Evaluation of the - DFID Programme Partnership Agreement
Final Report

Prepared for //

Date //29th October 2010

By//

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<table>
<thead>
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<th>Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>ALAC</td>
<td>Advocacy and Legal Advice Centre</td>
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<td>CA</td>
<td>Central Asia</td>
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<td>CIDA</td>
<td>Canadian International Development Agency</td>
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<td>CSO</td>
<td>Civil Society Organisation</td>
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<td>CPI</td>
<td>Corruption Perceptions Index</td>
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<td>DIP</td>
<td>Development Integrity Pact</td>
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<td>DFID</td>
<td>Department for International Development</td>
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<td>FGI</td>
<td>Forest Governance Integrity Programme</td>
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<td>HR</td>
<td>Human Resources</td>
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<td>IATI</td>
<td>International Aid Transparency Initiative</td>
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<tr>
<td>ME</td>
<td>Middle East</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MFA</td>
<td>Ministry of Foreign Affairs</td>
</tr>
<tr>
<td>NIS</td>
<td>National Integrity System</td>
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<tr>
<td>Norad</td>
<td>Norwegian Agency for Development Cooperation</td>
</tr>
<tr>
<td>PPA</td>
<td>Partnership Programme Agreement</td>
</tr>
<tr>
<td>RESIST</td>
<td>Resisting Extortions and Solicitations in International Transactions</td>
</tr>
<tr>
<td>SDC</td>
<td>Swiss Agency for Development and Cooperation</td>
</tr>
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<td>SIDA</td>
<td>Swedish International Development Agency</td>
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<tr>
<td>S.O.</td>
<td>Strategic Objective</td>
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<td>TI</td>
<td>Transparency International</td>
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<td>TI-B</td>
<td>Transparency International – Bangladesh</td>
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<td>TI-P</td>
<td>Transparency International – Pakistan</td>
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<td>Transparency International – Secretariat</td>
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<td>Transparency International – Zambia</td>
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<tr>
<td>ToR</td>
<td>Terms of Reference</td>
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<td>UN Convention on Anti-Corruption</td>
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<td>VfM</td>
<td>Value for Money</td>
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<tr>
<td>WIN</td>
<td>Water Integrity Network</td>
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</table>
Section 1 - Summary of Findings

The purpose of the Transparency International (TI) Programme Partnership Agreement (PPA) with the UK Department for International Development is: To reduce corruption and keep the fight against corruption inside the world’s agenda. This evaluation assesses the extent to which the PPA funds have enabled TI to deliver against mutually agreed outcomes, demonstrate impact on people and policy processes, improve its organisational systems and present value for money in order to more effectively deliver against this purpose.

1.1 Progress made against purpose: To reduce corruption and keep the fight against corruption inside the world’s agenda.

As the leading organisation tackling corruption through its Secretariat and Chapters around the world, TI has made progress against its PPA Purpose. TI has kept transparency inside the world’s agenda. Examples include:

- TI public awareness activities of the link between corruption in public procurement and the extent of the floods disaster in Pakistan
- TI’s leadership of the civil society organisations’ (CSO) agenda at the UN Convention on Anti-Corruption (UNCAC)

However, it is difficult to establish how the TI objectives have led to progress in reducing corruption. TI points out that the sector in general finds it difficult to chart progress on reducing corruption. TI’s challenge is partly because this data is difficult and expensive to gather, and partly because TI-S collates data from only one third of the movement every year. This element of the Purpose of the TI PPA may have been set too broadly in the timeframe, particularly given the entrenched and deeply cultural nature of corruption.

1.2 Progress made against PPA Strategic Objectives

Table 1: Summary of Progress against Strategic Objectives

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>TI Self – assessment</th>
<th>External assessment</th>
<th>Indicators on track</th>
<th>Not on track/further evidence needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>S.O. 1</td>
<td>1</td>
<td>2</td>
<td>1,01</td>
<td>1,02 1,03</td>
</tr>
<tr>
<td>S.O. 2</td>
<td>1</td>
<td>1</td>
<td>2,01 2,02</td>
<td>2,01 2,03</td>
</tr>
<tr>
<td>S.O. 3</td>
<td>2</td>
<td>3</td>
<td>3,01</td>
<td>3,02</td>
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<tr>
<td>S.O. 4</td>
<td>3</td>
<td>3</td>
<td>4,01 4,02</td>
<td></td>
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</tbody>
</table>

The evaluation recognises that the Objectives are not the sum total of TI’s work, and that the PPA is provided to support TI in general, but for the purpose of clarity it has used the Objectives that TI-S chose to highlight its organisational progress with DFID in 2008.
This assessment is in broad agreement with TI’s own assessment of progress towards the strategic objectives of the PPA. Strategic Objectives 1 and 2 have been largely successful. Strategic Objective 3 was not achieved due to a slow uptake by external export credit agencies of OECD recommendations. TI and the evaluators agree that Strategic Objective 4 was overambitious. TI say it is not possible to provide evidence on progress on this objective. TI offered each Chapter’s Self-Assessment Form as a Means of Verification (MoV) in the PPA logframe, however, the Evaluator was not allowed access to them on the grounds that they were confidential. TI say naming these documents as an MoV was a mistake.

1.1.1 Progress against Strategic Objective 1: TI's Global and National Research and Advocacy Drives the Agenda

*The overall assessment is that this strategic objective will be largely achieved (2).* TI’s position given in the 2009/10 Self-Assessment was that this objective was likely to be achieved. Evidence includes:

- Vietnam signed UNCAC adding pressure on those countries yet to sign
- Russians have right to access to government and local administration documents
- The number of visits to the TI website had increased in November 2010 by 60%, making increases of 100% unlikely by April 2011, even with a promised new website launch at an unspecified time in the early new year.
- Over 10 Peer organisations cite TI documents, but it is hard to assess if TI’s policy papers “inform the work” of five organisations or advocacy targets each year.

1.1.2 Progress against Strategic Objective 2: TI’s support and advice to citizens and CSOs on corruption is developed and increased

*The overall assessment is that this strategic objective is likely to be completely achieved (1).* This is in line with self assessment expectations. Evidence includes:

- The RESIST tool helps employees in over 150 large companies counter solicitation and extortion demands.
- Bosnia has amended its Freedom of Information Law
- The Zimbabwe and Montenegro governments have speeded up their complaints procedures
- In Kenya corruption ended around paying birth certificate fees for primary school registration.
- In one district in Zambia the government made savings of £130,000 by stopping artificial prices in state grain procurement processes.
- In Romania the government introduced clearer guidelines on which citizens are eligible for legal aid and established a standard of quality expected from the legal advice.

1.1.3 Progress against Strategic Objective 3: Increased Commitment of private sector to tackling corruption

*The overall assessment is that this strategic objective is likely to be partly achieved (3).* This is in line with Self-Assessment expectations. Evidence includes:

- Outcome of the Doha UNCAC Conference Sept 2009 – 106 states agree the UN peer review mechanism for the convention.
Policies of 6 Export Credit Agencies (ECAs) require companies to have anti-bribery policies. TI’s indicator of 11 International Finance Institutions (IFIs)/ECAs requiring companies to have effective anti-bribery programmes seems to have been over-ambitious. The global financial crisis means this indicator is now less likely to be achieved.

1.1.4 Progress against Strategic Objective 4: Increased quality and reach of TI’s work at national level

The overall assessment is that this strategic objective is likely to be partly achieved (3). This matches Self-Assessment expectations.

- 19 out of 90 Chapters completed 162 projects in 2009.
- TI does not gather data on the number of projects completed by all Chapters on an annual basis.
- TI-S has not provided documentary evidence to DFID on the second indicator of this objective in its self assessment forms. Documents proposed as a means of verification in the logframe to assess the increased quality of work at national level were not made available to the evaluators by TI-S. While TI offered these documents as a means of verification in the PPA logframe, the Evaluator was not allowed access to them on the grounds that they were confidential.

1.3 Organisational Development

- Without the PPA, we believe that the internal change process and strategy development would not have happened as quickly or have been resourced as well as it was. Examples include the managing of TI’s 2015 strategy process, establishing an Organisational Development Unit for TI-S, strengthening a Human Resources (HR) department, developing an Operational Manual for TI-S, developing a new Monitoring and Evaluation (M&E) system, improving learning tools to be more organisationally focused. The TI-S financial management systems have also been strengthened.
- In country the PPA has helped local Chapters to share experience and learn about new initiatives, such as the Advocacy and Legal Advice Centres (ALACs), which they can then include in their own national strategy.
- Multi-country projects provide TI-S and chapters with “learning moments”. Regular regional meetings and the annual membership meetings also allow for a cross-fertilisation of ideas across the movement. This could be further enhanced if the movement gave the international TI structure a clearer mandate to oversee and ensure minimum basic standards on a daily, rather than tri-annual basis within Chapters on both organisational structure and local project output, while respecting their independence and their local environment.
- M&E systems in some Chapters are lacking, especially in relation to locally-funded projects. There is no core support unit in Berlin to support chapters to develop M&E. There is a common assumption in TI-S that gathering impact is difficult in the area of corruption, because progress is slow. While this may be true, TI cannot assume that bilateral donors will remain content with this situation. There is an opportunity here for a new area of work that TI is well-placed to provide that could benefit the donor community, and anti-corruption sector. While this could be a costly exercise, it is not unknown for NGOs with a similar turnover to invest heavily in M&E at that stage of their growth.
There is progress on gender in TI at the policy level. TI has increased its work on understanding gender and corruption in the last two years such as the 2008 report Corruption and Gender in Service Delivery – the Unequal Impacts. There is also some evidence of effort to bring gender more closely to TI’s work. However, at present TI could be considered to be weak in incorporating gender into its work. Gender is neither one of the five global priority areas, nor one of its nine “other thematic issues”, nor is it mainstreamed in TI’s work.

On the ground the TI Chapters have “opened their doors” through the development of the ALAC walk-in centres. The Development Integrity Pact (DIP) is a new tool, which aims to help local communities. This could be further strengthened by TI-S developing a strategy to ensure that these services are rolled out so that they are appropriate for and focused on the poor, women and excluded groups. Currently 22% of ALAC enquiries in Zambia are for people from vulnerable groups.

1.4 Value for Money

There is evidence that TI provides value for money. This is most clear where TI is able to influence policy, but it is more difficult to find consistent evidence of how TI provides impact on people, especially vulnerable groups. The decentralized and independent nature of TI provides an economic saving for a global movement the size of TI. TI is a global player and a well-established brand in fighting corruption with an income lower than many of its peer organisations in international development. But the movement’s structure also depends on the staff and activities of independent chapters, and therefore provides a high risk to TI’s overall value for money.

TI-S has used the PPA investment to improve efficiencies in the Secretariat. There are some good examples that show a selection of TI’s projects being cost effective, but without universal monitoring data there is no clear picture of what impact the movement as a whole has on people and policy year on year. Therefore it is hard to ascertain how effective TI is because it is let down by weak impact planning and data gathering.
Section 2: Introduction and Methodology

The purpose of the Transparency International Programme Partnership Agreement with the UK Department for International Development is: To reduce corruption and keep the fight against corruption inside the world’s agenda. This evaluation assesses the extent to which the PPA funds have enabled TI to deliver against mutually agreed outcomes, demonstrate impact on people and policy processes, improve its organisational systems and present value for money in order to more effectively deliver against this purpose. The evaluation also derives lessons that will enable TI to inform its future strategies.

2.1 Transparency International

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

The Transparency International - Secretariat (TI-S) first received DFID PPA support in 2006. The current PPA commenced 1 April 2008 and is due to end on 31 March 2011. This evaluation focuses only on the most recent period i.e. from 1 April 2008. The funds are unrestricted.

| Table 1 TI PPA funding 2009/2010 |
|-------------------------------|--------|--------|--------|
|                               | 2007/8 | 2008/9 | 2009/10 |
| PPA Funding £                 | 1,000,000 | 1,022,500 | 1,030,000 |
| As % of total income          | 15.59%  | 12.34%  | 8.78%   |

TI was founded 17 years ago in 1993. Their corporate journey in the last two years has been to become more relevant to people, as the TI-Secretariat has expanded from being an organisation focussed on advocacy, policy and research to one that also undertakes increasing amounts of development projects that respond to the grassroots. In the last 10 years TI-S’ income has grown from $3.7m in 1999 to €13.9m in 2009. The TI-S Growth Graph below shows how the nine TI-S departments have developed in the last four financial years since 2006.

The Corruption Perception Index is the most widely known product of TI-S and is used by a wide group of people. Over 300,000 people consult the TI website in the week of its publication.
DFID benefits from the PPA work directly and on several levels including the mobilisation of CSOs around the UN Convention on Anti-Corruption, and the G20 summit. TI sits on the steering committee of the DFID-led International Aid Transparency Initiative (IATI).

DFID uses TI tools, such as the National Integrity Systems (NIS) for its own work. TI’s reports are seen to be ahead of current thinking on transparency, as well as providing a big picture perspective. The unique selling point of TI is that they go beyond advocacy by providing tools to government as practical solutions to common problems.

At country office level TI’s Corruption Perceptions Index is used by DFID officers as a tool to assess the need for continued support for governance projects, as well as a monitoring and evaluation tool to assess DFID interventions.

The relationship between TI and DFID is broader than the PPA. DFID is a partner agency of the U4 anti-corruption helpdesk, which is run by TI-S for donor practitioners. TI has also advised DFID’s Financial Accountability and Anti-Corruption Team, on Asset Recovery, in the follow up to the London G20 Summit in 2009. DFID supports some chapters directly and funds two major multi-country projects.

TI’s structure represents a “movement”, rather than an organisation. The movement brings together a coalition of NGOs, most with full TI accreditation, and individual members, who elect an international board of directors to oversee the work. TI-S supports these three constituent parts of the movement. The Secretariat and Chapters together are responsible for the movement’s activities.
2006 Transparency International Charter has no definition for the Chapters, which the Charter says “vary depending on the country or region concerned, and the relevant local legal system”.

While Chapters are independent, they all have to comply with the “Statement of Vision, Values and Guiding Principles of Transparency International”. Among the “Guiding Principles” are coalition building, political non-partisanship, non-exposure of individual cases of corruption, independence from funders, respect for fundamental rights and freedoms, and balanced and diverse representation on TI’s governing bodies. Each Chapter’s accreditation is reviewed every three years, through a self-evaluation process, which is managed by a Membership Accreditation Committee (MAC), and sanctioned by the International Board. TI’s International Board is not an executive board. The membership gives its final approval of key documents at the Annual Members Meeting (AMM). The diagram below visually represents the relationships between the various constituents of the TI Movement.

2.2 Methodology

The methodology and report format have been clearly defined in the Terms of Reference attached as Annex 1 and the review team have followed the steps outlined whilst also using the DAC Criteria of Relevance, Effectiveness, Efficiency, Impact and Sustainability as a ‘guiding lens’ to cross reference the inquiry.

2.2.1 Assessment of the Strategic Objectives

The evaluation first looked at the extent to which TI has achieved its strategic objectives, and highlighted any evidence of impact on people and policy. The assessment reviewed the indicators and verified the evidence provided by TI. Each indicator has been individually scored and coloured using a traffic light system to establish whether the indicator is on track, partially off track or off track. This has then allowed the evaluation to consider TI’s self-assessment score of the Objectives in more detail.
2.2.2 Organisational Assessment

As the PPA funds were unrestricted, developing organisational capacity was a key component of the Agreement to enable the organisation to deliver against its objectives. As such we have assessed the extent to which the work TI carries out is relevant, and whether the investment has improved organisational efficiency. This has included a review of internal systems and processes, including their monitoring and evaluation systems.

2.2.3 Value for Money

Our approach to assessing value for money focuses on understanding how and why the TI works in the way it does in order to understand how it operationally uses the PPA ‘investment’ it is receiving. This then allows us to assess whether the results or return from that investment are worth that investment and represent value for money. As such the evaluation looked at effectiveness, efficiency and how this has a bearing on results.

2.2.4 Methods

The assessment adopted a mixed methods approach involving: secondary data analysis; interviews in three locations with TI staff, members and international board members; key stakeholders; fieldwork visits to a Chapter in Africa (Zambia) and one in Asia (Pakistan).

Secondary data analysis included a review of materials produced by TI-S such as the TI Annual Reports, the websites of TI-S and 30 Chapters, the audited accounts, Implementation Reports, the Gender Audit, research reports, project evaluations, Chapter records, 20 peer organisations websites (including CIPE, Zunia and others mentioned in the PPA self-evaluation forms). Google Analytics data in August 2010 provided information for the TI-S website. The evaluation also reviewed materials produced by the local Chapters.

The evaluator held interviews with over 40 TI staff in Berlin and two Chapters as well as government stakeholders and beneficiaries. This included relevant policy team experts at DFID in London as well as a DFID governance adviser in Zambia. The evaluator made two trips to the TI Secretariat in Berlin in August and October.

Two field trips were undertaken to the TI Chapters in Pakistan and Zambia. The purpose of the trips was to assess the impact of TI’s activities in regions of importance to DFID and to understand the linkages and dynamics between the Secretariat and the TI national Chapters.

2.2.5 Methodological challenges

Attribution of evidence to the PPA logframe has faced some challenges. The PPA funds are unrestricted and therefore it is difficult to determine some outcomes directly to PPA support.

Secondly the assessment has been undertaken five months before the end of the contract. A third self-assessment report will be written in 2011. The implication is project progress may supercede these findings. Therefore the assessor has had to make a judgement as to whether incomplete indicators will be achieved by March 2011.

In addition TI requested DFID in the 2008 and 2009 evaluation forms that one Indicator 2 of Objective 4 be re-written, because it was overambitious. The Evaluator understands that TI and DFID agreed in principle, the procedure of how to formally amend the logframe was not clear, and the indicator remains. The means of verifying Indicator 2 of Objective 1 on website usage has been complicated by the fact that TI have improved their data gathering systems in the last 12 months. A number of documents that TI provided the evaluator are internal and considered confidential, and therefore have not been quoted in this assessment. Finally the MAC assesses one-third of the movement each year, making annual impact figures difficult to substantiate. While TI does provide
case studies from across the world in its reports, this is not the same as being able to measure global progress towards its Project Purpose.

2.2.6 Other information

During this assessment TI was also undergoing a separate evaluation process on behalf of Norad. That assessment looked at a much longer timeframe from 2000 to 2010; this assessment is focussed on the 30 months from April 2008-October 2010. This assessment is also focused more on the results of the work of TI-S. This evaluation saw the ToR for the Norad work, but did not see any draft documents by the consultants working on this project.

In summer 2010 TI was also in the process of the movement’s next five-year strategy – TI 2015. This process involves 600 external stakeholders and 95% of the TI movement. While this process is testing many new exciting new ideas, and new M&E systems, the evaluator agreed with TI-S not to look at the 2015 draft strategy. The reason for this is to keep focus of this evaluation on the PPA reporting period. The TI 2015 report was also not approved at the time of writing this report.

2.2.7 Report Structure

This report is divided into sections that review progress against the PPA strategic framework 2008-2011 and the wider impact of this unrestricted funding on TI. The report further looks at the PPA’s value for money in order to understand how TI has operationally used the PPA ‘investment’. The report will look at lessons learned and conclude with some key challenges for TI-S.
Section 3: Results

3.1 Progress against Purpose

The purpose of the TI PPA with DFID is: To reduce corruption and keep the fight against corruption inside the world’s agenda. As the leading organisation tackling corruption through its Secretariat and 90 Chapters around the world, TI has kept transparency on the agenda, whether it is in relation to the floods in Pakistan, pushing for adoption of the UNCAC or challenging public sector contracts around the globe.

However, it is difficult to establish how the TI objectives have led to progress in reducing corruption. TI points out that the sector in general finds it difficult to chart progress on reducing corruption. TI’s challenge is partly because this data is difficult and expensive to gather, and partly because TI assesses only one third of the movement every year. This element of the Purpose of the TI PPA may have been set too broadly in the timeframe of three years, given the entrenched nature of corruption, which is shaped in each country by local culture and practice.

3.2 Progress and impact against Strategic Objectives

Table 2 – Overview of Assessment against Strategic Objectives

<table>
<thead>
<tr>
<th>Total PPA investment 2008/2010</th>
<th>Strategic Objective</th>
<th>TI Self – assessment</th>
<th>External assessment</th>
<th>Indicators on track</th>
<th>Not on track/further evidence needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>£2,052,500 million</td>
<td>S.O. 1</td>
<td>1</td>
<td>2</td>
<td>1,01</td>
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<tr>
<td></td>
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<td>2,01 2,02</td>
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<td></td>
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<td>S.O.4</td>
<td>3</td>
<td>3</td>
<td></td>
<td>4,01 4,02</td>
</tr>
</tbody>
</table>

This assessment is in broad agreement with TI’s own assessment of progress towards the strategic objectives of the PPA. Strategic Objectives 1 and 2 have been largely successful. The main difference in the evaluator’s assessment is based on inaccurate baseline figures provided in 2007. It is highly likely that progress is being made in this area, and that website usage is growing. Strategic Objective 3 was partially achieved due to a slow uptake by Export Credit Agencies (ECAs) of OECD recommendations announced in 2007. TI agreed its strategic framework shortly after the OECD announced these milestone recommendations, however in the interim period ECAs have been slower in adopting them than TI anticipated. The impact of the global recession means that this objective may now take longer to achieve. TI and the evaluators agree that Strategic Objective 4 was overambitious. TI’s means of

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Ratings to be applied: 1. = Likely to be completely achieved, i.e. well on the way to completion (or completed) 2. = Likely to be largely achieved, i.e. good progress made 3. = Likely to be partly achieved, i.e. partial progress made 4. = Only likely to be achieved to a very limited extent 5. = Unlikely to be achieved
verification for this Objective in its strategic framework with DFID includes confidential documents, which TI is unable to share externally.

**Strategic Objective 1 – TI’s Global and National Research and Advocacy Drives the Agenda**

Based on the indicators provided in the PPA, this Strategic Objective is likely to be largely achieved

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Evidence of Achievement of Indicator</th>
<th>Examples of Evidence of Impact on Policy and People</th>
</tr>
</thead>
</table>
| **1.1** Positive change in 3 countries annually | In 2009 change in Vietnam, Russia and Georgia | 1. **Outcome of the Doha UNCAC Conference Sept 2009 – 140 countries signed and Convention ratified.**
Vietnam signs UNCAC adding pressure on those countries yet to sign.
Russians have right to access to government and local administration documents.
Georgian state funds are protected from abuse by MPs during election periods. |
| **1.2** Monthly average web visits increase 100% by 2011 | In 2010: 188,000 visits Increase of 60% and 133,000 unique visitors each month (Baseline 2007: 151,742) | 3. **The current website is not interactive. Visitors can respond to blogs, which each receive a number of comments.**
50% of (109) respondents to an online TI Working and Policy Paper Survey in 2009 say they ‘often’ or ‘sometimes’ use TI papers for policy making. |
| **1.3** TI papers are cited by – and inform the work of – 5 peer organisations or advocacy targets | Nine organisations cite CI’s work in 2010 (Baseline 2007: 0) | 2. **Southern African organisations forming a platform of advocacy and action around resource watching have TI materials in toolkits.**
50% of (109) respondents to an online TI Working and Policy Paper Survey in 2009 say they ‘often’ or ‘sometimes’ use TI papers for policy making. |

This assessment differs from TI’s self assessment on Strategic Objective 1. The evaluator feels TI is unlikely to double the number of visits to its website to 300,000 a month for Indicator 2 by the end of March 2011. TI say that a new website will be launched “soon” and that this will increase the likelihood of TI reaching this target. The evaluator feels that a 40 percentage point increase of an additional 112,000 visitors each month is an overly-ambitious target in five months. TI should be congratulated for subscribing to Googlemetrics in the last 12 months, this should provide them with consistent data on website usage in future.

Indicator 1.3 is difficult to substantiate. Peer organisations do cite TI documents, but the evidence that TI provides in its PPA self-assessment forms does not show how TI’s policy papers “inform the work” of five organisations or advocacy targets each year.
Strategic Objective 2 – TI’s support and advice to citizens and CSOs on corruption is developed and increased

This strategic objective is likely to be completely achieved

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Evidence of Achievement of Indicator</th>
<th>Examples of Impact on Policy and People</th>
</tr>
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<tbody>
<tr>
<td>2.1</td>
<td>Number of tools supporting citizens increases from 1 to 5</td>
<td>ALAC, DIP, IP, RESIST &amp; FGI</td>
</tr>
<tr>
<td>2.2</td>
<td>Number of ALACs increases from 20 to 50 by 2011.</td>
<td>57 ALACs in 2010</td>
</tr>
<tr>
<td>2.3</td>
<td>Systemic improvements enacted as a result of ALACs (shown annually for 3 countries).</td>
<td>Change in Kenya, Zambia and Romania in 2009</td>
</tr>
</tbody>
</table>

The impact on people and policy in regard to the Forest Governance Initiative and Development Integrity Pacts is too early to assess as both tools are too recent to have case studies.

Strategic Objective 3 – Increased Commitment of private sector to tackling corruption

The overall assessment is that this strategic objective is likely to be partly achieved.

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Evidence of Achievement of Indicator</th>
<th>Examples of Impact on Policy and People</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>A 100% increase in the number of collaborative anti-corruption initiatives led by TI (currently 5).</td>
<td>11 initiatives in 2010</td>
</tr>
<tr>
<td>3.2</td>
<td>The number of IFIs/ ECAs requiring companies to have anti-bribery programmes rises to 11.</td>
<td>6 ECAs have requirements</td>
</tr>
</tbody>
</table>

Strategic Objective 3 has been partially met through Indicator 1. However, TI’s over-ambitious indicator of 11 IFIs/ECAs requiring companies to have effective anti-bribery programmes has been met by approximately 6 ECAs. The global financial crisis has seen a relaxation of stringent attitudes towards anti-corruption measures around ECAs, making this indicator less likely to be achieved.
Strategic objective 4 – Increased quality and reach of TI’s work at national level

Based on the evidence provided, this strategic objective is likely to be partly achieved

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Evidence of achievement of Indicator</th>
<th>Impact on Policy and People</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Chapter projects completed in the previous 12 months increases from 200 to 275.</td>
<td>19 out of 90 Chapters complete 162 projects in 2009</td>
<td>No evidence – as this indicator is about organisational capacity.</td>
</tr>
<tr>
<td>All Chapters: Provide expertise on their NIS, influence national policy lead coalitions, convene stakeholders, sustain their organisations, and contribute to TI’s advocacy.</td>
<td>TI provided DFID with no documentary evidence in 2009 and 2010 PPA self assessment forms. National Chapter Self-assessment forms are internal documents.</td>
<td>No evidence – as this indicator is about organisational capacity.</td>
</tr>
</tbody>
</table>

TI has consistently reported to DFID that Strategic Objective 4 is difficult to measure, and has requested the opportunity to discuss alternative indicators. DFID has not been able to provide a mechanism for agreeing changed indicators in a “living document” such as a strategic framework as this.

At any given time TI is unable to provide accurate data for the number of projects that the 90 Chapters of the movement complete. This is because TI-S collates figures provided by 33% of the movement, at any given time. The data provided to DFID was based on 2009 statistics gathered from 19 Chapters. As they had completed 162 projects it seems probable that the figure of 275 completed projects was reached. This likelihood is further supported by the rapid expansion of TI-S multi-country projects in the Africa and Middle East region in 2009-10.

Many Chapters have received training to build capacity and services, however, not all Chapters are at a required standard of development.

The indicator 4.2 is ambitious for a movement with 90 independent Chapters, and has not been fully achieved. TI has not provided supporting documentary evidence in its two annual self-evaluation forms to DFID for Indicator 4.2.

Each Chapter submits a Self-Evaluation Form every three years. The form assesses the Chapters’ general compliance, democratic governance as stated in the TI Umbrella Statement, and overall performance, and impact assessment. This process alerts to potential problems and allows Chapters to seek advice. In rare cases this can lead to Chapters being disaccredited. Two Chapters were disaccredited in 2009 by the international board: South Africa and Paraguay. In this sense TI has a tool that can help strengthen the movement. TI proposed the self-evaluation form as a means of verification in its strategic framework, but TI told this assessment that they are considered TI internal documents, which TI can’t share externally. TI says naming these documents in the logframe as a means of verification was a mistake.

TI say there is definitely improvements in various countries. But the strength of the Chapters remains anecdotally uneven. TI-S staff assess that a third of the Chapters are robust, a third continue their work but could benefit from further support, and a third of the movement has aspects of its work that need attention. An individual chapter may be strong in one area of work and in need of support in others. In some Chapters the weaknesses may be related to a high number of volunteer staff, in others it may be related to levels of financial support.
3.3 Conclusion

It is clear from the assessment that TI has kept the fight against corruption inside the world’s agenda. However, it is harder to determine its contribution to reducing corruption. This evaluation does not attempt to measure this progress, but it does need to understand the link, and an attempt to improve monitoring and evaluation on how TI’s activities make an impact on global corruption would go some way to meet that need. TI points out that the sector in general finds it difficult to chart progress on reducing corruption. This element of the Purpose of the TI PPA may have been set too broadly in the timeframe of three years, given the entrenched nature of corruption, which is shaped in each country by local culture and practice.

The evaluator is in broad agreement that Strategic Objectives 1 and 2 were more likely to be achieved than Strategic Objectives 3 and 4. TI and the evaluator agree that Strategic Objective 4 was over ambitious, and should have been formally changed.
Section 4: Assessment of the Impact of the PPA on the Transparency International’s Organisational Development

4.1 Organisational Development

There is considerable evidence of progress in some of TI-S’ organisational development since 2008 and these can be partly attributed to the PPA. Examples include managing TI’s 2015 strategy process; establishing an Organisational Development Unit for TI-S; strengthening the HR department; introducing a health and safety programme; developing an Operational Manual for TI-S; developing a new M&E system; improving learning tools to be more organisationally focused – such as the Implementation Plan and Report. The TI-S financial management systems have also been strengthened by moving from German (GAAP) to IFRS (International Financial Reporting Standard) accounting procedures, introducing a new accounting software system, and establishing Finance department “co-pilots” who support project development work.

A number of these tools are still in development, and it is too early to say if they are driving improved performance. For example: The 2015 Strategy will be tabled for approval at the next Annual Members Meeting; the HR department wants to introduce more policies in order to function more effectively; the M&E system is not yet in place; and the Operational Manual’s publication has been delayed until 2011.

Nevertheless these changes show that the TI movement understands that it has to change in order to be more relevant. Most importantly core funding has enabled TI to develop its next five-year strategy. This inclusive process has engaged most of the movement over a one-year period. The Table in Annex 4 highlights TI’s use of core funding.

The strategic move to run more projects in the South is reaping benefits for TI. The Africa and Middle East has trebled in income in the last two years. At the same time the TI-S Advocacy Group, which includes the Policy and Research department that produces the reports and indexes has faced funding challenges.

4.2 Transparency International’s Monitoring and Evaluation System

The TI 2015 strategy has allowed for some reflection by the movement on lessons learned over the last five years. The one-year engagement of the whole movement in this process has provided moments for reflection.

The International Board is involved in the annual planning process. This is a forward-looking process, and could benefit from an annual impact report or formal moment to look back at progress over each year against measurable targets.

The establishment of the 2009 M&E Working Group that reports to the Managing Director is to be welcomed. This work is supported by an external consultant, who is developing a comprehensive M&E framework for global and multi-country programmes. In TI-S M&E is currently run within the project activities. In some Chapters little M&E takes place on locally-funded projects. The M&E framework is intended for the TI movement.

Multi-country projects provide TI-S with “learning moments”. TI-S does not have the mandate and capacity to oversee the quality of the rest of a Chapter’s output. TI says the independence of Chapters is one of the movement’s strengths and that because there is no mandate to manage the chapter, there is no need to have this capacity in place. However, a guarantee of minimum standards on project
management and operations in all chapters, (such as common approaches to M&E, HR policies, and visibility guidelines) would strengthen the value of the TI brand to external supporters. TI-S could offer a voluntary kite-marking system (similar to the UK’s business improvement tool Investors in People, which helps organisations to develop performance through their people) to Chapters. TI-S is the body in a position to monitor chapters’ local reports, local M&E systems, website design, but this requires the clearer mandate from the Chapters to explicitly do so.

TI-Z and TI-P have robust systems for M&E activities, which include a multi-year planning strategy. These systems are both linked to specific basket funding programmes that are supported by local bilateral agencies. TI-S projects are in addition to and outside of these plans.

In 2007 an external review of the largest TI Chapter, TIB in Bangladesh, estimated that it’s Making Waves project had made savings of £191,700 in 36 educational establishments; £1.2 bn in savings in 36 government institutions; and £1.4m savings in health centres over an eight-year period.³ This review is a good example of the kind of measurable targets that could be applied across the movement including to the TI-S Implementation Report, the Chapters’ self-evaluation forms, and other strategic reviews.

M&E systems in some other Chapters are lacking, especially in relation to locally-funded projects, and there’s no core support unit in Berlin to support them. There is a common assumption in TI-S that gathering impact is difficult in the area of corruption, because progress is slow, and difficult to measure. While this may be true, TI cannot assume that bilateral donors will remain content with this situation.

In the last two years TI-S have reworked the implementation report that reviews the progress of TI-S. The 2009 Implementation Report is more analytical than its 2008 predecessor, but provides no measurable impact data, and comprises a list of activities by various departments against high-level objectives, rather than turning the focus on change strategies. The 2010 implementation plan does include key performance indicators.

Some funded programmes are also looking at improving systems. TI-S is developing a new database for 2011 that will provide breakdown of ALAC usage, which is disaggregated for global and local use.

However, in terms of looking at the impact of the movement’s work on people and lives, TI remains unstrategic. The structure of the movement allows for a greater level freedom and independence at the chapter level than found in similar global organisations. For example, TI does not set goals for the movement and each Chapter in terms of a improving a specific number of people’s lives, and then base its decisions in project planning around those numerical targets. TI’s structure does not allow for Chapters to be tasked by the board with attaining measurable targets that link into a cross-movement annual plans, which help the movement to achieve its five-year goals. TI-S is not mandated to prioritise target countries for greater attention, or to close Chapters for reasons based on management strategy. Chapters are disaccredited by the International Board. TI can only work in

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countries where Chapters can operate and therefore does not works in two-thirds of the 27 bottom performing countries of the 2009 CPI where corruption is at its worst.

TI says that its decentralised structure is strategic in that TI National Chapters are locally established and fully independent national NGOs who are strongly rooted in their own country and set their own priorities and strategies according to national context and needs. This gives them the local knowledge and credibility necessary to effectively tackle corruption. TI believes that a more centralised structure would likely give less credibility to the chapters, which would make the fight against corruption more difficult.

4.3 Gender & Disability

There is progress on gender in TI at the policy level. TI has increased its work on understanding gender and corruption in the last two years such as the 2008 report Corruption and Gender in Service Delivery – the Unequal Impacts. There is also some evidence of effort to bring gender more closely to TI’s work e.g. the 2009 Gender Strategy Workshop.

At present TI could be considered to be weak in incorporating gender into its work. Gender is neither one of the five global priority areas, nor one of its nine “other thematic issues”, nor is it mainstreamed in TI’s work.

According to Chapter directors TI has “opened their doors” to the public through the development of ALACs, where citizens can walk into an office and seek advice. The October 2008 Start-up Manual for Chapters that are considering opening ALACs does not provide guidance on how such centres should be run in order to make them appropriate for poor, women and excluded groups. There is some evidence that the ALACs are helping women and the poor such as in Zambia, but it is not enough. 22% of ALAC enquiries in Zambia were from vulnerable groups. The TI-S team working on Development Integrity Pacts say they find it hard to reach the poor.

In regards to staffing levels the gender balance in TI-S is roughly 60% women – 40% men. There are no TI-S staff members who have volunteered information to say that they are disabled.
### 4.4 Lesson learning in the PPA period

Table 3 below outlines some lessons learned by TI during the PPA period. The column of the left shows the eight lessons learned that TI mentions in its 2009 and 2010 self-evaluation forms. The column on the right shows the actions that TI is taking to build on those lessons.

#### Table 3: Lessons Learned by TI

<table>
<thead>
<tr>
<th>TI Lessons learned 2008-2010</th>
<th>Evidence of these lessons being taken up by TI-S</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The need to work more at the community level. (2008-09)</td>
<td>Expansion of the ALACs and introduction of the DIPs and Integrity Pacts.</td>
</tr>
<tr>
<td>2. “No one size fits all” for the ALACs. (2008-09)</td>
<td>TI-S encourages new ALACs to think first about their own environment. TI-S encourages cross visits. TI-S has developed an adaptable data gathering system for ALACs. The ALACS have developed a Systemic Change Tool, which allows ALACs to plot change. TI-S has developed a capacity self-assessment tool for ALACs.</td>
</tr>
<tr>
<td>5. Focus annual planning process on concrete objectives, in order to strengthen Monitoring and Evaluation. (2008-09)</td>
<td>Reworking of annual Implementation Report to focus on high level objectives.</td>
</tr>
<tr>
<td>6. Growth of new markets have led to fractured debates on global governance. (2009-10)</td>
<td>TI-S plans to target specific G20 member countries more strategically.</td>
</tr>
<tr>
<td>7. Partnership especially with business can play an increasingly important role for TI. (2009-10)</td>
<td>Partnerships with the World Economic Forum Partnering Against Corruption Initiative, the International Chamber of Commerce and the United Nations Global Compact.</td>
</tr>
<tr>
<td>8. The NIS needs better follow up. (2009-10)</td>
<td>Development of an NIS Toolkit for Chapters.</td>
</tr>
</tbody>
</table>
Section 5: Value for Money

Our approach to assessing value for money focuses on understanding how and why Transparency International works in the way it does is by understanding its organisational history and motivation, the nature of its work, organisational environment, organisational capability, and structure. This helps us to understand how it operationally uses the PPA ‘investment’ it is receiving. This then allows us to assess whether the results or return from that investment are worth that investment and represent value for money. The assessment will point to key organisational variables for TI that either contribute, or not, to the achievement of results and whether they do so in a cost effective way. Our definition of value for money is to obtain maximum benefit with the resources available. This entails achieving the right balance between economy, efficiency and effectiveness.

5.1 Organisational history and motivation

TI is a movement that is less than 20 years old and with a global annual income of approximately £27m. Importantly TI still sees itself as “young” and in the early stages of growth. The organisation’s initial task was advocacy and awareness-raising on corruption issues. Through this activity TI has become a well-established brand and is considered as a global leader in the fight against corruption. TI-S is now consolidating its organisational structure by reviewing its operations manual, financial systems and M&E systems. TI initially received core grants to support independent research, advocacy, policy work and coalition building. They have increasingly broadened out into reaching increasing numbers of citizens through bilateral grants and projects; targeting sectors such as construction, forestry, education, and health.

The organisation has been undergoing rapid growth since 2007, and continues on this trajectory. Since 2007 the number of TI-S staff have doubled. Its income has increased from £2.3 to £12m in the last 10 years.

The organisation’s role is increasingly relevant as corruption remains on the global development agenda. It currently fills a “niche” through its tools and the global corruption indexes, and is committed to being a global movement, partly due to the fact that corruption is prevalent both in the North and South and has global dynamics which demand supra-national strategies.

Since its inception TI has maintained a strong philosophy of Chapters remaining independent. TI sees corruption as deeply rooted in individual societies. Therefore the Chapters need to reflect local reality, meet local laws and standards. The Secretariat supports the movement by championing transparency at international forums and providing thought and models to the Chapters, which they can then adapt to local circumstances. The Secretariat is not prescriptive nor does it routinely intervene in the activities of the Chapters.

The focus of the Secretariat’s work is policy, research and advocacy on the one hand and project development on the other. The dual focus of their work means that local issues can inform the policy, research and advocacy work, and this in turn informs the development of tools for the Chapters. This creates efficiencies, insights into the real issues and a greater connection with the grassroots. But the process is organic rather than efficient. New ideas surface through a variety of processes such as debate at international meetings, champions at senior management level, availability of funding and external need.

The PPA funds are for core activity – for TI this includes strategy, administration, the publication of research papers, the publication of its indexes and high-level policy work.
5.2 Nature of work and funding sources

The main sources of income for TI are bilateral agencies (primarily European ones) and foundations. TI is dependent on donor interest in supporting anti-corruption work. The private sector and multilateral aid agencies are two areas in which TI-S is supporting transparency, but the contributions from these sectors to TI-S work is proportionately small. There is currently no multilateral global fund for anti-corruption. TI does not have an income stream from legacy gifts, charity shops, religious donations or gift catalogues that provide an important source of unrestricted income for some other PPA holders. That said, TI-S does have an endowment fund from two US donors that was valued at €3.2m in December 2009.

Some Chapters successfully access local donors, and increasingly bilateral donors fund local Chapter work. However, the tendency by donors to increasingly channel funds to the South may affect the Secretariat’s ability to provide Chapters with products and research in the long term. Some Chapters produce their own national perceptions index. The quality of these national indexes is not of the same standard as the international ones, and TI-S have no mandate to intervene, unless requested. While TI see a distinct difference and focus between the national and the international index, this may be less clear to external users. It has also created a situation whereby the TI-S is now dependent on regional projects for growth (e.g. Africa & Middle East), which may impede strategic thinking at the organisational level.

Some donors view TI as one body and do not realise that by reallocating funds to southern Chapters they are potentially reducing the Secretariat’s ability to fund its normative work. The policy and research work tends to be dependent on core funds and their work does provide a stream of tools and information that guides each Chapter’s activities. Between 2008 and 2009 the Policy and Research department’s reliance on core funding doubled and its income was reduced. TI say that the 2010 income for the department has improved significantly. This fluctuation has longer-term implication on the role of the Secretariat, which is committed to produce international surveys such as the Global Corruption Barometer at regular intervals.

The Financial Resources Group consisting of four senior managers reviews all TI-S proposals before they are sent to potential donors. This group has a mandate to management to ensure that costs are covered.

In the current global economic climate, it is the view of the evaluators that TI’s rapid growth is not sustainable, and in fact some of its tools and ability to research new areas of work are vulnerable to funding sources drying up. A lack of a guaranteed and steady stream of funding source, can negatively affect value for money, as initiatives may have to be dropped. TI has taken steps to mitigate its continuous growth across all sectors. The recent development of WIN from a TI-S water initiative into an independent NGO shows TI can develop programmes into independent, sustainable entities. WIN may be a model for other sector work, reports or programmes.

The two charts below highlight TI’s overall income and expenditure in 2009. Chart A shows TI-S income in 2009. Chart A shows the high reliance by TI-S on European governments to fund its activities through restricted and unrestricted projects. In 2009 DFID funded 21.5% of TI’s work through a combination of restricted and unrestricted programmes. Chart B breaks down the unrestricted funding from bilateral agencies, which includes the PPA. Chart B shows TI’s reliance on three European unrestricted grants.
a). TI 2009 Donor Income

(Total €11,889,623)

Unrestricted
Corporate Unrestricted
Individuals
Government Agencies
Foundations
Development Organisations
Corporate Restricted

NB: DFID was the largest restricted government agency donor to TI providing a total of £1,558,157 for three separate projects

b). Breakdown of TI 2009 Bilateral unrestricted Income

(Total €4,585,848)

DFID
Dutch MFA
Finnish MFA
CIDA
SIDA
Irish Aid
SDC
Danida
Greece

4 Source TI 2009 Audited Accounts 1 January - 31 December 2009

5 Source: TI Audited Accounts 1 January - 31 December 2009
5.3 Organisational Environment

There are a number of key environmental factors to take into account when focusing on TI’s ability to deliver VfM during the period of the PPA.

As “the global CSO leading the fight against corruption” Transparency International’s “niche” is an extremely broad one. This global aspect means that there is a moral requirement by TI to support chapters to form in all countries of the world, which may not reflect best management practice or strategy. This global reach makes sense at the advocacy, policy and research level, but due to cost is rarely repeated by other international NGOs in the project development level. World Vision and Oxfam operate in a similar number of offices to TI but they have a much higher annual revenue (\$2.6 bn in World Vision’s case) thanks to small donations from individuals from well-developed support bases, which TI cannot access as easily in the short term.

Bilateral donors currently support TI as a global movement that works in the North and South. But the challenge to TI is that this may not remain a constant. For example a more efficient model for some donors could be an anti-corruption organisation with a narrower focus, such as a target region or single theme.

Unrestricted funds support regions that have funding shortfalls and covers programmes that are difficult to fundraise for (e.g. political corruption) and allows TI to invest in its new strategy, M&E, etc. (See Annex 4). TI does have processes in place to downsize or close unfunded operations, but there is a moral imperative to keep some areas of work (such as ALACs) running at minimal level between projects, and this could potentially affect the movement’s strategic focus.

The lack of “competition” in the transparency sector also means benchmarking TI’s value for money in relation to programmes and products is difficult. However, the work of TI has encouraged a growth in the sector, with new organisations and coalitions starting programmes in the transparency sector. Latin American Chapters have mentioned the emergence of competitors in their region. Funding in this region has fallen since 2008. The completion of the first phase of work in 2011 of the DFID-led International Aid Transparency Initiative (IATI), in which TI plays an advisory role, and the 2010 opening of the UN/OLAF-funded International Anti-Corruption Academy (IACA), which lists a work strand of “Anti-Corruption Think Tank and Benchmarking”, may mean TI’s niche may change.

Against this background TI is becoming more strategic and the PPA funding has enabled TI-S to develop its new 5-year strategy, which assesses this changing landscape. TI understands that it has to diversify.

5.4 Organisational Capability

The aim of this section is to assess how TI uses the PPA investment and the systems and processes that create outcomes and impact. This section focuses on the factors which most help assess VfM.

As mentioned above TI-S has used the PPA investment in order to consolidate the organisational structure of both the Secretariat and the movement. TI-S has used the PPA investment to develop the movement’s new TI 2015 strategy. This process has taken a year to complete. Not all Chapters synchronise their planning processes exactly with the movement’s five-year programme. This is connected with local financial reporting periods and local donor requirements. In this sense a top-down organisation would be more efficient in imposing swift organisational change.

TI-S has used the PPA to redesign the Implementation Plan, so that it focuses on TI’s high-level objectives. However the objectives are not measurable, nor do they focus on impact on people and policy, making progress difficult to assess. At the same time TI-S has strengthened its financial management and human resources systems in the last two years.
The establishment in TI-S of the 2009 M&E Working Group is to be welcomed. However, in some Chapters M&E is dependent on the local funder’s requirements, rather than M&E being a standard TI requirement.

The movement’s global spread causes problems for the organisation’s focus. In future TI intends to be more strategic in targeting some priority countries, especially some of the leading G20 nations. Here TI will invest extra effort in trying to strengthen Chapters in the North and South in order to meet the movement’s priorities in countries of global relevance.

The capacity of TI-S to support Chapters to the extent both sides would like is questionable. The interim Organisation Development Unit and its 2 part-time senior managers focus on the work of TI-S, and have a mandate for improving management standards of the movement. Capacity building of the movement is supported primarily from restricted funding sources. Learning in the Chapters comes from engagement in local bilateral projects and funded multi-country projects.

The Human Resources, Finance and Communications departments at TI-S all would like to have the capacity to support questions and approaches from the Chapters to a greater extent than at present.

5.4.1 Financial Management

TI-S does not routinely keep records of the TI movement’s income. Chapters file their annual audited accounts to TI-S, but the data reflects various financial regulations and reporting systems in country. However, recently TI has reviewed the 2008 income of Chapters and estimates it to have been €24.5m. The movement’s growth is reviewed by the International Board’s Audit Committee, and its reports go to each board meeting.

In 2009 TI-S had an annual budget of €13.9 million of which €1.9 million was on overheads and costs for support departments. Of the remaining funds €4.6 million or 33% was spent on research, advocacy and policy work, and €7m or 50% spent on project development work.

In 2009 PPA money accounted for 12.37% of TI international expenditure and in 2010 this is likely to be closer in the region of 8.78%. However, as TI-S support staff do not have timesheets, it is difficult for the TI-S to have an accurate idea of how much administration staff’s time is devoted to projects. This information could provide more accurate data on the real cost of administration.

TI has reduced its administrative costs over the last three years from 17% of total budget in 2008, to 16% in 2009 and an estimated 11% in 2010. This may be partially explained by the increase in multi-country projects, which has not been matched by an increase in administrative staff, thereby spreading costs out more economically. However, TI has also rationalized financial management in the last two years. A new finance system and web-based Oracle software will encourage Chapters to report financial statements in a more timely and consistent manner. Project managers are now “co-piloted” by dedicated finance team staff and there has been an improvement in donor reporting with 90% of Chapters now submitting reports on time.

TI-S also developed a Capacity Assessment Tool tailored particularly for TI, which will be piloted across the movement in 2010 and which will support Chapters to assess capacity needs. The TI CAT is the first step to enable TI Chapters to reflect about their own internal management capacity and external capacity to have impact on TI’s aims and agenda. However it is too early to comment on how this tool has affected VfM.

It is not clear how much was spent on capacity building across TI-S or the movement because the capacity building cost is included in many of the project costs and is not separately shown.
5.4.2 HR Policies and Practice

In the last three years the number of staff at TI-S has doubled. As a result the responsibility for HR has been handed to a full-time HR manager who heads a department of four staff in the last 12 months.

In European terms, staff turnover is neither low nor high, with staff staying on average for around five years. TI-S has set its own pay scale system but pay scales are not in place in all Chapters, and TI-S does not have responsibility for this as it is outside its mandate. HR and remuneration practice and policies in the field are set by the Chapters and independently from TI-S.

There is a general view in Berlin that TI-S needs more staff. There are frequent references to staff working long hours. The Communications department say they are unable to support Chapters to the extent that they would like.

Lines between some departments, such as Global Programmes and Policy and Research are blurred, with staff sometimes working collaboratively on projects. TI-S managers also sit on ad hoc working groups that tackle cross-institutional issues such as strategy processes, staff guidance, and policy issues. The Regional Director Europe and Central Asia is also the Director for the International Anti-Corruption Conference, and services the accreditation process the Membership Accreditation Board; The Regional Director for Asia and Pacific devotes two days a week to the Organisational Development Unit, as does the Senior Programme Manager for ALACs. This collaborative approach shows economic resourcefulness, at the same time it is a structural risk for an organisation that is expanding. One example of how TI understands this risk is the handover of the role of HR Manager in 2010 to a full time manager.

Project-related TI-S staff have contracts linked to project timeframes. Some Chapters try to retain staff and transfer them across projects, but they do not always have appropriate skills. This can delay TI-S project progress.

In some Chapters the role of the board chair overlaps with the role of executive director. This potentially exposes the chairperson and TI to risk. The local board is less able to provide protection, and checks and balances. The chairperson in these cases may seek advice from TI-S in a crisis. This works in a small network, but given TI's rapid expansion and the distances this may seem inappropriate.

5.5 Organisational Structure

5.5.1 Chapters, research and project management

The fact that the Chapters are independent implies a reduced management cost for TI-S, however it also increases their risk especially if one third of Chapters are considered to be in need of capacity building.

According to Chapter managers their independence means TI-S takes a light touch approach to local project management. It is not the mandate of TI-S to oversee locally sourced projects in detail. TI-S staff make occasional (in some cases annual) field visits to each local chapter. Local chapters would like more, but this is limited by TI’s financial capacity.

TI-S multi-country projects are managed locally with quarterly planning, capacity building sessions at a regional level with TI-S. In between a project manager sends emails to the chapter on a variety of issues, including project related information, but Chapters do not provide interim weekly reports to the TI-S project manager, with a follow up weekly conference calls to monitor progress with each Chapter as a matter of routine, for example. According to project managers in local chapters feedback from donors is not a routine process, and therefore TI-S provides direct feedback to a chapter primarily where issues arise.

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Annex 2 demonstrates the line management between a Chapter and TI-S, on a multi-country project.

Annex 3 demonstrates the independence of a Chapter on a locally funded project.

These diagrams are based on conversations with staff in TI Pakistan, who run and manage the project work. Annex 2 shows that the key liaison between the Chapters and TI-S is a project manager who feeds concerns or questions from and to the local Chapter. Outside of project issues, however, the Chapter executive directors may call other TI-S senior managers if want to report major progress, or if the Chapter comes under risk of physical threat, for example.

The Chapter undergoes a self-evaluation process every three years. This process does work, and two Chapters have been disaccredited recently. The process could be improved further and made more efficient with more interventions by TI-S. Some chapters say that the process does not take local culture into account, but this view may be a lack of awareness of international standards and requirements in CSO management. A voluntary kite mark process run by TI-S or annual self-assessment “health check” for operational standards could help chapters develop a more regular dialogue that may make the three-year process smoother.

The public procurement work in Pakistan provides a good example of how TI’s work can provide value for money. According to the Chairman of TI-P, co-operation between TI-P and the Pakistan Public Procurement Regulatory Authority are estimated to save up to 30% of the Development Budget of FY 2009/10. This could amount to about $5.5 billion.

The cost of an ALAC is highly dependent on salaries in each country. A centre may cost around £10,000 to run each year. While these centres process only a small percentage of the inquiries, one successful case can be both high-profile and help save much larger sums of money than the original investment. However, because the ALAC does not pursue the cases itself the number of such cases is difficult to establish.

TI-S staff provided a variety of costs for different TI reports, depending on the depth of research and length of time they take to produce. TI publishes a few hundred copies of most reports for publicity purposes, but the online usage of reports is more significant with over 270,000 visitors looking at all of TI’s reports on the TI-S website archives and website pages in 2009-2010.

TI monitors its own organisational efficiency through audits, both internationally and at Chapter level. The audits form part of the re-accreditation process.

5.5.2 Strategy and Strategic Leadership

TI’s strategy is currently encapsulated in the TI 2010 document, which identifies the following six priorities; Increased knowledge production, Promoting anti-corruption norms and principles, Enhancing dynamic communication and knowledge sharing, Cultivating strategic partnerships, Reaching a broader base of citizens and Monitoring Global Trends. The new TI five-year strategy, TI2015, will be tabled for endorsement at the next AMM in November 2010.

The strategy is approved by the accredited Chapters and Individual Members, leaving the Secretariat with a supporting role. In this sense the Secretariat does not have control over the chapters in the same way that an international CSO in the North would have over a local office. In both Zambia and Pakistan the Chapters link their strategy to both the TI five-year plans and local funders’ requirements. The Pakistan strategy does not include the Chapter’s work with TI-S. The Chapters’ re-accreditation self-evaluation form does not ask how the national strategy feeds into the strategy of the movement. Indeed the word strategy does not appear in the self-evaluation form.
5.6 Conclusions: Value for Money

It is clear that TI provides value for money especially when it is able to influence policy that can affect the lives of many. TI’s challenge is in providing a global analysis of the impact of its work beyond case studies, which makes it more difficult to quantify how far TI provides impact on people. While this problem remains true for the anti-corruption world (including donors), one would expect the “global civil society movement leading the fight against corruption” to attempt to quantify progress on behalf of the sector.

The decentralized and independent nature of TI provides an economic saving for a global movement the size of TI and provides local ownership of the organisation’s mandate. The movement structure gives local chapters a credibility that enables them to be more efficient in fighting corruption locally. TI-S is a global player and a well-established brand in fighting corruption with an income lower than many of its peer organisations in international development. But the movement’s size and structure is not as efficient as a top-down centralised organisation that can move at the pace of its most efficient departmental units, and close offices across regions as the global focus and donor interest moves. The movement also depends on the people in the chapters, and therefore provides a high risk to TI’s overall value for money. The closure of the one chapter for example, was partly connected with the founding managers moving on professionally.

It is possible that TI will need to rationalise the movement, in order to develop new areas in the future. Many of TI’s high-quality products require regular updating. Some departments want their reports to be updated more frequently. TI will find it increasingly hard to develop and sustain new substantial programmes, if it continues to maintain all of these products.

TI-S has spent less and reduced administration costs during a period of project expansion.

TI-S has invested the PPA funds appropriately for an organisation at its stage of growth. The PPA funding has been important in allowing the Secretariat to start addressing many of these issues especially in Operations, Finance, HR and M&E, although it could be argued that an organisation that has existed for 17 years should have had this level of standardisation in place earlier. It is hoped that these changes will improve efficiencies within TI-S. However it is too early to assess what the impact has been on the organisation.

TI needs to diversify its funding sources. TI’s reliance on bilateral donors is not guaranteed in a global recession. Diversification was also mentioned in the TI 2010 strategy, therefore TI needs to engage in some careful planning to ensure it achieves this goal in the next period, and has just appointed staff dedicated to this.

The establishment of new international and national anti-corruption organisations suggests there’s a growth in the transparency not for profit sector. In time these organisations may provide TI with competition. This should be seen as a positive opportunity, which will help the sector to undertake benchmarking on cost and impact.

Therefore TI needs to achieve the right balance between economy, efficiency and effectiveness. TI’s main challenge is to demonstrate to people outside the movement that it is spending efficiently, especially in terms of impact on vulnerable groups.
Section 6: Issues to be Addressed

In terms of impact on lives and people, TI remains unstrategic – partly due to the structure of the movement, partly due to rapid growth. The TI-S 2010 Annual Plan focuses on measurable goals but they are internal ones rather than goals based on the number of beneficiaries that it aims to help. This could be addressed by key TI meetings and documents such as the Implementation Plan focussing on impact on people and policies in measurable terms. The International Board could then review past annual progress and develop recommendations for the movement.

There should be greater efforts in M&E in order to capture data about the movement. A Secretariat that cannot provide or access detailed information about its current global position and activities is a concern. Collection of data from one-third of the movement every year through the self-evaluation process does not allow TI to answer how far it is achieving its purpose of reducing corruption, nor does it support TI in planning and prioritising actions to combat any sudden resurgence of corruption in any given country in any given year. TI argues that this is not its role.

One of the key questions for the organisation is how does TI-S and the movement know that they are responding to grassroots needs if the organisation does not know how to measure the impact, and therefore know what the impact is? Consequently TI is unable to provide accurate information to the public and donors at any one time of the movement in relation to projects. Simple statements on global success in overcoming corruption is an important message because TI aims to target increasingly individuals or corporations for donations and these audiences demand clear data that shows what difference their donation will make. Such a top-down organisation would be smaller, have fewer offices and target the fight against corruption in those places where there is the greatest need or greatest impact. This is not something TI would necessarily desire, but equally it is questionable if new or current donors will want to fund the activities of the whole movement. A potential challenge for TI is finding a balance and to provide a results-based approach to fund-raising.

TI-S needs to diversify its funding sources in the interests of the whole movement. TI-S core funds provide the movement with policy, research, advocacy, Chapter support and the TI brand, which is vital for local Chapters who seek authority through this linkage with a global movement. The movement is exposed at present because TI-S has a heavy reliance on European donors. US foundations and government are an important funding source for multi-country projects that TI-S is currently not benefiting from. In order for TI-S to access these grants it needs to establish a US tax presence. TI-S should open a US fundraising office in order to diversify funding sources.

Where local legislation and financial reporting allows, TI Chapters and TI-S need to ensure that they synchronise their planning periods as much as possible, so that for example TI 2015 can become effective across all Chapters in January 2011. This would lead to more efficient data collection (both financial and project impact data), and therefore more efficient lesson learning and planning processes.

The movement’s expansion from advocacy, policy and research into providing additional project development that reach out to the community is giving the movement new challenges. The additional services require Chapter staff to refocus and re-skill, or find staff from different disciplines. TI-S should also consider whether multi-country projects should support additional staff in administrative areas such as M&E, communications, and finance for example to feed information, learning and capacity building from these projects across the movement. These additional posts do not necessarily have to be Berlin-based.

In future logframes TI should ensure the baseline figures they use are properly sourced and can be clearly verified, and departments are focused on achieving those measurable indicators. The purpose of reducing corruption is perhaps too broad for the PPA.
The planned expansion of ALACs to 80 by 2012 when a significant number are between projects or not currently funded by projects, and not all are of a similar standard, seems uncontrolled and a high risk to the movement. TI feel the word “uncontrolled is inappropriate as Chapters decide if they want ALACs, and it is not for TI-S to “control” this. The assessor would counter that some element of the movement should closely control the expansion of any project that has a potential financial risk to the chapter.

A regional TI-S office structure, such as the FGI programme have established in Indonesia, may be a way forward in providing regional capacity building to Chapters at less cost. Five small TI-S offices staffed by people from that region that could provide capacity building in project planning, monitoring and evaluation, office management, and other capacity building needs. These regional offices could also provide legitimate bases for research and feasibility work in those countries where TI does not have chapters.

TI should invest more time in capturing how the organisation learns horizontally. This could be a powerful tool in fundraising and the overall capacity of the movement. The Chapter Zone requires some further development as Chapters view the zone as a showcase for best practice, rather than an interactive site for problem solving.

During a global economic downturn bilateral agencies will be under increasing pressure from tax payers and the media to fund concrete outcomes and specific projects rather provide general support to the not for profit sector. A significant reduction in core funding and an increase in project-specific contracts would be a challenge to TI-S. TI’s reliance on bilateral funders and its guiding principle of independence from funders will come under strain if donors change their approach. Therefore TI needs to consider this risk and prioritise its activities just in case.

TI needs to address the rising power of some G20 countries that are changing the debate around transparency. This may mean strengthening TI’s effort locally, regionally and globally in relation to Brazil, India and China. The economic and political influence of these three countries will affect many people in the world, including the poor in the coming decade.

The gradual increase in direct bilateral funding to programmes in the South potentially weakens the Secretariat’s position and could undermine its ability to produce the main international indexes at the frequency that they need to remain relevant.
## Interviews conducted

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<tr>
<th>Name</th>
<th>Position</th>
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<td></td>
<td>Team Leader, Anti-Corruption Aid Effectiveness and Accountability Department</td>
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<td></td>
<td>Senior Resources Coordinator</td>
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<td>Senior Programme Manager</td>
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<td></td>
<td>Regional Director Europe and Central Asia</td>
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<td></td>
<td>Regional Director, Asia Pacific Department, and Director of Organisational Development</td>
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<td>ALAC Manager</td>
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<td>Chief Executive Officer</td>
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Bibliography

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Transparency International – Pakistan, How Integrity Pacts Helped Generate Market Competition in Pakistan
Annex 1: Terms of Reference

Call for Proposals: Partnership Programme Agreement (PPA) Evaluation

http://www.transparency.org/contact_us/work/tenders#erd_ppa

The Transparency International Secretariat (TI-S) is seeking a consultant to carry out an evaluation of its Partnership Programme Agreement (PPA) 2008-2011 with the UK Department for International Development (DFID).

Background

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

Partnership Programme Arrangements (PPAs) were introduced by DFID in 2000. These new models of CSO support allowed DFID to enter high level strategic partnerships with some of the most trusted and respected civil society organisations (CSOs) with whom DFID shared common goals and objectives.

PPAs provided the holders with longer term, unrestricted strategic funding in support of mutually agreed outcomes, enabling them to undertake those potentially higher yielding areas of their work which were innovative and higher risk but were, as a result, often under-funded.

The Transparency International - Secretariat (TI-S) first received DFID PPA support in 2006. The current Programme Partnership Arrangement (PPA) commenced 1 April 2008 and is due to end on 31 March 2011.

The agreed purpose of the Transparency International PPA 2008 – 2011 is to reduce corruption and keep the fight against corruption inside the world’s agenda. The PPA can be downloaded from the DFID website - http://www.dfid.gov.uk/working-with-dfid/funding-opportunities/not-for-profit-organisations/ppas/ti/

Purpose and Scope

The purpose of the evaluation is to evaluate how far the Transparency International - Secretariat has gone towards achieving the mutually agreed outcomes as stated in the PPA performance framework. The evaluation will also derive lessons which will enable TI to inform its future strategies, programmes, approaches and set-up. The evaluation will assess how the unrestricted and strategic nature of the PPA funding agreement have benefitted DFID and TI.

The target audience and main users of the findings of the evaluation will be the Transparency International Secretariat and the Civil Society Team at DFID. However, Transparency International partners and other stakeholders may also benefit from the findings (this could include but is not limited to southern partners of Transparency International, other donors, other parts of DFID, fellow PPA holders).
In terms of scope, the evaluation will focus only on the most recent PPA period i.e. 1 April 2008 to present therefore it should cover developments in Transparency International’s strategies, programming, structure and context over this time frame.

**Methodology**

Using the most recent agreed version of the Transparency International - Secretariat PPA performance framework and the agreed PPA baseline, the successful bidder will:

- arrange and chair series of meetings/interviews with Transparency International - Secretariat staff to review and assess the range of initiatives that were selected for support from the PPA and an evaluation of their contribution to the achievement of the agreed outcomes of the PPA.
- undertake a review of reports received by the Transparency International - Secretariat from its Chapters
- review a range of evaluations of Transparency International - Secretariat supported initiatives
- undertake interviews/survey of a range of stakeholders from TI’s partners, DFID policy teams and country offices, etc
- interviews/survey with a selection of key partners by a range of means including tele/videoconference interviews and meetings with and visits to two Chapters.
- Review the annual PPA Self-Assessment reports which Transparency International - Secretariat has submitted to DFID since 2008.
- Review other TI-S reports, including TI-S implementation reports.

*An estimated 35 working days have been allocated for this evaluation.*

**Skills and Qualifications**

The successful bidder will be expected to have:

- A strong understanding and experience in evaluation methodology and practise
- A comprehensive background in working with civil society organisations in the field of international development and/or good governance.
- Excellent written and verbal communication skills in English

**Outputs**

The successful bidder will be expected to produce a report of no more than 20 pages of A4, in Plain English. This report will be written in a format which is easily accessible to all stakeholders.

This report will follow the following format:

1. **Summary section (approx 2 pages).** This summary will focus on the main findings and will specifically state how far the evaluator feels Transparency International - Secretariat has gone towards achieving the mutually agreed outcomes as stated in the PPA performance framework.
2. **An Introductory section (approx 2 pages) which should include the methodology used in undertaking the evaluation.**
3. **A section on Results (approx 6 pages) – this section should include (i) results, including impact, of Transparency International - Secretariat activities ‘on peoples’ lives’ including any specific impacts on gender relations and social exclusion issues (ii) results, including impact, of Transparency International - Secretariat on relevant policy issues (iii) the impact of the PPA on the overall**
organisational development of Transparency International - Secretariat. It should also comment on the overall health of Transparency International - Secretariat monitoring and evaluation systems.

4. A section covering Value for Money (approx 3 pages). In this section the evaluator will provide specific evidence to show whether or not the Transparency International - Secretariat is able to show value for money for DFID’s PPA inputs. This should include specific details about the organisation’s procurement processes and procedures, and measures in place to manage overall fiduciary risk.

5. A section covering Lesson Learning (approx 3 pages). This section will highlight lessons learned throughout the 3 year PPA period and how/whether these have been taken up across the Transparency International - Secretariat.

6. A section on Issues to be addressed (approx 2 pages). This section will highlight any specific issues which arose during the evaluation which the evaluator feels need to be addressed by Transparency International - Secretariat and/or DFID.

In submitting the final report we would ask that you include annexes which contain

- details of the final agreed TORs
- a list of people and organisations interviewed
- a list of documentation reviewed
- a timeline of the evaluation process

**Timetable**

The successful bidder will be expected to produce an initial draft report for discussion with Transparency International - Secretariat by no later than 31 October 2010.

The successful bidder will be expected to produce a final report, agreed with Transparency International - Secretariat, for submission to DFID. The Transparency International - Secretariat will submit this finalised evaluation report to DFID, together with a 4 page management response, by no later than 30 November 2010.

**Submission of proposals**

Proposals including a work plan and detailed budget, proposed approach, curriculum vitae, examples of similar work, and availability, should be received by Ronald Visser no later than COB CET 30 June, 2010 and should be send to ppa-evaluation@transparency.org
Annex 2: TI-P ALAC Project

Funding Source:

TI 2010 Objectives:

To Reach a Broader Base of Citizens

Chapter Priority:

DFID

To make Pakistan less corrupt

Origin of Project Idea:

Romanian, Chapter 2003

Project Developments:

THS: ALAC Team and THS Regional Project Managers

Donor Feedback:

THS Proj. Man.

THS Exec. Dir.


TI-PALAC Project Manager

Donor Reporting:

TI-PALAC Team

5 staff

Beneficiaries:

1,600 people
50% Poorly educated
50% people involved in government tenders

M&E:

Initial Contact Form
Tracking legal process
Letters of thanks

Field Operators:

Beneficiaries

Communications:

Case studies to donors,
TV advertising

Annex 2

TI-PALAC

2009 onwards
Cost: £93,000 (first 3 years)
1,677 initial contacts
118 cases ongoing

Institutional Learning:

"Nothing Formal"
Annex 3: TI-P Public Procurement Project Structure

Funding Source:

TI 2010 Objective:
Promote Anti-Corruption Norms and Principles.

Chapter: Priority:
To curb corruption.

Pakistan's efforts:
SDC (SAD)

Origin of Project Idea:

Pakistan Prime Minister:

Project Development:
Executive Director:

Donor Reporting:
TI-P Chairman, Exec. Dir., TI-N, Asst., Pro-Bono Lawyer, Project Assistant

Institutional Learning:
Capacity Building, Donors Workshop

Field Operatives:
TI-P Chairman & Procurement Dept. of 16 state enterprises

Beneficiaries:
Pakistan government & Consumers of 16 state organisations

Communications:
Media Consultant, organises: Press conferences & media interviews, for Chairman, Chairman writes, public letters

Activities:
Monitoring of adherence to Procurement Process: From advertisement to appeal stage

Ad hoc:

Donor Feedback:

M&E:
Official progress of case, Rendition of award, No. of complaints granted award

Annex 3 Public Procurement
## Annex 4: TI Departmental use of core funding 2008 & 09

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Source: 2008 & 2009 Financial Statements "Detailed Information per Programme"

**Colour Key:**

- **RED**: Increase in unrestricted funding requirements of over 10 percentage points
- **AMBER**: Shifts of over 5 percentage points
- **GREEN**: Reduction in unrestricted funding requirements over 10 percentage points