# Acknowledgement

This booklet was produced as a background document prior to the fifth United Nations Development Programme (UNDP) Global Anti-Corruption Community of Practice meeting held in Brasilia from 5-6 November 2012.

The case studies presented in this booklet were collected to showcase different kinds of anti-corruption initiatives at the country and regional level.

Though the case studies do not cover some key areas of UNDP anti-corruption programmes such as support to the United Nations Convention against Corruption (UNCAC) self-assessment and peer review process, they do offer a glimpse at the range of anti-corruption programmes supported by UNDP. Collectively, theyprovide some valuable lessons for shaping anti-corruption programmes at the country-level.

Some key lessons from the case studies include:

- The benefits of building political will and the capacity of anti-corruption agency (Argentina)

- The value of access to objective information for getting political buy-in, building social trust and shaping evidence-based policy-making (Mexico and Viet Nam).

- The positive impact of using advocacy campaigns to build momentum for national reform process in anti-corruption (Swaziland)

- The importance of opening up the space for state-civil society engagement as part of an effort to increase state responsiveness and improving policy processes, including in politically sensitive contexts (Arab States Region, Morocco, and West and Central Africa)

- The advantages obtained from close attention to strengthening both civil society and relevant state institutions to promote transparency and accountability (Colombia)

- The need for creating appropriate platforms for citizens' feedback mechanisms and demonstrating state responsiveness (kenya)

- The role that oversight institutions, such as parliaments, can play in addressing corruption (Serbia)

- The importance of risk assessments in identifying corruption risks and developing appropriate programming strategies (REDD+ national implementation)

- The key role played by UNDP in facilitating South-South exchange and knowledge sharing on anti-corruption, and in building the capacities of anti-corruption agencies (Malaysia)

# Contents

# Arab States region: creating an action-oriented platform for engagement for government and non-government anti-corruption practitioners

## Highlights

- The United Nations Convention against Corruption(UNCAC) provides an entry point for bringing stakeholders together at the regional level.

- UNDP supported the establishment of the Arab Anti-Corruption and Integrity Network (ACINET), a platform for engagement on anti-corruption at the regional level.

- The network, open to government and non-government members, was able to contribute to anti-corruption discourse at the regional level and support key initiatives at the national level.

The entry into force of UNCAC in 2005 acted as a mobilizing factor to a number of stakeholders interested in anti-corruption in the Arab States region. There was a wide recognition that in order to achieve any real progress in anti-corruption and in the implementation of UNCAC, many obstacles would need to be overcome, including the weakness of political will to address corruption, lack of specialized knowledge regarding anti-corruption interventions among public officials, and omission of anti-corruption — sometimes even wilfully— in the broader regional discourse related to reform efforts.

## Opportunities and challenges

Taking advantage of the expressed interest for a regional network to discuss anti-corruption issues by several officials in region, UNDP in 2008supported the establishment of a specialized regional network in anti-corruption. The purpose of this network was to act as a tool for generatingpolitical pressure to tackle corruption and raise awareness in the region. UNDP successfully mobilized key ministers and senior officials from 17 countries to attend the First Regional Conference on Supporting UNCAC Implementation in Arab Countries in January 2008 in Jordan, where the concept of the Arab Anti-Corruption and Integrity Network (ACINET), open to both governmental and non-governmental stakeholders, was endorsed. Seven months later, following a series of extensive regional consultations, the network was officially launched.

In the subsequent two yeers, ACINET conducted a number of activities which provided concrete positive contributions to anti-corruption efforts in the region. Key achievements of the network include:

- supporting Arab countries to engage more effectively in UNCAC assessments and the UNCAC review mechanism;

- assisting Arab countries in advancing their efforts to establish whistle-blower protection laws;

- developing the technical capacities of four anti-corruption agencies in the region (Iraq, Jordan, Morocco and Yemen); and

- fostering dialogue that produced 'regional-leveldecisions' on a number of issues which currently act as a reference for anti-corruption work in the region.

However, actual cooperation remained limited despite an agreement on the importance of forging alliances and cooperative relationships between governments and non-governmental actors, including civil society and the private sector, to address corruption in an effective manner.

Therefore, from 2008 on UNDP contributed to narrowing the traditional gap in communication between Arab civil society and Arab governments. It supported a series of dialogues between ACINET government members and non-government actors with the goal of expanding ACINET and establishing an ACINET non-governmental group.

Finally, in July 2010, that non-governmental group was created. For the first time in the Arab region, civil society was provided with a legitimate action-oriented platform to directly and effectively engage governments in concrete dialogue and productive partnerships in the area of anti-corruption. Many civil society organizations are now fully integrated and formally accepted in ACINET. Consequently, they have become increasingly engaged in exploring and pursuing cooperative opportunities with governments on a number of issues at the countrylevel.

The series of activities organized by the ACINET non-governmental group since 2010 has led to the group's first action plan, which has the following components:

1. training on the assessment of the implementation of UNCAC;

2. supporting a regional dialogue between concerned non-governmental actors on i)the recovery of stolen assets, ii) corruption in the management of state property; iii) the accountability of senior officials and the fight against impunity, and iv) access to information; and

3. building knowledge on means to strengthen private-sector integrity and prevent conflicts of interest with public officials.

## Lessons for anti-corruption programming

A regional platform can provide space for dialogue and decision-making that may not be available at the national level. ACINET has inspired critical actions and reforms at the national level and has enabled sharing of best practices among countries.

UNDP was able to successfully fulfil its facilitating and coordinating role to bring diverse actors from countries in the region to collectively act on corruption. The fight against corruption is now an integral part of the conversation on democratic governance, human development and equitable distribution of resources and opportunities in the region.

# Argentina: institutional strengthening of anti-corruption agency

## Highlights

- A central element in mainstreaming issues promoting transparency and accountability in the Latin America region has been the institutional strengthening of the agencies responsible for designing anti-corruption policies. The UNDP-supported project to strengthen the Argentina Anti-Corruption Office is a critical part of this overall priority.

- An effective strategy to prevent corruption and promote transparency has to have a broad political acceptance and policy platform to survive electoral cycles and avoid being an agenda of only one political party.

- A successful public policy in the fight against corruption depends heavily on the existence of highly specialized entities endowed with sufficient resources and expertise to carry out their mandates.

The Anti-Corruption Office, under the Ministry of Justice and Human Rights, was created in 1999 by the Ministers' Law (Law Nº 25.233) in order to design and coordinate anti-corruption programs, and, to actively collaborate with the Attorney General´s Administrative Investigations Unit.  The Anti-Corruption Office is also in charge of ensuring the prevention and investigation of practices and issues covered by the Inter-American Convention against Corruption.

The Office of Anti-Corruption covers central and decentralized public administration, corporations, companies and all other public or private entities with a State ownership or whose main source of income comes from public funding.

## Opportunities and challenges

UNDP has supported a project to promote institutional strengthening of the Argentina Anti-Corruption Office, since 2009. The objective is to improve its capacities to i) design and implement preventive and punitive transparency and anti-corruption policies, and ii) adopt strategies that promote public management capacity. Recently the project was approved to continue till the end of March 2013.

During the project's first stage, priority was given to strengthening institutional capacities by expanding the 'know-how' and bydeveloping institutional links with business and civil society organizations through advocacy, information dissemination and exchange.

One of the main achievements of the project is the training of officials using distance learning tools. This element is important in helping identify key problems and incorporating preventive instruments in public officials' daily performance. Another notable outcome is the promotion of transparency policies both at the federal and subnational levels (provinces and municipalities).

The project also has a notable component focused on education in values. This component, which mainly targets high school students, could be beneficial for students at other educational levels moving forward. Its expansion would raise even greater awareness as to the importance of a culture of transparency and zero tolerance to corruption.

Another key practice of the project has been the engagement of the private sector in promoting transparency and fighting corruption. The Argentina Anti-Corruption Office promotes a policy dialogue platform among the sector on anti-corruption policies. This effort aims to increase the sharing of experiences and technical assistance, encourages the implementation of best practices, and provide a space for inter-sectoral cooperation.

Of recent note is that the anti-corruption agency has begun to work with the National Contracting Office (ONC) to stimulate the adoption of transparency tools. This effort aims to improve competition of tenders by introducing an ethical dimension in sustainable public purchases policy. An analysis was made of the process and the ONC database to better understand the demand-supply dynamics for goods and services from the perspectives of both the government and private companies.

And finally, an effort has also been made through the project to collect and systematize economic and financial information related suppliers to the state , including those that are partially or totally owned or funded by the state.From the inputs produced by the analysis, strategic alternativeactions were developed as well as indicators to measure transparency and accountabilityin the adoption and implementation of procurement policies.

## Lessons for anti-corruption programming

Among the lessons learned to date are the need to:

- implement new activities to analyse and publicize the project's results, including the development of academic proposals for universities;

- develop pedagogic material on anti-corruption and transparency for children at the primary level;

- continue institutionalizing the training of public officials at the national and subnational levels (provinces and municipalities);

- design and utilize tools to introduce ethics in the procurement process;

- deepen the relationship and cooperation between the government and the private sector in the fight against corruption; and

- produce and/or update publications on matters related to the prevention of corruption.

# Colombia: enhancing transparency in public administration at subnational level

## Highlights

- In partnership with three subnational governments and local civil society groups, UNDP Colombia developed and implemented a project aimed at strengthening the newly elected government officials in three places in the country.

- A key element of the project focuses on increasing transparency and accountability in all aspects of the officials' work. This is especially important as subnational entities in Colombia are directly involved in the provision of essential social services.

- Other sectors, including civil society and the private sector, are directly involved in project activities. This is a useful way to increase their capacities and awareness as well as encouraging them (especially civil society) to recognize its essential monitoring and watchdog role.

The UNDP-supported project 'Transparency in public administration at the territorial level in Colombia' began to be implemented in March 2009. Its main objective is to strengthen a selected group of newly elected territorial governments in three places: the municipality of Cartagena and the departments of La Guajira and Santander. Those three governments were the main partners of the initiative with UNDP along with Funcicar (a non-governmental organization in Cartagena) and the Participate Foundation in Santander.

The autonomy of subnational entities (departments and municipalities) in Colombia underscores an increasing need to promote transparency and accountability approaches at these levels. Such governments are responsible for the provision of services including health care, education, clean water and sanitation — all of which are susceptible to corruption. The three target areas have different weaknesses, needs and priorities, which made the overall project quite challenging.

## Opportunities and challenges

UNDP Colombia and its partners developed several strategies to promote transparency and accountability at the local level. These include:

- increase public servants' capacities and competencies, as well as those of civil society organizations, through the 'accompanying in the work place' and 'learning by doing' methodologies, which have been proven to strengthen self-assessments and mutual regulation, team work and results-based management, as well as leadership and empowerment;

- facilitate processes and accountability events, public-private partnerships, and improvement plans involving the territorial administration and social organizations, media, corporations and donors; and

- encourage horizontal exchange of successful transparency-improvement experiences at the subnational level, a step that increases the amount and quality of information and support for consideration by project implementers.

The following are among the achievements associated with the project:

- the design of transparency advocacy policies;

- the generation and institutionalization (through decrees and resolutions) of arrangements to establish and coordinatetransparency committees comprising representatives from multiple sectors (government, private sector, civil society, etc.);

- the strengthening of transparency-related technical capacity in the territories;

- the systematization and dissemination of best practices in transparency (publications);

- the strengthening of policy dialogue spacebetween governments and citizens (e.g., through public accountability events); and

- the drafting of methodology and assessment tools to identify best practices in key transparency-related dimensions (visibility, integrity and accountability).

These achievements have already generated direct and verifiable results in Cartagena and Santander most notably. In both places there has been a substantial improvement in transparency indicators as highlighted by Transparency International. Moreover, as noted in an external evaluation, the technical support provided by UNDP has benefited the subnational administrations. Social organizations also have benefitted from the project, in particular because the policy dialogue with government has been strengthened and has directly impacted the capacity of organizations to engage governments and policy-making processes. Citizens also have directly benefitted, by having more information about their local administrators (through websites in particular). Such impacts are among the reasons several other subnational entities in Colombia have expressed interest in replicating the project.

## Lessons for anti-corruption programming

- The project's external evaluation showed that more time needs to be invested in work with civil society organizations, in particular to strengthen their capacity to monitor and evaluation government performance and policy-making.

- Support from UNDP should go beyond the development of manuals and tools and focus more on the 'hows'. This refers to the design and development of approaches, methodologies and protocols that can be appropriated and/or institutionalized by stakeholders themselves. It is necessary to institutionalize (with administrative acts) policy dialogue and coordination of governance issues. This ensures the involvement and commitment of all actors responsible for implementing transparency initiatives, and ensures sustainability.

- Working with social organizations is crucial to promote policy dialogue, which can contribute to a greater accountability of both government and citizens, and therefore, greater sustainability (even in scenarios where there is no UNDP's support)

The strengthening of institutions can build and ensure the legitimacy of governments and allow citizens to participate in decision-making processes. Yet the decentralization process can only be sustained with strong subnational governments that promote citizen involvement and participation. The democratic governance value of municipalities and departments that promote transparency is invaluable.

# Kenya:
# essential lessons from Huduma platform for linking citizens' feedback with state responsiveness

## Highlights

- Huduma, a Web-based platform linking citizens' and service providers, was established in 2010 in collaboration with several local non-governmental organizations (NGOs), UN agencies (UN Millennium Campaign, UNDP), the World Bank, and Ushahidi.

- Despite engaging service providers from the start, the level of engagement on the part of the service providers remains limited on the platform.

- The Huduma experience offers key lessons about the importance of taking into account issues of accessibility, availability and incentive structure before designing citizens' feedback mechanisms and mechanisms for state accountability and responsiveness.

TheMillennium Development Goals (MDGs) review summit in 2010 noted the importance of involving beneficiaries in tracking service delivery and progress by sector at the local level in order to ensure dramatic improvements toward achieving the MDGs. In response to this recommendation, the UN Millennium Campaign launched its Citizens Feedback and Monitoring Initiative in 2010.

In Kenya, the UN Millennium Campaign, in collaboration with UNDP, supported the already existing partnership of SODNET, Ushahidi and Twaweza (alllocal NGO encouraging grassroots action) to establish the Hudumaplatform to support state-citizen engagement on local service delivery. (Huduma in Kiswahili means 'service'.) The Web-based platform enables citizens to provide real time information via SMS messages (usually through mobile telephones) to service delivery institutions and supports service providers to process and resolve the reports submitted by citizens.

## Opportunities and challenges

The platform was initially piloted in four districts in Kenya:Langata, Kisumu East, Muranga and Bungoma. It provides details of all basic service facilities (i.e. schools, primary health care facilities etc..,) available at the constituency and county level. By doing so, the platform allows citizens to report their concerns using SMS along six themes(education, health, water, governance, infrastructure and justice). The message received is forwarded to a server that checks it for two variables (or key words) corresponding to location of the problem (place) and themebefore the message is posted on thematic dashboards on the platforms. Citizens and service providers can login and access thematic dashboards to see and comment on the postings and also responses provided by service providers.

The local NGOs raised awareness about the general public to use the Hudumaplatform. In addition, key government ministries, agencies and local service providers were also targeted to raise their awareness about the platform and how it can be used to engage directly with citizens. Despite such awareness-raising efforts, just 332 complaints from the public were received in the first two years. Even more disconcertingly, the number of unresolved cases on the platform still stands at a staggering 99.7 percent.

More evidence needs to be gathered to understand the reasons behind the lack of responsiveness — whether it is simply an issue of accessibility to the platform, that the local service providers use a different avenue to be accountable or that the local service providers are simply unresponsive and not providing services.

The lack of response from local service providers raises questions about i) what kind of platform would be most useful for (and used by) regular citizens to engage with the state, and ii) the kind of incentive systems that would drive service providers to be more accountable and transparent.

Nevertheless, Huduma has also had some positive impact in terms of increasing civil society and media organizations' engagement at the local level on issues related to service delivery, transparency and accountability.

## Lessons for anti-corruption programming

The pilot phase offers several lessons related to the adoption of information technologies to promote citizens' engagement and state institutions responsiveness. Among them are the following:

Getting the objective right is essential. The Hudumaplatform was designed to amply citizens' voice and strengthen state responsiveness. Mere adoption of information technologies without a clear objective, understanding of the service delivery context or buyin from both citizens and local government is not effective in creating appropriate platforms for state-citizen engagement.

Strong partnershipsand commitment are needed.An integrated and multi-level platform such as the Huduma platform requires strong partnerships and collaborations among various organizations with diverse expertise as well as the engagement of local service providers. Each partner organization contributed to a key component in the establishment of the platform, from providing technological services, to engaging state institutions, to establishing baselines, to raising media and citizens' awareness. But the lack of strong commitment from the side of service providers has limited the success of this platform.

# Malaysia: facilitating South-South exchange on anti-corruption

## Highlights

- UNDP played a significant role in supporting the Malaysia Anti-Corruption Academy (MACA) to fulfil its mandate of training and capacity-building in anti-corruption for national officers as well as for a number of officials fromanti-corruption agenciesfrom the member states of the Organization of Islamic Cooperation.

- UNDP has been instrumental in increasing strategic collaboration and exchange of technical knowledge between countries in Asia and the Arab States region in the area of anti-corruption.

The Malaysia Anti-Corruption Academy (MACA) was established as a regional training hub in 2005 to build the capacity and capability of the Malaysian Anti-Corruption Commission (MACC) and that of other anti-corruption authorities in the region to combat corruption by promoting global best practices in investigation, monitoring and enforcement. It also provides assistance to countries to strengthen their institutional capacities in the fight against corruption.

## Opportunities and challenges

UNDP since 2010 has provided technical and advisory services to MACA to improve its ongoing capacity-development programmes for anti-corruption agencies (ACAs) from around the world. Through a pilot initiative funded by the Democratic Governance Thematic Trust Fund, UNDP Malaysia and the Government of Malaysia, MACA was supported to develop a structured curriculum for capacity-development programmes for selected ACAs from the Organization of Islamic Cooperation (OIC). The curriculum was developed after an extensive assessment of training needs.

With assistance from UNDP, MACA developed the detailed training programme based on the positive written responses received from ACAs in 20 countries and a review of anti-corruption training programmes available globally. The training programme consists of technical modules covering topics such as corruption prevention, detection, investigation, prosecution, as well as regional casestudies and global best practices. The training programme was further refined after pilot testing at two workshops in 2011 — one for field level anti-corruption officials and another for ACA directors and senior managers.

The success of the training programmes offered to select ACAs from OIC member states has helped to increase their technical know-how and skills in corruption prevention, detection, investigation and prosecution. It also helped ACAs to strengthen their internal institutional processes.

In addition to offering capacity-building programmes, MACA has played a significant role in building strategic partnerships to facilitate exchange of knowledge in the area of anti-corruption; such partnerships have involved UN agencies, the International Anti-Corruption Academy, and ACAs in the region (such as the Independent Commission Against Corruption of Hong Kong and the Central Bureau

for Investigation of India). In December 2011, MACA also facilitated discussion between heads of ACAs from16 OIC member states from the Asia and Arab States region.The meeting highlightedthe continuing and valuable role played by MACA in offering technical assistance at different levels. Participants also identified areas for further collaboration, including effective strengthening mechanisms in recovering stolen assets as well as the importance of integrated and coordinated responses that are country-led and country-based.

## Lessons for anti-corruption programming

UNDP's technical and advisory services have helped MACA to offer structured training programming to a wide range of actors both locally and internationally. This targeted assistance has helped to make a stronger business case for UNDP Malaysia to continue to be engaged in governance and anti-corruption programmes in Malaysia, a middle-income country that has become a substantial donor in recent years. It has helped to create trust within the government and political will for further engagement with UNDP in the area of anti-corruption and is reflected in the new UNDP Malaysia Country Programme Document (2013-2015).

MACA's trainings to participating ACAs from OIC member states has also helped to strengthen engagement between UNDP and such agencies in over 20 countries.

# Mexico: access to information to promote transparency and accountability in the implementation of social programmes

## Highlights

- Access to information and data on public performance is essential for promoting transparency and accountability of the state.

- México Estatal, a virtual platform, provides data in six categories and on 1,600 indicators.

- The online platform is seen by the Mexican states as a 'public good' and the objective data have helped to reduce resistance for reforms

Decentralization has enabled all 32 Mexican states to gain more autonomy in policy setting and decision-making. The 'Federal grant funds for states and municipalities' programme has led to devolution of responsibilities and resources to the subnational states.In principle this devolution should have strengthened the subnational governments. However, weak management capacity, inefficiency in the use of resources and lack of transparency and accountability mechanisms has stalled the benefits of the decentralization process.

This has led to increased demands from the population for more transparency and accountability. However, lack of systematized data and a viable information management and dissemination system, in addition to other factors, has limited Mexican states' ability to be transparent and accountable, and to share official information on local administration and public finance management. UNDP Mexico through the 'Government quality and accountability in Mexican states project', also known as México Estatal, and in collaboration with UNDP´s Oslo Governance Centre and Centro de Investigación y DocenciaEconómicas (CIDE), aimed to strengthen evaluation and assessment of public performance and accountability in all 32 states.

## Opportunities and challenges

UNDP Mexico emphasized the need for better evaluation of public performance and accountability when bringing together key actors working in the area of date collection and evaluation of public performance. The resulting online platform of the MéxicoEstatal project provides disaggregated data on government performance and accountability in all 32 states of the country.

Specifically, UNDP and CIDE brought together key partners such as Transparencia Mexico and the National Council for the Evaluation of Social Development Policy (CONEVAL), which has been tracking poverty trends using a multidimensional methodology. CONEVAL data show that in the year 2008, nearly half (44.2 percent) of the national population lived in conditions of multidimensional poverty. That corresponds to some 47.2 million people in the country who faced deprivation in at least one critical area — such as education, health, housing or public safety — and had insufficient income to satisfy their needs. Using this as the starting point, the México Estatalplatform was designed to collect and present data in six categories (quality of governance, accountability, education, health, public safety and

economic development) using 1,600 indicators. This database is public, neutral, easily accessible and user-friendly. It allows for downloading of the entire database containing data by indicator for the last three years or generating a simple graph for a single indicator.

UNDP Mexico has also used the process of developing the database as a means to educate the public about the database and how to use it. It produced nine papers on the conceptual, methodological aspects of the data collection and on the subject of the data — i.e., state health systems and accountability in the education system. It also produced analytical dossiers on states. UNDP Mexico in partnership with Transparencia Mexico assisted 30 states and 11 federal dependencies to register their social programmes on the online platform. This allows for identification of, among others things, i) programmes' gaps or weaknesses according to the established rules of operation and other guidelines; ii) the presence of citizen participation mechanisms, including in the formulation, execution and evaluation stages of the social programmes; and iii) the existence and function of control mechanisms and complaint mechanisms. In addition, the data help to monitor and 'social audit' the social programmes.

Finally one of the main results of MéxicoEstatal is that the states adopted the project as a 'public good'. In this sense, the data collected through the project have influenced the way in which state governments collect and publish information.

## Lessons for anti-corruption programming

- It is important to maintain the project's online platform as a technical, objective and independent tool. This helps to reduce resistance from authorities and to create an enabling climate for social trust.
- Strategies should be developed for wider dissemination of the database. Such a step enhances its application and promotion in other forums such as workshops for journalists, academics, students and public officials in which participants are familiarized with database management and the use and analysis of available information.
- It became clear early on that México Estatal is seen as a 'public good' approach because the data and information are available for anyone with basic skills in computer and internet use.
- Attention had to be paid to developing relationships between México Estatal and the entities responsible for transparency in the states. Establishing effective and open relationships with stakeholders and beneficiaries has facilitated the administration of a project that, given its complexity, requires constant communication, negotiation and agility in assigning resources.

# Morocco: strengthening coordination of anti-corruption efforts

## Highlights

- Building on the successful support provided by UNDP in the area of anti-corruption, UNDP was able to offer technical support to the drafting of the national anti-corruption strategy and a multi-year project to implement the action plan of the strategy.
- UNDP Morocco facilitated engagement of various stakeholders, including ministries, independent agencies, civil society, and the parliament, in the drafting of the strategy and coordinated implementation of the national anti-corruption action plan.
- UNDP Morocco is supporting Central Authority for Corruption Prevention to mainstream anti-corruption in key social sectors, including health, education and water supply.
- Morocco's experience in anti-corruption is seen by other countries in the region as ground-breaking. To promote learning from the Moroccan experience and exchange of good practices, UNDP has facilitated knowledge exchange between Morocco and other countries.

The year 2011 was a significant one for Morocco. Constitutional reforms were undertaken to complete the process of construction of a state based on the rule of law and democratic institutions. Notably, a new constitution was approved by a referendum in July 2011. In the area of anti-corruption, the constitutional reforms identified the Central Authority for Corruption Prevention (ICPC), under the Prime Minister's Office, as the central agency coordinating corruption prevention efforts. ICPC currently has the mandate to propose policies and institutional arrangements to the government and administrative authorities to improve corruption prevention, and to monitor implementation of such policies. Following the expansion of its mandate, ICPC began developing a new legal and institutional framework to fulfil its mandate.

UNDP Morocco has been working in the area of anti-corruption since the mid-2000s. It facilitated training for officials on UNCAC and UNCAC review mechanisms, supported the Government of Morocco to organize the Fourth Conference of State Parties to UNCAC in 2011, and assisted ICPC to develop the whistle-blower and witness protection law (passed in 2011). Building on these experiences, UNDP Morocco provided technical and advisory support to ICPC to develop the new legal and institutional framework, including drafting of the new national anti-corruption strategy and a four-year action plan to implement the strategy.

## Opportunities and challenges

The constitutional reform process in 2011 presented both opportunities and challenges for anti-corruption support. The reforms clarified the role of ICPC as the main coordinating agency. However, the uncertainty during the reform process as to the roles of other agencies and ministries responsible for anti-corruption stalled the implementation of the existing national anti-corruption plan (2010-2012),

coordinated by the Ministry of Public Sector Modernization. The ministry was able to achieve some key objectives of the existing plan by 2011, including the whistle-blower and witness protection law, and the establishment of the Ethics and Morality Unit within the ministry's Division for the Simplification of Procedures. The uncertainty of the reform process also created uncertainty within UNDP Morocco. Despite its ongoing anti-corruption work within the country, UNDP Morocco had to wait until the outcome of the referendum to identify its main national partner in the area of anti-corruption.

At the same time, the progressive reforms have also expanded the scope for engagement in anti-corruption for UNDP. At present, it is working closely with ICPC to enable it to implement its new mandate, including mainstreaming anti-corruption in sectors and supporting capacity assessment of ministries in corruption prevention. In addition, UNDP also provided technical and advisory services for the drafting of a new anti-corruption strategy. It was able to collaborate with key donor partners such as the United Kingdom Department for International Development (DFID) and coordinate efforts to bring key stakeholder (e.g., ministries, civil society and the parliament) to the table to draft the new four-year national anti-corruption action plan. Over 60 stakeholders were engaged in the drafting process, which was especially beneficial for UNDP as the process helped UNDP to consolidate its work in the area of anti-corruption with the parliament, a key oversight institution.

Further, given the increased demand for UNDP's support, UNDP Morocco also included a clear component on anti-corruption for the first time in its new UN Development Assistance Framework (2012-2016).The achievements made by Morocco in anti-corruption are viewed by many in the region as ground-breaking. UNDP has been able to tap into this interest from other countries in the region and facilitate South-South exchange of knowledge and best practices between Morocco and other countries.

## Lessons for anti-corruption programming

The Moroccan experience demonstrates the need for and importance of UNDP to:

i)    respond flexibly, sensitively and rapidly to the evolving political context, and

ii)   prioritize its support to efforts that strengthen anti-corruption, democratic governance and delivery of basic services.

The Moroccan experience also highlights how UNDP can build on the initiatives started by other partners and ensure that key policy processes are participatory and transparent. UNDP Morocco was able to use the initiative of DFID to support the drafting of the four-year national anti-corruption plan and coordinate the engagement of other stakeholders in both the drafting process and in the implementation of plan.

# REDD+ and anti-corruption: mainstreaming risk assessments to identify and combat corruption risks in national REDD+ strategies

## Highlights

•    UNDP's 2010 publication, 'Staying on track: tackling corruption risks in climate change', raised the issue of inherent corruption risks in climate change fund management.

•    The UN-REDD Programme and UNDP collaborated to bring together the two communities of environment experts, national officials engaged in REDD+ strategies, and anti-corruption practitioners to discuss corruption risks and means to mitigate such risks in REDD+ activities.

•    One outcome was the development of national action plans to combat corruption risks in REDD+ using risk assessments to identify risks and develop mitigation strategies.

Reducing Emissions from Deforestation and Forest Degradation (REDD) refers to a set of market and financial incentives for developing countries to reduce the emission of greenhouse gases from deforestation and forest degradation. REDD+, promoted in 2007, goes beyond deforestation and forest degradation and includes the role local communities and other stakeholder in the conservation, sustainable management of forests and enhancement of forest carbon stocks. At present the flow of funds from developed to developing countries for REDD+ incentives is expected to reach US$30 billion a year, presenting significant risks for corruption and fund leakages at all stages of planning and distribution of the funds. Therefore, mainstreaming anti-corruption in REDD+ was deemed essential by the UN-REDD Programme partners such as the Food and Agriculture Organization, UNDP and the UN Environment Programme.

## Opportunities and challenges

The UN-REDD Programme supports national REDD+ readiness. The main challenge in mainstreaming anti-corruption into REDD+ implementation is to ensure a common understanding of the risks and issues among the REDD+ specialists and anti-corruption specialists.The UNDP publication 'Staying on track: tackling corruption risks in climate change' helped to articulate that corruption risks are not limited to illegal logging andembezzlement during the distribution of REDD+ benefits, but instead are likely to occur at all stages of fund management. For instance, corruption risks may happen during the design of a national REDD+ strategy, where powerful actors (such as large land owners) may seek to influence policies, through corrupt practices, in order to either benefit directly from REDD+ revenues or to avoid having to alter their current practices.

The UN-REDD Programme in collaboration with the UNDP's Global Programme on Anti-Corruption for Development Effectiveness (PACDE), created a capacity-building programmes to raise awareness and mainstreaming of anti-corruption in REDD+ programming. Along with the Regional Centres and Country Offices, they organized three capacity-development workshops in Nepal and Thailand in October 2011 and in Angola in April 212.The workshops specifically sought to raise awareness on i) why the issue of anti-

corruption in REDD+ should be addressed; ii) what the corruption risks are in REDD+ and what constitutes a risk-based approach to corruption prevention; and iii) how to mitigate risks by using corruption risk assessments and building on national REDD+ systems and existing national anti-corruption initiatives. The events brought together civil society, ministries working on REDD+ and members of anti- corruption bodies and international experts including partners from UNDP, the Food and Agriculture Organization, Global Witness, Transparency International, U4 and the World Bank.

The main aim of the workshops was to raise awareness and facilitate country-specific discussions. This emphasis allowed national stakeholders to discuss, in a safe and facilitated setting, sensitive issues and ways to address them jointly through country-tailored solutions. Specific sessions were devoted to capacity gaps and needs of different groups of stakeholders. Country action plans were initiated for each country participating in the workshops. So far, seven countries have carried this work forward: Bangladesh, Bhutan, the Democratic Republic of the Congo, Kenya, Nepal, the Philippines and Viet Nam.

## Lessons for anti-corruption programming

- The workshops helped to bring together various stakeholders, including national REDD+ officials, forest sector officials, environment-focused NGOs and anti-corruption practitioners to discuss issues and reach a common understanding.

- These workshops made evident the need for tailored strategies based on country context and the capacity of relevant and institutions such as anti-corruption agencies and relevant REDD+ ministers. However, it also became clear through the need for involving national anti-corruption agencies in the implementation of REDD+.

- The national action plans have a strong component on corruption risks assessments and for developing mitigation plans based on the results of the assessments.

# Serbia:
# holistic approach to anti-corruption focusing on prevention, enforcement and public awareness

## Highlights

- The European Union accession process provided the political environment for broad-based reforms aimed at tackling corruption.

- A risk-based approach to corruption was used to develop targeted strategies to reduce risks and improve transparency, accountability and efficiency.

- A holistic approach targeting the government, the parliament, independent oversight institutions, media and civil society helped to improve prevention, enforcement and public awareness.

The post-communist political transition in Serbia led to a breakdown of state systems and increased opportunities for corruption. However, as part of the prerequisites to accede to the European Union, Serbia has had to undertake reforms and set in place accountability mechanism to address corruption.

As part of these efforts, Serbia established independent and oversight bodies including the State Audit Institution, the Commissioner for Free Access to Information of Public Importance and Personal Data Protection, the Public Procurement Office, and an anti-corruption agency. But these bodies lacked adequate resources for their functioning and had limited capacities to implement their mandates. The role of the parliament in supporting the work of these independent and oversight bodes was also limited and there were no guidelines guiding its relations with the oversight bodies. For example, the parliament did not review reports of the independent oversight bodies.

## Opportunities and challenges

UNDP Serbia developed an accountability programme with three interlinked projects — 'Enhancing Anti-corruption Efforts in Serbia', 'Strengthening Accountability Mechanisms in Public Finance' and 'Strengthening the Accountability of the Serbian Parliament' — to improve transparency and accountability in the government and parliament through independent institutions, media and civil society. The programme has a three pillar approach, focusing on enforcement, prevention and public awareness, and promoted a risk-based approach to develop specific short-term and long-term strategies.

UNDP engaged a comprehensive array of stakeholders in all stages of the programme. It established an informal donor group on corruption, which it co-chairs with the EU Delegation.

It also brokered a memorandum of understanding (MoU) between the prime minister's office (i.e., the government) and the anti-corruption agency that outlines their collaboration in the fight against corruption and specific points for joint action. This allowed the agency to initiate development of integrity plans, asset-declaration registry and initial work on conflicts of interest. Furthermore, UNDP undertook successful advocacy with the public prosecutors' office to allocate additional resources, both human and

financial, to its anti-corruption units. Initial capacity-development activities with other oversight bodies laid the basis for further programming, with entry points for a holistic accountability portfolio.

The project with the parliament resulted in the adoption of a law and new rules of procedure that introduced mechanisms for collaboration with independent oversight bodies and reviewing their reports. Public hearings were institutionalized for the first time through these acts and take place today for corruption-related issues. Programming continued with the anti-corruption agency, resulting in the adoption of whistleblower protection guidelines, while initiatives targeting the subnational level and support for drafting a new anti-corruption strategy and action plan are ongoing. Under this initiative, UNDP conducted a series of corruption benchmarking surveys at household level, which provided data on the incidence of corruption (thus helping differentiate from perception). The media picked up the survey reports substantially, which further contributed to UNDP's positioning in the field. A larger-scale initiative developed with the Public Procurement Office, the State Audit Institution and the Commissioner for Free Access to Information of Public Importance and Personal Data Protection resulted in building the capacity of civil service in public procurement and auditing.Among the outcomes was the development of a certification programme through which 712 public procurement officials and 40 auditors were certified. The initiative also set the agenda for regional dialogue and exchange of practices among civil society organizations and media representatives from the region.

UNDP also engaged with the private sector in the fight against corruption. In collaboration with national authorities, it supported the establishment of a national Global Compact network. A separate working group on corruption had been established under the Global Compact with noteworthy results, including the adoption of a Declaration against Corruption by all Global Compact members (over 70), recognized as a best practice in the global 2010 Annual Report.

## Lessons for anti-corruption programming

- UNDP's capacity to implement the accountability programme and the interlinked project with impartial and high quality international experience and expertise helped to build the national ownership for the programme.

- Perception of corruption is not the same as actual corruption. To gather data on actual incidences of corruption and develop targeted initiatives to address it, UNDP developed and implemented a corruption benchmarking survey.

- Targeting the government, independent oversight bodies, parliament, private sector, civil society and media helped to develop a holistic approach that focused on strengthening horizontal accountability systems and oversight of independent bodies and the parliament.

# Swaziland:
# Building the groundswell for anti-corruption reforms

## Highlights

- UNDP sponsored '30 days activism against corruption' and initiated a series of political actions and policy reform processes, including ratification of the UN Convention Against Corruption (UNCAC) and review of a draft national anti-corruption policy.

- UNDPraised awareness of various challenges faced by anti-corruption agencies, including related to their independence and lack of clarity in assignment of corruption cases among different authorities such as the public revenue authority or public prosecutors' office.

- UNDP's efforts led to collaboration with the Ministry of Public Services to improve performance-based management systems.

UNDP Swaziland and the Swaziland Anti-Corruption Commission organized '30 days of activism against corruption' from 9 November to 9 December 2011 to commemorate International Anti-Corruption Day. During this action, UNDP brought together various stakeholders — media, government officials, policymakers, church leaders, parliamentarians, and representatives from the private sector, trade unions and civil society organization — and encouraged partnerships and synergies among them in the fight against corruption.

As part of its outreach to media, UNDP organized training sessions for editors, journalists, radio producers and hosts, and television talk-show presenters to sensitize them about corruption in the Swazi context and the role and operation of the Swaziland Anti-Corruption Commission. UNDP held meetings with church leaders through the Church Forum (a coalition of churches) and encouraged them to promote values of integrity and accountability through their congregations. Following the meeting, at least two churches invited the Swaziland Anti-Corruption Commission to sensitize their congregants.

Meetings were also held with members of two parliament portfolio committees, the Justice Portfolio and Public Accounts Committee, todiscuss their legislative oversight roles related to the Swaziland Anti-Corruption Commission, the current legislative gaps and the challenges faced by the commission in fulfilling its mandate. Members of the two committees requested the commission to propose legislative amendments. In response, the commission presented amendments specifically related to resource allocation for the commission as well as ratification ofthe United Nations Convention against Corruption (UNCAC).

## Opportunities and challenges

The '30 days of activism against corruption' helped to raise awareness at to the challenges faced by the Swaziland Anti-Corruption Commissionin fulfilling its role both among key decision makers and the general public. Following the submission of the amendments and proposal to enhance anti-corruption

work, the parliament passed 24 bills and ratified UNCAC. It is also considering amendments to the legislation establishing the commission that would strengthen its mandate and clarify assignment of corruption cases for prosecution. Members of parliament have also indicated they would prioritize the passing of a new draft anti-corruption policy.

The '30 days of activism against corruption' also raised the profile of UNDP in the area of anti-corruption and has resulted in the Ministry of Public Service seeking technical assistance from UNDP to assess the performance of the ministry over the last 10 years in delivering public services and the management of the public sector. UNDP is also providing technical and advisory services to improve the performance-based management system within the ministry, including through the use of information and communications technologies and increasing citizens' feed-back mechanisms.

## Lessons for anti-corruption programming

The Swaziland experience is a perfect example of how advocacy campaigns can lead to enormous policy reform gains. It also demonstrates how the International Anti-Corruption Campaign can serve as a vital platform for bringing activists and policy makers together and strengthen the commitment for anti-corruption reforms.

The campaign has also increased the collaboration between the Ministry of Public Services and UNDP and has paved the way for further reforms to improve performance-based management systems and increase public oversight and monitoring of public service delivery.

# Viet Nam:
# anationwide social audit of citizens' experiences helps to shape governance and anti-corruption policies

## Highlights

- A UNDP-supported initiative in Viet Nam is helping central and local level governments to fight corruption.

- In 2010, the project collected the experiences of 5,568 ordinary citizens and in 2011 more than 13,500 views were collected to support evidence-basedpolicy-making processes and will be replicated on an annual basis to track changes.

- In an environment heavily reliant on 'self-assessments' to measure corruption, UNDP's contribution is helping to 'flip the coin' and look into people-centred experiences.

- The data and evidence made available by the Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) provide information from which different stakeholders, including civil society, research organizations and mass media, can draw concrete lessons on reducing corruption and improving citizen satisfaction advocate for further reforms.

In the first large-scale social-audit exercise in the country, a nationwide policy research initiative is measuring how the people of Viet Nam experience corruption and public service delivery. In doing so, it gives voice to citizens' concerns, supports evidence-basedpolicy-making processes, including local and national level plans to curb corruption, and complements the government's performance self-assessments.PAPI is implemented across the country and uses a combination of public survey and citizen report card methodologies to monitor and measure six 'dimensions' or aspects of public administration: participation, transparency, vertical accountability, corruption, administrative procedures, and quality of public services. Each of these dimensions is further divided into 'sub-dimensions'. For example,the public services dimension includes health care, primary education, infrastructure, and law and order; the corruption dimension includes bribery, nepotism, abuses in handling public administrative procedures, and perceptions of the effectiveness of anti-corruption efforts by relevant state bodies.

## Opportunities and challenges

PAPI is a joint policy research initiative implemented collaboratively and in a collective-action approach between UNDP Viet Nam, Centre for Community Support and Development Studies, theFatherland Front – the largest mass socio-political organization, and the Commission on People's Petitions of the National Assembly. UNDP provides technical and policy advise and ensures rigorous methodological standards in the implementation of PAPI.

The initiative was piloted in three provinces in 2009 and in 30 in 2010. This allowed for refining of the survey methodology and built momentum for the data gathered to inform and monitor reform processes, before PAPI was implemented nation-wide in all 63 provinces in 2011.

At the national level, from 2011 onwards, state institutions mandated to fight corruption began to institutionalize the use of data provided by PAPI on different indicators by incorporating them into their monitoring frameworks. For example, indicators such as 'informal payments facing households when transacting with state agencies and using public services' are now mainstreamed into the governmental monitoring and evaluation systems. This allows for monitoring and reporting on the state of corruption and anti-corruption efforts.

At the local levels, provincial authorities are using PAPI as benchmark tool to objectively and independently monitor performance. Making use of the survey data and good practices from other provinces, action plans to tackle corruption and informal payments and improve public services are developed and implemented. At their own initiative and with their own resources, provinces are replicating, expanding and complementing surveys. PAPI has allowed for healthy discussion and exchange of good practices among provinces to improve their performance.

## Lessons for anti-corruption programming

The experience of PAPI shows that objective and reliable measurement tools to diagnose problems and monitor results can i) substantively contribute to fighting corruption and ii) support evidence-based policy-making, policy implementation and policy monitoring processes.

Four key strategic lessons have been learned.

First, PAPI is possible due to the developmental context of change and overall optimism in Viet Nam, which has also led to increasing demands from citizens for more transparent and accountable governance.

Second, the UNDP Country Office has been innovative in its policy advisory service by providing objective and evidence-based measures to policy-making processes. The new focus looks more towards contextual processes of development, works closer with anti-corruption champions in the government and civil society, and establishes linkages between anti-corruption and public administration reform efforts.

Third, an innovative collective-action approach with different stakeholders enables political support.

And fourth, PAPI makes the data transparent and allows others to use it. This generates a snowballing effect, in which new research generates more options for reform.This fourth point is relevant considering that unfortunately, all too often, once a survey or social audit has been done and a report produced, it is shelved and implementers moves towards next one in line.

More information about the Viet Nam Provincial Governance and Public Administration Performance Index and its different uses and impact is available atwww.papi.vn.

# West and Central Africa: strengthening civil society to monitor governments' compliance with international anti-corruption conventions

## Highlights

- UNDP conducted a needs assessment to assess capacities and develop tailored anti-corruption training programmes for civil society in countries of West and Central Africa.

- The trainings were provided in partnership with organizations working in the area of anti-corruption in the region, which further intensified collaboration and coordination around anti-corruption programmes.

- The trainings brought together key civil society actors and government officials, created a network of anti-corruption practitioners, and increased the pressure for reforms.

The majority of the countries in West and Central Africa have a substantial body of laws designed to deal with various aspects of corruption and have ratified relevant international conventions. Yet implementation remains a challenge. In addition, civil society — which has a key role to play in monitoring and oversight of government compliance —has had limited capacity to fulfilthat role. For this reason, UNDP collaborated with partner organizations in the region in an effort to improve the situation. Among the goals were developing a strong understanding among civil society groups on corruption issues and improving their ability to monitor the government and serve as a watchdog to track the country's progress in implementing international conventions. Partners with UNDP included theWorld Bank, the Observatoire de LutteContre la Corruption en AfriqueCentrale (OLCAC), Transparency International, and Global Integrity (Tiri).

## Opportunities and challenges

In June 2010 with funding from the Belgian Government, UNDP and partner organizations organized a successful training workshop for civil society in Brazzaville, Republic of Congo, on how to monitor and report corruption. During this training, it became clear that there was a great need to continuously provide capacity-building support to civil society organizations on monitoring and reporting corruption. Based on the expressed demand at the meeting, a training needs assessment was conducted to assess the capacity and training needs of civil society in anti-corruption.

The results of the assessments were used to design a three-day training programme. The training courses included modules on international and regional conventions, the role of civil society in fighting corruption, monitoring and evaluation techniques at community level, national legal frameworks and budget cycles. Experts from Transparency International, professors and researchers on governance from the Laboratoire de Recherchesetd'Etudessur la Gouvernance (LAREG) and national experts collaborated to develop the training modules.

UNDP and partner organization organized three trainings in Burundi, Benin and Mali in 2011. Representatives from 35 civil society organizations (CSOs) attended the Burundi and Mali trainings,

while about 30 CSOs were represented at the one in Benin.. Some of the organizations worked directly on the issues of corruption, whereas others focused on education, women and children's rights, etc. Furthermore, representatives from a number of government institutions were present. In Burundi these included the host country's good governance and justice ministers, the Senate president, the chair of the Senate Committee on Economic Affairs, and the president of the Anti-Corruption Court.In Mali representatives from the Ministry of Justice and General Auditor's Office were present throughout the three days. The director of Benin's anti-corruption agency attended the training in his country. The presence of government representatives enabled civil society participants to directly pose questions and begin the process of improving coordination between the government and civil society sectors.The participation of government representatives was also notable in that it demonstrated that commitment and political will to address corruption are not lacking throughout government.

Following the success of these training programmes, similar trainings were provided in Guinea and Mauritania in 2012. Training for Lusophone (Portuguese-speaking) countries in the sub-region will take place in 2013.

## Lessons for anti-corruption programming

- The targeted capacity-building support allowed for more open discussions and systematized communication channels between government and civil society on the issue of corruption and holding governments accountable.In Benin, the training and associated support helped established a dialogue process between the government and civil society around the United Nations Convention against Corruption (UNCAC) review process.

- The trainingshelped develop stronger partnerships with Global Integrity (Tiri), Transparency International and the World Bank.

- The process showed that stronger and more engaged civil society in key areas such as procurement monitoring, extractive industry monitoring, etc. can help to establish social accountability initiatives.