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## **Transparency International's Asia Pacific Regional Programme**

***Promoting Transparency, Accountability and Integrity in Asia Pacific***

**Programme Document**

*Revision #2 – 02 May 2012*

*Next Revision - end June 2012*

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## GLOSSARY OF TERMS

- **APD** Asia Pacific Department based at the Transparency International Secretariat in Berlin
- **APAC** Asia Pacific
- **ALAC** Advocacy and Legal Advice Centre
- **LPDLEC** Leadership Programme: Developmental Leaders, Elites, and Coalitions
- **Partner(s)** A national entity, existing or emerging group that does not have a formal contractual relationship with TI
- **Partnership Framework** AusAID / TI Asia Pacific Department Partnership Framework in Anti Corruption in Asia Pacific
- **Programme** The Transparency International Asia Pacific Regional Programme
- **TI Chapter(s)** A duly established and registered national entity that has an established and formal contractual relationship with TI. The entity can be at different stage of the TI accreditation policy, and either be a “national contact”, a “national chapter in formation”, or a fully accredited “national chapter”
- **TI-S** Transparency International Secretariat
- **TIAP** In the Asia Pacific Region, TI’s presence is called “TIAP” and consists of 22 TI Chapters, at different stages of accreditation. In addition, TIAP is currently comprised of twelve staff members and one intern who make up the APD as well one senior advisor based in Australia.

# EXECUTIVE SUMMARY

## Background

The Asia Pacific region is one of the most diverse in the world, encompassing some of the most populous to the smallest nations, countries experiencing rapid economic growth as well as severe underdevelopment, and reflecting the entire spectrum of economic, political and social spectrums.

TI is represented in the region by 22 TI Chapters, some at different stages of accreditation within TI's membership system. The TI Chapters are also at diverse stages of development, ranging from TI Bangladesh, the largest chapter in the TI movement with over 200 staff and a multi-million dollar budget, to TI Chapters consisting purely of a voluntary Board of Directors undertaking awareness raising and advocacy work but with limited capacity to undertake advocacy programmes.

## Programme In a Nutshell

This Programme follows a TI Secretariat coherent and proven standard approach to regional programmatic work. The logical framework, structure, activities and monitoring and evaluation system of this Programme are comparable with similar Programmes implemented in other TI regions.

A central focus for the Programme is on Chapter capacity development, with the view to strengthening their ability to play a leading role in seeking effective and sustained implementation of anti-corruption efforts. The TIAP Chapters, as local leaders of the anti-corruption movement, are the primary beneficiaries of the Programme activities. Given the coalition-building approach of TI, the support provided by the Programme acts as a catalyst to enable more effective civil society leadership for anti-corruption and effective governance reform at a national level.

TI's key strength is drawn both from its high level of access to influential elites at national and international level, and its capacity to mobilise broad coalitions of support from across civil society, the private sector and government. Each component within this Programme supports the objective of forging new and stronger coalitions and networks at national and regional levels to support anti-corruption reforms.

## INTRODUCTION

### Transparency International (TI)

TI is the global civil society organisation leading the fight against corruption. TI brings people together in a powerful worldwide coalition to end the devastating impact of corruption on men, women, and children around the world. TI's mission is to create change towards a world free of corruption. TI challenges the inevitability of corruption, and offers hope to its victims. Since its founding in 1993, TI has played a lead role in improving the lives of millions around the world by building momentum for the anti-corruption movement. TI raises awareness and diminishes apathy and tolerance of corruption, and devises and implements practical actions to address it.

TI is a global network including 100+ locally-established TI Chapters. These entities fight corruption in the national arena in a number of ways. They bring together relevant players from government, civil society, business and the media to promote transparency, accountability and integrity in various areas as public administration, procurement, and business. TI's global network of Chapters and Partners use evidence-based advocacy campaigns to lobby and support governments and businesses to undertake and implement anti-corruption reforms.

Politically non-partisan, TI does not undertake investigations of alleged corruption or expose individual cases, but at times works in coalition with organisations that do. Without engaging in politics, TI works to facilitate political processes of governance and anti-corruption reforms at national, regional, and global levels, and plays a leading role in moving the anti-corruption agenda forward.

The strengths of TI originate from the combined characteristics of its network of TI Chapters and its international Secretariat based in Berlin which together bring:

- wide-ranging knowledge acquired through worldwide research and advocacy work undertaken at regional, national and local levels;
- recognised international experience and networks of experts on corruption in numerous sectors;
- indices and tools developed to measure and address corruption in various contexts;
- "constructive criticism" and coalition building approaches that make TI a valued and trusted partner by governments, international organisations, business, media and society around the world;
- independence and non-political partisanship;
- capacity to mobilise and build coalitions of stakeholders.

In November 2010, the TI Movement agreed on a new TI Strategy 2015, outlining shared aspirations and priority areas to guide the direction of TI over the next 5 years. Many of the areas outlined in this strategy are reflected in this Programme document, including the focus on People and on strengthening TI's anti-corruption presence in the region. A key element of TI's work is diagnosing corruption by measuring its occurrence through surveys and indices and developing practical tools and knowledge products to counter corruption and implement solutions.

TI, through global and regional anticorruption work addresses and emphasises the strong linkages between corruption and the realisation of the Millennium Development Goals, which have 2015 as their target. By the end of this Programme, TI hopes that commitment to concrete action is taken, and that the greatest possible number of stakeholders understands the linkages between corruption and the MDGs.

## **TI Experience**

Since 2004, TI have has operated similar regional programmes mostly in the Asia Pacific region. A 2007 evaluation of this work brought to light a number of very valuable lessons informing the way regional programmes could be more strategically designed and operated. Between 2008 and 2011, the programmatic work has benefitted considerably from these lessons. The approach, logic, structure, content, management, and execution of this new Programme brings to bear all the experience gained through now eight years of running similar regional programmes, plus the much greater focus that the new TI Strategy 2015 brings to our work.

The Programme is managed by the Asia Pacific Department (APD) which is part of the Network, Chapters and Programmes group of the TI Secretariat (TI-S) in Berlin. Much of the Programme implementation is taking place at country level, undertaken by the TI Chapters and Partners in the Asia Pacific region (APAC).

The APD has substantial experience in managing similar programmes. The AusAID funded Institutional Support Project has been implemented since 2004, supporting organisational capacity strengthening as well as increased coordination in the region. In the past five years, the APD has also implemented large scale multi-country advocacy programmes, including on advocacy and legal advice centres, forest governance integrity, measuring anti-corruption (undertaking National Integrity System Studies), transparency in public contracting, and promoting integrity in humanitarian relief and reconstruction. This experience has given the APD guidance and a body of lessons learnt on which to build successful management of this Programme.

It is important to note that Component A of the Programme - Institutional and Network Strengthening - provides the foundation on which other Programme components build, and it therefore plays a central role and forms a large proportion of the Programme. Beyond this, the Programme follows a modular design that allows each of the components to function independently, while allowing complementary learning and sharing of resources and expertise across the different activities.

The Asia Pacific region is one of the most diverse in the world, encompassing some of the most populous to the smallest nations, countries experiencing rapid economic growth as well as severe underdevelopment, and reflecting the entire spectrum of economic, political and social development in the region.

TI is represented in the region by 22 TI Chapters, some at different stages of accreditation within TI's membership system. The TI Chapters are also at diverse stages of development, ranging from TI Bangladesh, the largest chapter in the TI Movement with over 200 staff and a multi-million dollar budget, to TI Chapters consisting purely of a voluntary Board of Directors undertaking awareness raising and advocacy work but with limited capacity to undertake advocacy programmes.

In November 2010, the TI Movement agreed on a new TI Strategy to 2015, outlining shared aspirations and priority areas to guide the direction of TI over the next 5 years. The TI Strategy 2015 has served as the basis for this revision of the Programme for the Asia Pacific region.

## **Programme Logic and Assumption**

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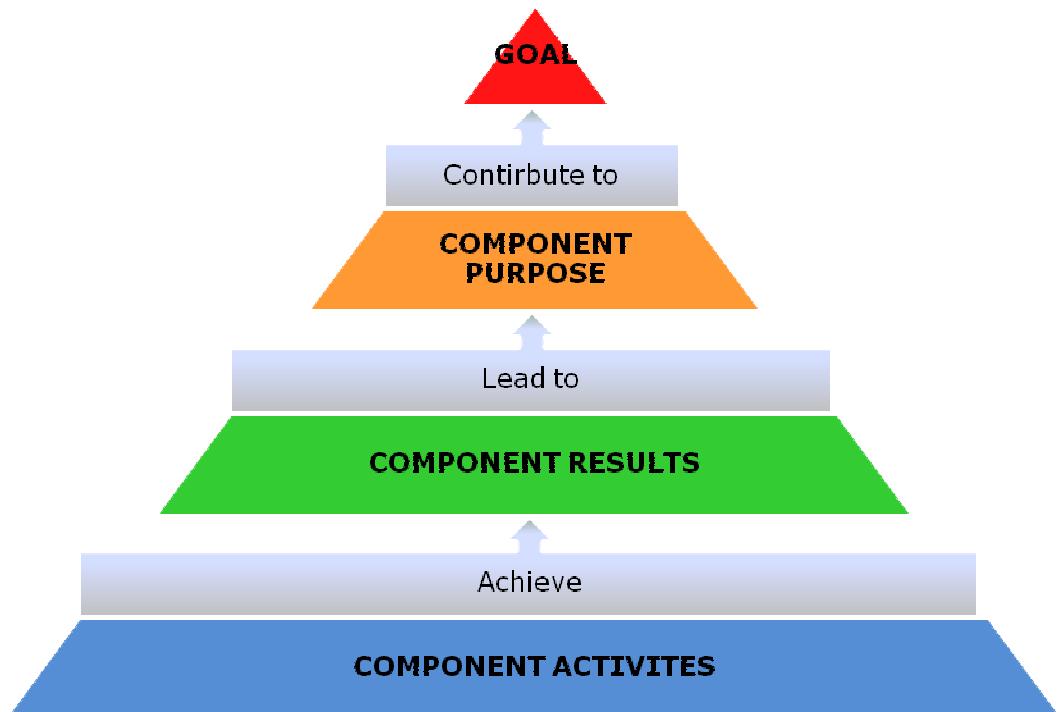
TI's programmatic approach is informed by TI's vision and mission. TI's vision, reiterated in the TI Strategy 2015, is "a world in which government, politics, business, civil society and the daily lives of people are free of corruption".

This coheres with TI's stated mission "to stop corruption and promote transparency, accountability and integrity at all levels and across all sectors of society" and shall ultimately impact positively on peoples and countries social development, therefore leading to "an improvement of the livelihood of people, with a special focus on those who are the most affected by deeply rooted corrupt practices" – the external goal of the Programme.

To undertake its mission, the programmatic approach of TI seeks to “empower, strengthen the capacities, and engage civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity” – the internal goal of the Programme.

The above rests on the main Programme assumption that a strengthened and empowered civil society which is better equipped and prepared to fight corruption and promote transparency, accountability and integrity, does have an important societal leadership role towards greater demand for anti-corruption reforms, which in turn clearly contribute to the improvement of people’s livelihoods and well-being.

Corruption is a multi-dimensional phenomenon that requires a multi-dimensional approach. The work done through the Programme targets six distinct yet inter-connected areas, as defined in the TI Strategy 2015 and TI-S Implementation Plan. Each area corresponds to one of the programme Components and has its own defined purpose. These Component purposes are together complementary and shall contribute to the achievement of the Programme’s internal goal of strengthening and empowering civil society’s institutional and organisational capacities and networks.



# Programme Logical Framework

## Internal Programme Goal

To contribute to an improvement of the livelihood of people across Sub Saharan Africa, with a special focus on those who are the most affected by deeply rooted corrupt practices.

## External Programme Goal

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Sub Saharan Africa.

## Programme Component A - Institutional, Capacity & Network Strengthening

### Purpose of Component A

To strengthen in the APAC region the capacity of TI Chapters and other civil society Partners to effectively work on anti-corruption issues and reforms at the national level and to contribute – individually and collectively – to the global fight against corruption.

### Results of Component A

- Result A.1: Strengthened and effectively coordinated TI presence – through TI Chapters or other civil society Partners – and activities in the APAC region.
- Result A.2: Enhanced capacity of TI Chapters to operate as well-functioning entities with strong structural, managerial and leadership capacities.
- Result A.3: Enhanced capacity of TI Chapters to realise their strategic objectives and achieve organisational and financial sustainability.
- Result A.4: Enhanced capacity of TI Chapters to initiate and lead multi-stakeholder coalitions and cross-boundary networks for increased anti-corruption impact.

## Programme Component B – Anti-Corruption Solutions & Knowledge

### Purpose of Component B

To provide anti-corruption activists in the APAC region with access to readily available evidence and practical tools to fight corruption and advocate for change.

### Results of Component B

- Result B.1: Widely shared knowledge and lessons learnt on existing anti-corruption tools and good practices in the APAC region.
- Result B.2: Increased access to anti-corruption expertise through better-linked networks of anti-corruption experts across the APAC region.

## Programme Component C - People Engagement & Support.

### Purpose of Component C

To increase responsiveness to people's demands for transparency, accountability and integrity in the APAC region.

### Results of Component C

- Result C.1: Increased public understanding of, support for and engagement in the fight against corruption, with a focus on the engagement of youth, women and entrepreneurs (especially from SMEs).
- Result C.2: Victims and witnesses of corruption in project countries articulate and find solutions to their grievances.

- Result C.3: Improved social programmes and services as a result of citizen demand and engagement.

## **Programme Component D - Public Sector Integrity, Diagnosis & Solutions**

### **Purpose of Component D**

To generate robust evidence on public sector corruption risks in the APAC region, and provide anti-corruption activists with the tools and solutions to advocate for change.

### **Results of Component D**

- Result D.1: A new body of knowledge and improved diagnostic expertise on (anti-) corruption is widely available and identifies priority areas for anti-corruption reform in selected programme countries.
- Result D.2: Increased momentum for effective anti-corruption reforms at national level among key anti-corruption stakeholders for addressing priority areas in national integrity system.
- Result D.3: Regional level advocacy work supporting stronger anti-corruption reforms at national level.

## **Programme Component E - Climate Governance Integrity**

### **Purpose of Component E**

To support TI Chapters and other civil society Partners to engage effectively in policy development on, implementation of, and monitoring of climate finance and governance in the APAC region.

### **Results of Component E**

- Result E.1: Enhanced knowledge of climate finance and governance by TI Chapters, Partners and other relevant national stakeholders.
- Result E.2: Increased cooperation, partnerships and networks on climate finance and governance.
- Result E.3: Increased capacities to advocate and mobilise for change on corruption risks in climate finance among TI Chapters, Partners and other relevant national stakeholders.

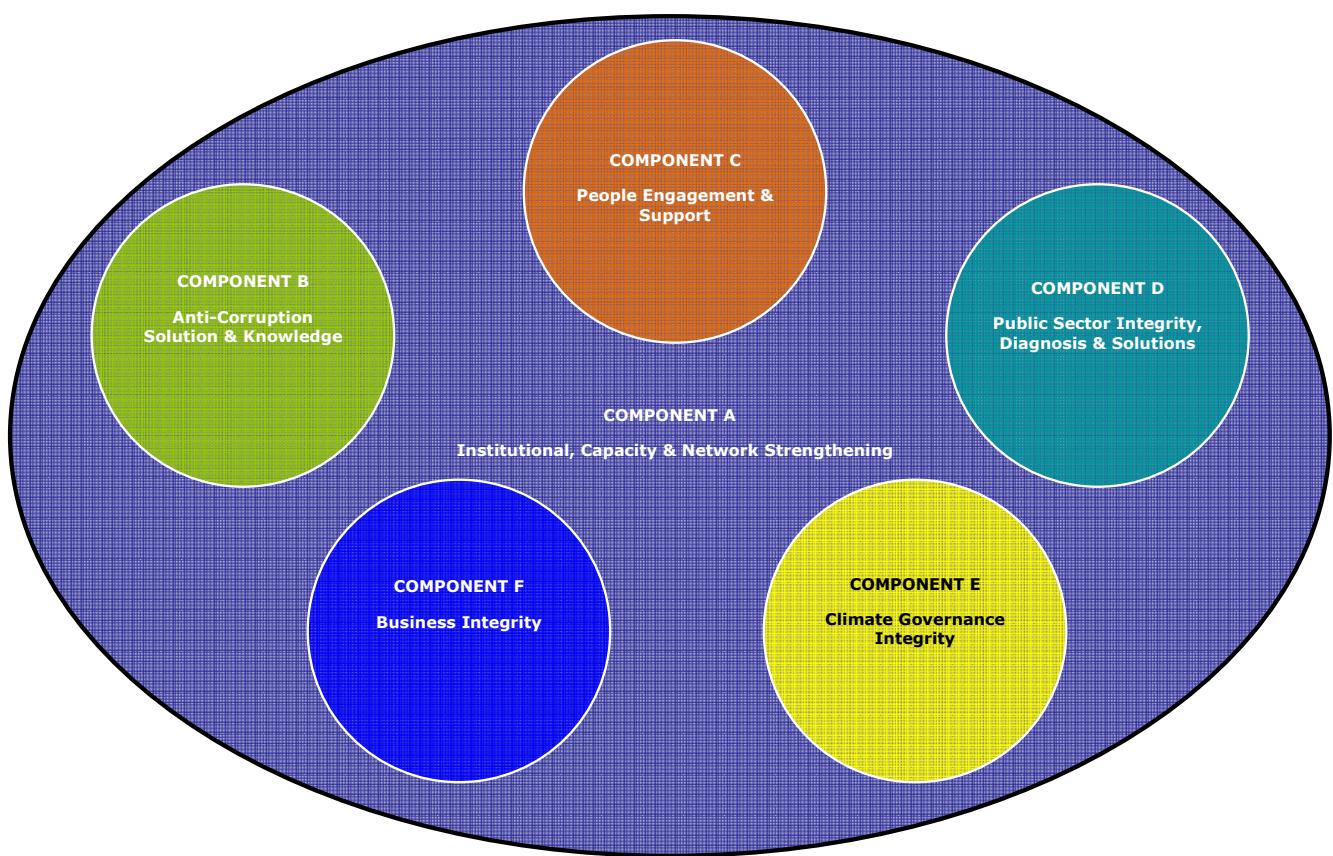
## **Programme Component F - Business Integrity – section under the development**

## Programme Structure

Leading to and focusing on its internal goal "to contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity" the Programme is structured around **six distinct and modular components**.

These Components are made of a number of carefully selected and designed generic activities – adaptable to the regional context – organised around, and aimed at achieving, the stated results of the Component. The Components function independently and yet allow complementary learning and sharing of resources and expertise, and collaboration across the different regions.

It is important to note that Component A plays a central role and forms the largest proportion of this Programme, as it provides the foundation on which each of the other Components build.



### ■ **COMPONENT A: Institutional, Capacity & Network Strengthening**

*Developing Capacities of Civil Society Organisations and Building Constituencies, Networks, and Coalitions for Anti-corruption Reform in the APAC region*

### ■ **COMPONENT B: Anti-Corruption Solution & Knowledge**

*Generating, adapting, and disseminating leading anti-corruption knowledge, practices and solutions in the APAC region*

### ■ **COMPONENT C: People Engagement & Support**

*Building Citizen Knowledge and Participation in Anti-corruption in the APAC region*

### ■ **COMPONENT D: Public Sector Integrity, Diagnosis & Solutions**

 **COMPONENT E: Climate Governance Integrity**

*Developing Capacities of TI Chapters and Stakeholders to Advocate on the Policy Development, Implementation and Monitoring of Climate Finance Governance in the APAC region.*

 **COMPONENT F: Business Integrity**

*Section under development*

## **Situational Analysis – Overall Programme Justification<sup>1</sup>**

Any attempt to give an impression of corruption in Asia Pacific inevitably results in an appreciation of the immense diversity of the countries in the region. Ranging from some of the world's most populous to the world's smallest nations, the region consists of numerous subgroups, which reflect the entire world's economic, political and social spectrums.

Rapid economic growth in the region including two emerging economic giants in the world, has profound governance implications. The transition from planned to market economies and changes in political systems also pose governance challenges. National laws, institutions and practices have not developed as fast as economies, and are often poorly enforced, run, and monitored, resulting in a deficit in governance and providing a hotbed for the manipulation of public power for private gain.

State capture, shrinking space for civil society, excessive power of the executive, lack of public accountability, ineffective bureaucracy, collusion and other corrupt business practices remain common shortcomings in governance for many countries in the region.

High-profile corruption scandals involving senior politicians, government executives and business people continue to undermine public trust in government, the benefits of democracy and the rule of law. Poor corporate governance and a lack of integrity, transparency and responsibility in business leadership continue to affect the reputation of the private sector, but also heavily stain the economic successes achieved by developed countries within and beyond their borders.

As made evident by the results of TI's 2011 Corruption Perceptions Index, the Asia Pacific context requires that the 22 TI Chapters in Asia Pacific strengthen their work on fighting corruption and promoting values of integrity, transparency and accountability in both the public and the private sector.

## **Programme Location**

Activities in the Programme take place within the larger Asia Pacific Region. For better clarity in the implementation of the plan and operation of the APD the entire region is divided into four sub regions:

- **Pacific:** Australia, Fiji, Papua New Guinea, New Zealand, Solomon Islands and Vanuatu.
- **East Asia:** China, Japan, South Korea and Taiwan
- **South East Asia:** Indonesia, Malaysia, Philippines, Thailand and Vietnam
- **South Asia:** Bangladesh, India, Nepal, Maldives, Pakistan and Sri Lanka

## **Programme Duration**

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<sup>1</sup> Kindly refer to the specific components of the Programme for a more detailed situational analysis for each specific component.

The Programme started in July 2011 and run for a total of 5 years to June 2016.

	<b>Year 0</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
	<b>July 2011 to June 2012</b>	<b>July 2012 to June 2013</b>	<b>July 2013 to June 2014</b>	<b>July 2014 to June 2015</b>	<b>July 2015 to June 2016</b>
Component A:	x	x	x	x	x
Component B:		x	x	x	x
Component C:	x	x	x	x	x
Component D:	x	x	x	x	x
Component E:			x	x	x
Component F:				x	x

## **Benefits to TI Chapters in the APAC Region**

Cutting across the above six components, a key dimension of this Programme is on TI Chapters' and Partners' capacity development, with the view to strengthening their ability to play a leading role in seeking effective and sustained implementation of anti-corruption efforts. Mirroring the diversity in the region more generally, the TI Chapters in APAC are at different stage of development and possess different degrees of capacity, ranging from TI Chapters with a budgets of around a million dollars and a professionalised operation to Partners that are made up of volunteers and with very little or no funding.

Regardless of their level of capacity, TI Chapters and Partners in the APAC region face their own individual challenges and confirm the benefit of participating in the regional Programme and the wider TI Movement. The APAC region's TI Chapters and Partners, as local leaders of the anti-corruption movement, are the primary beneficiaries of the Programme's activities. Given the coalition-building approach of TI, the support provided by the Programme acts as a catalyst to enable more effective civil society leadership for anticorruption and effective governance reform at a national level.

In summary, the Programme seeks:

- To strengthen capacities of the TI Chapters in the APAC region and other Partners to effectively work on anti-corruption issues and reforms at the national level and to contribute – individually and collectively – to regional initiatives and results;
- To increase the knowledge sharing and learning in the APAC region to fight corruption and advocate for change;
- To increase involvement of broader sectors of the population in promoting transparency, accountability and integrity in the APAC region;
- To benefit anti-corruption efforts with economies of scale based in sharing tools, methodologies and approaches on public and private sector corruption in the APAC region;
- To engage effectively in policy development on, implementation of, and monitoring of climate finance and governance in the APAC region.

# PROGRAMME IMPLEMENTATION

## Important

Building on the TI Secretariat's standard programmatic approach to regional work, the implementation section of the Programme document below shows carefully selected generic activities. When these are implemented during the Programme duration, they show in black colour. To ensure coherence in the overall monitoring and evaluation system of TI-S programmatic work, when the activities are not implemented during the Programme duration, they remain in the document but show in shaded grey.

## Component A: Institutional, Capacity & Network Strengthening

Developing Capacities of Civil Society Organisations and Building Constituencies, Networks and Coalitions for Anti-corruption Reform in the APAC region

## Justification

Since 2004, AusAID's contribution to TI through the institutional support grants provided to the APD has been integral to strengthening the governance and programmes of TIAP, through the accreditation process, TI Chapter visits, regular regional meetings, provision of expertise, and small amounts of seed funding.

As identified in the 2007 AusAID evaluation of its grant to the APD, the AusAID support has been critical in allowing improved coordination and communication with and across the APAC region, allowing information exchange and cross TI Chapter communications, and especially providing APD with the capacity to fundraise for other capacity building and advocacy projects. At the same time, the evaluation also highlighted that this work needed to be more strategically approached if it was to develop capacity strategies that result in a sustainable network of strong TI Chapters that play a leading role in anti-corruption work in their countries, mobilising coalitions of civil society, government and private sector to strengthen the transparency and accountability of the integrity systems in place.

To effectively advocate and support relevant anti-corruption reform, promote anti-bribery systems in the business community, and implement result-oriented national and regional sector specific projects, TI national chapters need to acquire greater core capacities for effective professional management and the strategic use of anti-corruption skills, tools and expertise.

The need to develop such capacity has been recognised as an important area of collaboration in the Partnership Framework, and the TIAP Institutional and Network Strengthening (TIAP INS) component A proposal to develop anti-corruption capacity in the region is being submitted as the cornerstone to implementing this partnership.

**[Extract] PARTNERSHIP FRAMEWORK – AREA OF COLLABORATION BETWEEN AusAID and APD , December 2008**

***Building civil society capacity against corruption*** - to support the development of core capacities of TI chapters in Asia Pacific and strengthen their anti-corruption partnerships to deliver the TI Asia Pacific Strategy and coordinate and implement activities within the region. Priorities and other opportunities for collaboration include supporting work on expanding and strengthening TI chapters in the region, in coordination with existing donor support.

Civil society is a key constituent for anti-corruption reform. It has been recognised as a critical player in the UN Convention Against Corruption, and effective anti-corruption strategies often

involve the participation of civil society. In many countries, civil society is capable of playing a leadership role in ensuring that anti-corruption change processes are initiated and maintained.

In most Asia Pacific countries, civil society now occupies a clear, but fragile space. Current analyses of the anti-corruption landscape show a narrowing of democratic space, and an increase of risks faced by anti-corruption actors who often work with limited resources, capacity, and technical skills needed to play the role envisaged by a functioning national integrity system.

Considering the small annual consolidated income of 3.5 million euro for 22 TI Chapters including the APD in 2008, TIAP has achieved extraordinary results in the past few years. TIAP Chapters have influenced national anti-corruption policies and strategies, and pushed governments to sign up to international anti-corruption standards such as the UN Convention Against Corruption (UNCAC) and the ADB/OECD Anti-Corruption Action Plan. They have lobbied successfully for improved electoral systems and legislation, prevented unaccountable legislation from being passed, promoted anti-corruption practices in public contracting, developed strong multi-stakeholder coalitions, and facilitated islands of integrity in which public and private sector actors commit to anti-corruption policies and practice. Yet, despite legal reforms and often impressive institutional infrastructure, corruption remains rampant in many countries in the region. Often, the lack of political will hampers change, indicating clearly that a greater mobilisation of leadership among all stakeholders is necessary to ensure the implementation of anti-corruption reforms.

The mobilisation of greater resources is crucial to empower anti-corruption civil society organisations and ensure they have more stable foundations on which to build their anti-corruption advocacy programmes and expertise. Such resources empower them to play a strong leadership role at national and international levels and allow them in turn to contribute to shaping a strong developmental and accountable leadership in both the public and private sectors.

## Framework

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### Internal Programme Goal

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Asia Pacific

### Purpose of Component A

To strengthen in the APAC region the capacity of TI Chapters and other civil society Partners to effectively work on anti-corruption issues and reforms at the national level and to contribute – individually and collectively – to the global fight against corruption.

### Results of Component A

- Result A.1: Strengthened and effectively coordinated TI presence – through TI Chapters or other civil society Partners – and activities in the APAC region.
- Result A.2: Enhanced capacity of TI Chapters to operate as well-functioning entities with strong structural, managerial and leadership capacities.
- Result A.3: Enhanced capacity of TI Chapters to realise their strategic objectives and achieve organisational and financial sustainability.
- Result A.4: Enhanced capacity of TI Chapters to initiate and lead multi-stakeholder coalitions and cross-boundary networks for increased anti-corruption impact.

## Chapter Groupings

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Activities in this Component take place within the larger Asia Pacific Region. For effective implementation of these Component activities and operation of the APD, the TI Chapters in the region are organised along two groupings:

**Grouping AP1: Well Established TI Chapters:** Countries which have full operational TI Chapters or national contacts across the entire APAC region.

**Grouping AP2: Emerging TI Chapters:** Countries where the TI Secretariat has established an operational national contact and providing support to become more visible in their countries. These countries at present include Cambodia and Timor-Leste. Also at present there are ongoing efforts to establish national contacts in Bhutan, Hong Kong and Macau.

## Activities

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### **Result A.1: Strengthened and effectively coordinated TI presence and activities in the APAC region**

Limited coordination among civil society and other key stakeholders in the region has hampered efforts to achieve concrete and lasting progress in regional anti-corruption work. The TIAP Chapters have a wealth of knowledge and a diversity of expertise, which can be mutually beneficial if there are effective mechanisms to capture, share and disseminate such knowledge. Leveraging this knowledge is critical to expanding the TI network and the range of its activities in the region, as new Partners can be supported and mentored by well-established TI Chapters. Knowledge production and sharing requires not only physical resources, but also the strengthening of a sense of ownership amongst regional partners, in order to build over time a stronger sense of cohesion and a strategic vision of advocacy goals. All activities to achieve the desired result A.1 are on going throughout the entire duration of the Programme.

#### **> Activity A.1.1: Undertake national stakeholder scoping missions and support emerging groups and coalitions to become Partners or TI APAC Chapters**

The APD of the TI Secretariat acts as a facilitator and catalyst for emerging groups and coalitions in the APAC region to help build their capacity, drawing on the knowledge and experience of well-established TI Chapters in the region and the broader international TI Movement.

Dedicated regional coordinators within the APD undertake regular missions to the region to identify professional civil society actors in "new" countries that TI hopes to bring into the TI Movement, and that share an interest in fighting corruption in the region and already have existing activities in that field.

New TI Chapters at the stage of TI "national contacts" and "national chapters in formation" are supported by the APD to reach the governance and performance standards required to become fully accredited "national chapters" in line with the accreditation policy of the TI Movement. In addition, regional coordinators provide emerging Partners with continuous lines of access to thematic experience and expertise available at the TI Secretariat and among TI Chapters from across all regions.

It is important to realise that in the "emerging" and middle income countries where TI is seeking to expand its network and activities, there is wide variation in capacity and freedom of manoeuvre for civil society. Therefore, even if a particular Partner does not manage to fully achieve TI accreditation standards within the timeframe of the Programme, this does not mean that efforts in that respective country have not proved fruitful. In some countries, substantial progress can be made if a functioning Partner is identified and begins work in a cohesive manner even if limited outputs from these new, inexperienced groups reflect their more embryonic state.

To support capacity development, the Programme makes resources available to new TI

Chapters to establish operations and consolidate a minimum level of capacity, often referred to as "seed funding".

#### **> Activity A.1.2: Develop and implement a regional capacity development programme for TI APAC Chapters, their coalition partners and newly emerging Partners**

A set of structured capacity development interventions are designed and coordinated by the APD at the TI Secretariat in close cooperation with TI Chapters and Partners in the region.

Areas of strategic capacity development and further cooperation and support are identified and discussed through missions and visits to the region by regional coordinators from the APD, supported by the Head of Capacity Development. Regular visits to TI Chapters in the region are essential to maintain a good understanding of their work and country context, but also to provide advice, and support them through visits to stakeholders including public and private sector stakeholders, donors, and the media.

Overall the TI Secretariat executes this activity in a number of different ways: as facilitator encouraging capacity development through horizontal learning and knowledge exchange; as coordinator identifying and enabling access to the expertise of others from within or outside of the TI Movement; or as direct provider of organisational and technical expertise, where this is identified as the most effective option for delivery of capacity development support.

Although specific areas for capacity development support are to be confirmed based on the results of organisational capacity assessments, support is structured along the various sub-sections of this Component.

TI has extensive knowledge of anti-corruption issues and applies powerful tools and training packages that ensure that training is targeted towards specific capacity development needs and stakeholders. Such activities include:

- Induction to TI (principles, tools, policies, etc);
- NGO management, governance and strategic planning;
- Project management and financial accountability;
- Effective communication, advocacy and campaign development, project management, financial accountability;
- Monitoring, evaluation and learning systems;
- Fundraising for sustainability;
- Technical skills on anti-corruption tools and diagnostics.

An important part of the development of technical skills on anti-corruption tools and diagnostics is to be targeted at new Partners in "emerging" countries with little or no prior knowledge or experience of TI's tools.

Regional workshops convene local and international stakeholders to present TI's main tools. Furthermore, the TI Secretariat supports smaller-scale events for specific groups of stakeholders as they are identified throughout the Programme's duration. Workshops, seminars and trainings present TI's key analytical anti-corruption instruments in a format that is accessible and useful to each target group. Also, important thematic issues such as the use of access to information in reporting on corruption, investigative techniques and other topics of relevance are covered.

This approach has the multiplier effect of widening the network of people actively engaged in fighting corruption, and address the challenge that the strong interest in combating corruption in the region is not necessarily matched by adequate knowledge, expertise and support structures.

#### **> Activity A.1.3: Facilitate increased interaction, information sharing, and learning**

## **from good practice among TI APAC Chapters and other regional and global Partners**

To transfer knowledge and expertise between countries and thereby foster regional learning, the Programme puts a strong emphasis on facilitating strategic TI Chapter exchanges. Direct Chapter-to-Chapter support is a key channel to allow them to go into further depth on particular subjects of priority interest.

Regular regional meetings are organised to build on this shared learning, exchange best practice, and discuss common strategies. These meetings, which bring together TI Chapters and other local Partners from the APAC region, are vital to tap into the potential for cross-fertilisation of experience. Each of these meetings is designed with a particular focus.

- A Regional Programme Meeting, which typically takes place in the first half of the year, focuses on discussing strategies; sharing experiences and benefiting from lessons learned to further improve implementation of various activities. Such meetings enable TI Chapters and other Partners to discuss not only lessons learned but also to review and revise strategies ahead of the Annual Membership Meeting or biannual International Anti-Corruption Conference (IACC), organised by the TI Secretariat.
- A Regional Governance Meeting, held late in the year to coincide with the TI Annual Membership Meeting, looks at strengthening governance and accountability. This meeting focuses primarily on issues of institutional strengthening and organisational development, which is becoming increasingly important as TI Chapters professionalise their operations and come under increasing scrutiny. Once every two years, this meeting coincide with the International Anti Corruption Conference.
- The International Anti Corruption Conference (IACC), the largest global fora on corruption, brings together a variety of stakeholders, from Governments to civil society organisations at all levels (grassroots, research institutions, think tanks) to law enforcement agencies, private and public sector officers, the media and many more. Attendance to the IACC averages around 1.500 participants, attending plenary sessions, special sessions and workshops.

In addition to learning and exchange, these regional meetings provide an opportunity to strengthen solidarity across the TI Movement, and to promote chapter-to-chapter communication. Strengthening community practice further improves TI Chapter advocacy and governance and allows them to use in their own work what works in other countries or regions.

## **> Activity A.1.4: Publish regular updates and information about TI activities and developments in the APAC region**

To increase awareness of TI's activities in the APAC region, the APD ensures the regular upkeep of the APAC section of the TI website, and provides contributions to external and internal media, including TI's Annual Report, TI Newsletter, as well as external media through press releases, and interviews.

The APD also facilitates the production and dissemination of English, Chinese and Bahasaan translations of appropriate outreach material and publications to encourage more access to information about the TI APAC activities, and developments.

In Berlin and in the region, the APD regularly gives presentations to various groups including journalists, diplomats, government representatives, business groups, students, and others.

To serve the growing requests for information about corruption that are being posed to TI directly, the APD also supports the development of Online Country Pages for each of the countries in which TI works and wishes to work. The Online Country Pages provide a comprehensive information and advocacy platform for country level corruption.

Finally, the APD ensures that the rest of the TI Movement is also kept informed of new developments and best practice from within the TI APAC network, and facilitate contacts between TI Secretariat staff, Board Members, Individual Members and other regions and the TI APAC Chapters and entities.

#### **> Activity A.1.5: Channel support for specific TI APAC Chapter's activities and initiatives**

When opportunities arise, the APD channels specific funding from donors to TI Chapters and Partners. This is only possible in very specific circumstances in which the donors prefer, for oversight or practicality, to provide funding to Chapters in a particular country through the APD rather than to the TI Chapter directly.

#### **Result A.2: Enhanced capacity of TI Chapters to operate as well-functioning entities with strong structural, managerial and leadership capacities**

Operating in challenging political environment, TI Chapters in some countries in the APAC region are still struggling to reach a level of organisational sustainability that would enable them to achieve their potential in terms of impact against corruption and to play a leadership role in the country. In several cases this can be attributed to difficulties in accessing the initial resources needed to start up basic operations at an appropriate scale. The activities below provide TI Chapters in the APAC region with a solid foundation and the necessary resources to build their anti-corruption outreach and programmes, which can be leveraged to access further institutional and programmatic funding from other sources.

#### **> Activity A.2.1: Undertake in cooperation with the TI APAC Chapters an assessment of their capacity development needs, informing further priority capacity development interventions**

Critical assessment of organisational capacity allows the identification of needs and priorities in an organisational development plan. This assessment, facilitated by the APD is done through a custom-designed TI's Organisational Capacity Assessment Tool (OCAT) which checks TI Chapter's abilities "to be", "to organise", "to achieve", "to relate", and "to adapt and learn".

Based on the results of these assessments, TI Chapters and Partners develop capacity plans that identify key development needs that serve as the basis for the provision of strategic future capacity support, technical assistance, advice, and potential funding drawn from the Entrusted Regional Operational Fund (described below).

#### **> Activity A.2.2: Provide funding for selected TI APAC Chapters to fulfil their core functions in response to needs identified through the organisational capacity assessment**

Based on the agreed plans resulting from the analysis of the organisational capacity assessment, the APD provides core funding on priority areas of capacity development to selected TI APAC Chapters, aiming to cover the majority of TI Chapters and Partners by the end of the Programme through an Entrusted Regional Operational Fund (EROF). Financial support under this activity provides a platform from which TI Chapters can build their outreach and advocacy. It also enables TI Chapters to develop sufficient start-up capacity for them to then fundraise independently and sustain the operations once the Programme ends.

Priority countries to receive funding are identified in alignment with the TI Strategy 2015 objectives on organisational strengthening. The EROF will primarily support:

- TI Chapters for whom the lack of staff and office capacity are the primary obstacle to achieving their objectives
- TI Chapters whose core capacities are stretched by growth, or large scale, high impact projects

#### **> Activity A.2.3: Provide in depth governance support to TI APAC Chapters to ensure high levels of accountability and performance**

Effective Board oversight and strong organisational and people leadership also at the

executive level are both critical for a TI Chapter's ability "to be" and "to relate" to the outside world. To help an organisation organise its work, effective relations between its board and executive leadership are equally important. Finally, clear and transparent policies have to be put in place to organise membership in a transparent and responsible manner.

The TI National Chapter Accreditation Policy is the primary policy mechanism by which the TI Movement ensures accountability and TI Chapter compliance with governance standards. Recognising that publicly promoting good governance requires impeccable internal governance and transparency, each fully accredited TI Chapter undergoes an accreditation review every three years.

The APD places a high emphasis on its role in facilitating the sound implementation of TI's National Chapter Accreditation Policy. It coordinates this process, maintaining close communication with the TI Chapter leadership. The APD analyses the information gathered throughout the accreditation review process and makes recommendations to the TI Membership Accreditation Committee. In turn, the Membership Accreditation Committee recommends appropriate action to the TI Board of Directors, who decides on the accreditation status of each TI Chapter. This process takes between four to twelve months to complete, and continues afterwards if the TI Board of Directors recommends certain changes or areas to report back on.

Where weaknesses have been identified through the accreditation review process, the APD can also provide carefully managed small grants to strengthen governance and accountability mechanisms of a TI Chapter. This could include support to strengthen membership or governance bodies, or to increase the programmatic transparency of a TI Chapter through annual reports or websites.

#### **> Activity A.2.4: Support TI APAC Chapters in developing strong internal systems to effectively manage their finances, people, projects and risk**

The capacity to plan and manage both financial and human resources effectively is critical for a TI Chapter's ability "to be" and "to organize". This activity supports TI Chapters in developing systems to maximise the potential of the resources that they have at their disposal, and to effectively manage growth over time.

Financial management systems not only ensure transparency and accountability in the management of any funds made available to the TI Chapters, by donors or other supporters. It also helps TI Chapters plan effectively for future work and to strengthen their sustainability through strategic forecasting and resource allocation.

People are a key asset of non-governmental organisations. The activity therefore also supports TI Chapters in attracting and retaining qualified staff. Clear management systems, professional development plans and opportunities for performance improvement are important elements in this context. In addition, the activity supports TI Chapters in mobilising and managing growing numbers of volunteer supporters as a critical resource for TI Chapter sustainability.

Finally, TI Chapters – especially in some of the politically challenging and volatile countries in the APAC region – need to develop a sound understanding of the legal, reputational and physical risks to which their organisation might be exposed. Supported by the Legal Unit at the TI Secretariat and its "Safeguarding Anti-corruption Fighters' Efforts" (SAFE) project, regional coordinators from the APD works with TI Chapters to help them develop systems to prevent, mitigate or manage such risks.

#### **Result A.3: Enhanced capacity of TI Chapters to realise their strategic objectives and achieve organisational and financial sustainability**

Where core organisational capacities have been strengthened to allow TI Chapters and Partners in the APAC region to operate effectively as professionally managed organisations that set standards also for others, building a range of more 'external' capacities is crucial to enhance operational capacity and impact. Growing public awareness and a deeper

appreciation of the true scale and scope of the corruption problem in the region also allows TI Chapters to attract new supporters and thus work towards organisational stability beyond this Programme.

Activities within this result build the capacity of regional stakeholders, particularly TI Chapters and other Partners, to play an increasingly active and effective role in combating corruption and advocating for civic rights and political reform. TI Chapters are strengthened in their ability to establish and maintain a reform-oriented dialogue with governmental institutions, with new opportunities for cooperation emerging through the Programme.

#### **> Activity A.3.1: Mobilise new funding for regional capacity development and to expand anti-corruption activities in the region in line with the TI Strategy 2015**

The sustainability of the Programme is a key aspect of the work that TI is undertaking in the APAC region. The APD continuously seeks to engage others in the implementation of the Programme and donors to support it financially.

Working towards financial sustainability through a combination of donor funding and locally generated income, TI Chapters and Partners in the region are supported in their fundraising efforts by the APD to strengthen their ability "to be", "to organise", and "to achieve". Activities include the development of fundraising plans that can provide a sound basis for donor outreach, and fundraising materials that target different donor audiences and present a compelling business case for supporting the TI Chapters. Beyond "traditional" funding sources, this activity explores a diversification to other sources of income.

In addition, enabling further strategic and systematic anticorruption advocacy programme development for APAC is a core activity of the APD, which may develop other very targeted regional projects to implement the strategic objectives outlined in the global Movement's TI Strategy 2015.

#### **> Activity A.3.2: Develop TI APAC Chapters' strong advocacy and communication skills to translate strategy, research and knowledge into effective anti-corruption advocacy**

A strong anti-corruption voice and clear public profile are critical to an organisation's ability "to act" and be seen as a change agent that is capable of responding authoritatively to existing and emerging good governance challenges. Engaging new audiences through a range of communication channels to translate awareness into action is important in this context.

Liaising closely with TI's Advocacy and Communication Departments, this activity supports TI Chapters and Partners in the APAC region in developing their advocacy and communication skills through horizontal learning as well as targeted training. In an effort to reach new audiences, including the young, activities are closely coordinated with two key programmes of TI: the People Engagement and the Public Sector Integrity programmes.

In addition, the TI Secretariat's Rapid Response Unit coordinates with TI Chapters in the APAC region on any issues that require immediate public statements.

#### **> Activity A.3.3: Help TI APAC Chapters understand, develop and manage Monitoring, Evaluation and Learning (MEL) systems as part of their project and strategic planning cycles**

The capacity to understand the strategic and planning value of Monitoring, Evaluation, and Learning (MEL) has become increasingly important to TI as the organisation matures and professionalizes. Using MEL findings to improve performance and thus achieve greater anti-corruption impact are understood as critical for a TI Chapter's capacity to "adapt" and "to achieve".

Supported by the Organisational Development Unit based at the TI Secretariat, this activity engages TI Chapters and Partners in the APAC region in identifying their Monitoring, Evaluation and Learning needs. Building an enhanced understanding of MEL frameworks, from

conceptualisation to use, TI Chapters are supported in managing such systems as an integral part of their organisational planning cycles. Regional coordinators from the APD work with TI Chapters to help set clear and measurable goals and objectives, and to review progress and results against them to improve overall performance. Joint learning among TI Chapters in the APAC region as well as broader exchange with other TI Chapters help TI undertake a holistic assessment of its own effort, and how it can be improved.

TI Chapter-level MEL systems are also integrated into a TI Movement-wide MEL framework, which is currently being developed by the TI Secretariat. This shall ensure that MEL data collected at the national-level can also inform the global TI Movement on progress made towards the objectives identified in TI Strategy 2015.

### **Result A.4: Enhanced capacity of TI Chapters to initiate and lead multi-stakeholder coalitions and cross-boundary networks for increased anti-corruption impact**

Results-oriented cooperation between different anti-corruption stakeholders in the APAC region, contributing their individual expertise to a broader effort of building national, regional and international networks is an important element in realising long-term anti-corruption impact in the region.

TI builds on its own experience as a global network of 100+ independent national member organisations (TI Chapters) working as part of multi-stakeholder initiatives, as well as on the coalition-building expertise of its most established TI Chapters. Via TI's previous regional projects (Forest Governance Integrity, Political Accountability and Equitable Development), TI Chapters and Partners in the APAC region have begun to broaden their reach and profile their work in a regional context.

To multiply the anti-corruption impact that TI Chapters could have on their own, the activities described below widen and consolidate the network of anti-corruption practitioners in APAC countries.

#### **Activity A.4.1: Support TI APAC Chapters in undertaking innovative approaches and activities against corruption in the region**

The capacity to understand the many facets and underlying causes of corruption, and to identify and seize emerging opportunities to scale up the fight against corruption are critical to TI's ability "to achieve".

To foster innovative responses to emerging policy issues and to engage more people than before in the fight against corruption, the Programme funds TI Chapters with proven capacity and expertise to undertake innovative activities around:

- New social media
- Information & Communication Technology
- Cross-boundary Partnerships

Providing such support encourages leadership among the TI Chapters in the region to develop new approaches and tools to tackle corruption relevant to the context of the region. Whereas the core capacity support funding assists TI Chapters with less capacity, funding channelled through this particular activity assists TI Chapters that are already at the forefront of anti-corruption advocacy.

#### **Activity A.4.2: Increase TI APAC Chapters contribution to strategic regional and international initiatives and forums**

The diversity of expertise across the global TI Movement provides a strong foundation for collective action and for working more effectively together and with others. Developing and scaling up innovative anti-corruption solutions through pro-active outreach to external

partners can significantly enhance TI's ability "to relate" and "to achieve". TI-led network initiatives can bring together a range of stakeholders including "cross-boundary" partners, e.g. from academia, the private sector or non-governmental organisations active in other areas, allowing all members to work and learn together.

Taking the support for innovative anti-corruption solutions to a higher level, this activity encourages leadership among TI Chapters in the APAC region, and supports the incubation and start-up of high potential networks led by interested TI Chapters who have already consolidated their basic organisational capacities.

To ensure successful delivery, the APD helps identify and relay information on potential network opportunities between TI Chapters themselves, as well as between TI Chapters, relevant TI Secretariat Departments, or external contact points. The Programme also provides advice on the process of network formation and support the development of effective frameworks for network coordination and governance.

In addition, the activity supports TI Chapters in identifying and supporting potential new coalitions by participating in relevant regional and international fora and inter-governmental initiatives, hosted by different institutions. These include, for example, conferences organized by the ADB/OECD, APEC, UNDP, the G8/G20, as well as the UNCAC Conference of State Parties.

## Component B: Anti-Corruption Solutions & Knowledge

Generating, adapting, and disseminating leading anti-corruption knowledge, practices and solutions in the APAC region

### Justification

Effective knowledge sharing and dissemination are critical to supporting and strengthening evidence-based advocacy and policy-making in the region. Yet, anti-corruption research is highly interdisciplinary and cross-cutting. A substantial amount of related research is produced every year by a variety of actors around the world, such as academic institutions, think tanks, NGOs, as well as bilateral and multilateral agencies. The discussion of approaches and findings, however, often remains segmented, confined to a specific community or region and poorly inter-linked with the expertise and knowledge needs of practitioners and policy-makers across the APAC region. The anti-corruption movement's knowledge, expertise and experience needs to be more systematically captured, harnessed and made available in a variety of formats to respond to the needs of a wide variety of anti-corruption stakeholders.

In alignment with the TI Strategy 2015, this Programme component addresses this critical need. Drawing on the organisation's unique expertise in analysing corruption risks and implementing anti-corruption programmes through its network of 100+ TI Chapters across the world, this component contributes to improving mutual learning, facilitating knowledge sharing, and strengthening cooperation across the APAC region, and beyond. This component complements TI's well-established credentials in developing and promoting the measurement and diagnosis of corruption and extends it to a new frontier – that of synthesising knowledge about what works to stop corruption and to promote integrity, accountability and transparency in both the private and public sector. It fosters a culture of sense-making, with the following questions at its core: what has been tried in the field of anti-corruption, both in research and practice, what have we learned, what do we suggest as ways forward, based on this learning?

A key feature of this component is the demand-driven, needs-based approach to the research and knowledge agenda setting. In practice, this means that the Component is built around a bottom up, inflow of needs from stakeholders from the APAC region. Another key element of the component is to enable a better-linked network of anti-corruption experts to emerge, from TI Chapters to a range of academics, policy and business practitioners and others.

The execution of activities in this component is guided by the following principles:

- Bottom-up process, driven by stakeholder needs
- Networked approach, involving an expanding roster of experts within and outside of the TI Movement
- Flexibility in terms of format, type and length of response
- Integration among Programme components fostering knowledge systematization, efficiency and cross-learning

### Framework

#### Internal Programme Goal

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Asia Pacific

## **Purpose of Component B**

To provide anti-corruption activists in the APAC region with access to readily available evidence and practical tools to fight corruption and advocate for change.

## **Results of Component B**

- Result B.1: Widely shared knowledge and lessons learnt on existing anti-corruption tools and good practices in the APAC region
- Result B.2: Increased access to anti-corruption expertise through better-linked networks of anti-corruption experts across the APAC region.

## **Chapter Groupings**

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Activities in this Component take place within the larger Asia Pacific Region and all TI Chapters in the region will benefit from them. No specific TI Chapter grouping is needed to implement this Component

## **Activities**

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### **Result B.1: Widely shared knowledge and lessons learnt on existing anti-corruption tools and good practices in the APAC region**

Effective anti-corruption policies must be based on a sound understanding of available evidence on the nature of the problem at hand and experience in addressing it. Anti-corruption practitioners need to have access to available evidence and be equipped with the skills and knowledge to mainstream anti-corruption in all their areas of intervention. One of the missing elements in this regard is the effective and timely generation and dissemination of information and research on what works and what doesn't work in the field of anti-corruption in the APAC region and beyond. Through this component, TI more systematically tracks research and practice in the APAC region and beyond with the aim of enhancing shared learning within the anti-corruption community and making it available in a variety of formats to a wide range of stakeholders at the national and regional levels.

#### **> Activity B.1.1: Provide on-going advice to TI APAC Chapters, Partners and other national and regional stakeholders on a demand-driven basis**

In a rapidly changing environment, successful advocacy activities often depend on swiftly pulling together and tailoring informed responses to a given situation. This activity takes the shape of an Anti-Corruption Expert Facility in the form of a Helpdesk servicing TI Chapters and other stakeholders in the region. It makes high-quality expertise, guidance and practical tools on anti-corruption more readily available to a variety of stakeholders in a flexible and timely manner. TI already has more than eight years of experience carrying out this service to donors, via the U4 Anti-corruption Resource Centre, as well as more than 15 years of providing advisory support informally via email, conferences and other fora. The expert facility answers time-sensitive questions posed by TI Chapters and other key stakeholders in the APAC region, directly targeting research to their practical needs. In this sense, the expert facility serves both as a barometer of anti-corruption needs and emerging issues in the region (the input side) as well as a discrete service delivery point for a variety of knowledge, from expert matchmaking to more in-depth research (the output side). TI builds on its existing repository of experts and work laterally, across the TI network, as well as beyond, to ensure that the most relevant expertise feeds into Helpdesk work.

#### **> Activity B.1.2: Systematically capture, publish and disseminate the knowledge generated through this Programme via target-oriented channels of communication**

At both national and regional level, the knowledge generated through this Programme is

captured through the production and publication of a variety of knowledge products (e.g. working papers, practical guidance notes, policy papers, tool kits, etc.) geared towards relevant target groups and stakeholders. These knowledge products address the issues raised in a variety of languages and formats, some immediate and some more medium and long-term, with the end-users' needs in mind. This diversification of formats strengthen TI's ability both to respond quickly and pragmatically on time-sensitive knowledge needs and, at the same time, to build an integrated programme that takes stock of knowledge needs and creates useful materials that reflect systematic and sustained concerns and demands of our stakeholders in the region vis-à-vis the fight against corruption. Particular emphasis is placed on adapting TI's portfolio of policy tools to the APAC regional context as well as learning more systematically from existing methods for measuring and analysing corruption, through TIs "GATEway" project.

## **Result B.2: Increased access to anti-corruption expertise through better-linked networks of anti-corruption experts across the APAC region.**

Another key element of this Programme component is to enable a better-linked network of anti-corruption experts to emerge, from TI Chapters and Partners to a range of academics, policy and business practitioners and others. TI enables more direct stakeholder and expert identification and interaction and foster the enhancement of its expert networks, supporting academic outreach and training to service needs of all anti-corruption stakeholders at the national and APAC regional levels.

### **> Activity B.2.1: Mobilise and stimulate anti-corruption expertise across the APAC region's academic community**

TI mobilises and leverages the expertise of leading academic institutions in the APAC region through the creation of a platform for scholars and researchers that promotes the development of a collaborative academic network for sharing expertise and ideas on corruption related research, with linkages to the global academic community. This includes providing regular updates on the latest in anti-corruption research at national and regional levels, sharing research opportunities, developing and distributing teaching materials and course curricula and fostering a widening of the anti-corruption research community across disciplinary divides. Building on the well-established Anti-corruption Research Network (ACRN), now entering its third year, TI puts a special emphasis on mobilising the knowledge base of young scholars and researchers based in the APAC region. In addition, TI uses a growing network of university courses to match corruption research needs with the requirements of students working toward degree programmes through its innovative "Research on Tap" project.

### **Activity B.2.2: Create centres of expertise in a number of key areas at the national and regional levels**

Through its network of 100+ TI Chapters across the world, TI has developed a unique diversity of expertise and global breadth of experience in fighting corruption. At the national and regional levels, TI maps and mobilises the expertise available across the TI Movement and beyond on region relevant issues and fosters the creation of national and regional networks of expertise that lead the anti-corruption movement and act as knowledge hubs on issues relevant to the APAC region.

## Component C: People Engagement & Support

Building Citizen Knowledge and Participation in anti-corruption in the APAC region

### Justification

Failure from governments to demonstrate improvements in levels of corruption is generating growing apathy and/or dissatisfaction among the population.

The challenge is to raise citizen confidence and demand for anti-corruption efforts. As such, it is necessary to: identify, register, and communicate positive impacts; promote good practices; disseminate knowledge; and work with organisations that reach more citizens.

Firstly, to this effect, Advocacy and Legal Advice Centres (ALACs) have been established by TI Chapters in Nepal, Pakistan, Papua New Guinea, Vanuatu, and Fiji since March 2009, with another launched in the Solomon Islands in November 2010. This Component C of the Programme in the Asia Pacific region seeks complementary funding to strengthen current initiatives, particularly in terms of further community outreach. In the year four and five, in addition to the already funded ALACs in South Asia, India, Sri Lanka and Maldives will be included into the financial support network. In the Pacific project countries especially, where costs are high, particularly for human resources and outreach beyond the capitals. Complementary support to these six existing ALACs in this Programme allows them to provide better services to more people, scale up their systemic impact, and sustain the positive contribution to mobilising citizen demand for good governance in their countries.

Secondly, corruption is recognised as a problem that needs to be tackled through generational change. With a large and growing percentage of the population in Asia Pacific under 30, youth are a key target for long-term anti-corruption efforts. TI Chapters in Asia Pacific have placed heavy emphasis on engaging with young people, recognising them as the leaders and citizens of tomorrow and acknowledging that a new generation with higher integrity is key to reducing corruption in the future. Integrity, like corruption, is learned. Unfortunately, in many countries for rich and poor alike, positive examples of integrity for youth to emulate are few and far between. Whereas older generations may have a vested interest in maintaining the status quo - rendering changes in attitudes difficult - youth are usually more open to change and possess the courage and vitality that can bring that change to fruition. A greater mobilisation of various stakeholders, including youth itself, is necessary to ensure the rejection of corruption and the practice of integrity among youth is not only achieved but sustained. TI's youth work ranges from measuring youth's perception of corruption, community education and engagement, youth performances and competitions and anti-corruption curriculum development, just to name a few. TI Chapters from Vanuatu to China have developed anti-corruption curricula for schools and universities and others such as TI Bangladesh and TI Papua New Guinea have built youth networks to mobilise young people against corruption. Once mobilised, youth participates to the fight against corruption in many different ways, including community outreach, street theatre, debate, cartoon, essay competitions, youth assemblies, rallies and concerts. The youth activity below builds on TI Bangladesh's success in engaging youth in the anti-corruption movement.

### Framework

#### Internal Programme Goal

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Asia Pacific

#### Purpose of Component C

To increase responsiveness to people's demands for transparency, accountability and integrity in the APAC region

## Results of Component C

- Result C.1: Increased public understanding of, support for and engagement in the fight against corruption, with a focus on the engagement of youth, women and entrepreneurs.
- Result C.2: Victims and witnesses of corruption in project countries articulate and find solutions to their grievances.
- Result C.3: Improved social programmes and services as a result of citizen demand and engagement.

## Chapter Groupings

Activities in this Component take place within the larger Asia Pacific Region. For effective implementation of these Component activities and operation of the APD, the TI Chapters in the region are organised along three groupings. These groupings are based on a combination of regional representation, TI Chapter's interest, and capacity for delivery of results.

**Grouping AP3:** TI Chapters selected for Youth Activities: Fiji, Indonesia, South Korea and Sri Lanka and additional TI Chapters shall be included in year 4 and 5

**Grouping AP4:** TI Chapters selected for their Advocacy and Legal Advice Centres: Fiji, Papua New Guinea, Solomon Islands, Vanuatu, India, Maldives, Nepal, Pakistan and Sri Lanka.

**Grouping AP5:** TI Chapters to partner in the future "integrity for entrepreneur" project

## Activities

**Result C.1:** Increased public understanding of, support for and engagement in the fight against corruption, with a focus on the engagement of youth, women and entrepreneurs.

### > Activity C.1.1: Develop outreach to youth to combat corruption

This activity represents a major part of Component C. In its initial phase, it involves TI Chapters in South Korea, Indonesia, Fiji and the Sri Lanka, with expansion in other countries in the region in year four and five of the Programme. This activity reaches out to the youth in the APAC region, in easy-to-understand, non-academic formats. It principally targets groups under the age of 30 in "emerging" countries with little or no prior knowledge or experience of activism, covering a broad spectrum of themes of particular relevance to young people across the region.

1. The first aspect of this activity maps the current views, influences, and incentives of youth on corruption through a survey. The Youth Integrity Survey is conducted in participating countries in year 1 to establish a baseline on the current integrity levels of youth and their level of engagement in anti-corruption. The survey has been developed to move beyond passively capturing views of youth on their ideas of corruption and integrity. It provides targeted information on the systems in which youth exist and pinpoints which aspects of culture and actors in society work to promote and hinder youth integrity, and thus illuminate access points for change within systems. TI Secretariat and international experts support the methodology adaptation to suit the national context. Additionally, on the local level, a national researcher will contribute to this adaptation and implement the survey. A regional workshop is conducted with national level research teams to ensure consistent implementation of the methodology for the purposes of cross country comparison. As an initial stage of advocacy, the survey itself is conducted by youths, trained through a national level workshop, who will form the initial core of a volunteer network. The survey also collects data on gender, socioeconomic status and popular

communications tools and platforms that youth use and are influenced by (print, digital, social media, mobile phones, social networking etc.) for effective communication and advocacy targeting. A regional report highlights the key findings and commonalities of the results in all four countries.

2. The second aspect of this activity develops an advocacy strategy to ensure the sustained mobilization of youth integrity. Participating TI Chapters carry out a participatory stakeholder analysis in selected communities to identify actors promoting and preventing the development of youth integrity and anti-corruption in youth. Additionally an analysis of strengths, weaknesses, opportunities and threats (SWOT) provides direction for advocacy and outreach work. This in-depth review establishes a broader picture of the situation youths face and work towards ensuring that the component is targeting issues and actors that will positively contribute to the advancement of youth integrity. A stakeholder workshop is organized to review and validate the findings of the Youth Integrity Survey and the stakeholder analysis. Based on these findings, participants identify key determinants of youth integrity and influencing strategies to engage youth for integrity in selected local communities. Both positive and negative influences on youth are explored. Additionally incentives for the promotion of integrity in communities are also explored. Following the stakeholder workshop, each TI Chapter develops recommendations and a communications and advocacy strategy, as well as key messages and recommendations in consultation with stakeholders and support from international experts through TI Secretariat. These recommendations are then disseminated through engagement with the media, focusing on social media platforms where applicable. While outreach strategies differ depending on national and local circumstances, there is an emphasis on effective targeting of youth through social media where applicable. TI Chapter capacity to carry out these plans is reviewed and support is provided by TI Secretariat when applicable.
3. The third aspect of this activity facilitates and sustains greater participation and engagement by youth in the anti-corruption movement. Building on the basis of volunteers who participated as interviewers in the survey, a volunteer network kick-off event brings together interested individuals and develops a network of volunteers to engage in varying thematic work with the TI Chapters. This complements current TI Chapter priorities, for example engaging youth in advocacy work for a programme on forest governance or corruption in journalism. A dedicated project coordinator in each participating TI Chapter facilitates effective mobilisation of youth and develops a volunteer plan. In addition to an increased output of communication and outreach materials, an annual event is held to encourage youth to actively engage in the fight against corruption and provide a stage for young voices to be heard. Ideas and key outcomes of this meeting are incorporated into advocacy plans for the following year. TI Chapters seek to ensure that a gender balance of volunteers is established.
4. The fourth aspect of this activity, builds partnerships and coalitions with existing youth groups and other relevant institutions and organizations, mainstreaming youth integrity and anti-corruption into the national youth agenda. Existing youth groups and organisations are mapped to identify effective and interested partners in forming a local youth integrity coalition. This allows for important opportunities to mainstream gender into the Programme, as TI Chapters have often found in their previous partnerships, the work of youth groups to be strongly gender oriented. In line with the TI Chapters' priorities and previous results, the national programme coordinator engages with national youth organisations in the fight against corruption. Staff and volunteers from the TI Chapter seek opportunities to attend events of other organisations and make a space for the promotion of youth integrity in the agenda of other relevant organisations and institutions. Additionally opportunities for more formal partnerships or MoUs signed with other stakeholders are sought.
5. The fifth aspect of this activity increases engagement of immediate stakeholders affecting youth integrity, including parents and teachers. Once partnerships are established with community groups and other stakeholders relevant to established key areas, the TI Chapter develops specific projects within the component with these partners. These activities should focus on immediate stakeholders (i.e. parents, employers and teachers, or actors that youth come into contact with on a day-to-day basis). While specific activities

are determined by local conditions and needs in each country, it is expected that activities may include:

- The development of educational materials for parents on promoting integrity in the home with parent teacher organisations;
- The development of local and/or national anti-corruption curriculum in schools, focusing particularly on secondary education with the Ministry of Education;
- Social forums, such as radio, T.V., street theatre, social gatherings are employed to promote key messages and the need for supportive communities for youth integrity.

6. The last aspect of this activity develops and promotes tools and solutions for youth integrity. Focusing on youth engagement and interaction with the media, the private sector (particularly with a focus on employment and entering the workforce) or engagement with governments, this part of the activity works towards the development of tools and incentives for promoting youth integrity. It builds on the earlier analysis and partnerships developed. It is envisaged that the tool focuses on one of several areas:

- Engaging the national media to explore ways in which projects such as training for young journalists in investigative journalism, or programming aimed at promoting youth integrity could be supported and facilitated.
- Working with Public or Private Sector to explore ways in which they can promote values of integrity and anti-corruption in youth just entering the workforce and reward integrity in employment practices.

A national workshop on tool development is held presenting work towards developing concrete tools under the designated thematic area. Reaching to other influential youth stakeholders than those previously engaged, this aspect of the activity moves towards a bigger picture approach, seeking to bring about change in the media and the employment practice and incentives of public or private sector organisations. The APD works closely with stakeholders in the public and private sector in the region to develop tools and incentives to provide opportunities for youth to benefit from acting with integrity. This is developed over the course of the component but will reflect:

- Incentives developed by public and private sector employees to promote young employees who act with integrity;
- Incentives to provide positive examples and reward young people who show innovative approaches and effective leadership in integrity and anti-corruption.

#### **> Activity C.1.2: Develop outreach to women to combat corruption**

Women often face particular difficulties as they frequently have primary responsibility for childcare and have frequent interaction with service providers (many of whom may be governmental), in the fields of education and health. The tragic reality is that women from lower-income groups are the ones who suffer most, as they are unable to make speed payments to access basic services. Frequently, these women do not realize that even under local legislation, they have an entitlement to these services without having to pay bribes. An understanding of their rights and of the legal context can empower many women and contribute to changing behaviour long-term. This activity primarily takes the form of awareness-raising, working in partnership with local NGOs and women's groups who usually enjoy a high degree of trust on the ground.

#### **> Activity C.1.3: Develop outreach to entrepreneurs (particularly SMEs) to combat corruption**

Small and medium-sized enterprises (SMEs) make up the backbone of many economies in the APAC region. Many entrepreneurs have also been victims of corrupt networks (also in many instances because they were not aware of their rights); whether trying to obtain a licence; registering a new firm; or perhaps even having to tolerate intervention from corrupt

politicians who also wanted a stake in a successful business. Yet, transparent, socially responsible and well-run businesses can function as drivers for a new economy, creating opportunities and employment growth and providing alternatives to an inflated public sector which is frequently seen by many young people in the APAC region as the only reliable employer. This activity develops a better understanding of the challenges facing those wanting to do business transparently and developing common solutions for moving forward.

#### **> Activity C.1.4: Develop a safety-training package for activists**

This activity addresses the delicate issue of whistleblower protection both from the side of victims and witnesses as well as from the activists' perspective. It is crucial to empower project partners to deal with sudden deteriorations of security levels as well as threats to their person and reputation (as individuals and members of partner organisations).

#### **> Activity C.1.5: Inform citizens of their rights and increase their ability to speak out against corruption**

Access to information (A to I) is a tool used to hold governments accountable. This activity aims to provide an ongoing mapping of A to I legislation, highlighting gaps in existing systems (also on an enforcement level wherever such legislation is already in place).

Indirect actions (e.g. "Know Your Rights" campaigns) could be targeted at the larger public to encourage them to claim their rights but also to learn about their responsibilities as citizens. This could even include cooperation with the education sector to integrate these concepts into the schools' curricula. Particular emphasis is placed on youth, women and other marginalised groups depending on the country context.

#### **> Activity C.1.6: Provide regular opportunities for dialogue and showcasing of anti-corruption initiatives**

This activity aims to host regular events, regionally and nationally, to raise the visibility and profile of TI's work in the APAC region. It also fosters horizontal learning and collaboration throughout the TI Movement, focusing especially on "trailblazers" and innovators to collaboratively develop models for replication. Specific examples are a) the use of Information and Communication Technology platforms to fight corruption, b) the engagement of volunteers, c) gender and d) raising funds from the public to increase sustainability and build credibility. Such events and other fora constitute a public space for citizens to become informed, and also demonstrate their support to the fight against corruption.

### **Result C.2: Victims and witnesses of corruption articulate and find solutions to their grievances in project countries.**

TI has developed Advocacy and Legal Advice Centres (ALACs) to respond to a previously unmet demand in the region. The ALAC concept has been tested in numerous countries collecting hundreds of complaints and complementing the activities of the respective TI Chapters. ALACs provide legal information, free advice and assistance to victims and witnesses of corruption, enabling them to know and assert their rights to pursue corruption-related complaints. ALACs aim to empower citizens to take up the fight against corruption. ALACs compile and analyse the reported cases of corruption, providing an important source of information for identifying the weak points in the laws and procedures that allow corruption to thrive. This unmatched data provides a profile of how corruption works and its detrimental effect on people, generating highly credible information that is critical to designing effective advocacy strategies aimed at strengthening the ability and willingness of institutions to act upon corruption-related complaints. In this way, systemic legal, administrative and institutional improvements that can counteract and prevent corruption become achievable. Advocacy campaigns around these improvements create a virtuous circle, helping to establish

the profile and reputation of the ALACs, which in turn encourages more citizens to join in and take action against corruption.

#### **> Activity C.2.1: Provide safer spaces for citizens seeking redress from corrupt practices or willing to speak out against it**

Building citizen participation in anti-corruption, the TI ALAC approach empowers victims and witnesses of corruption to redress their grievances, and achieves systemic change in the policy and practice of public and private actors to fight against corruption. This results in:

- Improved access to legal advice and services for victims and witnesses of corruption;
- Improved response to corruption related complaints by public institutions;
- Increased demand for improved governance based on persuasive evidence

As the ALACs' approach to citizen engagement has proven to be successful one in several countries around the world, including Nepal, PNG, Pakistan, Vanuatu this activity replicates, adapts and expands this model in other APAC countries, thus providing citizens with a venue where they can safely speak out against corruption, seek legal advice and seek redress to it. Depending on the context, ALACs may operate in many shapes and forms, receiving complaints from petty corruption to huge "state-capture" related affairs.

This high-sensitivity type of operation requires top-of-the-range security equipment and training, all the more pertinent in the APAC region; the ability to screen out the cases which cannot be followed up with and those unrelated to corruption. Moreover, privacy protection, whistleblower protection, data management and data security are key issues when it comes to anti-corruption walk-in centres or hotlines.

TI provides training in these areas, as well as continuous support for the safe management of data. In addition to this, the vast amount of data to be collected shall provide strong indicators of where corruption is most pervasive, thus substantiating requests for reform in other advocacy activities. In order to sustain the spread of this model, it is envisaged that targeted operational grants to bridge funding gaps as well as seed funds will be disbursed. In order to equip the ALACs with functional and scalable databases, provisions are made in this Programme component for the management and development of the database software and hardware (from data encryption to the security of the premises and personnel).

#### **> Activity C.2.2: Produce and analyse ALAC case-based evidence to assess trends and support reform demands**

In this activity, statistics from complaints are fed into the research upon which to ground the advocacy actions. Common international trends are also highlighted so as to draw the attention of the international community to the issues and put pressure on relevant governments in the APAC region. As part of this activity, actions are taken to ensure that appropriate data collection, management and analysis tools are developed and disseminated. In this way the security of citizens, those collecting information, and any sensitive information is increased. This promotes the establishment of a virtuous cycle of trust between CSOs and citizens, encouraging them to speak out against corruption.

#### **Activity C.2.3: Develop a pool of expertise on investigative journalism and build journalistic skills to improve engagement in anti-corruption work**

This activity provides training on investigative journalism to increase media coverage on corruption and transparency-related issues. The emphasis of the training is on obtaining and verifying information, documents and corroborating claims and conducting interviews. Topics that could also be covered include: journalists' security, data protection and in general the responsible and sensible use of new tools such as those stemming from the use of social media. In order to achieve synergies, partnerships are built with schools of journalism and mainly through strengthening on-going partnerships with leading regional NGO that supports

investigative journalism.

### **Result C.3: Improved social programmes and services as a result of citizen demand and engagement.**

The underlying principle of this result area is that of social accountability and citizen oversight in the delivery of basic services and social programmes. This is particularly significant in the case of traditionally marginalized population groups, empowering them and in turn ensuring that institutions and duty bearers are responsive to their needs.

#### **> Activity C.3.1: Identification of key risk areas in the delivery of services and social programmes**

This activity aims to highlight problem areas for, and risks to transparency and accountability in the delivery of basic services (e.g. education, water, health) or social programmes (such as conditional cash transfers). These risks may manifest themselves as errors of exclusion (and inclusion), ineffective citizen oversight and grievance mechanisms or other governance weaknesses. Participatory approaches, such as the implementation of integrity risk maps and other social accountability tools (e.g. participative reporting by citizens through report cards, participatory videos or other interactive media use) seek to ensure a comprehensive understanding of the key problem areas throughout the cycle of a given initiative.

#### **> Activity C.3.2: Mitigating risks through social accountability**

Taking into account the different stages and cycles of social programmes and service delivery, this activity aims to mitigate the risks identified in C.3.1. Depending on the needs and risks highlighted in a given area, appropriate mechanisms are identified. The aim is to generate favourable conditions for the involvement of beneficiaries in accountability processes and help encourage, shape and empower citizen participation and oversight in the provision of said programmes and services. The choice of approach is dependent on the type of service or social programme, the socio-political and economic context, and the specific risks to integrity identified.

## **Component D: Public Sector Integrity – Diagnosis & Solutions**

Researching and Gathering Evidence to Understand and Map Corruption in the APAC region, and Developing Anti-Corruption Tools and Solutions to curtail it

### **Justification**

A key element of TI's work is diagnosing corruption and assessing anti-corruption efforts through a comprehensive research portfolio. Based on its findings, TI raises awareness of particular types of corruption and the effectiveness of anti-corruption programmes; monitors trends in the incidence of corruption and in the implementation of anti-corruption measures; and advocates for reforms in laws, policies and practices. Based on in-depth research, TI develops practical tools to counter corruption and implements solutions, working through coalitions of actors from civil society, the public and the private sectors. TI publications and indices have been a source of informed reference for many individuals and organisations, be it academically, or, most importantly, as tools for advocacy for change.

While TI, through NIS assessments, has already contributed to increasing the evidence available on integrity, accountability and transparency, further analysis is required to ensure relevant and strategic anti-corruption interventions by a wide range of stakeholders. TI has tools that can provide a baseline assessment on the one hand and measure progress in reform efforts on the other hand. The implementation of such diagnostic assessments provides a unique opportunity to work constructively with key stakeholders in the APAC region.

TI's tools cover a wide range of topics and map out the cycle of corruption at all stages and from all angles. Such tools are well known but not necessarily well understood. CSOs wishing to use them to strengthen their advocacy actions, TI Chapters and Partners wishing to adapt and replicate them to local contexts, governmental institutions with an interest in responding to their recommendations need to become familiar with their respective methodology and scope.

NIS assessments have to date been undertaken in over 50 countries worldwide: a first round of National Integrity System studies was also done in South Asia, though these are now outdated, such as the study on Bangladesh, Pakistan and India (2003) and Nepal (2001). The NIS methodology has also since been improved and expanded to include both qualitative and quantitative information. There is therefore a need for an updated and more accurate understanding of the current situation in Asia Pacific.

NIS Assessments to date have focused primarily on an institutional view of integrity systems. Current thinking increasingly points out the need to also take account of the country's social, economic and political context, and particularly the role of key political agents and coalitions in sustaining corruption as well as in effectively addressing it via anti-corruption efforts. Therefore, the traditional institutional analysis of the context in which the national integrity system is constructed also allows insights into political will and agency issues and the role of leaderships in shaping effective institutions.

In South Asia, where governance institutions and legislation are increasingly in place, there is a growing concern about the lack of implementation of existing frameworks as well as their limited effectiveness in addressing the scourge of corruption. TI Chapters in the region have been at the forefront of the call for more effective anti-corruption efforts, bringing together key stakeholders both in government and in civil society to seek increased integrity, transparency and accountability in all sectors of society.

The National Integrity Context and Systems Analysis (NICSA) – an evolution from existing NIS Assessment methodology, adopts an evidence based advocacy approach to use the capital TI Chapters in South Asia have already accumulated, to build further demand for more effective systems of governance and leadership. The purpose, source, and independence of the research differentiate it from other academic or government-led research undertaken, but it

provides an additional source of holistic and credible information that can be used in further work undertaken by others. Given the importance of the UNCAC framework for example, the NICSA research can be used to complement information provided in UNCAC Gap Analyses or Review Reports, or can feed into these when they are undertaken.

The NICSA research balances an in-depth institutional analysis with a strong focus on the role of each country's political economy and political agents in those areas which emerge as the 'main sites' of corruption or institutional anti-corruption failure. Thereby the research seeks to illustrate positive or negative examples of political will and effective leadership to be able to use the findings for subsequent anti-corruption strategies, which will not only target institutional reforms, but also the generation of political will or the forming of effective coalitions among relevant anti-corruption actors. In addition, a better understanding of the political economy drivers of (anti-)corruption provides further insight into who can investigate and who can block anti-corruption change, and equips national chapters and other stakeholders with the necessary evidence to identify potential channels and coalitions of reform.

Once this information is gathered and analysed, the NICSA research enables more effective advocacy for improvement of the system to work against corruption. Depending on the priority issues identified, TI Chapters may work to strengthen and support existing government institutions, or to put pressure on these where weaknesses or lack of effective implementation. Early involvement of these institutions in the research process as well as the follow up advocacy encourages ownership of the results and the change process. Additionally, regional comparisons and engagement of regional institutions also creates another avenue for such advocacy.

## Framework

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### Internal Programme Goal

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Asia Pacific

### Purpose of Component D

To generate robust evidence on public sector corruption risks in the APAC region, and provide anti-corruption activists with the tools and solutions to advocate for change.

### Results of Component D

- Result D.1: A new body of knowledge and improved diagnostic expertise on (anti-) corruption is widely available and identifies priority areas for anti-corruption reform in each project country.
- Result D.2: Increased momentum for effective anti-corruption reforms at national level among key anti-corruption stakeholders for addressing priority areas in national integrity system.
- Result D.3: Regional level advocacy work supporting stronger anti-corruption reforms at national level.

## Chapter Groupings

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Activities in this Component take place first in South Asia in phase 1, and then in the Pacific in phase 2. For effective implementation of these Component activities and operation of the APD, the TI Chapters in the region are organised along two groupings.

**Grouping AP6:** First Phase: Bangladesh, India, Maldives, Nepal, Pakistan and Sri Lanka

**Grouping AP7:** Second Phase: Australia, Fiji, New Zealand, Papua New Guinea, Solomon Island and Vanuatu.

## Activities

**Result D.1:** A new body of knowledge and improved diagnostic expertise is widely available and identifies priority areas for public sector reform in selected programme countries.

TI's public sector diagnostic tools, both the established ones and those currently undergoing adaptation, have provided the foundation for a strong, objective, evidence-based set of advocacy campaigns, carried out at national level. Assessments such as the NIS (National Integrity System) are based on a sound methodology. Profiling diagnostic work in this way serves to depoliticize what can be sensitive issues in the region. Improving the regional familiarity with these tools ensures that TI's non-confrontational, participatory approach is well grasped by those CSOs tasked with their development and use.

Moreover, a thorough training programme ensures that the recommendations put forth by the reports can be used nationally, for reform demands, and regionally, to highlight common trends and weak spots. The aim is to generate: a) an improved understanding of the strengths and weaknesses of the country's National Integrity System within the anti-corruption community; b) momentum among key anti-corruption stakeholders for addressing priority areas in the National Integrity System.

### > Activity D.1.1: Undertake/update National Integrity Context and System assessments in the APAC region

The NISCA approach provides a framework that anti-corruption organisations can use to analyse both the extent and causes of corruption in a given country as well as the effectiveness of national anti-corruption efforts. This analysis is undertaken via a consultative approach, involving the key institutions and actors in government, civil society, the business community and other relevant sectors with a view to building momentum, political will and civic pressure for relevant reform initiatives. This kind of assessment is part of TI's holistic approach to countering corruption. It describes the problem of corruption and its impact, and - more importantly - presents a comprehensive strategy for combating corruption based primarily on prevention rather than punishment. The strategy - the National Integrity System (NIS) - lies at the core of TI's approach to tackling corruption and has a special emphasis on diagnosing public sector integrity risks. The NIS is based on 13 'pillars' or institutions, ranging from an elected legislature through an independent judiciary to a free press, which function to underpin (or undermine) national integrity.

This activity envisages further improvement of the existing NIS methodology with an increasing recognition of the importance of the interests, power relations and other characteristics of the main actors in the country's governance system. The improved methodology - The National Integrity Context and Systems Analysis - balances an in-depth institutional analysis with a strong focus on the role of each country's political economy and political agents in those areas which emerge as the 'main sites' of corruption or institutional anti-corruption failure. Thereby the research seeks to illustrate positive or negative examples of political will and effective leadership to be able to use the findings for subsequent anti-corruption strategies, which will not only target institutional reforms, but also the generation of political will or the forming of effective coalitions among relevant anti-corruption actors. In addition, a better understanding of the political economy drivers of (anti-)corruption provides further insight into who can investigate and who can block anti-corruption change, and equips national chapters and other stakeholders with the necessary evidence to identify potential channels and coalitions of reform.

APD seeks consultants with proven experience of developing solid and advocacy-oriented research methodologies to assist in the development of the third generation of NIS assessment -the National Integrity Context and Systems Analysis (NICSA). This is done in close collaboration with the TI Policy and Research Department based at TI-S in Berlin, which has been at the forefront of developing TI methodologies to measure corruption and assess governance using a range of diagnostic tools, but also understands the need to focus on tools

that are useful for TI Chapters and other actors in the anti-corruption movement to use in their efforts to seek effective and sustainable reform.

Shared understanding and ownership of this activity and the new methodology is confirmed through a kickoff workshop held in the region, including participation of TI Chapter executives, project staff, researchers, TI-S policy and research department, and APD.

The workshop ensures clarity among project partners on key aims, goals, activities, obligations and deliverables of the project, role of advocacy and regional dimension of the component and a common understanding of NICSA methodology and tools. It also provides an opportunity for additional feedback on the component architecture and to validate the methodology and questionnaires to be used in the research. Based on feedback from this workshop, final adjustments are made to the NICSA process and methodology before core research begins.

A research unit based in the country undertakes both qualitative and quantitative analysis of the NIS in the project countries. Based on the results of the institutional assessment, a more agency- and problem-oriented analysis of the factors behind institutional failure/weakness (and in some cases also institutional success) is undertaken using a mix of political economy and agency-oriented tools.

Key data collection methods are: legal reviews, key informant interviews, field tests and participatory research tools. The institutional component of the NISCA comprises both the regulatory framework as well as the actual practice of these institutions, and includes a quantitative benchmarking of institutional performance via a set of indicators. The problem-oriented analysis of the key drivers behind institutional failure uses a range of analytical approaches drawn from political economy tools and agency-oriented methods.

Researchers are guided by the NISCA Advisory Group, consisting of a balanced membership of representatives from civil society, government, the private sector, academia, the donor community and other relevant anti-corruption stakeholder groups. The engagement of this group forms a coalition that will contribute to quality control, but also broad ownership of the study results. Involvement of these representatives ensures that the views of these institutions are also considered, and provides an avenue to build further relationships between the institutions in question and the TI Chapter.

#### **> Activity D.1.2: Promote the Corruption Perceptions Index**

The TI Corruption Perceptions Index (CPI) has become a global reference for the perceived state of public sector corruption in many countries around the world. It is important that the methodology and the impact of the CPI are clearly understood by those using it to promote anti-corruption reforms, or reporting on corruption. As part of this activity, TI organises events and other communication approaches around the release of the CPI to provide media representatives and the general public with detailed information about the results, in particular with regard to implications for anti-corruption work.

#### **> Activity D.1.3: Produce the Global Corruption Barometer survey**

The Global Corruption Barometer (GCB) is the only worldwide public opinion survey on views and experiences of corruption. As a poll of the general public, it provides an indication of how corruption is viewed at national level and how efforts to curb corruption around the world are assessed on the ground. It also provides a measure of people's experience of corruption in the past year. The 2010 Barometer, the seventh edition, reflects the responses of 91,781 people in 86 countries. It is envisaged that over the five-year period, several national Barometer surveys will be conducted across the APAC region in different countries. The GCB supports the result of the NIS and the CPI on any progress or set backs, and ensure that citizen's experiences of corruption are also taken into consideration when developing a strategy to deal with corruption.

#### **> Activity D.1.4: Develop and adapt other public sector integrity diagnostics**

A holistic approach to corruption monitoring relies on the development and integration of research tools. The research tools from TI are firmly established on the international scene as global tools when measuring corruption and assessing its impact. TI strives to continuously improve and fine-tune its tools and, when new ones are developed, to promote them and wherever possible to adapt them to specific local needs. This activity supports the local development and adaption of appropriate measurement tools. On the other hand, several national, provincial and local level tools have been developed in APAC, particularly in Chile, Colombia, Mexico, Peru and Venezuela that can be shared within the region and outside, mainly in Africa where there is already interest.

**Result D.2:** Increased demand and momentum from national and regional anti-corruption stakeholders for effective anti-corruption national level reforms and for addressing priority areas in national integrity system.

**> Activity D.2.1: Design and implement national and regional advocacy interventions to engage key stakeholders on public sector integrity issues**

Using data and evidence gathered in Components B, C and D, this activity consists in developing advocacy plans, tools and applications (public sector integrity pacts, model laws, best practice codes) to be used by TI Chapters and Partners to engage with public sector officials in active reform initiatives.

**> Activity D.2.2: Produce Anti-Corruption Toolkits for different segments of civil society**

In parallel with and complementing the various activities undertaken under Component C, this activity produces and disseminates, at both national and regional level, informative material geared towards relevant target groups such as youth, women, politicians, media, and personnel from the judiciary. Unlike the more technical and academic studies produced in result D.1, this material, designed to provide a highly focused blueprint for action in a specific area of the public sector, can be quickly grasped and replicated by users and relatively inexperienced activists.

**> Activity D.2.3: Disseminate knowledge products on public sector integrity to public and expert audiences**

To achieve the results set in this Component of the Programme, this activity includes the organisation of independent national advocacy and awareness raising events (e.g. local conferences, round tables, stakeholder consultations etc.) as well as structured media outreach interventions (e.g. TV / Radio spots, talk shows, presence on national and regional media outlets, SMS campaigns etc.). These are essential to ensure that the content produced in result D.1 is effectively disseminated.

**Result D.3:** Regional level advocacy work supporting stronger public sector anti-corruption reforms at national level.

**> Activity D.3.1: Influence policy and regional agenda setting**

This activity provides resources to promote anti-corruption reforms and influence APAC regional processes towards greater transparency, integrity and accountability, thus facilitating the adoption of related reforms at national level in the APAC countries. This activity notably focuses on supporting TI-S' partnership building efforts with multilateral organizations (UNDP, ADB, OECD, APEC, Pacific Forum, ASEAN, etc). This includes the preparation work and subsequent active participation in relevant regional fora.

**> Activity D.3.2: Quality control and monitor progress on public sector advocacy engagement in the APAC region**

To support TI Chapters and Partners' advocacy efforts within the APAC countries, the Advocacy and Outreach Department of TI-S supports various advocacy interventions by providing expert advice, guidance and quality control of material produced. This ensures greater effectiveness, positioning, impact, sustainability, as well as risk management of the intended advocacy interventions. The department also monitors progress made by advocacy interventions against the Programme objectives and the broader TI Strategy 2015.

## **Component E: Climate Governance Integrity**

Developing Capacities of TI Chapters and Stakeholders to Advocate on the Policy Development, Implementation and Monitoring of Climate Finance Governance in the APAC region.

### **Justification**

The effects of climate change are expected to increase in scale and intensity well into the next century. Leaders of developed countries have pledged up to US \$100 billion by 2020 to support adaptation and mitigation activities in developing countries. Beyond this, governments around the world are investing heavily in increasing energy security and long-term low carbon pathways.

Climate finance poses governance challenges for developed and developing countries alike. As new climate money flows increase, concerns are mounting regarding the transparency, accountability and integrity of how spending decisions are being taken, for what and how. Insufficiently developed regulatory systems and funding channels provide opportunities for corruption. Countries in the APAC region that are earmarked to receive climate finance face a number of governance challenges, including the capacity to control corrupt abuse.

TI is committed to helping ensure that public money made available for climate change actions is not diverted through corruption by promoting viable anti-corruption safeguards and preventative measures at global and national levels.

### **Framework**

#### **Internal Programme Goal**

To contribute to empowering, strengthening the capacities, and engaging civil society organisations, civil society coalitions and the public in addressing corruption and promoting transparency, accountability and integrity in Asia Pacific

#### **Purpose of Component E**

To support TI Chapters and other civil society Partners to engage effectively in policy development on, implementation of, and monitoring of climate finance and governance in the APAC region.

#### **Results of Component E**

- Result E.1: Enhanced knowledge of climate finance and governance by TI Chapters, Partners and other relevant national stakeholders.
- Result E.2: Increased cooperation, partnerships and networks on climate finance and governance.
- Result E.3: Increased capacities to advocate and mobilise for change on corruption risks in climate finance among TI Chapters, Partners and other relevant national stakeholders.

### **Chapter Groupings**

Activities in this Component will take place within the larger Asia Pacific Region. For effective implementation of these Component activities and operation of the APD, the TI Chapters in the region will be organised along different groupings. These groupings are to be defined in late 2012.

## Activities

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This Component of the Programme helps ensure that climate financing decisions and actions taken in the APAC region are conducted with sufficient transparency, accountability and integrity to prevent corruption from undermining climate goals. It seeks to increase civil society capacities to contribute to climate finance governance policy development, implementation and oversight.

### **Result E.1: Enhanced knowledge of climate finance and governance by TI Chapters, Partners and other relevant national stakeholders.**

Climate finance is critical to achieving important global and national climate change adaptation and mitigation goals. It is important that the development and implementation of climate finance policies, financing priorities, uses and decisions are transparent, accountable and involve robust integrity – to ensure goals are met and money is not lost to corruption. Civil society engagement on climate finance governance remains relatively low and unengaged due to its highly complex and technical nature and organisation. Building the technical knowledge of Civil Society Organisation in the APAC region to better engage in policy development, implementation and monitoring is therefore crucial to ensure robust accountability, integrity and anti-corruption safeguards. With the current and anticipated large financial flows to, from and in both developed and developing countries, urgent action is needed to build that capacity. TI Chapters maintain a high level of expertise and knowledge regarding governance and anti-corruption. This expertise can be effectively applied to climate finance governance when such knowledge and capacities are increased.

#### **> Activity E.1.1: Develop knowledge and understanding of climate finance mechanisms in the APAC region**

TI Chapters and Partners participate in e-learning and training courses designed by TI and others to increase learning, knowledge and understanding of global and national climate finance mechanisms and their governance. They then contribute to the development and roll out of the TI model e-learning course on global climate finance. This includes adapting the e-learning course to the local contexts of the APAC region, translating materials into Spanish and Portuguese for local stakeholders and other actions to encourage local take up and participation in the course. TI Chapters, Partners and their local stakeholders participate in learning events on climate finance such as conferences, meetings, workshops locally and, in limited proportion, globally. Having gained climate finance expertise, TI Chapters and Partners possibly in cooperation or partnership with local stakeholders provide trainings and further capacity-building or knowledge resources to serve as a conduit for climate finance governance learning at national and local levels.

### **Result E.2: Increased cooperation, partnerships and networks on climate finance and governance.**

Developing, forming and maintaining networks to support advocacy, learning and research can be a powerful way to achieve common goals amongst an array of actors. This is particularly important and relevant for climate finance as it encompasses a very wide range of issues requiring an equally large spectrum of expertise. This can include issues, concerns, projects, policies related to land, water, forests, agriculture, construction, coastal resilience, energy, power and electricity sector, carbon markets, emission trading, public subsidies including feed-in-tariffs, irrigation systems, trade, finance/banking, transportation, heavy industries and so on.

It would not be expected that TI Chapters and Partners become experts on these wide range

of issues but that TI works with expert organisations and/or individuals at national or regional levels on important issues where TI can contribute and lend its own anti-corruption expertise, knowledge and tools. This means opening up the people and groups TI works with in the climate sector to ensure corruption is minimised.

This can be around climate change policy decisions to ensure for example that choices for transition to green economy or specifically a national choice of what kind of sustainable energy sources best fits long term climate change goals are taken in fair, transparent and accountable ways and that conflicts of interest and other forms of corruption do not influence those decisions. In this example, various expertise would be required to take the best value for money, climate, environment and people decision. TI can contribute its anti-corruption expertise but would need to work in cooperation or networks to ensure the best outcomes. This concept applied to advocacy, monitoring and learning actions likewise.

#### **> Activity E.2.1: Network and partner with other national and regional expert groups on climate finance and governance related issues**

TI Chapters and Partners develop, form and maintain cooperative alliances, networks and/or communities of practices around particular national, regional, global issues, projects or policies to contribute to better governance of climate finance.

**Result E.3:** Increased capacities to advocate and mobilise for change on corruption risks in climate finance among TI Chapters, Partners and other relevant national stakeholders.

#### **> Activity E.3.1: Map and assess national climate finance actors and institutions**

This mapping activity done by TI Chapters and Partners provides a comprehensive overview of all financial flows to, from and in the country from source to recipient, decisions-making processes, monitoring and evaluation processes, chains of accountability and vulnerability of institutions to corruption. The assessment focuses on the national institutions and processes most vulnerable to corruption. It follows indicators related to transparency, accountability, integrity and independence.

#### **> Activity E.3.2: Contribute to policy and knowledge work on the governance of climate finance**

TI Chapters and Partners produce policy, working or technical papers, reports, and other written and electronic media recommending changes in climate finance and its governance.

## **Component F: Business Integrity**

This component is currently under development and shall be available in the next version of the Programme document.

## RISK ASSESSMENT

Any governance related programme inherently faces important risks and challenges. The table below represents an initial risk assessment. The chief risk in the APAC region is political repression in some countries and the possibility of closing space for civil society to operate freely.

Although for many years the role of civil society in the region has been gaining presence and strength, in recent years there are governments in some countries that have tightened their grip in power and have acted in a confrontational, even hostile way, towards political opposition and towards non-partisan civil society and media, which they tend to see automatically as enemies of the regime if their ideas are opposed to theirs. Therefore, TI cannot guarantee that informed advocacy by capable civil society organizations will automatically lead to reform. But it is certain that without strong and informed demand and pressure, no reforms can be brought about. Several developments in the APAC region in the last years demonstrate that pressure from civil society can bring about change; however the sustainability and nature of that change is what will prove challenging.

Risks can stem from governments refusing to become more transparent and refusing to provide information on government expenditures or to allow Civil Society Organisations to monitor public resource flows in basic services. The success of the advocacy activities requires that governments are prepared to permit and listen to constructive criticism and demands for reform from civil society, and that the media are sufficiently independent and responsible to publicize such advocacy efforts.

TI's method of operation is to address resistance to reform through coalition-building and a non-confrontational approach, both nationally and internationally. At the national level, bridge building and outreach to the private sector and reform minded government officials have paid off in successful outcomes. Advocacy campaigns focus not just on the national authorities but utilize international and regional fora to raise policy-makers' awareness of problems caused by corruption and the need for anti-corruption reforms.

Risk	Likelihood	Impact	Mitigation
Governments grow intolerant of civil society, media and/or TI Chapters' activities	MEDIUM	HIGH	<ul style="list-style-type: none"><li>TI's policy of constructive criticism and engagement allow it to work productively with governments</li></ul>
Escalating regional conflict and serious political/economic instability	HIGH	MEDIUM/HIGH	<ul style="list-style-type: none"><li>Close monitoring of the country context</li><li>Previous experience with disaster management</li></ul>
Key actors withdraw their cooperation with TI Chapters	MEDIUM	HIGH	<ul style="list-style-type: none"><li>Continuous and participatory engagement with all stakeholders</li><li>General TI policy of constructive criticism and engagement</li></ul>
Donors withdraw support to the Programme before the end of activities	LOW	HIGH	<ul style="list-style-type: none"><li>Support provided by the TI-S with its well-established donor relation management</li><li>A diversified donor basis</li></ul>

TIAP Chapters do not have capacity to deliver on implementation or accountability requirements on funding provided	MEDIUM	HIGH	<ul style="list-style-type: none"> <li>• Frequent communication ensures concerns are recognised early</li> <li>• Well developed guidelines and reporting templates</li> <li>• Careful ongoing monitoring</li> <li>• Capacity development component</li> <li>• Dedicated Programme Coordinators to assist chapters</li> </ul>
TI Chapters fall into disrepute in the national context	LOW	HIGH	<ul style="list-style-type: none"> <li>• TI's accreditation policy which requires annual reporting and financial auditing and acts as a quality assurance mechanism</li> <li>•</li> </ul>
TI Chapters are discredited	LOW	HIGH	<ul style="list-style-type: none"> <li>• Continuous monitoring of chapter governance and provision of capacity support and assistance with conflict resolution</li> </ul>
Lack of interest or buy in from TIAP Chapters in capacity support from APD	LOW	MEDIUM	<ul style="list-style-type: none"> <li>• Maintenance of close relationship and cooperation between chapters and APD</li> <li>• Continue proactive and clear lines of communication</li> <li>• Cooperative implementation of the capacity assessment tool</li> </ul>
No coalition partners available and interested in advocating for change	LOW	MEDIUM	<ul style="list-style-type: none"> <li>• Upholding reputation of national chapter/ALAC</li> <li>• Continual advocacy and stakeholder networking during workshops and meetings</li> </ul>
Public perception continues to consider corruption to be "normal"	MEDIUM	MEDIUM	<ul style="list-style-type: none"> <li>• Public education on the threats and negative impacts of corruption</li> </ul>
New knowledge products not read and understood by key actors	MEDIUM	HIGH	<ul style="list-style-type: none"> <li>• Reports widely disseminated and targeted to specific audiences</li> <li>• Careful editing of content, with target audience in mind</li> </ul>
No coalition partners available and interested in advocating for change	LOW	MEDIUM	<ul style="list-style-type: none"> <li>• Upholding reputation of national chapter/ALAC</li> <li>• Continual advocacy and stakeholder networking during workshops and meetings</li> </ul>
Lack of interest from youth	LOW	HIGH	<ul style="list-style-type: none"> <li>• Continuous advocacy and awareness raising among youth based on assessment of youth interests</li> <li>• Involvement of other stakeholders important to youth</li> </ul>
New tools not adopted by stakeholders	MEDIUM	MEDIUM	<ul style="list-style-type: none"> <li>• Involvement of stakeholders from the onset of the programme</li> </ul>

# MANAGEMENT ARRANGEMENTS

## Implementation

The Programme is implemented by TI Chapters, emerging Partners and other contact groups in the APAC region under the coordination of the APD at the TI Secretariat in Berlin.

The APD is structured to provide focused TI Chapter support and project management. Dedicated regional coordinators are responsible for liaison with and support of TI Chapters and Partners, organising regional meetings and events. Dedicated programme coordinators assigned to specific Components are responsible for the timely and professional coordination and reporting of activities under these Components. All Programme oversight and accountability rest with the TI Secretariat Regional Director for Asia Pacific Region.

Careful preparation during the initial phase is key to its successful implementation and is critical to achieving its objectives within the timeframe. Detail communication with the TI Chapters results in a shared understanding of the timeline, milestones, and obligations in terms of implementation and reporting.

## Decision Making

Decisions with wider implications on governance and global TI policies are guided by existing TI policies, for example on accreditation or TI policy formation. The ultimate decision-making takes place at the Annual Members Meeting, with representation by the Board of Directors, which sets out policy directions for the global TI Movement.

Following the RAPID<sup>2</sup> model for good decision-making and in keeping with TI's overall structure of autonomous TI Chapters determining national agendas, decisions about the Programme are made in consultation with the TI Chapters.

Decisions regarding advocacy plans are made by each TI Chapter, in consultation with its coalition partners and decisions with national implications are made in consultation with each Chapter's Governing Board.

Institutional and broad operational decisions which have implications on the Programme's structure and financial and human resources beyond the dedicated Programme's budget are made by the Group Director for Network, Chapters and Programmes.

Operational decisions related to the implementation of the Programme's activities and budget are made by the Regional Director for Asia Pacific in alignment with wider TI-S policies and processes, with input from the AME Regional Programme Manager, and on the advice of Regional and Programme Coordinators within the APD.

## Management of funding to TI APAC Chapters

The APD ensures oversight of the disbursement of these funds in accordance with agreed guidelines. Further funds to support the TI Chapter implementation of Component activities are managed with close oversight and accountability, with clear reporting guidelines, templates, and timelines.

## Expertise & Advice

A range of internal and external resource persons provides expertise and advice for the Programme. TI internal resource persons, including voluntary Senior Advisors and TI-S staff looking at policy and research, advocacy, communications, key programme, capacity

<sup>2</sup> RAPID stands for Recommend, Agree with, Perform, Input and Decide

development and monitoring and evaluation, provide technical expertise on priority areas of anti-corruption. External consultants, partners, and experts provide specific inputs and perspectives on various areas and as the needs arise.

At national level, TI Chapters and Partners have also access to high-level expertise on corruption in their country, often in the form of members of the Chapter's Board, but also through external networks and contacts.

## **Gender Issues**

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Corruption impinges disproportionately on the rights of vulnerable groups and legally disempowered groups including women, youth, poor, internally displaced persons and marginalised groups. Corruption undermines attempts by countries and citizens to tackle poverty and gender inequality. According to TI's survey work on the general public's experience of corruption, the Global Corruption Barometer, corruption acts as a regressive tax on poor families who face more bribe demands when accessing state services. Since women and girls represent a higher proportion of poor people, they are considerably more exposed to these abuses. At the same time, corruption helps exacerbate systemic discrimination that women already face in areas such as education, access to justice, health care, and employment.

Existing inequalities and patriarchal structures are exploited through grand corruption to the detriment of women. Research finds that women are less aware of their entitlements, less likely to demand accountability and less prone to being part of powerful corruption networks. In cases where justice systems are corrupt, women can face institutionalised discrimination when seeking redress for breakdowns in service delivery. Women are often excluded from decision making processes and lack voice and participation in politics, civil service and administrative positions related to the delivery of key services such as water, health, sanitation, and education. Decisions regarding government budgets, spending, and policies on basic services tend to be managed by men given the gender imbalances in leadership positions and national parliaments.

While there is no specific objective to address gender issues in the Programme, particular attention is paid to integrating gender issues in designing and implementing activities where it is relevant. Such activities are flagged with a "gender icon" throughout the Programme document (revision 3). Gender-balanced viewpoints and participation in training workshops, conferences and research, etc. are ensured and specific gender dimensions are considered and monitored in planned Programme activities. Component C.1.2 focuses particularly on outreach to women to combat corruption.

Additionally, TI shall ensure that Gender-differentiated results and analyses provided by other components of the Programme are gathered and provided as input for the work of civil society organisations and other partners working on Gender issues. This two-pronged partnership approach of providing local NGOs and women's groups with Gender-differentiated data and analyses on corruption, while ensuring that their expertise and contribution is sought and taken into account while implementing national projects or activities of this Programme in the participating countries would enable TI to develop functional partnerships beyond simple consultation.

The TI-Secretariat Code of Conduct also notes that recruitment policies strive for a balanced and diverse representation with respect to gender and region, forming a critical component of the diversity of the TI Movement.

## **Child Protection**

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TI fully supports the rights of children and is committed to their safety and well-being, aiming to ensure that all employees, partners and associates working with TI, understand and respect a common responsibility and obligation to the prevention and reporting of child abuse observed in connection with their work for TI. This is becoming an increasingly more important issue for TI, particularly in connection with its aim of engaging more with youth in

its programmatic work, and requires both raising awareness and offering training on the issue of child protection, as well as providing regulations to mitigate any occurrences.

In the framework of the overall Programme, TI Secretariat Child Protection Policy and Code of Conduct provide guidelines and principles which outline what constitutes child abuse and present procedures for raising concerns when faced with a breach to the policy during programmatic or advocacy work by the organisation or its partners.

In addition to this and with particular reference to the activities in Component C, which relate to working or engaging with youth, more explicit guidelines and protection measures shall be put in place for both TI staff and others contracted to work with TI. This consists of the inclusion of child-safe recruitment and screening processes for all personnel who are involved in these activities with Chapters, informing the TI Secretariat Human Resources department of the need for support on child protection matters, as well as briefings for relevant personnel.

## **Quality Assurance**

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TI places great importance on quality assurance in its work. Existing support functions within the TI Secretariat ensure financial accountability and project management oversight.

TI Chapters are obliged under TI's Accreditation Policy and Agreements to report annually on their work and to produce externally audited financial reports. The Membership Accreditation Committee plays an important role in quality assurance of Chapters, paying particular attention to issues of internal governance and accountability.

The expansion of ALAC-related work within the TI Movement has brought a new dimension of citizen engagement to TI's anti-corruption activities. This introduces an important element of verification of the relevance of TI's national anti-corruption initiatives through evidence brought forward by victims and witnesses of corruption. It also raises expectations of the public as to TI's capacity to act upon complaints, and raises the stakes as to TI's credibility and reputation, and therefore quality control of the Programme and its activities is a key issue.

Research standards are ensured by TI policy and research staff as well as by the APD. Model terms of reference and job descriptions as well as guidance and learning tools, such as shared intranet portals, podcasts, manuals, and checklists are also prepared to ensure a shared understanding of capacities needed for the implementation of the project. The set up of national advisory groups and external reviews of reports ensure the views reflected in the reports represent more than just those of the individual researcher. Finally, all TI publications are vetted by an interdepartmental editorial committee and libel checked by TI lawyers prior to publication.

## **Monitoring and Evaluation**

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A comprehensive M&E Framework in Annex 2 complements the initial logical framework that is included at the beginning of this Programme document. This framework is aligned to the TI Movement-wide Planning, Monitoring, Evaluation and Learning Framework that is being designed to address the need to monitor the work of TI Movement-wide. For more information and detail, please see Annex 2.

## **Efficiency**

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Activities and inputs required are driven by relevance and purposefulness to the Programme intended results. From Programme design to evaluation, TI seeks economy, efficiency and cost effectiveness in its activities through:

- Careful monitoring of expenditure and benchmarking the cost of comparable activities;
- Systematic inquiry into the purpose and relevance of expenditures to objectives;
- Careful monitoring of procurement.

TI's procurement guidelines require competitive bidding for procurement of goods or services over EUR 5000. This includes consultancies, travels, publications and other activities, and ensures economy of cost for the input needed. TI's travel policy further requires that all staff travel economy class, and ensure that accommodation is reasonably priced at a 3-star standard, while taking safety and country costs into account.

## **Environment**

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APD runs a separate project on forest governance integrity, representing a clear environmental objective. Beyond this, the TI Secretariat in Berlin continues to pay particular attention to environmental responsibility in implementing all programme activities.

The large amount of air travel presents a particular environmental challenge in the Programme, and while acknowledging the importance of personal contact and face-to-face dialogue, the APD seeks to find the most environmentally friendly flight routes in planning the travel necessary to implement the programme. To date, the APD has minimised the number of trips from Berlin to the Asia Pacific region, instead incorporating as many country stops as possible in a single business trip. Telecommunications, including video- and teleconferencing, is also used to the greatest extent possible to reduce the amount of travel required for the Programme.

TI is currently collating information about the travel mileage of its staff, and once the size of its carbon footprint is clear, the APD seeks to find credible and accountable methods to offset this.

## **Sustainability**

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Firstly, financial sustainability will be sought mostly through the implementation of component A: it will seek to durably increase the programme management and strategic capacities of TI Chapters in the region, including their capacity to raise funds to maintain and scale up their anti-corruption and good governance activities. The in-built strengthening in fundraising capacity of TI Chapters through the Programme shall help them fundraise independently for other specific local projects.

Secondly, programmatic sustainability is sought mostly through two approaches: long-term embedding of programme components within the national strategies of the TI Chapters; and through the establishment of national and regional partnerships with other stakeholders. As the Programme is implemented over a long period – as far as civil society planning is concerned – TI Chapters will have time and incentives to durably embed the different thematic components within their own strategies, which should ensure that they will be in a position to further the work initiated by this Programme.

Additionally, the different partnerships and networks established during the five years of the Programme, be it at national or regional level (e.g. with Youth Groups, Women Groups, the Private Sector, Researchers and Academia, etc.), will enable TI to ensure that identified expertise, advocacy momentum and commitment to the work on good governance in the region is shaped in a more systemic and sustainable manner. The partnerships and networks shall continue to exist beyond the scope of the Programme and provide theme-specific platforms to expand the work initiated by it.

Lastly, the approach to funding taken for resourcing this Programme over a 5-year period includes the mobilisation of funds from new non-bilateral donors, including multinationals and high net worth individuals from the region.

## Contact Details

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## PLANNING AND REPORTING

The planning, review and reporting process of this Programme follows a clear and structured approach, with different tools and cycles occurring at different levels, and contributing to the successful implementation of the Programme within the timeframe. The process of planning and review is particularly important, not only to ensure the effective completion of planned activities but to make certain that the activities remain relevant and suitable to achieve the Programme results and overall internal goal.

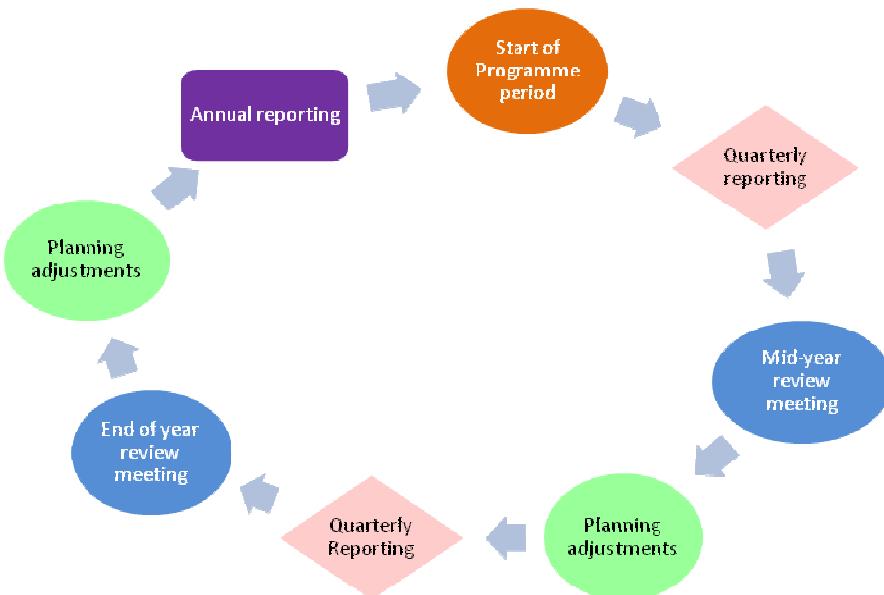
In addition to its ongoing project tracking in project software, this planning, review and reporting process shall bring together the following items for each 12-month period:

- 1 annual Programme Work Plan per region
- 4 quarterly Intermediary Reports per region on progress and expenditure (internal only)
- 2 annual Programme Review Meetings per region
- 1 annual Global Programme Report consolidating all regions

The Review Meetings allow us to take stock of progress for the previous six-month work period, looking back at information provided in the two Intermediary Quarterly Reports. The Review Meetings also allows us to present, discuss and agree upon necessary significant adjustments to the annual Programme Work Plan and Budget, or to changes to the next Programme revision with interested contributors (donors, partners, service providers, etc.)

Whether or not donors participate in the Review Meetings, significant changes to the programme structure, activities or significant adjustments to budget lines shall be clearly communicated to and agreed upon with donors.

The end of year Review Meeting is closely linked with preparations for the annual Global Programme reporting, and in addition to reviewing progress on implementation, the meeting shall provide space for and take into account lessons learnt over that period, which will be crucial for developing the Programme Work Plans for the following 12 months.



Independent from this internal process for which a detailed calendar shall be developed for revision 3, an independent Mid-term Review and End of Programme Evaluation (commissioned and funded by AusAID) shall provide input and insight into the planning of the Programme and provide lessons learnt for future engagement.

## OVERALL BUDGET

The table below provides an outline of the Programme budget. A more detailed activity based budget showing the costs breakdown for administration, execution and activity shall be added in Annex 4 which shall be available in revision 3.

	<b>Year 0</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
	<b>July 2011 to Jun-12</b>	<b>July 2012 to June 2013</b>	<b>July 2013 to June 2014</b>	<b>July 2014 to June 2015</b>	<b>July 2015 to June 2016</b>
Component A:	<b>€770,000</b>	€1,004,693	€1,202,269	€1,400,000	€1,500,000
Component B:	<b>€0</b>	€20,000	€50,000	€150,000	€150,000
Component C:	<b>€450,000</b>	€559,410	€564,664	€1,250,000	€1,400,000
Component D:	<b>€84,895</b>	€294,462	€249,681	€350,000	€350,000
Component E:	<b>€0</b>	€0	€50,000	€300,000	€400,000
Component F:	<b>€0</b>	€0	€0	€300,000	€500,000
<b>Subtotal</b>	<b>€1,304,895</b>	<b>€1,878,565</b>	<b>€2,116,614</b>	<b>€3,750,000</b>	<b>€4,300,000</b>
M & E	<b>€26,098</b>	€65,750	€95,248	€187,500	€215,000
<b>Total</b>	<b>€1,330,993</b>	<b>€1,944,315</b>	<b>€2,211,862</b>	<b>€3,937,500</b>	<b>€4,515,000</b>

### **COMPONENT A: Institutional, Capacity & Network Strengthening**

*Developing Capacities of Civil Society Organisations and Building Constituencies, Networks, and Coalitions for Anti-corruption Reform in the APAC region*

### **COMPONENT B: Anti-Corruption Solution & Knowledge**

*Generating, adapting, and disseminating leading anti-corruption knowledge, practices and solutions in the APAC region*

### **COMPONENT C: People Engagement & Support**

*Building Citizen Knowledge and Participation in Anti-corruption in the APAC region*

### **COMPONENT D: Public Sector Integrity, Diagnosis & Solutions**

*Researching and Gathering Evidence to Understand and Map Corruption in the APAC Region, and Developing Anti-Corruption Tools and Solutions to curtail it*

### **COMPONENT E: Climate Governance Integrity**

*Developing Capacities of TI Chapters and Stakeholders to Advocate on the Policy Development, Implementation and Monitoring of Climate Finance Governance in the APAC region.*

### **COMPONENT F: Business Integrity**

*Section under development*

## ANNEX 1: FUNDING SUPPORT

This Programme is designed to seek the contributions from multiple donors from various sectors. The establishment of a Joint Funding Agreement (JFA) sets forth jointly agreed terms and procedures for financial support and serves as a coordinating framework for procedures of disbursement, for reporting and audits, as well as for reviews of programme implementation. Whilst the JFA provides a common approach, Donors will establish bilateral arrangements with the TI-Secretariat that outline their financial contributions to the Programme, and set conditions which are, as far as possible, compatible with the spirit and provisions expressed in the JFA. To date the following donors are contributing to the Programme.

### AUSAID

**Duration:** 4 years

Years	Contracted Requested	Indicative Conversion **
2011 – 2012	Aus\$ 1,941,445	€ 1,572,480
2012 – 2013	Aus\$ 2,498,893	€ 2,023,990
2013 – 2014	Aus\$ 2,786,013	€ 2,256,540
2014 – 2015	Aus\$ 3,000,000	€ 2,382,840
2015 – 2016	N/A	N/A
<b>Total Amount:</b>	<b>Aus\$ 10,226,351</b>	<b>€ 8,235,850</b>

\*\* Euro amount calculated on the basis of exchange rate on 23 January 2012. It should be noticed that an under-spend is purposefully kept in the overall budget (previous page) to anticipate possible currency fluctuations.

**Partnership:** Since 2004, AusAID and TI have cooperated at regional and international level through support to the Asia Pacific Department (APD) based at the TI Secretariat (TI-S) in Berlin, as well as through direct support from AusAID country programmes to TI Chapters in the region. A 2007 evaluation of AusAID support to the TI APD recommended the development of a long term strategic partnership aimed at developing a synergistic relationship to mutually enhance work in the fight against corruption in the Asia Pacific region. In January 2009, TI APD and AusAID signed a five-year Partnership Framework in Anti-corruption in Asia Pacific (hereafter referred to as the Partnership Framework). Building on the success in Asia Pacific, this Partnership Framework in Anti-corruption shall be extended to other regions in May 2012. As a key partner of TI, staff members of AusAID are as usual welcome to participate in the regional meetings organised by TI in each region.

**Scope of funding:** Activities funded by AusAID are those presented in Component A, B, C, D, E, F for year 0 to 3, except those showing in light shaded grey. Year 4 is so unfunded.

**Reporting:** A full Annual Report (including financial, narrative and summary) based on the agreed log frame shall be submitted to AusAID no later than the 31<sup>st</sup> of January of the following AusAID financial year.

**Additional Monitoring, Evaluation and Learning costs:** This M&E budget does not include provision for an overall independent mid-term review and end-of-programme evaluation. Independent reviews per Components would simply be too costly. The TI

Secretariat recognises that a Programme of this dimension should include both an overall mid-term review and an end-of-programme evaluation. An additional specific budget for the independent reviews has been developed (see below) and these costs would be covered in addition to the current funding support from AusAID.

The activities related to the independent reviews that would be covered by these costs include:

- Work with local independent reviewers (LIRs) that have in-depth knowledge of the regions and are fluent in the main regional languages.
- A strong component of fieldwork and collection of feedback data in selected countries in the regions. The overall sample includes 15 countries.
- Use of purposive sampling to select the countries to be visited, as well as the aspects of the Programmes to be particularly focussed on. Donors to be consulted in this process.
- Support to the TI Chapters on MEL related preparations and overall coordination of the logistics to be carried out by the TI Secretariat MEL Coordinator. The MEL Coordinator works with regional teams of LIRs and obtains regional reports to be compared and synthesised at TI Secretariat.
- The overall costs for consultant rates, per diems, and travel

<b>Independent Mid-term Review</b>	<b>Total: €119,900</b> Per region: €39,967	Estimated Date: June 2014 (Year 2)
<b>End of Programme evaluation</b>	<b>Total: €125,895</b> Per region: €41,965	Estimated Date: June 2016 (Year 4)

**Eligibility:** Funding from AusAID shall not be attributed to activities providing direct funding support to TI Chapters or Partners in non ODA eligible countries.

## **Other donor - To be confirmed**

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**Duration:**

**Amount:**

**Scope of funding:**

**Reporting:**

## ANNEX 2: MONITORING, EVALUATION & LEARNING

This annex presents the architecture of the Monitoring, Evaluation and Learning (M&EL) system developed for TI-S regional programmes. More specifically this annex:

- Defines the rationale of the proposed system,
- Emphasises what needs to be in place to ensure its smooth implementation,
- Briefly defines the role and responsibilities of those involved in the implementation,
- Briefly sets out the approach to data quality assurance,
- Presents the M&E and performance frameworks.

### **Rationale of the M&E system**

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All regional programmes proposed are organised around 6 main components, each committing to the achievement of very concrete results. The designed M&EL system is made of:

- Six results-based frameworks, one for each component.
- Six performance-based frameworks, one for each component.
- Additionally all regional programmes will have a mid-term evaluation.
- The impact of the overall programme will also be evaluated.

The rationale behind the proposed system is to ensure that the monitoring and the evaluation of the programmes focus on the:

- Achievement in the components' results, globally (across regions) as well as regionally.
- Performance of the TI Chapters and TI Secretariat which are intimately related to the success achieved in the components, and in the regions.

Finally, and more broadly, the system in place is designed to:

- Manage and serve multiple accountabilities: to donors, the TI Movement, and the ultimate target groups of constituents or beneficiaries.
- Promote a learning-based and evidence-based approach to planning and decision making, i.e. on the basis of the findings from the monitoring it will be possible to introduce real-time mid-course corrections to ensure that:
  - Programmes are able to deal with regional and contextual contingencies.
  - Programmes are able to steer direction towards the achievement of concrete results.
- Be aggregated at two levels. The frameworks for the components can be aggregated at two levels, reducing the labour-intensity in data collection, as well as the costs associated to M&EL:
  - Regional.
  - Cross-regional (global).
- Be adapted to the diversity of TI Chapters. Given that this is a global framework which will be applied across many different countries, the framework is made of multi-level indicators, i.e. indicators that can be applied to the different levels of TI Chapters' organisational development and capacity.

## Implementation of the M&E system

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In order to ensure that the M&EL system runs efficiently and fulfil its function, the following measures are being put in place:

- Comprehensive and clear guidelines regarding the roles and responsibilities associated to data collection and aggregation, and reporting.
- Comprehensive M&EL calendar for the entire duration of the programme.
- Uniformed reporting templates, available in a low-tech platform accessible to those who will lead on M&EL regionally and at TI Secretariat level.
- Baseline. Part of the baseline work will take place before the programme starts in July 2012. Baseline data will continue being collected in the second semester of 2012. The purpose of the baseline is to:
  - Assess where regions are in terms of the different programme components.
  - Assess the gaps in the regions regarding their capacity to provide data for the M&E frameworks.
  - Ensure diachronic comparison.
- Targets will be set regionally for all result areas. The current practice in TI is to evidence-base target-setting, to ensure targets are realistic and appropriate to context. Hence targets are set only after the submission of baseline findings, and revised annually, after the submission of the annual monitoring reports.
- Multi-stakeholders' regional discussions of the MEL findings at regional meetings to ensure findings are communicated and learning exchanges take place.
- Scheduling of mid-term evaluations, which will be conducted by independent evaluators.
- Scheduling of a final and impact evaluation, to be carried out one year after the end of the programme.

## Roles and Responsibilities

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According to the submitted proposals, in the regions different components of TI's work will be implemented. Internally this involves the collaboration between regional teams and the heads of key programmes (components).

- Regional Teams: *Ensure data is collected at country/ regional level against the agreed indicators.*
- Head of Key Programmes (components): *Ensures regional data is aggregated at component level.*
- M&EL Unit: *Assures quality of data by supporting regional teams and heads of key programmes reviewing completed frameworks; and by bringing all the data together in the global evaluation report*

## Data Quality Assurance

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The data collected is validated on three levels:

**Level 1** – Regional Team level, by regional programme managers.

**Level 2** – Key Programmes (component) level, by heads of Key Programmes

**Level 3** – M&EL level, by M&EL team. Additionally the M&EL unit in TI Secretariat works with a small number of external peer reviewers to assure the quality, independence, and impartiality of all our strategic evaluation reports.

		Focal points
<b>Level 1</b>	<b>Africa</b>	Chantal Uwimana
	<b>Americas</b>	Alejandro Salas
	<b>Asia Pacific</b>	Srirak Plipat
	<b>Middle East &amp; North Africa</b>	Annette Kleinbrod / Pascal Fabie
<b>Level 2</b>	<b>Component A</b>	Doris Basler
	<b>Component B</b>	Robin Hodess
	<b>Component C</b>	Janine Schall-Emden
	<b>Component D</b>	Finn Heinrich
	<b>Component E</b>	Lisa Elges
	<b>Component F</b>	Karen Egger
<b>Level 3</b>	<b>MEL</b>	Rute Caldeira External peer reviewer

## Framework for Component A - Institutional Capacity & Network Strengthening

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Developing capacities of Civil Society Organisations and building constituencies, networks and coalitions for anti-corruption reform in the region

### Purpose

To strengthen in region the capacity of TI Chapters and other civil society partners to effectively work on anti-corruption issues and reforms at the national level and to contribute – individually and collectively – to the global fight against corruption

### Results-based Framework

Results	Indicators	Data sources	Activities	Periodicity
<b>Strengthened and effectively coordinated TI presence – through TI Chapters or other civil society Partners – and activities in the region</b>	# of advocacy campaigns or other activities led by TI Chapters that dynamically address the most critical corruption issues in their own countries	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities A1.1 to A1.5</b>	Annually
	# of external actors that required TI Chapters' participation and/ or advice on corruption related issues	TI Chapters' reports -report to TI Secretariat who is responsible for aggregating regional-level data		
	Impact level of TI Chapters' regional exchanges	Self-assessment ran at the regional meetings		
<b>Enhanced capacity of TI Chapters to operate as well-functioning entities with strong structural, managerial and leadership capacities</b>	# of TI Chapters implementing a basic M&EL system and consistently collecting and analysing M&EL data	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities A2.1 to A2.4</b>	Annually
	% of capacity building objectives, agreed in TI Chapter capacity development plans, achieved	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		
	# of TI Chapters with a core professional human resource capacity to address corruption	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		

Results	Indicators	Data sources	Activities	Periodicity
<b>Enhanced capacity of TI Chapters to realise their strategic objectives and achieve organisational and financial sustainability</b>	# of TI Chapters monitoring implementation of projects and programmes on the basis of agreed annual work plans	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities A3.1 to A3.3</b>	Annually
	# of TI Chapters demonstrating progress towards objectives identified in multi-annual strategic plans	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		
	# of TI Chapters with strategies in place to diversify funding streams	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		
	% of increase in annual TI Chapters budgets	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		
<b>Enhanced capacity of TI Chapters to initiate and lead multi-stakeholder coalitions and cross-boundary networks for increased anti-corruption impact</b>	# of TI Chapters leading/ coordinating regional or cross-regional multi-stakeholder networks, or similar collective action	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities A4.1 to A4.2</b>	Annually
	# of TI Chapters actively engaged in regional or cross-regional anti-corruption multi-stakeholder networks, or similar collective action	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data		
	Impact level of multi-stakeholder coalitions and cross-boundary networks led by TI Chapters	Self-assessment ran at the regional meetings		

## Performance Framework

Performance areas	Programme-related key performance indicators	Data sources	Periodicity
<b>TI Chapters' implementation</b>	# TI Chapters with finalised work plans and budgets # TI Chapters with finalised M&EL frameworks # TI Chapters equipped with financial management procedures # of TI Chapters with developed capacity building plans # of staff development activities organised, including training in strategic planning, financial management and M&EL	TI Chapters' reports, aggregated by TI Secretariat coordinator, reported to donor Recorded by TI Secretariat coordinator, reported to donor	Annually
<b>TI Secretariat support to TI Chapters in the region</b>	# of missions to TI Chapters # and value of TI Secretariat regional departments' core expenses funded through the programme # of TI Chapters supported through the programme who consider they have strengthened their effectiveness as a result	Recorded by TI Secretariat coordinator, reported to donor TI Chapters' 'Have Your Say' survey	Annually

## Framework for Component B – Anti-corruption Solutions and Knowledge

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Generating, adapting, and disseminating leading anti-corruption knowledge, practices and solutions in the region

### Purpose

To provide anti-corruption activists in the region with access to readily available evidence and practical tools to fight corruption and advocate for change

### Results-based Framework

Results	Indicators	Data sources	Activities	Periodicity
<b>Widely shared knowledge and lesson learnt on existing anti-corruption tools and good practices in the region</b>	# of TI Chapters leading on or contributing to the identification and publication of good practices on anti-corruption work	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities B1.1. to B1.2. in the proposal</b>	Annually
	Impact level of the use of knowledge TI Secretariat products and services on approaches to corruption	Self-assessment ran at the regional meetings		
<b>Increased access to anti-corruption expertise through better-linked networks of anti-corruption experts across the region</b>	# of TI Chapters accessing networks of expertise on anti-corruption issues	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data	<b>Activities B2.1. to B2.2. in the proposal</b>	Annually
	Impact level of participation in expert networks	Self-assessment ran at the regional meetings		

## Performance Framework

Performance areas	Programme-related key performance indicators	Data sources	Periodicity
<b>TI Chapters' implementation</b>	# of TI Chapters engaged in research independently from TI Secretariat # of TI Chapters producing their own publications on corruption issues	TI Chapter' reports, aggregated by TI Secretariat coordinator, reported to donor	Annually
<b>TI Secretariat support to TI Chapters in the region</b>	# of TI Chapters identifying the ASK as the Movement's knowledge hub on anti-corruption # of TI Chapters using TI Secretariat anti-corruption knowledge products and services # of TI Chapters supported through the programme who consider they have strengthened their effectiveness as a result	Recorded by TI-S coordinator, reported to donor TI Chapters' 'Have Your Say' survey	Annually

## Framework for Component C – People Engagement & Support

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Building Citizen Knowledge and Participation in Anti-corruption in the region

### Purpose

To increase responsiveness to people's demands for transparency, accountability and integrity in the region

### Results-based Framework

Results	Indicators	Data sources	Activities	Periodicity
<b>Increased public understanding of, support for and engagement in the fight against corruption, with a focus on the engagement of youth, women and entrepreneurs (especially from SMEs)</b>	# of TI Chapters' advocated recommendations/policies/ laws, which directly affect particularly the most for marginalized and vulnerable populations, that have been taken up by targets  Impact level of uptake of advocated recommendations/ policies/ laws  % of TI Chapters engaging in outreach to entrepreneurs (particularly SMEs)  % of TI Chapters with projects and initiatives that do outreach to / work on youth  Perceived level of impact of TI Chapters' work on youth  % of TI Chapters with projects and initiatives that do outreach to/ work on women  Perceived level of impact of TI Chapters' work on women	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data  Self-assessment, run at the regional meetings  TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data  TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data  FGDs with target groups, organised by TI Chapters supported by TI Secretariat. TI Secretariat is responsible for aggregating regional-level data  TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level data  FGDs with target groups, organised by NCs supported by TI Secretariat. TI Secretariat is responsible for aggregating regional-level data	<b>Activities C1.1. to C1.6. in the proposal</b>	Annually

Results	Indicators	Data sources	Activities	Periodicity
<b>Victims and witnesses of corruption in project countries articulate and find solutions to their grievances</b>	# of corruption-related grievances reported to the ALACs, and % of those successfully resolved <sup>3</sup>	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities C2.1 to C2.3</b>	Annually
	Impact of ALAC services on clients	FGDs with ALAC clients, organised by TI Chapters supported by TI Secretariat. TI Secretariat is responsible for aggregating regional-level data		
	% of TI Chapters running advocacy actions on the basis of citizens' complaints (e.g. ALACs)	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
	# of changes in policy and practice resulting from advocacy and campaigns based on ALAC cases and complaints	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
	% of TI Chapters with projects/ initiatives/ response mechanisms which include aspects of safeguarding anti-corruption activists	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
	% of TI Chapters working to strengthen the link with investigative journalism	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
<b>Improved social programmes and services as a result of citizen demand and engagement</b>	% of TI Chapters working to improve service delivery and / or social programmes	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities C to C3.1 to C3.2</b>	Annually
	# of changes in social programmes' policy(ies) and practice(s) in targeted countries	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		

<sup>3</sup>In principle, 'successfully resolved' means that the complaint is referred to the appropriate forum to lodge and follow through with the submitted complaint.

## Performance Framework

Performance areas	Programme-related key performance indicators	Data sources	Periodicity
<b>TI Chapters' implementation</b>	<p>% of TI Chapters with effective security measures to safeguard their staff, information (e.g. ALAC data) and premises</p> <p>% of TI Chapters' funding dedicated to People Engagement approaches</p> <p># of TI Chapters with Gender strategies in place</p>	TI Chapter' reports, aggregated by TI Secretariat coordinator, reported to donor	Annually
<b>TI Secretariat support to TI Chapters in the region</b>	<p># of TI Chapters supporting and adopting the People's Charter</p> <p># and quality of new approaches to People Engagement implemented, shared and replicated throughout the TI Movement</p> <p># of TI Chapters supported through the programme who consider they have strengthened their effectiveness as a result</p>	Recorded by TI Secretariat coordinator, reported to donor TI Chapters' 'Have Your Say' survey	Annually

## Framework for Component D – Public Sector Integrity; Diagnosis and Solutions

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Researching and Gathering Evidence to Understand and Map Corruption in the region, and Developing Anti-Corruption Tools and Solutions to curtail it

### Purpose

To generate robust evidence on public sector corruption risks in the region, and provide anti-corruption activists with the tools and solutions to advocate for change

### Results-based Framework

Results	Indicators	Data sources	Activities	Periodicity
<b>A new body of knowledge and improved diagnostic expertise on (anti-) corruption is widely available and identifies priority areas for anti-corruption reform in each project country</b>	% of TI Chapters using public integrity diagnostic tools' findings (e.g. NIS, CPI) to inform their advocacy actions nationally and regionally	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities D1.1 to D1.4</b>	Annually
	Increased recognition of the validity and reputation of TI's public integrity diagnostic tools	External stakeholders feedback, and self-assessment ran at the regional meetings		
<b>Increased momentum for effective anti-corruption reforms at national level among key anti-corruption stakeholders for addressing priority areas in national integrity system</b>	# of TI Chapters organising independent national advocacy and awareness raising events and structured media outreach interventions (e.g. radio spots, talk shows, presence on national media outlets, etc.) in their national and regional contexts	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities D2.1 to D2.3</b>	Annually
	Impact level of national advocacy and awareness raising events at national and regional levels	Self-assessment ran at the regional meetings		

Results	Indicators	Data sources	Activities	Periodicity
<b>Regional level advocacy work supporting stronger anti-corruption reforms at national level</b>	# of advocated recommendations based on public integrity diagnostic tools' findings which have been taken up by national, regional and supra-national targets	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities D3.1 to D3.2</b>	Annually
	# of TI Chapters using public integrity diagnostic tools' findings (e.g. NIS, CPI) as a launch pad for setting up strategic partnerships and collaborations	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
	Impact level of collaborations on uptake of recommendations	Self-assessment ran at the regional meetings		

## Performance Framework

Performance areas	Programme-related key performance indicators	Data sources	Periodicity
<b>TI Chapters' implementation</b>	<p># of TI Chapters actively engaged in the conceptualisation of regionally tailored diagnostic tools</p> <p># of TI Chapters actively engaged in the production of advocacy materials based on the implementation of public integrity diagnostic tools</p>	TI Chapter' reports, aggregated by TI Secretariat coordinator, reported to donor	Annually
<b>TI Secretariat support to TI Chapters in the region</b>	<p># of TI Chapters using public integrity diagnostics tools</p> <p>% of TI Chapters actively engaged and consulted in the implementation of supranational public integrity diagnostic tools</p> <p># of TI Chapters supported through the programme who consider they have strengthened their effectiveness as a result</p>	Recorded by TI Secretariat coordinator, reported to donor TI Chapters' 'Have Your Say' survey	Annually

## Framework for Component E – Climate Governance Integrity

Developing Capacities of TI Chapters and Stakeholders to advocate on the Policy Development, Implementation and Monitoring of Climate Finance Governance in the region

### Purpose

To support TI Chapters and other civil society partners to engage effectively in policy development on, implementation of, and monitoring of climate finance and governance in the region

### Results-based Framework

Results	Indicators	Data sources	Activities	Periodicity
<b>Enhanced knowledge of climate finance and governance by TI NCs, partners and other relevant national stakeholders</b>	% of TI Chapters and targeted stakeholders actively engaged in issues of climate finance and governance issues	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities E1.1</b>	Annually
	# of TI Chapters recognised as go-to organisations in climate finance training and capacity building in the region	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level		
<b>Increased cooperation, partnerships and networks on climate finance and governance</b>	# of TI Chapters engaged in networks / partnerships that aim to contribute to climate finance and governance policy development in their country	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level	<b>Activities E2.1</b>	Annually
	Impact level of collaborations	Self-assessment ran at the regional meetings. Reported to donor		
	Impact level of advocacy/ awareness raising	Self-assessment ran at the regional meetings. Reported to donor		
<b>Increased capacities</b>	# of TI Chapters using the results of their climate change governance research and	TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-	<b>Activities E3.1 to</b>	Annually

Results	Indicators	Data sources	Activities	Periodicity
<b>to advocate and mobilise for change on corruption risks in climate finance among TI Chapters, partners and other relevant national stakeholders</b>	<p>specifically of their mapping and governance assessments of climate finance to inform their advocacy</p> <p># of recommended changes in climate finance and its governance taken up by advocacy targets</p>	<p>level</p> <p>TI Chapters' reports - report to TI Secretariat who is responsible for aggregating regional-level</p>	<b>E3.2</b>	

## Performance Framework

Performance areas	Programme-related key performance indicators	Data sources	Periodicity
<b>TI Chapters' implementation</b>	<p># of TI Chapters monitoring their own environmental performance</p> <p># of TI Chapters internally equipped with expertise on climate governance issues</p>	TI Chapter' reports, aggregated by TI Secretariat coordinator, reported to donor	Annually
<b>TI Secretariat support to TI Chapters in the region</b>	# of TI Chapters supported through the programme consider they have strengthened their effectiveness as a result	<p>Recorded by TI Secretariat coordinator, reported to donor</p> <p>TI Chapters' 'Have Your Say' survey</p>	Annually

## Self-assessment

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Data to populate some indicators in the framework will be collected through self-assessment exercises. Self assessment indicators are widely used and particularly by human rights and advocacy organisations. However the validity of the data may be of concern.

In order to control the validity of self-assessment data TI Secretariat will organise learning workshops; i.e. workshops mediated by independent facilitators who will facilitate the collection of this data. These learning workshops will be organised annually, in each region, and will be attended by representatives of all TI Chapters of the particular region, and by some external stakeholders.

The main purpose of these learning workshops is to control data validity, to allow TI Chapters' representatives to constructively reflect about their and other TI Chapters' work, and to impartially analyse and articulate 'successes', good practices, and 'areas for improvement'.

Overall, these learning workshops:

- Preclude the use of self-completion surveys, which may pose considerable problems regarding data validation.
- Promote peer review; e.g. TI Chapters will be able to peer review each other's work.
- Promote standardisation and contextualisation of concepts such as 'success' and 'failure', which will be negotiated and agreed by all participants bearing in mind the national contexts.
- Promote and facilitate meaningful and focussed exchanges between TI Chapters.

For example, to collect data for self assessment indicators on the impact level of advocacy campaigns on awareness, the following three steps must be followed:

1. Prior to the workshop, each TI Chapter will be asked to think of, and identify, advocacy campaigns that they have been running in the context of the Programme and map the following:
  - Stage of the campaign(s) - initial, half-way, matured, near the end.
  - Target group.
  - Geographical spread/ representation (e.g. urban, rural).
  - Main activities.
  - Estimated overall cost so far.
2. On the basis of the above, the debate is facilitated as to whether or not these campaigns have generated public debate, caught the media attention, gathered the support of other CSOs and other influential stakeholders, or finally led to visible and concrete changes in the public/ private rhetoric.
3. The main points of the debate are recorded and after the workshop the qualitative data collected is organised under the following categories in a four point scale:

<b>Basic</b>	<b>1</b>	<i>Despite advocacy campaigns, public debate is virtually non-existent or incipient and there is minimal dialogue on the issue at policy level.</i>
<b>Moderate</b>	<b>2</b>	<i>As a result of advocacy campaigns, there is some dialogue at policy level and initial</i>

		<i>public debate on the issue, which is taken up by some mainstream media.</i>
<b>Considerable</b>	<b>3</b>	<i>As a result of advocacy campaigns, the debate is firmly in the public domain, with multiplier advocates (e.g. other CSOs, citizens groups), the issue is taken up by most of the mainstream media, and supported by key 'influential' stakeholders.</i>
<b>High</b>	<b>4</b>	<i>As a result of advocacy campaigns, the public profile of the issue has been raised. Hence there is vibrant public debate, an increased number of multiplier advocates, and spill-over public initiatives. The issue has gathered greater visibility in all the major mainstream media. There is a marked change in (public/private) rhetoric, which is backed and supported by key 'influential' stakeholders.</i>

## Compatibility with AusAID QAI

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A number of donors use the DAC criteria to evaluate grantees' programmes. The current M&EL system for the Programme is aligned with such criteria.

- **Relevance:** the regional programmes clearly define the higher outcomes or results for each component area, and in each region; hence alignment against these is easily monitored and evaluated.
- **Effectiveness:** the Programmes will have a baseline, on the basis of which annual targets will be set. Therefore it will be possible to assess the extent to which objectives are likely to be met.
- **Efficiency:** in all Programmes, each component performance will also be monitored and measured. TI Secretariat is also in process of developing its own approach to VfM in the work that we do. TI's approach to VfM will be finalised in the second semester of 2012.
- **Sustainability:** the frameworks developed also incorporate long-term impact indicators (e.g. uptake of policies and laws). Furthermore, an impact evaluation is to be carried out some time after the end of the Programme.
- **Gender Equality:** the indicators in the framework, where feasible, possible and appropriated will be gender disaggregated.
- **Monitoring, Evaluation and Learning:** an M&EL system has been designed to support the Programmes, and the M&EL team will dedicate time to overseeing the process.

## MEL Costs

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The overall Programme budget includes the MEL costs of the Programme, which are calculated as an increasing percentage of the total budget per year (2% / 3.5% / 4.5% / 5% / 5%). These costs include the TI-Secretariat MEL Coordinator, the support given to TI Chapters to build capacity to use and maintain the systematic collection of monitoring data, the development of software that enables data storage and analysis, as well as the translation of various M&E materials into the main languages of the region for further advocacy use.

## **ANNEX 3: ACTIVITY SCHEDULING**

The activities of each Component described in this Programme document are currently going through a detailed analysis as they are input into the TI project management software.

In Revision 3 of the Programme document, Annex 3 will include the Gantt Chart of entire Programme illustrating the schedule, dependency, and relationships between activities.

## ANNEX 4: ACTIVITY-BASED BUDGET

The current Programme overall budget forecast is being reshaped through a systematic costing of each activity for each year of the Programme. In Revision 3 of the Programme document, this Annex 4 shall include an outline of this activity-based budget (ABB), along the following template.

### Transparency International - *Regional* Programme Budget REVISION # 2

Created by:  
Date modified:

Budget Item	YEAR 1			YEAR 2			YEAR 3			YEAR 4			YEAR 5			TOTAL COSTS (EUR)	
	Unit	# of Units	Unit Rate	Costs (EUR)	Unit	# of Units	Unit Rate	Costs (EUR)	Unit	# of Units	Unit Rate	Costs (EUR)	Unit	# of Units	Unit Rate	Costs (EUR)	
<b>OVERVIEW: PROGRAMME BUDGET</b>																	
Component A: Institutional, Capacity and Network Strengthening		0		0		0		0		0		0		0		0	0
Component B: Anti-Corruption Solutions & Knowledge		0		0		0		0		0		0		0		0	0
Component C: People Engagement and Support		0		0		0		0		0		0		0		0	0
Component D: Public Sector Integrity - Diagnosis & Solutions		0		0		0		0		0		0		0		0	0
Component E: Climate Governance Integrity		0		0		0		0		0		0		0		0	0
Component F: Business Integrity		0		0		0		0		0		0		0		0	0
Monitoring & Evaluation		0		0		0		0		0		0		0		0	0
<b>TOTAL</b>		<b>0</b>		<b>0</b>	<b>0</b>												
<b>BUDGET BREAKDOWN</b>																	
<b>COMPONENT A: Institutional, Capacity and Network Strengthening</b>																	
<b>Administrative Human Resources</b>																	
Regional Programme Manager	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
Programme Assistant	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
Finance Assistant	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
<b>Subtotal/ Administrative Human Resources</b>				<b>0</b>	<b>0</b>												
<b>Activity-based Human Resources</b>																	
Regional Director	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
Head of Programme (NSP)	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
Regional Coordinator	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
Communications Officer	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	FTE per annum	0%	0	0	0
<b>Subtotal/ Activity-based Human Resources</b>				<b>0</b>	<b>0</b>												
<b>Other Activities</b>																	
<b>RESULT A.1:</b> Strengthened and effectively coordinated TI presence and activities in the region																	
<b>RESULT A.2:</b> Enhanced capacity of TI Chapters to operate as well-functioning entities with strong structural, managerial and leadership capacities																	
<b>RESULT A.3:</b> Enhanced capacity of TI Chapters to realize their strategic objectives and achieve organisational and financial sustainability																	
<b>RESULT A.4:</b> Enhanced capacity of TI Chapters to initiate and lead multi-stakeholder coalitions and cross-boundary networks for increased anti-corruption impact																	
<b>Subtotal/ Other Activities</b>				<b>0</b>	<b>0</b>												
<b>Component A: TOTAL</b>				<b>0</b>	<b>0</b>												

## **ANNEX 5: FRAMEWORK FOR COOPERATION**

The professional implementation of the Programme requires a smooth coordination of resources and decisions involving a large number of individuals, organisations and processes.

In Revision 3 of the Programme document, this Annex 5 shall include principles guiding the cooperation between different stakeholders, departments and functions in the implementation of this Programme.