

State Capture Assessment Diagnostics on Economic Sector Level

Preparation (mapping report, selection of respondents) and survey implementation

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First specialized regional training for R2G4P members, 08 July 2021

Implemented by:



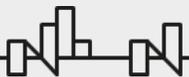
SCAD ESL Key Steps

- ▶ **Step 1. Mapping report** uses desktop research to outline the main players in the audited economic sector. The output of this step is a mapping report which provides background information needed for the following steps.
- ▶ **Step 2. Selectors of respondents** and sector-relevant organizations draws upon the mapping report to compile a list of relevant public organizations to be assessed in the following experts survey and a comprehensive list of experts (both public officials and external experts) who should be invited to take part in the assessment.

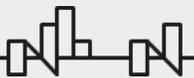


SCAD ESL Key Steps

- ▶ **Step 3. SCAD ESL Survey** - an anonymous online survey among a large pool of experts (preferable over 50).
- ▶ **Step 4. Computation of the State capture indicators** - the data processing step where indicator scores from the SCAD ESL expert survey are computed together with complementary indicators.
- ▶ **Step 5. Analysis of the results and integration with the other instruments** - the analytical step where the indicator scores are interpreted and vulnerabilities are outlined.

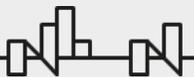


SCAD ESL Mapping Report



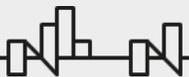
SCAD ESL Mapping Report

- ▶ Background information about the sector
- ▶ Main public organizations which are responsible for **regulating** the sector, for **control and sanctions** of companies operating in the sector and public organizations which are **large clients** in the sector.
- ▶ NGOs and branch organizations in the sector.
- ▶ Registries relevant to the sector: e.g. local procurement registries, registries of subsidies, lists of approved products/companies (e.g. lists of medicines which are covered by the national healthcare plan; list of approved fuel storage facilities, etc.).
- ▶ Main companies in the sector based on market share and procurement contracts.
- ▶ Short review of potential state capture-related incidents including allegations in reputable media outlets.



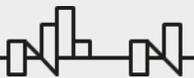
SCAD ESL Mapping Report

Institution name	Sector name		
	Regulation	Control	Big client
Public organization 1			
Public organization 2			
.....			



Examples and practical tips

https://scemaps.eu/wp-content/uploads/2019/10/SCE-MAPS-MAPPING_REPORT_ENG.pdf

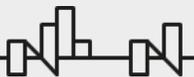


SCAD ESL Selectors of respondents



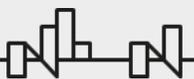
SCAD ESL Selectors of respondents

- ▶ Unlike other instruments relying on experts' assessments, SCAD ESL survey uses a large pool of both external experts and acting public officials
- ▶ Experts have to be familiar with some of the regulatory and control bodies in the sector.
- ▶ Different views and opinions are represented through the large sample
- ▶ High-pressure areas are those where the different experts' opinions converge.
- ▶ Discrepancies between public officials and external experts can be analyzed as well.



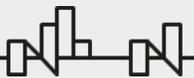
SCAD ESL Selectors of respondents

- ▶ **Public officials** are all people currently working at the management or expert levels in the public administration, in judiciary, prosecution, etc.
- ▶ **External experts** are:
 - ▶ - NGO employees with expertise on corruption, conflict of interest, market competitiveness, etc.
 - ▶ - Academia representatives with expertise on corruption, conflict of interest, market competitiveness, etc.
 - ▶ - Ex-public officials who are familiar with at least some of the public organizations included in the survey
 - ▶ - Heads of large businesses who are familiar with at least some of the public organizations included in the survey

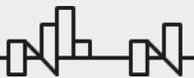


Practical tips

- ▶ Use the mapping report to select respondents.
- ▶ Try to select a balanced group of respondents that includes all types listed above.
- ▶ Check your organization's contacts for additional experts you could add to the list.
- ▶ Ask your contacts to recommend more experts

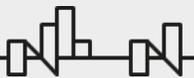


SCAD ESL Survey



SCAD ESL Survey

- ▶ Standardized questionnaire, no changes in the questions apart from the list of public organization
- ▶ SCAD ESL should be implemented online using a software which handles filters (questions which are shown or hidden based on previous answers).



SCAD ESL Survey



A continuación encontrará varias preguntas sobre diferentes organismos públicos, agencias estatales y órganos de control en España. Por favor, indique cómo de familiarizado está con cada uno de ellos.

(Una respuesta por cada fila)

	Muy familiarizado	Bastante familiarizado	Poco familiarizado	Nada familiarizado
Tribunales administrativos autonómicos de la contratación pública	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Agencia Valenciana Antifraude	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Agencia Española de Medicamentos y Productos Sanitarios	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Junta Consultiva de Contratación Administrativa	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Comisión Interministerial de Precios de Medicamentos y Productos Sanitarios	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Agencias o institutos autonómicos de la energía (EVE, ICAEN, FENERCOM, AGENEX, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
Administraciones autonómicas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>



SCAD ESL Survey

¿Diría usted que la presión externa para [participar en] transacciones relacionadas con la corrupción (como sobornos, lobby ilegítimo, tráfico de influencias, etc.) sobre los siguientes organismos es: alta, media, baja o inexistente?

(Esta presión externa significa que personas ajenas al organismo (independientemente de si son ciudadanos, miembros de otras instituciones, etc.) ofrecen sobornos y/o solicitan favores.)

Una respuesta por cada fila

	Alta presión	Presión media	Baja presión	No hay presión
Tribunales administrativos autonómicos de la contratación pública	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Agencia Valenciana Antifraude	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

¿Cómo de probable sería que un superior ordene a su personal que realizara actividades o servicios **no autorizados** en los siguientes organismos públicos?

Una respuesta por cada fila

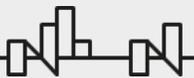
	Muy probable	Bastante probable	Poco probable	Totalmente improbable
Tribunales administrativos autonómicos de la contratación pública	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Agencia Valenciana Antifraude	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

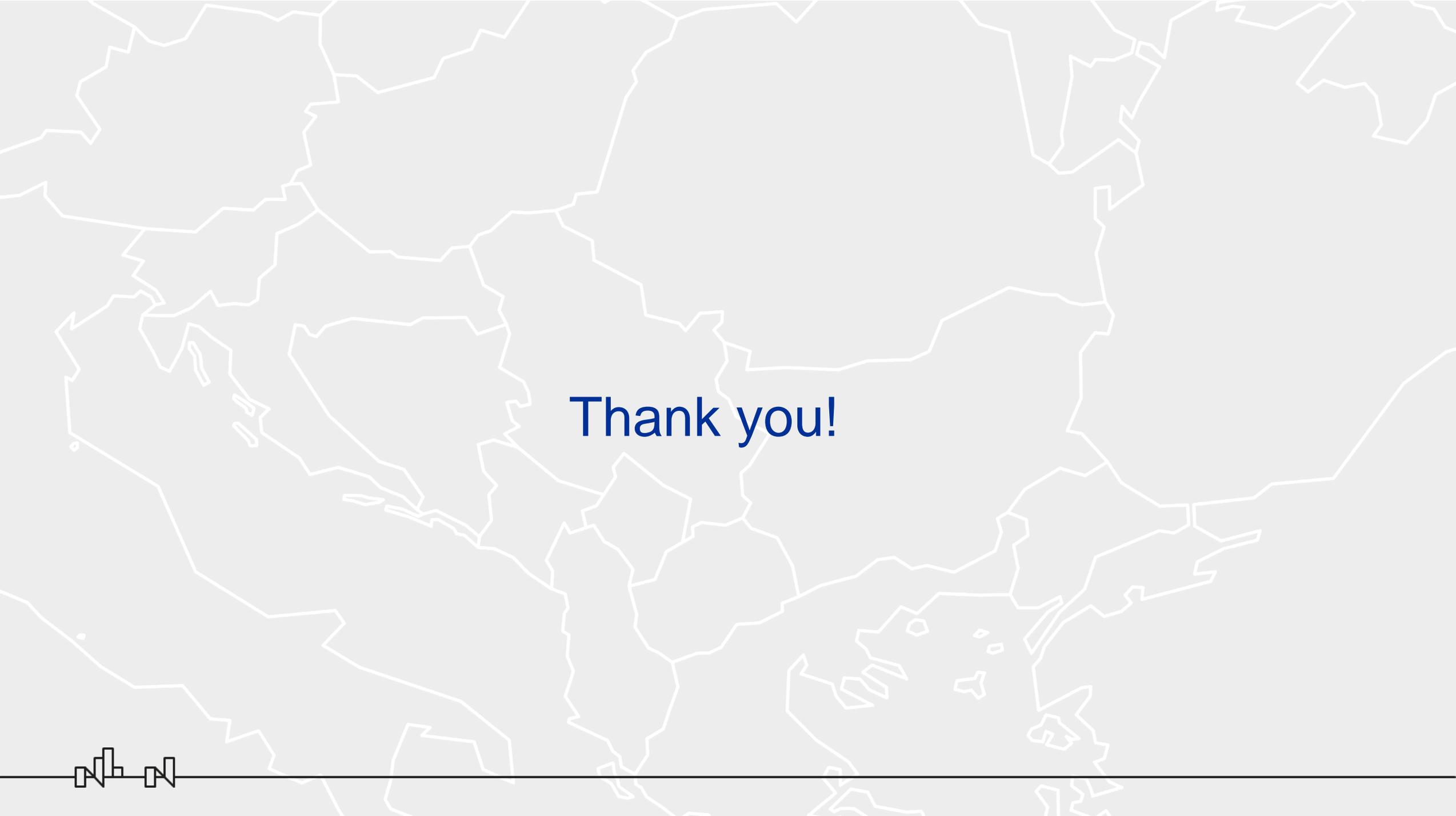


LimeSurvey tutorial

<http://agerganov.eu/>

<https://agerganov.eu/limesurvey/admin>





Thank you!

