

MID TERM REVIEW FINAL REPORT

*Mid-Term Review of
the Transparency
International
Secretariat
Implementation Plan*

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*Prepared by:
Annabel Brown
Independent Evaluator
May Miller-Dawkins
Head of Research, Corelab*

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A guide to reading this report

The form of this report is motivated by the utilisation focused approach of this review. The report aims not to present a comprehensive assessment of the work of the Transparency International Secretariat over the past three years, but to focus in on critical themes, possible opportunities and, eventually pressure points for action that we think respond to the critical challenges that the Secretariat is facing in achieving the Implementation Plan, and creating its strategy towards 2020.

The first parts of the report (**pages 6-28**) outlines the review methods, analyses the context, and provides an assessment of overall progress against the implementation plan at a high level, addressing:

- TI-S's distinctive contribution to the Movement;
- Progress against Strategic Intent of the IP
- Effectiveness of Key Programmes and Support Services
- Factors enabling and inhibiting effectiveness
- Utility of the Implementation Plan

The middle of the report (**pages 29-59**) focuses in on critical themes and opportunities that arose as most significant for TI-S through this review:

1. Movement Strengthening
2. How Far down the Social Mobilisation Path?
3. Protecting the Movement as it takes risks
4. Strategic Programming and Collective Action
5. Facilitating the Know-How
6. Structure, Process and Culture
7. Diversifying Funding

The final section (**pages 60-67**) proposes five pressure points that the reviewers believe will make the most significant difference to the future relevance, effectiveness, efficiency and sustainability of the Transparency International Secretariat, specifically:

1. Bringing the politics back in;
2. Diversifying funding;
3. Broadening reach through partnership;
4. Thinking like a Movement; and
5. Strategy and IP 2020.

Executive Summary

The Transparency International Secretariat developed the Implementation Plan to drive its contribution to the ambitious Movement-wide Strategy 2015.

The Strategy and Implementation Plan envisioned bold strategic shifts including pro-actively engaging people in the fight against corruption and moving beyond diagnosis and policy influence to ensuring enforcement and implementation of anti-corruption commitments and laws and business commitments. Groundwork has been laid for these shifts, although progress remains partial.

The Implementation Plan also saw a focus on strengthening the individual and collective capacity of the TI Movement and improving the responsiveness, presence, performance and impact of the Secretariat. In some areas, this has been achieved, resulting in a more effective, strategic and professional Movement and Secretariat.

Staffing at the Secretariat has doubled in line with a doubling in income, although both have been vulnerable to changes in donor policy. Funding remains undiversified leaving the Secretariat in a precarious position. This insecurity combined with unclear mandates has led to competition and duplication.

Such significant change in a short period has led to growing pains as the plan was operationalised and the organisation developed, with challenges arising in resourcing, building new expertise, program development and partnerships. The transformation in ways of working in both the Secretariat and across the Movement to enable a truly collective global fight against corruption has not been achieved consistently. In particular, the Secretariat remains overly focused on technical approaches and tools at the expense of sharper political analysis and flexible collaboration contributing to effective advocacy at different levels.

Executive Summary

The following report documents findings from a review of the Secretariat's work over the last three and a half years. It highlights cross-cutting themes and opportunities in Movement Strengthening; Structure, Process and Culture; Social Mobilisation; Risk and Protection; Strategic Programming; Facilitating Know-How and Diversification of Funding. It draws on extensive interviewing, document analysis and survey work as well as case study research of two regional and two key programmes.

There is great opportunity now for TI-S to build on its strong reputation, significant integrity, thriving network and hard-won experience and to refine and fully realise the strategic shifts envisaged in its Strategy 2015 and Implementation Plan. Acting on five pressure points will catalyse transformative change in the Secretariat, the Movement and, in time, the global fight against corruption. We recommend:

- 1. Bringing the politics back in: Approaches to program and campaign design*
- 2. Creating space for strategic action: Diversifying funding*
- 3. Broadening Reach: New Approaches to Partnership*
- 4. We're all in this together: Thinking (and acting) like a Movement*
- 5. Making plans fit for purpose: Strategy and Implementation Plan 2020*

Mid Term Review

Background

Respondents

Methods

Mid Term Review Background



The Mid-Term Review has a dual purpose:

To review the Secretariat's 2015 Implementation Plan and hence the Secretariat's contribution to the Movement's strategic achievements as committed in the 2015 Strategy.

To learn from the roll-out of the 2015 Implementation Plan and draw lessons that can be the basis for improvements to further strategic and programme planning, design and management.



The **key questions** of the Mid-Term Review focused on:

- Relevance
- Effectiveness
- Efficiency; and
- Sustainability.

We see these as incorporating both **single and double loop questions**: did TI-S do the thing well, and was it the right thing to do?



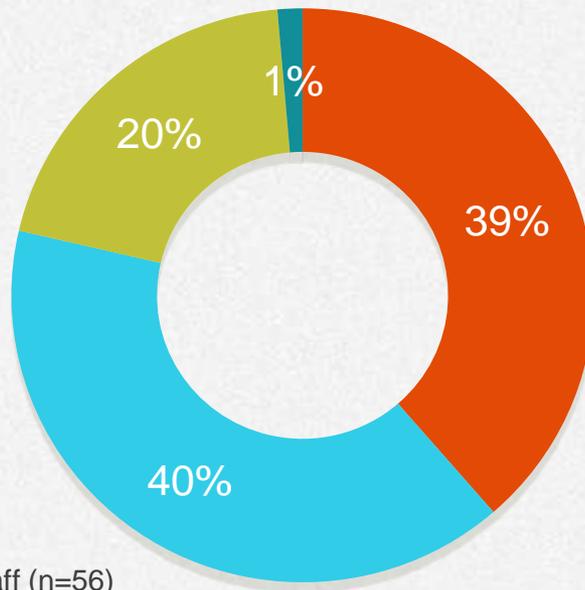
Methods included:

- Interviews and focus groups with 145 stakeholders;
- Surveys for Chapters, TI-S staff, and External Stakeholders with 221 responses;
- Review of over 150 TI-S documents and select external literature (Full list in Appendix 1);
- Visits to 6 countries in the Asia Pacific and Americas;
- Sharpening analysis through further interviews, feedback sessions with Management Group, TIS staff and dial in calls for Chapters.

Who did we hear from?

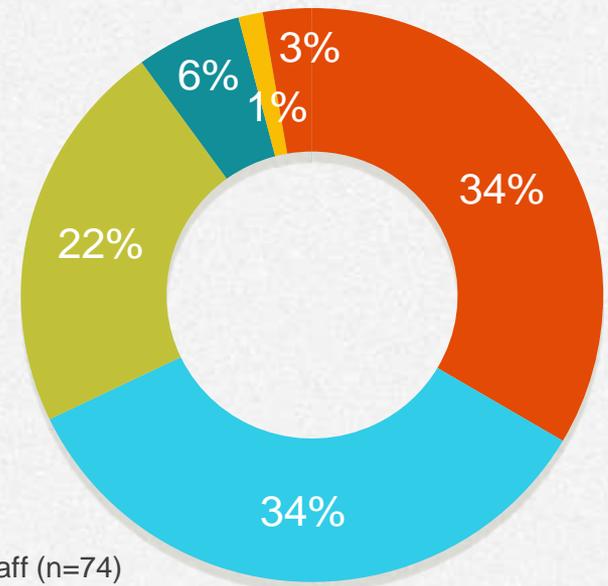
Interviews and focus groups (n=145)

See detailed list in Appendix 2



- TIS Staff (n=56)
- National Chapter Staff and Board Members (n=58)
- External Stakeholders (n=29)
- International Board Members (n=2)

Survey respondents (n=221)



- TIS Staff (n=74)
- National Chapter Staff and Board Members (n=76)
- External Stakeholders (n=49)
- Individual Members (n=13)
- Senior Advisors (n=3)
- International Board Members (n=6)

A Note About Methods



Case studies were used to understand the Secretariat's contribution to the work of the Movement from the perspective of National Chapters or Organisations and their stakeholders.

Two regions were chosen to reflect different geo-political contexts, approaches taken by the relevant TI-S regional departments, and where there were relatively few existing evaluations. They were chosen on the basis of initial interviews with NCP staff, and an initial document review.

Case studies informed the whole of the analysis and identification of themes, and are not treated separately in this report.



Beyond case studies, we interviewed TI-S staff, external stakeholders and National Chapter staff and board members. These interviews contributed to the emergence of the critical themes and opportunities, and the identification of pressure points.

A document review of existing evaluation materials was used to identify key themes, and where there was a strong body of evidence about the relevance, effectiveness, efficiency, and sustainability of TI-S's work.



Limits of our methods include:

- Case studies gave us a partial view of the Movement. Choice of case study countries were limited by logistics and selected with input from TI-S and Chapter staff;
- Surveys provided trends in many areas, but only qualitative insight into underlying factors in some areas;
- The existing evaluation base of TI-S is mainly for donor-funded projects, and there are many areas of work that remain un-evaluated. Impact assessment is rare.
- Only a small number of Chapter staff interviewees from regions outside APD and AME.

Context

External Context Analysis

Internal Context Analysis

External Context

What can TI-S's contribution be to social movements sparked by corruption?

How can TI-S continue to find new ways to hold governments and others accountable?

How can TI-S best frame corruption in a language and narrative that connects with peoples' own experiences and understandings?

The visibility and awareness of corruption has increased through and since the financial crisis. It now features in the platforms of political parties, the agendas of international institutions and as a top concern of citizens and activists. Better governance emerged as a major desire of the 1.8 million people who participated in the UN's consultations on the post-2015 agenda. It is "the world's most talked about problem" according to the BBC, and the issue that Avaaz's membership most want to tackle.

Strategy 2015 was prescient in its analysis that people could be brought into the streets against corruption.

Mass citizen action across 88 countries in 2011 reflected this: *"protest was driven by the inability of states to address the fallout of the economic crisis, ...serious income inequalities and corruption"* (CIVICUS, 2012, 12).

The "second wave" of mass protests in 2013 and 2014 had similar underpinnings:

[what] they reveal is deep dissatisfaction with, and rejection of, practices of politics and economics that serve and entrench elites. (CIVICUS, 2014, 2)

The understanding of corruption reflected in these movements focuses on abuse of power broadly, the influence of powerful economic interests on politics and its links to inequality.

Results of large scale mobilisations, have been mixed: democratisation as well as repressive moves to diminish space for civil society. Post-financial crisis reforms were largely moderated by powerful interests and progress is slow despite significant commitments at the G20, OECD and in other fora.

Corruption appears to many interviewees to be growing in volume and complexity, despite more legislative frameworks and political commitments. Gaps in implementation of anti-corruption laws persist and lead to impunity. Political capture of the anti-corruption agenda contributes to fatigue.

External Context

Continued

How can TIS contribute to ensuring that the Movement has a strategic engagement with emerging powers?

How can TIS constructively engage with sceptical interlocutors?

How can TIS best utilise technology, without losing sight of its limits as a means, not ends?

Geo-political shifts are underway with stronger influence being exercised by emerging economies in multilateral institutions and through bilateral cooperation and investment. Many rising states do not share in the “liberal consensus” that espouses a focus on transparency and accountability.

Changing patterns of bilateral donorship have made TI-S funding and that of Chapters in middle-income countries increasingly vulnerable.

The “open agenda” has increased in strength, visibility and uptake including through Wikileaks, Open Government Partnership and IATI. Transparency and Accountability Initiatives and legal empowerment programming have significantly increased in civil society and international institutions.

Technology continues to support new forms of interaction, collaboration, and scrutiny of public and private action. These innovations are being deployed for better or ill by public and private actors.

Survey respondents were asked to rate (1-6) the ongoing relevance of the issues highlighted in the contextual analysis in the TIS Implementation Plan 2015.

The top issues, across all respondents were:

1. Spread of new technologies offers new possibilities for empowerment
2. Competition for scarce resources
3. Role of civil society is growing
4. Nexus between government and business is thickening; and
5. Challenges to the established patterns of international governance.

Internal Context

In 2010, 75% of Chapters had been formed as National Chapters of TI, with 27% formed outside the TI Movement, 18% with corruption/governance related objectives and 9% non-corruption related.

There was however significant regional variance - ECA and Asia-Pacific with 82% and 93% chapters respectively formed as national chapters of TI, but Americas and Africa/Middle East 44% and 52% formed within TI, and 25% and 39% respectively were corruption/governance focussed already. In the Americas, a third (31%) of chapters formed as organisations focussed on non-corruption objectives.

In March 2010 the TI Movement had a presence in 106 countries and was in the process of establishing a presence in 7 more ('Progress Against TI 2008 - 2010' p.3). By April 2014 TI had a presence in 114 countries, with 96 accredited Chapters, 9 national chapters in formation and 9 national contacts. (TI Around the World, April 30th 2014).

In 2014, 58% Chapters have been with TI for 10 years or more and 90% have been associated with TI for 3 years or more. 10% of Chapters are new within the Plan period.

The Secretariat in 2011 was structured with two 'programming' groups: International Group with regional presence in Africa and the Middle East, ECA, Americas and Asia Pacific; and an Advocacy Group, with Communications, Global Programs, and Policy and Research. This underwent restructuring resulting in a structure based around 5 groups: Network, Chapters and Programme; Advocacy and Research; Governance and Special Initiatives Groups; External Relationships and Partnerships; and Corporate Services.

TI-S staff numbers grew from 130 in January 2011 to 188 by December 2013. Staff surveys reveal a workforce highly committed to the ends of TI-S but affected by insecurity in their positions due to funding – leading a high proportion of staff to look for other work. The survey also reveals low results on internal communications and staff capacity to shape TI-S. The feedback on line management has improved over the period of the Implementation Plan. There has been positive feedback on the new induction program, but mixed feedback overall on opportunities for training and learning.

Income has grown over the period, but has become less, rather than more diversified. 2011 saw an income of 18 million Euro – 75% of which came from government donors, and 11% from private foundations. In 2013, TI-S received income of 26.8 million Euro – 92% of which was government donors and less than 2% of which now comes from private foundations.

Overall Progress

*TI-S Distinctive
Contribution*

*TI-S and the Movement:
Actors in Global
Governance & Sources of
Authority*

*Overall Progress –
Strategic Intent*

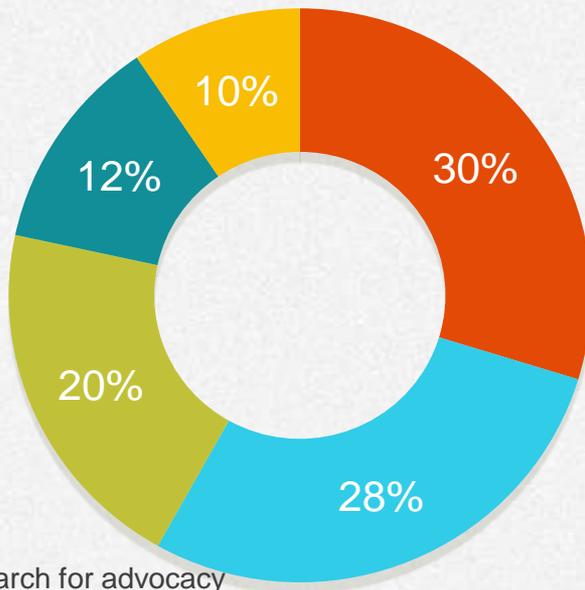
*Overall Progress – Key
Programmes and Support
Services*

*Factors Enabling or
Inhibiting Effectiveness*

*Utility of the
Implementation Plan*

TI-S Distinctive Contributions

Thematic analysis of open-ended survey responses (NC and Internal respondents)



- Research for advocacy
- Visibility and reputation
- Facilitating the Movement
- Global advocacy and campaigning
- Speaking out against the corrupt

A central question for a secretariat of an international network is how is it best placed to contribute to the impact and effectiveness of that Movement? In surveys and interviews National Chapter and internal respondents (TI-S staff, IMs, SAs and Board Members) agreed on these four distinctive contributions:

Research and methodology development that contributes to effective advocacy work.

Maintaining visibility, raising awareness and ensuring a credible reputation through the TI Brand at a global level.

TI's brand and reputation stands out as the most critical factor of empowerment of constituents and of positive impact on their work. (Keystone, Comparative Survey Report: Transparency International, 2012, 29).

Facilitating connection, collaboration, and new thinking, tools, and knowledge in the movement. This is also area where survey respondents and interviewees highlighted there was significant room for improvement.

Global advocacy and campaigning, targeted at global and regional targets or combined with local and national advocacy strategies.

Additionally, TI-S and Chapter staff noted an expectation that **TI-S will speak out more frequently against perpetrators, being more outspoken and aggressive in its communications and engagement.**

It is worth noting that neither program design, nor fundraising are seen as distinctive contributions of TI-S at this time.

TI-S & the Movement: Actors in Global Governance

The Secretariat and the Movement are part of the *"wide variety of actors - international organisations, corporations, professional associations, advocacy groups, and the like - seeking to "govern" activity in issue areas they care about" by creating issues, setting agendas, establishing and implementing rules or programs; and evaluating or adjudicating outcomes.* (Avant, Finnemore and Sell, Who Governs the Globe, 2010.) We can usefully understand the Movement and TIS's work in global governance through this lens.

TI-S has contributed to **creating corruption as an issue** in the minds and on the agendas of decision-makers and the public through its advocacy, research, and communications work.

TI-S **creates agendas** for example through advocacy on governance in the post-2015 agenda, and research processes such as the NIS and TRAC that create platforms for discussion amongst stakeholders. TI-S also creates agendas through its design of indicators, a "technology of global governance" with some influence on norms, expectations, and behaviors (Davis, Kingsbury, and Engle Merry, 2012).

TI-S both **influences and creates rules**. TI-S influences the content of international rule making e.g. OECD Convention on Bribery and UNCAC. Chapters may use TI-S tools to create rules between actors - such as Integrity Pacts. Chapters, and TI-S may be involved in the implementation of rules made by others. E.g. ASJ in Honduras working closely with the Government.

TI-S **evaluates outcomes** through monitoring policy commitments and their implementation in ongoing advocacy. Chapters use social auditing and accountability processes to monitor implementation – to some great success in the Americas. TI-S supports the national implementation of international rules through supporting Chapters in their advocacy on international frameworks. TI-S diagnostic tools, such as NIS may take account of implementation and enforcement.

In thinking about these roles, it is important to see that TIS can move between them, based on a clear analysis of where TIS can make the most significant difference to change. Moreover, these roles relate to one another and through them, TIS can build relationships that effectively balance constructive and critical engagement with targets. Exercising one role can also build credibility for TIS to exercise the other roles at other times.

TI-S & the Movement: Sources of Authority

A key theme of this review is that TI-S needs to base its strategy, action and collaboration with the movement on consistent, high quality power analysis of how it can contribute to countering corruption alongside other actors. The above concepts help illuminate the roles of TIS in global governance and the decisions that can be made based on clear analysis of the political context for change.

TI-S does not exercise coercive state power, but acts on other sources of authority, particularly: expert, principled and capacity-based authority (Avant, Finnemore and Sell, 2010, 11).

Expert: TI-S positions itself as the global expert on corruption, and has a key capacity around producing research that is seen as a key global resource.

Principled: TI-S argues from its core principles on integrity and uses principled arguments in its advocacy at different levels.

Capacity-based: TI-S positions itself to public and private sector as able to help in practical terms through advice, policy and program development, or through training, and tools geared to private and public sector use.

In creating robust relationships with public and private sector targets that balance constructive engagement and contestation, TI-S needs to balance its **expert, principled and capacity-based** roles. If TI-S overly relies on its capacity-based or functional capacities, it can stray too far from its principles and its capacity to speak out and criticise actors when it is warranted. Similarly, if TI-S is too principled, it will lose opportunities to engage with actors who are operating in good faith to try to address an extremely difficult and challenging issue.

A number of Chapters raised the expectation that within the No Impunity work, TI-S will be more outspoken, and aggressive; working more from principle, particularly in holding governments to account for their commitments. In the business area, there are tensions within the movement about the constructive engagement with business and the ability to challenge business. The multi-stakeholder approach of TI-S and the way it balances its forms of authority is an area where the Movement needs to refresh the approach as part of Strategy 2020.

Overall Progress

Strategic Intent

A significant pivot in rhetoric and understanding towards the engagement of people

Contributed to a stronger network, individually and collectively

Continued to produce and support high quality research

Since 2011, the movement has continued to achieve in the area of awareness and visibility of corruption issues at global and national levels. TI-S has enacted a significant pivot in rhetoric and orientation towards the engagement of people through complaints, cases, youth programming and communications.

TI-S has ensured that the TI brand remains credible and independent, and as such it continues to be the most valued aspect of being part of the TI Movement by Chapters.

TI-S has continued to produce and support high quality research, particularly moving into multi-country research and assessments. Global advocacy has influenced institutional, legal, and political commitments and - to a lesser degree – practice, enforcement and resolution of cases. Chapter work supported in the public sector integrity area continues to lead to significant regulatory reform. Some Chapters have started to engage business for the first time.

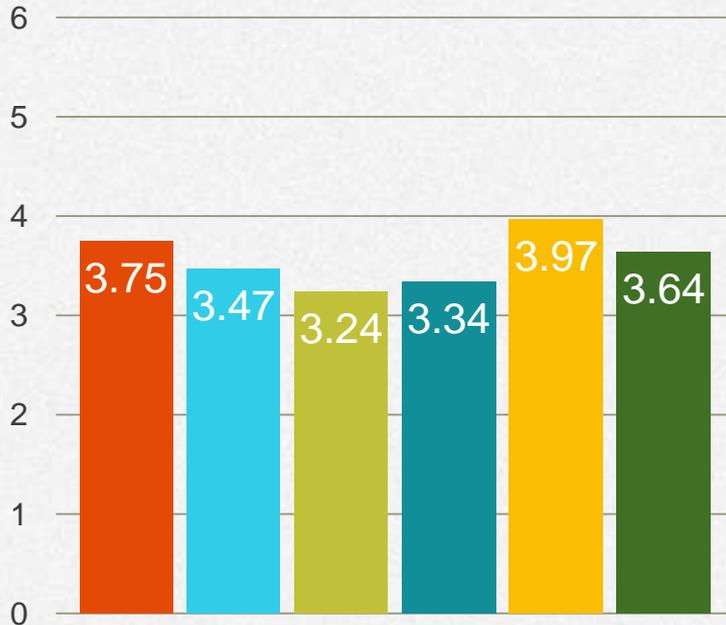
The strategic shift, outlined in the Implementation Plan, from diagnosis in public and private sector work, to ‘solutions’ and from policy/law making to implementation and enforcement has not been sufficiently enacted. Consequently effectiveness in this area was ranked last in a list of the six strategic plan priorities.

TI-S has not yet enacted the strategic shift towards a broader and deeper level of ongoing engagement with people. TI-S’ ambition for the programmatic approach to take their issue to scale has not been fulfilled, and this review questions the logic of that strategic intent.

The investment in network strengthening has contributed to a broad, diverse and engaged network. The strengthened ability to work together within the TI movement and in networks in which they are a member was ranked as the most effectively pursued in survey responses (score 3.97 out of 6).

Overall Progress

Strategic Intent



- Empowerment of people and partners to act
- Improved implementation of anti-corruption activities
- More effective enforcement of laws & standards
- Higher levels of integrity demonstrated
- Strengthened ability to work together
- Enhanced responsiveness, presence, performance

TI-S has grappled with the accompanying change process of the Implementation Plan, with its structural fluidity, staff turnover, long periods of time spent in planning and re-organisation, and a confusion of mandate and roles of TI-S staff vis-a-vis each other and Chapters.

The helpdesk has been very successful and is valued, and monitoring, evaluation and learning systems have professionalised and improved from a very low base. Significant investment was made into ChapterZone as a platform for engagement. Seeing the need for an easier and more nimble tool, the Georgian Chapter created Sharek for dialogue and information sharing amongst Chapters.

At left: Survey results: From your perspective, how effective has the Transparency International Secretariat been in contributing to the achievement of each of its strategic priorities over the past three years? (please rank each 1-6 – not at all effective to very effective). NB: no external input on this qn.

The ability to identify innovation and success to learn from and build off across the movement remains relatively low. Chapter and TI-S staff continue to raise inadequate communication and knowledge management as key issues.

Inadequate power and contribution analysis in programs and advocacy has underpinned messy and inconsistent approaches to program development and collaboration within the TI-S and with Chapters.

The pattern of expertise in the Secretariat has changed significantly in the period and the kinds of expertise required for TI-S to contribute to the movement and how to best draw on the expertise within the Movement at the appropriate times are unclear or contested.

TI-S has failed to diversify its income and remains in a volatile and vulnerable funding position reliant on a small number of major bilateral donors and project funding. Questions remain about TI-S's ideal¹⁹ growth trajectory.

Overall Progress Programme and Support Service Performance

The following four pages give a high level summary of key program and support service performance. Assessment of performance relates directly to the description of the intent of that program or service in the Implementation Plan. These summaries do not include every achievement in this area of work, nor every disappointment.

We understand that not all strategic shifts envisaged and articulated in the Implementation Plan have been enacted within key program/service areas, due to lack of resources, subsequent re-structuring or re-prioritising, or other factors and we have not always captured this.

A 'key programme or service' is understood to be an area of TI's work that includes the contribution and effort of global and regional human and financial resources. Therefore, we understand that staff working towards the implementation of key programmes and services are located in regional, support and key programme teams in the TI-S. As each key program or service intends to positively influence the work of the TI Movement, our assessment takes into account 'take up and/or activity' in Chapters and therefore national resources and efforts are 'in the mix'. Only sometimes have we been able to understand the true division of labour and contribution and we have not attempted a forensic breakdown of these divisions in any case.

The basic criteria we use to assess the 'success' or otherwise of TI-S key programs and services are:

- Progress towards key objectives articulated in Implementation Plan
- Relevance to and engagement with Chapters and broader Movement
- Efficacy of ways of working across the TI-S towards program/service objectives
- Clarity of strategy/purpose
- Clarity of necessary contributions of different TI-S and Movement wide players/stakeholders

Overall Progress

Key Programme Performance

People Engagement

Good progress in strategic pivot towards engaging people at most levels of the movement. Mostly still focused on awareness or delivering services, rather than deep, ongoing engagement or campaigning that is politically targeted and effective, although there are islands of success. Progress in facilitating learning and collaboration, fostering and sharing innovative ideas, use of technology, newer media and spreading of toolkits. Growth in services and protections for victims, witnesses and whistle-blowers: there are now 90 Advocacy and Legal Advice Centres (ALACS, also known as Speak Up Centres) in 60 countries. The ALAC model and funding is highly variable and requires greater focus on strategic questions of integration with advocacy strategies (GTF evaluation). The ALAC Database can be a rich source of insight although more work is needed on data accuracy and its strategic use. Very little progress on fundraising from the public. Some engagement of new audiences/groups and reaching out at the local government level. Moves at the policy level in gender although patchy understanding and practice in regards to women's experience of corruption at all levels.

Business Integrity

Recognition of the importance of this area by internal and external stakeholders. Fair amount of work in the Movement with limited capacity of TI-S to coordinate, support and seize strategic opportunities. Chapters working with the private sector are concerned about the lack of basic coordination of the engagement with global companies. Fair progress on development of tools, methods and standards; some collective action with private sector actors and engagement of private sector in monitoring implementation. Some progress on business education and training although limited progress on influencing a culture of integrity. Advocacy and research on financial sector reform, with some influence.

Public Sector Integrity

Continuing strength and large body of work in the area with public sector legislation or institutional reform most frequently cited as key achievements of Chapters. TI-S continuing work in the development of standards, tools and methods, engaging government and civil society in the application of these and facilitating learning and exchange across the Movement. Strength in assessment of integrity systems at the national level although limited TI-S performance in effective extension to sub-national level. Little progress in the strategic pivot from diagnosis toward solutions and implementation, and, linked to this, TI-S support to advocacy and policy engagement on the basis of diagnosis and assessment. Fair progress on advocacy and research towards open governance.

Overall Progress

Key Program Performance

Institutional Network Strengthening

Evidence of a stronger Movement, collectively and individually. Feedback suggests combination of global tools – OCAT and strategic planning - with regional facilitation/support is effective, although uneven take up and facilitation across regions. Good mobilisation of resources towards Chapter strengthening, particularly in leadership and communications. Key focus in some regions - AP and SSA - on which INSP global has capitalised. Good example of de-centralised efforts - between global program staff, support and regional teams - and good coordination of human resources. Positive signs in development of collective capacity with opportunity now to do more generative capacity development. Continuing issues regarding strategic presence and necessity to accelerate work on protection and risk coherently with other functions.

Anti-Corruption Solutions & Knowledge

Very positive experience of extending help desk service to Movement. Helpdesk effective due to clear mandate, autonomy and service-orientation. Solutions focus not progressed in part due to funding. . ASK has not operated as a bridge between the external Key Programmes and Movement Enabling Programmes as envisaged: ongoing gap around learning from experience more systematically and testing approaches that are emerging at country, regional and global level. Fashioning learning to foster innovation and incubation and to inform advocacy is not yet strong. There are missed opportunities to use evaluation and anonymised accreditation data for greater insight and learning across the movement. Communication challenges continue due to bad platform choice of Chapterzone. Sharek has provided an alternative but relationship unclear.

Resource Mobilisation & Sustainability

Widespread involvement of NCP staff in fundraising. Doubling of income, although with vulnerability to donor policy change due to dependence on bilateral funding. Failure to diversify funding. Minor advances in strengthening fundraising capacity of Chapters, with TI-S support, as well as fundraising for thematic network initiatives. Access to funding low on the lists of potential benefits of being part of the Movement and number one risk to Chapters over the period. Trebling of the percentage of Chapters operating at less than €5,000 a year, between 2009 (4%) and 2014 (11%).

Climate Finance

Strong work in leveraging partnerships for change. While an important area of work, now that staff have moved into APD and SSA, move global staff into advocacy team as one lever for international work, rather than remain key programme.

Overall Progress

Key Support Services

Feedback in the survey, from National Chapters particularly, suggests supporting Governance is one of the most well-performed and appreciated of the Secretariat's internally focussed services.

Internal accountability, integrity and governance, Chapters 4.37 out of 6 (ranked 1st) and Internal Stakeholders 3.38 out of 6 (ranked 3rd)

Governance of the movement, particularly through an effective accreditation process, Chapters 4.30 out of 6 (ranked 2nd) and Internal Stakeholders 3.46 out of 6 (ranked 4th)

Note, Internal Stakeholders surveyed included TI-S Staff, Individual Members and Senior Advisors

Feedback on the utility of the concept of Key Support Services and the effectiveness of their implementation was ambivalent at best. TI-S has found it difficult to find a home for these 'key' services amongst its evolving structure and programming. They have been caught between two rationales - firstly, as ongoing services TI-S provides to the Movement and secondly, as areas requiring a new direction or emphasis in order to support the implementation of Strategy 2015. This – along with variations in performance - has contributed to conflicting perceptions regarding their effectiveness.

To illustrate, supporting the Governance of the Movement is an important function of TI-S and survey feedback suggests it is well performed. However in two areas of strategic emphasis, interviews and survey comments suggest more needs to be done: firstly, reviewing the membership accreditation process with a view to ensure effectiveness and strategic presence and, secondly, clarity about the synergies and differences between the member accreditation process and capacity development.

Corruption Measurement and Diagnosis and Global Communications, Advocacy and Campaigning, are continuing strengths of TI-S, crucial to the maintenance of a strong brand and reputation, providing credibility and key resources that are used by Chapters to engage and access decision-makers. Survey responses suggest it is the area that internal stakeholders believe is TI-S's strongest. Relegating these areas of the Secretariat's work to key support services, has de-prioritised what are significant – and distinctive - contributions of TI-S to the impact and effectiveness of the Movement. Strategic emphasis in this area could focus on imbuing research products and tools with lessons and insights from those most affected on the ground, integrating more into regional programming to ensure relevance and impact of research and collective action across the Movement towards global and regional advocacy targets.

Overall Progress

Key Support Services

Identifying and responding to the most critical emerging corruption risks and policy issues was rated 3.70 out of 6 from Chapters (ranking 16th) and 2.90 out of 6 from Internal Stakeholders (ranking 14th).

Demonstrating results and consolidating learning was rated as just above average by both Chapters (3.95 out of 6) and Internal stakeholders (3.21 out of 6).

In both the areas of Enforcement Monitoring and Networks and Initiatives there are positive indications of progress, for instance in relation to TI's convening role in the UNCAC Coalition, the strengthening of legal frameworks in many countries and advances in collaboration within the Movement as well as with external actors, from loose information sharing networks to multi-country projects to collective action based on shared analysis. However, it is unclear how these KSS's link with key programs and regional programs; and who within TI-S has carriage over which part of the contribution. In Networks and Initiatives, feedback from Chapters indicates that the lead Chapters could benefit from more direct contact and exchange, rather than having their experiences interpreted and communicated to each other through TI-S.

In the area of Monitoring, Evaluation and Learning there have been advances in the awareness, capacity and systems for monitoring of activities and outputs, particularly at the key program/implementation plan level. The breadth of TI-S's work has recently been captured under one unifying Impact framework. There has been progress in evaluation work as well as the establishment of learning processes. While many individuals learn actively from their work, systematic learning from experience continues to be a weakness in TI-S, limiting its ability to communicate learning to positively influence action across and beyond the Movement. Although thorough investigation into Movement wide M&E processes was not possible, we saw three examples – one at the Implementation Plan level, and two at country level – Fiji and Cambodia – of large, overly complex and inflexible M&E Frameworks focussed at the activity/output level. Although likely to be reinforced by donors, these sorts of MEL frameworks are, in our experience, unsuitable for flexible, adaptive and iterative advocacy, campaigning, policy and social engagement work and can constrain good quality programming. The global MEL unit can guide Movement-wide MEL by articulating principles, championing high level frameworks/approaches and leading by example. The MEL approach outlined in INSP – journal and logbook - appeared to have merit and be fit for purpose although as yet limited in roll-out. At TI-S the annual planning process is overly cumbersome without generating clear processes for relevant analysis and collaboration.

Overall Progress

Factors Enabling and Inhibiting Effectiveness

The major value of TI is its human resources, leadership and commitment. Without that, the advance of plans and programs would be very limited.

National Chapter, Survey

Working within TI-S is challenging which diminishes the impact the organization can have. There is little quick response mechanism and most expertise are outsourced which diminishes the ability of TI-S to innovate, be supportive to chapters and respond quickly to opportunities.

Internal respondent, Survey

New priorities all over the place - not based on piloting, not based on sense that growing organically

TI-S staff, interview

Become more hierarchical over the 2015 strategy ... [we were told that] these KP would have more autonomy once you had your mandate, that you wouldn't be checking back - and it's been the reverse - there's been more escalation of decisions to a higher level.

TI-S staff, interview

When looking at TI's effectiveness against the Implementation Plan we interrogated the factors that enabled and inhibited success.

Enablers: Survey data (see next page) and interviews highlighted the skills and approaches of TI-S staff combined with engagement of Chapters and resourcing as the critical ingredients for success. The qualities of staff that were most often mentioned were professionalism, commitment, expertise, and leadership. The approaches that enabled success were leadership where there was clear ownership, exercised through skilled facilitation of collaboration inside and outside of the Movement, and political ability. Flexible approaches or building projects from the work of chapters up, rather than one size fits all or approaches developed in Berlin were seen as most effective.

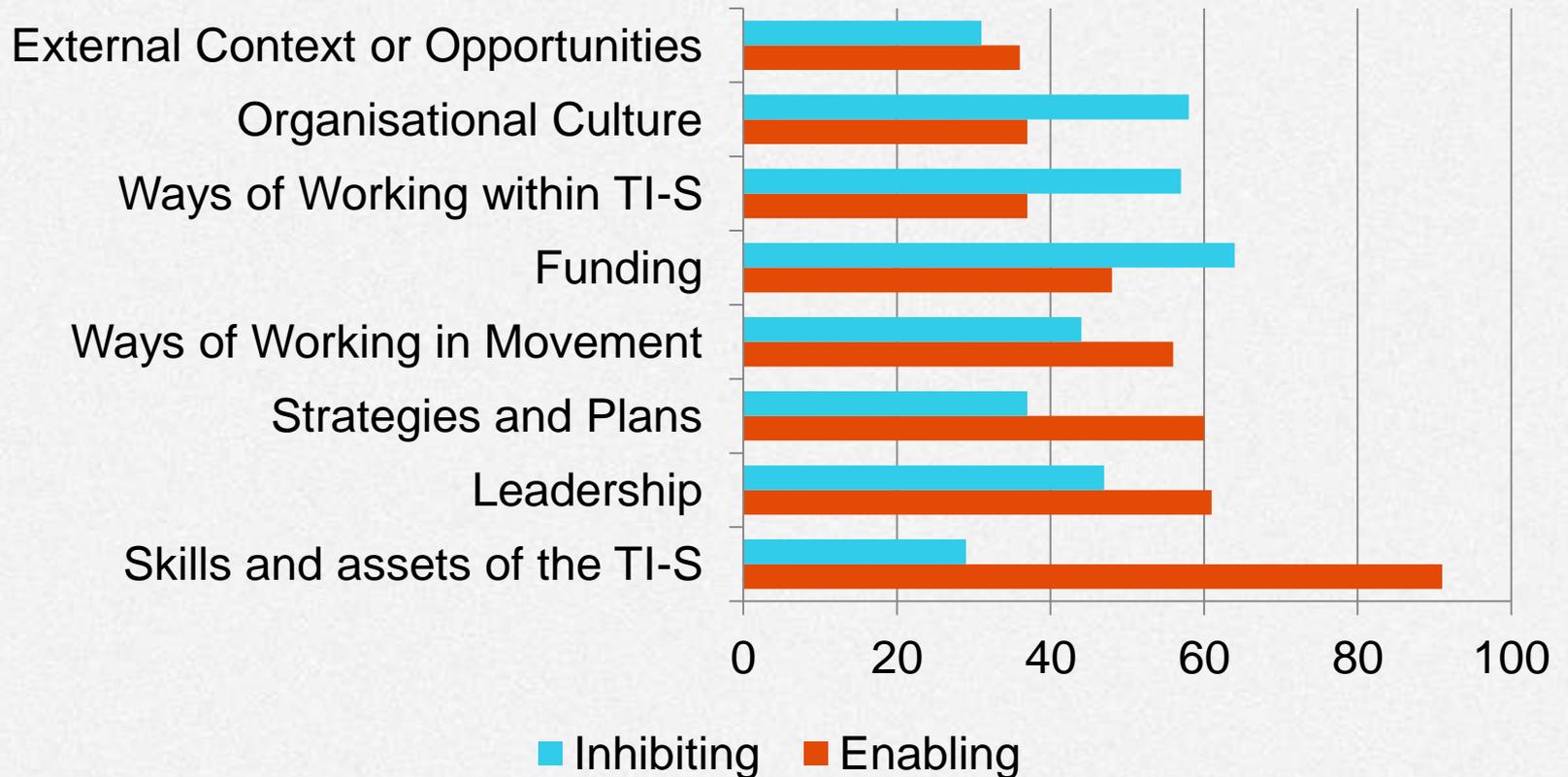
Inhibitors: Survey ratings show that 'Ways of Working within TI-S', 'Culture' and 'Funding' are more often inhibiting factors than they are enabling. Survey comments and interviews reveal more on inhibiting ways of working and cultural problems. Despite the focus on restructuring, mandates around programming remain unclear. Insecure funding and employment has fuelled competition for turf and funds. TI-S has invested in a Director level layer and decision-making is seen as hierarchical and risk averse. Priorities are too diffuse and many of TI's approaches lack robust testing or impact assessment. Lastly, the Implementation Plan, result areas, KPIs, and project-based funding has focused staff on rolling out large scale programs inhibiting an ability to be adaptive and nimble in programming and advocacy in some areas.

The significance of ways of working, culture and undiversified funding in inhibiting effectiveness is explored further in the thematic analysis to follow.

Overall Progress

Factors Enabling and Inhibiting Effectiveness

The Chart below contains the combined results of survey question to TI-S staff, National Chapters, Senior Advisors, Individual Members, and International Board Members in response to the questions 1. In the areas that you rated as highly effective, what were the key factors that enabled effectiveness? And 2. In the areas that you rated as least effective, what were the key factors that inhibited effectiveness? Respondents could choose up to 3. The prior questions had asked respondents to rate effectiveness of areas of work contained in the Implementation Plan.



Overall Progress

Utility of the Implementation Plan

1/2

There is a wide-spread sense of identification of constituents with the movement. The process of developing the 2015 strategy especially stands out for its contribution in this sense.

Keystone, Comparative Survey Report: Transparency International, 2012, 28

Internal Stakeholders and Chapters report that the Implementation Plan has an above average relevance to their work (TIS staff: 3.39/6 NC: 3.90/6)

Through the process of developing Strategy 2015 all parts of the Movement agreed to an overall direction and areas of work for the first time. Many Chapters and TIS staff reflect very positively on this experience. The Strategy, as a framework, has provided clarity on areas of work and focus, and a common language for use across the movement. It framed the Implementation Plan for the Secretariat and some Chapters have also used it in the development of their own Strategic Plans.

The Implementation Plan aimed to provide a framework for the contribution of the Secretariat to Strategy 2015. The Implementation Plan established the six key programs and their proposed inter-relationship (ASK as a bridge between the three externally focused Key Programmes and the two Movement Enabling Programmes).

The process for development of the Implementation Plan took five further months.

Despite this investment of time, the Implementation Plan did not resolve key questions about the purpose of key programmes, or the internal architecture, ways of working, resources, and support structures needed within the Secretariat for it to deliver. Further rounds of planning ensued within TI-S, particularly the production of detailed Reference Documents cascading into Annual Plans, project concept notes, and donor proposals.

TI-S staff have invested significant time since Strategy 2015 in planning processes. However, those planning processes have not necessarily targeted the right **level** of planning, asked and answered the appropriate **questions**, or facilitated effective platforms for collaborative analysis and planning within TI-S and with Chapters. When asked in interviews TI-S staff described the process as individuals writing plans that were sent around for comment. In many cases, reading through plans and proposals, there is little evidence of contextual, political analysis or advocacy strategy (for influencing external actors or those in the Movement).

Overall Progress

Utility of the Implementation Plan

2/2

Despite growing resources TI-S has failed to re-organise itself in an efficient manner and division of work between KPs and RPs is poor and creates many structural tensions causing slowness and preventing servicing Chapters efficiently.

Internal Stakeholder in Survey

The tough part has been that we have been in this shift for three years and not everything is clear yet - who serves who, who leads in what - we have policies in place but the realities and the needs and other factors determine the way it works.

The Implementation Plan saw creation of Key Programmes as well as splitting the focus of Regional Program staff into chapter support (regional coordinators) and program/project support (program managers and coordinators). The focus on structural change was not accompanied by an equivalent focus on organisational culture.

The “programmatically approach” benefited TI-S’s work by creating common language, and moving interactions between TI-S and Chapters to be more Chapter-centric through the structural changes to regional departments.

However, the implementation of the programmatically approach has received extremely mixed, and on balance negative, feedback about the ability of Regional Departments and Key Programmes to collaborate together and with Chapters to achieve greater impact. These are the result of predominantly issues relating to ways of working and culture, compounded by an undiversified funding base.

Regional Departments have driven the most effective programmatically work – due to their ability to convene Chapters, broker common analysis and work, and access funds. The support and role of Key Programmes is not yet consistently and effectively enhancing the work of Chapters or Regional Departments, although there are pockets of good work that is well integrated (eg OGP).

The most significant flaw of the IP was not paying sufficient attention to the internal capacities, culture and ways of working of the Secretariat. In particular, there is no discussion of the skills and capacities of staff as brokers and actors within a global network or in highly political processes. While the “internal” programs focused on strengths across the Movement, a sharper focus on capacities as they exist and need to be developed within TI-S, as well as culture and ways of working is called for in the next IP.

Themes and Opportunities

*Movement Strengthening
and Partnerships*

*How far down the social
mobilisation path?
Advocacy & Campaigning
Opportunities*

*Protecting the Movement
as it takes Risks*

*Strategic Programming
and Collective Action*

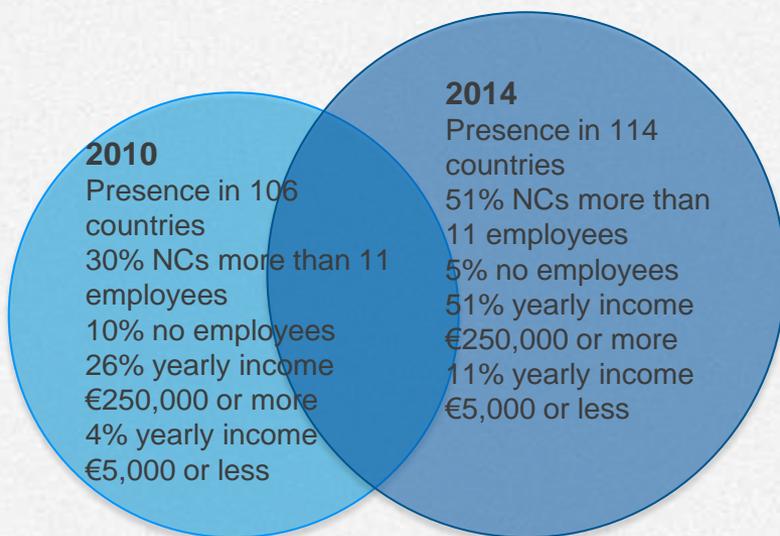
*Facilitating Know-How
Thinking like a Movement*

*Structure, Process and
Culture and
Internal Strengthening*

*Diversifying the Funding
Base*

Movement Strengthening 1/4

*A movement growing in
breadth, size and resourcing*



Institutional and network strengthening is an area of success of the Implementation Plan period, with evidence suggesting the Movement is stronger, individually and collectively, than it was in 2010. Despite these gains, there is a continuing concern with the lack of strategic or strong presence in some countries, with Chapters who do not have the capability to pursue TI's goals, are not connected with important movements, stakeholders or partners, and/or cannot respond to all of the needs of the Movement in their jurisdiction.

Addressing this as a capacity issue has had limited success, due in part to the difficulty of impacting management and governance capacity in Chapters. However, it was the accreditation process that received the most critical feedback as failing to impact positively on the 'strategic presence' issue. Although partly outside of TI-S's control, there are a number of things TI-S could do, already flagged in the Implementation Plan but as yet unresolved, to move the strategic presence issue forward.

One significant opportunity is the development of new partnerships, beyond the one Chapter only model.

Comparative survey data suggests TI's network of Chapters are well established with modest 10% growth of Chapter numbers in the last four years. The Movement has grown rapidly in the financial and human resources they have been able to build and deploy, although the trajectory of financial growth has not been upward for all Chapters (see left).

Movement Strengthening 2/4

A comparison of the self-perception of National Organisation/Chapter capacity between 2010 and 2014 suggests that they are more confident of their capacity:

*Advocacy 89% rating 4,5 or 6 out of 6
(up from 72% in 2010)*

*Convening 88% 4,5 or 6 out of 6
(up from 82% in 2010)*

*Engaging People 71% 4,5 or 6 out of 6
with 38% giving their Chapter 5 or 6
(suggests a relatively quick scale up of
capacity and confidence in this newer
area of work)*

TI's network of diverse, independent and active Chapters was identified as its number one strength by internal and external stakeholders. Interviewees also noted a strengthening of chapter capacity as an achievement of TI-S over the Implementation Plan period, suggesting that the percentage of Chapters in the network who had become or were becoming the “go-to” anti-corruption agency in their national context had increased.

However, it was also noted numerous times, in both surveys and interviews that there are many countries and regions in which the TI Movement does not have a strategic or strong presence. This is of particular concern when it is in countries in which there is a vibrant anti-corruption movement, of which TI is visibly not taking part and/or in countries that are important in geopolitical terms. Chapters in strategically important countries may be subject to many competing demands – and robust discussion is needed of the roles and ways of working needed so that TI-S and the broader Movement can achieve the access and impact it needs in strategic countries, such as the US, India, and China.

Under-performing chapters, whether they be in strategic locations or otherwise, thwart the Movement's ability to attain its Strategy 2015 goals and limit the TI Movement's relevance and impact.

Understanding weak or non-strategic presence as an issue of capacity leads to a focus on supporting chapters to build their capabilities. This is primarily the responsibility of a chapter, however the Secretariat has a significant part to play.

Movement Strengthening 3/4

Chapters rated the Secretariat effectiveness in "providing targeted and relevant support that has assisted develop the capacity of National Organizations/Chapters" as 4.03/6, which was ranked 9th in a list of 20 statements.

Internal stakeholders rated the Secretariat's effectiveness in this area 3.30/6, it was ranked 5th of the 20

To be strong and effective on the outside we need to be strong and effective on the inside. If there is a broken relationship between Governance and Management then there is an internal crisis of leadership and this needs to be addressed.

National Chapter ED

The goal of the Institutional Network Strengthening Program is *strengthened chapter capacity to effectively work on national level issues and to contribute (individually and collectively) to implementation of strategy 2015, across all regions* - INSP Summary March 2014. All of the Secretariat teams and departments have a part to play in strengthening chapter capacity, with significant accompaniment work by Regional Departments and one current full-time position in the INSP global team. INSP is the currently the Key Programme with the highest investment of both core and restricted funding (2014 Budget).

Priority areas for capacity strengthening include, governance and leadership, internal management systems, advocacy and communications and resource mobilisation and there have been a comprehensive and strategic program of capacity development supports, even if there is uneven take up across the regions. We have found that the INSP has contributed to a more coordinated and strategic approach to capacity strengthening, underpinned it with capacity assessments and planning, improved engagement of internal and external expertise and attempted to make sense of and learn from the effectiveness of capacity development activities. Accounts from Chapters suggest that the support to strategic planning, organisational capacity assessment and capacity development planning, both facilitation and tools, has been relevant and helpful.

Despite apparent gains in capacity strengthening it has been more difficult to influence positive change in Chapter management and governance, both of which are arguably critical to strategic and strong presence. Interestingly, despite otherwise positive feedback, 'support with organisational governance and management' ranked last of the benefits of being part of the Movement (or 10th of 10) and rated 3.38 out of 6. These areas are notoriously impervious to technical and generic solutions.

Movement Strengthening 4/4

Five Elements - Capability to:

Commit and Engage

Relate and Attract

Adapt and Self-Renew

Balance Diversity and Coherence

*Carry out Technical, Service Delivery
and Logistical Tasks*

Baser and Morgan, 2008 and Ortiz and Taylor, 2009

The accreditation process is not weeding out bad chapters. It seems political pressure is being brought to bear on MAC/TI Board to allow ineffective chapters slip through the net.

- NC in Survey

The accreditation process still leaves TI with many weak and ineffective NCs. That needs to change through a much more critical lens.

- Internal Stakeholder in Survey

Lack of progress in this area could be due to a narrow understanding of capacity (see left and in **Appendix 3** for a broad and nuanced one) although the TI OCAT as a framework is comprehensive and incorporates many of these elements. Perhaps then the issue is the translation of the understanding into practice. The majority of the capacity strengthening practice appears to focus on the capabilities to ‘carry out technical, service delivery and logistical tasks’, with the notable exception of the second pilot of the Leadership program.

It could also be an issue of the expertise and experience of those involved in supporting capacity strengthening and importantly, their perceived legitimacy and credibility with Chapters. It was noted that in some cases it is not possible for TI-S staff to have a direct and frank discussion regarding capacity, performance and effectiveness with a Chapter. This is a significant concern as it impedes progress and can reinforce the potential for conflict and misunderstanding.

Feedback suggests frustration with the accreditation process for failing to take performance and effectiveness into account when accrediting or re-accrediting a Chapter. The failings of the accreditation process are blamed for the ‘strategic presence’ issue suggesting that, in some cases, it is not an issue of capacity, but of a difference in strategy and ideology that only the disincentive of being dis-accredited can solve.

Accreditation, performance assessment and capacity strengthening have been deliberately kept separate for fear of negatively impacting on and confusing the compliance-focused accreditation process with the learning-focused capacity strengthening work. Whether deliberately linked or de-linked, greater clarity is needed about the synergies and differences between the accreditation process and the capacity strengthening work as well as the relationship both have to the performance and effectiveness of Chapters.

Opportunities in Partnerships

Analysis suggests that neither the capacity strengthening approach, nor the accreditation process are effectively addressing the issue of strategic presence in some countries and this highlights the limitations of TI's one country, one chapter model. Strategy 2015 recognised that the role of the TI Movement as thought-leaders using research and advocacy to pursue change was no longer sufficient and, to ensure sustained change, engagement of people and new approaches were required. This cannot be done by the TI Movement alone, and the wider the coalition the better. TI has a strong reputation and significant convening power. There is opportunity to use these as a platform for fostering new partnerships in strategic locations and towards strategic goals.

National stakeholder and contribution analysis

Analysis of a national anti-corruption/pro-transparency movement as a whole, its strengths and weaknesses, will help TI-S and a Chapter in determining or reviewing strategic direction, TI's niche and best contribution and priorities for developing partnerships and coalitions. Such a process of analysis could be supported by TI-S and could potentially catalyse the necessary and legitimate conversations regarding performance and strategic presence with Chapters.

Partnership and coalition building

If a Chapter is not able, or best placed, to build greater skill and capacity in a certain area then they need to build partnerships and coalitions that extend their capacity and the effectiveness of the national movement for change. We have found ample examples of strategic partnerships at the national level, for instance both Cambodia and Fiji Chapters have built partnerships with civil society groups/networks who already have strong working relationships with sub-national level governance structures - parish, village and commune levels.

Opening up the partnership model

Partnerships could be initiated and managed by either TI-S or the Chapter, although it would be advantageous for the partners to have a working relationship with both in order to maximise the value of the Movement. Taking this opportunity is predicated on the governance arrangements of the Movement being adapted to accommodate new partnerships and the accreditation process incorporating serious conversations around Chapter performance and effectiveness.

How far down the social mobilisation path? 1/3

Advances we've had in movement have been to introduce the concept ... that corruption is not a scientific topic, not a research approach - we need to empower people - that's clear.

Director of a Chapter, Americas

It's passive engagement as opposed to active engagement – people come and give their complaints and that's it...

Secretariat staff, SSA

The Implementation Plan laid out the Secretariat's role in the “increased empowerment of people and partners across the world to take action against corruption” primarily through “the development and management of a comprehensive People Engagement Programme”. In addition, the Secretariat would “ensure that the complex issue of corruption is communicated in a much more accessible way, with an emphasis on supporting Chapters with their campaigning work, bringing in large new audiences to the transparency agenda and creating space for, and giving voice to, citizens.” (IP, 6)

A key achievement in this area is internal: that communicating and engaging with people is now seen as “core business” of the Movement. This is **a significant strategic pivot in the understanding and focus of the movement**, and was achieved with significant TI-S contributions.

Chapters rated their capacity to engage people at an average of 4.11/6 with 71% giving their chapter a 4 and above rating. Although this was rated as the lowest area of capacity (compared to research, advocacy and convening), it displays high confidence for a newer area of work. Many chapters noted that awareness raising regarding people's rights and corruption as well as engaging people more generally were some of their most significant achievements since 2011.

However, the question of how far down the social mobilisation path TI-S and the TI Movement is willing to go arose as a key theme of this review. This relates to what kinds of advocacy and campaigning TI-S and the TI Movement think will contribute to the most significant change, the kinds and depth of people engagement entailed, and the approach to relationships with social movements at times of large scale mobilisation.

How far down the social mobilisation path? 2/3

Box: Social campaigning types

- ‘1. People may come together to campaign on a single, **isolated issue** (e.g. asking to repeal a particular law). When that issue is resolved or otherwise laid to rest, the organisation [or campaign] often dissolves.
2. **Sustained campaigns** are similarly focused, but are carried forward over a long period of time - sometimes over decades, as with the campaign against slavery – and require more of an institutional infrastructure.
3. **Wider social movements** tend to be more extensive and distributed in their organisational landscape, with greater emphasis on individual action and affiliation. They may also focus on more issues, and encompass many campaigns as well as developing alternative forms of social and economic organisation.
4. **Revolutionary moments** such as 1848, 1968[,] 1989 [and 2011] are openings in the constitutional order when people rise up in many places, express comprehensive dissatisfaction, and demand change.’

Source: Paul Hilder, with Julie Caulier-Grice and Kate Lalor (2007). *Contentious Citizens: Civil Society's Role in Campaigning for Social Change*, The Young Foundation, London, 23.

There are distinct types of social campaigning with different kinds of infrastructure, tactics, and approaches (see box above and further distinctions in Appendix 4). Digital campaigning organisations, such as Avaaz, focus on **isolated issue campaigns (type 1)** where there is a tipping point before moving on to another campaign.

International campaigns - such as Jubilee, Make Trade Fair, or 350.org- aim to **sustain campaigns (type 2)**. A review of international justice campaigns between 1991-2011 found that those that were most successful had particular and contextual political strategies and were based on large coalitions with structures to suit (Cox, 2011, 4). Increasingly, effective coalitions are harder to form by civil society due to ‘high transaction costs, the growing need for clear attribution and organisational differentiation, and the fact that many NGOs are now internal coalitions’ (Cox, 2011, 4). While this is an issue for TI-S, it is clear that the Secretariat leads on international advocacy and as such, it has some autonomy to engage with coalitions.

How far down the social mobilisation path? 3/3

Social movements (type 3) are more distributed and people-based such as the women's, peace, labour, and environmental movements. They may not achieve the short term wins by which the 'policy success' of advocacy campaigns are often measured (although, they also often do). However, they may create the longer-term outcomes that underpin lasting change such as popular awareness, increased capacity of organisations and stronger leadership needed to maintain gains and sustain future campaigns (Citizenship DRC, 2011, 27). There is space for diverse social movements to take up anti-corruption as a part of their underlying agenda or to work on common issues, such as political corruption and civil society space. Many Chapters are already extremely adept at working in broad coalition, such as in the Open Government Partnership and Access to Information Law Reforms, although this tends to be with other NGOS not with social movements.

The most recent “**revolutionary moments**” in 2011 and since (**type 4**) have been termed “the meta-movement” due to their common thread: “a sense of grievous injustice” (Haque, 2011, 1). Whereas many of the movements of the 1980s were calling for more civil society and less state (for example Solidarity in Poland) and many of those of the 1990s and 2000s were focused on global governance (for example debt and trade movements), today they are focused on better governance by the state (Glasius, 2012). This focus on the state provides strong alignment with the concerns of TI, however there are significant divergences of positioning, strategy and tactics between TIS and these movements. TIS cannot be said to have contributed to the recent revolutionary moments, including those with a strong anti-corruption message. The MENA region had many programs focused on the aftermath of the Arab Spring, although an evaluation found that “The current one-size-fits-all approach has led to delays in addressing strategically the most important ‘Arab Spring’ countries” (Mid-Term Evaluation of the Transparency International Middle East and North Africa Regional Programme, 2013). In many parts of the world, the TI Movement is not necessarily well placed to respond to such moments.

Opportunities in advocacy and campaigning 1/2

Not many NGOs that manage to make the transition - from being a highly respected professional group that talks to business and government transforming itself into a grassroots, mainstream social movement. That still remains, we are not yet there.

Secretariat Staff,
Governance and
Special Initiatives

TI-S could be – but presently is not - capable of campaigning with public support in **types 1 or 2** - in collaboration with a digital campaigns organisation, or as part of a broader coalition. To be a campaigning organisation, TI-S will need to invest more in generating a relationship with a public supporter base. TI-S needs to become clearer on what it needs public support for, and what it can ask the public to do. In this review, it was suggested that rapid response campaigning when Chapters are targeted by the government or at a tipping moment for particular legislation could be one opportunity for engagement. This could build off the experience of rapid response communications work through the RRU.

To connect with a public supporter base, **TI-S needs to remain alive to opportunities to open the TI Movement up to people.** For example, the People’s Charter could have provided such an opportunity by engaging people (online and in other fora) to feed into its creation. This could have informed TI-S about its potential supporters, and informed supporters about corruption issues. This could have created a supporter base that could be relevantly mobilised at future points. It is these kinds of opportunities that need to be used for engagement that genuinely opens up TI’s strategy to the public, creates two-way conversations, and can lead to action. (This kind of supporter base is also a precondition of fundraising from the public).

TI-S is not currently in a position to be driving **types 3 or 4**. In our interviewing there was a lot of talk about “social movements” and “social mobilisation” but not a lot of clarity about Chapters’ and TI-S’s role. **The assessment that social pressure and mobilisation may be required to shift politics may be right, while the role of Chapters and TI-S in those processes may remain slight.**

TI-S and Chapters are in a good position to strengthen their work with those at the forefront of social movements and revolutionary moments, in order to a) integrate common concerns about integrity, transparency and accountability into their demands and engagement with people; b) develop common work on common concerns, such as political corruption; c) engage in dialogue to better understand their experiences of corruption, and to share information and analysis that the Movement has amassed over time. The interest of people engaged in social movements and members of digital organisations, such as Avaaz, in corruption leaves the door wide open for greater engagement and collaboration.

Opportunities in advocacy and campaigning 2/2

"There are tensions between ... 'naming and shaming' individuals and organisations ...and working with governments by being a 'critical friend' of those in power[;] retaining influence with them by not causing them public embarrassment. This isn't an easy balance to strike and maintain and it is an issue which faces TI in climate finance, as in many other of its areas of interest." (Evaluation of the Climate Finance Integrity Program, 2013, at 18)

Strengthening TIS's Advocacy

Based on its distinctive role in global and regional advocacy efforts, TI-S should invest more heavily in these advocacy efforts. This can build off the work on the G20, post-2015 agenda, EELA, EU office, and APD's work on the ADB OECD Asia-Pacific Anti-Corruption initiative. In this role, the Secretariat creates platforms for advocacy analysis, intelligence sharing, and strategising within the Movement; produces targeted research, publications, and policy positions; coordinates coherent advocacy to governments and the media by Chapters, and engages in advocacy at key moments and to key institutions.

Research on how as well as what

TI-S needs to invest in new forms of research that analyses how change has occurred in different contexts; and generates new knowledge about approaches to anti-corruption. Partnerships with institutions that are studying relevant areas of TI-S's approaches – such as IDS on Transparency and Accountability Initiatives, and NYU on indicators as technologies of global governance could assist here. The TI Movement is a perfect context for action research about anti-corruption strategies, and this can strengthen advocacy approaches at all levels.

Recalibrating the multi-stakeholder approach

TI was founded to take a multi-stakeholder approach and be willing to work with anyone. The context of No Impunity and lessons from work with the public and private sectors (from within and outside of the Movement) mean a recalibration is required.

TIS requires a clearer frame of **constructive engagement and contestation with public and private actors** that balances its principled, expert and capacity-based authority. TIS will always have a nuanced approach, however staff need to be better able to navigate the confront-collaborate spectrum.

Protecting the Movement as it takes risks 1/2

As the TI movement targets larger cases of corruption (as foreseen in No Impunity) it aims to touch more forcefully on the interests of corrupt and powerful people. Chapters that already touch on these interests or operate in unstable political or security environments already face legal, political (eg aggressive auditing, deregistration), cyber security, and physical safety threats. Survey results show that this is an area of great diversity for the Movement due to the legal, political contexts in which Chapters operate. Technical problems with the ALAC database in 2013 revealed some potential security concerns, which the Secretariat acted upon. **The TI Brand itself, while still providing some protection will not be adequate for the variety and significance of risk.**

We have to expect push back - people are ripping off billions and we should expect push back if we affect that. Being part of an international movement might matter the most. Security and protection will be important but we are not there yet - but need to get there if we do our work right.

- Chair of the Board of a National Chapter, Americas

Success exposes them to new challenges - the visibility leads to kickbacks and security was threatened & it was critical for TIS to provide support.

- Secretariat staff, Asia Pacific

Chapter responses showed significant variation leading to mid-range averages of the following threats:

- 3.52/6: Politicisation of corruption
- 2.93/6: Legal challenges
- 2.50/6: Physical safety/security
- 2.40/6: Administrative blocks

The highest rated threat (4.07/6) was lack of funding.

... first is the auditing and then they might put [the Chapter] on fire, they might ransack the office, they might intimidate any of us and could kill someone We're not playing. We are taking risks and calibrating...the Secretariat has to put its name and face and denounce it and support [the Chapter]. At least that is what I would expect. The Secretariat, not the regional department.

- Staff of a National Chapter, Americas

Protecting the Movement as it takes Risks 2/2

We have professionalised [security] in the past 3 years - now pro-active, capacity building and planning, risk assessment externally and your own weaknesses internally. More ready to face

Secretariat staff,
Research and Advocacy

The Implementation Plan recognised both that the environment for Chapters was providing new challenges, and that the Secretariat had a role in security and protection. Under Strategy Priority 6 TI-S made the following commitments: *A Rapid Response Unit will be formed to help the Movement communicate quickly and effectively on emerging news and policy agendas, as well as to provide support on security ('SAFE'), legal and reputational risks. Preventative risk management support will be provided in close collaboration with the Institutional and Network Support Programme.*

The Secretariat has delivered on these specific commitments and gone further in recruiting a legal counsel for the first time (in 2012) and a Global Security Manager (in 2014), and establishing a Political Risk Management Panel to be convened at times of crisis.

However, these initiatives remain somewhat of *patchwork quilt of policies* (Secretariat staff) with significant gaps in policy, practice, investment and coherence in this area.

In our case studies and interviews we heard varied experiences of TI-S support. For example, the SAFE Committee members have provided timely and appropriate responses in some cases of concern through providing tools for self-assessment and practical support such as letters from the Secretariat and other international organisations, evacuation of key personnel, and media support.

In other cases, the response of staff from the Secretariat in the first instance was seen as unhelpful as it involved requests for long briefings, rather than support to problem-solve. In broad terms, this is not an area where Chapters think the Secretariat is providing significant benefits: in the MTR survey Chapters rated “security and protection provided by TI” second lowest in response to the question “What have been the benefits of your national organisation/chapter’s membership in TI over the last three years?”. Moreover, there are significant and concerning gaps in the Secretariat’s security policies, insurance, and training for staff who frequently travel to highly insecure environments.

Opportunities in Protecting the Movement

As this area of work is likely to intensify, the Secretariat needs to increase its investment and create greater coherence in this area. This will require resolving critical tensions between the Secretariat's duty of care to Chapters and need to indemnify itself from actions of any one Chapter. Moreover it needs to balance creating the support structures for the Movement to take risks, with the potential tendency for professionalism in this area to encourage risk aversion. Future work on protection and risk could be strengthened by striking an appropriate balance between preventative, rapid response, systemic and public work on risk and protection.

Prevention and Rapid Response

The Secretariat will need further investment and follow through on building risk assessment and mitigation capacities of Secretariat and Chapter staff. Rapid response needs to cohere across political, legal, media support with clear protocols. While the existence of the Political Risk Management Panel and the SAFE Committee are good steps forward, clearer prior thinking about when and how, and under what circumstances the Secretariat will use its clout as well as protocols and templates for responses to particular risks could assist.

Systemic work on civil society space

Systemic work can target support to countries where civil society space is diminishing and contribute to countering it. In this area, TI-S could contribute directly and support Chapters in doing work on civil society space. This can build on the adoption of resolutions related to shrinking civil society space both at the global and regional (ECA) levels, and the work of the Rapid Response Unit to highlight this issue.

Movement and people support

The Secretariat can also draw on the experiences and support of Chapters both to support Chapters facing threats, and to mobilise their supporters to target the government in question or to request that their government engage. People engagement can be seen, itself, as a form of protection in its potential in some contexts to provide a counter-balance to powerful interests. Although it is worth noting that in some cases it may create further threats. As in all areas, this area of work requires strong political analysis as its backbone.

Strategic Programming and Collective Action 1/5

Reflections on progress against the last TI Strategy suggested that there had been "significant increase in coordinated action involving many NCs jointly in specific issues (e.g., G20 and African NCs on Zimbabwe) and multi-country programmes (GTF/ACDC, TISDA, Forestry Governance, MABDA)." and that "the fact of more regional and multi-country projects is the most agreed upon of all the goals in the TI Strategy 2008-2010".

Report on Progress Against Current TI Strategy 2008-2010, March 2010

The key shift of the Implementation Plan to a programmatic approach has benefited the Secretariat's work in a number of ways although the shift is yet to produce the desired results of wide-spread strategic programming. We question the relevance and accuracy of TI-S's assumption that implementing large global programmes can take TI's issues to scale. Instead, skilled leadership of targeted research and advocacy efforts across a region or at a global level have been the most effective contributions of the TI-S to the strategic programming of the Movement (for example, G20, EELA and ENIS – see next slide).

The increasing engagement of the Movement in coordinated action has been a continuing success of TI since at least 2008. A key shift in Strategy 2015 was the move to a programmatic approach whereby all parts of TI-S had common objectives and were supported by Key Programme teams. The commitment to fund key programmes was intended to phase out as they generated new project funding, although they have struggled to do so and have therefore reduced significantly in size over the plan period.

Multi-country projects and coordinated/joint action have allowed chapters and TI-S to work toward common goals, on a common issues and with common methods and have been a good opportunity for chapters to add value to one another and for the Secretariat to add value to the Movement. In some cases these projects reflected common analysis and a rationale for collective action, but in most cases they were a way to package work for donor funding. Factors, including a focus on fundraising, weakness in political and contextual analysis and the soft skills of facilitation and collaboration have limited the impact of strategic programming. Building on good experience and targeting collective action that has real traction in policy and implementation will require some changes in the ways of working of TI-S and the Movement.

Strategic Programming 2/5: Successes to build on

TI-S has some strong examples of working to broker and facilitate in depth political analysis that informs program design. The examples where this has occurred have relied on either Chapter or TI-S leadership in effectively bringing people together and putting the right research, analysis and strategizing in place. These initiatives are some of the most effective we have encountered in the review. This assessment was supported through interviews and, in some cases, existing external evaluation.

In addition to the two cases in boxes, other examples of work underpinned by common and targeted analysis have been Crinis, and G20.

Economic Equality in Latin America

Building off the common interest in issues of inequality reflected in the Americas Runaway Bay Declaration, the AME department convened a targeted group of Chapters who identified that conditional cash transfer programmes were a potential point of influence. These programmes focused on people in poverty, and were spreading across the region with support from the World Bank and IADB, but often without transparency, accountability and participation mechanisms.

Work in 8 countries created mechanisms for community members to engage with decision-makers. The accompanying research produced recommendations that have been taken up in 3-4 countries, and had an influence on political debate, programme development and the discourse in the regional institutions.

European Integrity Systems Project (also known as ENIS)

The ENIS *"produced a substantial body of knowledge on anti-corruption systems in 25 EU countries, stimulated multiple policy reform discussions and processes in the participating countries, and reached several hundred thousand citizens across the EU."*

(Implementation Plan Progress Report 2012, 9) The project contributed to legislative changes in a range of countries, as well as creating new political agendas (ENIS External Evaluation).

The ENIS provided a basis for work at the regional level, with a regional report that gained significant media and institutional attention. Its effectiveness was underpinned by the early engagement of Chapters in the design stage of the project, effective advocacy (over 250 meetings), strong leadership and effective support from TI-S staff.

Strategic Programming and Collective Action 3/5

When this collaborative analysis is not facilitated, neither is contribution analysis, which results in a lack of clarity around the specific contributions and roles of teams within TI-S and between the Secretariat and Chapters.

Program steering or governance structures are generally not established that would allow those involved to collectively make decisions about the program, monitor progress and lead learning.

This review found many other examples of approaches to multi-country programming whereby an idea is generated within the Secretariat and chapters are enrolled in testing and deploying tools or methods without further collective interrogation of what is likely to affect critical corruption issues in those contexts from the outset (although it is acknowledged that Chapters were involved in exchanging experiences and lessons). **This approach may be instructive in the development of the method or tool in question but may be more limited in the changes they can influence in the national or regional levels.**

We note that TI-S remains better at providing support or a platform for sharing and learning on technical or approach questions, than on strategic or political issues, for example PEP's support for ALACs has focused more on case management and the database, than strategic and analytical questions (GTF Evaluation). This tendency can also be seen in the technical support for NIS and TRAC research from research team, BIP and PSIP, compared to the level of strategic support to advocacy based on research, or the analysis of whether or not such research is likely to influence change.

The experience of multi-country and regional programming does now provide the TI Movement with a platform to move to more strategic collective action towards shared objectives where appropriate (noting that sometimes, doing the same activity in different contexts will be what is most effective). Regardless, considering the political nature of anti-corruption work, whether or not a particular tactic is likely to bring about change in a context always requires interrogation.

Although structures and plans were put in place to drive strategic programming, some of the organisational development necessary, namely in ways of working and soft skills around facilitation, brokering, political analysis, and collaboration, have not been comprehensively nurtured and developed.

Strategic Programming and Collective Action 4/5

The assumed link leads from awareness (through transparency and information) to articulating voice (through formal and informal institutions) and ultimately accountability (changing the incentives of providers so that they respond in fear of sanctions). Yet, this chain of causation is seldom explicitly examined. In fact, many initiatives are focused at increasing transparency and amplifying voice, without examining the link of those with accountability. Joshi, 2011, 6, cited in McGee and Gaventa.

Box: Learning from Evidence on the Impact of Transparency and Accountability Initiatives

The past decade has seen a major rise in transparency and accountability initiatives as well as in legal empowerment programs. There are now efforts to analyse their effectiveness and impacts – which is highly relevant for TI-S in supporting greater effectiveness and impact in the Movement. An IDS review funded by DFID found that under some conditions, some Transparency and Accountability Initiatives (TAIs) create opportunities for citizens and states to interact constructively and contribute to outcomes in better budget utilization, improved service delivery, greater state responsiveness to citizens' needs, the creation of spaces for citizen engagement, and the empowerment of local voices (McGee and Gaventa, 2010, 16).

In terms of factors shaping the impact of TAIs, they found that “context matters so much, in a range of ways” including which objectives are feasible, the inter-relationships between transparency, accountability and citizen engagement, and that success is based as much on interactions with external factors, not just internal effectiveness. They conclude that *an approach which only asks the question of the impact of TAIs in an abstract or de-contextualised sense has limited value. A more nuanced question is needed: What are the factors – enabling and disabling – that shape the possibility of TAIs achieving their stated goals in a particular context? Such an approach binds the analysis of impact both to the broad contexts in which TAIs exist, and to the theory of change underpinning their application in a particular setting.* (McGee and Gaventa, 2010, 19)

A review of evidence on legal empowerment programs, found that they can have significant potential as intermediaries. However, to constitute legal empowerment, as opposed to service provision or public interest litigation, they needed to focus on the agency of constituents throughout each phase (Namati, 2014, 28-9).

Strategic Programming and Collective Action 5/5

Survey responses regarding the influence of donors on the decision-making of the movement was telling.

In TI decision-making at the national level, donors were the second most influential stakeholder, after Chapters, and came before civil society/partners, and then TI-S.

In TI decision-making at the regional/multi-country level donors were again second to Chapters and had influence equal to Secretariat Director-level staff.

At the 'overall strategic direction of TI' level donor influence diminished although they still had influence equal to that of Secretariat below director-level staff.

One of the key impediments to collaborative design based on shared contextual and political analysis and the most strategic contribution of the TI Movement, including the differentiated contribution of the Movement parts, is an undue focus on fundraising and funding proposal development.

We understand the need for money (see Resource Diversification theme) but the consuming chase for donor funds necessarily influences program design in a number of ways. Firstly, the kernel of the program focus can come from the donor's priority rather than from a need from Chapters or the national/regional contexts in which they are working, thereby potentially effecting the relevance of the program from the start.

Secondly, donor timelines often do not allow the time, space, resources and creativity needed to bring together Chapters and different parts of TI-S to co-create programming and do the necessary power, political, stakeholder and contribution analysis to make that programming strategic.

Thirdly donor proposal development can drive and exacerbate a cultural practice evident in TI-S of document development rather than analysis and strategy development, reducing collaboration to commenting on a document rather than facilitated joint analysis and direction setting.

Lastly, we have found that program design and development taking place under the cloud of fundraising has encouraged competition and conflict between teams and some parochialism or 'guarding of one's patch', breeding a work culture and environment that fails to support collaborative efforts towards shared goals. In some cases it has brought funding into the heart of the relationship between TI-S and Chapters, negatively effecting power dynamics and collaboration.

Opportunities in Collective Action for Impact

The TI Movement now has significant history and experience in multi-country projects and acting collectively. A successful approach sees programs and projects co-created between Chapters and TI-S, focused on significant issues or opportunities at the national, regional and/or global levels, strong collaborative analysis of what will create change and what TI's best contribution could be and clarity about the role of the contributing parts of TI-S and the Movement. Building from what works, and steering away from what has not worked, will create a whole that is greater than the sum of the parts.

TI-S Leadership

TI-S has an important role to play in catalysing and facilitating strategic programming and collective action. The ideas do not necessarily have to come from them but TI-S does need to take a strong role in creating space and relationships for ideas to emerge, identifying opportunities, facilitating collaborative analysis and direction setting, developing designs, convening governance and advisory structures to oversee programs and projects and leading the learning from experience. As discussed earlier, a key factor enabling success is when the mandate for leadership is clear.

Key Programmes could usefully re-orient for the remainder of the IP on this way of working with a smaller number of priorities.

Strong Collaborative Analysis

For strategic programming the TI-S Movement must build skills and experience in collaborative analysis of:

- political and power analysis
- stakeholder and contribution analysis.

These kinds of analysis are crucial for targeting research, advocacy, and campaigning to make a difference. Otherwise, efforts continue to replicate the same approaches without considering its political impact and relevance.

These are further elaborated on the next page.

Define Contribution

Effective implementation is built on a clear understanding of the roles and responsibilities of the contributing partners, including what their distinctive strengths and capacities are. Different parts of TI-S and the Chapters involved must have a good idea of what contribution is necessary from them and when, as well as how decisions will be made through-out the process of design, implementation, revision and transition. Simple and easy structures and processes for resource allocation, management and governance need to be set up early and collectively revised as needed.

Forms of Analysis

Through-out this report there is reference to different kinds of analysis – particularly power and political; stakeholder and contribution analysis. See below of an explanation of what we mean and some references that may help TI-S to skill up and use these forms of analysis to sharpen the effectiveness of TI-S’s contribution to change.

Power and Political Analysis

Why is it important? Successful activists, campaigners, and advocates (including many in TI-S & the Movement) do this reflexively by asking where do the power holders sit on this issue, what or who influences them, how can we leverage change? In an organisation and network, this is needed to make sure that action is well targeted and builds on the relationships of influence across the network. Without power and political analysis, advocacy and campaigns are often collections of tactics that we feel comfortable with – and have little result.

What is it? Power and political analysis focuses on messy, everyday politics, looking at who has (formal and informal) power and how it is used. It identifies competing ideas, interests, values and preferences of the influential players. Political analysis looks beyond the institutions and systems to the individual agents or people involved in the change processes, and the relationships between them.

How can we use it? Forcefield maps, power analyses, theories of change, outcome mapping can inform design of advocacy, help adapt strategies and tactics along the way and be used to evaluate progress. This requires political nous & skill – areas for investment in TI-S. **TI-S can draw on these resources:** [DLP’s report on From Political Economy to Political Analysis](#), [ODI’s Research and Policy in Development Outcome Mapping Approach \(ROMA\)](#), [Strategic Governance and Corruption Analysis](#), [Sida’s Power Analysis approach](#), tools created by campaigners, for example the collection by [The Change Agency](#), and methods for [theory of change work](#).

Stakeholder and Contribution Analysis

Why, what and how? Informed by power and political analysis, stakeholder and contribution analysis deepens the view of the players, organisations, institutions, agents engaged in an area including analysis of their capacities, interests, likely roles or contributions in a change process. On the problem of unclear mandates and relationships within TI-S, occasionally the Movement, and the potential for greater partnership with civil society, this kind of analysis can help clarify and refine roles and contributions to change when developing new work or new coalitions.

Facilitating the Know – How 1/3

Chapters, when asked about the benefits of being part of the movement suggested that

'Sharing ideas and approaches with other national organisation/chapters' was 2nd benefit of 10, rated 4.62 out of 6

First was the 'credibility and connections provided by the TI brand'

'Expert advice on issues and solutions' was 5th of 10, rated at 3.75 out of 6

The autonomy of the Chapters is a key strength of the Movement, confirmed by internal and external stakeholders. TI-S and other members of the Movement have know-how that is valuable to Chapters although evidence suggests that this is not consistently brought to bear to assist and guide Chapters when needed, due primarily to ways of working and organisational cultural factors.

When asked about the key strength of the Movement, the overwhelming response from all stakeholders suggested it was its network of autonomous, independent, active chapters worldwide, giving TI reach, credibility and the ability to link the local to the global (through advocacy and communications, such as through the work of the rapid response unit). Interviewees often pointed to the ability of chapters to make political judgments and determine their strategy and work program as being crucial to the effectiveness of the work. This contextualizes their work in the political and social realities of their countries making their activities highly relevant and more likely to be effective. When pushing actors from the development of policy and law to the implementation and enforcement of that policy and law, navigating the political economy deftly and opportunistically is a necessity and can only be done effectively by a team rooted firmly in the context.

That said, the Secretariat and other members of the TI Movement have experience, know-how and perspectives that are valuable to Chapters at times such as strategic planning and determining the contribution of a Chapter within its national context, or at moments of opportunity or crisis - for example in a time of political upheaval or change, or when there is a brief window for opportunistic reform, or when a donor shows interest in an opportunistic grant.

Facilitating the Know

– How 2/3

Survey results regarding who influences decision-making about national level work suggest that after the national chapter, the next most influential stakeholders, in order of influence, were donors, civil society allies and partners, and then Secretariat staff below the director level.

Despite it being a potential benefit of the movement, evidence suggests that this valuable experience and know-how of the Secretariat and other Chapters is not consistently brought to bear to assist and guide Chapters when needed. Strategic sharing is not happening nearly as much as one would expect within a global movement.

Interviews and focus groups with chapters reveal a number of exchanges with other chapters, predominantly focused on projects and approaches, although very little engagement of the Secretariat (nor other chapters) at points of strategic decision-making, whether they be ad hoc or part of planning processes.

Our interviews reveal that feedback on strategic plans of chapters is mostly given by Regional Coordinators, and the director of the global INSP, due to the INSP investment in chapter strategic planning. The focus of feedback is mostly on process and formatting issues and relevance of the plan to the movement and TIS priorities and plans. Chapters have requested more critical support around strategic planning (rather than process support).

Outside of planning, there are times of opportunity and crisis, whereby the know-how of the movement could assist:

In one circumstance recounted in this review, the budget for an NIS was woefully small in a Chapter strategic plan and this was not noticed or acted upon by TI-S, despite TI having significant experience of operationalising an NIS in over 80 contexts.

In another, a chapter needed to strategise about the future of their ALAC after a significant contextual shift and research to suggest that it was not performing its function.

In another, some quick decisions around strategy need to be made in a highly charged election context.

TI-S was seemingly barely, either in providing advice based on expertise or experience, or facilitating the advice of others in the Movement to aid the chapter's decision-making, despite these situations having been faced by Chapters before.

Facilitating the Know – How 3/3

There is not a sense that "we are all in this together" from interactions with the Secretariat

- Chapter ED, ECA

Thinking like a movement doesn't happen as much as it should. Each Chapter runs its own race

- Chapter ED, APD

This is not a technical problem we are dealing with, but a political one

- Secretariat Staff, NCP

People within TI-S may well not have the expertise or experience necessary in many cases, but other Members of the movement may have, including International Board members, Individual Members, Senior Advisors, and other Chapters, in which case the Secretariat can play the crucial facilitation role.

The Helpdesk could ostensibly have this function, and their work has received excellent feedback during this review, however requests and responses generally focus on technical or approach issues, draw on information predominantly from outside of the movement, and provide information in a briefing format rather than engaging in a conversation regarding strategy.

In part facilitating the know-how comes down to individuals (their knowledge, skills, experience) and the strength and openness of the relationships (between Chapters and TI-S). Factors inhibiting the harnessing and sharing of knowledge include an apparent lack of collegial culture within the Movement. Also, a culture within TI-S of providing briefings and feeding back on documents and proposals that fails to encourage collaborative analysis and discussion. In some cases there is an unhelpful separation of expertise and the lack of a necessary process and culture for quick and easy collaboration.

There is a weakness in capturing lessons and learning, and a tendency to consider heavy and time intensive solutions to knowledge management, rather than more flexible, adaptive and quick processes. The TI focus on systems diagnosis and analysis, can come at the expense of capitalising on political processes for opportunistic change. Lastly, on occasion there is an over-emphasis of autonomy/independence of chapters and the diverse contexts they are operating in and an under-utilisation of Chapters in opportunistic support to one another.

Opportunities in Thinking Like a Movement

We are a collection of very loosely affiliated independent organizations... the Secretariat has ignored what it could actually do which is improve communication among people in the chapters, help them learn more, help improve chapters institutionally, and in general strengthen the community of the Movement.

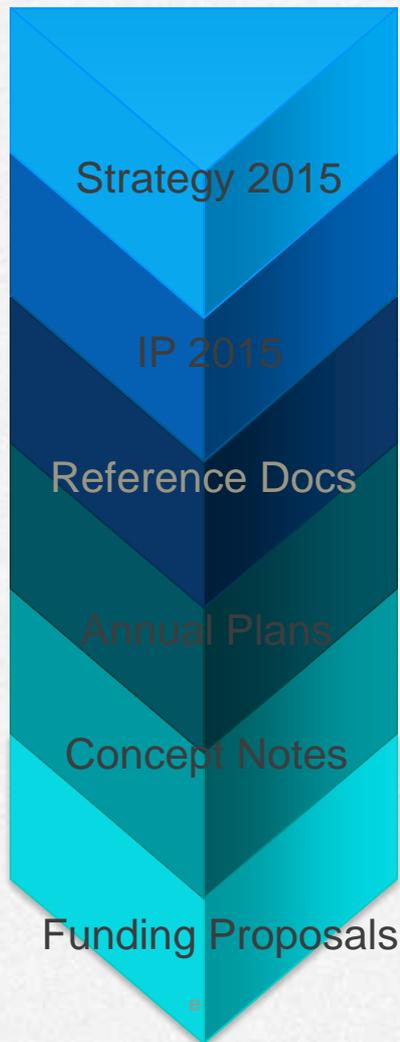
- NC in Survey

TI Australia has excellent relationships with trans-national companies and a working Board and voluntary Executive with formidable experience, expertise, passion and commitment. TI Fiji is building excellent relationships with significant church networks and TI Cambodia monitored elections in a highly charged political environment, in which corruption was the hot topic. Chapters in the Americas have significant experience in social accountability initiatives and brokering and convening large civil society coalitions on issues of security, access to information and open government.

Being open to the distinctive strengths, and understanding better the particular experiences, of Chapters and other members of the Movement will make it possible to truly capitalize on their diversity and experience. There are good examples of knowledge and learning exchange between Chapters and with TI-S, but there could be much more. Not only could Chapters become more involved in supporting and advising each other in times of opportunity and crisis, but they could also be involved more in: indirectly lobbying and influencing each other's advocacy targets; engagement of multi-national companies; exchange around hubs of expertise; acting as collaborators and advisors during times of strategic and operational planning, review and learning.

In order to take this opportunity TI-S needs to embrace and enhance its dual role as facilitator of, and contributor too, the know-how of the TI Movement. The Movement also needs to improve its ability to learn and fashion that learning into communications that enable application. Four cautions in pursuing this opportunity: 1. Do not try to involve everyone in everything as this will lead to fatigue and de-motivation; 2. Leave time for Chapter heads to build their national work and organisations; 3. Keep knowledge and learning exchange simple, easy and opportunistic; 4. Strategically make the most of the resources TI has at its disposal, rather than fundraising for more; and 5. Resist a focus on technical tools for knowledge management – this is about relationships and ways of working.

Structure, process and culture 1/2



At left – a cascade of planning. From 2010-now, TI-S has invested heavily in planning processes.

In order to position the Secretariat to achieve the Implementation Plan, the Management Group led a restructuring. This created the Key Programmes Department, sitting in Network, Chapters and Programmes Group alongside Regional Departments. Regional Departments organised their work around the key programme areas, with some dedicated programme staff. A range of other areas of work were designated Key Support Services including areas of work that we would consider areas of TI-S programming rather than support – advocacy, and campaigns for example.

The positives of the new structure include the recognition of the dual role of the regional departments in facilitating the relationship with Chapters and working with them to develop programming; and the structural alignment of the organisation with its strategy. However the structure has not resolved critical issues about scope of mandates, and staff in regional departments and key programmes struggle to work together. The majority of interviewees within TI-S raised challenges and concerns about mandates that crossover, competition for funding, lack of collaboration, and even lack of relevance.

Our analysis is that the problems are not primarily structural and cannot be primarily resolved through structural change. Instead, the main challenges in current ways of working come from: the lack of funding diversification (explored further under Funding Diversification and Strategic Programming themes), processes that undermine rather than facilitate debate and collaboration, organisational culture, and associated issues of soft skills of TI-S staff.

There are certainly too many meetings and too much internal conflict as people appear to be building power bases at the expense of working together more productively
- TI-S staff survey comment on factors inhibiting effectiveness

Structure, process and culture 2/2

Organisational culture was rated highest by TI-S survey respondents of all the key factors inhibiting effectiveness.

Skills and assets of TI-S staff was rated mostly highly of the key factors enabling effectiveness – by all survey respondents.

The culture of TI-S has major positives: staff are passionate, committed, talented and friendly. Despite this, the organisation's culture is seen as the most significant inhibitor to effectiveness. A number of interviewees (Chapter and TI-S staff) noted that the culture is not one of solidarity – that everyone is in this together. Instead, the culture has hierarchical, competitive, and risk averse tendencies. Individual and some teams counter this within their own contexts – through creative, flexible approaches, or building solidarity in a region or group (eg G20 advocacy network, and the Americas).

Some TI-S processes reinforce negative cultural aspects. These include:

- The paper based planning processes where individuals or teams write plans and send them to a long list for comment.
- Lack of quality control of concept notes (even though 14 people need to sign off on concept notes, their comments are not necessarily taken into account – particularly as they frequently conflict – and there is pressure to sign off).
- Annual planning processes that segment planning by team, rather than creating a view of the whole.
- If staff have an idea they want to test with others, their avenues are to talk to their own team, to informally chat with other staff from other teams or write a concept note. A middle point – between informal discussion and formal appraisal of plans is required.
- Many low level issues are escalated to Management Group or its members, rather than allowing decision-making by Department heads or Managers.

Changes in structure and funding have recurred throughout this period leading to a sense of insecurity. In a number of cases, restructuring has happened without consultation of the staff or Directors involved. The promise of autonomy of teams under the new structure has not been delivered with even relatively minor decisions escalated to MG level. Consultation “within the building” is over emphasised in order to avoid conflict, while overlapping mandates remain unresolved. Compared to the time and energy that has gone into restructuring TI-S has invested little in building a strong culture.

TI-S staff are brokers within an international network. They require self-awareness, cultural competency, leadership and political skills to do this effectively and without reproducing patterns of exclusion (DRC Citizenship, 2010). In reality, TI-S staff have extremely varied levels of skill in these areas. This is not about individual capacity but an issue of investment into the core skills required for staff to do their jobs effectively.

Opportunities in Internal Strengthening of TI-S

The 'enabling programmes' of the Implementation Plan were mostly focussed on what needed to be built in the Movement. This review has found that in order to complement and enhance strengthening in the Movement, the TI-S needs to attend to strengthening itself. The internal strengthening needs to focus on skills, ways of working, culture and approaches to learning, not more restructuring.

Creating Skilled Brokers

When things work well it is the leadership, brokering, and facilitation skills of key TI-S staff that are critically important. In these cases staff see themselves (and TI-S) as key actors who are in it together with their colleagues and Chapters, have respect for the insight and capacities the others bring and have political analysis to contribute based on their regional or global view. Regional Coordinators and Program Managers are central in capacity development, knowledge exchange, accreditation, learning and program development. TI-S needs to invest in core skills for key staff through an internal leadership program that fosters awareness of self, power and culture; political, power, stakeholder and contribution analysis; facilitation skills and leadership capacity.

Cultural Change

To complement the skills building of staff, it is important for TI-S to build a culture that supports new ways of working. MG and Directors need to model a culture of solidarity and facilitate effective dialogue and collaboration.

This is NOT to propose more consultative processes. This cultural change would best be underpinned by **clarifying mandates of teams** and allowing **appropriate autonomy in decision-making** at team level. A framework such as the **DACI** can be used to identify who *Drives*, *Approves*, *Contributes* to and is *Informed* about action in an area.

Processes and ways of working

New processes to support effective ways of working and culture within TI-S could include:

- Effective delegation by MG so they can focus on strategic leadership of the organisation (eg no sign off on concept notes or discussion of issues that can be resolved at a lower level).
- Creating a Program Management Group (comprised key NCP, Research and Advocacy and RDD staff) to provide strategic leadership of TI-S advocacy and programming. Responsible for proposal sign off, manage a pool of funds for program development (see pressure point 1) and oversee annual planning and reflection processes. This could allow for debate and more transparent and subsidiary decision-making.
- Annual Planning process that identifies a small number of organisation wide priorities and directs resources appropriately.

Diversifying funding

1/2

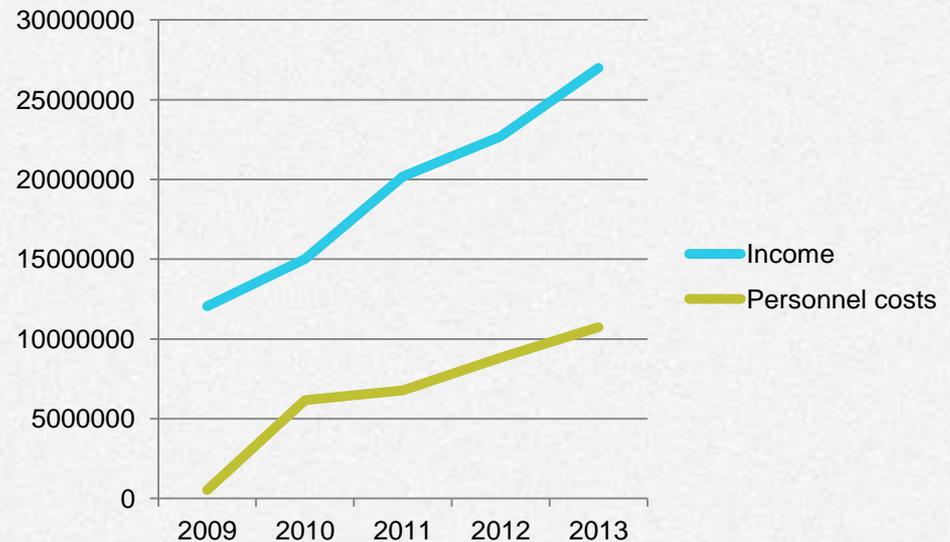
73% Chapters source over 75% of their own funding with 51% sourcing over 90%

Very low dependency on TIS for funding with only 11% dependent on TIS to source 75% or more of their funding

Chapters rate Access to Funding 8th in a list of benefits of being part of the TI Movement

Chapters experience lack of funding as a threat more consistently than other risks.

Source: Chapter Survey Responses



The Strategy and Implementation Plan called for a diversification of the funding base of the movement and the Secretariat. The Secretariat has doubled its income within the plan period (Chart above created from TI-S annual financial statements). However, the Secretariat has **failed to diversify its income**. In fact, funding has become more concentrated – with government donors now providing **92%** of all funding. This leaves the Secretariat open to the political vagaries of these countries, as well as changing fashions in thematic focus and aid modalities. The increasing reliance on project based funding has contributed to problematic ways of working within the Secretariat described in *Structure, Process and Culture* above. The underlying issue is the strategic management of growth, based on the distinctive contribution of the Secretariat to the TI Movement.

There is no doubt that TI-S faces significant challenges in the critical task of diversifying its funding base. The governance of the Movement raises challenges for raising funds from the public (which public when there are few Chapters with broad supporter bases? how are the funds divided? how are data protection and other laws managed?), engaging with global private sector actors with coherence, and engaging with foundations in the jurisdiction of one Chapter - most particularly the US. Combined with the progressive orientation of bilateral donors and private foundations towards directly financing southern civil society, this means that creativity is called for.

Diversifying funding

2/2

The extent to which the ausaid program helped put the regional programmes on a more secure funding basis - didn't have to scurry around and look for programs that allowed them to do their core work (e.g. regional meetings) while doing something not at the top of the priority list.

Secretariat Staff, Research and Advocacy

The more vehement we are while we are reliant on bilateral funding we challenge our sustainability

Secretariat Staff, NCP

We are too heavy in one type of funding and need to diversify. Vital matter - more than a challenge, real threat.

Secretariat Staff, External Relations

In the plan period, TIS has attempted to diversify its funding or that of the Movement in the following ways:

- Some increased proposals and meetings with US Foundations;
- Some engagement with private sector donors;
- Funding mentoring and capacity development project with 6 Chapters;
- Supporting pilot programs in raising money from the public in less than 10 Chapters.

These attempts have been ad hoc, small scale and have produced only minor results (financially and in terms of increased capacity). The pilots on fundraising from the public were somewhat stymied by difficulties in negotiating the terms or navigating the laws of Chapter countries. The funding mentoring program received some positive feedback, although it was clear that there were some preconditions for a Chapter to work on this area productively (Board and Executive level commitment, the dedication of at least one staff person) (Funding mentoring evaluation). There are now moves to recruit a Director level position to lead strategy development and work on raising money from private sector and the public. The lack of clear, overall leadership in this area (and shifting responsibilities) plus the lack of investment in strategy and research have been underlying factors.

TIS in collaboration with the Movement needs to lead analysis of the resource base, needs and potential funding sources for the Movement. Part of this discussion must help resolve the question of the appropriate level and form of growth for the Secretariat, based on a clearer definition of its distinctive contribution and role in the Movement.

Opportunities to diversify funding

Resource diversification is, in many ways, a precondition of other opportunities presented in this report by providing the space and flexibility to focus strategically. The resource diversification discussion needs to occur as part of this broader conversation about growth and the value add of the Secretariat. Since 2010, the Secretariat's income has doubled but it cannot be said that the increases in impact have been proportional. In fact, in some cases, it has been when teams are working in the context of constrained resources that efforts have had the most impact - as they have had to build and draw on the intellectual and political resources of the movement. This is a lesson that must be taken seriously in future discussions of growth.

A Cap on Bilateral Funding

We propose that the Management Group place a cap on bilateral donor funding for the Secretariat, at around the 60% mark phased in over 3-4 years but beginning with a volume cap starting in 2015 at just above current levels. This could help shift both the urgency of work on other avenues and the competition around quality proposals to donors. This kind of discipline, lead by Management, is required to ensure TIS's future independence and strategic focus.

Strategic Fundraising

From our analysis, some of the best opportunities for TI-S lie in:

- Targeted engagement of high net worth individuals supported by strong impact information;
- High level engagement of key international foundations to pursue more diversified unrestricted support;
- Additional service provision to external audiences, particularly governments and the private sector.

It is our view that high volume fundraising from the public will not be possible without strategic work over coming years to build a supporter base at the Chapter and Secretariat level. See Appendix 5 for more analysis of funding avenues.

Resource Sharing

Beyond these avenues, TI-S and the Movement, as part of the Strategy 2020 process will need to explore questions of resource sharing within the Movement, including the functions of the Secretariat that the Movement may be willing to invest in the absence of ongoing bilateral donor support.

Pressure Points & Conclusions

Conclusion

*Bringing the politics back
in*

*Creating space for
strategic action*

Broadening reach

We're all in this together

*Making plans fit for
purpose*

*Outline of Appendices
(attached separately)*

Thank-you

Conclusion

Pressure Points

*Bringing the Politics
Back In*

*Creating space for
strategic action*

Broadening reach

We're all in this together

*Making plans fit for
purpose*

At its best, TI-S brokers work with and between Chapters that generates change at multiple levels, creates new agendas and issues, and influences the content and implementation of laws and practices related to corruption.

The contribution of TI-S is underpinned by leadership of TI-S staff, and their ability to effectively facilitate analysis and strategy, adapt to changing circumstances, be an actor who brings insight to the table, and muster the intellectual, political, and other resources of parts of the Movement and TI-S towards a goal. TI-S can much better organise itself around this insight.

Through the iterative process of this review, five pressure points (listed at left and discussed further in the slides to follow) have emerged as opportunities to significantly increase the relevance, effectiveness, efficiency and sustainability of the TI-S in the fight against corruption.

In implementing these pressure points, we do not suggest a focus on structural change. We believe the current structures could largely continue, with greater management focus on changing culture and ways of working in TI-S.

Advocacy, programming and support work needs to be goal focused, underpinned by power analysis, with clear mandates for leadership – and analysis of who will contribute in which ways. TI-S needs to focus its attention to its own internal strength by investing in leadership and key skills for its staff. These changes will require diversification of funding to sustain, however they do not necessarily require growth of income.

Beyond changes that can be made within the final period of the Implementation Plan, the development of Strategy and IP 2020 will provide a key vehicle for consideration of the issues raised in this review.

Bringing the politics back in:

Approaches to program and campaign design

*Retain a certain amount of **core funding for program and campaign development and piloting** activities that arise through Chapter work, Regional or Key Programs.*

*Institute a **quick and simple bid process** for funding to test a new idea or further develop a promising initiative at Chapter level or helping a group of Chapters explore a common issue. Chapters or TI-S (with at least 1 chapter on board) can apply for development funds.*

*A **program management group** (small sub-section directors from NCP & A&R, and RDD) judges bids on short list of criteria, including strategic relevance, potential for impact, engagement of Movement, potential for network strengthening.*

To realize its ambition and the intent of TI Strategy 2015, and create change at the sub-regional, regional and global levels, TI-S needs to consistently develop and implement advocacy, campaigns and programmes on the basis of targeted power, political, contribution and stakeholder analysis. These can best be organised around specific goals, rather than sector-wide programmes.

The issues and situations being tackled by the Movement are complex, dynamic, technically difficult and highly political. Processes of design, development, implementation and learning need to be light and agile, making the most of the resources and assets TI have. Some recommendations improving strategic programming are:

*Consistently use **power and political, and stakeholder and contribution analysis** to ensure advocacy, programmes and campaigns are well targeted to achieve particular changes, and draw on the particular positions, resources, and capacities of the TI Movement and broader movements.*

Set up clear and workable governance and management arrangements for campaigns, advocacy efforts and programmes.

Creating space for strategic action

Diversifying funding

Diversifying funding is a necessary but not sufficient precondition for some of the other pressure points and opportunities discussed in this report. Diversifying funding will create greater space for TI-S to engage in the kinds of collaboration, strategising and reflection that is needed to generate change in highly charged political areas across multiple countries.

Exploration of these issues needs to take place within the context of a robust discussion within TI-S and the Movement about whether, to what extent and in which areas the Secretariat should grow within the 2020 strategy period.

Below are our three main recommendations for diversifying funding.

Management Group to set a target of a 60% cap on bilateral funding (as a proportion of all income) by 2020 with staged targets (eg 80% by end 2015). MG to set a volume cap on bilateral funding starting in 2015/2016 at just above current levels. MG to set a volume cap on EU funding due to its matching requirements.

***Fundraising Strategy Development** to investigate the best options for future funding streams. These include high net-worth individuals, increased fee for service provision or subscription, and high level engagement with international foundations with common interests.*

*Engage the Movement in a conversation about **resource sharing** over the longer term, noting the move of bilateral and foundation funders to directly fund Chapters in some contexts. Which areas of TI-S's work might Chapters be willing to financially contribute to in the future?*

Broadening reach

New approaches to partnership



*The TI Movement should develop **new ways of partnering beyond Chapters**, or networks and relationships held at either the global or national level. This will require new conversations about partnership with organisations other than the TI Chapter in countries that are particularly influential or house targets (eg USA, India, China)*



*In the future, the TI Movement and TI-S can take advantage of the growing engagement in governance, accountability, transparency and political corruption issues to **partner and engage more substantially with social movements, and digital campaigning organisations** to reach more people through more channels.*



*At **moments of major social mobilisation**, TI-S can assist Chapters to analyse how they can best connect and contribute, and if they are unwilling or unable, connect to see if TI-S's knowledge and experience can assist. TI-S will not drive such mobilisations, but can contribute to them.*

We're all in this together

Thinking (and acting) Like a Movement

There is opportunity for TI to build its community and truly capitalize on the significant diversity, expertise and experience of the Movement. To realize this transformation will require shifts in skills, ways of working, culture, processes and capability. We recommend investing in internal strengthening work of the TI-S and integrating this purposefully with the institutional and network strengthening work, recognising that these two are complementary and mutually reinforcing. We recommend INSP comes together with representatives from regional teams, and relevant support teams, including Governance, HR and MEL, to oversee a Movement-wide program of action, including:

Develop a TI-S leadership programme with a focus on core skills for key staff, fostering awareness of self, power and culture; political, power, stakeholder and contribution analysis; facilitation skills and leadership capacity. This should be integrated with (and complementary too) the Chapter-focused leadership program as well as relating directly to desired cultural change.

A focus on the generative capacities of the Movement - capacities that allow Chapters to take their strategic work to scale, develop expertise, establish cross-boundary relationships and generate new initiatives beyond their own countries - articulating key capacities required at Chapter and TI-S levels and coordinating Movement-wide efforts.

Smaller scale generative capacity strengthening work, namely the greater involvement of Chapters, and others in the Movement (Board, Individual Members, Senior Advisors) in advising Chapters at times of crisis and opportunity; in influencing and engaging external stakeholders on behalf of one another; and in acting as collaborators and advisors during times of strategic and operational planning, review and learning.

Making plans fit for purpose 1/2

Strategy 2020

Strategy 2015 informed the Implementation Plan, and some Chapters' strategies. During Strategy 2020, it is worth asking, what are all of our commitments to this strategy? As TI-S finalises its IP afterwards, Chapters could do the same, making the Strategy contextual, relevant, and owned.

The development of Strategy 2020 and the next Implementation Plan provide critical opportunities to address issues raised by this review. The Strategy development process should pick up on the inclusiveness of Strategy 2015 process, but also be tighter and shorter acknowledging that Strategy 2015 provides a base of agreement on which to build.

Our review suggests the Strategy could be used in the following ways:

1. **Articulating the critical contributions of the TI Movement** (eg in creating issues, agenda setting, establishing and implementing rules or programs and, monitoring and evaluating outcomes) with lessons about the conditions under which the TI Movement best reduces corruption or impunity.
2. **Clarifying approaches to people engagement and campaigning** within the TI Movement, and the approach to partnerships with social movements and at moments of social mobilisations.
3. **Broadening the view of the TI Movement**, by addressing the kinds of relationships that are crucial to the work of Movement nationally, regionally, and globally. Articulating the strategic questions that drive the development of these relationships, particularly in countries that are strategic for global or regional policy issues.
4. **Further articulating lessons about how the Movement best works together** - to solve problems, and pursue change particularly drawing on its global and national strengths;
5. **Re-calibrating TI's "multi-stakeholder" approach** with an updated discussion on the role of confrontation and collaboration in engaging governments and the private sector.

Making plans fit for purpose 2/2

Implementation Plan 2020

In a similar way, the next Implementation Plan should be developed in a shorter and more focused way alongside and immediately after Strategy 2020. The Implementation Plan needs to address the following questions:

1. What are the **critical functions and contributions** of TI-S to the Movement's Strategy?
2. What **functions, resources, and capacities** need to be in place for TI-S to make such a contribution?
3. Which **ways of working** best support TI-S to generate impact and support the Movement? How can TI-S build a culture to support these ways of work?
4. How does **TI-S work best with Chapters** and how can it best pilot new approaches and learn better about what works to reduce corruption and impunity?

We imagine a much stronger focus on the internal capacities and ways of work of the Secretariat would be reflected in the next Implementation Plan.

A process of alignment - of the Secretariat's contribution to the Movement's Strategy, funding streams, and internal strengths and roles of the Secretariat will be crucial to the final Implementation Plan.

Appendices – Attached Separately

*1 - Mid-Term Review
Terms of Reference*

*2 - Mid-Term Review
Operationalisation Plan*

3 - Reference List

*4 - Interviewees and Focus
Group Participants*

*5 - Organisational
Capacity Frameworks*

*6 - Campaigning
Approaches*

*7 - Indicative Analysis of
Funding Avenues*

Thank-you

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Annabel and May, July 2014.