

# Independent Progress Review (IPR) of the DFID Programme Partnership Arrangement (PPA), 2011-2012

FINAL REPORT

On Behalf of Transparency International UK – Defence and  
Security Programme



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This report has been prepared by Channel Research as a deliverable for the Independent Progress Review of the DFID PPA with TI-DSP

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*Acronyms & abbreviations*

CPI	Corruption Perception Index
CSOs	Civil Society Organisations
DFID	Department For International Development
FY	Fiscal Year
IFBEC	International Forum on Business Ethical Conduct for the Aerospace and Defence Industry
IPR	Independent Progress Review
ISAF	International Security Assistance Force
MDGs	Millennium Development Goals
MOD	Ministry of Defence
MoI	Ministry of the Interior
MEKANIC	Monitoring, Evaluation, Knowledge, Affirmation, Network, Influence
MENA	Middle East and North Africa
M&E	Monitoring and Evaluation
NATO	North Atlantic Treaty Organisation
NC	National Chapter
OECD	Organization For Economic Cooperation and Development
PPA	Partnership Programme Agreement
SIDA	Swedish International Development Agency
TI-DSP	Transparency International Defence UK and Security Programme
TI-K	Transparency International Kenya
TI-M	Transparency International Malaysia
TI-S	Transparency International Secretariat
TI-U	Transparency International Uganda
TOC	TI-DSP's theory of change
TOR	Terms Of Reference
VfM	Value for Money

### *Acknowledgements*

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## *Executive summary*

### **Introduction**

This evaluation provides an Independent Progress Review (IPR) of the performance of the Transparency International UK Defence and Security Programme (TI-DSP) during the first half of its Programme Partnership Agreement (PPA) grant period, from April 2011 to July 2012.

Our conclusion is that TI-DSP is well on course to meet its objectives as defined in the four PPA Outcomes (see below). The PPA grant represents a major step in TI-DSP's evolution, making it possible to consolidate its existing expertise and develop new tools that are potentially of strategic importance, as well as expanding its engagement with all three sectors: governments, companies and CSOs.

The programme is highly innovative and, through its unrivalled expertise, is making groundbreaking advances in a sensitive and critically important sector.

### **Organisational context**

TI-DSP is an international Transparency International (TI) programme situated within a TI National Chapter, Transparency International UK (TI-UK). Its objectives are to:

- raise awareness of corruption in the defence sector and provide practical tools to reduce corruption risks;
- collaborate with governments and international organisations to enhance transparency in defence institutions;
- work with defence companies to raise industry standards in international defence contracting;
- and to develop centres and international networks of defence anti-corruption expertise.

TI-DSP seeks to contribute *to a world where Defence Ministries, Security Ministries, Armed Forces and arms transfers are transparent, accountable and free from corruption*. In this more transparent world, secretive, repressive, and poorly structured defence and security sectors are no longer amongst the principal obstacles to development and to improvements in the lives of the poor and marginalised.

### **Evaluation Methodology**

The evaluation team conducted structured interviews with TI-DSP staff in London, TI Secretariat (TI-S) staff in Berlin and some 60 persons representing different organisations with whom TI-DSP has been working. In addition, we conducted an internet-based survey with a selection of TI National Chapters.

## **Findings in relation to the four PPA outcomes**

***Outcome 1: Defence or security reform initiatives underway and publicised in a variety of governments, especially those in developing countries and in conflict or unstable environments.***

In the period under review, prominent examples of continuing engagement with individual governments and government agencies included Building Integrity courses with NATO; training in Afghanistan; and a new set of projects relating to police integrity in Kenya and Uganda. PPA funding gave TI-DSP the flexibility to respond promptly to new opportunities when they arose.

***Outcome 2: International arms transfers are conducted more responsibly, with improved controls against corruption.***

In the last two years TI-DSP has devoted a significant part of its energies to supporting the proposed UN Arms Trade Treaty (ATT), with a particular focus on the need to include wording in the treaty that is designed to curb corruption. TI-DSP sent a two-man team to participate as accredited NGO observers in the UN Conference on the Arms Trade Treaty (ATT) in New York in July 2012. The Conference concluded without reaching a consensus on an ATT. However, Article 4 of the draft text has an anti-corruption clause, and its inclusion, can be attributed to effective TI-DSP advocacy. In that respect the programme has been highly effective.

TI-DSP was instrumental in fostering the establishment of the International Forum on Business Ethical Conduct for the Aerospace and Defence Industry (IFBEC) in 2010. In the period under review, it has been effective in maintaining and developing relationships with defence companies. However, company representatives expressed a degree of apprehension about TI-DSP's *Defence Companies Anti-Corruption Index* which was launched as this evaluation reached its final stages.

***Outcome 3: Civil Society organisations, governments and companies are better able to counter corruption with practical tools that they can directly apply and have increased capacity to do so.***

The *Government Defence Anti-Corruption Index* and the *Defence Companies Anti-Corruption Index* are important examples of the tools that TI-DSP has been developing in the period under review. TI-DSP would not have been able to conduct this work without PPA funding.

The two indexes build on TI-DSP's earlier work, taking it to a new level. They are both diagnostic and agenda-setting in that they will point the way to specific measures that can be undertaken to achieve higher standards.

The indexes are part of a broader portfolio of tools that are publicly available on the TI-DSP website. Other tools made available in 2011 and 2012 include reports on auditing for corruption; the transparency of defence budgets and due diligence in relation to offsets.

Meanwhile, TI-DSP has made much progress in building relationships with other civil society organisations, notably within the international TI movement. TI-DSP serves as a source of specialist expertise within the movement. TI-DSP's recent work in Uganda, Kenya

and Malaysia serve as positive examples showing how the programme can work with National Chapters to mutual benefit.

***Outcome 4: The danger of defence and security corruption is prominent on the agenda of policy makers and international organisations***

Significant examples of engagement in the period under review include meetings with the World Bank, the UN Department of Peacekeeping Operations, the Organisation for Security and Cooperation in Europe (OSCE) and the African Union (AU). All these organisations are relevant to TI-DSP's mandate in that raising awareness among high-level policy-makers could have significant resonance both within their own organisations and beyond.

*Additional comments on learning, value for money and leadership*

TI-DSP has introduced a regular set of meetings known as 'MEKANIC' (Monitoring, Evaluation, Knowledge, Affirmation, Network, Influencing and Change), and this has served as a highly effective means of promoting learning within the organisation.

TI-DSP keeps a tight control on costs: the report cites a recent TI-DSP consultants' visit to Uganda and Kenya which shows a good example of efficiency and value for money.

TI-DSP has benefited from exemplary leadership but needs to avoid being too dependent on its Director. It is currently implementing measures, including hiring more senior consultants to reduce this dependency.

#### **4. Conclusions**

For TI-DSP the PPA resources are strategic: they make it possible to 'penetrate the impenetrable', to experiment with different approaches in different countries, and to take risks – such as the *Defence Companies Anti-Corruption Index* – that would not be possible within the constraints of a traditional project approach with closely defined deliverables. In particular:

- The PPA has allowed TI-DSP to work systematically on all four designated Outcomes;
- TI-DSP has been able to conduct research, publish papers and develop practical tools which constitute an important source for building concrete reforms in the defence and security sectors.
- Training is a key activity that can be adapted and introduced in stable, conflict affected and fragile states. It has the potential to raise the scope and impact of the programme.
- TI-DSP is going through an extended process of consolidating and disseminating learning experience of defence and security reforms that are and are not effective.
- In MEKANIC, TI-DSP has developed an innovative learning tool that is unique to the organisation and that other NGOs do not have.

Flexible unrestricted funding is justified and should be continued: it is a major reason for the impressive advances that this programme is making.

# 1 INTRODUCTION

The links between poverty and corruption in the defence and security sectors have been clear to development practitioners for over a decade.<sup>1</sup> Identifying the problem is an important beginning. The search for solutions represents a much greater challenge.

The challenge is both analytical and—in the widest sense—political. No country’s defence sector sits in isolation from wider and international political and economic forces. The key actors include a complex global network of officials, politicians, and business people. Understanding the drivers behind this network requires a high degree of technical sophistication. However, the culture of confidentiality that pervades the defence and security sector makes it difficult to exchange views or secure accurate information. With rare exceptions, civil society organisations have historically tended to shy away from a sector that they find hard to understand, and which many regard as morally tainted.

Against this background, the Transparency International UK Defence and Security Programme (TI-DSP) occupies a special position. As a constituent of the international anti-corruption NGO Transparency International (TI), it is part of a global civil society movement. At the same time, it has built up an international reputation for specialist expertise, drawing on trusted contacts in companies and defence ministries across the world.

This report evaluates TI-DSP’s success in meeting the objectives of its current Programme Partnership Agreement (PPA) with the UK Department for International Development (DFID). To its credit, DFID has been generous in its support for TI-DSP since it was first set up in 2004, and the latest round of funding comes at an important period in the programme’s history. Through its earlier work, TI-DSP has built up substantial intellectual and social capital via its government, business and civil society networks. The financial foundation provided by the PPA gives TI-DSP the resources and the flexibility to make more powerful use of this initial ‘investment’ and thus—if all goes well—to have a significantly increased impact on its target audiences in government, business and civil society.

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<sup>1</sup> In 1999 then UK Secretary of State for International Development Clare Short (1999) highlighted the significance of the defence and security sectors, in a wide-ranging speech on “Security Sector Reform and the Elimination of Poverty”. Noting that “development organisations have in the past tended to shy away from the issue of security sector reform”, she argued that “bloated, secretive, repressive, undemocratic and poorly structured security sectors” were among the principal obstacles to poverty reduction in many developing countries. Among other observations, she emphasised that that developed countries should not encourage excessive levels of military spending by an irresponsible approach to the export of arms.

## **1.1 Purpose of the evaluation**

This evaluation provides an Independent Progress Review (IPR) of TI-DSP's performance during the first half of the PPA grant period under the terms of the PPA 4. Its purpose is to assess the extent to which TI-DSP is achieving the four Outcomes in its PPA logical framework, and ultimately to demonstrate development impact as a result of the funding. The four Outcomes are:

- Outcome 1: Defence or security reform initiatives are underway and publicised in a variety of governments, especially those in developing countries and in conflict or unstable environments.
- Outcome 2: International arms transfers are conducted more responsibly, with improved controls against corruption.
- Outcome 3: Civil society organisations, governments, and companies are better able to counter corruption with practical tools that they can directly apply and have increased capacity to do so.
- Outcome 4: The danger of defence and security corruption is prominent on the agenda of policy makers and international organisations

This report will enable TI-DSP, Coffey International and the UK Department for International Development (DFID) to reflect on the programme's progress and performance. It will also enable TI-DSP to internalise and learn at mid-term how progress and performance are emerging or not and how TI-DSP can improve or scale up performance during the remainder of the grant period.

## **1.2 Scope of the evaluation**

The review covers TI-DSP's PPA supported work and programmes from April 2011 to July 2012, the first 15 months of the PPA. In addition to assessing TI-DSP's performance on the four logical framework Outcomes, the IPR includes an overall assessment of the coherence of the programme. It follows the guidelines and requirements provided by DFID and Coffey International, and reviews and evaluates TI-DSP's performance and progress against the OECD Development Assistance Committee criteria (relevance, efficiency, effectiveness, sustainability) to validate and supplement TI-DSP's Annual Review Process. The Review reports against value-for-money considerations as well as the alignment of TI-DSP's work with DFID theories of change.

## **1.3 Focus of the evaluation**

The Terms of Reference (see Annexe 1) clearly state the objectives of the IPR:

- to assess progress on the PPA and verify TI-DSP's reporting to DFID on this progress;
- to assess the impact that DFID funding has had on the organisation;
- to assess the value for money provided by TI-DSP;
- to derive lessons which will enable TI-DSP to inform its future strategies, programmes, approaches and set-up.

#### 1.4 Organisation context

TI-DSP is an international TI programme situated within a TI National Chapter, Transparency International UK (TI-UK). Its vision is a world where governments, the armed forces, and arms transfers are transparent, accountable, and free from corruption. Its overall objectives are therefore to:

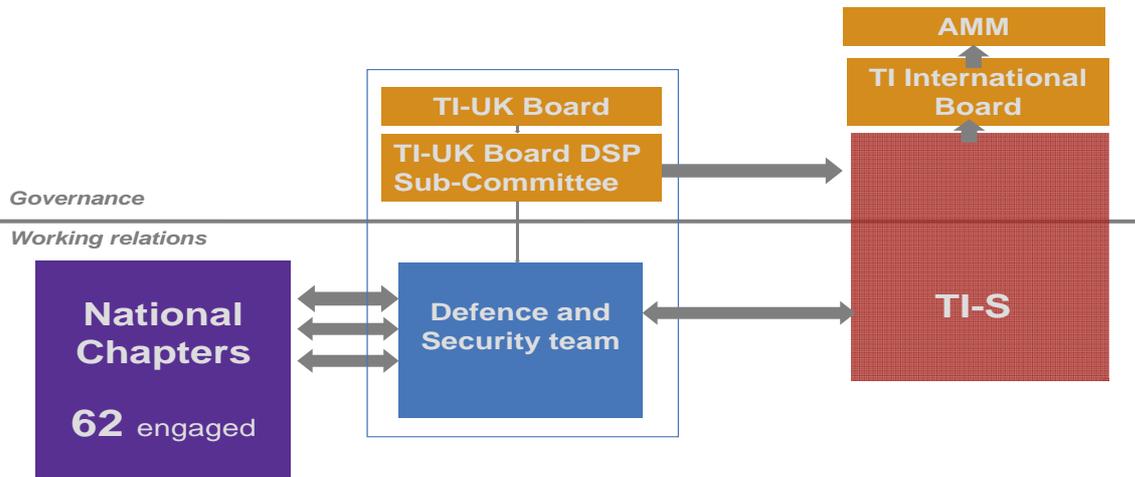
- raise awareness of corruption in the defence sector and provide practical tools to reduce corruption risks;
- collaborate with governments and international organisations to enhance transparency in defence institutions;
- work with defence companies to raise industry standards in international defence contracting;
- and to develop centres and international networks of defence anti-corruption expertise.

The programme's origins date back to 2000 when the Swedish Ministry of Foreign Affairs and TI-UK organised a conference in Stockholm which brought together governments, defence companies, academics, and civil society organisations to analyse the sources of corruption in the defence sector and to discuss strategies to curb it.

Since the formal establishment of the programme in 2004, TI-DSP has actively engaged with the defence and security ministries and armed forces of a wide range of countries, including Afghanistan, Bosnia, Bulgaria, Burundi, Colombia, Croatia, Greece, Honduras, Kenya, Norway, Ukraine, Uganda and the UK. TI-DSP has also worked directly with individuals from Defence Ministries and Armed Forces from more than 35 nations through training programmes, research, workshops and roundtables, and high-level policy discussions.

The position of TI-DSP within TI-UK and the wider TI movement is reflected in the diagram below.

## DSP and Governance: an international programme based in an NC



Active collaboration with 29 NCs  
In regular contact with a further 26; Other NCs kept informed: 34

DFID has provided support to TI-DSP since the beginning, including through the Conflict Humanitarian and Security (CHASE) Department. However, this is the first time that the programme has benefited from a PPA grant.

### 1.5 Logic and assumptions (i.e. theory of change) supporting DFID PPA-funded projects and/or programme activities

The overall theory of change for the PPA is based on TI's mission: improved anti-corruption policy and practice by public and non-state actors contributes to a reduction in corruption at all levels and across all sectors, including the poorest sections of society.<sup>2</sup> In the words of TI's *Strategy 2015*:

Not only does corruption threaten progress towards sustained poverty reduction and the Millennium Development Goals and perpetuate inequity in many forms; at its most extreme, it can even lead to the capture of the state itself whereby powerful individuals, institutions, companies or groups use corruption to shape a whole nation's policies, legal environment and economy to serve their own private interests. The interplay between national and international corruption also manifests itself in

<sup>2</sup> The team discussed and verified the Theory of Change with TI-DSP. The Theory of Change has been informed through various MEKANIC meetings, and TI-DSP has been and continues to be very open about discussing and amending it according to discussions with various stakeholders within and outside of TI.

numerous ways, ranging from transfers of stolen assets to opaque international business practices.

The defence and security sectors are particularly susceptible to grand corruption because of the sheer size of national defence budgets and because of the culture of secrecy that typically pervades both governments and business.

### **1.5.1 TI-DSP's Theory of Change.**

The intervention logic of the PPA is based on the assumption that improved anti-corruption policy and practice by public and non-state actors (Outcome) contributes to a reduction in corruption at all levels and across all sectors of society (Impact).

The four Outcomes in the logical framework are interconnected. A better understanding of corruption and its manifestations will enable citizens to be more effective when calling for greater public accountability from defence ministries, armed forces and companies. For example, clear analysis of corruption trends and vulnerabilities will allow TI-S and National Chapters to undertake evidence-based advocacy to improve the policy and practice of both government and business. Leading governmental and business organisations have the potential to reduce the incidence of corruption within societies, and are susceptible to change. Public pressure can be used to help ensure greater responsiveness, while value-based leadership within these organisations can help shape their behaviour. Effective drafting and enforcement of laws and, in the case of companies, anti-corruption procedures can provide well-designed operational frameworks that make corruption less likely to occur.

As TI-DSP works more effectively as part of the wider TI movement it will get better at diagnosing corruption and—even more importantly—identifying solutions. Exchanges between TI-DSP, TI-S and the National Chapters will allow all these actors to learn from each other's interventions in the areas of citizen mobilisation, advocacy, coalition building, and practical reforms.

The above has led TI-DSP to identify that the four Outcomes contribute *to a world where Defence Ministries, Security Ministries, Armed Forces and arms transfers are transparent, accountable and free from corruption (impact)*. In this more transparent world, secretive, repressive, and poorly structured defence and security sectors are no longer amongst the principal obstacles to development and to improvements in the lives of the poor and marginalised.

The TI-DSP vision benefits the poor and marginalised (see, for example, Section 3.22 on ordinary citizens' encounters with the police; and Section 3.4 on the links between poverty and corruption in the arms trade). Nevertheless, this point is implicit rather than explicit in the four Outcomes. The evaluation team judges that it would be beneficial if they were clarified to show how TI-DSP's work on defence and security integrity contributes to poverty

reduction, good governance and accountability. This would make its Outcomes more directly relevant to different DFID audiences, as well as to TI-DSP's interlocutors in the UN, the World Bank and international aid agencies.

## 1.6 Overview of PPA funded activities

The PPA funding is provided as a lump sum and TI-DSP is able to choose when and how to spend the resources in relation to the target Outcomes. The grant is used to support ten different work streams in TI-DSP. These are:

**PPA1: Programme Management and Support.** This includes rent, IT, accountants' fees, office expenses, salaries, management-related travel.

**PPA2: Research/web/publications/ advocacy/communications.** This includes relevant travel and all research expenses, as well as publications and visual communications

**PPA3 Training, tools, current country work.** This includes consultant fees and travel expenses, salaries and travel when relevant.

**PPA4 Afghanistan (originally for non-NATO-funded Afghanistan work).** This work stream is not frequently used but preparations are under way to continue work in Afghanistan.<sup>3</sup> One day a month is budgeted for consultants' inputs for defence sector engagement.

**PPA5 Security policymakers.** This includes work with security policymakers and countries that are new to TI-DSP. This includes work in specific countries such as Turkey as well as engagement with international institutions such as the UN if this does not fall into other work streams.

**PPA6 Africa.** This includes the entire Africa Programme, including 'leadership days', training course preparation, travel and consultants' fees.

**PPA7 Arms Trade Treaty (ATT).** This includes all ATT-related work, included salaries and travel.

**PPA8 Companies.** This includes the main *Companies Index* (see section 3.5) work and salaries. It also includes any company engagement work, for example a staff member's trip to the US to attend the IFBEC conference.

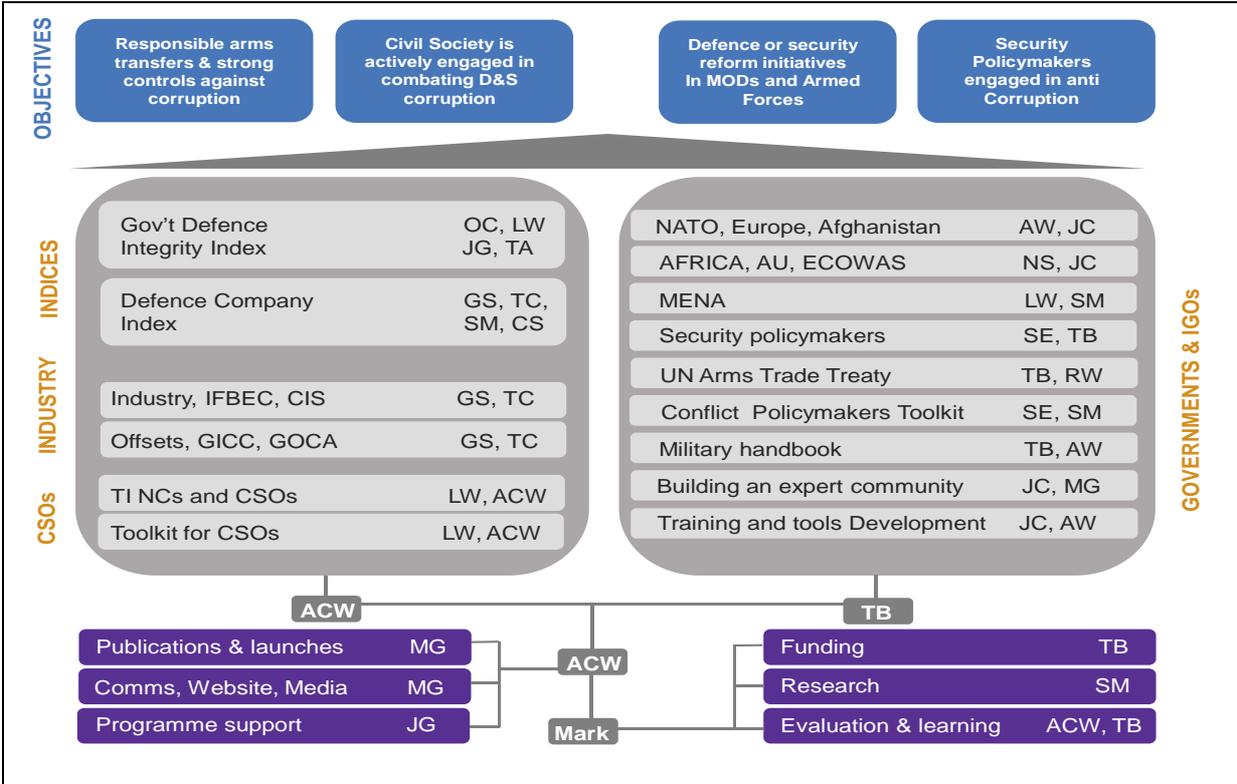
**PPA9 Governments Index.** This includes salaries for the *Governments Index* (see section 3.7.1.1), and all the Index research work, except for the Middle East and North Africa (MENA) countries which are funded separately by the TI MENA Programme through the Swedish International Development Agency (SIDA).

**PPA10 Civil Society Organisations.** This covers all civil society engagement, including with TI National Chapters.

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<sup>3</sup> TI-DSP representatives have been asked to travel to Kabul towards the end of 2012 to assess the work of Combined Joint Interagency Task Force Shafafiyat (Transparency). In addition, TI-DSP are preparing a report on how Afghanistan's military and police, on the one hand, and the international community, on the other hand, have approached the issue of corruption since 2001.

Overview of activities in relation to the four PPA Outcomes (with initials of relevant staff members and consultants)



1.7 Relationship of DFID PPA-funded activities to other programme activities

The PPA grant provides TI-DSP with a yearly amount of £704,075 which TI-DSP receives through implementing the CHASE PPA. This is roughly 90% of TI-DSP’s annual income for the fiscal year 2012. Other sources that contribute to TI-DSP include:

- The UK Ministry of Defence supports Ukrainian officers seconded to TI-DSP.
- The North Atlantic Treaty Organisation (NATO) supports TI-DSP’s training in Afghanistan and elsewhere and follow-up. This is not yet confirmed for the 2012-13 year.
- The Swedish International Development Agency (SIDA) supports the Middle East and North Africa (MENA) Programme, including research for the *Government Defence Anti-Corruption Index* and a future report specifically on the MENA.

2 EVALUATION METHODOLOGY

The methodology combined both qualitative and quantitative collection methods. The review methodology incorporated the perspectives of key stakeholders in its analysis, including beneficiaries of TI-DSP’s programmes.

## 2.1 Evaluation plan

The evaluation plan consisted of six steps:

1. The first step was a telephone interview with TI-DSP's Executive Director, Mark Pyman and an inception meeting in London with the TI-DSP team who provided the team with a thorough briefing on the programme.
2. The team conducted interviews with some 60 persons representing different organisations with whom TI-DSP has been working in relation to the four logical framework Outcomes. Some of these were selected as 'independent resource persons', i.e. they would be able to provide the team with an overview of the progress TI-DSP is making in achieving the Outcomes. The data included discussions on, for example, additionality and value for money. Semi-structured interviews were held face to face and by phone and Skype. One team member attended the MEKANIC<sup>4</sup> workshop in London in late July (see section 3.6) and used this opportunity to conduct further interviews in London.
3. The team conducted an internet-based survey (making use of the Survey Monkey online tool) with a selection of some 30 TI National Chapters, out of whom 16 submitted responses, to assess how chapters have benefitted from the TI-DSP programme and how they in turn have contributed to TI-DSP's programme objectives. The survey served the purpose of collecting more structured feedback on the four Outcomes from the chapters' perspective. It also made it possible to analyse the interrelationship of TI-DSP with the chapters and the wider TI movement and to what extent the PPA resources on the defence and security industry are used strategically to address corruption and build organisational performance. The survey questions were reviewed and approved by TI-DSP.
4. Two members of the team interviewed management and staff from the TI Secretariat (TI-S) in Berlin to understand how TI-DSP contributes to TI's mission and the movement and how TI-S perceives DSP's contributions and progress.
5. After reviewing our findings based on the data collected, we identified a few remaining information gaps and, with the assistance of TI-DSP, we undertook additional interviews, such as with TI-Kenya and TI-Uganda to collect data for the 'value for money case' and to speak with two of the secondees who had supported TI-DSP for several months earlier this year. The team also conducted additional interviews with senior consultants working with TI-DSP on the *Companies Index*.

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<sup>4</sup> MEKANIC (Monitoring and Evaluation / Knowledge collection and management / Affirmation / Building Effective Networks / Influencing / Theory of Change) is a learning tool and will be further discussed in section 3.10

6. Finally, the team held a team meeting to analyse data and prepare findings before drafting the report.

### **2.1.1 Evaluation questions**

The team prepared a draft evaluation matrix which included further questions related to the four Outcomes in addition to those listed in the Terms of Reference (see Annexe C).

### **2.1.2 Research methodology (and data collection strategy)**

The data collection strategy followed the evaluation plan and its formulated steps. The strategy took into account the fact that data collection would be cumulative (primary and secondary data collection, in-depth interviews, observation, and cases such as 'value for money'). This would permit triangulation at different stages: i) data collected during the inception meeting and document review; ii) the creation of four clusters of interviewees for the four thematic areas; and iii) the creation of an external cluster of interviewees who could comment on the entire TI-DSP programme.

The 'value for money' case was discussed with the consultants who conducted the missions, and the team ensured triangulation by interviewing the respective TI chapters in Kenya and Uganda. The case was also discussed with a police official in Kenya.

The team reported each interview in a pre-defined format which was used for analysis and synthesis during the preparation of the final report. Two team members travelled for other work to Malaysia and Bangladesh, and this provided them with the opportunity to interview local chapter representatives on their views of TI-DSP.

### **2.1.3 Analytical framework**

The evaluation team is well aware that the progress and results of the PPA grant are built on previous work that has been undertaken by TI-DSP, drawing on resources provided by DFID and others. The reviewers will mention when results or progress towards results are based on earlier work undertaken by TI-DSP.

### **2.1.4 Approach to quality assurance of research**

The quality assurance of the approach to the evaluation, its methodology as well as its implementation has been secured through the appointment of two quality assurance consultants: Emery Brusset and Annina Mattson, who are respectively the Director and Senior Evaluation Consultant at Channel Research. They have commented on all the reports and materials submitted to TI-DSP. Mr Brusset has also assisted this team and other Channel Research teams conducting IPRs in the course of their work, helping them address unexpected changes such as the new outline for the report provided by DFID after the evaluation methodology had been formulated and the work was already well advanced.

## 2.2 Research problems encountered

The 'value for money' and 'additionality' concepts and their application to this evaluation have been discussed with TI-DSP and, in close collaboration with programme staff, the team developed a new value for money case in addition to the cases that had been developed for TI-DSP's original PPA application and subsequent self-assessments.

The outline that was provided by DFID in the course of the evaluation was discussed with TI-DSP, and the team proposed to discuss findings per Outcome in Section 3 (see below) in order to provide a clearer narrative and avoid fragmentation based on the evaluation criteria.

## 2.3 Strengths and weaknesses of the selected evaluation design and research methods in retrospect

### Strengths of the evaluation design

Two of the team members had participated in the NORAD-funded evaluation of TI-S in 2010,<sup>5</sup> and this experience provided them with an additional basis of information about TI as a movement and its chapters. In the course of the Norad evaluation they had interviewed TI-UK members, including the director of TI-DSP, and were well aware of the programme and its contribution to the wider TI movement.

The team consulted some 60 people who had been exposed to the TI-DSP programme with a good spread across the four Outcomes. This facilitated ample triangulation opportunities while also making it possible to discuss the overall coherence of the programme in terms of the combination of the four Outcomes. These strengths compensates for a weakness, namely that the team did not conduct field visits for reasons of cost-efficiency.

The inclusion of a survey with the National Chapters provided the team with feedback on the effectiveness and relevance of the TI-DSP programme while also increasing its understanding of regional perspectives.

### Weaknesses of the evaluation design

The sample in the survey of the TI National Chapters—16 responses from the 30 National Chapters contacted—represents only a small proportion of the 100-odd chapters. The findings are therefore indicative but not comprehensive.

The team was able to contact only a limited number of people capable of discussing TI-DSP's contacts with international organisations, and this constrained our analysis of Outcome 4.

The team did not conduct extensive country visits (apart from short visits to Malaysia and Bangladesh on the back of other consultancy assignments, and the trip to TI-S in Berlin) and was therefore largely dependent on phone interviews, the survey and the literature review. More detailed country visits would otherwise have constituted a good opportunity to apply the triangulation principle, thus enabling the team to verify different sources such as TI chapters, governments and other NGOs or independent research institutes. In addition, one

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<sup>5</sup> *Evaluation of Transparency International*, Report 8/2012. Evaluation. Channel Research February 2011 <http://www.norad.no/en/evaluation/news/evaluation-of-transparency-international>

or more country visits would have made it possible to, for example, conduct focus group discussions with beneficiaries and National Chapters. This would also have provided the team with more insight in the dynamics of how TI-DSP engages with different in-country organisations such as the national MoD, police officials and NGOs or the National Chapters.

## **Report structure**

The *Guidelines for Final Report Structure* arrived at a time when the evaluation team had already concluded its Inception Report and agreed with TI-DSP on a proposed evaluation design and methodology aligned with the programme's own view of its needs. The introduction of the revised outline caused additional work since we needed to make sure that we would be able to respond to each of the required categories.

For the purpose of consistency, we have structured our analysis of the findings according to the four Outcomes in the order that are presented in the PPA Logical Framework. As a self-standing unit of analysis, each Outcome has its own internal logic. However, the Outcomes often overlap, and the order in which they are presented does not itself represent a logical sequence. For example, Outcome 1 on defence security reform initiatives relates closely to Outcome 4 on the agenda of international policy makers. Similarly, Outcome 2 discusses TI-DSP's recent engagement companies, but one of the most important aspects of this engagement is the *Defence Companies Anti-Corruption Index*, which is discussed in Outcome 3. The team has tried to address such problems through the frequent use of cross-references. However, had the team started with a 'blank sheet' a different structure would have been chosen in order to give a more coherent view of the way that TI-DSP's multiple objectives relate to each other.

## **3 FINDINGS**

### **3.1 Common themes**

Before embarking on an analysis of individual elements of the programme, it should be noted that there are several common themes and challenges that apply to the entire programme.

- The first, and perhaps most important, is its *holistic* nature. As noted in the introduction to this report, the defence sector—and defence sector corruption—is quintessentially interconnected, nationally and internationally. TI-DSP addresses the different ingredients that make up these interconnections, individually and as part of a wider picture. In particular, it engages with both companies and governments, and in both developed and emerging economies. It is hard to think of any other organisation in any sector that can draw together these different ingredients with the same authority.
- The second is TI-DSP's approach of *constructive but critical engagement*. As one of our interviewees put it, some NGOs simply issue criticism from the sidelines ("We call

them ‘screamers’”). By contrast, TI-DSP is seen as being much more constructive. It offers solutions, not just criticism.

- The third is its *technical expertise*. At the outset of the evaluation, one of the interviewees requested us to identify TI-DSP’s ‘magic ingredient’. There is of course no single ingredient, but one of the programme’s most distinctive characteristics is the combination of younger, highly talented staff members with older professionals who can draw on a lifetime’s experience in their countries’ defence establishments and ministries. Again and again, interviewees commented on the power and effectiveness of this combination.

These combinations have occurred not accidentally, but as a result of careful nurturing and strategic leadership. We also heard, again and again, of the importance attached to the personal contributions of key individuals, particularly the director of the programme.

At the same time, these highly favourable characteristics of the programme are accompanied by in-built tensions. We judge these tensions to be creative rather than destructive, but it is important to identify and to manage them.

- TI-DSP’s holistic approach carries *the dangers of analytical and thematic overstretch*. One example is a current discussion about whether the ‘security’ part of the programme’s agenda should be extended to include police as well as military establishments. There are powerful arguments in favour of this approach, not least that ordinary citizens typically have more direct contact with the police than they do with the armed forces. Nevertheless, the question arises whether the inclusion of additional themes—however important—may blunt the programme’s focus.
- The second issue—*the tension between being critical and collaborative*—is characteristic of the entire TI movement. It has been—and will continue to be—a source of vigorous debate, both inside the movement and outside. In relation to TI-DSP, some of our company interviewees expressed uncertainty about the kind of organisation that they were dealing with: friend or not-quite-friend, quasi-insider or definite outsider? Equally, a senior TI interviewee expressed a strong view that the special contribution of TI-DSP lay precisely in the fact that it was not an industry association, but a civil society organisation that could draw on a wide range of contacts and perspectives. On a similar point, but coming from a different perspective, a government interviewee pointed out that “NGOs can say things that governments cannot”, for example with regard to security sector reform in emerging economies.
- TI-DSP’s third core characteristic—its *technical expertise*—implies similar challenges. It makes it possible for the programme to be precisely targeted, but the niceties—or

even the need for—technical solutions in matters of defence procurement or export controls may not be readily apparent to its wider civil society constituency.

To repeat, we regard these inherent tensions as a source of creativity and ultimately of innovation. TI-DSP's skill in navigating them will ultimately determine the extent to which it is 'just another NGO', or whether—working with others—it can achieve strategic breakthroughs that will truly change the nature of the defence sector and its impact on development and ultimately on poverty.

The phrase 'strategic breakthrough' raises one final question: if there are breakthroughs, what will they look like? Is it realistic to look for watershed moments when the whole nature of the defence and security sector begins to change in a particular country? Or should one look for scattered, cumulative change rather than swift achievements?

We return to this question in the Conclusions. However, to put it in perspective, it should be noted that the TI movement as a whole has been grappling with similar questions. Since TI's foundation in the 1990s its major historic contribution has been to raise awareness of corruption, but diagnosis clearly is not sufficient. TI has responded to the challenge by combining focused analysis of particular sectors while emphasising the need for practical implementation measures. The first of TI's strategic priorities in its *Strategy 2015* is 'Increased empowerment of people and partners around the world to take action against corruption' while the second emphasises the importance of 'Implementation of anti-corruption programmes in leading institutions, businesses, and the international financial system'.

In TI-DSP's case, it should be noted that, while its roots stretch back for more than a decade, it is only now approaching greater maturity, in part thanks to the nature of the PPA funding. The last decade can be seen as a period of preparation in which the programme—and the key individuals within the programme—has been building up social and intellectual capital together with institutional credibility. PPA funding has helped the programme to consolidate these foundations and, to anticipate the point of this evaluation, it could scarcely have achieved this without DFID's assistance. It is now poised for greater things

The fundamental challenges of dealing with a sensitive sector that places a higher premium on confidentiality than on engagement still remain, but the programme is now at the point where it may soon be able to point to much greater and more rapid returns. Realistically, much of the progress that is to be made will still take the form of 'scattered, cumulative achievements'. However, it is now possible to conceive of 'watershed moments' which trigger a wider process of change either at the national level or—in the case of the hoped-for Arms Trade Treaty—on the international stage.

In the following sections, we review the extent to which these prospects apply to specific aspects of the programme.

### **3.2 Outcome 1: Defence or security reform initiatives underway and publicised in a variety of governments, especially those in developing countries and in conflict or unstable environments.**

This Outcome reflects one of the core objectives of the TI-DSP programme. It is also one of the hardest to achieve. The selected indicators are:

Cumulative number and description of new countries with defence integrity or counter-corruption programmes.

Volume (articles) of public reporting on defence and security anti-corruption reform.

At the outset of our evaluation, a senior TI-DSP staff member noted the secretive nature of many defence ministries and, citing a phrase that apparently originally came from DFID, commented that the programme's special role was to "penetrate the impenetrable". Outcome 1 is directly linked to Outcome 4 since TI-DSP has often worked with international agencies—notably NATO—as an entry point to national administrations.

One of most important topics in recent internal discussions concerns how to judge whether and when governments are more likely to be open to engagement, and how to make the most of opportunities when they do arise. Our overall assessment is that TI-DSP has been making good use of these opportunities and is fulfilling its designated objectives. The key question—which is much discussed—is how to apply the lessons of experience to maximum effect, and how to ensure that TI-DSP's interventions have the maximum long-term impact.

#### **3.2.1 Results**

The objectives defined in this Outcome represent a continuation and deepening of TI-DSP activities in the past five to six years. Notable earlier achievements before the beginning of the PPA grant period in early 2011 include:

- TI-DSP delivered anti-corruption training courses for the Afghanistan MoD and MoI after two Afghan participants took part in defence integrity training at the NATO school in Oberammergau in October 2008. In 2009 TI-DSP delivered a specially tailored version of the course as well as a leadership day in Afghanistan. It has been engaging bilaterally with the MoD and then jointly with the MoI and Afghan National Police (ANP) ever since.
- TI has conducted series of engagements with defence ministries in individual countries. Notable examples include Colombia where the programme has advised on defence procurement; Bulgaria where TI-DSP reviewed its self-assessment; and Poland which participated in the review of the self-assessment process pilot undertaken by Bosnia-Herzegovina, Ukraine and Norway.

- Since 2009, TI-DSP has had an extended process of engagement with Ukraine. This has included the provision of training courses in Kiev as well as the secondment of senior Ukrainian officials who worked with TI-DSP in London.
- TI-DSP has produced a distilled summary of the lessons of experience in its publication *Building Integrity and countering corruption in defence and security. 20 practical reforms*, the latest edition of which came out in early 2011. This publication is of continuing value in that it serves as a 'menu' for reform once initial contacts have been established with target governments.

In the period under review, prominent examples of continuing engagement with individual governments include:

- Throughout 2011-2012 TI-DSP has continued to work in partnership with NATO on the development and delivery of Building Integrity courses, e.g. in Kabul, Sarajevo, Ankara, Kiev and in Oberammergau.
- TI-DSP also contributes to the UK Defence Academy training in the UK and abroad and the Academy has used its materials and tools to reach a wider audience, including military from different countries and organisations. Many of our interviewees said that they particularly valued that the programme's research publications which are considered practical, and easy to understand and apply.
- TI-DSP developed and delivered training courses for more than 130 participants from the Afghan MoD and MoI in Kabul. It worked in 2011 with UK officers and International Security Assistance Force (ISAF) to prepare and brief members of the international expeditionary forces on integrity and corruption issues and the best means of tackling them.

As noted above, TI-DSP has made skilful use of senior former government and military officials and their deployment has been particularly important in these cases.

#### **Case study: TI-DSP engagement with police authorities in Uganda and Kenya**

TI-DSP's engagement with the police authorities in Uganda and Kenya in the course of 2012 exemplifies several aspects of the programme's style of operating. These include its use of senior consultants with extensive professional experience, and its engagement with local TI chapters (see Section 3.8). Initial contacts from a variety of different sources often have a 'snowball effect' leading on to further introductions.

The opportunity in Uganda arose as a result of a visit by a senior member of the team at the invitation of TI-Uganda (TI-U) earlier in 2012. His seniority ensured that his Ugandan counterparts treated him with much greater respect than would have been the case with an 'ordinary' NGO representative. He was able to make contact with the Secretary of the Cabinet, the Defence Minister and Permanent Secretary at the Ministry of Defence, the Inspector General of Police and a number of other Ugandan and international contacts. These

senior officials had previously been inaccessible to TI-U.

On the basis of this initial contact, the Ugandan MoD agreed to study TI-DSP's material, and the Inspector General of Police asked TI-DSP to work with him in addressing corruption in the police. In July 2012 a three-member TI-DSP mission visited Kampala in July 2012 to prepare a report on building integrity in the police force.

On the same July 2012 trip, two of TI-DSP team members travelled on from Uganda to Kenya on a similar mission. TI-Kenya staff members joined them for the session with the Defence Minister and towards the end of the visit arranged a short meeting with the Head of the Kenya CID—the first direct contact with the Kenya Police. In September, in a further continuation of these contacts, two TI-DSP consultants held a 'leadership day' with Kenya's Independent Police Oversight Authority (IPOA), as well as holding further meetings with foreign diplomats and a UN representative. TI-Kenya has been fully involved in this process.

In relation to the PPA, TI-DSP points out that it has been able to follow up these and similar opportunities when they arose because of the unrestricted nature of the funding. By contrast a recently recruited TI-S staff member, who is new to the NGO sector, comments that—when thinking of possible new initiatives—she often receives the message “No, we can't do that: the funding is restricted.”

The Uganda and Kenya initiatives are also a favourable example of TI-DSP's skilful use of resources to achieve Value for Money, and this point is discussed in greater detail below (See 3.12).

### **3.2.2 Relevance**

The work is *relevant* from several different perspectives. For example, Afghanistan is ranked 180 out of 183 on the Transparency International Corruption Perception Index (CPI). Over the last decade the country has received substantial international military and development assistance but high levels of corruption have blunted and distorted their impact and, as is usual in such cases, the poor sections of society have suffered most. In conflicted-affected environments such as Afghanistan the links between security and development—and the adverse impact of corruption on both—are critically important. TI-DSP has proved a valuable source of practical advice to donors and host-country officials on how to tackle these issues.

TI-DSP's engagement with the police—as distinct with military and defence agencies—in Uganda and Kenya represents a new aspect of TI-DSP's programme, and the full implications are still under discussion. One reason for pursuing the police agenda is that it may be more immediately *relevant* to the lives of ordinary people, including the poor in underdeveloped countries, who in the normal course of their lives are less likely to come into contact with soldiers or defence officials.

TI-DSP's *targeting*—as reflected in its selection of countries—appears at first instance to be somewhat random. It has worked more or less systematically with NATO to target NATO

member states, related international organisations and aspirational members.<sup>6</sup> However, in other respects the list of countries with which the programme engages, does not at first sight seem to correspond with an obvious order or group. This apparent randomness is in large part the result of TI-DSP's determination to make the best use of opportunities when they arise.

TI-DSP has developed a set of criteria for the best, medium and worst cases for intervention (the changing lives case).<sup>7</sup> The core criteria concern political will and the level of engagement with high and intermediary levels of MoDs, and the identification of 'change agents' who have internalized the need to address integrity issues and are capable of promoting practical, sustainable reforms (e.g. concerning procurement procedures, codes of conduct etc.).

In the case of Ukraine, one particularly effective means of engagement has been the secondment of senior officials from the Ukrainian defence and security establishments to TI-DSP in London. As a result of this engagement, each secondee has enhanced his or her expertise on anti-corruption and has been able to apply this knowledge after returning to Ukraine.

Another aspect of TI-DSP's *targeting* is that it has tailored different types of training courses for particular levels in the relevant country's armed forces (e.g. senior officers, department heads etc). Drawing on the lessons of its early engagement with NATO, the programme has made a point of emphasising defence integrity as a positive objective linked to military professionalism rather than focussing on—for example—the punitive aspects of apprehending offenders. This non-threatening approach has made it easier to secure appropriate entry points.

### **3.2.3 Effectiveness**

Training is an effective tool for advocacy and awareness-raising to the extent that –as noted above—it is linked to military professionalism and integrity rather than the more threatening aspects of anti-corruption, and can be linked to concrete reform measures as outlined in TI-DSP's *Building Integrity* handbook.

The single most important partnership has been with NATO. However, TI-DSP has built good alliances with the research institutions and think-tanks such as the Royal United Services Institute (RUSI) in London and the Konrad Adenauer Stiftung in Germany (on this point see also Section 3.8 below). Two TI-DSP team members recently took part in a training session conducted in Sarajevo under the auspices of the International Security Sector

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<sup>6</sup> For example, in 2009 Ukraine was interested in the possibility of acceding to NATO, and this factor may have influenced its view of TI-DSP, although it has since distanced itself from NATO.

<sup>7</sup> DFID CHASE PPA: TI-DSP Changing Lives Case Study. Prepared for TI-DSP's self assessment for DFID, 29-May 2012.

Advisory Team (ISSAT), which itself is associated with the Geneva Centre for the Democratic Control of Armed Forces (DCAF). TI-DSP has also built important training partnerships in Afghanistan, Bulgaria, Poland, Kenya and Uganda.

One of TI-DSP's early successes was to run a series of Defence Integrity courses for NATO. NATO now runs these courses on its own, with—for better or worse—minimal input from TI-DSP. The fact that they have now taken on a life of their own can be regarded as a successful example of *sustainability*.

The long-term impact of TI's training depends on the effectiveness of the various courses' alumni as change agents within their home institutions. TI-DSP is currently in the early stages of conducting its own evaluation on this point, and this has revealed a number of alumni who had taken on significant actions since attending the course. For example, in Ukraine, representatives from the financial monitoring institution who had been trained by TI-DSP have implemented more robust procedures for recruitment.

#### **3.2.4 Efficiency**

As noted above, TI-DSP has made skilful use of senior consultants who are themselves retired military and government officials, and are therefore able to engage with their counterparts in target countries as 'soldier to soldier'.

In general, many interviews remarked on how much a relatively small team had managed to do, especially since no other NGOs have engaged in such work and TI-DSP needs to break the ground. The model of deploying secondees to work with TI-DSP in London that has been applied in the case of Ukraine has proved an efficient, cost-effective means of sharing knowledge, and training change agents who in turn will be able to provide technical training and advice in their home institutions.

#### **3.2.5 Impact and value for money of PPA funding**

One observer commented that TI-DSP 'is worth a couple of regiments', noting that what it has achieved in short time with a small team is truly impressive. The organisation has relatively few staff but the support of senior consultants in alliance with other organisations makes it all the more effective and represents good value for money. The secondee model is very powerful and also ensures that change agents' internal contributions in their organisations are more sustainable.

TI-DSP's programme is starting to contribute to its desired overall impact: a world where Defence Ministries, Security Ministries, Armed Forces and arms transfers are transparent, accountable and free from corruption. Its contribution consists of:

- becoming a unique and knowledgeable source of how to influence key actors in governments, companies and civil society to combat corruption in Defence and Security sectors;
- reaching out to and influencing a variety of actors across the globe who acknowledge the importance of the subject, becoming advocates themselves, changing legislation, policies and procedures to improve integrity and transparency and reduce corruption;
- demonstrating that change—or the beginning of change—is possible, thereby debunking the notion that ‘nothing can be done’.

### **3.3 Outcome 2: International arms transfers are conducted more responsibly, with improved controls against corruption.**

In development circles the links between the arms trade, poverty and the various forms of corruption have been clear for some time,<sup>8</sup> and it is therefore entirely appropriate that the arms trade should be a major focus of the programme.

Success in this objective requires the participation of both states and companies as reflected in the two proposed indicators which—as will be seen below— focus on the negotiations for the UN Arms Trade Treaty and industry membership of the International Forum on Business Ethical Conduct for the Aerospace and Defence Industry (IFBEC).

### **3.4 Outcome 2a. The UN Arms Trade Treaty negotiations**

In the last two years TI-DSP has devoted a significant part of its energies to supporting the proposed UN Arms Trade Treaty (ATT), with a particular focus on the need to include wording in the treaty that is designed to curb corruption.

The indicator for this Outcome is:

Number and description of States whose position on the inclusion of an anti-corruption mechanism in a UN Arms Trade Treaty (ATT) has been informed through engagement with and influenced by TI-DSP.

TI-DSP reports that it has had contact with a total of 75 representatives of states on the subject of the ATT. Starting with a baseline of 20 states at the beginning of 2012, this figure includes a further 46 states at the second ATT preparatory meeting in New York in early 2012, and another nine at the third preparatory meeting. As will be seen below, the enquiries for this evaluation confirm the quality of TI-DSP’s engagement, and the team is satisfied that the programme has more than achieved this objective.

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<sup>8</sup> See Short (1999).

### 3.4.1 Results

The UN Conference on the Arms Trade Treaty took place in New York from 3 to 27 July 2012. Accredited NGOs were permitted to attend the conference as observers, and TI-DSP sent a two-man team consisting of Tobias Bock (a full-time staff member) and Rob Wright (a consultant to the programme who is a senior former UK government official with particular expertise in export controls). The conference negotiations led to the formulation of a draft treaty and this included an anti-corruption clause in Article 4 on “National Assessment”. This was the result that TI-DSP had been working towards.

Article 4 begins by stating that:

In considering whether to authorize an export of conventional arms within the scope of this Treaty, each State Party shall assess whether the proposed export would contribute to or undermine peace and security.

It goes on to state that:

Each State Party, when considering a proposed export of conventional arms under the scope of this Treaty, shall consider taking feasible measures, including joint actions with other States involved in the transfer, to avoid the arms:

- a. being diverted to the illicit market or for unauthorized end use;
- b. being used to commit or facilitate gender-based violence or violence against children;
- c. being used for transnational organized crime;
- d. becoming subject to corrupt practices; or
- e. adversely impacting the development of the importing State.

The inclusion of the reference to “corrupt practices” qualifies as a significant achievement. The government and NGO specialists interviewed for this assessment agreed that that TI-DSP’s expert advice had been a significant factor in persuading state representatives either to support the anti-corruption clause, or at least to decide not to oppose it. One of the government negotiators interviewed for this report noted that a good negotiator draws on a variety of different sources when drafting treaties or position papers, and it is therefore hard to attribute particular phrases to individual advisors or organisations. However, when asked whether the inclusion of the anti-corruption clause in the draft ATT can be attributed to TI-DSP, he replied “Absolutely!”

However, it is too early to assume that the anti-corruption clause will be included in the final treaty, and it would therefore be premature to celebrate too effusively. In the final days of the conference it became clear that the treaty would not be adopted by consensus, as had originally been hoped, because of last minute reservations by the US. At the time of writing,

it was not entirely clear what would happen next, but one possibility was that the treaty would be put to a vote in the UN General Assembly in the autumn of 2012. If that happens it could be passed with a two third majority and would come into force once it is ratified by 65 states. An alternative approach would be for the UN to convene another conference similar to the one that took place in July in the hope of achieving a consensus agreement in 2013 or 2014. It is still conceivable that the anti-corruption clause could be lost during the final negotiation process.

All the government and NGO specialists interviewed for this report agreed in thinking that an ATT would eventually come into existence: the main questions are when this will happen, the details of the wording, and the degree of political backing the treaty will receive from key states such as the US and Russia.

When the treaty does come into force, this will be the beginning of a long-term process to ensure that it is implemented effectively. This will require both states and companies to introduce new controls. As one of our interviewees pointed out, the opportunities for TI-DSP are “huge” if the anti-corruption clause is included because there will then be an even greater need for specialist advice on anti-corruption measures.

#### **3.4.2 Relevance**

TI-DSP’s contribution to the ATT process reflects several distinctive qualities that apply elsewhere in the programme and to some extent in the wider TI movement.

The single most important is expertise. Many—perhaps most—of the diplomats taking part in the conference were generalists. A few had expertise in arms control, for example of nuclear weapons. However, as one of our interviewees pointed out, this kind of background did not necessarily form the best foundation for negotiations concerning legitimate trade where the objective is to ensure that deals meet certain criteria rather than banning them outright. Rob Wright, one of the two TI-DSP representatives at the conference, had long professional experience precisely in the field of export controls.

The fact that the discussions were technical may also have made them less emotive than many other aspects of the anti-corruption agenda. As an example, Wright cites an encounter with an African diplomat who was concerned that his country would be excluded from all arms transfers because of its low ranking on the TI Corruption Perceptions Index (CPI). He was able to point out that the controls that were needed would not be focused primarily on countries but rather on ensuring that specific deals met the required standards. This incident serves as an example of advice that was both *relevant* and appropriately *targeted*.

The ATT negotiations are also highly *relevant* in the sense that the treaty is directly linked to DFID’s anti-poverty mandate. In May 2012, in a speech at the International Institute for Strategic Studies (IISS), UK International Development Minister Alan Duncan noted that about two thirds of the countries least likely to achieve the Millennium Development Goals

are in the midst of—or emerging from—conflict, and asked rhetorically: “how can governments provide universal health care or primary education when their budgets are being diverted to corrupt or irresponsible arms purchases?”<sup>9</sup> He continued by pledging the UK government’s support for an ATT which would “establish a fair and equitable foundation for legitimate arms trading”.

### **3.4.3 Effectiveness**

Clearly, TI-DSP can only achieve its ATT objectives by working with other actors, principally the various teams of government negotiators: a spirit of *partnership* is therefore central to the whole enterprise. As noted above, TI-DSP’s technical expertise has been critically important in achieving this partnership. A second factor has been an extended process of relationship-building, not just in the July negotiations but also during the various preparatory committees during the previous 18 months.

A spirit of *partnership* has been likewise been a key factor in TI’s collaboration with other NGOs working on arms trade issues, and likewise attending the ATT negotiations. They too speak with respect of TI-DSP’s particular skills in its core area of expertise, and both sides have *learnt* from the experience.

As noted above, *sustainability* depends on the next round of ATT negotiations, whether these are within the UN General Assembly or take the form of a new conference. By building up its extended network of contacts, TI-DSP has established a certain momentum.

### **3.4.4 Efficiency**

TI-DSP’s two-man team in at the ATT negotiations is a good example of its strategy of leveraging the energy and skills of its up-and-coming younger members of staff with more experienced, grey-haired experts. One of our interviewees noted that several other NGOs had fielded larger teams with fewer results.

### **3.4.5 Impact and value for money of PPA funding**

TI-DSP’s influence cannot readily be calibrated in amps, joules, megabytes or kilograms, but none of the interviewees interviewed for this report doubted the significance of its impact on the ATT negotiations.

The interviewees were clear that the TI-DSP team and their approach had resulted in a very strong drive for the inclusion of good corruption language. At one point in the July negotiations there was a possibility that the anti-corruption clause might be dropped from the draft treaty. TI advocacy played a major role in its restoration. As noted above, we asked an ambassador who had taken part in the negotiations whether the inclusion of the anti-corruption clause could be attributed to TI-DSP: in his judgement this was indeed the case.

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<sup>9</sup> Duncan 2012

On a similar note, an NGO observer commented that the inclusion of the anti-corruption clause in the draft treaty was “extremely impressive”. It is largely the result of a targeted investment in skilled human resources in the right place and the right time, and therefore represents excellent value for money.

### **3.5 Outcome 2b. Are companies better able to counter corruption?**

State initiatives to regulate the arms trade are essential, but company initiatives to promote high standards of ethics and transparency are equally important. TI-DSP has engaged both with individual companies and with collective industry bodies on anti-corruption standards. The defined indicator for this part of Outcome 2 focuses on one of the most important industry bodies:

TI-DSP was instrumental in fostering the establishment of IFBEC in 2010. For the purposes of this evaluation, the question is how far TI-DSP has continued to be effective in its sustaining and developing its engagement within the international defence industry. Meanwhile, TI-DSP has also been engaging with the Global Offset and Countertrade Association (GOCA), the Defence Industry Offset Association (DIOA) and the Turkish Industry Association, SASAD. Our overall assessment is that the programme continues to be successful. At the same time, we note evidence of tensions, particularly with regard to the development of the *Defence Companies Anti-Corruption Index* (See 3.7 below).

#### **3.5.1 Results**

TI-DSP’s engagement with companies in the defence sector exemplifies the point made in the introduction to this section about the challenges of constructive but critical engagement. In the defence sector, these challenges are all the more acute because many of the leading companies have been—and continue to be—the focus of high-profile anti-corruption investigations.

Against this background, TI-DSP’s level of engagement with the companies has been remarkable. For example, the programme worked with the Aerospace and Defence Industries Association of Europe (ASD) to develop the Common Industry Standards for European Aerospace and Defence: these promote high standards of anti-corruption compliance and became mandatory for all ASD members in 2008.<sup>10</sup> Similarly, TI-DSP played an influencing—though not a determining role—in the agreement between the ASD and the Aerospace Industries Association of America (AIA) to form IFBEC in 2010. IFBEC provides a forum for companies who are committed to a set of Global Principles including “zero tolerance of corruption”. Its particular significance lies in the fact that it aspires to create a global forum and not just a national one, as in the case of the US-based Defence Industries Initiative (DII) which dates back to the 1980s.

TI-DSP has been able to play this catalytic role because the programme—and particularly its director—have achieved a high degree of trust as respected interlocutors. However, the progress made to date represents a set of steps on a continuing journey, and not the final destination. Now that anti-corruption principles are widely agreed, the main tasks concern

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<sup>10</sup> On the Common Industry Standards, see Sakamoto (2010).

implementation: what constitutes good practice, and what substantive implementation measures are required?

In the period under review, TI-DSP's main project has been the *Defence Companies Anti-Corruption Index*. The purpose of the index which is discussed in greater detail below (See Section 3.7), is first to define good practice in the defence sector, and secondly to provide a benchmark that companies can use to assess how far they meet—or fall short of—emerging anti-corruption standards.

The interviews took place after the main work on the index had been completed and shortly before it was launched. They pointed to a degree of apprehension on the part of the companies. At the time of writing it was unclear whether the publication of the index and its accompanying analysis would alleviate this apprehension or reinforce it.

One factor underlying this apprehension was a sense of uncertainty about TI-DSP's role: is it to be seen as a collegial source of helpful advice or as a potentially problematic external critic? In this regard, it is important to note that many industry interviewees were not aware of TI-DSP's precise relationship with TI-UK or its relationship with the wider movement. Some are also not aware of the rest of TI-DSP's programme, only its engagement with companies.

In the period under review, the main concerns expressed by companies were to do with the methodology of the index (TI-DSP points out that the methodology was explained in detail on the programme's website, and that TI-DSP went to some lengths to explain it to individual company representatives and at industry meetings, including two formal rounds of discussions and submissions of letters responding to IFBEC concerns from January to March 2012). TI-DSP's invitation to companies to share non-public information as part of the research for the index prompted particular wariness among some companies although, as discussed below (see Section 3.7), 34 companies responded to the request.

TI-DSP will not in any case be the sole point of reference for defence companies seeking to implement anti-corruption measures. Company interviews also pointed to—for instance—the UK Ministry of Justice's guidance document on the UK Bribery Act and the US *Federal Sentencing Guidelines*, as well as the advice provided by the London-based Institute of Business Ethics (IBE).

Be that as it may, TI-DSP's distinguishing characteristics are its specific focus on the defence sector, both companies and governments, and not on business ethics or anti-corruption in general. No other NGO or institute can replicate that.

### **3.5.2 Relevance**

TI-DSP's work with companies is not merely *relevant*, but essential to its wider mandate. It cannot plausibly claim to be promoting transparency in the arms trade, at least not in a holistic sense, unless it engages with business. From the companies' perspective, TI-DSP is highly *relevant*—notwithstanding the wariness expressed above—because of its industry focus and inside knowledge. The programme is ideally placed to apply the knowledge

gained in the wider TI movement to the defence sector, and in turn to interpret the specific problems faced by the defence sector to a wider audience.

On a similar note, it is appropriate that the programme *targets* both individual companies and industry associations such as IFBEC.

Many interviewees pointed to other related but distinct areas where they considered TI-DSP's work to be crucial. These included work on procurement in developing countries and assisting countries in developing standards and compliance. IFBEC members interviewed also indicate that TI-DSP could assist in expanding IFBEC membership beyond its current mainly North American and European membership and assist in motivating smaller companies in the supply chain to adhere to global standards. As one observer noted: "IFBEC is here to stay and TI can help".

### **3.5.3 Effectiveness**

The debates surrounding the *Companies Index* reflect the pains of *innovation* as well as process of *learning* on the part of TI-DSP and the companies with which it engages. The real test of effectiveness will, if all goes well, come at a later stage. It remains to be seen how far the *Companies Index* will serve as a stimulus to improved company practice, and this should be one of the focuses of the final evaluation of the current PPA. Companies' scepticism with regard to the methodology appears to be partly due to TI-DSP's evolving learning process as well as limited discussion and communication about the purpose, the methodological approach and the subsequent analysis and reporting of the index. Some interviewees consider the lack of clarity and full understanding of the index as an important cause of debate and cautiousness in companies as well as IFBEC (even though, as noted above, TI-DSP, reports that it went to some lengths to explain the methodology).

### **3.5.4 Efficiency**

As in other aspects of its work, TI-DSP's work on companies draws on the expertise and energies of a small core team, assisted by senior experts with industry or legal experience. From the company's perspective, the TI-DSP director was very much the public face of the programme, in part because of his long personal history of engagement—including extensive participation in industry conferences— stretching well before the period under review. This use of highly qualified human resources is *efficient* in the short term but it also raises a question of *sustainability* (see Section 3.10.3 below)

### **3.5.5 Impact and value for money of PPA funding**

As noted above, TI-DSP had a history of engagement with defence companies and with industry associations before the PPA project period. The *Companies Index* represents a much more ambitious and comprehensive project than any previously conducted: the programme

would not have been able to begin without PPA funding. As discussed, it has already had an impact in that it has stimulated sometimes painful but essential constructive debate: its full impact on IFBEC and the companies that participate in it will be more apparent in the weeks and months after the index is launched.

### **3.6 Outcome 3: Civil Society organisations, governments and companies are better able to counter corruption with practical tools that they can directly apply and have increased capacity to do so.**

A common theme—brought up spontaneously by many of our interviewees—was that TI-DSP distinguished itself from many other NGOs by its ability to offer practical advice to achieve concrete results, and not just criticism. The emphasis on practical tools is very much in line with this approach.

The defined indicators concern ‘practical tools’ and ‘civil society organisations reporting capability in tackling defence and security corruption’. We discuss these two objectives separately below with a particular focus on TI-DSP’s two new defence sector indexes and its relationship with other parts of TI.

### **3.7 Outcome 3a. Tools (focussing on TI-DSP’s new indexes)**

This indicator is described as:

Number and description of practical tools developed by TI-DSP to address defence and security corruption that are used by civil society organisations, governments and/or companies.

#### **3.7.1 Results**

The *Government Defence Anti-Corruption Index* and the *Defence Companies Anti-Corruption Index* are important examples of the tools that TI-DSP is developing. The two indexes build on TI-DSP’s earlier work, taking it to a new level, and are among the programme’s flagship projects. They have been made possible by the PPA grant and have been a major focus of activity over the last year.

The two projects are of strategic importance because they contribute to TI-DSP’s engagement across all three sectors: government, business and civil society. They are both diagnostic and agenda-setting in that they will point the way to specific measures that can be undertaken to achieve higher standards. It is too early to assess their impact (this should be one of the focuses of the final evaluation of this PPA), but the development work is well on course.

#### **3.7.1.1 Government Defence Anti-Corruption Index**

The *Government Defence Anti-Corruption Index*—often referred to in short as the *Governments Index*—will be launched in early 2013. The overall objective of the index is to offer a diagnosis of the state of anti-corruption in each country’s defence sector, as well as a basis for comparison between different governments, and a roadmap for reform. If all goes well, and

funds are available, future editions of the index will make it possible to measure governments' progress against the various indicators.

The index has two intellectual foundations:

- The first, which is specific to TI-DSP, is the earlier policy research summarised in the publication *Building Integrity and Countering Corruption in Defence and Security: 20 Practical Reforms* (2<sup>nd</sup> ed. 2011). The proposed reforms in this report are divided into five categories from 'Political' to 'Finance', 'Personnel', 'Operations', and 'Procurement'. The index adopts a similar structure to assess each government's anti-corruption capabilities.
- The second is the work conducted by TI and other NGOs on indexes and surveys since the 1990s. TI is widely known for its Corruption Perceptions Index (CPI), which was first launched in 1995. However, it has since developed a much wider portfolio of international indexes, surveys, and comparative reports (including the *Global Corruption Barometer* and the *Bribe Payers Index*) as well as a series of national and regional surveys. TI-DSP has been able to draw on some of the lessons of this experience, as well as the work done by another NGO, Global Integrity ([www.globalintegrity.org](http://www.globalintegrity.org)). TI-DSP has made use of the Indaba software developed by Global Integrity to record and analyse the findings of the survey.

The work that has gone into the *Governments Index* therefore combines two characteristics: TI-DSP has been careful to design a rigorous methodology that draws on past experience. At the same time it breaks new ground in that it has been designed to meet the particular requirements of the defence sector.

As the compilers point out, the index is 'hybrid' in that it draws on both quantitative indicators and qualitative justification for scores.<sup>11</sup> The countries in the index will be ranked in five 'bands' ranging from a score of '4' for 'high transparency; anti-corruption in place; systems working effectively' to a score of '0' for 'low transparency; no anti-corruption in place; systems entirely ineffective'. The index differs from—for example—the CPI in that it will be possible to review the various ingredients that have contributed to a government's overall ranking. So, for example, if a government receives a poor rating on procurement, it should in principle be able to devise reform measures that will address weaknesses in this specific area, and lead to a higher overall ranking in future.

The project has been collaborative from the outset. The core team in TI-DSP drew on the advice of an expert advisory committee in refining the methodology. Even more importantly, it has drawn on the expertise of a wide range of Country Assessors and reviewers in the 83 countries that it covers.

The *Governments Index* has been an important driver for building relationships with the National Chapters in that it provides both a need and an opportunity for collaboration. TI-DSP reports that National Chapter staff contributed to the analysis of 70% of the 80 countries

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<sup>11</sup> TI-DSP (2012), *Government Defence Integrity Index – Introduction and Methodology*. Internal TI-DSP draft document.

covered either as lead Country Assessors or as reviewers.<sup>12</sup> The process of analysing the draft analysis gave both sides an opportunity to exchange information and ideas.

Once the index is published, the National Chapters will be able to use it in their own advocacy activities, and no doubt their plans on this will be refined in the months before the index is published. Representative comments from our survey respondents included:

“It will be a great instrument in helping the Chapter mainstream the issue of defence corruption.”

“(It) will be part of a general strategy to foster transparency and probity”.

“We are planning to reach directly to senior officials with recommendations and also start a media campaign”.

“[We] will first of all share it widely with our partners, public and other stakeholders. We shall also identify key issues on which National or Media campaigns can be centred around. It will also be used to create new contacts within the sector that can be of use in future advocacy activities in the sector.”

### 3.7.1.2 Defence Companies Anti-Corruption Index<sup>13</sup>

The *Defence Companies Anti-Corruption Index*—often referred to as the *Companies Index*—was published in October 2012 as this evaluation report was in its final stages. It is similar in its conception to the *Governments Index* in that it draws on earlier TI work but takes it to a new level.

The companies selected for inclusion in the *Companies Index* are the largest defence companies worldwide as well as a selection of smaller companies in countries that might not otherwise be represented. Overall, the index covers 129 defence sector companies from a total of 31 countries.

TI-DSP believes that the index will facilitate general improvement across the whole industry in anti-corruption processes and practices. The key principle underlying the index and the accompanying banding is that of capability: does the company have the structures, policies and processes in place that enable it to address corruption risks as an integral part of company operations?<sup>14</sup> Companies with comprehensive anti-corruption systems can use the index to benchmark where they are seen to be better or worse than their peers, and where they can fine-tune their processes. Companies with less expertise will have a clear indication of what they need to do to improve their capability.

The *Companies Index* fits into a wider TI portfolio of reports, tools and indexes related to the private sector. These include TI’s *Business Principles for Countering Bribery* (2<sup>nd</sup> ed., 2009), which sets a benchmark for corporate anti-corruption policies and procedures. In August 2012, TI-S published a study on *Transparency in Corporate Reporting*, which ranks leading

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<sup>12</sup> TI-DSP (2012), *Government Defence Integrity Index – Introduction and Methodology*. Internal TI-DSP draft. Document, p.4.

<sup>13</sup> One of the team members, John Bray, had earlier played a minor role as an external reviewer for part of the index results and was therefore recused from the analysis in this section.

<sup>14</sup> See: [www.ti-defence.org/our-work/diagnosing-corruption-risks/company-index](http://www.ti-defence.org/our-work/diagnosing-corruption-risks/company-index)

publicly listed international companies according to their reported anti-corruption measures and is therefore similar to the *Companies Index* in its overall conception, although it adopts a slightly different methodology.

In the design of the index, the TI-DSP core team has drawn on the expertise of senior defence industry specialists as well as drawing on the advice of TI-S specialists. Its basis is a structured questionnaire divided into five categories: 'Leadership, Governance and Organisation', 'Risk Management', 'Company Policies and Codes', 'Training', and 'Personnel and Helplines'. Many of the questions are broadly applicable to international companies generally: others - for example on offsets - apply more specifically to the defence sector.

As with the *Governments Index* (and unlike TI-S's *Transparency in Corporate Reporting*), companies are rated in 'bands' rather than being given a numerical ranking. These ratings are presented in two tables: the first is based solely on publicly available information, and in that respect is similar to the TI-S report. The second table draws on further internal information provided by 34 companies out of the total sample of 129. In the first table only one company receives an 'A' rating representing the highest standard, and nine receive a 'B'. In the second table, several companies are 'promoted' on the basis of the extra confidential information: 16 receive an 'A' rating, and a further nine receive a 'B'.

TI-DSP's proposal to include confidential data as well as publicly available information in the index prompted vigorous debate with TI-S specialists. In considering the use of such information, TI-DSP's objective was to gain the best possible view of what was actually happening. TI-S's main concern was to ensure that the two types of data were separated out in the final report on the index so as to ensure the integrity of the analysis. The result – which may not have been anticipated at the outset – is that the report puts a particular emphasis on transparent reporting. Many defence companies argue that the details of their anti-corruption programmes should remain confidential. TI-DSP's view is that it is good practice for companies to report on their anti-corruption programmes on their websites, not least as a matter of public accountability. The companies with high scores on the index already do so, and there is no reason in principle why others should not follow their example.

As noted above (see Outcome 2b), the company representatives interviewed for this report expressed some concern about the *Companies Index* and—as TI-DSP's report on the index acknowledges—many declined to share information with TI-DSP that was not already in the public domain. The different views on this point illustrate the challenges of being both critical and collaborative faced by both TI-DSP and the wider TI movement. It remains to be seen how this characteristic tension will be played out once the index is launched. Again, this will be an appropriate topic for further exploration in the final evaluation of the current PPA.

### 3.7.1.3 Other tools

The indexes are part of a broader portfolio of tools that are publicly available on the TI-DSP website. Established tools include—for example—the curriculum for the integrity training that TI-DSP has conducted, and the Defence Integrity Pact methodology which is designed to make it easier to monitor major procurements. In our small survey of the TI National Chapters (see below, Section 3.6), eight out of the 16 respondents said that the Defence Integrity Pact methodology was "very useful" while a further four said that it was

“somewhat useful”. This is a point that could perhaps be explored in greater detail in the final evaluation of the current PPA.

Other tools made available in 2011 and 2012 include the TI-DSP report and methodology on auditing for corruption (*The 3rd line of defence: How audits help address defence corruption*); and its report on *The Transparency of Defence Budgets*, which includes both a country index and a questionnaire that can be used to establish a thorough assessment of each government’s performance. In February 2012, TI-DSP published a report on *Due Diligence and Corruption Risk in Defence Industry Offsets Programmes*. This combines an analysis on what has actually been happening in this sensitive but under-researched area, with practical guidance for both companies and governments. The team is also working on a *Conflict Policy Makers’ Toolkit* to analyse the corruption issues that threaten peace building initiatives, and to propose recommendations on how to avoid them.

### **3.7.2 Relevance**

The two indexes and the other tools that TI-DSP is developing are precisely *targeted* in that they are on the one hand diagnostic while at the same time pointing to practical solutions that can be adopted by governments, business and—from an advocacy perspective—civil society.

### **3.7.3 Effectiveness**

The indexes are an example of applied *learning* from TI-DSP’s earlier work that has now been taken to a further stage – an *innovative* expansion of existing boundaries. Both projects have drawn extensively on external *partnerships* in their design as well as in execution (e.g. through the programme’s engagement with the National Chapters).

*Sustainability* represents a more serious challenge in that, as with the programme as a whole, it depends on the availability of funding. It is to be hoped that the value of the indexes will be readily apparent both to their intended users and to external observers of the defence sector. They will be of even greater value to the extent that they can be updated in – say – two years’ time to track further developments.

### **3.7.4 Efficiency, Impact and value for money of PPA funding**

It is too early to assess impact in detail but in our observation the programme’s work on the indexes has been tightly and efficiently run, making full use of TI-DSP’s extensive network and resources. No other organisation can match this network or is better placed to do the work that TI-DSP has set itself.

## **3.8 Outcome 3b. Engaging with civil society (focussing on TI-DSP’s engagement with the wider TI movement)**

This objective is of central importance to TI-DSP both because of its own identity as a CSO and because - if all goes well - civil society will ultimately be a major driver for reform in the defence sector. TI-DSP’s position will be stronger to the extent that it can draw on the support, expertise and inspiration of other CSOs across the world, and vice versa.

The indicator for this objective is defined as:

Number and description of civil society organisations reporting capability in tackling defence and security corruption.

For the purposes of this evaluation, we focus on TI-DSO's engagement with the wider TI movement, including both TI-S and the 100-odd National Chapters, with only brief observations on the other NGOs with whom the programme engages. Our observations are based both on interviews and on the small survey that we conducted with a selection of National Chapters (As noted above, the survey was sent to 30 chapters, of whom 16 responded).

### **3.8.1 Results**

At first sight, the wider TI movement might appear to be a natural constituency for TI-DSP because of the shared interest in anti-corruption. In practice, the task of building relationships across the movement has required hard work on all sides rather than occurring naturally. There have been two main reasons for this:

- TI-DSP is a global programme based in a National Chapter and therefore, in governance terms, something of an anomaly within the TI movement (see the diagram in Section 1.4).
- The National Chapters vary widely in their size, capacity, interests and political circumstances. It cannot be taken for granted that they share a particular interest in defence.

Our overall findings are that TI-DSP has made much progress in building relationships across the movement over the past two years, but that considerable challenges remain.<sup>15</sup> Many of these relate to lack of capacity in the National Chapters. To state this problem is to point to a key part of TI-DSP's role, which is precisely to serve as a source of specialist expertise and to raise capacity within the movement. There is much more work to do.

#### **3.8.1.1 Governance**

One senior TI interviewee commented that, while the TI movement was heavily decentralised, its global governance was highly centralised. He and several other TI interviewees referred to the governance questions raised by the fact that TI-DSP was based in a National Chapter. These questions were "not easy". Nevertheless, there was a general consensus among interviewees, both in the UK and internationally, that these issues had now been addressed successfully, and that TI-DSP might even serve as a model for other future chapter-based global programmes.

A senior representative of TI-S sits on the subcommittee of the TI-UK Board to whom the TI-DSP Director reports. The TI-DSP Director has also in recent years made substantial presentations to the TI International Board, lasting as much as an hour and a half in a two-day meeting. In addition, the TI-DSP director and other senior staff members have made a point of participating regularly and actively in TI events such as the Annual Membership

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<sup>15</sup> Two of the evaluation team worked on the 2010-2011 NORAD evaluation of TI-S, and our observations on this progress draw on our earlier findings as well as our more recent interviews.

Meeting (AMM) and regional chapter meetings. TI-DSP's special contributions and future potential now appear to be well understood at senior levels of the movement. One of our interviewees, the TI-S regional coordinator for Africa, mentioned that in a recent meeting the President of Burundi had expressed interest in defence sector integrity: she was able to introduce TI-DSP and this initial contact led to a series of high-level meetings with senior officials. This is a good example of the potential for synergies between different parts of the movement.

On a similar note, it seems that questions had been raised – albeit among a minority – about the extent to which TI should engage with defence sector at all because of the many ethical sensitivities attached to the sector. These sensitivities are unlikely to disappear completely but, for now, they have been put to rest.

### 3.8.1.2 Relationships with National Chapters

An important strength of TI-DSP is its close relationship with National Chapters. Currently, the main challenge therefore concerns how TI-DSP might leverage this good working relationship to maximise impact, nationally and regionally.

In the period under review TI-DSP has made considerable efforts in this direction. In addition to its participation in international meetings and regular reporting to TI-S, these include the appointment of a staff member whose specific task has been to develop relationships with the wider movement. TI-DSP now reports that it is actively collaborating with 29 chapters, and in regular contact with 26, while another 34 are 'kept informed' about the programme's activities. As noted above, the National Chapter representatives contributed to some 70% of the countries covered in the *Governments Index*. TI-DSP's current projects in Kenya and Uganda (see Section 3.2.1) provide a good example showing how team-work with the chapters strengthens both sides.

The findings from our survey reflected this activity. When asked to characterise their relationship with TI-DSP, five out of the 16 respondents to our survey reported "close partnership and collaboration", a further eight reported "good friendly relations", while only two reported "intermittent contact" and one reported "no contact at all". Even more importantly, the quality of the relationship is high: six respondents reported that TI-DSP was "extremely helpful – always responsive, and provides useful assistance and advice", while a further seven stated that the programme staff were "generally helpful – generally responsive, and provide fairly relevant advice."

The survey reflected a broad spread of different kinds of engagement. When asked an open question on the three main areas where respondents had worked with TI-DSP, the answers ranged from training and research to expert consultation on a new defence procurement law, and advocacy with senior government officials. As one respondent noted:

Before partnering with TI-DSP, we had not had any experience or programme activities on Defence and Security. However since our partnership we have been able to carry out some activities and engage directly with the sector.

When asked to comment on the usefulness a selection of TI-DSP activities, the respondents highlighted both knowledge production – as reflected in TI-DSP publications and the

website – as well as the importance of “knowledge built through chapter engagement e.g. through visits and other direct cooperation.”

**Please evaluate the following in terms of their actual or potential usefulness to your chapter.**

	<b>Very useful</b>	<b>Somewhat useful</b>	<b>Not at all useful</b>	<b>Not applicable</b>
Knowledge built through chapter engagement	11	2	1	2
TI-DSP reports	11	2	-	3
TI-DSP website	9	4	-	3

The theme of knowledge built through direct chapter engagement is likely to increase in importance. One prominent recent example is the visits to Uganda and Kenya by senior TI-DSP staff discussed in the ‘Value for money’ analysis below (see 3.12.1) Another example comes from Malaysia (see box).

**Recent TI-DSP engagement with Malaysia**

In the last year TI-DSP has strengthened its contact with TI-Malaysia (TI-M), and both sides see opportunities for future collaboration. TI-M notes that until now defence has not been one of its special areas of expertise: to the extent that it works in this area, it will need TI-DSP “for the foreseeable future”.

TI-DSP made contact with TI-Malaysia after the latter published an article calling for greater transparency in the defence budget. This first contact led to TI-DSP’s participation in a November 2011 conference hosted by TI-M on “Building Integrity and Reducing Corruption Risks in Defence Spending”. The speakers included the TI-DSP director as well as a Malaysian member of parliament and a speaker from the Dutch embassy. As one of our TI-M interviewees observed, the conference proved to be an “eye opener”. On the back of the conference, the TI-DSP director ran a workshop for civil society participants on the analysis of defence budgets: the participants included NGO representatives from Indonesia and the Philippines as well as Malaysia.

In April 2012 TI-M organised a second conference in association with TI-DSP, this time on the proposed UN Arms Trade Treaty (ATT – see section 3.4). This brought the additional benefit in that it made it possible for TI-DSP to strengthen contact with the Malaysian representatives at the July 2012 ATT negotiations in New York.

TI-M sees the defence sector as a sensitive but important topic, and it hopes to conduct more activities in this area in the future. It is still looking for dialogue partners within the Malaysian establishment, but the Malaysian Anti-Corruption Commission (MACC) is likely to be one of the most important ‘entry points’. Funding is a potential concern. For example, a Western embassy representative expressed greater interest in funding TI-M’s forestry programme rather than the politically sensitive topic of defence.

### 3.8.1.3 Relationships with other NGOs working on defence issues

TI-DSP is in regular contact with a wide range of specialist NGOs, institutes and universities working on the defence sector. These include – for example – the Stockholm International Peace Research Institute (SIPRI) in Sweden and the Institute for Strategic Studies (ISS) in South Africa, as well as representatives of a number of university departments and centres in the US.

Interviewees from all these institutions spoke of TI-DSP with enormous respect both for its expertise and also for the quality of its engagement with business and government. In that respect they served as both primary sources, reflecting their own views, and secondary sources, reflecting the views of others. An important set of examples comes from these organisations' perceptions of TI-DSP's work on the ATT (see section 3.4), which has been overwhelmingly positive. One interviewee mentioned that his organisation was hoping to work with TI-DSP on the corruption-related aspects of a future project for a government donor: "On this topic they are the only people to whom we could go".

TI-DSP's engagement with these kinds of organisation has been satisfying and constructive but also relatively straightforward: defence experts share a common 'language' and interests.

### 3.8.2 Relevance

The analysis about TI-DSP's relevance to CSOs focussing on anti-corruption as well as the wider development agenda has three distinct aspects.

- The first concerns the significance of the defence sector in wider national and international patterns of corruption and underdevelopment and to CSOs working on these issues. As discussed above (see sections 3.8.1.2 and 3.8.1.2), the case for the relevance of the programme in this sense is very strong.
- The second concerns the CSOs' own identification of what is most important to them. This is more complicated. TI-DSP of course shares with the National Chapters an intense concern with the anti-corruption agenda. However, as will be discussed below, it cannot assume that they attach the same priority to the defence sector – at least not at the outset.
- The third question concerns TI-DSP's role once awareness has been raised and defence identified as a priority. Here, as will be seen, the responses both to our survey and to our interviews are very clear: TI-DSP's expertise is essential.

When asked an open question about their three greatest priorities in corruption, only one chapter specifically mentioned "defence" as its greatest priority. However, a further eight identified either "public sector" or "public sector procurement" as either their first or second priorities, and these categories obviously would include defence. Other responses to this open question included various aspects of political corruption (ten responses) – another category that might well be linked to corruption in the defence sector – as well as the private sector (three responses) and the judiciary (three responses).

When asked a closed question about the importance of the defence sector to their chapter's activities, only one respondent identified it as a "top priority", while a further seven stated

that it was “very important” and a further four thought it was “important but not essential”. Elaborating on its answer, one chapter pointed to the political sensitivities attached to the defence sector:

Corruption in the defence and security sector is very important in [our country]. However, for some time now it has been difficult to do much with the military and the police due to the political environment. However, this is changing now, and our work is slowly scaling up.

Another noted that:

[Our chapter] has assigned a particular officer to be a full time focal person on the DSP. [The chapter] has put a significant amount of its physical resources in the programme, e.g. vehicle, equipment and office space.

A third chapter pointed to the significance of transparency in the defence sector – or the lack of it – as a benchmark:

We are using defence and security sector for defining [the] minimum standard of openness: if this sector has a certain standard of transparency, others do not have any excuses for being less transparent.

To the extent that the National Chapters had identified defence and security as an important area of activity, they had little doubt of the benefits of working with TI-DSP. When asked about their expertise in defence matters, only one of the 16 respondents to our survey reported that their chapter had expert knowledge on defence, while two had expert knowledge of the police (see the chart below). A rather greater number - 11 and 8 respondents respectively – declared an informed interest in defence- or police-related corruption, but nonetheless acknowledged that they were not specialists.

<b>How do you relate your expertise (or the expertise of key people in your chapter) on matters relating to corruption in the following sectors?</b>		
	<b>Defence</b>	<b>Police</b>
Top expert: detailed knowledge and understanding of the issues	1	2
Informed interest: special interest because of our expertise in corruption, but we are not specialists on defence/police matters	11	8
Average knowledge and understanding	3	6
Poor understanding	1	-

Against that background, it was readily understandable that—like TI-Malaysia (see above)—the great majority of respondents regarded TI-DSP’s contribution as either “essential” or “important”.

<b>How important is TI-DSP's expertise for your chapter's work on defence sector corruption?</b>	
Essential: we could not work in this area without TI-DSP's assistance	9
Important: we have some knowledge but TI-DSP's assistance enables us to work in this area with greater confidence	4
Helpful but not essential: we could work on our own but TI-DSP's expertise is a useful supplement to our own knowledge	2
Not applicable	1

Respondents gave a variety of responses when asked an open question about the three top ways in which civil society could make an impact on defence and security sector corruption (see Appendix), but the most common responses related to research and media campaigns. Nine out of 16 respondents referred to engagement in one form or another. There was a similar spread of responses to a set of closed questions about the chapters' main areas of interest: "research projects" came first, followed by "engagement with Ministry of Defence officials", and workshops with civil society. All these are areas with to TI-DSP can contribute.

<b>Looking ahead, please rate your chapter's level of interest in the following potential activities relating to the defence and security sectors.</b>			
	<b>Very interested</b>	<b>Somewhat interested.</b>	<b>Not at all interested</b>
Research projects.	12	1	1
Engagement with Ministry of Defence/Ministry of the Interior/Police through training or workshops.	11	4	0
Workshops/events/conferences with civil society or the media.	11	3	1
Advocacy campaigns.	10	4	1
Work with other TI chapters/CSOs in neighbouring or regional countries.	10	4	1
Work with defence companies to raise standards.	5	7	3

It was striking that working with defence companies was the area that attracted least interest from National Chapters, with only five respondents stating that they were very interested. This disparity may reflect a certain unevenness of views towards the private sector in different parts of the TI movement. As noted in the evaluation of TI-S on behalf of Norad, only 18% of TI respondents identified the private sector as a priority issue in an internal survey conducted as part of the preparation for TI's *International Strategy 2015*.<sup>16</sup>

<sup>16</sup> See *Evaluation of Transparency International Report 8/1010 Evaluation*, Norad, p. 47.

### 3.8.3 Effectiveness

The overall picture that emerges is of a sustained pattern of *partnership* between TI-DSP and the Chapters that is contributing towards learning and innovation on both sides.

*Sustainability* remains a challenge. As noted above, several respondents commented that they would be dependent on TI-DSP's expertise for some time to come: this view highlights both the value of the programme and the ground that has yet to be covered in relation to capacity building. TI-DSP operates on the principle of partnership: it needs strong local partners in order to operate to maximum effect. A similar point applies to finance. When asked about funding for activities relating to the defence and security sector, one National Chapter respondent commented:

Our activities so far have been covered by our general budget. However we need to find alternative funding sources.

Another observed that:

Currently our general budget has very limited contribution it can make, mainly on a few administrative expenses. However, together with TI-DSP we have reached out to a number of local and international donors to support out activities. TI-DSP has also supported us with some funds to carry out the [*Governments Index*] survey and support some administrative costs.

When asked about potential funding sources for the future, nearly a third of respondents – five out of 16 – said that they would look to TI-DSP for support; four would look to another international donor; two would seek a grant from an organisation in their home countries; and two would use funds from their Chapter's general budget. Six respondents said that the question was "not applicable", implying that they had no particular plans in this area.

### 3.8.4 Efficiency, Impact and value for money of PPA funding

TI-DSP's engagement with the National Chapters fits into a wider pattern. Already before the beginning of the current PPA, TI-DSP had developed a high degree of expertise in their area of speciality, but had had limited success in sharing this expertise with the rest of the TI movement, in part because there were so many other demands on their time. The extra resources available via the PPA have helped address this problem. In that respect, they represent efficient utilisation and further development of a previously underused resource.

## 3.9 Outcome 4: The danger of defence and security corruption is prominent on the agenda of policy makers and international organisations (including the UNS, AU, World Bank, EU and NATO)

TI-DSP believes that engaging high-level decision-makers can have a positive impact on institutional change in the defence and security sectors to the ultimate benefit of all citizens.

Success in achieving this objective is summarised in the following two indicators in the log frame.

Number and description of defence integrity building or counter-corruption initiatives initiated by international organisations.

Pronouncements by high-level decision-makers in international organisations on the importance of tackling defence/security corruption.

Those indicators are of course only part of the story, and they reflect the results of long-term engagement processes with international organisations. The first year and a half of the PPA grant period points to both successes and challenges.

### **3.9.1 Results**

In the period under review (2011-2012), significant examples of TI-DSP engagement with international organizations include:

- TI-DSP engaged with Dirk Brengelman, the NATO Assistant Secretary-General for Political Affairs and Security Policy (PASP). Brengelman declared that “building integrity [training] has become the largest programme ever run by PASP” and that “they view TI-DSP as an enduring partner”. Brengelman’s enthusiasm of course reflects the positive results of TI-DSP’s earlier engagement with NATO as well as its current activities.
- In May 2012, senior TI-DSP consultants Nick Seymour and Sir Stuart Eldon visited New-York and met with two United Nations Department of Peacekeeping Operations (DPKO) representatives: Dmitry Titov, Assistant Secretary-General for Rule of Law and Security Institutions in the DPKO and Izumi Nakamitsu, Director of the Policy, Evaluation and Training Division in the DPKO. This visit was useful in raising TI-DSP’s profile at the UN and has created a base for further discussion. Titov subsequently issued a pronouncement instructing all UN missions about Defence and Security corruption and noting TI-DSP’s capability. The instruction was that they should “establish practical, low-maintenance contacts with TI-DSP which could help all of them to address the issue of corruption”.
- TI-DSP has made contact with several representatives of the OSCE (e.g Adam Kobieracki, Director of the OSCE Conflict Prevention Centre and Eoin O’Leary, Irish Chairmanship). Following those contacts, the Irish mission to the OSCE has put anti-corruption at the top of the agenda of their chairmanship, with TI-DSP encouragement. Adam Kobieracki also presented anti-corruption as an “important element of the work of some OSCE field presences” and declared that “he would welcome a TI-DSP presentation to meetings of OSCE Field Representatives in Vienna”.
- Nick Seymour has also been in contact with African Union (AU) representatives. Now that the African Union election is over, TI-DSP considers the next six months to be an appropriate time to start engage further with them.
- TI-DSP Director Mark Pyman established a new set of contacts with the World Bank with the help of Rima Al-Azar (a former TI-S regional director who is now a Bank employee). Pyman was called as an expert in a workshop on Security Sector Public Financial Management in July 2012. The workshop framework is the fulfilment of a security sector expenditure sourcebook by the Bank.

These contacts are in addition to TI-DSP's engagement with the UN Arms Trade Treaty process (see Section 3.4 above).

### **3.9.2 Relevance**

The relevance of those interventions appears clear: raising awareness among high-level policy makers could have significant resonance not only in the organisations themselves but also beyond. Such contacts could contribute to the building of partnerships in order to introduce sustainable changes in accordance with the TI-DSP theory of change.

This kind of engagement is also highly relevant in the sense that there appears to be an internal demand within these international organisations. One of the often-heard comments from the interviews is that corruption – including in relation to the defence sector - is now much more widely discussed than before. For instance, Mr Pyman's intervention at the World Bank in July 2012 was initiated by the Bank itself, which was keen to provide technical support to its representatives so that they could address corruption issues more thoroughly in its Public Expenditure Reviews.

The engagement with UN DPKO was clearly relevant to TI-DSP's mandate since this organisation directly works with beneficiaries in corruption-affected populations in peacekeeping missions. Most engagements, however, appear to result from the opportunities provided by TI-DSP consultants' and staff members' personal networks rather than from a specific targeting strategy.

### **3.9.3 Effectiveness**

Engagement with policy makers and international organisations is a good way to raise the dangers of defence and security corruption in the organisations themselves and among their clients. For instance, the July 2012 World Bank workshop provided a good opportunity to raise awareness on defence and security corruption. As noted above, TI-DSP has attempted to bring defence and security corruption to the attention of those who conduct Public Expenditures Reviews (PER) and the World Bank will now be seeking TI-DSP input in a forum on this issue. This is good example of a potential partnership to introduce substantive change.

Feedback from the attendees of the World Bank workshop was very positive. However, many of TI-DSP's engagements with other international organisations (e.g. the African Union) are at a relatively early stage and the second part of the PPA grant period will provide a clearer view of how far TI-DSP can push further with those organisations. It is too early to judge how far these initial contacts are sustainable

### **3.9.4 Efficiency, impact and value for money**

As one World Bank employee commented, the impact of the workshop on the organisation is high and "one can notice it in front of one's eyes". This is largely the result of TI-DSP's deep network and technical expertise, which allow them to engage the right organisation with the right speech at the right time. Thus, even though this is a bit early to claim, TI-DSP's engagement with the World Bank and other international organisations represents a strong potential for excellent value for money.

### 3.10 Additional comments on learning, value for money and leadership

#### 3.10.1 Learning through the MEKANIC process

In addition to the learning elements that have been discussed in the Outcomes sections above, TI-DSP has introduced the 'MEKANIC' meetings: the acronym stands for Monitoring, Evaluation, Knowledge, Affirmation, Network, Influencing and Change. These are quarterly one-day meetings in which feedback is sought from external stakeholders who have contributed to or participated in TI-DSP projects. External participants bring additional expertise while consultants and TI-DSP staff discuss progress, learning and challenges with a wider audience who bring both an external perspective and deep experience in related topics. The MEKANIC meetings last a full day and TI-DSP prepares a detailed programme which includes, for example:

- i) a detailed report of the previous MEKANIC meeting
- ii) statistics on TI-DSP web usage;
- iii) an overview of ongoing reform proposals;
- iv) a detailed overview of PPA performance indicators;
- v) a 'scrapbook overview' which collects comments on TI-DSP work from (sometimes previously unknown) commentators.;
- vi) different papers (at the July meeting these included a papers on police corruption, advocacy, and conflict and peacekeeping);
- vii) project reviews including assessments of what did or not work well.

This format provides makes it possible to collect knowledge, develop TI-DSP's network and assess progress, including against the indicators on the PPA logical framework. External participants appreciate the openness of the MEKANIC discussions and emphasize the value of the process as a means for TI-DSP to advance and innovate. TI-DSP are meticulous in making detailed notes of every single external meeting, as they see this as one of the best ways of recording learning and examples (i.e. not just 'actions'). They circulate these around the extended team and then also review the total package—usually 150-200 pages—at each MEKANIC meeting.

The MEKANIC process continues in between the quarterly meetings, following up on the main learning points and turning them into new work or tools. For example, at Mekanik V the idea emerged of doing a detailed analysis of what has been learnt and/or tried out on defence and security counter-corruption over the last ten years in Afghanistan. This came from discussion of what the international community had, or rather had not learnt. This idea is now being turned into a small project with TI-DSP interviewing many people to turn this nascent idea into reality; already it has gathered significant interest among many interested parties.

TI-DSP is also working on an internal review process that approaches learning in a broader sense going beyond MEKANIC.<sup>17</sup> This includes, for example, smaller studies to generate knowledge, evaluations and work with the National Chapters.

This MEKANIC process is innovative and is deeply embedded into the way that the team learns and strategizes. It is an excellent example of a process that maximises monitoring, learning and evaluation.

### **3.10.2 Value for money assessment**

We have selected the recent TI-DSP consultants' visits to Uganda and Kenya (see above section 3.2.1) as an appropriate Value for Money (VfM) case study. As noted above, this case is illustrative in that TI-DSP makes use of senior consultants to raise awareness about the sensitive issue of police corruption. After the introduction, the team assesses the "Three E's" economy, efficiency and effectiveness. For an overview of the definitions of the Three E's and the full value for money case see Annex G.

#### **Assessment of the 'Three E's'**

**Economy. Human resources:** The consultants who undertook these missions are eminent specialists, highly skilled in the substance of the assignment. They are strongly committed to TI-DSP's work and willing to work for fees that are well below market-rates. Given their backgrounds, they were able to obtain high level access without difficulty and to use their time effectively to provide a high degree of value-added with minimal transaction costs. They are existing staff members as distinct from external consultants hired via a firm, thus avoiding unnecessary overheads. Money spent on their work yielded a high return in terms of VfM. Beneficiaries were very impressed by their knowledge and understanding of their needs.

#### **Travel and lodging expenses**

TI-DSP makes strenuous efforts to keep air fares down, including by noting seasonal fluctuations in fares, and searches for the best possible hotel deals, consistent with effective implementation of the mission (e.g. reliable internet access to maintain communication).

#### **The relevance and use of the two TI National Chapters**

TI-Uganda (TI-U) prepared well and was able to exploit the presence of consultants to open several important doors during two short visits. This reduced transaction costs and ensured that the consultants' time was spent efficiently and effectively, as well as improving TI-U's own profile. At least 95% of all appointments were honoured. TI-U is also experienced in administering international project money and should be in a good position to help secure and administer the funds necessary to take forward the project with the Ugandan Police. The team undertook to contact a number of embassies and agencies to discuss possible co-funding.

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<sup>17</sup> TI-DSP. *Learning – how do we learn and how does it change how we work? How we learn – ten ways*, Draft August 2012.

Similarly, TI-DSP has developed a good relationship with TI Kenya which was briefed on the results and followed with several contacts after the mission, at no extra cost to itself. The 'Leadership Day' in late September provided an opportunity to take the relationship further, including by contacting donors who may be prepared to fund some of the activities proposed by TI-DSP and TI-K. It is helpful that TI-K had earlier worked with the Kenyan MoD on recruitment policy in the Kenyan Defence Forces.

### **Efficiency**

Both missions produced a mission report which provides detailed information about the results of their work, including:

- assessing the current situation of integrity and anti-corruption in the police and defence forces of both countries;
- identifying concrete interventions such as training, including costs and dates;
- assessing the needs for training and made to measure training response;
- using TI-DSP's research and handbooks to demonstrate what can be done and discussing possible adaptations of such material to the country or regional context;
- identifying options for mobilising resources to conduct training.

The reports include follow-up actions and proposed dates for training that could be done while the consultant is on mission in the region for another assignment, thereby reducing travel costs. However, funding gaps remain in relation to the modest programme activity foreseen.

### **Effectiveness**

- Missions to Uganda and Kenya were combined; two consultants continued from Kampala to Nairobi, thereby ensuring economy and efficiency gains in the use of resources.
- The TI National Chapters supported the missions, reducing preparatory time and costs of the consultants. The chapters can ensure follow-up and respond quickly.
- TI-DSP's materials and reports served as useful supporting examples.
- Similar training has been conducted before and there was therefore no need to develop separate training materials.
- Some of the mission members are also participating at TI-DSPs regular MEKANIC learning events which provide the opportunity to learn how DSP can effectively engage with its target groups and how – if the work shows results – the approach can be replicated.

The value for money is excellent and this model could be applied across different sectors, countries and regions.

### 3.10.3 Leadership

Almost all our interviewees mentioned the TI-DSP team's high level of professionalism, including its responsive and entrepreneurial qualities. In particular, TI-DSP Director Mark Pyman was praised for his commitment, knowledge and skill. At the same time, some interviewees added a note of caution to say that the programme should avoid being too dependent on him.

TI-DSP is aware of the need to create a broader leadership base. Recent initiatives in this direction include bringing the core senior consultants closer in to the programme, so that they too are part of a leadership group in addition to the Director. The number of deeply involved consultants has risen from one to five in the past 18 months. At the same time, TI-DSP has been recruiting more senior staff members, typically in their early 30s, in order to bridge the gap between bright but inexperienced post-graduates and the Director.

## 4 CONCLUSIONS

At the beginning of Section 3 we posed the question of 'strategic breakthroughs', raising the question whether they might be most likely to consist of small – but often highly significant – incremental changes or 'watershed moments when the whole nature of the defence and security sector in a particular country begins to change'.

Incremental changes should by no means be undervalued. As TI-DSP itself notes in an internal discussion document, "change happens through many hundreds of small changes, and you cannot—cannot—[repetitive emphasis in the original] predict which ones will aggregate into something much bigger".<sup>18</sup> Nevertheless, despite this note of caution, the programme has developed a clear, highly articulate view of what contributes to change. The ingredients include: an emphasis on prevention (not just prosecution); international comparisons; the possibility of solutions (and therefore hope); and an ability to identify—and foster—political will.

For much of its history—and arguably even now—TI-DSP's approach has been to look for openings wherever they might be found, often as a result of introductions from well-placed individuals. In the process, it has built up an unrivalled body of experience. It is now at the stage where it is consolidating that experience. Despite TI-DSP's own note of caution, this approach offers the possibility of developing both "hundreds of small changes" and "something much bigger"—in other words 'watershed moments'. It could not have got to this point without DFID funding.

### 4.1 Summary of achievements against evaluation criteria

The PPA grant represents a major step in TI-DSP's evolution, making it possible to consolidate its existing expertise and develop new tools such as the *Governments Index* and

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<sup>18</sup> *Reducing corruption in defence. How to effect change in nations. Approach and rationale.* TI-DSP discussion document, April 2012.

the *Companies Index* that are potentially of strategic importance, as well as expanding its engagement with all three sectors: governments, companies and CSOs.

At the same time, it is important to recognise that the programme is still very lean, with only nine full-time staff members in addition to its network of consultants. Many of our interviewees expressed admiration at the scale of its achievements given its small size. As noted above, one of our interviewees observed that the programme is “worth a couple of regiments”. This refers to just one of the countries where it has operated.

#### **4.1.1 Relevance**

There can be little doubt of the continuing relevance of the programme’s activities and its mandate. The comments by former DFID Secretary of State Clare Short cited at the beginning of this report still apply. Over the last decade, there has been considerable progress in the development of legal instruments to combat corruption, as well as improved procurement practices. There is greater awareness of what needs to be done, and TI-DSP has itself made an important contribution both by developing and publicising practical tools that can be used to combat corruption. Nevertheless, implementation remains an enormous challenge.

As noted above, one of the distinguishing features of TI-DSP’s work is its holistic coherence, working with both governments and companies, and in alliance with CSOs across the world. These themes are fully apparent in the programme’s activities over the last year.

#### **4.1.2 Effectiveness**

During the PPA grant period, TI-DSP has been building on an existing body of expertise, but taking it to new levels. The MEKANIC process is a notable example of how the programme learns from experiences. It disseminates its learning in training, in direct engagement with governments, and through the many publications on its website. The *Governments Index* and the *Companies Index* will serve both as benchmarks, and as a call for action.

TI-DSP continues to make extensive use of partnership with like-minded NGOs and research institutions. In the period under review, it has made significant advances in building its relationships across the TI movement.

#### **4.1.3 Efficiency**

TI-DSP has been skilful in making maximum use of its resources, notably in the combination of younger in-house staff members with older, highly experienced external consultants.

TI-DSP seeks economy, efficiency, and cost effectiveness through monitoring of expenditure on a quarterly basis while carefully planning activities. TI-DSP benefits from TI-UK’s experience and its administrative costs are reduced because it can share administrative services, and its publications are prepared in-house.

As noted in the Value for Money case study above, the programme demonstrates economy and efficiency in the way that it seeks to extract maximum benefit at minimum cost in its overseas visits.

Several interviewees with special knowledge of TI-DSP's contribution to the ATT process commented very favourably on the effectiveness of TI-DSP's two-man team, including by comparison with the larger teams fielded by other NGOs at the ATT negotiations.

The Ukrainian secondments to TI-DSP's London headquarters are another example of a highly cost-effective use of resources. This is a two-way process: the research conducted by the secondees is published on the TI-DSP website. At the same time, after their return to their home country the former secondees are in a powerful position to act as change agents within their respective defence establishments.

#### **4.1.4 Sustainability**

At an institutional level TI-DSP remains highly dependent on DFID's support via the PPA grant. The programme is actively seeking additional sources of support: it is most likely to find them at the project level, for example in relation to the proposed police projects in Kenya and Uganda.

The potential sustainability of TI-DSP's reform initiatives relates to TI's theory of change as discussed in Section 1.5. Lasting change is most likely to happen as a result of initiatives on three levels including (a) voices for change from citizens; (b) game-changing programmes that focus on government and across bureaucracies; and (c) at the top, through policy proposals, influence and pressure, again involving cross-platform groups. Realistically, it is still at an early stage.

## **4.2 Summary of achievements against rationale for PPA funding**

The PPA evaluation strategy defines additionality as "What is being achieved by grantees that would not have been achieved without DFID funding". In TI-DSP's case, the question is easily answered. At the most basic level, the programme would scarcely exist in its current form without financial support from DFID, and therefore almost all the achievements listed above can be attributed to PPA funding. In particular:

- The PPA has allowed TI-DSP to work systematically on all four designated Outcomes;
- TI-DSP has been able to conduct research, publish papers and develop practical tools which constitute an important source for building concrete reforms in the defence and security sectors.
- Training is a key activity that can be adapted and introduced in stable, conflict affected and fragile states. It has the potential to raise the scope and impact of the programme.
- TI-DSP is going through an extended process of consolidating and disseminating learning experience of defence and security reforms that are and are not effective.
- In MEKANIC, TI-DSP has developed innovative learning tool that is unique to the organisation and that other NGOs do not have.

The first particular advantage of the PPA – as distinct from other funding mechanisms – is that it has provided TI-DSP with a financial basis from which to conduct strategic development work, notably the work on the two indexes. These provide a structured basis for comparison between different government entities and companies and, in doing so, establish an agenda for reform.

Secondly, the PPA provides TI-DSP with the flexibility to respond to opportunities as they arise, for example in Uganda and Kenya.

### **4.3 Summary of problems and issues encountered**

Value for money and additionality are closely linked and the team introduced a separate section on additionality in the report. A value for money case was undertaken in cooperation with TI-DSP.

The new outline was discussed with TI-DSP and the team expressed concern that the section on findings may cause fragmentation in discussing the four Outcomes. After consultation with TI-DSP, it was decided that the findings chapter would discuss each Outcome separately and treat the different elements that are required in the outline in the narrative.

### **4.4 Overall impact and value for money of PPA funded activities**

For TI-DSP the PPA resources are strategic: they make it possible to ‘penetrate the impenetrable’, to experiment with different approaches in different countries, and to take risks—such as the *Defence Companies Index*—that would not be possible within the constraints of a traditional project approach with closely defined deliverables.

### **4.5 Lessons learnt**

#### **4.5.1 Policy level**

The defence and security sector is still a relatively new terrain: the task of changing existing policies or introducing new ones in governments and organisations is challenging and takes time.

TI-DSP an important source of information, learning and providing practical tools. Integrity and anti-corruption are now on the radar of the defence and development community. In country, National Chapters are important allies for TI-DSP’s engagement.

TI-DSP tools and training course are mainstreamed such as in NATO, and countries can use the programme’s diagnostic tools to assess the robustness of their integrity procedures and systems.

#### **4.5.2 Sector level**

TI-DSP’s approach is holistic: it deals with representatives of all sectors, including national governments, business, civil society and international organisations.

*The government defence sector:* TI-DSP has already started following up with those who received training and is collecting evidence about the impact of such training. Such evidence will constitute important learning opportunities for TI-DSP while at the same time it provides new entry points for assessing the sustainability of changes and deepening engagement over time increasing integrity and anti-corruption systems and tools. The engagement needs to deepen and the new indices will provide TI-DSP with new tools to open discussions.

*Defence companies:* After the launch of the *Defence Companies Anti-Corruption Index*, TI-DSP will need to develop a robust strategy to optimize working with companies and IFBEC for the remainder of the PPA grant period.

*Civil Society:* the particular combination of skills that TI-DSP represents might be replicated more widely.

*International organisations:* TI-DSP's working with international organisations needs to go beyond the personal network of individual consultants, and should be based on a robust assessment of what each organisation most needs.

#### **4.5.3 PPA fund level**

Flexible funding is extremely valuable in that it facilitates engagement with key actors in the defence and security sector, as well as making it possible to develop practical tools, conduct and publish research, strengthen learning and innovation, and achieve value for money. It allows funding for salaries for three years thereby it possible to invest in a medium-term strategy: it ensures continuity and it allows TI-DSP to improve coherence among the four Outcomes.

#### **4.5.4 Organisational level – management, design, implementation**

TI-DSP operates a lean and highly effective management structure, skilfully combining the talents of younger up-and-coming in-house staff with highly-experienced consultants who together provide excellent value for money.

### **4.6 Recommendations**

#### **4.6.1 For DFID**

1. Flexible unrestricted funding is justified and should be continued: it is a major reason for the impressive advances that this programme is making.
2. Given that DFID and associated agencies have different units that benefit from TI-DSPs work (CHASE, Civil Society Department, Anti-Corruption, Regional Departments, Country Offices Stabilisation Unit) it would be useful to discuss the wider policy implications of TI-DSP's work and where the programme could

strengthen its efforts to inform policy analysis. The programme's impact in developing countries and in particular fragile and post conflict states deserves more attention.

#### 4.6.2 For TI-DSP

##### Outcome 1

1. TI-DSP should continue its evaluation work of training senior officials in MoDs and international organizations with a view to documenting and collecting evidence of changes and the impact of such changes that can be attributed to TI-DSP by the end of the grant period.

##### Outcome 2

1. Depending on the status of the next step in the ATT, TI-DSP should continue its highly effective and efficient work. In the first instance the main emphasis will be on securing a treaty that includes the anti-corruption clause. Once this is achieved, a new and even larger phase of work will begin. The word of the treaty is necessarily principle-based, and there will then be a major task to define appropriate implementation measures for both governments and companies. TI-DSP is ideally placed to play a highly influential role in this process
2. TI-DSP should consider engaging with the diplomatic process relating to other related international initiatives, for example the EU Common Position on arms exports.<sup>19</sup>
3. After the launch of the *Companies Index* TI-DSP needs to develop its strategy for influencing and engaging with companies and IFBEC for the remaining period of the grant. It should put particular emphasis on refining models of best practice—for example on risk assessment—as applied to the defence industry. As noted above (see Section 3.4.1) the draft ATT itself emphasises the need for risk assessment: TI-DSP can help interpret what this means for companies.
4. TI-DSP should seek to accelerate IFBEC members' emerging priorities such as expanding memberships beyond umbrella organisations, and ensuring a better balance between North American and European companies on the one hand and companies based in emerging economies, including China, South Africa, India and Brazil.
4. TI-DSP should develop a case study or pilot which combines a selection of companies of the company index with countries in the government index and demonstrate and

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<sup>19</sup> On this point see Mark Bromley, "The review of the EU common position on arms exports: prospects for strengthened controls". EU Non-proliferation Consortium Non-Proliferation Papers No. 7 (Jan 2012). <http://www.sipri.org>

collect evidence on how these two tools reinforce each other, including the role and contribution of National Chapters.

### **Outcome 3**

1. TI-DSP should develop a strategy for using the favourable TI-DSP/National Chapter relationships in order to get more public coverage of the need for defence reform in each country, and use this to evolve a template for simple ways in which the lessons learnt can be followed up in a wide range of countries.
2. TI-DSP should systematically include contributions from National Chapters and TI-S representation in MEKANIC.

### **Outcome 4**

1. The programme should develop a targeted analysis for each international organisation to assess how TI-DSP can contribute to its specific needs, and how in turn they might on how they might contribute—and add—to TI-DSP's network and goals.

### **Overall**

1. TI-DSP should continue the process of distilling and disseminating 'lessons learnt' – not just the lessons of what makes for a successful reform programme but also the ingredients of effective NGO engagement
2. TI-DSP should consider modifying its theory of change for each Outcome, including a more explicit elucidation of the positive impacts of the programme on improving the lives of poor and marginalised people.
3. DFID and TI-DSP should consider merging Outcomes 1 and 4, revising the indicators to make them more specific.

#### **4.6.3 For TI-S**

1. TI-S should continue to foster close relations between TI-DSP and the wider TI movement. It should consider how far the particular success factors of the programme—in particular the combination of younger staff members and experienced consultants, and the MEKANIC process—can be applied elsewhere in the movement.

## **5 ANNEXES**

### **5.1 Annex A: terms of reference**

#### **5.1.1 Background**

Main contributions of the CHASE PPA:

- Defence and security anti-corruption reform being underway in a variety of nations
- International arms transfers being conducted with improved controls against corruption
- Practical tools and increased capacity making it easier for civil society, governments, and companies to address defence and security corruption
- The danger of defence and security corruption being prominent on the agenda of policy makers and international organisations

#### **5.1.2 Objectives of the IPR (independent progress review)**

- To assess progress on the PPA and verify TI-DSP's reporting to DFID on this progress
- To assess the impact that DFID funding has had on the organisation
- To assess the Value for Money provided by TI-DSP
- To derive lessons which will enable TI-DSP to inform its future strategies, programmes, approaches and set-up

#### **5.1.3 Assessment criteria and IPRs questions**

##### 5.1.3.1 Relevance

- Do the planned interventions and outcomes (as expressed in the logframes) reflect the needs of the target audiences?
- To what extent has TI-DSP been maximising the impact of their work on their target population?
- Is the theory of change which underpins the PPA valid? I.e. is the assumption valid that through the outcomes the PPA seeks to achieve the lives of citizens will be improved?

##### 5.1.3.2 Efficiency

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

##### 5.1.3.3 Effectiveness

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

#### 5.1.3.4 Sustainability

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

#### 5.1.3.5 Results

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

#### 5.1.3.6 Additional question

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

## 5.2 Annex B: evaluation schedule and time table

	Emery Brusset	John Bray	Jups Kluysk.	Ben. Nénot	W27	W28	W29	W30	W31	W32	W33	W34	W35	W36	W37	W38	W39	W40	W41	W42
<b>Field Phase</b>																				
Preparation and logistics	0	0	0	1	■															
Survey design and introduction to chapters and key informants	0	0	0	4	■	■	■													
Phone interviews	0	1	1	0		■	■	■	■	■	■									
Visit to Berlin	0	3	3	0								■								
Data consolidation and analysis	0	0	0	1								■	■							
Team meeting in Brussels	0	1	1	1									■	■						
Draft final report	1	2	2	1										■	■					
Presentation of final report - London		1	1	0												■				
Comments on draft report from TI	0	0	0	0												■				
Second Draft	0	0	1	0													■			
Comments on 2nd draft from TI	0	0	0	1													■			
Final report	0	0	0	0														■		
Final Submission to TI	0	0	0	0															■	

## 5.3 Annex C: data collection tools

### 5.3.1 Evaluation framework

Our hypotheses will guide our judgement on which questions are most applicable to individual interviewees.

Evaluation Criteria	Specific Questions reflecting each	What to look for and	Who to ask
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		outcome	evidence	
1	<p><b>Relevance</b></p> <p>1.1 Do the planned interventions and outcomes (as expressed in the log frames) reflect the needs of the target audiences?</p> <p>1.2. To what extent has TI-DSP been maximising the impact of their work on their target population?</p> <p>1.3 Is the theory of change which underpins the PPA valid? I.e. is the assumption valid that, through the outcomes the PPA seeks to achieve, the lives of citizens will be improved?</p>	<p><b><u>Introductory note:</u></b></p> <p><b><u>In many countries, corruption – particularly in defence and security – is a sensitive issue that is not openly discussed. Where TI DSP assesses this to be the case, the first aim is for the government/MoD/security forces to start acknowledging that there is a problem, and to start discussing it.</u></b></p> <p><b><u>Once this ‘awareness’ has been raised and they come to appreciate the problem, TI-DSP can offer further assistance in preventing and tackling the different elements of corruption and lack of transparency. It is precisely the knowledge of how to conduct this work that has been developed in the course of the PPA grant and under previous DFID grants. In a second stage TI-DSP is then able to tailor its support to emerging needs that are identified and articulated by the target group once they are willing and prepared to tackle corruption.</u></b></p> <p><b>Outcome 1: Defence reform initiatives</b></p> <ul style="list-style-type: none"> <li>• Has the programme offer tools and/or insight and/or support in identifying and analysing integrity-related problems in your organisation?</li> <li>• Does this programme meet your needs for promoting/undertaking defence or security reforms initiatives in your country? And how particularly does it meet your needs in relation to integrity issues? To the extent that it does not, what are the reasons?</li> </ul> <p><b>Outcome 2: International arms transfers</b></p> <p><b>As above: Does this programme enable you to identify and articulate your needs in relation to integrity issues and</b></p>	<p>Political will of the target group and the contextual conditions that prevail. Where possible distinguish between high level and low level of political will. For example, the MoD of Ukraine and the MoD of Bulgaria.</p> <p>Data on what systemic changes can be detected as a result of DSP</p> <p>Government Programmes that reflect the reform initiatives, including legislation occurring after the initiative</p> <p>Relevance of the workshops and trainings facilitated compared to the needs of the beneficiaries</p> <p>Relevance of the chosen way of engagement compared to</p>	<p>Ministries of Defence and Security Targeted countries</p> <p>CSOs (including national chapters)</p> <p>OCSE for an overview of defence integrity issues in their sphere in order to assess the context in which TI-DSP operates</p> <p>Specific Case? E.g the Afghanistan government?</p> <p>Sample of states with whom TI-DSP engages.</p> <p>Regional and national defence industry</p>

		<p><b>international arms transfers?</b></p> <ul style="list-style-type: none"> <li>• Does this programme meet your needs for improving control against corruption? And how particularly does it meet your needs to the extent that it does not, what are the reasons?</li> <li>• How have companies responded to the anti-corruption agenda? To what extent have they put in place anti-corruption controls, and what is TI-DSP's contribution to raising this issue and promoting standards? IFBEC for example</li> </ul>	<p>the needs of the beneficiaries</p> <p>Proof of the # of companies responding and examples of cases</p>	<p>organisations (IFBEC)</p> <p>Selection of companies and IFBEC</p>
		<p><b>Outcome 3: Civil society</b></p> <ul style="list-style-type: none"> <li>• Do you think that your organisation (<i>Depending on the interlocutor</i>) benefits from TI-DSP intervention? Do its tools and approaches help you to improve your understanding of these issues and how to address them?</li> <li>• Can you -based on TI-DSPs support-better counter corruption in the defence and security sectors? Are the tools and approaches developed by TI-DSP responding to your needs? In which specific field have they been helpful? In which specific field do you need better knowledge/practical tools to tackle the issue of defence and security corruption?</li> <li>• Are the tools that have been developed by TI-DSP relevant to you (usability? What changes can you observe as a result? E.g. behaviour of individuals, new procedures in the organisations, reporting on malpractices.</li> </ul>	<p>Use of the beneficiaries for such practical tools and knowledge</p> <p>Proof that the tools have had an effect. Are some of these tools now mainstreamed and training part of the regular business processes? (lasting added value)others?</p>	<p>CSOs (including TI national chapters)</p> <p>Experts trained by TI-DSP? (qualitative)</p> <p>Governments</p> <p>Companies</p> <p>NATO</p>
		<p><b>Outcome 4: policy-makers and international organisations</b></p> <ul style="list-style-type: none"> <li>• How has the TI-DSP programme influenced your thinking re the dangers of corruption in D&amp;S? What have been the results of this? e.g. agenda points in meetings; developing guidelines, lobbying for legislation and policies, etc.</li> </ul>		<p>International organisations (UN, AU, African Development Bank, World Bank, EU, and NATO)</p>
2	<p><b>Efficiency</b></p> <p>2.1 To what extent is TI-DSP able to evidence their cost effectiveness and as such to demonstrate an</p>	<p><b>Outcome 1: Defence reform initiatives</b></p> <ul style="list-style-type: none"> <li>• Are there other, more efficient ways of reaching the same effect?</li> <li>• Is there financial waste in the way the programme operates? <ul style="list-style-type: none"> <li>○ In the overall structure?</li> <li>○ In the expenditures?</li> <li>○ In the work plans?</li> <li>○ Dissemination of the</li> </ul> </li> </ul>	<p>Efficiency gains</p>	<p>TI DSP trained experts</p> <p>TI chapters</p> <p>TI-S</p>

	understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains?	publications? Is it adequate? <ul style="list-style-type: none"> <li>○</li> <li>○ Does TI DSP have a communications/advocacy strategy to efficiently communicate with its target audiences, e.g. through social media where appropriate?</li> </ul>		
		<p><b>Outcome 2: Arms transfers</b></p> <ul style="list-style-type: none"> <li>• Do you see any opportunity for improving efficiency in reaching and influencing the defence industry and the governments worldwide? <ul style="list-style-type: none"> <li>○ In the expenditures?</li> <li>○ In cost sharing?</li> </ul> </li> <li>• Do TI chapters and other NGOs make use of the TI-DSP website and publications? Does the defence industry index impact companies (as far as we can see at this stage) and how? Does it lead to engagement? Improved practices</li> <li>• Idem for governments?</li> </ul>	Efficiency gains	TI chapters  CSOs  TI-S
		<p><b>Outcome 3: Civil society</b></p> <ul style="list-style-type: none"> <li>• Do you see any opportunity for improving efficiency in the production, sharing and dissemination of the knowledge and practical tools developed by the programme to address defence and security corruption? <ul style="list-style-type: none"> <li>○ In the overall structure?</li> <li>○ In the expenditures?</li> <li>○ E-learning?</li> <li>○ The use of national chapters to continue the work</li> </ul> </li> </ul>	Efficiency gains	CSOs  TI chapters  TI-S
		<p><b>Outcome 4: Policy-makers and international organisations</b></p> <ul style="list-style-type: none"> <li>• Do you see any opportunity for efficiency gains for reaching and influencing policy makers and international organisations? <ul style="list-style-type: none"> <li>○ In the expenditures?</li> <li>○ In cost sharing?</li> <li>○ In collaborating with national chapters and with other NGOs if national chapters are absent?</li> </ul> </li> </ul>	Efficiency gains	TI chapters  CSOs  TI-S
3	<p><b>Effectiveness</b></p> <p>3.1 To what extent are the achieved outputs contributing to the achievement</p>	<p><b>Outcome 1: Defence reform initiatives</b></p> <ul style="list-style-type: none"> <li>• Do you believe that conducting high level governmental workshops, amongst others, and other type of events is a good way to engender defence or security reform initiatives? <i>Depending on the interlocutor.</i></li> </ul>	Concrete examples of reform initiatives engendered by TI DSP events	Targeted countries, governments, justice ministries, anti-corruption commissions  CSOs (including

<p>of the expected and set outcomes?</p> <p>3.2. Is TI-DSP monitoring and systematically collecting data to inform management, evidence-base decisions, and introduce mid-course corrections?</p>	<ul style="list-style-type: none"> <li>Do you find that the events and the workshops conducted by TI DSP are serving to build knowledge and stimulate or contribute to defence or security reform initiatives in developing countries and in conflict or unstable environments? <i>(Depending on the interlocutor)</i></li> <li>What strategies has TI-DSP employed to enhance leverage to ensure enforcement of the reform initiatives and government programmes? Are there other strategies that it could adopt?</li> </ul>	Is enforcement evolving (cases?) and more robust?	national chapters)
	<p><b>Outcome 2: Arms transfers</b></p> <ul style="list-style-type: none"> <li>Do you think that engagement and work with industry and countries <i>(Depending on the interlocutor)</i> are contributing to more responsibility in international arms transfers and improved control on corruption?</li> <li>How has the TI-DSP influenced the process/negotiations and corruption element of the ATT and with what results?</li> <li>Have other organisations and individuals supported TI-DSP in its efforts?</li> <li>What kinds of collaboration are taking place? What could take place?</li> <li>Are there States that have explicitly supported TI-DSP and its influence on the ATT?</li> <li>Is IFBECs's role effective and how has the TI-DSP influenced it? How could it become more effective?</li> <li>How is TI-DSPs work affecting other NGOs which fight against corruption in defence and security</li> <li>As far as can be seen to date, is the defence index likely to lead to different practices? How is the tool used by companies and governments?</li> </ul>	Concrete examples of influences and outputs realisations	States sample TI-DSP engages. Regional and national defence industry organisations CSO TI chapters Ambassadors UN Selection of governments SIPRI IFBEC INGOs TI-S Companies
	<p><b>Outcome 3: Civil society</b></p> <ul style="list-style-type: none"> <li>Do you believe that the practical tools produced by TI DSP are contributing to better ability for CSOs, governments and companies to counter corruption? <i>(Depending on the interlocutor)</i></li> <li>Is there proof of NGOs/CSOs results and effects?</li> <li>Can TI DSP in collaboration with national chapters or other NGOs they scale up activities? Why not?</li> <li>Should there be training programmes</li> </ul>	Concrete examples of practical tools use by CSO and governments	Governments Companies CSOs

	<p>for NGOs/CSOs through which TI-DSP can become more effective in advocacy, holding government accountable, etc. What are the limitations for CSOs, e.g. political environments in developing countries, and how does TI DSP address them</p>		
	<p><b>Outcome 4: Policy makers and international organisations</b></p> <ul style="list-style-type: none"> <li>• Do you think that engagement with policy makers and international organisations are contributing to a better promotion of the dangers of defence and security corruption in policy makers and international organisations agenda? <i>(Depending on the interlocutor)</i></li> <li>• Are defence integrity building and counter corruption initiatives developed in the international organisations? What role does TI-DSP play and what role could it play in raising the profile of such initiatives?</li> </ul>	<p>Proof of the initiatives, policy and procedures?</p> <p>Allocation of staff?</p>	<p>International organisations (UN, AU, African Development Bank, World Bank, EU, and NATO)</p>
	<p><b>M&amp;E:</b></p> <ul style="list-style-type: none"> <li>• How robust are TI-DSP's information collection tools?</li> <li>• Does information that TI-DSP gathers on its external impact feed into formal and informal reporting requirements and does it measure what it is supposed to measure? ( baselines and milestones )</li> <li>• What are the strengths and weaknesses of the M&amp;E system?</li> </ul>		
	<p><b>MEKANIC</b></p> <ul style="list-style-type: none"> <li>• How effective is it?</li> <li>• Is the learning documented, validated and disseminated internally and externally?</li> <li>• Can learning be traced over time and does it positively affect the DSP programme?</li> </ul>		
	<p><b>Innovations:</b></p> <ul style="list-style-type: none"> <li>• What innovations has TI-DSP been able to introduce based on its learning?</li> <li>• How has DFID funding enabled TI-DSP to innovate and influence change that would not have otherwise been possible?</li> <li>• Are there any examples whereby models/ tools/ instruments are</li> </ul>	<p>Training manuals</p> <p>Guidance notes</p> <p>Indices</p>	<p>TI-DSP</p> <p>Companies</p> <p>International Organisations</p> <p>TI-S</p> <p>TI-UK</p>

		<p>adopted by others?</p> <ul style="list-style-type: none"> <li>• Is there a potential for replication and scale-up?</li> </ul>		
4	<p><b>Sustainability</b></p> <p>4.1 To what extent is TI-DSP able to disseminate, share, and mainstream the learning?</p> <p>4.2 To what extent is TI-DSP setting up strategies that will ensure the sustainability of the respective outcomes post DFID's funding?</p> <p>4.3 To what extent is TI-DSP benefiting the sector as a whole? If yes, how? If not, what could be improved?</p>	<p><b>Outcome 1: Defence reform initiatives</b></p> <ul style="list-style-type: none"> <li>• How do you internalise the high level governmental workshops and events facilitated by TI DSP?</li> <li>• In defence or security reforms initiatives?</li> <li>• Other</li> <li>• Which concrete changes have you noticed from the workshops and events facilitated by TI DSP?</li> <li>• In your organisation/structure?</li> <li>• In defence or security reforms initiatives?</li> <li>• In the sector as a whole?</li> <li>• Do you think those changes are sustainable?</li> <li>• How have TI-S and the movement benefitted from the TI-DSP?</li> <li>• How have companies, governments and international organisations benefitted from the programme?</li> <li>• What are the programmes dissemination tools and ways and are the adequate to its users?</li> </ul>	<p>Documents that show financial allocations?</p> <p>Handbooks on corruption?</p>	<p>TI-S, including Individual Members</p> <p>TI Chapters</p> <p>Governments</p> <p>International Organisations</p> <p>NATO</p>
		<p><b>Outcome 2: Arms transfers</b></p> <ul style="list-style-type: none"> <li>• Which concrete changes have you noticed after the engagement of TI DSP in your organisation? (<i>Depending on the interlocutor</i>) <ul style="list-style-type: none"> <li>○ In your organisation?</li> <li>○ In the ATT?</li> <li>○ In the IFBEC?</li> <li>○ In the sector as a whole?</li> </ul> </li> <li>• Do you think those changes are sustainable?</li> <li>• Is there a multiplier effect on States due to the programme's existence? cf the Transparency Index: nobody wants to be low on the index.</li> <li>• Can TI-DSP's ATT support sustain beyond the negotiation process?</li> </ul>		<p>UN-ATT</p> <p>Ambassadors</p>
		<p><b>Outcome 3: Civil society</b></p> <ul style="list-style-type: none"> <li>• Which concrete changes have you perceived in your own organisation with the use of the practical tools</li> </ul>	<p>Documents</p> <p>Grant applications</p>	<p>TI-Chapters</p> <p>NATO</p>

		<p>developed by TI DSP and after engaging with TI-DSP?</p> <ul style="list-style-type: none"> <li>• For your capability in tackling defence and security corruption? <ul style="list-style-type: none"> <li>○ Do you think those changes are sustainable?</li> <li>○ Can the CSOs fund the activities on their own?</li> <li>○ Does TI DSP support you in finding funding for defence and security anti-corruption work?</li> <li>○ How could possible funding difficulties for NCs/CSOs be (better) addressed?</li> </ul> </li> </ul>	Media reports	Companies
		<p><b>Outcome 4: policy makers and international organisations</b></p> <ul style="list-style-type: none"> <li>• Which concrete changes have you noticed after the engagement of TI-DSP with your organisation (<i>Depending on the interlocutor</i>)? <ul style="list-style-type: none"> <li>○ In your organisation/ structure?</li> <li>○ In specific initiatives that have been launched?</li> <li>○ In minds and speeches of some representatives of your structure? Are there examples that such speeches have been followed up with activities?</li> </ul> </li> <li>• Do you think those changes are sustainable?</li> <li>• What concrete activities are planned in your organisation to sustain the D&amp;S anti-corruption efforts?</li> </ul>		
		<p>All</p> <ul style="list-style-type: none"> <li>• What activities are undertaken to secure funding or mobilise additional resources for the continuation of the programme as TI-DSP, TI-UK, TI chapters and TI-S?</li> <li>• Does the internal learning programme benefit a wider audience? TI-UK TI-S, chapters, other NGOs?</li> <li>• Does the learning provide useful information for TU's internal and external network?</li> </ul>	Proposals, grant proposals, agenda points on meetings with TI?	TI-UK TI-DSP TI-S DFID Companies
5	<p><b>Results</b></p> <p>5.1 To what extent is TI-DSP progressing towards the intended</p>	<p><b>Outcome 1: Defence reform</b></p> <ul style="list-style-type: none"> <li>• What do you think the programme concretely allowed in terms of progress in Defence or security reform initiatives underway and publicised in your government/country? (<i>Depending on the interlocutor</i>) Give an example.</li> </ul>		Targeted countries  CSOs (including national chapters)

	<p>outcomes?</p> <p>5.2 What changes are being enabled through progress towards the outcomes of TI-DSP?</p> <p>5.3 What were the conditions for the successes and for some identified failures and constraints?</p>	<ul style="list-style-type: none"> <li>• What have been the conditions for successes and failures of the programme?</li> </ul> <p><b>Outcome 2: Arms transfers</b></p> <ul style="list-style-type: none"> <li>• What do you think the programme concretely allowed in terms of progress towards the goal that international arms transfers are conducted more responsibly, with improved controls against corruption?</li> <li>• What have been the conditions for successes and failures of the programme?</li> <li>• Has the programme's and TI-DSP's strategy been adequate?</li> </ul> <p><b>Outcome 3: Civil society</b></p> <ul style="list-style-type: none"> <li>• What do you think the programme concretely achieved in terms of progress that your organisation (CSO, government or company, <i>Depending on the interlocutor</i>) is better able to counter corruption with practical tools?</li> <li>• What have been the conditions for successes and failures of the programme?</li> <li>• Has the programme's and TI-DSP's strategy, including the tools been adequate?</li> </ul> <p><b>Outcome 4: Policy makers and international organisations</b></p> <ul style="list-style-type: none"> <li>• What do you think the programme concretely achieved in terms of progress towards the goal that defence and security corruption is prominent on the agenda of your organisation (<i>Depending on the interlocutor</i>)?</li> <li>• What have been the conditions for successes and failures of the programme?</li> <li>• Has the programme's and TI-DSP's strategy been adequate?</li> </ul>		
		<p>Overall:</p> <ul style="list-style-type: none"> <li>• What intended or unintended changes can be observed as a results of TI-DSP?</li> <li>• What are strengths and weaknesses in the programme as it currently stands?</li> </ul>		All interlocutors
6	<b>Additional question ( is part of the results section)</b>	How has the funding enabled TI-DSP to deliver enhanced results (additionality); To what extent is DFID funding responsible for the results achieved	The 2 additionality reports.	TI-DSP

<p>To what extent does DFID funding achieve additionality, i.e. to what extent did PPA funding enable TI-DSP to achieve things they would have otherwise not have been able to achieve?</p>	<p>(attribution).</p> <p>Make a difference between:  <b>Direct inputs:</b> this includes the resources allocated to the delivery of activities, ie human resources, funding, materials etc  <b>Indirect inputs:</b> this includes the organisational frameworks that supports the delivery of activities and create an enabling environment for the activities to take place i.e. management systems, partnership strategies, information databases, learning networks etc.  <b>Indirect inputs</b> also consider how organisations relate to other development actors and how these relationships help to achieve results.</p>	<p>The MEKANIC reports and the results of the indicators in the log – frame</p> <p>Examples of direct and indirect inputs</p>	
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### 5.3.2 Survey sent to TI National Chapters

#### INTRODUCTION

Channel Research is currently conducting an independent progress review of the Transparency International Defence & Security Programme (TI-DSP) on behalf of the programme itself as well as the UK Department for International Development (DFID) which provides a large part of its funding. We hope that the evaluation will provide constructive feedback which will prove valuable to both parties. Our evaluation will be submitted to TI-DSP and DFID in September, and we anticipate that it will be publicly available later in the year.

A key part of the evaluation concerns TI-DSP’s collaboration with civil society organisations, especially the national chapters within the wider TI movement. This survey is designed to help us gain a broader understanding of this relationship and its potential for future development.

In most questions we have included space for additional comments. Please add further comments if you wish: this is often the most valuable part of surveys such as this.

We will be very grateful for your contribution through this survey. Thank you for participating!

**1. Which country does your chapter represent?**

**2. Please give your name**

**3. Please give your e-mail address**

**4. Please give your chapter's website address**

**5. In general, what sectors or corruption themes are the three greatest priorities for your chapter (e.g. public procurement, private sector corruption, aid, etc)?**

- a)
- b)
- c)
- d) Additional

comments on  
your main  
priorities/core  
activities :

**6. Please rate the importance of corruption in the defence and security sector (armed forces, ministry of defence) for your chapter's programme?**

- a. Top priority: this topic is central to our chapter's activities, and we allocate a significant amount of time and resources to it.
- b. Very important: we recognise the significance of this issue. It is not a top priority but we are able to allocate some time and resources to it.
- c. Important but not essential: this topic matters, but our programme has competing priorities, and we are not able to allocate time or resources to it.
- d. Marginal: we monitor developments in the defence sector but do not expect to be actively engaged with the topic in the near future.
- e. Irrelevant: our chapter does not expect to get involved in this area at all.

Additional comments, e.g. reasons for your choice:

## TI\_DSP SURVEY

### 7. How do you assess your own expertise (or the expertise of key people within your chapter) on matters relating to corruption in the defence sector?

- a. Top expert: we have a detailed knowledge and understanding of the issues.
- b. Informed interest: we have a special interest because of our expertise on corruption but are not specialists on defence.
- c. Average knowledge and understanding: we know as much as most well-informed persons following the subject.
- d. Poor understanding: this is a difficult area and we know little about it.
- e. Very poor understanding: we know almost nothing.

Additional comments, e.g. reasons for your choice

### 8. How do you assess your own expertise (or the expertise of key people within your chapter) on matters relating to corruption in the police?

- a. Very expert: we have a detailed knowledge and understanding of the issues.
- b. Informed interest: we have a special interest because of our expertise on corruption but are not specialists on defence.
- c. Average knowledge and understanding: we know as much as most well-informed persons following the subject.
- d. Poor understanding: this is a difficult area and we know little about it.
- e. Very poor understanding: we know almost nothing.

Additional comments, e.g. reasons for your choice

### 9. How important is TI-DSP's expertise for your chapter's work on defence sector corruption?

- a. Essential: we could not work in this area without TI-DSP's assistance
- b. Important: we have some knowledge but TI-DSP's assistance enables us to work in this area with greater confidence
- c. Helpful but not essential: we could work on our own but TI-DSP's expertise is a useful supplement to our own knowledge
- d. Marginal: TI-DSP's contribution adds little to what we already know.
- e. Not important at all: we already have all the expertise that we need.
- f. Not applicable (e.g. because your chapter does not work in this area)

Additional comments, e.g. reasons for your choice

## TI\_DSP SURVEY

**10. Please list the three top ways by which civil society can make an impact on defence and security sector corruption in your country (e.g through direct engagement with officials, research, media campaigns etc).**

a.

b.

c.

d. Not applicable  
– we have no chance to make any impact

**11. How far do you think that it is feasible for civil society organisations such as TI to make a significant impact on decision-makers in the police?**

- a. Very easy: all doors are open to us. The police are very willing to listen and respond to civil society views.
- b. Easy. We have to 'knock on the door', but it is possible to reach decision makers once we can identify the right people.
- c. Feasible: It's possible to make an impact, but we need to be persistent.
- d. Difficult: it's difficult to get senior police officials to listen to what we have to say
- e. Extremely difficult: senior police officials are not interested in the views of civil society organisations at all.

Additional comments, e.g. reasons for your choice

**12. How far do you think that it is feasible for civil society organisations such as TI to make a significant impact on public opinion in relation to corruption in the defence and security sectors, e.g. through the media or three conferences and workshops?**

- a. Very easy: we live in an open society and there is a wide public audience that is actively interested in these kinds of issues.
- b. Easy: we are able to raise these issues in the public media without difficulty.
- c. Feasible: there are some areas where we need to take care what we say, but it is possible to influence public opinion through the media and other outlets.
- d. Difficult: We have to exercise special skills to raise these sensitive issues, and we can only reach a limited audience.
- e. Extremely difficult: we have no practical means of stimulating public discussion on these issues.

Additional comments :

## TI\_DSP SURVEY

### 13. How would you describe your chapter's current working relationship with TI-DSP?

- a. Close partnership and collaboration.
- b. Good, friendly relations.
- c. Intermittent contact.
- d. Only very occasional contact.
- e. No contact at all.

Additional comments, e.g. examples of your contacts with TI-DSP.

### 14. Please list the three areas where your/activities where your chapter has worked most closely with TI-DSP (e.g. training, advocacy with senior government figures, research).

- a.
- b.
- c.
- d. Not applicable
- Additional comments on your selection :

### 15. To the extent that you have been in contact with TI-DSP, how helpful has the programme been to your chapter's own work?

- a. Extremely helpful – always responsive, and provides useful assistance and advice.
- b. Generally helpful – generally responsive, and provides fairly relevant advice.
- c. Somewhat helpful –occasional contacts, not essential to our work.
- d. Unhelpful.
- f. Not applicable.

Additional comments on TI-DSP contributions :

## TI\_DSP SURVEY

### 16. To the extent that your chapter is working on corruption in the defence and security sectors, what are the main sources of funding likely to be?

- a. Funds come from our general budget.
- b. Funded by a regional TI project.
- c. Funding provided by TI-DSP.
- d. Funded by a donor/grant organisation within your country.
- e. Funded by an international donor.
- f. Not applicable.
- g. Other

Additional comments: do you think that TI-DSP can help you raise funds? If so, how?

### 17. Please could you evaluate the following in terms of their actual or potential usefulness to your chapter?

a. Very useful      b. Somewhat useful      c. Not at all useful      d. Not applicable

TI-DSP reports :                       

Additional comments :     

TI-DSP website :                       

Additional comments :     

TI-DSP's Defence Integrity Pact methodology :                       

Additional comments :     

Knowledge built through chapter engagement (e.g. through visits and other direct cooperation) with TI-DSP :                       

Additional comments :     

Other (please elaborate).                       

Additional comments :

## TI\_DSP SURVEY

**18. TI-DSP has recently been developing the Government Defence Integrity Index to be launched in late 2012. Have members of your chapter been involved in the development of the index in either of the following ways?**

	Yes	No
As a country assessor ?	<input type="radio"/>	<input type="radio"/>
If yes, please comment on whether the experience was beneficial. If so, in what ways?		
<input type="text"/>		
As National Chapter reviewers?	<input type="radio"/>	<input type="radio"/>
If yes, please comment on whether the experience was beneficial. If so, in what ways?		
<input type="text"/>		

**19. How will your chapter make use of the Index in its advocacy activities?**

**20. What are the three most significant achievements or outcomes that you can attribute to the collaboration between your chapter and TI-DSP?**

a.	<input type="text"/>
b.	<input type="text"/>
c.	<input type="text"/>
d. Not applicable	<input type="text"/>
Additional comments on your selection :	<input type="text"/>

## TI\_DSP SURVEY

**21. Looking ahead, please rate your chapter's level of interest in the following potential activities relating to the defence and security sectors (assuming that unlimited funds are available)**

	Very interested.	Somewhat interested.	Not at all interested.
Engagement with Ministry of Defence/Ministry of the Interior/Police through training or workshops.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Workshops/events/conferences with civil society or the media.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Advocacy campaigns.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research projects.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Work with defence companies to raise standards.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Work with other TI chapters/CSOs in neighbouring or regional countries.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please add details below).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Additional comments on your choices

**22. Do you have any further comments on your chapter's experience with the TI-DSP programme, or suggestions on how the programme could add further value to your chapter's activities? If so, please add them here.**

**23. May we contact you by phone or Skype in case we have any follow-up questions?**

- Yes.  
 No.

If yes, please give your contact phone number/Skype address

Thank you for your participation !

## 5.4 Annex D: List of persons interviewed

Surname, name	Organisation, function	Date	M/F	Sector	Country
Al Azar, Rima	World Bank, Senior operations officer	12 Aug	F	International organisation	US
Allen, Deborah	BAE Systems, Managing Director Corporate Responsibility	26 Jul	F	Private sector	UK
Andrews, Ian	Serious Organised Crime Agency, Director	29 Aug	M	Government	UK
Bell, Mathew	Jane, journalist	26 Jul	M	Media	UK
Bock, Tobias	TI-DSP, Project Officer	10 Aug	M	Civil Society	UK/Germany
Bleeker, H	UK Defence Academy, Programme Director	29 Aug	M	Government	UK
Brengelmann, Dirk	NATO, Assistant Secretary General	23 Aug	M	International organisation	Belgium
Bromley, Mark	Stockholm International Peace Research Institute (SIPRI), Senior Researcher	3 Sep	M	Civil Society/Academic	UK/Sweden
Boucher, Alix	Stimson Center, research fellow	09 Aug	F	Academic	US
Chadwick, Charles	BAE, Vice president contracts	09 Aug	M	Private sector	US
Tiffany Clarke	TI-DSP, Project Officer	14 Aug	F	Civil Society	UK
Cockcroft, Laurence	TI-UK, Board Member	30 Aug	M	Civil Society	UK
Cohen, James	TI-DSP, Project Officer	28 Jun	M	Civil Society	UK/Canada
Cover, Oliver	TI-DSP	29 Aug	M	Civil Society	UK
Davies, Jackie	Civil servant, accountant	10 Aug	F	Government	UK
Dondisch, Roberto	Mexican Ministry of Foreign Affairs, Head negotiator in Arms Trade Treaty Negotiations	28 Aug	M	Government	Mexico
Drysdale, John	TI-UK, Chairman of the Board	28 Aug	M	Civil Society	UK

Eriksson, Fredrik	Ex- NORAD	12 Aug	M	Independent	Norway
Fabie, Pascal	Group director, TI-S	10 Sep	M	Civil Society	France
Fernandez, Josie	TI Malaysia, Executive Director	5 Jul	F	Civil Society	Malaysia
Fiorelli, Paul	Xavier University, US; Professor of Legal Studies	24 Aug	M	Academic	US
Foster, Steve	Serious Organized Crime Agency, UK and consultant to TI-DSP	12 Aug	M	Government	UK
Gili, Maria	TI-DSP	29 Aug	M	Civil Society	UK
Glover, Stephen	UK Ministry of Defence, Special Defence Advisor to MOD Ukraine 2006-2011; Special Advisor in Georgia, 2011 to date.	20 Aug	M	Government	UK
Griffon, Mickael	FRENCH MFA, Deputy Head, Arms control and OSCE Sub-directorate - ATT	09 Aug	M	Government	France
Heinrich, Finn	TI-S, Research Director	4 Sep	M	Civil Society	Germany
Holtom, Paul	Stockholm International Peace Research Institute (SIPRI), Senior Researcher	28 Aug	M	Civil Society/ Academic	UK/Sweden
Hughes, Gordon	Geneva Centre for the Democratic Reform of Armed Forces (DCAF), International Security Sector Advisory Team (ISSAT), Senior Advisor	27 Aug	M	Civil Society	UK
Hughes, William	Serious Organised Crime Agency, former Director General (now retired)	29 Aug	M	Ex-Government	UK
Kelso, Casey	Advocacy Director, TI-S	04 Sep	M	Civil Society	
Kimeu, Sam	TI-Kenya Executive Director	10 Sep By mail	M	Civil Society	Kenya
Koch, Anne	Central Asia and Europe Regional Director, TI-S	05 Sep	F	Civil Society	UK

Kolosiuk, Iryna	Chief expert International Cooperation. State Financial Monitoring Service of Ukraine	12 Sep	F	Government	Ukraine
Krishnan, Chandu	TI-UK, Managing Director	29 Aug	M	Civil Society	UK
Krüger, Martin	Austrian Ministry of External Affairs, Non-proliferation Department	28 Aug	M	Government	Austria
Labelle, Huguette	TI, Chair of the International Board	21 Aug	F	Civil Society	Canada
Lamoureux, Dominique	Thalès, directeur de l'éthique et de la responsabilité d'entreprise	03 sep	M	Private sector	France
Latto, Ben	DFID CHASE, Security and Justice programme	28 Aug	M	Government	UK
Low Seng Kuan, Datuuk	TI Malaysia, President	5 Jul	M	Civil Society	Malaysia
Macharia	Chairman of the Independent Police Oversight Commission	12 Sep	M	Government	Kenya
Mackey, Leo	Lockheed Martin, Vice president for ethics and business compliance	9 Aug	M	Private sector	US
Mahaasen, Patrick	Resources Director, TI-S	4 Sep	M	Civil Society	France
Marshall, Miklos	Deputy Managing Director, TI-S	4 Sep	M	Civil Society	Hungary
Mason, Phil	DFID, Head of Anti-corruption Policy	29 Jun	M	Government	UK
Montoya, Pedro	Chief Compliance Officer EADS	29 Aug	M	Private sector	France
Murraciale, Benoît	ASER France, director	10 Sep	M	Civil Society	France
Nanayakkara, Rukshana	Project Officer, Asia Pacific Region, TI-S	4 Sep	M	Civil Society	Sri Lanka
Ngooi Chiu-Ing	TI Malaysia, Board Member	5 Jul	M	Civil Society	Malaysia
Nygren,	Former ambassador, anti-	17 Aug	F	Government	Sweden

Birgitta	corruption coordinator, Swedish Ministry of Foreign Affairs				
Pond,Susan	NATO, Senior Officer Political Affairs and Security Policy	16 Aug	F	International organisation	Canada
Pun, Sergyi	Senior lecturer in the Department of fighting corruption and organised crime in the National Academy of the Security Service of Ukraine (NA SSU).	By email	23 Sep	Government	Ukraine
Ringheim, Morten	Norwegian Ministry of Defence, Assistant Director General	20 Aug	M	Government	Norway
Sanders, Chris	Communications manager, TI- S	04 Sep	M	Civil Society	
Schultz, Tim	Raytheon Company, Global Headquarters Director- Business Ethics & Compliance	09 Aug	M	Private sector	US
Seymour, Nick	TI-DSP, Expert Consultant	29 Jun	M	Civil Society	UK
Shaw, Steven	US Air Force, Deputy General Counsel (recently retired)	27 Aug	M	Government	US
de Swardt, Cobus	TI-S, Managing Director	11 Sep	M	Civil Society	S. Africa
Tillipman, Jessica	George Washington University, Professorial Lecture in Law	22 Aug	F	Academic	US
Torchiaro, Luciana	Program Officer, Latin America, TI-S	10 Sep	F	Civil Society	Ger
Tornquist, Petter	SAAB, Ethics and Compliance Director	16 Aug	M	Private sector	Sweden
Tzvetkova, Avgustina	Bulgaria, deputy defense minister	16 Aug	F	Government	Bulgaria
Uwinama, Chantal	Regional director, Africa, TI-S	4 Sep	F	Civil Society	
		28 Jun	M	Civil Society	UK

Waldron, Alan	TI-DSP, Advisor				
Wandera, Peter	TI-Uganda Executive Director	10 Sep by mail	M	Civil Society	Uganda
Watkins, Peter	UK Defence Academy, General Director	24 Aug	M	Government	UK
Walker, Calum	Al Jazeera, journalist	20 Aug	M	Media	UK
Walker, Justine	British Banking Association, Director of financial crime for the	28 Aug	F	Private sector	UK
Ward, Rees	ADS, Chief Executive Officer	26 Jul	M	Private sector	UK
Wetterwik, Anne-Charlotte	University of Georgia, Center for International Trade and Security, Senior Research Associate	4 Sep	F	Civil Society	Sweden/US
Whitchurch, Sticky	UK Defence Academy	09 Aug	M	Government	UK
White, Mark	DFID Stabilisation Unit, Head Security and Justice Group	7 Aug	M	Government	UK
Wright, Rob	TI-DSP Advisor, former Director of Export Control, UK Department of Trade and Industry	17 Aug	M	Civil Society, ex-government	UK
Yukins, Chris	George Washington University, Professor	15 Aug	M	Academic	US
Zaman, Ifthekar	Executive Director of TI-Bangladesh and former BOARD member of TI	27 Jul	M	Civil Society	Bangladesh
<b>Total number of interviewees</b>					<b>74</b>

## 5.5 Annex E: Bibliography

### 5.5.1 TI-DSP Internal reports: non published

DFID CHASE PPA Additionality Report TI-DSP

DFID CHASE PPA Additionality Grantee Self Assessment TI-DSP

DFID CHASE PPA 2011-2012 PPA Annual review form

DFID CHASE PPA LOG FRAME ANNEXE, 29-03-2011

TI-UK INTERNATIONAL DEFENCE AND SECURITY PROGRAMME, GOVERNANCE  
from April 2011

MEKANIC I 01-07-2011

MEKANIC II 10-2011

MEKANIC III 25.01.2012

MEKANIC IV 19.04.2012

MEKANIC V 12.08.2012

### 5.5.2 TI-DSP Published

Transparency International, Defence and Security Programme. *Arresting Corruption, The Police and the experience of police corruption reform around the world*, draft paper, September 2012

Transparency International, Defence and Security Programme. *“The 3<sup>rd</sup> line of defence”: How audits help address defence corruption. The experience of Ukraine*. Barynina, Maryna and Mark Pyman Transparency International UK, March 2012

Transparency International, Defence and Security Programme. *Military-owned business: corruption and risk reform. An initial review, with emphasis on exploitation of natural resource assets*. Goh, Kevin and Julia Muravska. Transparency International UK, January 2012

Transparency International, Defence and Security Programme. *Organised crime, corruption, and the vulnerability of defence and security forces*. Transparency International UK, September 2011

Transparency International, Defence and Security Programme, *A review of anti-corruption measures in the defence sector in Colombia*. Rousseau, Jean-Michel. Transparency International UK, May 2011

Transparency International, *Building Integrity and countering corruption in defence & security. 20 Practical Reforms, February 2011*. Transparency International UK, May 2011

Transparency International, Defence and Security Programme, *Codes of Conduct in defence ministries and armed forces. What makes a good code of conduct ? A multi-country study.* Transparency International UK, May 2011

Transparency International, Defence and Security Programme, *The Transparency of National defence Budgets.* Transparency International UK, October 2011

Governance, Counter- Corruption and Development; Reshaping Priorities for 2015 and beyond. Organiser's summary. *Recommendations from three workshops organised by the Konrad-Adenauer Stiftung, RUSI and Transparency International UK*

Transparency International, Defence and Security Programme, (2012), *Government Defence Integrity Index – Introduction and Methodology.* Internal TI-DSP draft document.

### **5.5.3 External Publications**

Channel Research. 2011. *Evaluation of Transparency International.* Report 8/2010. Oslo: Norad Evaluation Department.

Duncan, Alan. 2012 *Speech by International Development Minister Alan Duncan at the International Institute for Strategic Studies on the need for an ethical treaty for the arms industry.* 17 May 2012. [www.dfid.gov.uk/News/Speeches-and-statements/2012/Alan-Duncan-No-arms-trade-without-an-arms-trade-treaty/](http://www.dfid.gov.uk/News/Speeches-and-statements/2012/Alan-Duncan-No-arms-trade-without-an-arms-trade-treaty/) Downloaded on 7 September 2012.

*Economist Magazine.* 2012 "One more heave. Supporters of a global Arms Trade Treaty have not given up." 4 August 2012. [www.economist.com/node/2155990](http://www.economist.com/node/2155990) Downloaded on 7 September 2012.

Eiko Elize Sakamoto, London School of Economics; *Changing the rules of the game: a voluntary code of conduct by the defence and arms industry and Transparency International's Defence Against Corruption.*

Short, Clare. 1999. "Security Sector Reform and the Elimination of Poverty", Centre for Defence Studies, King's College, London. 9 March 1999 . [www.claeshort.co.uk/speeches/DFID/9%20March%201999.pdf](http://www.claeshort.co.uk/speeches/DFID/9%20March%201999.pdf). Downloaded on 7 September 2011.

United Nations General Assembly. United Nations Conference on the Arms Trade Treaty. 2012a. *The draft of the Arms Trade Treaty A/CONF.217/CRP.1* . 26 July 2012. [www.saferworld.org.uk/downloads/120726%20CRP.1%20\(draft%20ATT%20text\).pdf](http://www.saferworld.org.uk/downloads/120726%20CRP.1%20(draft%20ATT%20text).pdf). Downloaded on 7 September 2012.

United Nations General Assembly. United Nations Conference on the Arms Trade Treaty. 2012b. *Report of the United Nations Conference on the Arms Trade Treaty*. 1 August 2012. A/CONF.217/4

## **5.6 Annex F: Details of the evaluation team**

### **Jups Kluyskens, Dutch, *Evaluation, Governance and Public Sector Management***

Ms. Kluyskens is an Evaluation, Governance and Public Sector Management specialist with more than twenty years' experience in public sector and civil service reform, decentralization, anti-corruption, capacity building and institutional development, aid architecture and aid modalities in Asia and Africa. Countries where she has worked on governance, civil service reform, decentralization and anti-corruption include; Indonesia, the Maldives, Egypt, Rwanda, Uganda, Burkina Faso and DRC Congo. She has strong analytical and conceptual skills, including change management experience and has provided analysis and advice to governments and donors regarding strategy, sequence, implementation of reforms and suitable donor aid strategies in the light of, for example, the Paris Declaration and the Fragile States principles.

She also has experience in evaluating country programmes, mid-term reviews, governance programmes, aid instruments and funds as well as innovative approaches to harmonization (Joint Donor Team, Juba; DSF in Indonesia and DFID country programme in Sudan, AfDB's performance with regard to the Paris Declaration, evaluation of Transparency International, UNDP's country assistance to DR Congo, UNDP's assistance to continental Africa. For UNDP she is currently the peace and security evaluator for UNDP's Africa Programme which includes projects related to arms trade and support to the AU Peace and Security Department. She has conducted evaluations, including assessments of development results (ADR), outcome evaluations and designed related methodologies. She has experience in conflict prevention, peace and stability in countries such as Sudan, Burundi, DR Congo, Rwanda and Sierra Leone. She has NGO/ CSO experience and knowledge of gender equality issues, including gender based violence. She has prepared ToR for consultants and has management experience, including leading teams in technical areas related to governance and anti-corruption, decentralization, civil service reform and evaluations.

Mrs Kluyskens has coaching skills and can make teams deliver and perform. Finally, she has ample experience in managing projects in the following areas: public sector reform, including anti-corruption; research policy and management; change management programmes; social science research; introducing performance management in large

organizations; functional reviews, institutional development and capacity building. Mrs Kluyskens is a Dutch national and is based in The Netherlands.

**John Bray, British, Anti-Corruption and Evaluation Expert**

John Bray is Director (Analysis) and lead anti-corruption specialist at Control Risks, the international business risk consultancy. John started his Control Risks career as a specialist on South and South-east Asia, having earlier worked as a teacher in Kenya and India. He is currently based partly in Tokyo and partly in London, but spends most of his time on international assignments. In recent months, his anti-corruption work has taken him to Hong Kong, India and Malaysia, as well as Japan and the UK. He is able to take on this assignment because he has negotiated a part-time contract with Control Risks to enable him to work on other non-commercial, public interest activities.

He brings to this project 26 years of experience including:

- *Specialist expertise on corruption.* For the last 12 years John has pioneered and continues to lead Control Risks' anti-corruption consultancy with a particular focus on the analysis and evaluation of integrity/anti-corruption strategies of both companies and public sector organisations. His publications in this field range from academic articles to magazine reports for a wider audience. He is a frequent speaker at specialist conferences.
- *Excellent analytical, evaluation and editing skills.* John's original core expertise was as a political analyst. As Control Risks Head of Research, he was responsible for editing and pulling together the analysis of a diverse team, and frequently plays this role in his current consultancy activities. His own research is typically based on a combination of documentary analysis, structured interviews and – more recently – statistical analysis of two opinion surveys on attitudes to corruption. He continues to write for professional, academic and popular audiences.
- *Experience of leading international, interdisciplinary teams.* John continues to work with highly diverse teams both within Control Risks, on external assignments, and in his extra-curricular activities as President of the International Association of Ladakh Studies.
- *Extensive experience of the public, private and civil society sectors.* One of the main themes of John's work – which applies especially to corruption - is the need for all three sectors to work together. He frequently finds himself mediating between them, and has himself consulted for a wide range of clients from all three sectors.

**Emery Brusset, French, Evaluation Expert**

Mr Brusset is the Director of Channel Research and a professional evaluator since his first experience in this field with the Joint Donor Evaluation of the Crisis in Rwanda in 1995. After a career in the UN agencies (UNHCR, UNDP) serving in Iraq, Sudan and Rwanda, Mr.

Brusset has over the last thirteen years become a full time evaluator and researcher, covering programmes in conflict prevention, human rights protection development, and humanitarian aid.

Mr. Brusset combines expertise in a range of field analytical methodologies based on the design of indicators, and has a confirmed track record of successful achievements of complex assignments for a variety of clients in the public and private sector. His core client base is that of the OECD DAC Evaluation Working Group, where he is known on the basis of projects achieved to full satisfaction. Mr Brusset is based in Belgium and speaks fluent English, French, Spanish and Italian.

**Benjamin Nénot, French, Project Manager**

Mr Nénot is one of Channel Research's Project Managers and a consultant for public and private sectors projects. Benjamin holds an MA in International Affairs from the Institute of Political Sciences of Bordeaux and an MA in International Development & Risks Management from University of Bordeaux IV with a focus on Corporate Social Responsibility and project risk management. Benjamin has lately been involved in a number of ESIA project management assignments. Before joining Channel Research, Benjamin worked as a Socially Responsible Investment (SRI) analyst with Amundi Asset management and with Champlain Research (Paris). A French national, Benjamin speaks French, Spanish, and English, and is currently based in Paris.

## **5.7 Annex G: Definitions of the three E's and value for money case**

1. **Economy:** the cost of the inputs; are the necessary inputs (e.g. human resource costs, travel costs, accommodation costs, IT costs etc.) being secured at the minimum necessary cost? In other words, are you *doing things at the right price*
2. **Efficiency:** the ratio of inputs to outputs; are outputs being produced efficiently? In other words, are you *doing the right things at the right price*; and
3. **Effectiveness:** the link between outputs and outcomes; to what extent do the outputs translate into the anticipated outcomes? In other words, are you *doing the right things at the right price, in the right ways*

### **Background:**

For DSP it is an important first step that the government, the MoD or security forces start acknowledging that there is a problem, and to start discussing it. Once this 'awareness' has been raised and they come to appreciate the problem, TI-DSP can offer further assistance in

preventing and tackling the different elements of corruption and lack of transparency. The senior consultants who know the sector well and 'can open doors' are important contributors to engaging with senior officials and to set a process of dialogue in motion.

The work was conducted as part of exploring how DSP could help address corruption risk in Africa, supporting civil society in addressing corruption in both the defence sector and the police. The initiative addressed defence and security corruption concerns in a part of the world which is a high priority for DFID but in which DSP had not hitherto been extensively involved and also helped take forward DSP's evolving work in the police and security sectors. As such, it is another example of using the PPA funding to try new and innovative approaches. The missions fulfilled two aims – setting work in hand to test established DSP methodology in Africa, and taking forward work on how to adapt defence-related techniques to the requirements of the Police.

In addition to its work on defence, TI-DSP has been developing techniques to address corruption in the police sector for a while and accepted an invitation from Transparency International-Uganda (TI-U) and the Inspector General of the Uganda Police for a three member team from Transparency International-UK's Defence and Security Programme (TI-DSP) to visit Kampala from 9-13 July 2012 to prepare a report on Building Integrity in the force. The visit was managed by TI-Uganda (TI-U) in co-operation with the Professional Standards Unit of the Uganda Police (PSU). The team held a series of meetings with senior police officers involved in work on counter-corruption and with the Director of Public Prosecutions and presented its draft report to the Inspector General of Police personally shortly before departure. The team also held discussions with a number of potential international donors, including DfID-Uganda and the British High Commission. Two members of the team also met a senior member of the Ugandan Defence Forces.

The visit came about following a visit by one member of the team to Uganda earlier in the year at the invitation of TI-U. On that occasion he met the Secretary of the Cabinet, the Defence Minister and Permanent Secretary at the Ministry of Defence, the Inspector General of Police and a number of other Ugandan and international contacts. The access secured for TI-U was considerable. The Ugandan MoD agreed to study DSP's material but was cautious about the offering, but the Inspector General of Police asked TI to work with him in addressing corruption in the Police and subsequently confirmed his intent. This opening provided a concrete opportunity to work with an African police force and was felt worth pursuing as a matter of priority. There may be scope for working with the UPDF in the longer term.

Two of the team members travelled on to Kenya for a similar mission, to take forward a series of earlier contacts which started following an invitation from Kofi Annan to two of the consultants in their personal capacities to attend a conference reviewing the Kenyan National Dialogue in December 2011. The situation in Kenya differs from that in Uganda. The International Peace Support Training Centre near Nairobi has asked DSP to input to some of its courses (e.g. for South Sudanese Military and Civil Servants) and the Minister of Defence has formally asked for training for the Kenyan Defence Forces. The police and internal security apparatus has not so far engaged with DSP, but the Chairman of the newly-

established Independent Police Oversight Commission was on an earlier visit enthusiastic about a potential DSP contribution. The visit was thus designed to pin that down (a Leadership Day will be offered to members of the Commission in late September), to consolidate contacts with the Defence establishment through a meeting with the Defence Minister and the Chief of Defence Staff and (separately) with the new Commandant of IPSTC and the police training element of the East African Standby Force. The consultants also met the Regional UNODC Representative for East Africa and representatives of the World Bank Nairobi Hub that deals with fragile states, the latter to discuss some of DSP’s more generic work, including the production of an Africa-friendly version of the DSP Handbook. For administrative and other reasons, TI-Kenya (TI-K) chose not to accompany the consultants to all the meetings, but joined them for the session with the Defence Minister and towards the end of the visit arranged a short meeting with the Head of the Kenya CID – the first direct contact with the Kenya Police. The consultants maintained contact with the Head of TI-K throughout.

The visit yielded a number of promising results:

- in Uganda, DSP and TI-U are awaiting formal approval of the Consultants’ report by the Inspector General of Police (who, at the team’s meeting with him, undertook to devote some of the existing Police training budget to work on countering corruption). Once approval has been obtained, the report can be circulated to potential donors and used by the Ugandans, TI-U and DSP as a basis for securing the roughly US\$600,000 necessary to implement its recommendations. Expressions of donor interest during the team’s visit were positive in principle.
- in Kenya, a Leadership Day for members of the Independent Police Oversight Commission will take place in late September. That should help establish both the course of DSP’s future relationship with the Commission (the Chairman has indicated he would like some form of MoU) and the resources that would be involved. We also have a clearer idea of the requirements in relation both to the Kenyan Defence Forces and IPSTC and have made a start in looking for funding.

**5.8 Annex H: Survey results**

The survey results are anonymous. All the additional comments from specific chapters have been removed as well as the name of the respondents’ countries. Questions referring only to comments or addressing directly specific countries have also been removed. Respondents’ “numbers” are not always the same.

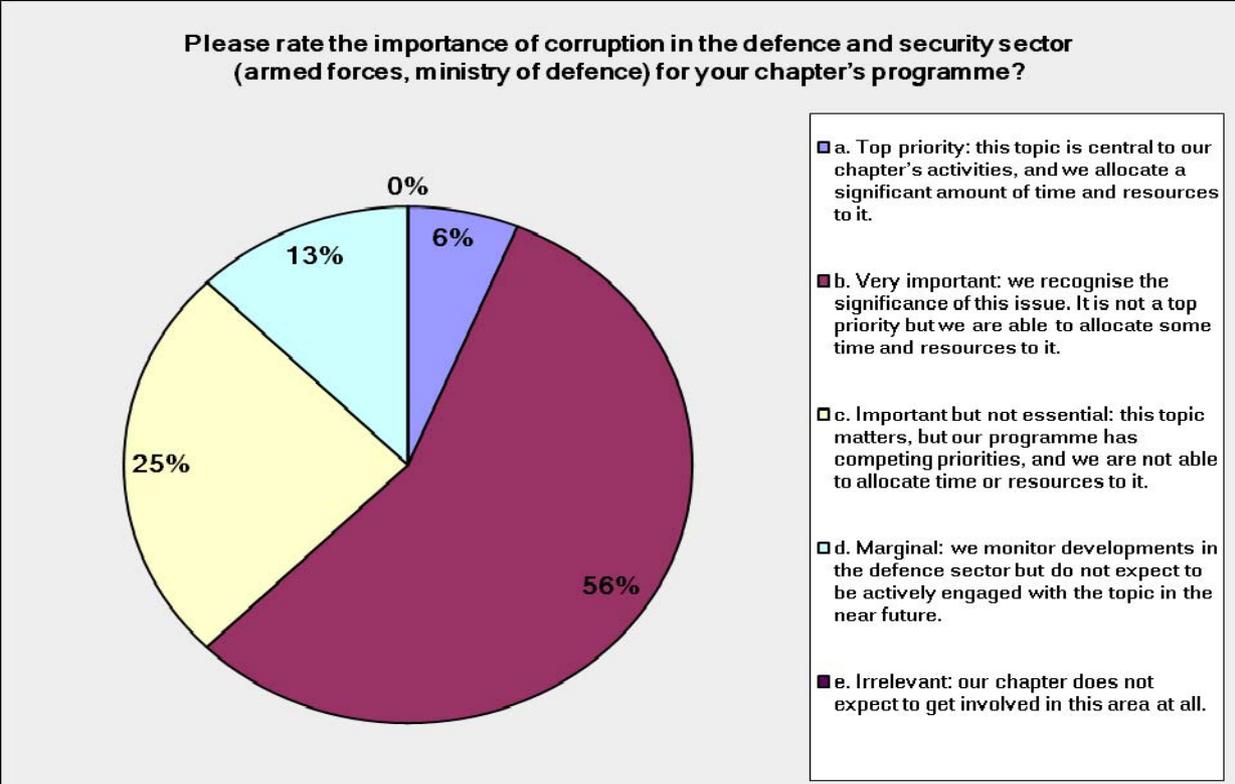
**Question 5: the three greatest priorities in corruption themes per chapter**

Respondent	1st priority	2 <sup>nd</sup> priority	3rd priority	Comments
1	/	/	/	
2	Public	financing of political	monitoring national	

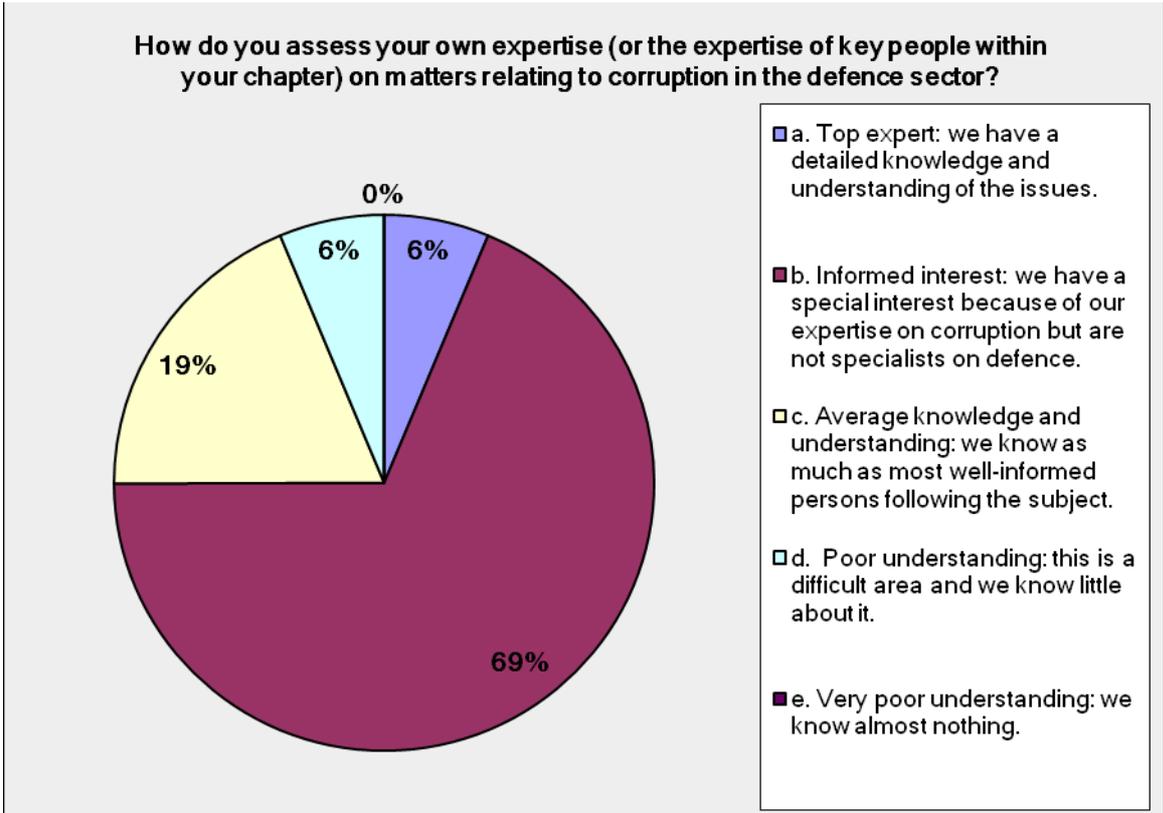
	procurement	parties	anticorruption strategy	
3	Conflict of interests	financing of political parties	free access to information	
4	policy capture	private sector	public sector	
5	Education and value change for Anti-corruption	Political corruption	Corruption and private sector	
6	Public sector procurement	State capture by legal and illegal actors	Extractive industries	Citizen mobilisation
7	Transparency and Accountability in Service Delivery	Deepening Democracy and Political Accountability	Transparency and accountability in the extractive industry	
8	Public procurement	Justice sector	Services sector - water and education	Our focus is broad - mainly on laws, institutions and people. We have narrowed down in the service sector to water and education. Our work with institutions is mainly on a demand basis.
9	justice	political parties	public sector	
10	Local Governments	Private sector good practices training	Education	Foster transparency and probity in public and private sectors
11	Advocacy for legal and institutional reforms for promoting transparency and	Political and electoral corruption and abuse of incumbency	Public education and sensitization on corruption in general but	

	accountability in the public sector		emphasis on service delivery	
12	Public Sector	Political corruption	Private sector	
13	Corruption and the judiciary			The Chapter is currently redefining its priorities; undergoing internal restructuring
14	public sector integrity	government accountability and transparency	development assistance	
15	state capture	party- and campaign financing	judiciary	Public procurements
16	Defence	Public procurement	Water governance	

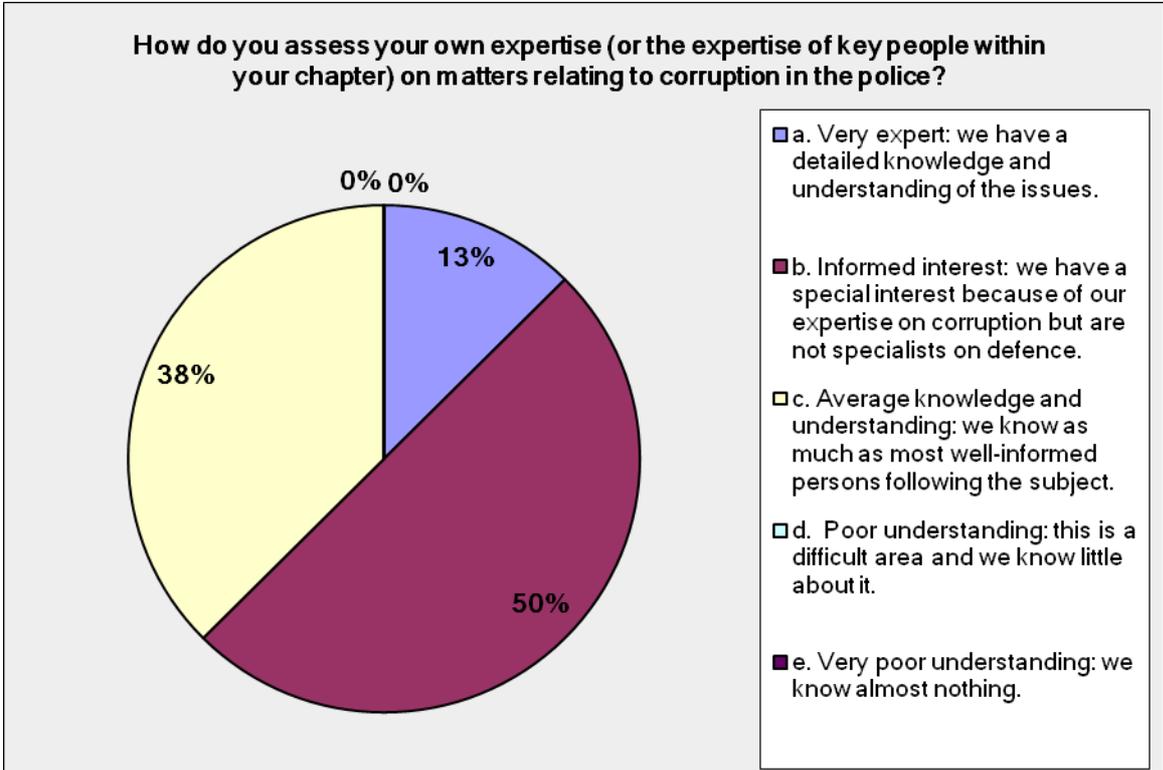
**Question 6**



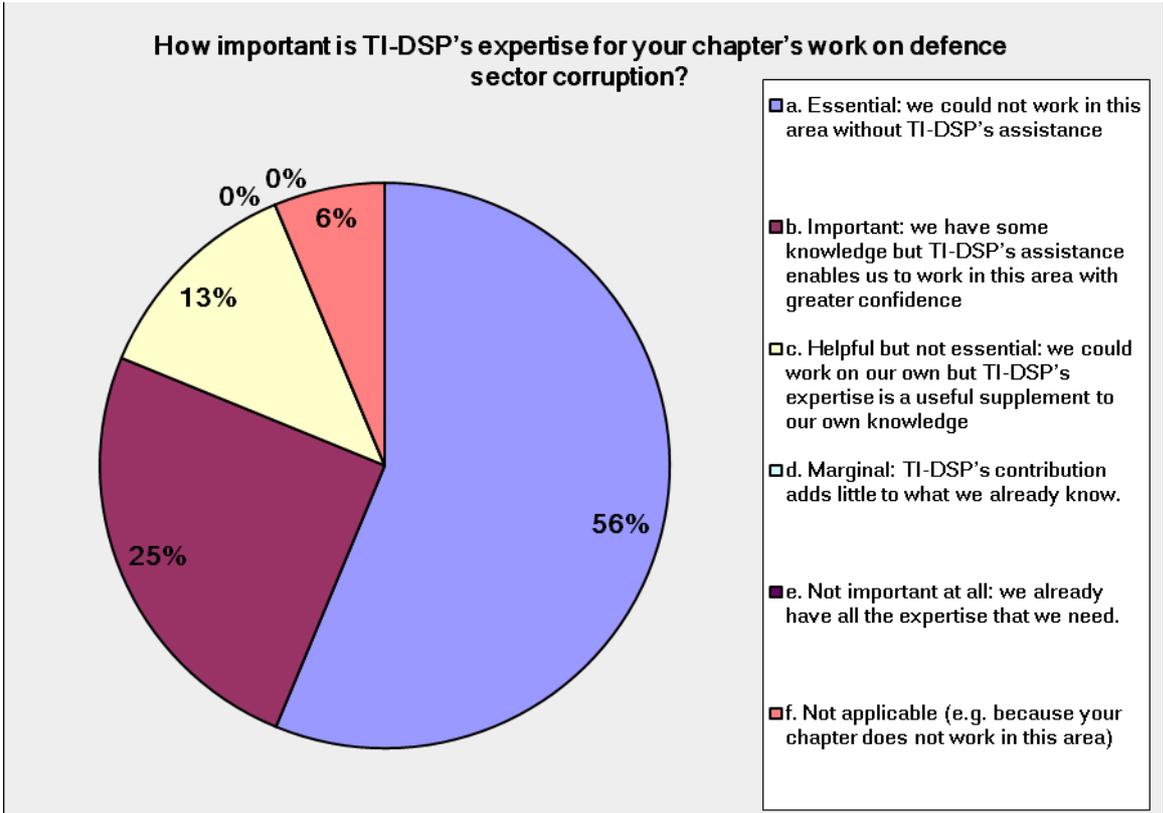
Question 7



Question 8



**Question 9**



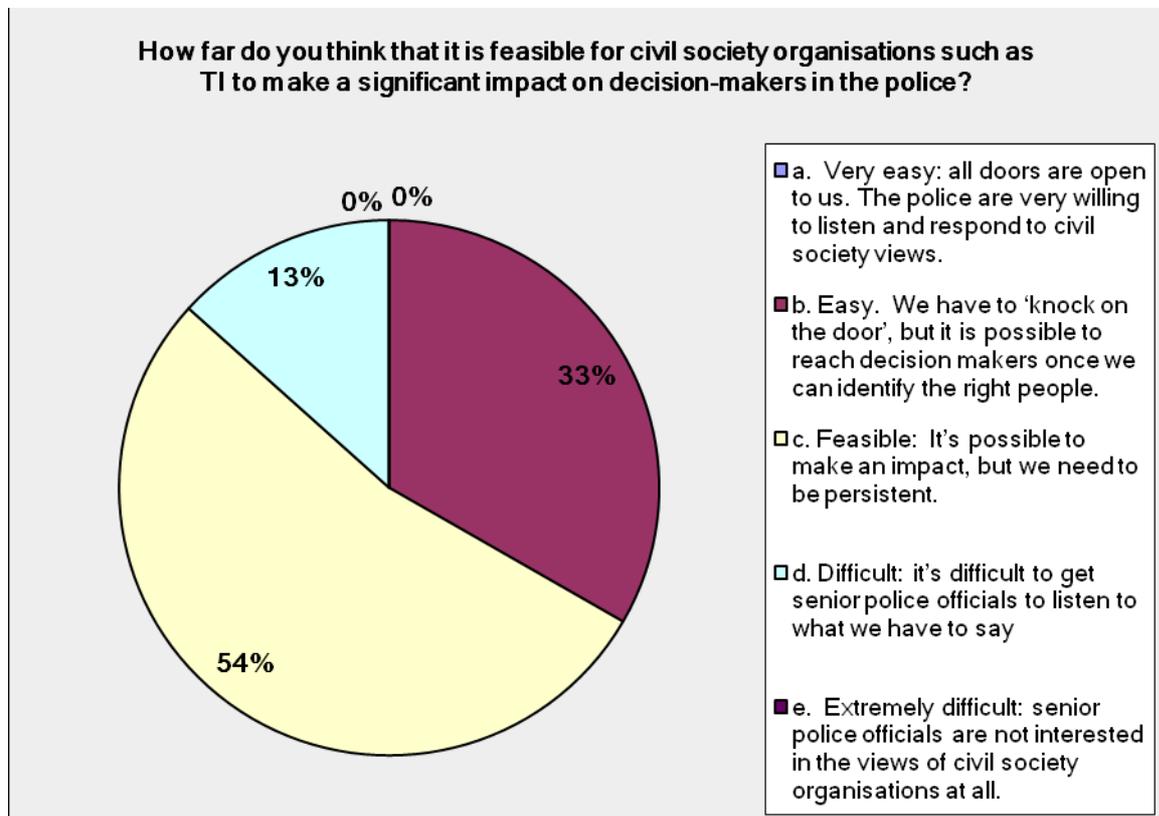
**Question 10: the three top ways by which civil society can make an impact on defence and security sector corruption**

Respondent	1st way	2nd way	3rd way	Not applicable, no chances
1	Research	Media Campaigns	Direct engagement with officials	
2	media campaigns	research, monitoring and evaluation	public lobbying	
3	Research	media campaigns	education of officials	
4	High level dialogue	research and policy recommendations	direct engagement (DAPA ombudsman)	

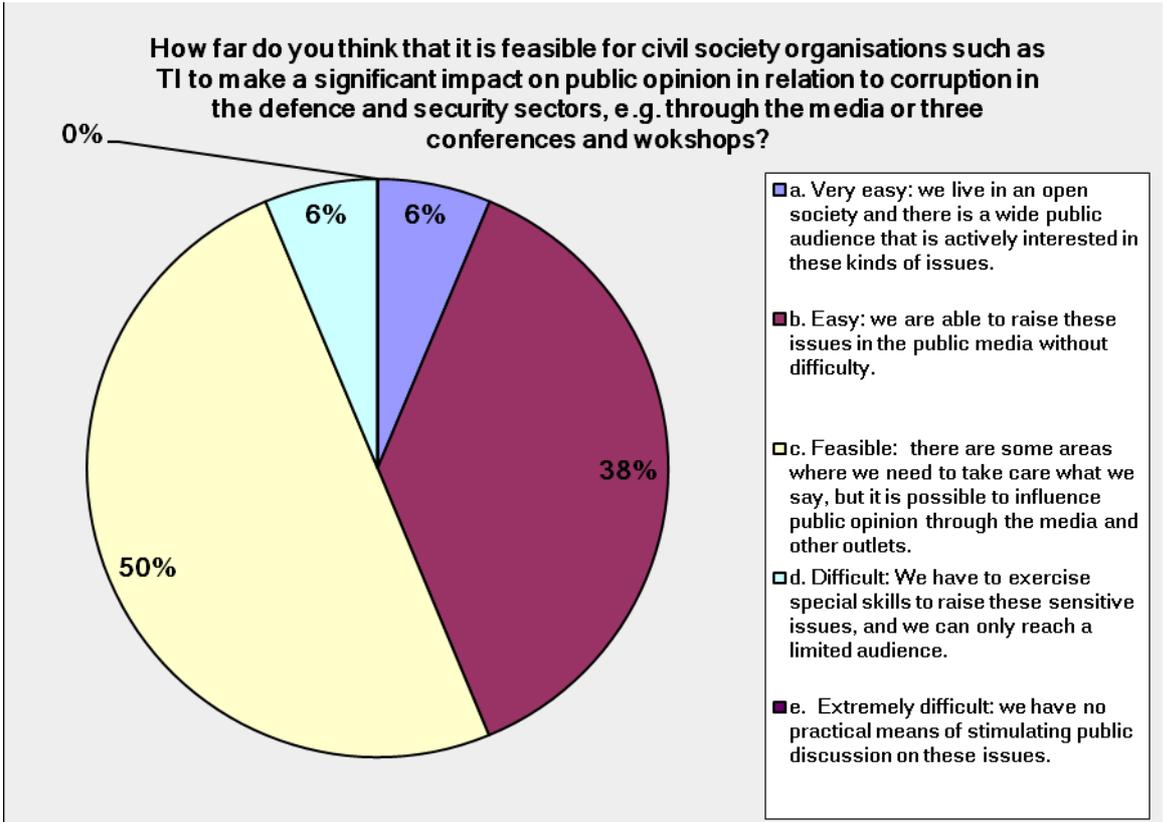
5	Research	training		
6	Demanding access to information relating defence sector and police	media campaigns		
7	Build capacity of the forces in anti corruption measure and integrity	National/Media campaigns	Periodic surveys	
8	Research is the top most	Direct engagement - the old TI model is to do evidence-based advocacy. Research would generate the evidence for direct engagement.	Monitoring of important process- e.g. recruitment into the sector. This is one of the greatest areas of risk for the police and the military in Kenya.	Media campaigns may not be very strategic in the Kenyan context. The military likes to keep away from the media.
9	engagement with officials	consultation/contribution on legal matters	cooperation with defence/security research institutes	
10	Demanding accountability through think tanks	Requesting transparency in the transactions of the sector through parliamentary action	Media campaigns	
11	It must start with direct engagement to secure buy-in and support to work on the sector	Research to provide evidence for work in the needed areas	Advocacy and media campaigns	
12	Create public awareness	Get in contact with military institutions through forums and workshops	Propose rules of conduct to improve transparency in the military	

13	Research and position papers	Media Campaigns, forums to mainstream defence corruption topic, press statements	direct engagement with military officials	Engagement of other NGOs to tackle the issue
14	interaction with defence sector companies	interaction with government officials	research on economic/social effect of corruption	
15	direct engagement - e.g. defence index	trainings	Supporting investigative journalism	Integrity pacts
16	Raise public awareness	Engage officials	Persuade to adopt a open and transparent audit system in defence sector	

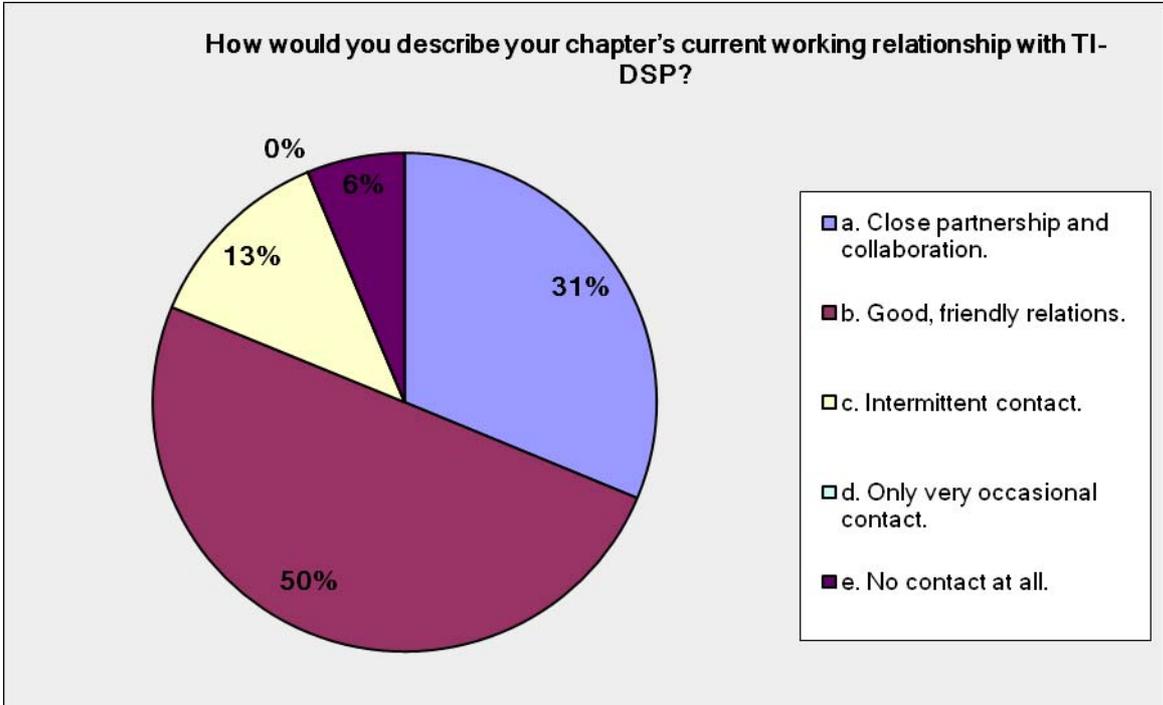
**Question 11**



Question 12



Question 13

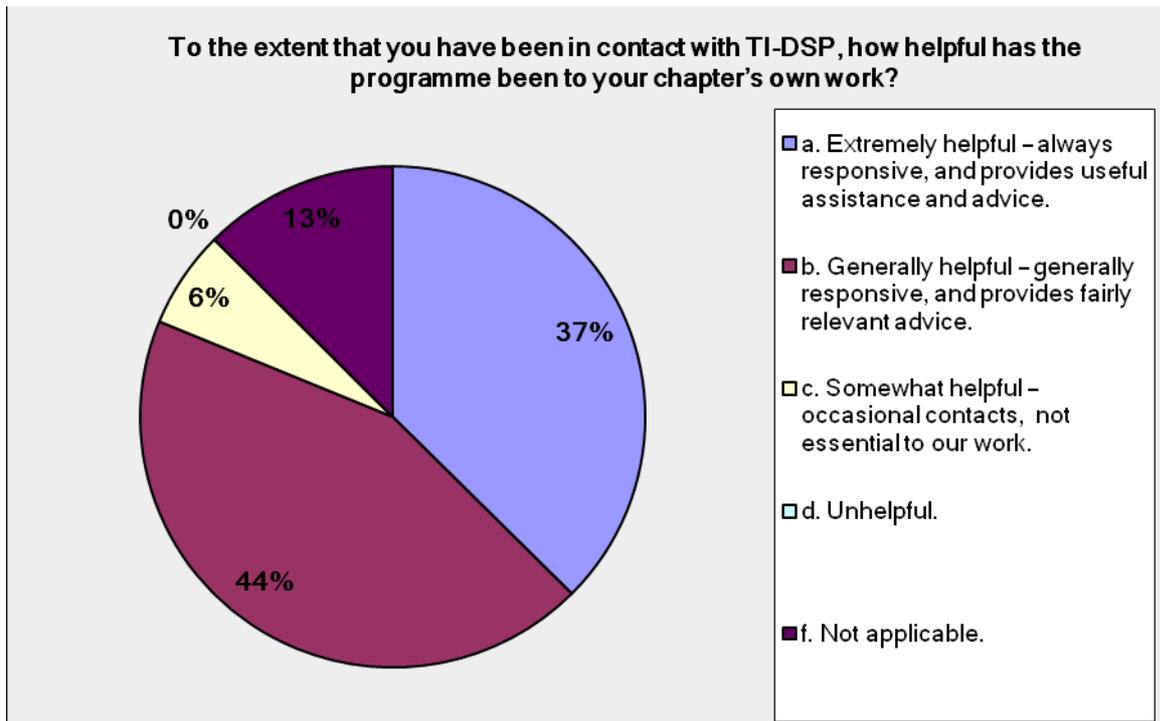


**Question 14: the three areas where the chapter has worked most closely with TI-DSP**

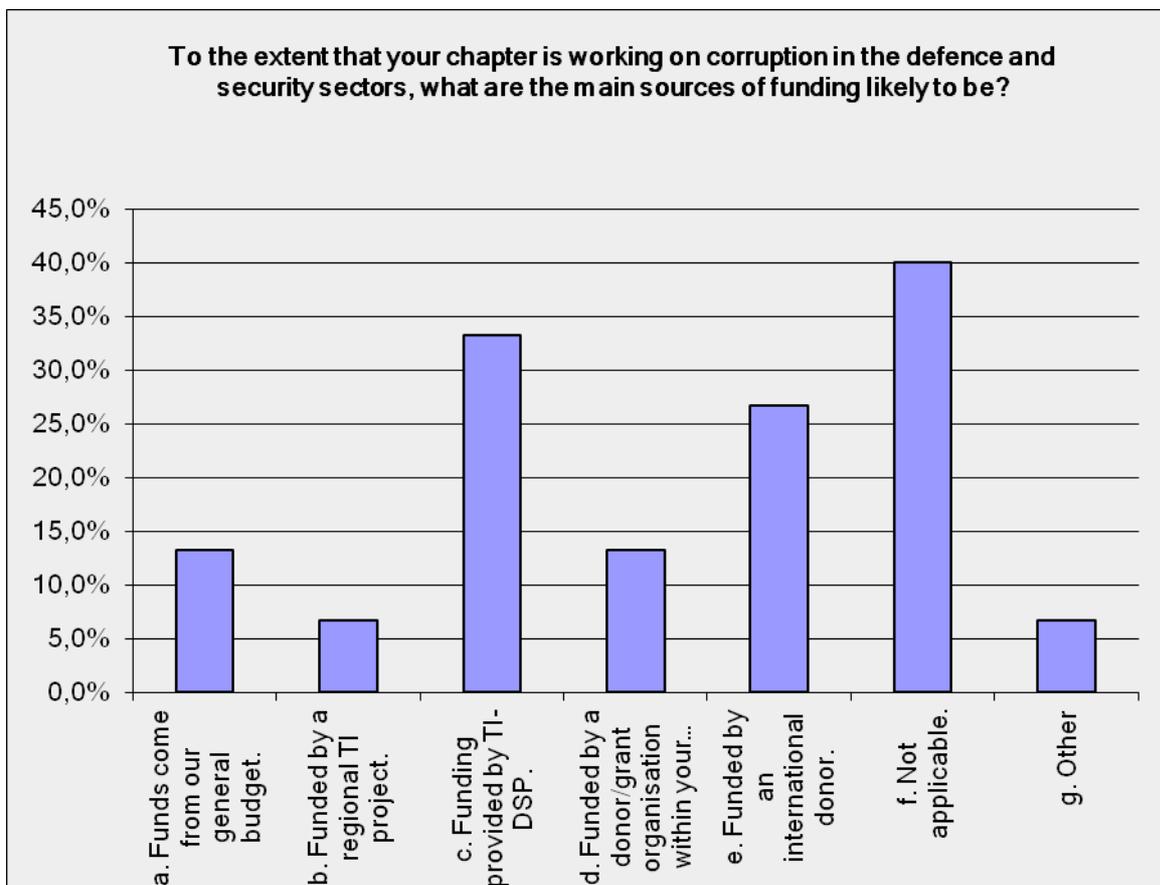
Respondent	1st area	2 <sup>nd</sup> area	3rd area	Comments
1	Research	Advocacy with senior officials	/	
2	/	/	/	we do not have yet working relationship with TI-DSP, just trying to establish, given TI-DSP's plans to launch Index
3	research	advocacy with senior government figures	research	
4	training	research	exchange of information (expertise)	
5	/	/	/	
6	Commenting the evaluations/reports produced by TI-DSP of the Colombian security and defence sector	/	/	
7	Defence and Security Integrity Index survey	Training needs Assessment for the Uganda Police Force	Development of Integrity Training Programme for Police	
8	/	/	/	We have high level meetings with both the military and the police. Good foundation for more work in the area.

9	consultation on new defence procurement law	advocacy with senior officials	/	we aim at developing training/ educational activities
10	Research	Advocacy	/	
11	Executive Directors' survey (pilot survey)		/	
12	Organizing an upcoming Forum on DSP	There is a plan to hold a training workshop by TI-DSP	/	
13	Review of the Index on government defence integrity	Participation in training	/	
14	contact with U.S. companies	research	public speaking	TI-DSP has very good contact with U.S. government officials and does not need TIUSA's help in that regard.
15	study visit at TI-DSP	Government Defence Integrity Index	offset regulations	
16	Training	Advocacy with senior officials	Research	TI-Taiwan invited Dr. Mark Pyman to visit Taipei this year and arranged a workshop to brief defence officials about GDII. This is a very successful coalition-building move.

Question 15



Question 16



**Question 17: Please could you evaluate the following in terms of their actual or potential usefulness to your chapter?**

Answer Options	a. Very useful	b. Somewhat useful	c. Not at all useful	d. Not applicable	Response Count
TI-DSP reports :	11	2	0	3	16
TI-DSP website :	9	4	0	3	16
TI-DSP's Defence Integrity Pact methodology :	8	4	0	4	16
Knowledge built through chapter engagement (e.g. through visits and other direct cooperation) with TI-DSP :	11	2	1	2	16

**Question 18: Have members of your chapter been involved in the development of the index in either of the following ways?**

Answer Options	Yes	No	Response Count
As a country assessor?	8	6	14
As National Chapter reviewers?	11	5	16

**Question 21: Looking ahead, please rate your chapter's level of interest in the following potential activities relating to the defence and security sectors.**

Answer Options	Very interested.	Somewhat interested.	Not at all interested.	Response Count
Engagement with Ministry of Defence/Ministry of the Interior/Police through training or workshops.	11	4	0	15
Workshops/events/conferences with civil society or the media.	11	3	1	15

<b>Advocacy campaigns.</b>	10	4	1	15
<b>Research projects.</b>	12	1	1	14
<b>Work with defence companies to raise standards.</b>	5	7	3	15
<b>Work with other TI chapters/CSOs in neighbouring or regional countries.</b>	10	4	1	15
<b>Other (please add details below).</b>	0	0	0	0

## 5.9 Annex I: General PPA Logframe

PROJECT NAME	Transparency International Defence and Security Programme (TI-DSP)							
IMPACT	Impact Indicator 1		Baseline	Milestone 1	Milestone 2	Target (date)		
Improved transparency and reduced levels of corruption in the Defence and Security sector.	No. of countries ranked and progress on the Defence Integrity Index.	Planned	Product starting development. (February 2011)	Development and trial with 20 countries ranked.	40 countries ranked.	60 countries ranked.		
		Achieved						
			Source					
			Defence and Security Integrity Index; complemented by other indices such as the following: Global Integrity Index; Bertelsmann Transformation Index; EIRIS company assessment. (ANNEXE 1)					
Impact Indicator 2		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions		
Public sector: Number and description of nations with systemic positive change to reduce defence and security corruption (as reported by civil society, industry, as well as international policy makers and observers).		Planned	6 (as of February 2011)	7	9	11		
		Achieved						
			Source					
			Systemic Change Questionnaire to be sent to civil society (including TI national chapters) reports from nations of constructive activity to reduce defence and security corruption; reports from defence industry associations of progress in addressing corruption risk; published reports from renowned organisations, e.g. the Centre for the Democratic Control of the Armed Forces. Current baseline: Latvia, Poland, Bulgaria, Croatia, Argentina, Colombia. (ANNEXE 2)					
Impact Indicator 3		Baseline	Milestone 1	Milestone 2	Target (date)			
Private sector: No. of companies with a score of 25 or higher in the DSP Defence TRAC/PRT.		Planned	10 (as of February 2011)	12	15	20	That the UK Bribery Act comes into law.  That the US Department of Justice pressure on compliance with the Foreign Corrupt Practices Act is maintained.	
		Achieved						
			Source					
			TI-S TRAC (Transparency in Reporting on Anti-Corruption) System data (baseline); DSP TRAC research on defence companies. There are 10 defence companies that score 25 or over at present, the maximum score being 50. The technology of the new DSP Defence TRAC/PRT will have to be adopted to the defence sector and incorporate questions from the TI PRT (Promoting Revenue Transparency) project. (ANNEXE 3)					

OUTCOME 1	Outcome Indicator 1.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
Defence or security reform initiatives underway and publicised in a variety of governments, especially those in developing countries and in conflict or unstable environments.	Cumulative number and description of new countries with defence integrity or counter-corruption programmes.	Planned	0 (new countries) (2011)		3	6	9 That the various reform initiatives are formalised into government programmes.
		Achieved					
		Source					
	National reports from countries and/or confirmation from civil society organisations (including TI national chapters). Target and priority countries for TI-DSP include but are not limited to Serbia, Turkey, Ghana, Kenya, Ukraine, and Afghanistan.						
	Outcome Indicator 1.2		Baseline	Milestone 1	Milestone 2	Target (date)	
	Volume (articles) of public reporting on defence and security anti-corruption reform.	Planned	30 (in 2010)		40	50	
Achieved							
Source							
Original newspaper and website articles which provide in-depth reporting and follow-up on defence integrity or counter-corruption programmes to thoroughly assess their actual impact.							
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
INPUTS (HR)	DFID (FTEs)						
OUTCOME 2	Outcome Indicator 2.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions
International arms transfers are conducted more responsibly, with improved controls against corruption.	Number and description of States whose position on the inclusion of an anti-corruption mechanism in a UN Arms Trade Treaty (ATT) has been informed through engagement with and influenced by TI-DSP.	Planned	10 (as of February 2011)		15	25	Anti-corruption mechanism in the final ATT (2012/2013). That there will be a UN Arms Trade Treaty in 2013. That the NGOs remain part of the negotiation process. That the scope of the treaty remains significant and is not cut back dramatically to meet the deadline.
		Achieved					
		Source					
	Official state statements and Preparatory Committee observers' notes; final ATT treaty; national export control legislation.						
	Outcome Indicator 2.2		Baseline	Milestone 1	Milestone 2	Target (date)	
	Industry membership of the International Forum on Business Ethical Conduct for the Aerospace and Defence Industry (IFBEC) and description of defence industry associations or defence companies whose membership bid has been facilitated by TI-DSP.	Planned	2 members (as of February 2011)		3 members	4 members (1 non-Western)	
Achieved							
Source							
IFBEC membership list; defence industry umbrella organisations; IFBEC official homepage. Current membership: US and Europe umbrella organisations (counted as a single member). Target countries for future IFBEC membership bids include but are not limited to Japan and Russia.							
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	
INPUTS (HR)	DFID (FTEs)						

OUTCOME 3	Outcome Indicator 3.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions			
Civil society organisations, governments, and companies are better able to counter corruption with practical tools that they can directly apply and have increased capacity to do so.	Number and description of practical tools developed by TI-DSP to address defence and security corruption that are used by civil society organisations, governments, and/or companies.	Planned	1 (as of February 2011)	2	4	6				
		Achieved								
		Source		Practical anti-corruption tools available for governments, industry, and civil society. Baseline: defence anti-corruption training course formally accredited by NATO. Another major milestone will be the Defence Integrity Index.						
		Outcome Indicator 3.2		Baseline	Milestone 1	Milestone 2		Target (date)		
	Number and description of civil society organisations reporting capability in tackling defence and security corruption.	Planned	5 (as of February 2011)	10	15	20				
		Achieved								
		Source		International Survey of NGOs. Current baseline includes TI-DSP, TI Korea, TI India, TI Colombia, and DCAF.						
	INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)		Target (date)		
	INPUTS (HR)	DFID (FTEs)								
OUTCOME 4	Outcome Indicator 4.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions			
The danger of defence and security corruption is prominent on the agenda of policy makers and international organisations (including the UN, AU, World Bank, EU, and NATO).	Number and description of defence integrity building or counter-corruption initiatives initiated by international organisations.	Planned	1 (as of February 2011)	2	4	6	That the various reform initiatives are formalised into government programmes.			
		Achieved								
		Source		M&E reporting tools; TI partnership scale. Baseline 01 April 2011: NATO Building Integrity in Defence Establishments.						
		Outcome Indicator 4.2		Baseline	Milestone 1	Milestone 2		Target (date)		
	Pronouncements by high-level decision makers in international organisations on the importance of tackling defence/security corruption.	Planned	10 (in 2010)	15	20	25		That the subject remains high on the agenda of policy makers and international institutions worldwide.		
		Achieved								
		Source		Statements by high-level decision-makers.						
	INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)			DFID SHARE (%)	
	INPUTS (HR)	DFID (FTEs)								

OUTPUT 1	Output Indicator 1.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption	
Conduct high level governmental workshops and events addressing Defence and Security Reform best practice and initiatives worldwide, including in Southeast-Asia, Africa, and wherever in the world governments express an interest.	Number of overall TI-DSP engagements (invitations, meetings), (ANNEXE 4)	Planned	80 (in 2010)	100	120	140	That the Afghan government continues to engage. That the security conditions in Kabul allow continued visiting. That the TI-NATO collaboration remains in force.	
		Achieved						
		Source						
		TI-DSP events log.						
	Output Indicator 1.2		Baseline	Milestone 1	Milestone 2	Target (date)		
	Number of ANSF senior officers and officials course participants.	Planned	60 (in 2010)	90	120	150		
		Achieved						
		Source						
		Training session feedback reports.						
	INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)		DFID SHARE (%)
INPUTS (HR)	DFID (FTEs)							
OUTPUT 2	Output Indicator 2.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
Reach out and influence the defence industry and governments worldwide to address more responsible the arms trade and transfers, with improved controls against corruption, industry standards and codes of conduct.	Cumulative number and description of states TI-DSP engages (including via regional organisations) to convince them of the need for and practicality of an anti-corruption mechanism in the UN Arms Trade Treaty (ATT). (ANNEXE 5)	Planned	20 (as of February 2011)	50	70	Anti-corruption mechanism in the final ATT (2012/2013).	That there will be a UN Arms Trade Treaty in 2013. That the NGOs remain part of the negotiation process That the scope of the treaty remains significant and is not cut back dramatically to meet the deadline. That there is continued industry buy-in.	
		Achieved						
		Source						
		TI-DSP reports on engagement with individual states; official state statements and Preparatory Committee observers' notes.						
	Output Indicator 2.2		Baseline	Milestone 1	Milestone 2	Target (date)		
	Number of regional and national defence industry umbrella organisations TI-DSP works with increases.	Planned	2 (as of February 2011)	3	4	5		
		Achieved						
		Source						
		TI-DSP reports on engagement with individual umbrella organisations; IFBEC membership list; defence industry umbrella organisations; IFBEC official homepage. Current TI-DSP engagement: US and Europe umbrella organisations (counted as a single actors).						
	IMPACT WEIGHTING (%)	25%						
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	RISK RATING	
INPUTS (HR)	DFID (FTEs)							

OUTPUT 3	Output Indicator 3.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions		
Produce practical tools that can be directly applied by civil society, governments, and the defence industry so that they are better able to address defence and security corruption and have increased capacity to do so.	Cumulative number of new practical tools developed by TI-DSP to address defence and security corruption.	Planned	1 (as of February 2011)	2	4	6			
		Achieved							
		Source							
		Practical anti-corruption tools available for governments, industry, and civil society. Baseline: defence anti-corruption training course formally accredited by NATO. Another major milestone will be the Defence Integrity Index.							
	Output Indicator 3.2		Baseline	Milestone 1	Milestone 2	Target (date)			
	Number of TI-DSP trained experts available to civil society, industry, and governments.	Planned	10 (as of 01 February 2011)	15	20	30			
		Achieved							
		Source							
		TI-DSP expert database.							
	Output Indicator 3.3		Baseline	Milestone 1	Milestone 2	Target (date)			
	Number of civil society organisations engaged by TI-DSP to build their capability in tackling defence and security corruption.	Planned	10 (as of February 2011)	15	20	25			
		Achieved							
		Source							
International Survey of NGOs. Current baseline includes TI-DSP, TI Korea, TI India, TI Colombia, DCAF, the Arias Foundation, TI Argentina, TI Peru, TI USA, TI Turkey.									
Output Indicator 3.4		Baseline	Milestone 1	Milestone 2	Target (date)				
Cumulative number of new TI-DSP publications.	Planned	2 (as of February 2011)	3	3	3				
	Achieved								
	Source								
	TI-DSP publications available in print and online on the TI-DSP website. Baseline: TI-DSP reports: (1) "Defence Offsets: Addressing the Risks of Corruption" and (2) "Building Integrity and Countering Corruption in Defence and Security: 20 Practical Reforms".								
IMPACT WEIGHTING (%)	25%								
INPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)	RISK RATING			
INPUTS (HR)	DFID (FTEs)								
OUTPUT 4	Output Indicator 4.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions		
Reach out to and influence policy makers and international organisations worldwide (including UN, AU, African Development Bank, World Bank, EU, and NATO) to address the danger of defence and security corruption as a prominent issue on their agenda.	Number of international organisations TI-DSP is engaged with to convince them to initiate defence integrity building or countercorruption initiatives.	Planned	2 (as of February 2011)	4	6	8			
		Achieved							
		Source							
		M&E reporting tools; TI partnership scale. Baseline: NATO (Building Integrity in Defence Establishments); African Development Bank.							
	Output Indicator 4.2		Baseline	Milestone 1	Milestone 2	Target (date)			
	Number of high-level decision makers in international organisations TI-DSP is engaged with to convince them of the importance of tackling defence/security corruption in official announcements.	Planned	15	20	25	30			
		Achieved							
		Source							
		TI-DSP events log; TI-DSP reports on engagement with individual policy makers and international organisations.							
	IMPACT WEIGHTING (%)	25%							
	INPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		RISK RATING	
	INPUTS (HR)	DFID (FTEs)							