step in the assessment process is to transform the strategic recommendations resulting from the BICA assessment into an operational reform agenda. This reform agenda will then provide the basis for collective action (BICA Stage 2) to be carried out over the following years or until the envisaged reforms are realised.

In order to successfully implement the reform agenda in the medium- to long-term, it is critical that it is shared and owned by relevant stakeholders from the start that have the capacity, political weight and influencing power to promote change in the country's anti-corruption and business environment. Hence, the composition of the stakeholder group that defines and subsequently supports the implementation of the reform agenda is of crucial importance. The project partner should envisage keeping relevant members of the NAG engaged who have demonstrated a strong sense of ownership of and support for the project. Some of the experts interviewed during the BICA assessment may also qualify as partners for the operationalisation of the reform agenda and its implementation.

The BICA assessment evaluated the current state of business integrity in the country. This assessment laid the foundation for the NAG workshop and the final BICA Assessment Report, including a set of strategic recommendations to key stakeholder groups. Therefore, these recommendations and stakeholders form the starting point for establishing an operational reform agenda. The strategic recommendations identified may have been described as aspirational targets; sometimes they are too broad/general or do not adequately identify the specific root causes or issues linked to an observed problem. In this case, a **supplementary situation or problem analysis** may be necessary. In such a case, a method such as Problem Tree Analysis²⁵ or problem-driven frameworks in political economy analysis²⁶ can be used to help break down a complex problem or issue and map out its more specific causes and effects.

Afterwards, the strategic recommendations need to be broken down into various **activities**. These activities should be SMART.

It is now up to the project partner and the identified group of stakeholders to formulate a concrete plan of action (including, for each agreed action, who will be responsible, who will be involved, within what timeframe the action will take place, and the necessary budget allocation). For many project partners, advocacy and communication activities are an important part of their action plan. TI-S provides further guidance with regard to the planning and implementation of such activities.

²⁵ www.odi.org.uk/RAPID/Tools/Toolkits/Communication/Problem_tree.html

²⁶ For example: Overseas Development Institute, Applied political economy analysis: A problem-driven framework, 2013; or The International Bank for Reconstruction and Development/The World Bank, Problem-driven Governance and Political Economy Analysis: Good Practice Framework, 2009.

The outcomes of the already conducted “political will” analysis (Chapter 6.2) may indicate the need for multi-dimensional strategies aimed at addressing different levels of issues related to the same objective or simultaneously addressing different aspects of political will (political want, can and must). As a result, the analysis often points to the need for strategic partnerships, coalitions and joint (or coordinated) action. Therefore, in addition to outlining (formal and informal) actions to be undertaken by the project partner itself, the action plan should also suggest ways in which the project partner can partner/coordinate with allies or encourage/support/contribute to the actions of others. (It is at the discretion of the project partner to decide whether aspects of the agreed action plan are made public or maintained as an internal working document. In any case, the action plan should be shared with TI-S.)

It is strongly recommended that the transformation of the strategic recommendations into an operational reform agenda should be performed immediately after the publication of the report or as part of the public launch event of the report. If this is not feasible, and in order to retain the momentum from the publication of the report, it is recommended to operationalise and present the reform agenda at a public event within six months of the launch of the BICA Assessment report, and the earlier the better.

Finally, whatever activities are undertaken, it is important that they are monitored, the outcomes are evaluated and plans are adjusted accordingly. The purpose of monitoring actions and evaluating their effectiveness is to better steer the work being done. An evaluation of outcomes and impacts can also serve to identify lessons (what has/has not worked well) and to help the project partner to be more effective in its next activity. Finally, both monitoring and evaluation allow the project partner to be accountable to their boards, executive directors, funders, colleagues, partners and the general public affected by corruption.

Nevertheless, anti-corruption work is complex, with potentially long and unpredictable timescales. Decision-making processes are often hidden and affected by many unknown factors. The main challenges of monitoring actions and evaluating outcomes are the cost and difficulties of gathering objective data and the difficulty of identifying whether it was the actions of the national chapter that led to observed improvements or change.

Monitoring can be defined as “a continual process of gathering data”. This can be as easy as clipping newspaper articles or using a survey to capture how the target audience has understood the project partner’s message. Monitoring, on monthly or weekly basis, should indicate:

What you are doing

What else is happening

How the targets are reacting

How the primary stakeholders (members of the general public) are being affected

What change (positive or negative) can be detected

Evaluation is a periodic process of reviewing monitoring data and drawing conclusions from it. It may also involve conducting surveys, group assessments or other forms of analysis to identify and measure outcomes and impact. Whether on a quarterly or annual basis, evaluation is used to inform and modify current action plans, so it should not be left to the end of the project.

One basic recommendation in monitoring and evaluation is to keep it simple, and gather only as much data as you need. Monitoring and evaluation should focus on the predetermined objectives of the action plan,

which ideally should be SMART. To monitor and evaluate the outcomes and impact of the BICA assessment, the project partner must keep good records of inputs (time and money used) and outputs (workshops, press conferences, advocacy activities and other actions undertaken). Monitoring the responses and actions of audiences and targets provides valuable information on whether the advocacy is successful. Involving partners and members of the public affected by corruption can be important in determining the impact.

12.APPENDIX I: PURPOSE STATEMENT FOR BICA ASSESSMENT (EXAMPLE)

Country	<Example>			
Organisation	<Transparency International Example>			
Coordinator	<Ms. Marie Cruz>			
Primary objective of BICA assessment	<ul style="list-style-type: none"> To influence the government's business-sector related anti-corruption policy with regards to anti-corruption ethics and compliance programmes, which is expected to be drafted in the next year as part of a new corporate liability act 			
Secondary objectives	<ul style="list-style-type: none"> A baseline on the performance of the anti-corruption system in the country An advocacy strategy based on priority areas identified Build the public profile of Transparency International Example Identify partners for advocacy activities Provide inputs into Transparency International example's new strategic plan 			
Risks for achieving objectives	Risk	Likelihood	Impact	Mitigation activities
	Government will not participate in BICA assessment	Medium	Undermine consultative approach of BICA Reduce legitimacy of findings Reduce overall impact as government more likely to dismiss report	Early and high-level approach by Board of Transparency International Example to senior government officials to secure their participation in the BICA assessment process
	Difficulties in finding a suitable researcher	High	Reduce quality of report	Two academics who serve on Transparency International Example Board will be asked to headhunt for a suitable researcher
	Key informants will not be available for interviews	High	Reduce quality of report	Transparency International Example will secure a letter of support from senior government officials and business associations, which will encourage staff to make themselves available for interviews

Comments	<p><i>The BICA assessment is being conducted at a crucial time for Transparency International Example and the entire country (for example, decreasing Foreign Direct Investments, increasing pressure from investors). The new government has dedicated itself to the fight against corruption and is aiming to start the development of a comprehensive anti-corruption strategy, including for the business sector. The results of the BICA assessment and the momentum generated by the multi-stakeholder process can be used to influence the anti-corruption strategy so that it reflects the key recommendations of the entire anti-corruption community. In addition, the BICA assessment will be extremely useful for our own strategic planning, partnership-building and public profile-raising activities.</i></p>
-----------------	---

13.APPENDIX II: INDICATIVE EFFORT ESTIMATION FOR A BICA RESEARCHER

Contingency factor:	5%
Number of h per day:	8

Step	Activities	In-scope / out-of-scope	Units	Effort in h per unit	Effort in h total	Effort in days	Effort in days (with contingency)
1.1	Sign a Memorandum of Understanding / grant agr.	Out-of-scope			0	0	0,0
1.2	Define the assessment purpose	Out-of-scope			0	0	0,0
1.3	Establish a timeline	Out-of-scope			0	0	0,0
1.4	Draft a budget	Out-of-scope			0	0	0,0
1.5	Plan Human Resources for project partner	Out-of-scope			0	0	0,0
1.6	Recruit BICA researcher	Out-of-scope			0	0	0,0
1.7	Establish a National Advisory Group	Out-of-scope			0	0	0,0
1.8	Appoint an external reviewer	Out-of-scope			0	0	0,0
2.1	Attend TI-S training workshop	Out-of-scope	1	24	24	3	3,2
2.2	Conduct kick-off workshop with NAG	In-scope	1	12	12	1,5	1,6
2.3	Tailor the research activities	In-scope	1	16	16	2	2,1
2.4	Submit the research plan	Out-of-scope	1	8	8	1	1,1
3	Research, assess, document (categories with low complexity)	In-scope	2	12	24	3	3,2
	Research, assess, document (categories with medium complexity)	In-scope	7	23	161	20,125	21,1
	Research, assess, document (categories with high complexity)	In-scope	3	28	84	10,5	11,0
4.1	Assign scores	In-scope	0	0	0	0	0,0
4.2	Validate scores	In-scope	12	2	24	3	3,2
4.3	Aggregate scores	In-scope	1	4	4	0,5	0,5
5.1	Write the draft report	In-scope	1	40	40	5	5,3
5.2	Review the draft report	Out-of-scope					0,0
5.3	Adopt the draft report	In-scope	1	24	24	3	3,2
6.1	Provide feedback on draft report	Out-of-scope			0	0	0,0
6.2	Prepare a NAG workshop	In-scope	1	32	32	4	4,2
6.3	Conduct the NAG workshop	In-scope	1	8	8	1	1,1
6.4	Follow up on the workshop	In-scope	1	12	12	1,5	1,6
7.1	Conduct expert review	Out-of-scope			0	0	0,0
7.2	Design BICA Assessment Report	Out-of-scope			0	0	0,0
7.3	Sign off on final report	In-scope	1	4	4	0,5	0,5
7.4	Launch report	Out-of-scope			0	0	0,0
7.5	Promote report	Out-of-scope			0	0	0,0
8	Transform recommendations into an operational reform agenda	Out-of-scope			0	0	0,0
							62,6

14.APPENDIX IIIA: MAJOR TASKS OF RESEARCHER

- Prepare for and attend the assessment kick-off workshop in Berlin (tbd)
- Support preparation and participate in kick-off workshop with NAG
- Support decision on local adaptations
- Research, assess and document the assessment for all indicators of the BICA Assessment Framework within the agreed timeline and based on the standards laid out in the Conceptual Framework for a BICA assessment
- Conduct expert interviews per indicator if data is not available
- Interact with Transparency International's national chapter as well as members of the NAG (mentors) on the various thematic areas regarding data collection, scoring and verification
- Participate in monthly progress calls with BICA project team (from Transparency International's national chapter as well as TI-S)
- Write draft BICA Assessment Report
- Support preparation and participate in at least one major review meeting with the National Advisory Group
- Revise draft BICA assessment report based on feedback from national chapter, NAG and TI-S
- Contribute to promotional events surrounding the launch of the BICA report
- Participate in subsequent internal strategising and action planning workshop (optional)

The overall research, writing and review process should not exceed 12 months.

15.APPENDIX IIIB: RECRUITMENT PRINCIPLES FOR SELECTING A BICA LEAD RESEARCHER

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

- Competitive bidding – the selection process should be open, transparent and competitive. The researcher Terms of Reference should be made publicly and widely available, for a sufficient period of time, and the final decision should be based on best value for money.
- No conflicts of interest – any potential or real conflicts of interest should be avoided at all costs. The position involves a substantial amount of remuneration, as well as a high level of prestige associated with the final publication. It is essential to conduct the dealings at arm's length.
- Due diligence – ideally, the selection panel should involve several individuals with appropriate background to make an informed decision. The shortlisted candidates should be interviewed. Prior work samples and references should be sought and checked. A discussion with TI-S on the final shortlist should take place.
- Consultation with TI-S – the applications of at least three shortlisted candidates should be forwarded to the TI-S policy and research team for review and input before committing the lead researcher.
- Internal guidelines – in addition to the above, national chapters may well have its own procurement guidelines. You will need to take these into account as well.

16.APPENDIX IV: MAJOR TASKS OF BICA PROJECT MANAGER

- Prepare for and attend the assessment kick-off workshop in Berlin (tbd)
- Organise and participate in the kick-off workshop with NAG
- Monitor BICA research process in country and support BICA researcher in assessment of all BICA indicators
- Ensure that the research process follows the timeline and research plan submitted to TI-S
- Act as main point of contact between the Transparency International national chapter and TI-S on the BICA project
- Interact with members of the NAG to garner their support for data collection, scoring and verification
- Assist BICA researcher in setting up expert interviews for collecting additional information regarding specific thematic areas
- Participate in bi-monthly progress calls with BICA project team (from Transparency International's national chapter as well as TI-S)
- Organise and participate in all review meetings with the NAG
- Organise the designing of the BICA report, contact graphic designers and manage all communications between Transparency International national chapter and the graphic designer designing the BICA report
- Prepare for and organise the BICA launch event, invite all relevant stakeholders to the launch event and manage all logistics for the BICA launch
- Participate in subsequent internal strategising and action planning workshop

17. APPENDIX V: TERMS OF REFERENCE FOR NAG (EXAMPLE)

The Terms of Reference for the NAG below are only meant to provide guidance information. Please feel free to amend, change and adapt.

1. BICA

BICA has the goal of contributing to reduced corruption in business practices through the development of a solid evidence base and recommendations for action and reform.

BICAs will assess the status of stakeholder-oriented key “thematic areas” (for example, “Public Procurement”) which enable the business sector in a given country to act with integrity. BICAs offer a comprehensive and therefore unique approach for gathering all the relevant information to provide a credible foundation for action. Based on the evidence captured, BICAs will

- help identify major challenges of business integrity within a country and thus provide credible information for advocacy activities;
- engage stakeholders in a shared diagnosis of the situation;
- act as a baseline against which progress can be subsequently measured.

Through a BICA, a country will benefit in two principal ways: it will have an approach to broadly framing and analysing the issue of business integrity from their country’s perspective; and it will have a public process for discussing and driving change.

Transparency International’s approach to fighting corruption is one of constructive but critical engagement. Thus, the BICA will be undertaken in a participatory way, with the involvement of a variety of stakeholders. The BICA will provide recommendations to government, businesses and civil society for promoting clean business practices within the country.

Transparency International envisages that the BICAs will become an important reference point for fighting corruption in business practices around the globe.

2. Mandate of the BICA NAG

The mandate of the NAG is to provide advice to Transparency International during the execution of the BICA assessment process in order to determine the current status and recommendations for nine thematic areas which impact the way companies do business. In more detail, members of the NAG are asked to:

- Familiarise themselves with the overall objectives and approach of a BICA assessment
- Participate in a kick-off workshop with Transparency International and its selected researcher(s) to discuss BICA’s objectives, approaches and potential local adaptations
- Serve as a “thematic area” mentor, provide access to interviewees and other data sources, and support the researcher in validating information and scores
- Review comprehensive BICA Assessment Report (narratives and scoring)
- Participate in a NAG review workshop to discuss review feedback and propose actionable recommendations
- Promote the BICA Assessment report after publication

3. Timeframe

The mandate of the NAG starts upon acceptance of the invitation extended by Transparency International, and ends with the publication of the BICA Assessment Report. The overall timeframe for this should not exceed 12 months.

Any extension of the NAG beyond that timeframe (for example, to support collective action activities based on the defined BICA recommendations) would be by mutual agreement of all parties.

4. Membership

The BICA will be undertaken in a participatory way, drawing on the expertise and involvement of a variety of stakeholders. The membership of the NAG shall reflect this diversity:

- Membership is by invitation of Transparency International, whose representative will chair the meetings.
- New members shall be invited by Transparency International after consultation with current NAG members.
- As far as possible, membership shall be balanced in terms of gender, geography, and between sectors, including the business sector, the public sector, civil society, academia, and international organisations with expertise on anti-corruption and business topics.

The NAG should have no more than 10–15 members (excluding Transparency International and BICA researcher(s)).

5. Governance

Transparency International acts as secretariat of the NAG. All external activities related to the BICA or its NAG shall be coordinated with Transparency International. The member's main contact point at Transparency International is <Name> (<email>).

Transparency International and the NAG members will inform one another about media or other enquiries related to the BICA.

Transparency International undertakes not to use members' names, emblems or logos without prior written authorisation and vice versa.

18.APPENDIX VI: SAMPLE RESEARCH PLAN

Research Plan (example)				
Activity	Month 1	Month 2	Month 3	Months x
Desk research	<ul style="list-style-type: none"> • Criminalisation of major forms of corruption • Sanctions and incentives • Enforcement of laws 	<ul style="list-style-type: none"> • Accounting, auditing and disclosure • Political influence 	<ul style="list-style-type: none"> • Public Procurement • Prevention • Corporate Governance • Transparency 	
Expert interviews		<ul style="list-style-type: none"> • Criminalisation of major forms of corruption • Sanctions and incentives • Enforcement of laws 	<ul style="list-style-type: none"> • Public Procurement • Accounting, auditing and disclosure • Political influence 	<ul style="list-style-type: none"> • Prevention • Corporate Governance • Transparency
Score indicators and write-up of thematic area report			<ul style="list-style-type: none"> • Criminalisation of major forms of corruption • Sanctions and incentives • Enforcement of laws 	<ul style="list-style-type: none"> • Public Procurement • Accounting, auditing and disclosure • Political influence
Submit draft thematic area report to TI-S for review			<ul style="list-style-type: none"> • Criminalisation of major forms of corruption • Sanctions and incentives • Enforcement of laws 	<ul style="list-style-type: none"> • Public Procurement • Accounting, auditing and disclosure • Political influence

Adjust the number of months allocated to the research phase as appropriate. Then insert the relevant thematic area names under each category to indicate how you plan to sequence the desk research, expert interviews, field tests (where appropriate) and write-up for each of the thematic areas.

19. APPENDIX VII: DRAFT NAG REVIEW WORKSHOP AGENDA

The workshop agenda and objectives provided below are meant only to provide food for thought for designing the NAG review workshop. Please feel free to amend, change and adapt.

Overall aim of the workshop:

Building a common understanding of the current state of the country's business integrity environment and identifying priority areas and specific recommendations for advocacy and policy reforms.

Specific objectives:

- Present the findings of BICA assessment to participants
- Discuss and receive feedback from participants on the BICA findings
- Collectively explore the implications of the BICA findings for potential anti-corruption and integrity initiatives and policies
- Create support and momentum for potential advocacy and policy initiatives

Draft BICA review workshop agenda

9.00–09.30	Opening session/welcome: introduction of workshop's aim, participants, overview of agenda
09.30–11.00	Presentation of BICA assessment findings and feedback from participants (based on their initial report review)
11.00–11.15	<i>Coffee break</i>
11.15–12.30	Identification of key BICA weaknesses based on assessment findings (ideally in breakout groups, for example by thematic area/stakeholder groupings)
12.30–13.30	<i>Lunch break</i>
13.30–14.45	Plenary session to agree on key weaknesses for country's business integrity environment
14.45–16.00	Working group sessions to identify priority actions to address weaknesses
16.00–16.15	<i>Coffee break</i>
16.15 – 17.00	Presentation of priority actions by working group representatives
16.15–17.00	Closing plenary session: reactions to set of priority actions; commitment to follow-up activities, information about next steps, evaluation, closure

Acknowledgements

The Transparency International Secretariat wishes to thank the multi-stakeholder BICA Advisory Group for the time they took to review proposed principles and concepts as well as the advice and guidance they provided throughout the development of the BICA Assessment Framework.

Members of the BICA Advisory Group included:

Jermyn Brooks (Chair), Transparency International
Indira Carr, University of Surrey
Michele De Rosa, Eni Spa
Boris Divjak, U4 Anti-Corruption Resource Centre
Heather Lowe, Global Financial Integrity
Phil Newman, Transparency International Australia
John Mair, EBRD
Susan Rose-Ackermann, Law School and Department of Political Science, Yale University
Pyter Stradioto, Samsung

We also wish to extend our thanks to Sven Biermann and Sebastian Wagner, the principal consultants, for their role in developing the BICA assessment

For more information please contact: Katja Bechtel, Business Integrity Programme Communication and Advocacy Coordinator: kbechtel@transparency.org

Transparency International
International Secretariat
Alt-Moabit 96
10559 Berlin
Germany

Phone: +49 - 30 - 34 38 200
Fax: +49 - 30 - 34 70 39 12

ti@transparency.org
www.transparency.org

blog.transparency.org
[facebook.com/transparencyinternational](https://www.facebook.com/transparencyinternational)
twitter.com/anticorruption