



# **Transparency International – DFID Programme Partnership Agreement (PPA)**

**Independent Progress Review**

**Final Report**

**28<sup>th</sup> September 2012**



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# Contents

<b>EXECUTIVE SUMMARY.....</b>	<b>(i)</b>
<b>1 INTRODUCTION.....</b>	<b>1</b>
1.1 PURPOSE OF THE EVALUATION .....	1
1.2 SCOPE OF THE EVALUATION .....	1
1.3 FOCUS OF THE EVALUATION.....	1
1.4 ORGANISATIONAL CONTEXT.....	2
1.5 OVERVIEW OF PPA FUNDED ACTIVITIES .....	4
1.6 RELATIONSHIP OF DFID FUNDED ACTIVITIES TO OTHER PROGRAMME ACTIVITIES.....	5
<b>2 EVALUATION METHODOLOGY .....</b>	<b>6</b>
2.1 EVALUATION PLAN.....	6
2.1.1 <i>Evaluation Questions</i> .....	6
2.1.2 <i>Evaluation Design</i> .....	6
2.1.3 <i>Research Methodology</i> .....	6
2.1.4 <i>Analytical Framework</i> .....	7
2.1.5 <i>Approach to Quality Assurance of Research</i> .....	7
2.2 RESEARCH PROBLEMS ENCOUNTERED.....	8
2.3 STRENGTHS AND WEAKNESSES OF SELECTED EVALUATION DESIGN AND RESEARCH METHODS IN RETROSPECT.....	8
<b>3 FINDINGS .....</b>	<b>9</b>
3.1 RESULTS.....	9
3.1.1..... <i>Logic and Assumptions Supporting DFID PPA funded Project and/or Programme Activities</i> .....	9
3.1.2 <i>Performance Assessment against Logframe</i> .....	10
3.1.3 <i>Intended and Unintended Effects on Poor and Marginalised Groups</i> .....	15
3.2 RELEVANCE .....	16
3.2.1 <i>Representativeness</i> .....	17
3.2.2 <i>Targeting</i> .....	18
3.3 EFFECTIVENESS .....	20
3.3.1 <i>Learning</i> .....	20
3.3.2 <i>Innovation</i> .....	21
3.3.3 <i>Partnership Working</i> .....	22
3.3.4 <i>Sustainability</i> .....	23
3.4 VALUE FOR MONEY ASSESSMENT.....	24
3.4.1 <i>Economy</i> .....	24
3.4.2 <i>Efficiency</i> .....	26
3.4.3 <i>Cost effectiveness</i> .....	28
3.5 IMPACT OF PPA FUNDING .....	32
3.5.1 <i>Development of the ME&amp;L System</i> .....	32
3.5.2 <i>Attributable Impacts of PPA Funding on Results</i> .....	33
<b>4 CONCLUSIONS.....</b>	<b>34</b>
4.1 SUMMARY OF ACHIEVEMENTS AGAINST EVALUATION CRITERIA.....	34
4.2 SUMMARY OF ACHIEVEMENTS AGAINST RATIONALE FOR PPA FUNDING.....	34
4.3 SUMMARY OF PROBLEMS AND ISSUES ENCOUNTERED .....	35
4.4 IMPACT AND VALUE FOR MONEY OF PPA FUNDED ACTIVITIES .....	35
4.5 UTILITY .....	35

<b>5</b>	<b>LESSONS LEARNT</b>	<b>36</b>
5.1	POLICY LEVEL	36
5.2	PPA FUND LEVEL	36
5.3	ORGANISATIONAL LEVEL	36
<b>6</b>	<b>RECOMMENDATIONS</b>	<b>37</b>

## Figures, Tables, and Annexes

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### List of Figures

Figure 1-1: Sources of TI-S Income, 2011	2
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### List of Tables

Table 3-1: Summary of Logframe indicators that met/exceeded the 2011 targets	10
Table 3-2: Blog Performance and Visits by Country	12
Table 3-3: Financial Statistics - DFID PPA Evaluation /1	26
Table 3-4: VfM proposals for PPA Outcomes	31
Table 4-1: Summary Ratings for Evaluation Criteria	34

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### List of Annexes

Annex A: Terms of Reference	41
Annex B: Evaluation Research Schedule and Timescales	45
Annex C: Data Collection Tools	46
Annex D: List of People Consulted	55
Annex E: Bibliography	57
Annex F: Details of Evaluation Team	60
Annex G: PPA logframe	62

## **Acronyms and Abbreviations**

AC:DC	Anti-Corruption: Delivering Change
ACRN	Anti-Corruption Research Network
ALAC	Advocacy and Legal Advice Centre
Alianza	Alianza Regional Para la Libertad de Expresión e Información
ASK	Anti-Corruption Solutions and Knowledge
AusAID	Australian Agency for International Development
BIP	Business Integrity Programme
BPI	Bribe Payers' Index
BRICS	Brazil, Russia, India, China, South Africa
CPI	Corruption Perceptions Index
CSO	Civil Society Organisation
DAC	Development Assistance Committee
DFID	Department for International Development
EC	European Commission
EU	European Union
GCB	Global Corruption Barometer
GII	Global Impact Indicators
IACC	International Anti-Corruption Conference
IATI	International Aid Transparency Initiative
INSP	Institutional Network Strengthening Programme
IPR	Independent Progress Review
KP	Key Programme
KPI	Key Performance Indicator
KSS	Key Support Service
ME&L	Monitoring Evaluation and Learning
NC	National Chapter
NGO	Non-Governmental Organisation
NIS	National Integrity System
NORAD	Norwegian Agency for Development Cooperation
OECD	Organisation for Economic Cooperation and Development
PEP	People Engagement Programme
PPA	Programme Partnership Agreement
RMSP	Resource Mobilisation and Sustainability Programme
TOR	Terms of Reference
TI	Transparency International
TI-S	Transparency International – Secretariat
UK	United Kingdom
UNCAC	United Nations Convention Against Corruption
UNODC	United Nations Office on Drugs and Crime
USA	United States of America
U4	Utstein Four
VfM	Value for Money



## Executive Summary

### Headlines

The PPA grant has been put to good use so far in terms of developing and implementing the new Strategy 2015, and has enabled TI-S to move faster in reorganising and professionalising itself and in reaching out to its Chapters and building their capacity.

From the ratings given in this report we conclude that TI-S has been highly effective in its use of PPA funds to-date. The grant has been used to drive the Strategy 2015 and its Implementation Plan, and to deliver strong learning and partnerships, to improve efficiency, and to meet or exceed nearly all the targets set in the PPA logframe. The PPA grant is only one year old, and TI-S is still developing some critical systems and programmes that are needed if TI-S is to deliver the anticipated outcomes and impact by 2015. Therefore it is somewhat early to judge outcomes such as empowering citizens to address corruption, and improving policy and practice by external stakeholders. A number of recommendations are made for how TI-S could improve its performance and use PPA funds over 2012-2013.

### Background

This Independent Progress Review (IPR) is being conducted to assess the progress and impact of a Programme Partnership Arrangement (PPA) grant between UK Department for International Development (DFID) and Transparency International's Secretariat (TI-S) in Berlin, Germany. The PPA runs for three years from 1 April 2011 until 31 March 2014, and is worth £8m. The grant is unrestricted and coincides with the implementation of a new Strategy 2015 for the TI Movement<sup>1</sup> so a particular focus of the review is how the PPA has been used to support the delivery of the new Strategy in the first year of full operation.

Formed in 1993, Transparency International (TI) has grown in nearly 20 years to become a globally-recognised civil society organisation (CSO) leading the fight against corruption. Through more than 90 Chapters worldwide, TI raises awareness of the damaging effects of corruption and works with partners in government, business and civil society to develop and implement effective measures to tackle it. While the remit of TI is broad, its funding base is relatively modest compared to other CSOs and its funding sources are relatively narrow. TI-S income has grown from €15m in 2010 to €20m in 2011, while the entire Movement is estimated to have a budget of €45m<sup>2</sup>. In 2011, 84% of TI-S income came from government donors (mainly bilateral).

The IPR was conducted by a three person team from *theIDLgroup* from mid-June to late-September 2012. The methodology concentrated on key stakeholder interviews using a questionnaire guide for three groups: TI-S staff, TI Chapters and external stakeholders.

### Results

Our assessment indicates that TI-S has used the PPA to increase substantially the capacity of the Secretariat and through this to start the strengthening of the wider Movement by providing additional support and tools. Given that the PPA was given explicitly to support TI in its strategy development and implementation, there is evidence that DFID's business case for the PPA was sound, and that core funding would enable strategic support and improve TI-S's capacity to fight corruption more cost-effectively. The PPA grant was indeed in the words of one TI-S Director a 'perfect match' to the ambitions expressed in the new Strategy.

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<sup>1</sup> By 'Movement' we mean the wider network of National Chapters, contacts, Individual Members etc.

<sup>2</sup> Financial statements of National Chapters combined with TI-S figures.

TI-S has performed well against the targets set in the PPA logframe: 14 out of the 16 indicators are on track or ahead of the Year 1 (2011) targets. Progress is less evident at the impact level, where the selected indicators are static: the number of countries classed as active in enforcing the OECD anti-bribery convention has remained at seven against a target of eight; while the data on the public's experience of bribery is not available for 2011. For outcomes, TI-S has successfully met its targets on policy work, through increased cases of policy change at country-level, uptake of recommendations by international bodies and citations of the Global Corruption Barometer (GCB). Equally on increasing anti-corruption awareness and actions by citizens, TI-S has exceeded its targets for website visits, Advocacy and Legal Advice Centres (ALACs) contacts, and case studies.

The PPA logframe can be improved however. Some indicator milestones should rise rather than stay static, while outcome indicators should focus more on behaviour change rather than awareness or use. DFID should allow TI-S to report indicator progress on a calendar year basis, so as to align with TI-S's other reporting.

### **Relevance**

Our assessment of the relevance of TI's Strategy 2015 itself is outstanding, as it is an excellent model of a well-considered and appropriate approach that realigns TI towards a programmatic and more integrated way of working. It is also more representative of the Movement as a whole, though there are some questions over the growing size of the Secretariat in relation to the rest of the Movement. On targeting, it is difficult for TI to target the poor and marginalised directly, given the global nature of the Movement and the complex nature of corruption, but country initiatives such as ALACs and Integrity Pacts are improving TI's targeting. We have some concerns over the weak emphasis on large and emerging economies, such as the BRICS, and on how well TI addresses gender. Overall therefore our performance rating for Relevance is High.

### **Effectiveness**

TI-S's performance in learning and partnership work are especially strong, even outstanding. Stakeholders regard TI as the leading global expert on corruption and its reports and guidance materials are highly valued and respected. TI-S shares its experience and expertise with others in various ways, such as the U4 Helpdesk, the GATEway research linkages, the Anti-Corruption Research Network and local events such as summer schools. Under the new Strategy there is recognition of the rich experience amongst Chapters and the need to share learning across the Movement in a more integrated way. Policy engagement with DFID has continued, but the level of dialogue and mutual learning is less than in the past, partly because of the changing arrangements in DFID's management of the PPA.

There is a mixed judgement on innovation and sustainability. In many areas TI-S has continued to innovate, such as in forestry and climate governance, corporate compliance and extractive industries. The PPA grant has been important in contributing to the resources that TI-S has to deliver these initiatives. On the other hand, external stakeholders felt that TI is not moving ahead or leading as much as it should be capable of, particularly in developing new tools to measure corruption more directly. This may be partly due to the effort needed to reorganise the Secretariat in order to implement the Strategy 2015.

In terms of sustainability, future resourcing is a concern. Building Chapter fundraising capacity under its Resource Mobilisation and Sustainability Programme is placing appropriate energy on the survivability of the Movement as a whole, as is the emphasis on people engagement and institutional strengthening. However TI-S's own fundraising plans have been slow to address the narrow funding base of TI and in setting out how TI will meet its declared target of doubling its budget by 2015.

Combining the evidence for the four aspects of Effectiveness discussed above leads us to set the performance rating as High.

### **Value for Money**

We rate TI-S as High for Economy and Efficiency. TI-S has demonstrated good control of overhead costs, as well as successful reforms on underlying financial and human resources management systems. TI-S has produced a number of outputs for very modest investment, including research, advocacy, training and leveraging other funding. More systematic analysis involving comparison over time and against comparators, where possible, will strengthen efficiency further.

We rate TI-S as Medium for Effectiveness. While the costs and resources used are known, the evidence for impact on reducing corruption is limited even though TI-S delivers many of its outputs and outcomes efficiently. To improve its success, TI-S needs to be more systematic in its analysis of the savings or losses avoided due to preventing corrupt practices that have occurred partly because of TI actions.

### **Impact**

Measuring the impact of work on corruption is widely acknowledged as very difficult. TI-S has taken on the challenge by developing a new Monitoring Evaluation and Learning (ME&L) system and though it is yet to be finalised, it is comprehensive and well-structured. The monitoring of organisational and programme results is based on relevant indicators. However the approach to evaluating impact is untested and, though innovative, is over-reliant on qualitative self-assessments.

### **Lessons**

Of the nine lessons in the report, four can be highlighted as key:

1. A major policy and strategy reorientation in a global civil society organisation takes time to design and implement, and the re-organisational energy required is considerable. A PPA grant can be an effective means of speeding up this process, as well as helping the agency to fulfil a more ambitious and risky mandate, such as seeking to strengthen and deliver more through people engagement at country level.
2. While donors like DFID seek to show that PPA funds reach the poor and marginalised, in the case of work on corruption this imperative loses its primacy because of the complex nature of corruption and its cross-border dimensions. Drivers of corruption can often be located in the first world and it is right for TI to seek solutions and conduct advocacy wherever they are most needed.
3. Where an organisation has a narrow funding base, developing new lines of support needs to take place early enough so that core funding can be used to support the necessary capacity and resource strategy.
4. In seeking value for money from support to an advocacy organisation working in a complex area such as corruption, donors must accept that results at the impact level are long-term and difficult, while even at outcome level, measuring change in understanding and behaviour at a global level is a very complex task. In this respect, developing an ME&L system in such a setting and where in addition Chapters are relatively autonomous is a huge challenge.

### **Recommendations**

The main recommendations are:

1. TI has developed expertise in measuring prevalence and risks of corruption largely through perception studies. Further research is needed building on these existing tools, to measure corruption experiences directly. Furthermore, research on other forms of corruption, particularly political corruption is now needed. Work in this area - supported by unrestricted funding - would be cutting edge and TI-S is the most qualified and well-placed agency to undertake it.
2. DFID needs to rebuild a stronger policy dialogue with TI-S that justifies the strategic nature of core funding. Feedback on TI annual reviews should go beyond the logframe results and address policy issues, challenges of measuring performance and sustainability for example. DFID and TI-S should consider adopting a strategic partnership agreement, along the lines of that already signed between TI-S and Australian Agency for International Development, which would encourage greater policy dialogue and a more mutually beneficial relationship.
3. Regarding representativeness and targeting, (i) greater effort should be placed on working with and on the BRICS and other G20 countries, whether this be at country level or at the Secretariat, (ii) gender needs to be addressed more effectively both from an organisational point of view (Board, Council and Management) and from a research and country engagement level, (iii) TI-S's social media should broaden its audience to include a more global and less western audience.
4. On fundraising, TI-S needs to act faster to build a more balanced funding profile. TI should address its narrow funding base more aggressively, and set funding targets for new sources for the next three years. TI-S should seek to broaden its funding base to include a greater contribution from non-OECD sources.
5. On value for money, TI-S should seek to deploy a range of measures including rankings, ratios, time comparisons and cost benefit analysis according to the nature of the activity. The ME&L system should incorporate these measures as far as possible. A number of specific suggestions are made in the report.
6. Many Chapters are pursuing anti-corruption initiatives that have relevance beyond their local situation (humanitarian aid, defence, social equity, use of IT approaches, ALACs). As acknowledged by TI-S already, supporting such Chapters to take the lead will strengthen inter-Chapter engagement and enhance efficiency.

# 1 INTRODUCTION

## 1.1 PURPOSE OF THE EVALUATION

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The objectives of this Independent Progress Review (IPR) are to: (i) assess progress on the PPA and verify Transparency International Secretariat's (TI-S) reporting to DFID on this progress; (ii) assess the impact that DFID funding has had on the organisation; (iii) assess the Value for Money (VfM) provided by the (TI-S); and (iv) derive lessons which will enable TI-S to inform its future strategies, programmes, approaches and set-up (see Terms of Reference in Annex A).<sup>3</sup>

As a general instrument for performance assessment among PPA grant holders, the main intention of this type of review is not to assess the overall impact of TI-S (a difficult task after just one year of grant execution), but to highlight strengths and weaknesses and therefore to act as a lesson-learning process to enable any changes or course correction for the remaining period of the PPA.<sup>4</sup>

## 1.2 SCOPE OF THE EVALUATION

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As part of series of IPRs being conducted for the Programme Partnership Arrangements (PPAs) that exist between the UK Department for International Development (DFID) and a range of PPA grant recipients, the review is tasked with firstly assessing the OECD-evaluation criteria of relevance, efficiency, effectiveness, sustainability and impact of the support, and secondly with assessing additionality and value for money, issues of particular importance to DFID.

## 1.3 FOCUS OF THE EVALUATION

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The PPA grant coincides with the implementation of a new Strategy for the TI Movement (the Strategy 2015 was approved in November 2010 and runs from 2011-2015).<sup>5</sup> A particular focus of the review is how the PPA has been used to support the delivery of the new Strategy in the first year of full implementation. In addition, the PPA logframe forms a central part for the review as it represents an agreed set of performance measures between TI-S and DFID. Finally, there is an interest from DFID in measuring the value for money (VfM) of the support provided to TI-S. The approach to VfM has been the subject of various guidance documents<sup>6</sup>, and there is keen interest amongst PPA grant holders in how it can be applied to advocacy-based grant recipients.

The focus of this IPR is also informed by two relatively recent evaluations. First, the previous PPA grant was subject to evaluation in mid-2010.<sup>7</sup> The review reported good results in TI-S's global advocacy work and at country level in supporting citizens to tackle corruption, but less progress in its work with the private sector or in strengthening national Chapters. The PPA had been successfully used for internal change processes and strategy

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<sup>3</sup> It may be noted that these objectives are somewhat different to those stated by Coffey in their guidance on IPRs in Appendix 8, p.1 of the Evaluation Strategy, February 2012. Coffey's guidance refers to following up on comments made as part of the Annual Review Process, and to supplementing the Annual Review report as well as to provide an independent evaluation.

<sup>4</sup> Annex 8, Evaluation Strategy, Coffee Ltd. 2012

<sup>5</sup> Strategy 2015, Transparency International, 2011

<sup>6</sup> E.g. DFID's Approach to VfM, DFID, July 2011; NAO Analytical framework for assessing Value for Money, 2010; Measuring the Impact and Value for Money of Governance & Conflict Programmes, ITAD Ltd., 2010.

<sup>7</sup> Evaluation of the DFID PPA, Final Report, IOD PARC, October 2010

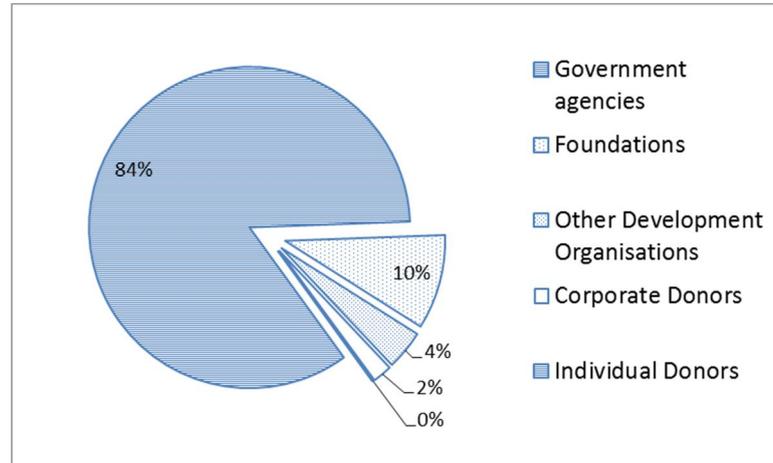
development, but there were gaps in monitoring and evaluation and in incorporating gender in the Secretariat's work.

A more detailed evaluation was conducted on behalf of NORAD in late 2010.<sup>8</sup> Key recommendations from the study were the need to overcome donor-driven priorities by developing TI's own priorities, the need to aggregate output reporting better and build a stronger impact-based M&E, building Chapter support measures especially for fundraising and learning, and strengthening specific levels of TI-S management and staff. The report also suggested that donors should provide longer-term funding around the new Strategy 2015.

#### 1.4 ORGANISATIONAL CONTEXT

Formed in 1993, Transparency International (TI) has grown in nearly 20 years to become a globally recognised civil society organisation (CSO) leading the fight against corruption. Through more than 90 Chapters worldwide<sup>9</sup>, and an international Secretariat in Berlin, Germany, which together form the TI Movement, TI raises awareness of the damaging effects of corruption. TI works with partners in government, business and civil society to develop and implement effective measures to tackle corruption. While the remit of TI is extremely broad, its funding base is relatively modest compared to other CSOs and its range of funding sources relatively limited. TI-S income has grown from €15m in 2010 to €20m in 2011<sup>10</sup>, while the entire Movement is estimated to have a budget of €45m<sup>11</sup>. The majority of TI-S income comes from government agencies (mainly bilateral) (84% of total income in 2011) (Figure 1.1).<sup>12</sup>

**Figure 1-1: Sources of TI-S Income, 2011**



TI is most well-known for its global reports on corruption, such as the Corruption Perceptions Index (CPI) and Global Corruption Barometer (GCB). However, TI has evolved

<sup>8</sup> Evaluation of Transparency International, February 2011, Channel Research, NORAD Report 8/2010. The study took six months and included visits to six Chapters.

<sup>9</sup> The TI Movement consists of 91 National Chapters, five Chapters 'in formation' who are undergoing a preparation process to become a fully-fledged Chapter, and 15 where TI has identified a local partner that could form a Chapter in due course.

<sup>10</sup> Financial Information Report, Dec. 2011, Transparency International, Berlin, p.6

<sup>11</sup> Financial statements submitted by National Chapters aggregated with TI-S figures

<sup>12</sup> Ibid., p.39

from providing research and conducting awareness-raising at an international level to working at local level through its network of National Chapters that seeks to enable citizens to confront corruption in and demand greater transparency from state and private sector bodies. A new five year 'Strategy 2015', approved by the Board in January 2011, articulates this broader emphasis. It brings together the ambition to work at international level to improve the understanding and adherence to global conventions on corruption with a greater engagement with people at a local level. The Strategy builds on many existing initiatives and brings them together into a set of priority areas that will be coordinated by the Secretariat through seven Key Programmes (KPs) and seven Key Support Services (KSSs):

Key Programmes:

1. People Engagement Programme (PEP): focuses primarily around behaviour change of both people ("acting") and public and private institutions ("responding"). The overall goal is to empower citizens, interest groups and communities demonstrating that corruption can be challenged, whilst at the same time increasing responsiveness to people's demands for transparency, accountability and integrity.
2. Business Integrity Programme (BIP): aims to expand the scope of work with the business sector beyond simply bribery to all forms of corruption in the private sector in order to promote and improve anti-corruption behaviour in the business community. The BIP will have a special focus on the financial industry and greater National Chapter engagement.
3. Public Sector Integrity Programme (PSIP): this programme recognises the important role that public institutions play in shaping the way society responds to both traditional and emerging forms of corruption and calls for public institutions to become more responsive and accountable to matters affecting the public interest.
4. Anti-Corruption Solutions and Knowledge Programme (ASK): this programme builds on TI's diverse range of experience and expertise on corruption across its global network and aims to transform TI's knowledge tools on corruption and help foster a strong learning culture across the Movement.
5. Institutional Network Strengthening Programme (INSP): aims to strengthen the capacity of all levels of the TI Movement, taking into account the varying needs, priorities and current level of development of Chapters.
6. Resource Mobilisation and Sustainability Programme (RMSP): aims to bring the issue of anti-corruption to scale through a step-change in the level, diversity and sustainability of resources available to the TI Movement. Its primary function is to support National Chapters and strengthen the capacity of the Movement to successfully raise funds
7. Climate Governance: An addition to the above key programmes, this programme was introduced following a Global Corruption Report in 2011, and addresses the implications of huge financing flows expected for the climate change agenda, and the corruption potential inherent in these flows.

A range of Key Support Services (KSS) have been defined that will underpin the delivery of the key programmes. These cover the following seven areas:

1. Global Communications, Advocacy and Campaigning
2. Measurement and Diagnosis
3. Emerging Issues and Approaches
4. Enforcement Monitoring

5. Thematic Networks and Initiatives
6. Governance
7. Monitoring, Evaluation and Learning

The KSS are strategic support areas needed for the implementation of the KPs and five Regional Programmes. These Regional Programmes are a regional iteration of the KPs<sup>13</sup>. The KSS represent areas where the Secretariat wants to invest some of its unrestricted funding to take TI's global work to a higher level. For some KPs and KSS, work has already been under way for some time, such as for the KP ASK, and for the KSS Global Communications, Advocacy and Campaigning and the KSS Measurement and Diagnosis. For others work has started more recently, such as the KP PEP and the KSS Thematic Networks and Initiatives, and KSS Monitoring, Evaluation and Learning.

An Implementation Plan setting out how TI-S will support the Movement to deliver the Strategy over five years was published in 2011. More detailed design documents for each of the KSS and KP are currently being finalised to: a) inform planning and budgetary processes for 2013-2015; and b) identify areas of synergy across the KPs and KSS with Regional Programmes.

### **1.5 OVERVIEW OF PPA FUNDED ACTIVITIES**

The first PPA grant to TI-S was in 2006, and the last round of funding ran from 2007/8-2009/10 and was worth £3m. The 2011/12 – 2013/14 PPA grant of £8m<sup>14</sup> represents almost a trebling of DFID unrestricted support<sup>15</sup>. The grant of £2.67m represented 15% of total TI-S income in 2011/12, up from 8% the previous year, despite the fact that overall income grew from £13.6m to £17.7m<sup>16</sup>. The PPA also accounted for 38% of all unrestricted funding in 2011 (£2.4m out of €6.4m), an increase from 2010 when DFID provided 26% of all unrestricted funding.

The PPA funding has supported many departments in TI-S that otherwise would receive more limited funding drawn from other core funding sources and restricted (or project-based) funding. These departments include corporate services such as finance and human resources (55% unrestricted funding in 2011), external relations including fundraising, communications and global campaigns (80%), governance (legal affairs, member accreditation, the Board) (39%), and research and knowledge (46%)<sup>17</sup>. In the largest budget category covering programmes and regions only 15% was core-funded, but this rose to a higher portion in some regions (e.g. 31% in Europe and Central Asia). The PPA grant has underpinned TI-S's recent growth in capacity, allowed support services to strengthen their role and increased TI-S's focus on programmatic work. As one TI-S Director stated: "the PPA grant was a perfect match to the needs of TI-S".

<sup>13</sup> Covering the Americas, Africa, Middle East and North Africa, Europe and Central Asia and Asia and the Pacific

<sup>14</sup> A separate grant of £2.1m over three years is provided via TI-S to TI-UK for CHASE work. This is the subject of a separate IPR, and is not considered in this report.

<sup>15</sup> The previous PPA was for £3m over 3 years from 2007/8-2009/10.

<sup>16</sup> General PPA Annual Review, 2011/12, Transparency International.

<sup>17</sup> Financial Information Report, Dec. 2011.

## **1.6 RELATIONSHIP OF DFID FUNDED ACTIVITIES TO OTHER PROGRAMME ACTIVITIES**

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The new Strategy 2015 was followed by an Implementation Plan (IP) that set out how TI-S would contribute to the implementation of this Strategy. This Plan was developed between January and June 2011, while the PPA was agreed in March 2011. Therefore, according to TI-S, 'whilst done in tandem to a certain extent, the DFID deadline was tighter and so not fully aligned with all aspects of the IP'.<sup>18</sup> Nevertheless, since the PPA is unrestricted funding, all activities carried out by TI-S are potentially able to benefit from PPA funds. In practice, TI-S uses PPA funds for those core and programme activities that do not receive dedicated funding from other donor restricted funding, such as research, fundraising and communications.

DFID also provides a range of restricted funding on top of the PPA. The 2011 accounts list six DFID supported projects totalling €4.6m<sup>19</sup>.

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<sup>18</sup> Minutes of Inception Meeting, TI-S and IDLgroup, July 2012

<sup>19</sup> These are Governance and Transparency Fund, Conflict, Humanitarian, and Security Department, the Global Corruption Barometer, and work in Vietnam, Turks and Caicos and Malaysia.

## 2 EVALUATION METHODOLOGY

### 2.1 EVALUATION PLAN

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The IPR took place from mid-June to late-September, using a three person team with an allocation of 53 person days and a budget of just under €50,000. The work proceeded from an inception phase, when the scope was refined through discussion with the review task manager in TI-S, to design of the survey instrument, fieldwork in Berlin and follow-up interviews, analysis, report drafting and presentation, and finalisation. See Annex B for a work plan.

The three person review team comprised a team leader with broad evaluation experience covering a range of sectors and donor agencies and covering governance, budget support, fragile states and country wide donor agency programmes; a specialist on anti-corruption and broader governance issues, and specialist on policy analysis and state accountability. The team factored in remote back-stopping, quality assurance and in-house technical expertise (see Annex F).

#### 2.1.1 Evaluation Questions

The approach took full account both of TI's organisational capabilities and strategic commitments, as well as the core framework of evaluation criteria set out in OECD and DFID guidelines and policy notes. Attention was given to seeking qualitative and quantitative evidence across wider aspects of organisational value, including learning and innovation, and VfM.

A list of review questions were prepared in the design phase, based on the TOR and feedback from an inception discussion with TI-S. The questions were structured by the main evaluation criteria outlined in the TOR: relevance, efficiency, effectiveness, impact/outcomes and sustainability. An interview schedule was prepared with 55 questions (Annex C). Informants were divided into three groups: TI-S, a sample of TI Chapters, and external stakeholders.

#### 2.1.2 Evaluation Design

The review design was informed by the general guidance for conducting IPRs provided by DFID's Evaluation Manager, Coffey Ltd.<sup>20</sup>

#### 2.1.3 Research Methodology

The principal research methods were document review and interview, either face to face or by telephone. A web survey aimed at eliciting the views of the broader Movement was proposed but it was felt by TI-S that it would be unproductive as Chapters would be unlikely to respond given the many demands on their time and their independent status. The selection of respondents was largely guided by TI-S, but the team made the final decisions, especially on the choice of external interviewees. A snowball method was used to identify useful follow-up stakeholders during interviews, resulting in 16 external stakeholders being identified and interviewed.

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<sup>20</sup> Evaluation Manager PPA and GPAF, Evaluation Strategy, February 2012, Coffey Ltd.

Documents: a substantial body of written material was scrutinised, including published reports, progress reviews, specific submissions prepared by TI-S for this IPR, email exchanges and web material. Annex F contains a full list.

Interviews: A total of 51 interviews were conducted. In all but two cases, at least 2 of the 3 members of the consultancy team participated in every interview. A written record was made of each interview and shared within the team.

Fieldwork: It was agreed with TI-S that the only field visit would be to TI-S in Berlin, which took place from 16-19<sup>th</sup> July with all 3 members of the IPR team participating. During this visit, 19 interviews were conducted with TI-S staff. A further 8 interviews were held by Skype with additional TI-S staff. No field visit took place to a national Chapter. While this therefore meant the team did not see a Chapter in operation at first hand, the decision was mutually agreed at the inception stage on the grounds that firstly the focus of the PPA was on the Secretariat, and that the savings made on not visiting Chapters allowed greater time for interviews in Berlin and by phone. Interviews were conducted with four Chapters (Vietnam, Columbia, Russia, and Ireland) and one written response to a list of questions was received from TI-Ghana. A small number of face-to-face interviews were also conducted in London.

Triangulation of findings on critical issues was done where possible through comparison of responses from at least three stakeholders.

#### 2.1.4 Analytical Framework

All data were collected and analysed using a framework of criteria combining OECD-DAC standards (relevance, efficiency, effectiveness, results, impact, sustainability), and DFID areas of interest (Theory of Change, VfM, additionality). The conclusions of the review are presented in relation to these criteria.

To assist with the aggregation of the various PPA IPRs being conducted into an overview of performance by the Evaluation Manager Coffey Ltd., the report applies a rating system in line with the evaluation guidelines<sup>21</sup>. The rating uses a four-point scale: **Poor, Medium, High and Outstanding**. Each of the main evaluation criteria of results, relevance, effectiveness, efficiency, and impact and value for money are rated using this scale.<sup>22</sup>

#### 2.1.5 Approach to Quality Assurance of Research

*theIDLgroup* comprises an in-house team of senior and principal consultants, with substantial experience of evaluation including extensive experience of DFID evaluation methods and expectations, and a range of roles in evaluation including Quality Assurance (QA). *theIDLgroup* provided two days of a senior consultant with a strong DFID and governance background to assure the quality of the work, with targeted inputs at the design stage and during the drafting of the report. The draft report was then presented to a management team in TI-S to receive comments before finalisation.

Since *theIDLgroup* had various teams undertaking a number of IPRs for different PPA-holders, regular internal meetings were organised to share experiences and ideas and to help resolve any on-going issues that arose during the IPR process, e.g. how to address VfM.

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<sup>21</sup> Appendix 8, Evaluation Strategy, Coffey, 2012.

<sup>22</sup> The rating system is different to that followed by TI-S in its Annual Review, which follows the standard five-point DFID system (A++ to C).

## **2.2 RESEARCH PROBLEMS ENCOUNTERED**

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No significant problems were encountered in gathering documentation or in reaching sufficient stakeholders, other than the problem of reaching some informants during the summer holiday period. However, one issue faced by the evaluation team is the lack of detailed information from comparator organisations on spending patterns, and activity costing made a VfM assessment difficult. Detailed and standardised information on comparator NGOs would be collectively beneficial for NGOs working in this area as value for money becomes a donor requirement.

## **2.3 STRENGTHS AND WEAKNESSES OF SELECTED EVALUATION DESIGN AND RESEARCH METHODS IN RETROSPECT**

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The IPR has been constrained by a number of conditions related to the nature of TI-S's work and its funding. Firstly, the difficulties of attributing impact from an agency devoted to policy influence and in measuring changes in understanding of and actions taken over corruption. Secondly, the nascent TI-S Monitoring, Evaluation and Learning (ME&L) system has yet to produce systematic and summary results on outcomes and impacts of TI's work, and the evidence presented in most TI-S reports is a series of case studies of positive results in different countries and settings (see the 2011 Annual Report for example). This reflects a third more general issue - that CSOs are often under pressure to secure sufficient funding and to thereby highlight positive achievements and put less emphasis on failures in their reporting. This can lead to less opportunity or willingness during reviews or evaluations to reflect on mistakes and to learn lessons to improve their future work.

## 3 FINDINGS

### 3.1 RESULTS

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This Section begins with an assessment of the PPA theory of change and the logframe. It then reviews the TI performance after one year of PPA implementation by examining progress made against the indicator targets set in the logframe. The section concludes by looking at the effects of TI's work on the poor and marginalised.

#### 3.1.1 Logic and Assumptions Supporting DFID PPA funded Project and/or Programme Activities

The *theory of change* underpinning the PPA grant to TI is that by empowering citizens to be aware of corruption and to take action, and by bringing pressure to bear on governments and the private sector through advocacy and research to be more transparent and to address corruption better, TI will contribute to a more accountable, corruption free world. In this regard, TI provides knowledge products to raise awareness of corruption and its impact, whilst at the same time offering practical solutions to tackle it.

At a more detailed level, the PPA logframe agreed at the start of the grant<sup>23</sup> has four outputs, two outcomes and one impact. On the advice of Coffey, TI reduced the number of outcomes originally proposed from four to two in the final logframe, as well as reducing the 'scale of ambition' of the outputs and outcomes to make them achievable within the three year time frame. This was sensible advice as it reduced the complexity of the intervention logic, and allowed TI to focus on measuring a limited number of quantifiable indicators.

The logframe distinguishes between two outcomes: (i) improved anti-corruption understanding, policy and practice by global actors, and (ii) increased anti-corruption awareness and action by citizens. These outcomes are two of the main ambitions expressed in the Strategy 2015, but at the same time, they miss other critical outcomes articulated in the Strategy. These include 'strategic priorities' such as greater collective performance by the TI Movement as a whole and increased integrity amongst leaders and youth. TI were aware of this, and explained to DFID/Coffey that the PPA outputs were chosen on the grounds that they would certainly fall within the TI-S Implementation Plan, that they would be implemented from the beginning of the PPA period and they would continue work on areas funded under the previous PPA.<sup>24</sup>

The theory of change as expressed in the PPA logframe is generally sound, with a clear link between the outputs of developing evidence on corruption, providing support to citizens to address corruption, influencing external stakeholders and strengthening TI capacity and the expected outcomes. The stated impact is ambitious for a three year grant: 'reducing corruption and promoting transparency, accountability and integrity at all levels and across all sectors of society globally'. A similar comment was made in the previous PPA review in 2010.<sup>25</sup> However, impact statements in general are often aspirational and articulate a longer-term ambition or goal.

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<sup>23</sup> There was considerable correspondence between TI, Coffey and DFID over the PPA logframe. Several versions were prepared. The version this IPR has used is the final version dated January 2011.

<sup>24</sup> Email from TI.to Coffey, March 2011

<sup>25</sup> IOD PARC, op.cit.p.14.

DFID has commented critically on the TI self-assessment report 2011/12, particularly on how TI-S reports on the milestones and results achieved in the logframe<sup>26</sup>. This is fair, but it does seem unfair for DFID to criticise TI-S over the logframe content and wording given that the final logframe formed part of the PPA funding agreement between DFID and TI-S, and followed considerable revisions leading up to that agreement. Indeed TI was advised to only make minor changes after the PPA began. Following the 2011 Annual Review of the PPA by TI-S, some minor changes have been agreed with DFID. As part of this IPR, there is now a further opportunity to improve the logframe, for example, in terms of choice of indicators and milestones. Recommended changes to the logframe are outlined in section 3.1.

The logframe only partially captures what the DFID PPA grant has actually been used for in the first year of execution. TI-S has used the PPA to increase substantially the capacity of the Secretariat and through this, to strengthen the wider Movement by providing additional support and tools. Output 4 in the logframe refers to strengthening the capacity of the TI Movement, but given the tremendous changes in the past 18 months within the Secretariat in terms of structural reorganisation, staffing, and improved management, financial and human resource systems, it is a gap that there is no reference at Output or Outcome level to the results of these investments in terms of greater TI sustainability, professionalism or institutional recognition.

The *business case* for DFID can be stated as follows: that by funding the most able civil society organisations in the task of fighting corruption through performance based strategic funding, TI will deliver results that are cost-effective, that enhance learning and are sustainable. By providing core funding, the support should be strategic in that it may help a CSO to take risks, be innovative and address needs that are not usually supported by project funding. This argument is examined in Section 3, and there is strong evidence to support this business case, given that the PPA support was given explicitly to support TI-S in its strategy development and implementation.

### 3.1.2 Performance Assessment against Logframe

In general, TI-S has performed well against the targets set in the logframe (See Annex G for the full PPA Logframe): 14 out of 16 indicators are on track or ahead of the 2011 target (Table 1). Detailed evidence is provided in the Annual PPA Review by TI-S.

**Table 3-1: Summary of Logframe indicators that met/exceeded the 2011 targets**

Logframe level	No. of indicators	No. that met or exceeded the target for 2011	Data not available
Impact	2	0	1
Outcome	6	6	0
Output	8	8	0

#### ***Impact***

**“To reduce corruption and promote transparency, accountability and integrity at all levels and across all sectors of society globally”**

<sup>26</sup> See the letter entitled ‘Feedback on annual report, 2011/12’, DFID, July 2012.

Impact 1: Number of countries are adhering to the OECD Anti-Bribery Convention: The milestone for 2011 is that there should be eight active enforcers but the assessed number is seven. The relevant report notes that ‘this is a troublesome loss of momentum’ when compared with the steady improvement in prior reports<sup>27</sup>. Yet the next report, due in September 2012, shows that there is greater progress in the other categories (those countries moving from ‘passive’ to ‘moderate’ enforcement). Also, some member states have raised questions over the methodology of the assessment, which has prompted a Chapter-led review that is currently underway, although the outcome of this was not available at the time of writing.

Impact 2: Percentage of users of public services reporting experiences with bribery: This indicator relies on evidence from the Global Corruption Barometer (GCB) report. The lack of a result for 2011 is due to the timing of the GCB which is produced only every two years. No results are available therefore for 2011 as the next report is due by December 2012. Apart from the timing issue, this indicator also carries a double meaning – does an increase in reporting of bribery indicate greater awareness or a greater incidence of bribery? The target trajectory is therefore somewhat ambiguous as a measure of progress. Perhaps there is a better and less directionally ambiguous alternative, though it is acknowledged that this is not an easy task. The revised CPI report, which is from this year being conducted in-house by TI-S and for the first time using a methodology that allows year-on-year comparisons, could be used to give an average score. Or there may be a better question to track from the GCB i.e. Q1.A: ‘How has the level of corruption changed in the past three years in your country?’

### **Outcomes:**

#### Outcome 1: Greater anti-corruption understanding, policy and practice by public and non-state actors

Outcome indicator 1.1 refers to the number of ‘systemic positive changes’ that occur as a result of TI advocacy. The nature of these changes is open to interpretation, and TI-S acknowledges that it is yet to define these well.<sup>28</sup> Therefore, at present, it is not possible to assess or analyse ‘systemic change’ in a rigorous manner. TI-S in its Annual Report identifies thirteen changes that occurred in 2011 for which TI can claim a ‘verifiable contribution’. Most of these changes appear justified, and for most of these the contribution by TI is clear, although the inclusion of the role of TI in the case of Solomon Islands is not adequately explained.

For Outcome indicator 1.2, which measures TI recommendations taken up by international bodies, TI has been active in providing advice and inputs into the G20, Rio+20, European Commission (EC) and other fora. The three examples in 2011 involve the deliberations of the G20 anti-corruption working group; recommendations taken up on the new EC rules to promote better oil, gas, mining and forestry transparency; and recommendations taken up by the European Parliament in their draft report on “Organised Crime in the European Union”. TI’s comments were also incorporated into a draft resolution on the “EU’s efforts to combat corruption”.

For Outcome indicator 1.3, which measures citations of the GCB in academic journals, the target was exceeded. In 2011, there were 1060 citations of the GCB, a doubling from the

<sup>27</sup> Progress Report 2011, Enforcement of the OECD Anti-Bribery Convention, TI, 2011

<sup>28</sup> Although partnership, advocacy and policy scales have been developed as part of the Anti-Corruption: Delivering Change (AC:DC) programme (funded through DFID’s Governance and Transparency Fund) and incorporated into the Advocacy and Legal Advice Centres (ALAC) database, these have only been used on a pilot basis in the 15 ALACs that were funded under this programme and are not widely used beyond this.

baseline of 525. Although there is no clear explanation for this increase in the Annual Review, it is true that the better website and other social media activity would support this trend. It would be useful to include some analysis of the kinds of documents or media that are citing the GCB and in what context, to add more depth to the numbers.

Outcome 2: Increased anti-corruption awareness and action by citizens.

Outcome indicator 2.1 measures the number of visitors to the main TI website. The target of a 10% increase over 2010 has been met with almost 2 million unique visitors recorded in 2011, and this increase as well as the greater use of TI products appears to justify the investment into a new website design. The previous PPA grant in 2010 noted that a target of 300,000 per month by 2011 was unrealistic and this has been the case so far, except in December when the CPI report is released.

**Table 3-2: Blog Performance and Visits by Country**

Blog Performance			Visits by country 2011	
	2010	2011	Countries	Visits
<b>Total unique visits</b>	<b>49,104</b>	<b>80,417</b>	United States	592,362
Percentage increase over previous year		64%	United Kingdom	247,160
<b>Average unique visits per day</b>	<b>135</b>	<b>220</b>	Germany	202,182
Percentage increase over previous year		63%	Canada	107,158
			India	87,227
			France	71,667
			Australia	63,661
			Russia	57,029
			Netherlands	54,405
			Italy	53,308

There is a wide range of statistics available that provide rich evidence of the increased use of the various TI websites (TI's main site, the Anti-Corruption Research Network (ACRN) and GATEway, plus the U4 and the Helpdesk) and of TI's new social media outlets. Followers on Twitter (18,646 by May 2012) and Facebook (26,000) as well as blog visits (Table 3-2) have grown rapidly. One concern though is that visitors to these sites tend to be mainly from the West, led by USA, Germany and UK.<sup>29</sup> TI-S has started to address this through, for example, setting up Arabic Facebook and Twitter sites this year and by recently recruiting an Arabic communications coordinator.

For Outcome indicator 2.2, regarding the number of Advocacy and Legal Advice Centre (ALAC)<sup>30</sup> contacts received according to the records from the ALAC database, the number reached 22,356 and so met the target of 22,000. There may be some duplication in the numbers, but the growth in contacts is nevertheless real and tied to the rapid growth in ALACs, and evidence from the evaluations of ALACs conducted so far.<sup>31</sup> As highlighted in the Mid-Term Review of the AC:DC programme, ALACs are having a catalytic effect in empowering citizens and communities to address the corruption issues they face in their daily lives and is showing signs of being able to catalyse evidence-based anti-corruption policy and practice by public and non-state actors, but at a limited scale.

<sup>29</sup> From the Monthly Statistics Report, May 2012, TI.

<sup>30</sup> ALACs are local centres established by TI Chapters offering help and advice to citizens who have a complaint or experience of corruption.

<sup>31</sup> GTF Evaluation, 2011.

For Outcome indicator 2.3, the number of case studies of citizens resisting corruption also met the target, and although the PPA Annual Review does not fully document them, they are detailed in internal correspondence. The main source of such case studies is from ALACs (16 in 2011), supplemented by a number of examples cited in TI's integrity awards.

## **Outputs**

### Output 1 Developing evidence

Output indicator 1.1: TI-S research publications were 11 in 2011, meeting the target, though the selection is made out of a total of some 62 identified publications (working papers, policy positions, conference papers, U4 answers and GATEway topic guides). So it would seem that the selection of 11 is somewhat artificial, as there are other valuable pieces of evidence being generated by these different channels. The target does not increase from 2012 to 2013, but the expanding range of research tools and the greater partnerships on research through ACRN and GATEway would suggest a rising target is needed.

Output indicator 1.2: TI Chapter research publications supported by TI-S: here too the achievement is much higher than the target, with 62 publications reported against the target of 25, indicating a tremendous growth in the work done by Chapters. However, it is worth noting that the publications are unevenly spread, and further efforts are needed to boost them, particularly in the Americas (three publications), Middle East (one) and Africa (seven). Over half of these publications (37) were produced in Europe and C. Asia, and 19 of these were part of the large National Integrity System (NIS) study conducted across Europe.

### Output 2 Support citizens to address corruption and promote integrity

Output indicator 2.1: Number of ALACs: this target has also been exceeded with 71 ALACs operating in 53 countries by end-2011 compared to the target of 65. While the ALACs originated in Europe, they have spread rapidly to all regions. It is noticeable that some of the major emerging countries do not yet have ALACs though (for example China, India, Brazil, South Africa).

Output indicator 2.2: Number of Development Integrity Pacts (DIPs): again the target of 75 has been exceeded with a total of 80 DIPs reported. The breakdown by country reveals a high degree of concentration, with only 7 countries using this tool (Bangladesh having the largest number at 27, followed by Zambia (17), Uganda (13), India (eight), Ghana (eight), Liberia (six) and Kenya (one)). The spread is therefore very uneven and highlights that this approach is only suited in certain contexts where there may be a strong civil society movement or a less hostile political environment. From evidence gathered about Pacts during the review, it would seem there is mixed support for this tool, for reasons that include its cost and the need for a suitable champion to build trust between government and civil society. As a result, the target of 90 and 105 Pacts in 2013 and 2014 may be unrealistic.

### Output 3: Reaching out and influencing external stakeholders

Output indicator 3.1: The previous indicator referred to the 'number of press statements issued' but TI has requested to change this to 'blog posts published' since blogs reach a wider audience than traditional press releases. DFID have agreed with this change in their comments to the latest PPA Annual Review. Nevertheless, TI issued 53 press releases in 2011 which exceeded the target of 50. The new indicator: 'page views of blog posts' shows a rapid increase from 95,000 to 175,000 page views between 2010 and 2011, an 87% rise. DFID commented that while this showed outreach, the new indicator still did not reflect 'influence' per se.

Output indicator 3.2: Number of TI documents with recommendations on anti-corruption practise and policy: TI has produced 16 documents in 2011, so achieving an increase over the target – which was to match the baseline of 14. Internal correspondence gives sound details of these documents that contribute to the total, and which exclude documents from Chapters. The documents cover press releases, a letter to the French President on the G8 Summit, as well as a resolution for the United Nations Convention Against Corruption (UNCAC) meetings, and other policy papers. We agree with DFID that the future annual targets for this indicator should be raised rather than kept at the baseline level.

Output 4: To strengthen the capacity of the TI Movement

Output indicator 4.1: Number of capacity development activities implemented by TI Chapters with Secretariat support: this is also a revised indicator, replacing the original indicator that referred to the number of co-operative projects. TI-S is seeking to support Chapters to undertake their own capacity development, helping them to do their own capacity assessments, planning and execution. This fits with the INSP under the Strategy 2015, and the principle of building capacity using peer support between Chapters as well as support from TI-S. Given the varying capacities of National Chapters, with some being very weak and relying on a small number of volunteers, whilst others (such as Bangladesh) are very strong and well-developed, this approach makes sense. The 17 activities falling under this area are documented clearly in internal correspondence, and meet the target of 15 in 2011. The target of 20 and 25 in 2013 and 2014 respectively also seem appropriate.

Output indicator 4.2: Number of trainings organised by TI-S for TI National Chapters achieved in 2011 were 26 and met the target for the period of 25. The details cover training on NIS, ALAC, financial management, fundraising, climate governance, private sector engagement and IT/Communications. The future targets remain at the 2011 level, However it seems likely that the actual number of trainings will increase in coming years, given the growth in the Movement and the wide variety of training topics that may be requested.

**Summary**

**Rating: Based on the number of milestones that have been met and in some cases exceeded, our performance rating for results achieved the PPA logframe is High.**

There are several general comments to make about TI-S's performance against the logframe:

- No increase in some indicator milestones. For Output indicator 1.1: TI research publications and Output indicator 1.2: NC publications and Output indicator 3.1: TI documents with recommendations on anti-corruption, and Output indicator 4.2: number of trainings organised by TI-S for NCs. It would seem that either the indicator may not be appropriate or the milestone is not sufficiently challenging in these four cases.
- For Output 3, we observe that blog posts and website visitors are fairly similar indicators yet they are placed at different levels in the logframe (output and outcome), which is rather inconsistent.
- At outcome level, behaviour change needs to be directly measured. For Outcome 2, concerning increased anti-corruption awareness and action by citizens, two of the three indicators selected would seem to measure awareness more than action (website visits and ALAC contacts).
- There is duplication in using website visits at Outcome 2 (indicator 2.1) and blog views at Output 3 (indicator 3.1); both indicators essentially measure level of outreach rather than a change in behaviour or action. There is a need to consider an indicator that assesses, by using a web-survey or other tool, what action those

visiting the web, blog and other media take as a result of visiting these sites. We would also suggest looking at the regional balance of website use more carefully, in order to aim to build a global and less USA / W. Europe-focused clientele.

- With ALAC contacts (Outcome 2.2), it may be useful to also look at the number of cases processed rather than only contacts in order to get a better handle on client behaviour or influence.
- DFID requests that targets and results match the UK fiscal year of April-March. However this is an unnecessary burden on TI-S and out of line with other TI-S reporting which follows the calendar year - as well as broader aid effectiveness principles (to which DFID has signed up). At present, PPA indicators are a mix of both periods and so there is some confusion. It would be helpful if DFID would accept a standard reporting period of Jan-Dec.
- The reporting system used to collect the indicator data to-date has essentially been ad hoc – with the PPA logframe results collected by the Resources Development Department from the respective Regional or Programme Departments that are responsible for the indicators. Nevertheless, the underlying notes provided for each the scores are detailed and give confidence in the validity of the results. The forthcoming ME&L system is expected to include the PPA indicators and to make the collation of results more systematic.

### 3.1.3 Intended and Unintended Effects on Poor and Marginalised Groups

While TI research, such as the GCB, has shown how corruption adversely affects the poor, TI-S has yet to set up a comprehensive system of measuring the extent to which the poor and marginalised benefit from their work. That is not to say that this group in society do *not* benefit. While much of TI's work is likely to have an indirect effect on the poor and marginalised - such as its policy influencing work on international accords and on governments - at country level there are likely to be many examples of the poor benefiting from greater understanding and action against corruption, or from more transparent service delivery. This may be particularly true in areas where ALACs are active. These examples are not yet properly documented, and will require the nascent ME&L system of the Secretariat to become operational if they are to be. Furthermore it could be useful if the system was able to distinguish between different types of beneficiary, such as direct and indirect; or first, second and third level, as other PPA grantees such as Oxfam GB do.

TI-S also provides support across the entire Movement, and has no mandate to provide more assistance to Chapters in poorer countries at the expense of Chapters in middle income or high income countries. Indeed, Chapters in high income countries tend to be those with greatest funding difficulties as there is less support available from donors or from the public. Furthermore, corruption is complex, and the links between drivers of corruption and the poor can mean that TI should equally work in those countries where drivers of corruption may be rooted, as illustrated by the Bribe Payers' Index (BPI) report.

The most practical example of intended positive effects on the poor and marginalised is the fast growing ALACs. Although reliable statistics are yet to be collected through the new ALAC database, sample evidence suggests that they provide a channel for the poor and marginalised to seek redress for corruption. Set against this judgement, however, is the fact that the majority of ALAC contacts are urban or peri-urban (78% of those sampled in 15 countries) and male (67%)<sup>32</sup>. No information on socio-economic status was collected in this study. In some areas, mobile ALACs have been set up, although further steps to improve

<sup>32</sup> Mid-Term Evaluation of the Anti-Corruption: Delivering Change (AC:DC) Programme, GHK, 2011

outreach such as subsidising transport for poorer clients (a recommendation in a 2005 evaluation) may be important. However the new database does assess the 'vulnerability' of the contact – even though this is only defined as 'low', 'average' and 'high'.

Other examples include the Development Integrity Pacts and specific targeted programmes such as the economic equality programmes involving cash transfers in Latin America. TI's work in reducing corruption in service delivery such as in the education and health sectors should provide evidence of how their work benefits the vulnerable when these are evaluated. The PPA Annual Review quotes examples from Guatemala and Uganda for these two areas, and the new Global Corruption Report 2013, which focuses on education, will show further evidence. These examples, as TI-S notes, are not funded by the PPA directly, and are yet to be aggregated to give a broader overview. There is no summary evaluation for example of the 80 DIPs to draw on for this kind of evidence. This could be an area for future investigation, particularly given the mixed messages the review received on the future potential for this tool.

### **3.2 RELEVANCE**

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The new Strategy 2015 was published in 2011. It sets out the scope and purpose of the Movement for 2011-15. The Strategy followed two years of consultation within and outside the Movement, including over 800 stakeholders. Indeed, many external stakeholders that we interviewed had had some involvement in its formulation. The Strategy comes across as ambitious and comprehensive. Of all the key programme areas, external stakeholders stressed that what stood out in the Strategy was the move from being mainly a research organisation to one emphasising people engagement. From interviews with both internal and external stakeholders, this was a welcome and necessary move, which would better enable links between the global and local level. This captured the evolution of TI from policy influencing and awareness-raising to becoming also a more bottom-up accountability organisation, using and supporting the strength and experience of the Chapters. At the same time, such a move was recognised as not easy to achieve, since local activism and citizen empowerment are not areas where TI has worked in the past, and it does not have the same platform of local membership or public support that some other CSOs have.

In the eyes of TI-S, the Strategy reflects the move away from a less integrated, more project- and donor-driven past to one where the agency now sets out an integrated approach that will deliver around a set of thematic programmes and support services. The aim is to build on existing success and scale up initiatives in a programmatic way that integrates the work of geographical regions so that they deliver around a set of common priority areas. Funding will be sought to support these programmes and services, rather than be allowed to drive choices. From interviews with DFID and other donors, the new strategy is seen as a big step forward and responds well to findings from previous evaluations, including the NORAD evaluation in 2010.

Chapters jointly endorsed the Strategy in the last Annual Members Meeting in Bangkok in 2011. However, the ability of the individual Chapters to align is likely to be mixed, depending on their capacity, programming cycle and local priorities. Nevertheless, the trend seems positive after less than a year. In Africa some 50% of NCs (8 out of 16) have draft or completed strategies that reflect the TI-wide strategy. In Asia several NCs are aligning (including Vietnam, Malaysia and Bangladesh).

A key aspect of the Strategy is the move to professionalise TI. The Secretariat has placed an important and relevant emphasis on building up its own management systems in order to provide better support and tools for the Chapters, who in turn need to build their capacity

and financial sustainability. The accompanying Implementation Plan 2015 sets out how the Secretariat will organise its work around the KPs and KSSs, with a strong emphasis on capacity building and reorganisation.

TI also maintains relevance within the range of organisations now working on anti-corruption and transparency. TI continues to be the most prominent organisation working on policy influencing at the international and regional level. Further, TI is distinct in its role as a provider of anti-corruption solutions to governments and the private sector, in contrast to many of TI's comparators that offer a more publically critical voice. This creates a degree of access to governments and to the private sector that allows influencing that would otherwise not be possible. Additionally, TI continues to be the only organisation working on anti-corruption with global reach. Only TI undertakes bottom-up anti-corruption initiatives on such a scale.

In the recent past, events such as the Arab Spring and the legal cases within the banking/finance sector have provided challenges for TI-S, to which the organisation has responded. In both these examples, however, TI-S could have reacted faster. As one TI-S staff member commented, the organisation was not on top of these issues before they became prominent in the world media. Nevertheless, TI-S responded to the Arab Spring by creating a Task Force that supports press in the region to report on anti-corruption as well as undertaking other activities such as asset recovery. The hiring of an Arabic communications Coordinator and establishing an Arabic Twitter and Facebook presence is also likely to prove important here.

The Strategy 2015 is very relevant to DFID, as well as to other bilateral donor agencies, both in its global initiatives on governance and aid transparency and in its programmes at country level around anti-corruption. Beyond the Strategy, DFID uses many TI-S products, such as the CPI and the GCB, and is also involved in various policy exchange fora with TI-S staff around for example aid effectiveness and the International Aid Transparency Initiative (IATI).

DFID is committed to increasing the proportion of its aid budget to fragile states to 30% by 2014-15. While many of the target countries are seen as having higher corruption risks, there is not a clear reflection of this emphasis in the TI Strategy. This represents both an opportunity and a challenge for TI-S, since DFID would welcome greater analysis or advice on tackling corruption in such settings, even if TI does not have a Chapter there.

At country level, DFID's large investments in budget support rely on sound governance and fiduciary risk assessments, and assessing corruption risks is now recognised as a critical factor in this work. DFID also funds several corruption-related projects and even some TI Chapters directly as part of its governance programmes. The TI-Nepal hot line is funded by DFID. In Vietnam, DFID provides core-funding to the local contact group along with four other donors. Finally, the work of the TI-UK Chapter has been valuable and relevant to the UK Government, particularly around work on corruption in defence and security, and in TI-UK's critical involvement in the 2011 UK Bribery Act.

### **3.2.1 Representativeness**

The new TI Strategy 2015 reflects the whole TI Movement more than in the past. It builds on many initiatives and successes that are already in place, such as the emergence of ALACs, well known research products, and the capacity building role of the Secretariat. The Strategy increases the opportunity to build on Chapter-led activities and to scale them up. The accreditation process already ensures that the formation and sustaining of Chapters meets consistent standards of governance across the Movement. The increased use of social media

has also improved the opportunities for Chapters and wider stakeholders to engage and express their views, so that the dialogue is a more credible two-way exchange between TI-S and the Chapters.

The growing size of the Secretariat may be necessary for the challenging role it faces in supporting the Chapters as well as providing stronger central advocacy and research, but there is a concern that the growth in staff numbers (from 116 in 2009 to 184 by end of 2012 - almost a 60% increase) will create a relatively over resourced centre, at the same time that many Chapters are struggling to retain staff and funding. However, it should be noted that the recent establishment of an EU Liaison office in Brussels has proved successful as a regional coordination unit and to reduce the role of TI-S. The model of housing the regional departments all in Berlin may bring benefits of better integration and efficiency savings. Other options that could be further explored include establishing regional centres around the globe, so as to improve coordination at regional level, or attaching TI-S staff to Chapters for short periods to share skills and experience.

The Board and the Advisory Council are fairly balanced in terms of regional coverage, with the Board having representation from North America (1), South America (2), Europe and Russia (5), Africa (2) and Asia (1). The Council have broader membership, though 15 out of 34 are still from Europe and North America. Perhaps wider non-European membership would be appropriate in future although in the case of the Board this is not straightforward given that members are elected by the Movement.

### 3.2.2 Targeting

The range of potential corruption issues is wide, and with a global scope of work and a Movement operational in 111 countries, TI must consider how it prioritises and targets its work carefully given its limited financial resources. The dilemma is that TI is a Movement and the Secretariat's role is to offer support to Chapters across the world, many of whom will have their own local priorities. At the same time there are countries that are more critical than others in the fight against corruption or have greater levels of poor and marginalised who are affected by corruption. There are countries that, because of their size and population and also through economic strength and their weak integrity systems, have great influence as drivers of corruption elsewhere.<sup>33</sup> The emerging BRICS countries are recognised as critical in this respect, yet TI has not been as effective in the BRICS. In the view of one TI-S Director, TI is responding too slowly to this challenge (see Box 3-1).

#### Box 3-1 TI's work in the BRICS

In Brazil, the National Chapter was closed in 2003, and it has taken time to rebuild. There is now a strong contact group and good high level engagement, as well as evolving contacts with local CSOs. TI expects to build further on this with the IACC there this year, and the Annual Members Meeting in 2012. Russia and China have well-established Chapters but they operate in an extremely difficult environment. TI is having to overcome a perception that because of the nature of its funding it perhaps represents 'western' views and standards. In China, the Chapter has had some success with the NIS, which balanced the negative impression left by the CPI in the eyes of the government. TI China has supported an anti-corruption white paper, and with the Youth and Integrity project. The Chapter in India has undertaken work on ALACs and integrity pacts, but is seen as too cautious by some informants. South Africa does not have a Chapter, yet this is a major economic force for the region and moreover possesses a strong civil society. Finally, the USA should be a critical country for TI

<sup>33</sup> For example the latest BPI report had a focus on China and Russia because they were rated as the countries most likely to pay bribes. Bribe Payers index, TI, 2011

yet the Chapter has had problems in the past <sup>1</sup>, lacks funding support and capacity, and has a new manager who is getting established.

<sup>1</sup><http://www.mainjustice.com/justanticorruption/2011/03/16/transparency-international-usa-chief-announces-departure-after-tensions-boil/>

TI's targeting of the poor and marginalised is largely indirect through its work for example on UNCAC, and on aid effectiveness and transparency, such as its work on assessing risks around budget support. However, TI's efforts to target this group are increasing through various country initiatives, such as the ALACs, Development Integrity Pacts (DIPs), social equality programmes in Latin America, and work on tackling corruption in local government. Nevertheless, TI-S has to respond to its Movements priorities globally, and given that over half TI's Chapters fall in high and middle income countries, it cannot easily focus primarily on the poor. There may be a case for TI-S to pursue the establishment of new Chapters in Africa since presently there are just 14 African countries with full Chapters and three more in formation.

The new Strategy does not always prioritise or focus the work of TI enough, and TI may be spreading itself too thinly in its desire to meet the interests of the Movement as a whole. One indication of this is the recent addition of climate governance to the list of key programmes, a topic mentioned only briefly in the Strategy but now forming a seventh programme area. TI-S argues that this is a globally critical issue with major funding and with the need for governance architecture to be put in place. TI's involvement in this issue grew naturally from the work of certain Chapters. Furthermore, TI-S feels that it has a critical role to play in this leading issue involving huge sums of public and private money. In the view of some external stakeholders, however, TI-S needs to work with others better able to lead in certain areas, such as in asset recovery, illicit finance and banking, where TI-S can then support their work.

On the other hand, TI has made choices to reduce engagement in some areas which have traditionally been areas of strength, such as procurement or political corruption. In terms of sectors, TI has been selective and has targeted a number of important sectors through its thematic Global Corruption Reports, including forestry, climate, water, education and health. These reports provide in-depth sector-specific analysis on an annual basis.

The previous IPR in 2010 found that TI-S was weak in incorporating gender in its work. Our review also notes that this is an area that TI remains relatively weak both organisationally and in terms of its corruption work. Although TI-S has undertaken gender audits and has set up a gender task force, Board and Management composition remains quite male dominated (four out of 12 Board members are female and one out of five in the Management Team). Only six out of 32 Individual Members are female. While some of TI-S's research does highlight how corruption affects men and women differently, there has not been a specific strategy on how TI will address this issue in its advocacy or outreach or in its people engagement. Feedback from ALACs so far shows that women are in the minority in the cases and contacts handled (a quarter or less), though there are often cultural reasons that prevent women from bringing complaints forward in person. None of the indicators in the PPA logframe have a gender dimension, and the draft ME&L framework has only three indicators mentioning gender, although it advises on disaggregating all data by gender, where possible.<sup>34</sup> However, it should be noted that, in terms of outreach there are countries which have done well to include gender aspects, for example in Rwanda, Liberia and

<sup>34</sup> Based on the draft ME&L document: 'Annex 2: Monitoring, Evaluation & Learning'.

Zimbabwe, and have tried to address the gender imbalance by targeting women in their outreach.

**Relevance Rating:** Our rating of the relevance of TI's Strategy 2015 itself is outstanding, as it is an excellent model of a well-considered and appropriate approach that moves TI towards a programmatic and more integrated way of working. It is also more representative of the Movement as a whole. There are however some questions over the size of TI-S in relation to the rest of the Movement. On targeting, we have concerns over the weak emphasis on large and emerging economies and on how TI addresses gender. Overall therefore our performance rating for Relevance overall is High.

### 3.3 EFFECTIVENESS

#### 3.3.1 Learning

DFID's comments on the 2011 PPA self-assessment were complementary of TI's learning, but called for greater sharing of experience of strategic funding, and better assessment of learning uptake across the organisation<sup>35</sup>. This implies a better monitoring of improved capacity and skills amongst Chapters, something that is included in the result indicators for the INSP in the new ME&L system. In the view of the TI-S Managing Director, the Secretariat is still at the early stages of being a learning organisation. This is related to the weak ME&L system in the past, and to the previously more top-down relationship between TI-S and the wider Movement.

Under the new Strategy there is explicit recognition of the rich experience amongst Chapters, and the need to share learning across the Movement in a more integrated and systematic way, particularly under the INSP. The increasing move for the more established Chapters to support and mentor weaker Chapters is an effective and efficient approach. Thus, TI-Kenya and TI-Mexico have used the experience of TI-Colombia on criminal-related corruption. TI-S has produced a range of guides, tools and methodologies that are appreciated by the Chapters as well as a range of other actors.

Stakeholders regard TI as the leading global expert on corruption and its reports and guidance materials are highly valued and respected. There are a range of recent initiatives that are boosting TI-S's profile as a learning organisation. E-learning tools are being developed to enhance the support provided to Chapters, building on TI's membership of LINGO, a consortium of 75 NGOs that provide e-learning courses ([www.ngolearning.org](http://www.ngolearning.org)). Shared learning events have also taken place with EC and United Nations Office on Drugs and Crime (UNODC) and with the integrity summer school hosted by TI-Lithuania in 2011. The ACRN is also a valuable platform that builds research linkages <http://corruptionresearchnetwork.org/>. Through the International NGO Association, TI-S shares its experience and expertise with other leading NGOs around accountability and governance, as well as human resources. The Helpdesk (expanding from the U4 helpdesk) provides a platform for sponsoring donors and for Chapters to ask for advice on specific issues and to therefore provide tailored learning. Another example of new ways of internal learning is the 'fishbowl' review, started 18 months ago, where staff critically reflect on their

<sup>35</sup> DFID Feedback Letter on Annual Report 2011/12, July 2012, p.5.

programmes to the Secretariat team as a whole. This enables better diffusion of knowledge within TI-S and the Movement more broadly. Also the new ME&L system has been designed to incorporate a strong learning dimension.

### 3.3.2 Innovation

The evidence on innovation is broadly positive but with some room for improvement. In many areas TI-S has continued to innovate: such as in forestry and climate governance, corporate compliance (Transparency in Reporting on Anti-Corruption), work on the extractive industries, and with the Assurance Framework for Corporate Anti-Bribery. The impact of the PPA grants has been very important in giving TI-S the financial room to deliver these initiatives. The local integrity system assessment tool has been introduced and rolled out to Africa using core funds. The Global Campaign 'Time to Wake Up' has also been piloted as a way to strengthen NC capacity to run media campaigns. The Rapid Response Unit is a recent initiative supported from core funding that attempts to improve TI's speed of response to new major corruption events. An area where TI-S has shown rapid innovation is in the strong growth in its use of social media, using Twitter, YouTube, Facebook, blogs and the new website to raise awareness much more effectively than before.

On the other hand, several stakeholders interviewed felt that TI-S is not moving ahead or leading as much as it should be capable of. TI-S has been slow to innovate in devising better ways to measure corruption beyond perception surveys, and in this respect the CPI is seen by many as redundant and too simplistic a tool.<sup>36</sup> The CPI has undoubtedly been instrumental in putting the issue of corruption on the international policy agenda and has been useful for awareness-raising, at both national and international levels, providing opportunities for opening policy dialogue with partner countries. However, what the CPI is *not* is a tool that measures corruption levels. It only measures perceptions, mainly of international business people, and so may be subject to significant bias. Furthermore, it tells us nothing about levels of corruption at the sub-national or sector level and is not 'hard' empirical data. In short, the CPI is an advocacy tool par excellence, but should not be relied upon as a tool for measuring corruption, certainly not in isolation.

On the other hand, the GCB is a more useful tool for capturing citizens' experiences with corruption. In 2010/11, the GCB covered 100 countries from around the world and asked respondents about their experiences with bribery in a range of different frontline public service providers. In addition, a number of other specific research tools include experiential data in specific corruption settings, such as the OECD Progress Report on Foreign Bribery (using number of foreign bribery cases), the Transparency and Integrity in Service Delivery in Africa surveys (conducting surveys with users of public health, education and water services), the Youth Integrity Surveys in South Asia, and other surveys (e.g. National Surveys, Citizen Report Cards, Social Audits etc.) conducted by TI Chapters.

Assessing risk and integrity of both country and corporation anti-corruption and transparency systems is proving useful. But research is needed on how to measure different levels of corruption directly. While the GCB and other tools capture personal experiences of corruption, TI-S realise through the results of the European National Integrity System Assessments and other research, that there is a notable gap in the landscape of direct measurements of corruption, that of political/grand corruption. The GATEway provides a

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<sup>36</sup> See for example 'Murkmeter: The best-known corruption index may have run its course', The Economist, October 28th 2010.

useful platform for bringing research and tools together, but the gaps in those tools could be further explored<sup>37</sup>.

Another area that TI-S recognises it needs to work further on is what works/does not work in fighting corruption. After a decade of research on the extent, forms and shapes of corruption that has helped to put the issue on the agenda and in helping to guide policy, at this point in the trajectory of anti-corruption work, where anti-corruption interventions are well-established, TI-S considers it most useful to focus their new research on the question of what interventions against corruption are successful/unsuccessful.

### 3.3.3 Partnership Working

TI-S has shown strong performance in linking with partners in several areas. This includes TI-S's key role in the UNCAC Coalition review process, which represents 350 CSOs, its work with Chapters, the catalysing research work of ACRN, and the U4 helpdesk. In the Americas, TI has worked with the Open Government Partnership (OGP) and signed a Memorandum of Understanding with Alianza<sup>38</sup>, linking 35 NGOs and nine Chapters with access to information networks in the continent in 2011. Working papers produced with the Food and Agricultural Organisation on land corruption and with UNODC on human trafficking illustrate partnering on research work. At country level, Chapters usually work with and through partners, such as in Vietnam with the youth and forestry sector, and even where there are no Chapters, TI contact groups work with others, such as Integrity Watch in Afghanistan.

TI's profile as a non-confrontational actor has allowed them high level access and a reputation for responsible engagement<sup>39</sup>. Most stakeholders feel this is a positive thing, and there is sufficient respect amongst leading actors in international bodies and governments for TI-S to have a significant amount of influence. This form of partnership work may however lead TI-S to focus a lot on process rather than impact: changing texts of international accords may be important achievements, but the long-term impact on reducing corruption may be hard to achieve or prove. On the other hand, senior members of TI-S and the Board are able to raise issues with global political figures to a degree that other civil society actors in the field cannot match.

In the context of TI's profile, there were some concerns raised about the perceived political profile of TI as rather too aligned to western values, and driven by an agenda from certain western donors. This view is countered by recent TI-S reports that have highlighted weakness in integrity systems in Europe, and by other successes such as the NIS report in China overcoming the negative reactions to the CPI. Nevertheless, TI-S should consider further ways to address this sensitive issue, with solutions that could include broadening the funding base beyond Europe, Australia and North America.

TI-S has a long standing partnership with DFID, and TI-S staff work with DFID on various agendas including the IATI, the UNCAC review process, and through the U4 helpdesk that DFID co-funds. DFID also funds various separate TI-implemented projects globally and through selected country Chapters (see footnote 19 for the current list). A senior DFID adviser commented that while the level of interaction remained good, the relationship with

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<sup>37</sup> It is noted that an analytical paper on this topic is to be published on GATEway this year.

<sup>38</sup> Alianza Regional Para la Libertad de Expresión e Información, or Regional Alliance for the Freedom of Expression and Information

<sup>39</sup> There were some reservations from some external stakeholders about the role played by TI and its Chapters at the Marrakesh UNCAC review meeting in 2011, where Chapters made presentations that caused negative reactions from some Government representatives.

TI-S had changed in recent years, as the PPA funding has become part of wider grant system to a large group of CSOs, and that this had reduced the level of direct contact and policy dialogue. This sentiment was echoed in some of our internal discussions with TI-S.

In terms of the new partnership initiatives, TI is proposing to use the Global Anti-Corruption Partnership to forge bilateral relationships with private sector companies for the purpose of raising awareness among industry peers of the impact of corruption and the work of the worldwide coalition against it. A new agreement with the Australian Agency for International Development (AusAID) in July 2012 for four years has been signed that not only provides significant though restricted funding for regional programmes<sup>40</sup>, but also forms part of a wider strategic partnership that covers mutual learning and sharing of expertise. Although this agreement took five years to develop, this is an approach that would be suitable for the DFID-TI-S relationship, as it would formalise and build on the wider, strategic nature of the relationship.

### **3.3.4 Sustainability**

Through building Chapter fundraising capacity under its Resource Mobilisation and Sustainability Programme, TI-S is placing appropriate energy on the survivability of the Movement as a whole. This new programme, started in 2011, has sought to help Chapters diversify their support by providing advice to the Movement, knowledge sharing through a workshop on public fundraising, developing a fundraising toolkit, and starting a mentoring initiative in seven Chapters.

However TI-S's own fundraising plans are yet to fully address the narrow funding base of the Secretariat and set out how it will meet its declared target of doubling its budget by 2015. The PPA grant has increased the reliance on bi-lateral donor grants (see section 1.4), yet concrete steps to build a more balanced income base have yet to be taken. A fundraising strategy is in preparation that will set out the plans for the next three years, and the Resources Department has increased staff capacity with the addition of two fundraising specialists. New fundraising initiatives focus on building relationships with major donors, including "High Net Worth Individuals" who share TI's values and who have the capacity and desire to provide annual financial support to the Secretariat. The Secretariat has recruited a senior international fundraiser to develop a new fundraising initiative to support resource mobilisation in these areas. However, it will take time and resources to build such relationships however.

One factor causing the delay has been the need to complete the Strategy 2015 (which was a two year process) so that it would be clear to potential new financing sources what it is that TI plans to achieve. This may be true, but on the other hand, the PPA funding which provides critical core support for TI-S, is for only a further two years, so there is limited time to prepare the ground and then achieve a diversified and much bigger income. TI-S has been slow, according to several interviews, to tap into wealthy individuals and the general public, or to seek endowments or explore other fundraising vehicles used successfully by other advocacy CSOs like Amnesty International or Human Rights Watch.

Beyond financing, the sustainability of the Movement is expected to be enhanced by the emphasis on people engagement. It is expected that this will lead to increased demand for accountability and greater ability to raise support. Through stronger campaigning and activism at local level, donors and high net worth individuals will be attracted to TI in a way

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<sup>40</sup> The AusAID grant covers 80% of Asia Pacific programme, 50% of Africa and 20% of Latin America.

that was less possible in the past. A separate argument for sustainability is that the programmatic approach adopted in the new Strategy will provide a longer-term basis for support compared to the previous reliance on many *ad hoc* projects. An example is the new three year programme in the Middle East and North Africa region that is multi-donor funded. Both of these arguments carry weight, but at this stage it is too early to show results in terms of either changes to resource flows or a greater number of self-sustaining Chapters. Indeed, the number of self-sustaining Chapters is a useful indicator that TI-S is already considering for inclusion in the new ME&L key performance indicators, as well as the data arising from the Chapter accreditation process.

Finally, there is a concern that if funding does not arrive to match the needs of the new programmes, there will be a need to reduce some of the programmes or even to 'projectise' them – a response that points back to the former days of TI being project-driven. The key programmes are at different stages of evolution, and funding is uneven at present, with those already building on existing work having more funding, while newer programmes such as People Engagement needing to generate funding. The NORAD evaluation pointed out two years ago that TI's main challenge in future will 'lie in the source, predictability and distribution of funding'<sup>41</sup>. This continues to pose challenges to the organisation.

**Effectiveness Rating: Combining the evidence for the four aspects of effectiveness discussed above leads us to set the performance rating as High. The performance in learning and partnership work are especially strong, even outstanding. There is a more mixed judgement on the areas of innovation and sustainability. This may be partly due to the effort needed to reorganise TI-S to implement the Strategy 2015. There are still good examples where TI-S has taken risks and been innovative in the past year. Future resourcing is a concern, and a continuous challenge according to the Managing Director. The plans to address this were not fully available at the time of this review, but considerably more attention should be paid to this issue.**

### 3.4 VALUE FOR MONEY ASSESSMENT

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#### 3.4.1 Economy

This section assesses the evidence on key cost drivers, and how well they have been managed.<sup>42</sup> Section 3.4.2 and 3.4.3 provide an assessment of how inputs have been translated into outputs (efficiency), and outcomes and impact (effectiveness).

As TI-S pointed out in the Annual PPA review 2011/12, the Secretariat's key cost drivers are staff costs, travel, training costs, consultancy costs, and publications. TI-S has taken a number of measures to ensure these cost drivers have been assessed on how necessary they are to delivering the quality and quantity of results required.

TI-S engaged KPMG in 2010 to deliver a workshop on policies and procedures, and to support the production of a comprehensive financial manual based on best practice. The manual contains enhanced financial procedures, including revised travel and procurement guidelines. TI-S has established procurement rules that require at least three quotes on

<sup>41</sup> Evaluation of Transparency International, February 2011, NORAD, p.68.

<sup>42</sup> Define as that part of the '3Es' concerned with Economy.

purchases over €5,000. On travel, staff are also required to always travel economy on the lowest cost flight possible and to maximise the utility of their trips by setting up additional meetings.

Financial management has improved with the implementation of the Oracle system. This software was purchased at a significantly reduced cost of close to €100,000. This has improved monitoring greatly and allows daily expenditure review when previously this information was only available quarterly. TI-S staff commented that his purchase would not have been possible without PPA funds.

Importantly, financial accountability from Chapters has increased. Ten years ago, 40-50% of Chapters submitted audited financial accounts; in 2011 93% did.

To control the cost of procuring external consultants TI-S contracts *pro-bono* assistance from the private sector wherever possible. The new ALACs database that tracks the cost per client/cases was tailor-made with substantial *pro-bono* assistance from the private sector resulting in a relatively modest development cost of €75,000. Further, TI-S is supporting the formation of clusters of NCs that take up the lead in new initiatives such as fundraising and ICT, or leading on themes such as TI-UK on Defence and TI-Kenya on Humanitarian aid. This utilises the knowledge and expertise within the TI Movement more broadly and should reduce the need to procure external expertise.

In terms of human resources, there have been major improvements since 2010, with the introduction of HR policies, induction processes, recruitment plans, comprehensive staff grading and job descriptions, as well as grievance procedures, a works council, and absence and leave guidelines. This has been an important shift, especially given the rapid growth in staff numbers. All of these have raised overhead costs, but should provide a sound platform for more efficient staffing.

A significant issue is the growth of TI-S staffing. A ceiling of 184 staff is set for the end of 2012 according to the Deputy Director, but many of these staff are on temporary contracts that under German law have to be converted to permanent positions after 2 years. If these are 'project-based', however, then they can remain as 2 year contracts, allowing TI-S flexibility to adjust numbers as dictated by availability of programme funding.

A series of measures are in progress to ensure TI-S take precautions for financial risk. A risk manual and mapping exercise has been developed that covers each department, and a risk committee appointed. These risk considerations include issues such as profitability, reimbursements and cash flows, currency losses, systems and fraud.

On reporting, TI-S like many other CSOs, faces a heavy burden in preparing different reports for different donors, besides its general public reports and research documents. DFID also demands greater customised reporting than other donors such as the Netherlands and Norway. There is scope for streamlining. It would be more efficient if DFID and other donors who provide unrestricted funding could agree a common format for annual progress reviews. While the Annual Report contains many good case studies, a more systematic assessment of overall achievements would be helpful, as well as greater reflection on failures and lessons that can be learned. The new ME&L system will hopefully provide suitable results for this.

Despite the additional investments made in improving support services and in hiring staff, TI-S has improved value for money in terms of the proportion of total budget spent on staffing

and overheads (Table 3-3). Over the past three years from 2009-2011, TI-S support costs have fallen from 19% to 13% of total expenditure. The amount spent on fundraising has also fallen from 2.4% to 1.5% of expenditure. Further, the percentage of funds spent on travel has decreased from 5% in 2009, to 4.6% in 2010 and 3.4% in 2011. Between 2010 and 2011 travel costs dropped in absolute terms from €685,000 to €676,000.

**Table 3-3: Financial Statistics - DFID PPA Evaluation <sup>1</sup>**

	2009		2010		2011	
	€ ('000s)	%	€ ('000s)	%	€ ('000s)	%
<b>Donor Contributions</b>						
<b>Donor Income</b>						
Unrestricted	4,586	38.5%	5,096	34.4%	6,414	32.0%
Restricted	7,314	61.5%	9,734	65.6%	13,610	68.0%
<b>Total</b>	<b>11,900</b>	<b>100.0%</b>	<b>14,830</b>	<b>100.0%</b>	<b>20,024</b>	<b>100.0%</b>
<b>Expenditure and Support Costs</b>						
Total Expenditure	1,886		15,038		20,155	
Support costs	2,283	19.2%	2,560	17.0%	2,669	13.2%
<i>of which:</i>						
Finance	577	25.3%	611	23.9%	807	30.2%
Human Resources	418	18.3%	359	14.0%	493	18.5%
Office Management	540	23.7%	673	26.3%	721	27.0%
IT	115	5.0%	129	5.0%	157	5.9%
Fundraising	289	12.7%	287	11.2%	304	11.4%
Network/Chapter Support	208	9.1%	134	5.2%	187	7.0%
Governance Support	136	5.9%	368	14.4%	-	0.0%
<b>Total Expenditure /staff</b>	<b>114.3</b>		<b>133.1</b>		<b>160.0</b>	
<b>Support Costs /staff</b>	<b>22.0</b>		<b>22.7</b>		<b>21.2</b>	
<b>Fundraising ratio</b>		<b>2.4%</b>		<b>1.9%</b>		<b>1.5%</b>
Travel costs for Personnel	594	5.0%	685	4.6%	676	3.4%
Employment Personnel Costs	5,259		6,164		6,784	
<i>of which, funded by:</i>						
Unrestricted Income		54.3%		50.3%		52.4%
Restricted Income		45.7%		49.7%		47.6%
Staff (average per year)	<b>104</b>		<b>113</b>		<b>126</b>	
Interns (average per year)	<b>12</b>		<b>12</b>		<b>14</b>	
<b>Total</b>	<b>116</b>		<b>125</b>		<b>140</b>	

<sup>1</sup> Data supplied by Finance Department, TI-S

### 3.4.2 Efficiency

The following section provides a VfM assessment of TI-S focussing on the efficiency of how TI-S delivers its outputs. A systematic assessment of how inputs have been translated into results is not possible given the manner in which costs and outcomes have been recorded by TI-S. Compounding this is an absence of information to allow comparison over time or against comparator organisations.

Despite the absence of information to allow a systematic efficiency assessment, the following examples provide an indication of how outputs and some outcomes have been achieved with limited expenditure:

- A 2005 study of the **ALACs** in selected countries demonstrated that for an investment of less than €250,000, over 5,000 people received free legal advice.<sup>43</sup> This equates to approximately €50 per client. A later study by the University of Wisconsin also indicated very positive returns, though the methodology can be improved<sup>44</sup>.
- A **fundraising** toolkit was developed by TI-S based on experiences from nine Chapters and then used by 34 Chapters at a cost of €815 each (Stakeholder Interview). While comparing the effectiveness of this approach to external consultants is problematic, this approach cost a fraction of what external consultants would have charged.
- The **ASK Helpdesk** for NCS<sup>45</sup>, which builds on the successful U4 helpdesk. Based on the funding provided, €147,000 per year, with 75 answers at €2000 per answer. The volume of downloads by the wider public is considerable (an average of 900 per query in 2010) indicating the wider value of this particular investment<sup>46</sup>.
- The research outreach network **ACRN**, set up by TI at a cost of €56,000, provides a forum to link researchers and activists including TI Chapters, with each other, and is unique in generating discussion and stimulating research, including work in TI-Ghana by Columbia University.
- Support for **anti-corruption advocacy** to 84 Chapters and other external groups through workshops and guidance material has encouraged these groups to move beyond awareness raising to lobbying, coalition building, public mobilisation. The estimated costs amounted to €49,263 or €586 per group. TI-S estimated that doing the work in house reduced the costs of the activity by half compared to hiring external consultants.
- While the large **global surveys** such as the GCB and BPI are relatively costly, at around €350,000/year, TI-S argues that by commissioning a single service provider (GCB) and by obtaining co-funding from the private sector (BPI), efficiency is increased. DFID provided separate project funding for the GCB and assessed it as good value for money in its business case.<sup>47</sup>

The examples above are not exhaustive; however TI-S is in the process of developing an ME&L system that should allow systematic collection of evidence to assess how costs translate into outputs. Further, from 2013, budgets will be mapped to the strategy which will make easier the comparison of cost to outcomes while allowing staff to manage expenditure better. When these processes have been established it will be possible to assess costs against outputs, such as number of research publications, ALACs and DIPs, web page views and trainings. Comparison over time will be possible and will provide information on where costs can be reduced.

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<sup>43</sup> Drivers of Change: An Evaluation of the Advocacy and Legal Advice Centres Project, P. McCarthy, 2005

<sup>44</sup> A Cost-Benefit Analysis of Advocacy and Legal Advice Centers, University of Wisconsin-Madison, 2010.

<sup>45</sup> The EC have also just signed an agreement to fund the Helpdesk to provide a quota of 30 answers to meet the needs of EC Delegations and DG for Development and Aid.

<sup>46</sup> U4 Helpdesk Annual Report, 2011, TI-S.

<sup>47</sup> DFID, Business Case: Improved monitoring of corruption trends at country level - expansion of Transparency International's Global Corruption Barometer, Memo 2011, Section E 2.19.

Some more broad points can be made about the efficiency of TI-S. Firstly, channelling funds through a large NGO, and the leading international organisation working on anti-corruption can achieve a very significant scale of audience and programme/policy attention. This is particularly relevant to the work that TI-S does on influencing anti-corruption conventions and country adherence to these agreements.

The majority of the PPA funding was used by TI-S to cover costs incurred in Berlin and to support Chapters, rather than to work directly with the poor and marginalised in low income countries. This is necessary given the nature of TI-S's work, providing capacity building support and coordinating the efforts to Chapters. However, funding is also directed to Chapters that are unable to generate funds from elsewhere. With TI-S's recently developed programme-based financial reporting, funds allocated from unrestricted sources can be traced to programmes and to regions. A significant proportion of the funds diverted to Chapters are provided to those in middle or high income countries as Chapters in these countries find it more difficult to generate funds. While this may appear to oppose efforts towards equity, TI-S provides value in funding such Chapters when other donors will not, as corruption is not restricted to national borders. Many of the most pressing corruption issues have international dimensions including financial sector corruption, the arms trade, the drugs trade, and procurement involving foreign firms.

As TI-S point out in the 2011/12 Annual Review on the PPA, a key efficiency improvement is the increased coordination, alignment and improved organisational direction created through the TI Strategy 2015 and related implementation plan. PPA funding was instrumental in implementing this organisational change as it could not have happened in the same time frame and to the same degree without core funding. TI-S hopes that this organisational change will improve efficiency by:

- *Ensuring that all new partnerships and proposals are relevant to the objectives of the 5 year implementation plan.*
- *Organisational changes to TI-S better serve Chapters, increasing the volume and strategic nature of capacity building support.*
- *The TI Movement is working towards the same objectives, set out in the new programmes, to which a large number of Chapters have aligned their national plans.*

However, while these changes are significant and compelling, they are in their early stages and there is as yet only partial limited evidence that there has been more efficient delivery of outputs or outcomes so far.

A final significant measure of efficiency is how TI-S has been able to leverage DFID's PPA to generate additional funds. The period of the PPA grant and the increase in amount (three years in duration, and doubling compared to the previous grant) are significant. Informants told the review that PPA funding has encouraged several other funders including the Netherlands, EC, NORAD and AusAID to continue or to initiate new grants. DFID's investment therefore has contributed towards TI-S receiving further funding, so enhancing the additionality of DFID's contribution.

### **3.4.3 Cost effectiveness**

Cost effectiveness in terms of a reduction in corruption relative to inputs is difficult to ascertain given the long term nature of this kind of change and the lack of tools and difficulty in measuring corruption. This is not a challenge faced by TI-S alone, but one recognised by many organisations operating in the area of behaviour and policy change. Compounding this is the complex nature of determining attribution and contribution when multiple stakeholders are acting in complex situations across a global stage.

Despite these difficulties it is possible to determine the cost effectiveness of some of TI-S's PPA log frame outcomes. The following examples attempt to demonstrate the cost effectiveness of TI-S's achievements in relation to the PPA log frame outcome indicators:

- *Though the impact of **G-20 policy work** is difficult to trace, TI policy recommendations incorporated into the G-20 communiqués is a critical step in achieving long term impact. These activities cost €49,800, based on a portion of costs of a Programme Coordinator's time and travel. However, this does not reflect the degree of TI-S's contribution or the impact this G20 communiqué will have on reduced corruption. (Outcome Indicator 1.2)*
- *Number of annual citations of TI Global Corruption Barometer in academic journals (Outcome Indicator 1.3)*
- *Total **web-communication** costs increased from €304,183 in 2009 to €639,247 in 2011, which translated to an increase in average website visits per day from 5,257 in 2009 to 7,349 in 2011 (TI Internal data). While this statistic does not show good value for money, the cost of the website renovation is restricted to 2009-11 after which it will be easier to demonstrate VfM. (Outcome Indicator 2.1)*

With the introduction of the new ME&L system, TI-S hopes to be able to systematically collect information on policy changes at the regional and multi-lateral level. Information on the contribution of TI-S to these changes will also be collected. Combining this information with figures on the cost of related activities (which will be available from the new aligned budget system) and tracking this over time, will allow TI-S to make comparisons on the cost effectiveness of various policy influencing strategies. It should be noted that a direct comparison of costs would not be helpful; instead this approach would require consideration of context and the relative impact of the targeted policy changes on anti-corruption.

Similarly, national level policy change may be tracked against the cost of input in the same way. This is complicated by the role that TI-S has supporting the NCs to actually effect change, but it appears the new ME&L system will measure this level of support and the contribution this had on policy change.

Measuring the cost effectiveness of efforts to reduce corruption rather than change in policy and procedures is more difficult. In the PPA Annual Review 2011/12 TI-S highlighted the role that the TI-Czech Republic played in halting a tender which would have cost the public an estimated €1.5 billion. DFID's response to the review stated that understanding and rationalisation of cost drivers should be the focus of the VfM assessment rather than the VfM created by addressing corruption. However, while demonstrating an understanding and rationalisation of cost drivers is important to the economy aspect of VfM, the UK National Audit Office states that "good value for money is the optimal use of resources to achieve the intended *outcome*".<sup>48</sup> To understand cost effectiveness, therefore, costs/inputs must be assessed against outcomes/impact.

The information recorded by TI-S in the new ALACs database will demonstrate how the cost of this programme relates to money saved as a result of interventions and legal advice from the ALACs. The new ME&L system also presents the opportunity to record anti-corruption savings and the contribution of TI-S to this saving.

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<sup>48</sup> Italics added

### ***How PPA funding allowed new VfM procedures***

The ME&L system in development at TI-S has been made possible through PPA core funding. A full time ME&L advisor was recruited in 2011 and external advisors have been consulted in the development of this system. In this sense, PPA funding is contributing to enhancing VfM procedures. On the other hand, the current guidance from DFID has not always been clear on what TI is expected to measure, especially with regard to VfM. This review disagrees with the recent DFID comments on the Annual PPA review. It believes that TI-S already now has a very good handle on cost drivers, and what they need is a way to measure the savings achieved or returns made from reducing corruption and improving transparency.

### ***Suggestions for improving VfM***

There needs to be a range of VfM measures deployed that relate to the nature of the intervention. For some, a quantitative approach is more likely to be appropriate, as for example using cost-benefit methods to judge the performance of discrete interventions such as ALACs, DIPs or web users, where the beneficiaries or service users can be identified. For other cases, a more qualitative system such as a rating assessment may be needed, where for example dialogue or policy influencing work needs to be assessed. A third way is to undertake comparisons over time of certain measures can help establish a trend, such as with our suggestion over using the GCB to track perceptions in levels of corruption over time. These different approaches reflect recent thinking on VfM for DFID's governance work.<sup>49</sup>

Table 3-4 demonstrates how the outcome indicators within TI-S's PPA log frame can be assessed for value for money over time. Much of this information is contingent on TI-S's ME&L system and new strategic budgeting being implemented.

#### **VfM Summary**

**Economy Rating: High.** This is based on an analysis of overhead costs over a three year period that demonstrates good control, as well as successful reforms on underlying financial and human resources management systems.

**Efficiency: High.** TI-S has produced a number of its outputs for very modest investment, whether research outputs, advocacy, training or leveraging other funding. More systematic analysis involving comparison over time and against comparators, where possible, will strengthen efficiency.

**Cost Effectiveness Rating: Medium.** While the costs and resources used are known, the evidence for impact on reducing corruption is limited even though TI-S delivers many of its outputs and outcomes in an efficient and economic way. TI-S is aware of the need to strengthen its monitoring in this area and much work is on-going to improve data capture and analysis. To improve its success, TI –S needs to develop ways to be more systematic in its analysis of the savings or losses avoided due to preventing corrupt practices that have occurred because of TI actions.

<sup>49</sup> Measuring the Impact and Value for Money of Governance & Conflict Programmes, ITAD Ltd., 2010

Table 3-4: Value for Money proposals for PPA Outcomes

OUTCOME 1	Outcome Indicator 1.1	Existing Baseline	Potential unit cost	VfM proposal	Comparison
Improved anti-corruption understanding, policy and practice by public and non-state actors globally	Number and description of systemic positive change shown annually (change in discourse, policy development, policy adoption, implementation, enforcement of change) with a verifiable contribution by TI to this change	0 policy changes (TI Advocacy scale)	Cost of policy change	Cost of policy change could be assessed on two scales: (1) measuring the impact on anti-corruption (2) measuring the contribution TI made to influencing that change <i>(this info could be from the scales TI-S uses or new versions could be developed)</i>	Over time
	<b>Outcome Indicator 1.2</b>				
	Number and description of TI recommendations taken up by regional and global institutions (WB, G20, EC, regional intergovernmental bodies, financial institutions, etc.)	0 new (public documents of institutions)	Cost of recommendation uptake	Cost of recommendation uptake could be assessed on two scales: (1) measuring the impact on anti-corruption (2) measuring the contribution TI made to influencing that change	Over time
	<b>Outcome Indicator 1.3</b>				
	Number of annual citations of TI Global Corruption Barometer in academic journals	525 in 2010 (Google Scholar)	Cost per citation	Disaggregated by category: academic, NGO, donor etc. if possible	Over time
	Cost of money saved through ALAC intervention		Money saved per pound of input	Money saved could be compared with cost on a country basis	Over time
<b>OUTCOME 2</b>	<b>Outcome Indicator 2.1</b>				
Increased anti-corruption awareness and action by citizens all over the world	Number of unique visitors to TI website	1,805,992 (10.02.2010 - 09.02.2011) (TI website monitoring matrix)	Cost per daily visit or equivalent	Disaggregated by geography	Over time and with comparators if data are available
	<b>Outcome Indicator 2.2</b>				
	Number of contacts received by Advocacy and Legal Advice Centres	21000 (2010) (TI ALAC database)	Cost per contact or case resolved	Disaggregated by gender, poverty level, region	Over time
	<b>Outcome Indicator 2.3</b>				
	Number of case studies of citizens resisting corruption	20 new (case studies)	n/a		

### **3.5 IMPACT OF PPA FUNDING**

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The PPA logframe provides a limited measure of impact (based on two indicators) that indicate compliance with the OECD Convention and the percentage of public service users reporting experiences with bribery. While results are discussed in Section 3.1.1, the indicators themselves are of partial value in assessing the full impact of PPA funding. TI's impact occurs at several levels and in various thematic areas and since the PPA in principle can support all aspects of TI's work, a more comprehensive impact assessment system is needed. In this sense, the PPA logframe has limited utility and is something of an interim solution until TI-S puts in place its own ME&L system. Since this is such a critical area both for TI-S and for its donors, the next section looks in detail at the draft elements of this system.

#### **3.5.1 Development of the ME&L System**

TI acknowledges that ME&L has been neglected in the past, and its improvement was a key recommendation from the previous PPA IPR and from the NORAD evaluation. Since these evaluations, an M&E specialist has been appointed, supported by peer reviewers and an internal reference group. This may be a low cost approach but is also high risk, given the challenge of developing a system for a growing CSO working on a complex issue such as corruption and doing it through a Movement founded on independent membership. Work on the ME&L system so far has consisted of developing a framework and collecting baseline data. Various concept papers outline the planned components of the system, and the final versions are set for Board approval in the coming months.

The new ME&L system will not capture Chapter activities that are self-funded, but only those activities that fall within the key programmes and that are implemented in association with the Secretariat. This approach may capture much of TI-S's work, but the design needs to be more explicit on how other activities carried out by Chapters will be monitored. TI-S hopes that all Chapters will be ready to deliver according to the Strategy 2015 and within the key programmes. While many Chapters have aligned with the Strategy (Section 3.2), there may need to be a mechanism to incorporate the results of Chapters where they do not fall within the scope of the Strategy or are not supported with funding through the Secretariat.

The concept for measuring results and impact is so far designed around different groups of indicators. Key Performance Indicators (KPIs) focus on governance performance (Board, management, finance and human resources). Programme (or Component) indicators define standard indicators for each of the seven key programmes. Finally, Global Impact Indicators (GIIs) are a small number of composite indicators that are intended to measure the 'big picture' and as such they are an interesting attempt to understand TI's global performance. Each GII comprises several sub-indicators that are available from the other indicator sets as well as data from qualitative sources such as focus groups. It is proposed that these are combined in a weighted manner and used to generate a four point rating scale. The composition of the indicators, their weighting and method for collection await further definition.

While it is at an early stage, the system appears comprehensive and tailored to support the Strategy 2015 and Implementation Plan. The real test of the system will come when it is implemented in the months ahead. There was good buy-in across TI-S and those Chapters contacted by the review team. The monitoring of organisational and programme results is

based on relevant indicators. The approach to impact is rather untested, however, and, though innovative, seems over reliant on qualitative self-assessments. There is room for greater use of objective measures of Chapter and TI-S performance. Comparing efficiency and effectiveness across Chapters would be a way to assess performance across the whole Movement in a more quantitative way.

### 3.5.2 Attributable Impacts of PPA Funding on Results

Identifying specific impacts and attributing them to PPA funds is not straightforward given the unrestricted nature of PPA funding, as well as the lack of an effective ME&L system in the past. While attribution is not possible, result areas can be identified where the contribution of the PPA grant can be traced and shown to be significant and even critical in the past year. These relate not to impacts such as reduced corruption, but to certain outcome and output areas:

- *The reorganisation of TI-S and the increase in capacity in several TI-S Departments has been directly due to the increased PPA. This reorganisation is leading to a range of improvements in the way TI-S conducts its business (see section 3.4). TI-S's view is that without the PPA funds, the pace of reorganisation would have been slower, perhaps taking two-three years instead of a year to eighteen months. According to two TI-S staff, 60-70% of TI-S work would not have happened without unrestricted funding.*
- *Additional staff, recruited with the support of PPA funds, has allowed various areas of TI-S work to have greater impact. For example, advocacy work is largely supported by core funding, and individuals have undertaken TI's policy influencing work through advocacy and lobbying in several fora involving the G20, UNCAC, OECD and others. There are several examples where the texts of major anti-corruption resolutions or communiqués have been influenced by the work of one or more TI-S staff, for example the G20 meeting in Cannes, and in the Business 20 anti-corruption task force submission on small and medium scale enterprises in Mexico in 2011.*
- *In terms of global knowledge products, PPA funding has directly supported improvements in the BPI and GCB, increasing sample size for example with the BPI to 30 countries as well as widening the scope of the study.*
- *The most advanced Key Programmes have utilised the PPA funds to develop new guidance and tools, as in the case of the INSP. Furthermore, the PPA has allowed regions to hold workshops and planning meetings that have supported Chapters to align their own strategies and build their capacity, as well as make use of small grants to do innovative work.*
- *TI-S has used increased core funding to strengthen advocacy and communications in Chapters, largely through workshops, trainings, webinars and so forth. This has benefited 50% of TI's Chapters<sup>50</sup>, especially those in hostile political environments, and enabled them to move beyond awareness-raising to lobbying and public mobilisation. Interviews with TI-Vietnam confirmed the value of this support. The 'Time to Wake Up' Global Campaign, also largely core funded, has supported five pilot countries to mount local media campaigns themselves and in TI-Columbia this has been effective in raising the need for transparency in local elections and led to elected politicians making pledges on tackling corruption that can be monitored.*

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<sup>50</sup> Additional information and data provided by TI-S

## 4 CONCLUSIONS

### 4.1 SUMMARY OF ACHIEVEMENTS AGAINST EVALUATION CRITERIA

Table 4-1: Summary Ratings for Evaluation Criteria

Criteria	Rating	Comment
<i>Results</i>	<b>High</b>	Our assessment is based on the number of indicators within the PPA logframe that are on track, as well as other evidence of achievements beyond those captured in the logframe
<i>Relevance</i>	<b>High</b>	Our assessment of the relevance of TI's Strategy 2015 is that the Strategy is outstanding. It is an excellent model of a well-considered and appropriate approach that moves TI towards a programmatic and more integrated way of working. It is also more <i>representative</i> of the Movement as a whole, though there are some questions over the size of TI-S in relation to the rest of the Movement. On <i>targeting</i> , we have concerns over the weak emphasis on large and emerging economies and on how TI addresses gender. Overall our performance rating for Relevance is High.
<i>Effectiveness</i>	<b>High</b>	The performance in <i>learning</i> and <i>partnership</i> work are especially strong, even outstanding. There is a more mixed judgement on the areas of <i>innovation</i> and <i>sustainability</i> . This may be partly due to the effort needed to reorganise TI-S to implement the Strategy 2015. Future resourcing is a concern. The plans to address this were not fully available at the time of this review, but more attention should be paid to this issue. Combining the evidence for the four aspects of Effectiveness leads us to set the performance rating as High.
<i>Value for Money</i>	<b>High</b>	We rate TI-S as High for <i>Economy</i> and <i>Efficiency</i> . TI-S has demonstrated good control of overhead costs, as well as successful reforms on underlying financial and human resources management systems. TI-S has produced a number of outputs for very modest investment, including in research, advocacy, training and in leveraging other funding. More systematic analysis involving comparison over time and against comparators, where possible, will strengthen efficiency further.
	<b>Medium</b>	We rate TI-S as Medium for <i>Effectiveness</i> . While the costs and resources used are known, the evidence for impact on reducing corruption is limited even though TI-S delivers many of its outputs and outcomes efficiently. To improve its success, TI-S needs to be more systematic in its analysis of the savings or losses avoided due to preventing corrupt practices that have occurred partly because of TI actions.

### 4.2 SUMMARY OF ACHIEVEMENTS AGAINST RATIONALE FOR PPA FUNDING

The PPA grant has been put to good use so far in terms of developing and implementing the new Strategy 2015, and has enabled TI-S to move faster in re-organising and professionalising itself and in reaching out to its Chapters and building their capacity. Policy engagement with DFID has continued and there is a partnership of mutual respect, but the level of dialogue and mutual learning has not perhaps been as strong as in the past, partly because of the changing arrangements in DFID's management of the PPA.

### **4.3 SUMMARY OF PROBLEMS AND ISSUES ENCOUNTERED**

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Given limited days for the review, the fieldwork was restricted to a visit to TI-S in Berlin, and Chapters were only interviewed on the phone. This maximised the opportunity to gather information on the main object of the review: TI-S. The five Chapter interviews provided some balance and insight into the views of the wider Movement.

Lack of aggregated standardised year on year results for TI-S as a whole meant the review had to focus mainly on the PPA logframe to determine performance. While the logframe is a mutually agreed, standardised and measurable tool for checking progress, it is nevertheless only a partial representation of all that the PPA funds supported.

### **4.4 IMPACT AND VALUE FOR MONEY OF PPA FUNDED ACTIVITIES**

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From the ratings given in this report, the review concludes that TI-S has been highly effective in its use of PPA funds to-date. The grant has been used to drive the Strategy 2015 and its Implementation Plan, and to deliver strong learning and partnerships, to improve efficiency, and to meet or exceed nearly all the targets set in the PPA logframe. The PPA grant is only just over one year old, and TI-S is still developing some critical systems and programmes that are needed if TI-S is to deliver the anticipated outcomes and impact by 2015. Therefore it is somewhat early to judge the outcomes, at least in terms of empowering citizens to address corruption, and improving policy and practice by external stakeholders. The outcome related to a 'strengthened TI Movement that can work better together' has better evidence at this stage, in for example support for the Strategy, and the results so far under the INSP and the PEP. The impact as defined in the PPA logframe ('reduce corruption globally'), would be better moderated to fit with the Strategy 2015 objectives and link the indicators to the GII indicators under development within the new ME&L system. Some of these focus on different types of broad response to TI outcomes, such as people obtaining redress from corruption, empowerment of vulnerable groups, increased use and implementation of TI recommendations by states and corporations.

### **4.5 UTILITY**

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The intended use of this report is to provide DFID and TI-S with an independent review of TI-S progress after receiving the first year of a three year PPA grant from DFID. It supplements TI-S's own annual PPA review prepared for DFID. The report provides recommendations and lessons to TI-S and to DFID on the use of the PPA funds.

The draft report was presented to TI-S at a meeting in Berlin on 25<sup>th</sup> September so that feedback could be given to the authors. A subsequent management response outlines what follow-up actions TI-S will take in the light of the report's findings (Annex I), while DFID's Evaluation Manager provides a separate response (Annex J).

## 5 LESSONS LEARNT

### 5.1 POLICY LEVEL

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A major policy and strategy reorientation in a global NGO takes time to design and implement, and the re-organisational energy required is considerable. A substantial PPA grant can be an effective means of speeding up this process, as well as helping the agency to fulfil a more ambitious and risky mandate, such as seeking to strengthen and deliver more through people engagement at country level. While donors such as DFID seek to show that PPA funds reach the poor and marginalised, in the case of work on corruption this imperative loses its primacy because of the complex nature of corruption and its cross-border dimensions. Drivers of corruption are often located in the G20 countries and it is right for TI to seek solutions and conduct advocacy wherever they are most needed.

The result of moving PPA funding to a different DFID department that has more of an administrative than a policy engagement role, and by grouping all PPA grants into a large programme, DFID has reduced the opportunity for policy dialogue and learning.

### 5.2 PPA FUND LEVEL

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The PPA logframe should align more closely with the Strategy of the grant recipient and the actual use of the PPA funds. However, a simple logframe with fewer outcomes is helpful, as is the emphasis on setting outputs at a lower level so that they are likely to be achievable within the period of the grant.

Where an organisation has a narrow funding base, developing new founding sources needs to take place early enough so that core funding can be used to support the necessary capacity and resource strategy.

One of the most valuable uses of PPA funding is to support the professionalisation of a CSO. This can underpin future sustainability, improves value for money metrics since cost drivers are better understood and monitored, and in the case of a 'federation' type of Movement allows better support to small and vulnerable Chapters.

In seeking value for money from support to an advocacy organisation working in a complex area such as corruption, donors must accept that results at the impact level are long-term and difficult. Even at outcome level, measuring change in understanding and behaviour at a global level is a very complex task. In this respect, developing an ME&L system in such a setting and where in addition Chapters are relatively autonomous is a huge challenge.

Investing in improved technologies such as web and social media can have a powerful effect on the outreach of an advocacy based CSO. While measuring hits and visits is a relatively straightforward way to monitor increased audience, the impact in terms of changed knowledge and behaviour will require more sophisticated tools and investment. PPA funds could be used to support this. Developing more detailed and standardised information on VfM indicators by comparator NGOs would be collectively beneficial for donors and for NGOs.

### 5.3 ORGANISATIONAL LEVEL

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In undertaking a significant re-organisation in order to deliver on a new strategy, care needs to be taken to maintain active links with external stakeholders and balance the enthusiasm for reform with the need to support Chapters across the Movement during the process.

## 6 RECOMMENDATIONS

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In conclusion, the following recommendations are offered.

1. TI has developed expertise in measuring prevalence and risks of corruption largely through perception studies. Further research is needed building on these existing tools, to measure corruption experiences directly. Furthermore, research on other forms of corruption, particularly political corruption is now needed. Work in this area - supported by unrestricted funding - would be cutting edge and TI-S is the most qualified and well-placed agency to undertake it.
2. While it is at an early stage, the ME&L system appears comprehensive and aligned to the Strategy 2015 and Implementation Plan. The monitoring of organisational and programme results seems based on relevant indicators. However the approach to impact is rather untested and, though innovative, seems reliant on qualitative self-assessments. PPA funds could be used to develop greater use of objective measures of Chapter and TI-S performance, and also to further distinguish between different types of beneficiary, such as direct and indirect; male, female; or first, second and third level, as other PPA grantees do.
3. To improve reporting:
  - DFID requests that targets and results match the UK fiscal year of April-March. However this is an unnecessary burden on TI-S and out of line with other TI-S reporting which follows the calendar year - as well as broader aid effectiveness principles (to which DFID has signed up). It would be helpful if DFID would accept a standard reporting period of Jan-Dec, as the other core-funding donors have already agreed to do. This would help to improve efficiency of reporting for TI-S.
  - While the Annual Report contains many good case studies, a more systematic and balanced assessment of overall achievements is needed. The new ME&L system will hopefully provide suitable results for this.
4. DFID needs to rebuild a stronger policy dialogue with TI-S that justifies the strategic nature of core funding. Feedback on TI annual reviews should go beyond the logframe results and address policy issues, challenges of measuring performance and sustainability for example. DFID and TI-S should consider adopting a strategic partnership agreement, along the lines of that already signed between TI-S and AusAID, which would encourage greater policy dialogue and a more mutually beneficial relationship.
5. DFID is committed to increasing the proportion of its aid budget to fragile states to 30% by 2014-15, and while many of the target countries are seen as having higher corruption risks, there is not a clear reflection of this emphasis in the TI Strategy. This represents both a challenge for TI-S and an opportunity to use PPA funds on an area of mutual interest, since DFID would welcome greater analysis or advice on tackling corruption in such settings, even if TI does not have a Chapter there.
6. Build on Chapter-led initiatives: many Chapters are pursuing anti-corruption initiatives that have relevance beyond their local situation (humanitarian aid, defence, social equity, use of IT approaches, ALACs). As acknowledged by TI-S already, supporting such Chapters to take the lead will strengthen inter-Chapter engagement and enhance efficiency.

7. The growing size of the Secretariat may be necessary for the challenging role it faces in supporting the Chapters and providing stronger central advocacy and research, but TI-S needs to balance this with greater support to the many Chapters that are struggling to retain staff and funding. Options should be explored including establishing regional centres in existing larger Chapters, so as to improve coordination at regional level, or attaching TI-S staff to Chapters for short periods to share skills and experience.
  
8. In terms of representativeness and targeting:
  - Greater effort should be placed on working with and on the BRICS and other G20 countries, whether this is at country level or at the Secretariat, in order to reflect the growing importance of these economies and their critical role in addressing corruption.
  - Wider non-European membership would be appropriate for the TI Board, Advisory Council and the Management Group, although in the case of the Board this is not straightforward given that members are elected by the Movement's members.
  - Address Gender more effectively both from an organisational point of view (increasing female representation in the Board, Council and Management) and from a research and country engagement level (examining gender more fully in research work, and exploring ways to improve women's anti-corruption knowledge and engagement).
  - Broaden the audience of TI-S's social media to include a more global audience. Equally, seek to improve the number of Chapter research publications from non-OECD countries.
  
9. On fundraising, given that TI aims to double its budget by 2015 and that most of its funding currently is from a small number of bilateral government donors, TI-S should:
  - Pay greater attention and act faster to build a more balanced funding profile. TI should address its narrow funding base more aggressively, and set funding targets for new sources for the next three years. With only two years of PPA funding remaining, and no guarantee of a further grant, there is a risk that the many initiatives and staffing positions supported by its valuable unrestricted funding will not be supported.
  - TI-S should seek to broaden its funding base to include a greater contribution from non-OECD and 'non-aligned' countries / individuals.
  
10. Value for Money: There needs to be a range of measures deployed that relate to the nature of the intervention. For some, a quantitative approach is more likely to be appropriate, as for example using cost-benefit methods to judge the performance of discrete interventions where the beneficiaries or service users can be identified. For other cases, a more qualitative system such as a rating assessment can be used, where for example dialogue or policy influencing work needs to be assessed. A third way is to undertake comparisons over time of certain measures to establish VfM trends. TI-S should:
  - Undertake an assessment of the information required to assess the value for money for efficiency (inputs to outputs) and cost effectiveness (inputs to outcomes/impact) so that the forthcoming ME&L system collects the relevant information.

- Set up standard comparisons of efficiency across the Movement, such as percentage of funds raised locally to overall expenditure, ALAC cases handled per cost of ALACs, percentage of Chapters with an unqualified audit. Conduct further cost-benefit analysis of ALACs, following on from work already started by previous studies.
- Pursue a VfM system at the cost effectiveness level that records the amount of money saved as a result of anti-corruption measures. Also consider widening the use of the partnership, advocacy and policy scales developed under the AC:DC project to measure.
- Conduct an evaluation of Development Integrity Pacts: given the benefits of the integrity pact tool such as wide citizen involvement yet the limitations of high running cost, finding appropriate mediators and willing parties to engage, an evaluation of the experience to date is warranted. This could look at the quite large body of DIPs in operation, and explore options for their future.
- Seek to measure the costs and benefits of policy influencing at the regional and international level. This will be made easier when budget are mapped to the TI Strategy but TI-S could also consider time sheets or 'diaries on policy engagement' for TI-S staff articulating time spent on different policy changes or advocacy diaries that record activities used for specific policy changes. Diary analysis is considered a useful tool where measuring advocacy work is difficult.

#### 11. PPA logframe:

- Maintain the use of PPA logframe as an agreed objective framework for performance assessment, but ensure that it is consistent with the emerging ME&L results framework.
- For impact, adjust the impact statement to be achievable in 3 years. For example: "Citizens, states and corporations implement specific measures to reduce corruption and improve accountability by 2015". Incorporate one or two of the global impact indicators (GIIs) that relate to actions by these three groups (states, corporations or citizens) towards tackling corruption.
- Improve the measurement of outcomes by refining indicators in order to measure behaviour change and understanding more directly. For example, for Outcome 1, define 'systemic positive change' more precisely, and provide details of why certain changes were selected and what TI's contribution was. For Outcome 2, rather than report website visits or ALAC contacts, investigate how social media /websites and ALACs are changing understanding or behaviour through follow up surveys (on line or by direct interview). In this respect, add more data on client socio economic status in the ALAC database to distinguish different types of beneficiary, and allow analysis of proportion of persons that are 'poor and marginalised'.
- Where appropriate, revise milestones for forthcoming years to avoid static targets. For example, given the growing contribution expected from Chapters as well as TI-S, the number of publications should rise, as should the number of trainings.

## Annexes

Annex A: Terms of Reference .....	41
Annex B: Evaluation Research Schedule and Timescales .....	45
Annex C: Data Collection Tools .....	46
Annex D: List of People Consulted .....	55
Annex E: Bibliography .....	57
Annex F: Details of Evaluation Team .....	60
Annex G: PPA logframe .....	62

## Annex A: Terms of Reference

### Transparency International DFID Programme Partnership Arrangements: Mid-Term Independent Progress Review

The Transparency International Secretariat (TI-S) and Transparency International – UK (TI-UK) are inviting applications from highly skilled professionals to carry out independent progress reviews (IPRs) of their Programme Partnership Arrangements (PPA) 2011 – 2014 with the UK Department for International Development (DFID).

Two separate reviews have to be undertaken and two separate reports have to be submitted to TI as the final outputs of the assignment. Consultants are however welcome to submit bids for both reviews through one application (see section 7. Application procedure).

#### 1. Background

Transparency International is the global civil society organisation leading the fight against corruption. Through more than 90 chapters worldwide, including in the UK, and an international secretariat in Berlin, Germany, TI raises awareness of the damaging effects of corruption and works with partners in government, business and civil society to develop and implement effective measures to tackle it

DFID provides significant funding to civil society organisations (CSOs) annually in line with its overall strategy to alleviate poverty and promote peace, stability and good governance. The Programme Partnership Arrangements (PPA) are one of DFID's principal funding mechanisms for CSOs. Transparency International holds two PPAs with DFID:

- 1) **General PPA**, implemented by the TI Secretariat (TI-S) in Berlin
- 2) **CHASE<sup>[1]</sup> PPA**, implemented by TI-UK's Defence and Security Programme (TI-DSP).

Both PPAs run from 1 April 2011 until 31 March 2014.

**The General PPA is used by TI-S** as unrestricted and strategic funding for its role in the implementation of the TI Movement strategy, TI Strategy 2015.<sup>[2]</sup> The PPA funding enabled TI-S to invest in areas which the TI Movement collectively decided should be joint priority in the years ahead and it ensures TI-S is able to push work at the global level while supporting national action on the ground by national chapters in more than 90 countries. The PPA support is particularly envisaged to contribute to

- Increased understanding of corruption issues
- Increased empowerment of citizens to address corruption and promote integrity
- Improved anti-corruption policy and practice by external stakeholders
- Strengthened ability of the TI Movement to work together and perform well

The Logical Frameworks for the General PPA can be downloaded [here](#) . More information on Transparency International can be found on our website [www.transparency.org](http://www.transparency.org).

#### 2. Objectives

The objectives of the IPR are

- To assess progress on the PPA and verify TI's reporting to DFID on this progress
- To assess the impact that DFID funding has had on the organisation
- To assess the Value for Money provided by TI-S / TI-DSP

- To derive lessons which will enable TI-S/TI-DSP to inform its future strategies, programmes, approaches and set-up

### 3. Assessment criteria and IPRs questions

#### 3.1 Relevance

- Do the planned interventions and outcomes (as expressed in the logframes) reflect the needs of the target audiences?
- To what extent have TI-S/TI-DSP been maximising the impact of their work on their target population?
- Is the theory of change which underpins the PPA valid? I.e. is the assumption valid that through the outcomes the PPA seeks to achieve the lives of citizens will be improved?
- General PPA only: Does TI-S use the PPA support in line with its envisaged role within the implementation of TI Strategy 2015?

#### 3.2 Efficiency

1. To what extent are TI-S able to evidence their cost effectiveness and as such to demonstrate an understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains?

#### 3.3 Effectiveness

- To what extent are the achieved outputs contributing to the achievement of the expected and set outcomes?
- Are TI-S monitoring and systematically collecting data to inform management, evidence-base decisions, and introduce mid-course corrections?

#### 3.4 Sustainability

- To what extent are TI-S able to disseminate, share, and mainstream the learning?
- To what extent are TI-S setting up strategies that will ensure the sustainability of the respective outcomes post DFID's funding?
- To what extent are TI-S benefiting the sector as a whole? If yes, how? If not, what could be improved?

#### 3.5 Results

- To what extent are TI-S progressing towards the intended outcomes?
- What changes are being enabled through progress towards the outcomes of TI-S?
- What were the conditions for the successes and for some identified failures and constraints?

#### Additional question

- To what extent does DFID funding achieve additionality, i.e. to what extent did PPA funding enable TI-S to achieve things they would have otherwise not have been able to achieve?

### 4. Indicative timelines

<i>Deadline for applications</i>	<i>Wednesday 2 May 2012</i>
<i>Telephone interviews with short-listed candidates</i>	<i>Week commencing 14 May and/or week commencing 21 May</i>
<i>Decisions on selected consultant / Contract signature</i>	<i>End May / Early June</i>

Inception meeting (Berlin or London)	Mid-June (all members of the evaluation team have to be present for this meeting)
Field work, interviews, visits, etc	From mid-June until mid-September
Draft report due	26 September 2012
Final report due	12 October 2012

## 5. Approach and method(s)

The following approach and methods are merely indicative, and applicants are welcome to build on it, as well as to propose different methods and approaches.

### Stage 1: Document review

Consists of reading and getting familiar with the core documents and other materials that may provide evidence to respond to some of the above questions. Examples of documents are:

- Original proposals submitted to DFID by TI-S
- TI-S year 1 report, case studies, and other PPA deliverables as submitted to DFID
- Available evaluations and/ or learning reports for TI-S
- TI Movement 2015 strategy.

### Stage 2: Fieldwork/ primary data collection

This stage will involve:

- Identification of pertinent interviewees, both internal and external;
- Identification of most suitable method(s) of data collection – e.g. survey, face-to-face semi-structured interviews;
- Possible country visits

### Stage 3: Data analysis and report writing

- This should follow the guidelines set in the PPA Evaluation Strategy for IPRs (to be provided);
- It should include annexes which contain:
  - Details of the final agreed TORs;
  - A list of people and organisations interviewed;
  - A list of documentation reviewed;
  - A timeline of the evaluation process.

## 6. Skills and Qualifications

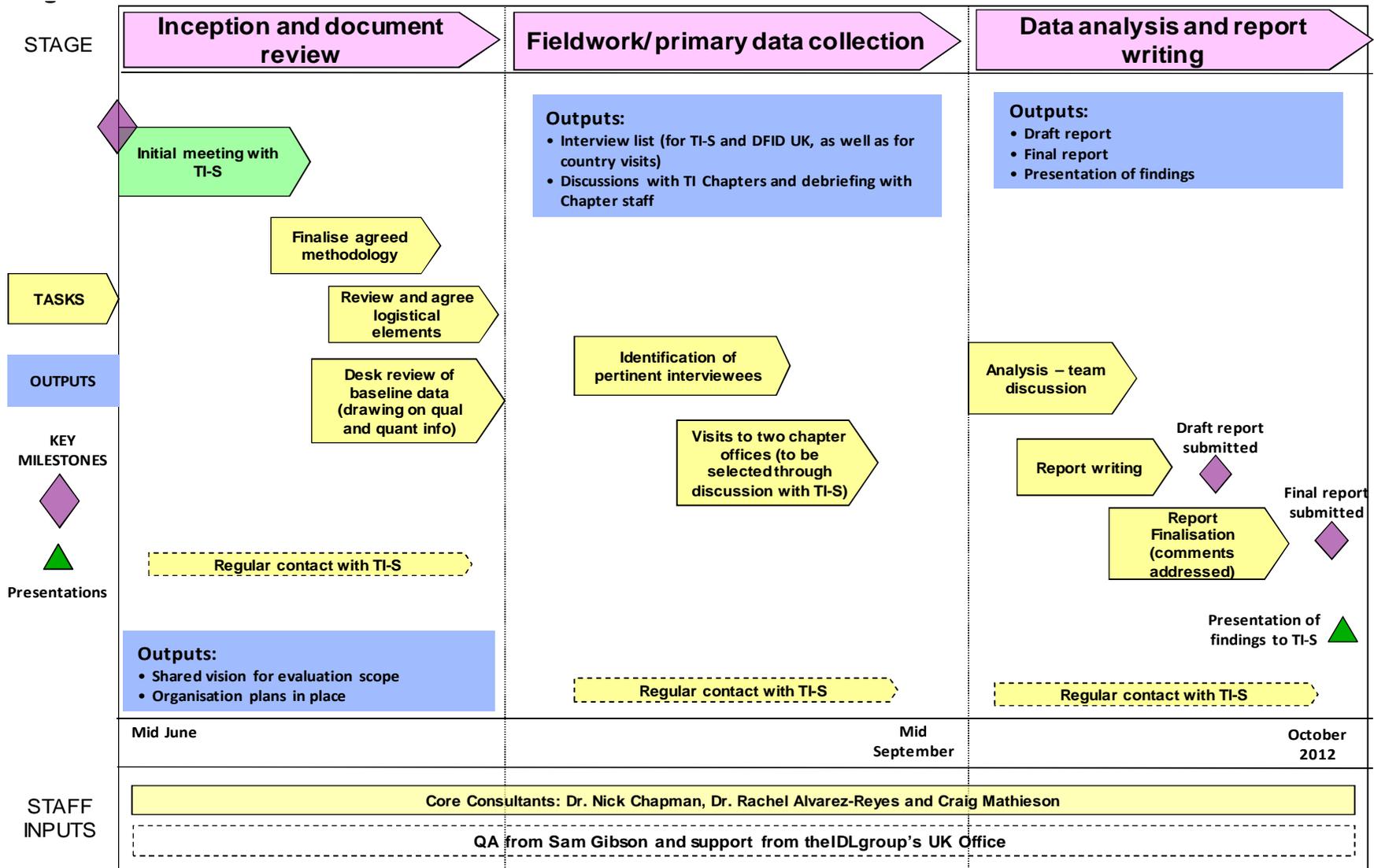
The successful applicants are expected to have:

- At least 10 years of experience in designing and conducting evaluations. Applicants will have to demonstrate in-depth knowledge of evaluation approaches and methods (*required*)
- Experience in designing and conducting Value for Money reviews/ evaluations. Applicants will have to demonstrate knowledge of Value for Money approaches and methods (*required*)
- Experience in conducting evaluations according to DFID's guidelines, and requirements (*distinct advantage*)

- Good understanding of current debates around aid funding in the UK, and of DFID's priorities and approaches (*distinct advantage*)
- Experience in good governance and advocacy work. Applicants will have to demonstrate experience in working in/ with civil society organisations, and in the specific field of good governance and advocacy (*required*)
- A strong understanding of Anti-Corruption issues (*distinct advantage*)
- Experience with working with global networks (*distinct advantage*)
- Analytical skills. Applicants will have to demonstrate experience and competencies in analysing and synthesizing complex information to non-expert audiences (*required*)
- Strong presentation and communications skills. Applicants will have to demonstrate excellent presentation and communication skills (*required*)
- Excellent written and verbal communication skills in English (*required*)
- For TI-UK Defence and Security PPA, a strong understanding of Defence and Security issues is a *distinct advantage*

[2][http://www.transparency.org/about\\_us/strategy\\_2015](http://www.transparency.org/about_us/strategy_2015)

Annex B: Evaluation Research Schedule and Timescales



## Annex C: Data Collection Tools

### Interview Questions

Respondent Name : \_\_\_\_\_ Position/Organisation: \_\_\_\_\_

### RELEVANCE (FOR BOTH TI-S AND EXTERNALS)

1. Do the strategy and the planned interventions reflect the needs of the target audiences?	
2. Are the chosen interventions designed to reach the most vulnerable and marginalised?	
3. Does the TI strategy and TI organisation build on and reflect the context in which it operates? If so, how? Examples?	
<b>4. Is the theory of change which underpins the PPA valid? I.e. is the assumption valid that through the outcomes the PPA seeks to achieve the lives of citizens will be improved?</b>	
5. Has TI-S been able to better shift its strategy and efforts to new areas of strategic importance (e.g. the BRICs or Arab world)? If so, how?	
6. Does the TI-S PPA align with DFID's causal and business theories of change (Coffey Annex 2 and 3)? If so, how?	(For DFID and TI-S only)
7. Does TI-S use the PPA support in line with its envisaged role in its Implementation Plan of TI Strategy 2015?	
8. How relevant is it to focus more on citizen empowerment in the new TI-	

S Strategy/Plan?	
<b>9. What are the benefits to TI-S of unrestricted funding through PPA?</b>	

### EFFECTIVENESS (FOR BOTH TI-S AND EXTERNALS)

<b>1.</b> To what extent are the achieved outputs contributing to the achievement of the expected outcomes? <sup>51</sup>	
<b>2. Added value: does TI-S build capacity of others to be more effective in the anti-corruption and good governance sector, and of DFID?</b>	
<b>3.</b> Does TI-S show evidence of 'distinctive competence' <sup>52</sup> or added value compared to others who work on anti-corruption?	
<b>4.</b> Has TI-S been particularly innovative, if so in which areas?	
<b>5.</b> Are links developed between different levels of TI operations and also between TI and its partners?	
<b>6.</b> How has the M&E system been improved and does it	

<sup>51</sup> Note that according to Coffey, MTR is to focus mainly on outputs

<sup>52</sup> That is : does TI demonstrate especially strong ability and expertise in its field compared to other similar organisations

provide a sound framework to measure results and support learning?	
<b>7.</b> Is TI-S monitoring systematically collecting data to inform management, support evidence-base decisions, provide gender and other relevant disaggregation and introduce mid-course corrections?	

### SUSTAINABILITY (FOR BOTH TI-S AND EXTERNALS)

<b>1.</b> To what extent is TI-S able to generate, share, and mainstream their learning?	
<b>2.</b> To what extent is TI-S setting up strategies that will ensure the sustainability of the respective outcomes post DFID's funding?	
<b>3.</b> To what extent is TI-S benefiting the anti-corruption, transparency and good governance sector as a whole? If yes, how? If not, what could be improved?	
<b>4.</b> To what extent is TI-S using its experience to build its own and the Movement's capacity?	

## RESULTS

### To what extent is TI-S progressing towards the intended outputs?

Confirm quantitative indicators (milestones and results). Then seek other supplementary evidence beyond indicators (quantitative or qualitative) to assess performance.

*For Outputs: interview Internal TI-S staff (and maybe Chapters)*

## OUTPUTS

<b>1. Developing evidence on corruption</b>	<b>Write Commentary (use Logframe for numbers)</b>
a. Publications (TI-S and Chapter level)	
b. ...Other evidence	
<b>2. Support citizens</b>	
a. ALACs	
b. DIPs	
c. ....Other evidence	
<b>3. Influence external stakeholders</b>	
a. Press statements	
b. TI recommendations published	
c. ....Other evidence	
<b>4. Strengthen TI capacity</b>	
a. Co-operative projects	
b. Trainings	
c. ....Other evidence	

.....

**For Outcomes and Impacts: interview both TI-S and Externals**

.....

**OUTCOMES**

<b>1. Improving anti-corruption understanding, policy and practice</b>	
a. Systemic policy level changes	
b. Adoption of TI recommendations	
c. Citations of GCB	
d. Other...(e.g. comparing different approaches to policy influencing) <sup>53</sup>	
<b>2. Increase anti-corruption awareness action by citizens</b>	
a. Website visitors	
b. ALAC contacts	
c. Case studies of citizens resisting corruption	
d. Other evidence...	

**IMPACTS**

<b>1. Reduce corruption and promote transparency, accountability and integrity</b>	
a. Countries party to the OECD Anti-Bribery Convention considered active enforcers annually (in response to TI advocacy)	
b. % of users of public services reporting experiences with bribery	
c. Other evidence.....	

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<sup>53</sup> Drawing on ODI paper on M&E of Policy Influence, Harry Jones.

**GENERAL QUESTIONS:**

1. Are the TI-S LF milestones over or under ambitious?	
2. What wider changes beyond the logframe are being enabled through progress towards the outcomes of TI-S ?	
3. What were the factors that influenced success or failure?	
4. How plausible is the link between TI outputs and the results at outcome and impact?	(This is same as Theory of Change question above?)
5. <b>To what extent have TI-S results led to impact on their target population? What are the main changes that have taken place? Is the evidence base sufficiently strong to support this?</b>	

**ADDITIONALITY***Questions for TI-S*

1. To what extent does DFID funding achieve additionality, i.e. to what extent did PPA funding enable TI-S to achieve things they would have otherwise not have been able to achieve?	
2. What does DFID in particular bring to TI-S compared to other funding partners?	
3. To what degree has TI-S shared learning with partners outside the TI Movement?	

*For TI Chapters*

4. In what areas has TI-S been most effective in supporting your work? What could they do more of?	
5. <b>Has support from TI-S improved in the past year? In what ways?</b>	
6. How has TI-S supported you capacity development?	
7. Have TI-S learned from your experiences and views better in the past year?	

## VALUE FOR MONEY

### Questions for TI-S

#### VFM GENERAL:

To what extent is TI-S able to evidence their cost effectiveness and as such to demonstrate an understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains? Derive both quantitative and qualitative measures.

1. What are TI-S main costs, and how have they been rationalised with PPA?	
2. Has the PPA allowed any new VfM processes?	
3. How does TI-S monitor VfM?	

#### EFFICIENCY

##### Productivity Measure:

1. Does TI-S outputs cost per unit match comparators?	
2. Are outputs produced efficiently compared to inputs used (how well are they converted)?	
3. Is efficiency improved by timing, sequencing, partnering?	
4. Is Ti-S meeting targets with given budget?	
5. Are more expensive outputs justified by their greater value?	

##### Risk Analysis and Mitigation:

1. How well does assess TI-S risks?	
2. How well does TI-S monitor risks, and ensure outputs are delivered or targets are adapted?	

#### ECONOMY

##### Procurement:

1. Can TI-S demonstrate improvements in its procurement methods? How does it monitor these costs?	
<b>Unit costs:</b>	
1. In what areas has TI-S reduced either	

<b>its unit costs or overall costs?</b>	
2. How does TI-S perform against any known benchmarks in its sector? (personnel, travel, web-site, publishing, etc.)	

Consider obtaining data for 5 indicators of VfM<sup>54</sup>:

1. Performance Benchmarks (comparisons with other similar NGOs)	
<b>2. Admin ratio (the ratio of administrative costs to programme spend)</b>	
3. Fundraising ratio (the ratio of money raised to money spent)	
4. Cost per beneficiary (the ratio of expenditure to numbers reached)	
5. Funds leveraged (the use of PPA expenditure as seed money to raise additional funds) (and also dependency on DFID ratio: has it improved or worsened?)	

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<sup>54</sup> Used by Neil Macdonald, Meta-Evaluation, He rated TI as Yes for 1 and 2 only.

## Annex D: List of People Consulted

Name	Organisation & Position	Location
<b>TI-S</b>		
	Project Manager - Project Accounting & Risk	Berlin
	Head of Capacity Development	Berlin
	Senior Monitoring, Evaluation and Learning Coordinator	Berlin
	HR Manager	Berlin
	Governance Manager	Berlin
	Managing Director	Berlin
	Programme Manager, External Relations, Global Outreach and Campaigns	
	Group Director Advocacy, External Relations & Fundraising	Berlin
	Finance Director	Berlin
	SPM Private Sector	Berlin
	Programme Director	Berlin
	Group Director Chapters Network & Programmes	Berlin
	Senior Policy Coordinator	Berlin
	Regional Manager for MENA Region	Berlin
	Research Director	Berlin
	Group Director Research & Knowledge	Berlin
	Programme Coordinator, Asia and Pacific	Berlin
	Resources Coordinator, External relations	Berlin
	Advocacy Director, Global Outreach and Campaigns	Berlin
	Senior Programme Coordinator, Asia and Pacific	Berlin
	External Resources Director,	Berlin
	Deputy Managing Director	Berlin
	Programme Coordinator Design, Monitoring and Evaluation / Advocacy and Legal Advice Centres (ALACs)	Berlin
	Regional Programme Manager ECA	Berlin
	Web Communications + Publications Manager	Berlin
	Regional Programme Manager Americas	Berlin
	Manager Media and Public Relations	Berlin
	Senior Programme Manager – People Engagement Programme	Berlin
	Regional Programme Manager, Africa	Berlin
	Regional Director, Africa	Berlin
	Resources Manager, Secretariat External Resources	Berlin
<b>TI- National Chapters</b>		
	Directora Ejecutiva, Transparencia por Colombia	Colombia
	TI- Ireland	Ireland
	Towards Transparency (TT) TI contact in Vietnam	Vietnam
	Executive Director, Ghana Intergrity Initiative	Ghana
	Director, Coalition for Anti-Corruption Research	Russia

Other Stakeholders		
[REDACTED]	International Budget Partnership	Email correspondence
[REDACTED]	Director, U4	Norway (TC)
[REDACTED]	One	London
[REDACTED]	Freelance consultant, Kluyskens Consulting	
[REDACTED]	DFID	London
[REDACTED]	Global Policy Advisor: Anti-Corruption and International Principles Cluster Leader, UNDP	New York (TC)
[REDACTED]	Senior Advisor, TI	
[REDACTED]	Research and Monitoring Manager, Publish What You Fund (PWYF)	London
[REDACTED]	Global Witness	London
[REDACTED]	Policy Director, Anti-Corruption, NORAD	Norway (TC)
[REDACTED]	Security cluster coordinator, Stabilisation and Humanitarian Aid Department (DSH). Ministry of foreign affairs of the Kingdom of the Netherlands	Amsterdam (TC)
[REDACTED]	Civil Affairs Officer UNODC	Vienna (TC)
[REDACTED]	Chief of Corruption and Economic Crime Branch of UNCAC, UNODC	Vienna (TC)
[REDACTED]	European Commission, DEVCO Unit 1, Governance, Human Rights and Gender	Brussels (TC)
[REDACTED]	ONE	London

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## Annex F: Details of Evaluation Team

The evaluation team was comprised of three consultants. The Team Leader (Nick Chapman) provided overall substantive and process oversight at the global level and was supported by Rachel Alvarez-Reyes (on anti-corruption and broader governance issues) and Craig Mathieson (as a research consultant throughout the IPR process). The team factored in remote backstopping, quality assurance (provided by Sam Gibson) and in-house technical expertise at each stage of the project (through internal IDL PPA learning and sharing meetings). Key experience includes:

- ③ Evaluation experience, including quantitative and qualitative approaches, participatory methods and DAC evaluation principles.
- ③ Extensive experience supporting DFID evaluations at global, regional, programme and project levels, including PPA and other aid mechanisms.
- ③ The skills and experience to help clients develop and use results chain thinking, including the logical framework approach, to design, monitor and evaluate programmes and projects with a focus on results.
- ③ Extensive experience of capacity building and organisational change of NGOs including evaluation-based organisational learning and development projects; and learning reviews.
- ③ An understanding of the specific sectors that TI works including, anti-corruption, transparency and other governance-related issues.

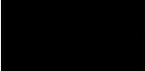
**An overview of each consultant is given below.**

[REDACTED] is a senior evaluation specialist with experience working in Africa, Asia, the Caribbean, Europe, Latin America and the Middle East for donor agencies including DFID, World Bank and the FAO. He has experience evaluating a range of programmes covering areas such as governance, budget support, conflict, agriculture as well as country wide donor agency programmes. He has in-depth knowledge of a range of evaluation techniques and their application. This combined with his sector experience means he is able to develop innovative techniques to address new evaluation challenges.

[REDACTED] is a development professional with over 12 years' experience working in the area of governance, accountability and improving transparency. Much of Rachel's research and consultancy work has sought to understand and strengthen the state's capacity to deliver services in an accountable, transparent and responsive manner, looking at all levels of government, including sub-national levels. She has substantial hands-on experience in programme and policy formulation/design through to implementation and impact assessment. She has worked in a range of sectors, including agriculture, governance, and transport/roads. Recent work includes undertaking a political economy diagnostic exercise for USAID Zambia; developing a 10-year Anti-Corruption Action Plan for the Commission for Human Rights and Administrative Justice in Ghana; developing and testing a framework for assessing the international drivers of corruption, for OECD; carrying out a governance assessment relating to the transport sector and developing of a Concept Paper on Anti-Corruption for the European Commission.

[REDACTED] has experience in design, management and evaluation assignments for government, bilateral and civil society agencies. He has an interest in issues of state accountability relationships, policy dialogue and post-conflict state and peace building. He has thorough understanding of political systems and has produced analysis across a range of sectors and policy areas using qualitative and quantitative approaches. Throughout his work he strives to produce policy orientated analysis. His

recent assignments include conducting political economy analysis for USAID Zambia, preparing recommendations on planning for post-conflict states for the OECD International Dialogue on Peacebuilding and Statebuilding and undertaking reviews and evaluations for Danida and AusAID.

 is a governance and social development professional with both policy fluency and field experience. She has worked in a range of sectors, including health, education, and agriculture. Cross-cutting experience includes civil society, gender, social inclusion, social protection, HIV/ AIDS, poverty analysis, livelihoods, and fragility and conflict. Since 2009, Sam has served on DFID's call-down panel of evaluation experts. Other skills include monitoring and evaluation, logical frameworks, facilitation, project/programme design, strategy development, training, and writing to a high standard.

## Annex G: PPA logframe

IMPACT			Baseline	Milestone 1	Milestone 2	Target (date)		
To reduce corruption and promote transparency, accountability and integrity at all levels and across all sectors of society globally	Countries party to the OECD Anti-Bribery Convention considered active enforcers annually	Planned	7 (2010 report, covering 2009)	8 (2011 report, covering 2010)	9 (2012 report, covering 2011)	10 (2013 report, covering 2012)		
		Achieved		7				
Source								
TI Progress report on the enforcement of the OECD Anti-Bribery Convention								
Citizens, states and corporations implement measures to reduce corruption and improve accountability	Impact Indicator 2 % of users of public services reporting experiences with bribery	Planned	24% (December 2010 GCB)	2.5% increase compared to baseline. December 2012 report covering 2012		5% increase against baseline. 2014 data covering 2014.		
		Achieved						
Source								
TI Global Corruption Barometer								
OUTCOME 1	Outcome Indicator 1.1		Baseline	Milestone 1	Milestone 2	Target (date)		Assumptions
Improved anti-corruption understanding, policy and practice by public and non-state actors globally	Number and description of systemic positive change shown annually (change in discourse, policy development, policy adoption, implementation, enforcement of change) with a verifiable contribution by TI to this change	Planned	0 new changes	10 new changes	20 new changes (including 10 from year 1)	30 new changes (including 20 from year 1 and 2)		Public and non-state actors are willing to engage with civil society  New knowledge products read and understood by key actors
		Achieved		13				
	Source							
	TI Advocacy scale							
	Outcome Indicator 1.2 Number and description of TI recommendations taken up by regional and global institutions (WB, G20, EC, regional intergovernmental bodies, financial institutions, etc)	Planned	0 new	3 new	3 new (6 total)	3 new (9 total)		
		Achieved		3				
	Source							
	Public documents of institutions							
	Outcome Indicator 1.3 Number of annual citations of TI Global Corruption Barometer in academic journals	Planned	525 (up to 2010)	10% increase compared to baseline (up to 2011)	10% increase against Mileston 1 (up to 2012)	10% increase against Milestone 2 (up to 2013)		
		Achieved		1,060				
Source								
Google Scholar								
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		
INPUTS (HR)	DFID (FTEs)							

OUTCOME 2	Outcome Indicator 2.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
Increased anti-corruption awareness and action by citizens all over the world	Number of unique visitors to TI website	Planned	1.805.992 (10.02.2010 - 09.02.2011)	10% increase against baseline	10% increase against milestone 1	10% increase against milestone 2	Citizens do not consider corruption to be "normal"	
		Achieved		1.982.319 (9.7%)				
		Source						
	TI website monitoring matrix							
	Outcome Indicator 2.2	Number of contacts received by Advocacy and Legal Advice Centres <i>ALACs provide free and confidential legal advice to witnesses and victims of corruption</i>	Planned	21000 (2010)	22000 (2011)	24000 (2012)		26000 (2013)
			Achieved		22.356			
			Source					
	TI ALAC Database							
	Outcome Indicator 2.3	Number of case studies of citizens resisting corruption	Planned	0 new	20 new	30 new (including 20 from milestone 1)		40 new (including 30 from milestone 2)
			Achieved		21			
Source								
Case studies								
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		
INPUTS (HR)	DFID (FTEs)							

OUTPUT 1	Output Indicator 1.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption	
To develop evidence on corruption issues	Number and description of TI-S research publications	Planned	11 (2010)	11(2011)	11 (2012)	11 (2013)	Building evidence on anti-corruption issues remains relevant for the global fight against corruption	
		Achieved		11				
		Source						
	Output Indicator 1.2	No and descriptions of TI National Chapter research publications supported by TI-S	Planned	25 (01.04.2010 - 31.03.2011)	25 (01.04.2011 - 31.03.2012)	25 (01.04.2012 - 31.03.2013)		25 (01.04.2013 - 31.03.2014)
			Achieved		62			
			Source					
IMPACT WEIGHTING (%)								
25%	Output Indicator 1.3		Baseline	Milestone 1	Milestone 2	Target (date)		
		Planned						
		Achieved						
Source								
RISK RATING								
Low								
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		
INPUTS (HR)	DFID (FTEs)							



OUTPUT 4	Output Indicator 4.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption		
To strengthen the capacity of the TI movement	Number of capacity development activities implemented by TI Chapters with Secretariat support	Planned	10 (2010)	15 (March 2012)	20 (March 2013)	Minimum 25 (March 2014)	Governments tolerant of civil society and/or national chapter activities		
		Achieved		17					
		Source							
	TI Contract Database								
	Output Indicator 4.2	Number of trainings organised by TI-S for TI National Chapters	Planned	25 (01.04.2010-31.03.2011)	25 (01.04.2011-31.03.2012)	25 (01.04.2012-31.03.2013)		25 (01.04.2013-31.03.2014)	
			Achieved		26				
			Source						
	TI training monitoring								
	IMPACT WEIGHTING (%)	Output Indicator 4.3		Baseline	Milestone 1	Milestone 2		Target (date)	
	25%								
							RISK RATING		
							Low		
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)			
INPUTS (HR)	DFID (FTEs)								